

**Loch Lomond & The Trossachs National Park Authority
Internal Audit Recommendations**

No	Year	Audit	Recommendations	Risk	National Park Authority Response	Responsibility/ Timescale	Current Status June 2019
1	2017/18	Banking Review	It is recognised that Management are currently reviewing all The Authority's procedures, as part of this process specific focus needs to be given to banking procedures on a priority basis.	Medium	Agreed	Finance and Procurement Manager February 2018 May 2018 August 2018 October 2018 January 2019 February 2019 June 2019	Completed Software and new procedures now operational in finance team with two levels of payment release. Exec team has been trained and live implementation taking place during holiday cover
2	2017/18	Camping Management Byelaws - signage	It is recommended that the issues related to signage are reviewed and dealt with as soon as possible.	Low	The large road threshold signs are scheduled to be revised to make the messaging clearer with the inclusion of the dates that the Camping Management Byelaws operate within and additional text to clarify that camping within the Camping Management Zones is permissible by permit only. A review of our existing permit areas is underway. Recommendations for improvements will be assessed and a programme of improvements undertaken. Signage placement and orientation will form part of this review. Some bespoke signage will be installed at key visitor hubs with more detailed messaging on the byelaws. It should be noted that as important as the signage is to Camping Management Byelaws 2017 that improvement that we are making to our webpages and the continued public engagement through our Ranger Service are key to helping visitors understand the byelaws.	Visitor Operations Manager July 2018 March 2019 End June 2019	Behind Schedule All signage has now been received. The Land Operations team have started to install as a priority.

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3	2017/18	Camping Management Byelaws - Access to the Procurator Fiscal Website	It is recommended that at least one other member of staff is trained on the Procurator Fiscal system	Low	Agreed	Visitor Operations Manager July 2018 September 2018 On first live case July 2019	Behind Schedule The first live cases from the season are now ready for reporting and as such the Visitor Operation Manager and a Ranger Service Manager will shadow the Visitor Management Advisor as part of this training.
4	2018/19	Access	<u>Procedures over Access complaint resolution</u> Staff in the Access and Recreation team should be reminded of the procedures for dealing with complaints and enquiries including: - documentation to be included in the case file; - the requirement to advise the complainant of the outcome of the review; and - the requirement to update the complaints spreadsheet when a complaint is resolved	Low	The team will be reminded of the importance of filing related documentation and correspondence and to follow the procedures that are in place.	Access, Recreation and Health Manager April 2019	On Track Whilst the Visitor Management Module is being developed by the GIS team (which will enable the records to be transferred over to Uniform system) the team have improved their correspondence habits and awareness of procedures have been highlighted within draft team plans and individual objectives. Work is now complete by the team to enable the upload of template documents and current case files into the new Document Management System once it is complete.

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5	2018/19	Access	<p><u>Access Information on Internet</u> The Access and Recreation team should continue to progress restoring inclusion of the key access information on the Internet site.</p>	Low	The Access, Recreation & Health Manager is working with the Communications team to provide a page giving all relevant advice on Access, how to contact the team and download exemption applications. There are also plans in place to implement a 'Report It' option where software will allow complaints to be reported and mapped.	Access, Recreation and Health Manager February 2019 August 2019	<p>Behind schedule/ partially complete</p> <p>The web-page has not been finalised however it is now in the 19/20 Team plan as a priority. A new Ranger Service "reporting system" has been created and already being actively used. The Ramblers have created a Reporting system called Pathswatch and the NPA receive queries through this and also direct emails through accessteam@ and info@.</p>
6	2018/19	Access	<p><u>Remit of Local Access Forum</u> The National Park should consider enhancing documentation around the roles and remit of the Local Assess Forum to include, for example: <input type="checkbox"/> Job specifications for Forum members; and <input type="checkbox"/> A Remit / Terms of Reference document to assist with the running of the Forum (this remit could cover areas such as Equal Opportunities, Structure, Membership (including how potential members are nominated and the length of time for which members are elected) and Administration and Finance).</p>	Low	The current Operating Principles and 'job spec' will be reviewed to provide a Terms of Reference document. Although it currently advises of what is expected from forum members we agree it could be expanded more to include/address the suggestions raised. This finding will be discussed at the next Local Access Forum (February 2019)	Access, Recreation and Health Manager April 2019 October 2019	<p>Behind Schedule</p> <p>Legal team are progressing the Terms of Reference. The agenda item for Feb 2019 has been deferred to the August meeting where Kenny Auld will table a paper to the LAF which covers terms of reference and recruitment recommendations.</p>

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7	2018/19	Access	<p><u>KPIs should be developed for the Access and Recreation Team</u> Consideration should be given to KPIs which could be developed and reported on by the Access and Recreation team. Whilst success cannot only be measure by the speed of resolution KPIs could be developed over, for example, the number of Access complaints and queries received or the percentage of complaints resolved within a given timescale (e.g. a KPI could be for 80% of complaints to be resolved within 8 weeks).</p>	Low	It is accepted that the appropriateness of KPIs could be helpfully considered, however the recommendation correctly raises the difficulties around measurements of success which require further consideration.	Access, Recreation and Health Manager April 2019 October 2019	Behind Schedule Still to be considered and applied. 23 cases were resolved in 18/19 which is a significant increase on previous years. The variety of cases and levels of complexity results in KPIs being extremely difficult beyond numbers of complaints received from the public relating to processes and procedures.
8	2018/19	Procurement	<p><u>Formality of Contract management and complexity of contract</u> Contract management should be formalised especially in regards to long standing and/or high value contracts. When developing the contracts there needs to be clear lines of responsibility detailed within the contract.</p>	Medium	Formal Contract Management documents will be designed and training provided to appropriate staff who manage a contract. The level of contract management applied to each contract will be scaled to each contract based on risk, value and the contract commodity.	Finance and Procurement Manager March 2019 June 2019	Complete Training has now been rolled out to Operational Managers and it is their responsibility to distribute this to their appropriate staff.
9	2018/19	Procurement	<p><u>Incorrect procurement method applied or not applied properly</u> In all instances the procurement policies should be followed including applying the correct thresholds and obtaining the correct number of quotes.</p>	Medium	The revised procurement strategy and policy reflect this requirement and training will also be provided to improve the knowledge of budget holders on the procurement requirements.	Finance and Procurement Manager March 2019	Complete
10	2018/19	Procurement	<p><u>Update to Procurement Policy</u> The procurement policy should be updated in line with the new procurement strategy and details on the levels of procurement should be updated as per the Annual Report.</p>	Low	Following recent Procurement Strategy (August 2018) approval the Procurement Policy has been revised (October 2018).	Finance and Procurement Manager December 2018 March 2019	Complete

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11	2018/19	Ranger Deployment	That the password for the Duty RTLs Deployment Login is changed immediately and also after each season as the the seasonal RTLs are employed for one season only.	Medium	The Ranger Service Manager will change the password immediately and will review the solutions available within the ICT Team in relation to log-ins, e-mail management and phone call management for Ranger Team Leaders.	Ranger Service Manager February 2019 (password) April 2019 (I/t solution)	Complete Password changed in Feb and potentially change again mid-season. Currently reviewing email management for RTLs when logged onto Duty RTL which will be completed by the end of June.
12	2018/19	Ranger Deployment	That the financial analysis information in the Rota tab of the Rota spreadsheet is moved into a fourth tab to make the information more user friendly.	Low	Agreed if necessary, however the Rota spreadsheet for the 2019 season does not contain this section, therefore this action may not be required. If this information is required in future then it will be set up on a separate tab.	Ranger Service Manager June 2019	Complete 2019 rota does not include this section on the main spreadsheet. All budget analysis is stored on a separate tab and accessed by RTLs only.