

# Consolidated Outstanding Priority 1 and 2 Internal Audit Actions

Wiltshire Council Outstanding Actions 03.11.2022

Non Schools

## Corporate Director Resources

### Main Accounting (Audit Report Issued 11th June 2020)

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
43460	We recommend that the Financial Manual is finalised, approved and published to the Council as a whole as soon as is practically possible. The published manual should be communicated to relevant officers to ensure they have an appropriate understanding of the practices they are required to follow.	2	Outstanding	30-Sep-20	30-Sep-22	Head of Corporate Finance	

### Corporate Debt Management Management (Audit Report Issued 24th June 2020)

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
43749	We recommend that the Debt Management Policy, Corporate Debt Management and Recovery Strategy and associated guidance are revisited to ensure they are complete, encompassing the requirements for full and proper records and adequately details responsibilities for all areas of income and debt management. These should then be finalised and approved. Once approved these should be rolled out with an appropriate programme of training for relevant officers to ensure that their obligations are fully communicated and understood.	2	Outstanding	31-Mar-21	31-Mar-23	Chief Accountant and Head of Revenues and Benefits	

Programme Management (Audit Report Issued 4th October 2019)							
Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
42099	We recommend that the existing framework is developed to capture all projects and programmes being delivered across the whole Council so there is consistency of approach and a clear corporate wide view.	2	Outstanding	30-Nov-19	31-Jan-22	Corporate Director Resources	
Pensions (Audit Report Issued 30th April 2019)							
Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
41018	We recommend that a full reconciliation be undertaken between Altair and SAP Payroll. This recommendation is carried over from last year's audit report.	2	Outstanding	01-Dec-19	31-Dec-20	Head of Pensions Administration and Relations	
Pension Fund Key Control Review (Audit Report Issued 15th March 2022)							
Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
46885	We will carry out a reconciliation to identify transfers in that have been processed in the SAP system but not in Altair. We will ensure Altair is updated with any missing liabilities and embed the new process to monitor transfers in are accurately processed going forward.	2	Outstanding	31-May-22		Head of Wiltshire Pension Fund	

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
46887	<p>We will review the backlog of aggregations, frozen refunds and retired members and take necessary steps to ensure this is progressed where possible.</p> <p>We will develop controls to monitor backlog in these areas going forward and report updates to the Pensions Committee regularly.</p> <p>We will review the data stored for status 3 members and determine a way to remove any personal data which is no longer necessary.</p>	1	Outstanding	31-May-22		Head of Wiltshire Pension Fund	
46886	<p>We will review the project methodology used to manage the Funds projects and implement changes to help improve oversight and efficiency.</p> <p>We will consider ways to proactively progress the i-Connect project, for example employer site visits.</p>	2	Outstanding	31-Jul-22		Head of Wiltshire Pension Fund	

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
46883	<p>We will review the process of distributing tasks to team members and ensure there is a robust process to monitor SLAs and team capacity / backlog. KPIs will be reported to the Pensions Committee regularly.</p> <p>We will finalise the monthly performance dashboard and report updates to the Pensions Committee regularly.</p> <p>We will carry out a full reconciliation between Altair and SAP and ensure this is done on a regular basis.</p> <p>We will consider if the one-off payments module in Altair should be purchased.</p>	1	Outstanding	31-Jul-22		Head of Wiltshire Pension Fund	
46882	<p>We will remind staff of the importance of saving evidence to support any changes made in Altair.</p> <p>We will monitor the timeliness of processing amendments and take further action if this is not improved.</p>	2	Outstanding	31-Oct-22		Head of Wiltshire Pension Fund	

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
46881	<p>We will monitor the timeliness of processing lumpsum payments and take further action if this is not improved.</p> <p>We will remind staff of the importance of saving necessary documentation to support transactions on members files.</p> <p>We will review the payments approval process and structure to ensure payments are always approved independently by someone who has not been involved in calculating the payment.</p> <p>We will investigate the bug in the My Wilshire Portal which is preventing members from submitting documents and ensure any forms received from members via email are signed.</p> <p>We will advise staff which date should be used when processing retirement payments and update process notes accordingly.</p>	2	Outstanding	31-Oct-22		Head of Wiltshire Pension Fund	

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
46880	<p>We will ensure the employer contribution rates schedule is finalised and procedures are put in place to make sure it is well controlled going forward.</p> <p>We will discuss roles and responsibilities with the team to ensure there is clear ownership with raising and resolving issues.</p>	2	Outstanding	31-May-22		Head of Wiltshire Pension Fund	

**Pensions Payroll Reconciliation Project (Audit Report Issued 28th September 2022)**

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
47483	The Pensions Administration Lead will provide clear updates on the progress to complete the remaining “in-progress” cases of the Pensions Payroll Reconciliation Project to the Head of the Wiltshire Pensions Fund on a regular basis.	1	Outstanding	30-Sep-22		Pension Fund Administration Lead	

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
47484	<p>The Pensions Team will introduce targets and deadlines for finalising the remaining “in-progress” stage 2 cases.</p> <p>We will also introduce a robust method to monitor progress against targets and this will be included in the progress updates introduced as part of action 47483.</p>	2	Outstanding	30-Sep-22		Pension Fund Administration Lead	
47485	<p>The Pensions Team will review the reconciliation process and ensure the data is clear and up to date.</p> <p>A monthly reconciliation will be carried out to identify any errors or anomalies.</p>	2	Outstanding	30-Sep-22		Pension Fund Administration Lead & Pension Fund Accounting and Investment Officer	
47486	<p>The Pension Fund Administration Lead will remind the project team to ensure their progress is always up to date in the Master Control Workbook.</p> <p>We will set deadlines and targets to complete the part reviewed stage 3 cases.</p> <p>We will also implement a method to monitor the progress of the remaining “in-progress” stage 3 work, this will be included in the progress updates introduced under action 47483.</p>	2	Outstanding	30-Sep-22		Pension Fund Administration Lead	
47487	<p>The Fund will work with Procurement to progress the outsourcing of stage 3 work.</p>	2	Outstanding	30-Sep-22		Pension Fund Administration Lead	

**Director Legal and Governance****Complaint Handling (Audit Report Issued 1st March 2022)**

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
46646	<p>We will, as part of the on-going review: Provide training and guidance to Complaints Officers which will include the importance of accurately recording and monitoring complaints data. Review and update the Complaints Dashboard within Iken to ensure it presents the data available in a useable format (pending the implementation of an improved casework management system in 2023). Establish a method to monitor complaints information.</p>	2	Outstanding	31-May-22	31-Aug-22	Head of Democracy & Governance Democracy & Complaints Manager	
46647	<p>We will produce up to date and accurate management information to ensure appropriate oversight of the council's performance. Additionally, the annual report will be based on complete, up to date and accurate information and published on a timely basis.</p>	2	Outstanding	31-Oct-22	31-Jan-23	Head of Democracy & Governance Democracy & Complaints Manager	



**Director Procurement and Commissioning****Brokerage - Adults (Audit Report Issued 14th January 2021)**

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
44432	The Commissioning team will continue to enhance their relationship with providers in order to make these relationships more effective. This will be achieved by developing their knowledge of service providers supported by contract management quality assurance and the monitoring of data from providers.	2	Outstanding	28-Feb-21	31-Jan-23	Head of Commissioning Adults	Follow Up Response - After a meeting with the Head of Commissioning Adults, who was new in post as of April 2022, it has been agreed that this action will remain in progress.
44415	The Head of Commissioning Adults will ensure due diligence processes are improved to ensure Care Providers included on the Framework Contract meet the standards as set by the Commissioning team and that an action plan is in place for providers that do not meet these standards.	2	Outstanding	28-Feb-21	30-Nov-22	Head of Commissioning Adults	Follow Up Response - After a meeting with the Head of Commissioning Adults, who was new in post as of April 2022, it has been agreed that this action will remain in progress.

**Category Management (Audit Report Issued 21st April 2022)**

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
46063	As part of the procurement governance refresh, the Strategic Procurement Hub will consider an overarching Category Management Strategy which the individual category management plans/strategies can then be aligned to. There will be reference to this in the procurement manual.	2	Outstanding	30-Sep-22		Head of Commercial & Procurement	

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
46076	Individual Category Management plans/strategies will be created or reviewed to ensure consistency and completeness.	2	Outstanding	30-Sep-22		Head of Commercial & Procurement	

**Procurement Exemption (Audit Report Issued 20th April 2022)**

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
46167	We will review the definition of exemptions in the Constitution to ensure it is made clear the circumstances in which an exemption would be a legitimate route. We will also provide training for Officers on exemptions to include when it can be used and how to complete an exemption form.	1	Outstanding	31-Jul-22		Head of Commercial & Procurement	

**Third Party Spend - Purchase to Pay (Audit Report Issued 5th July 2021)**

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
45376	The lack of a Social Value Policy will be picked up by the Commercial Workstream as part of the creation of the new commercial governance framework.	2	Outstanding	29-Oct-21	30-Nov-22	Head of Strategic Procurement	Follow Up Response - We have been provided with a draft copy of Wiltshire Council's Socially Responsible Procurement Policy. However, until this policy has been approved, the action remains in progress.
45470	A centralised record of collaborative or partnership arrangements should be held within the Strategic Procurement Hub.	2	Outstanding	29-Oct-21	31-Oct-22	Head of Strategic Procurement	Follow Up Response - After various updates, discussions with the Procurement Specialist - Transparency & Governance, and evidence provided, it is clear that work is underway on ensuring there is a centralised record of collaborative agreements. This action remains in progress.

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
45488	Discussions are underway with the Corporate Director Resources and S151 Officer and the Assistant Director Finance to facilitate this process for all commercial procurement activity to be overseen by the Commercial Board.	2	Outstanding	29-Oct-21	30-Nov-22	Head of Strategic Procurement	<p>Follow Up Response - Based on the 'verbal' update with no evidence being assessed, this action has been assessed as partially completed and is still in progress.</p> <p>Savings for all procurement activity going through the Commercial Board are captured and reported to the Corporate Director Resources. The Assistant Director Finance has established a mechanism to provide corporate oversight of savings spend and delivery and work is underway to align contract savings to this mechanism by means of the revamped Commercial Board. A specific action to devise a system to capture, classify and report all financial savings and all qualitative benefits is being implemented as part of the Commercial and Procurement Service Plan for 2022/23.</p>
45263	To note the procurement governance project has now been superseded by the Commercial Workstream and Organisation Recovery programmes, therefore the Procurement Strategy and Procurement Rules will be included as part of this overall review.	2	Outstanding	29-Oct-21	31-Mar-23	Head of Strategic Procurement	<p>Follow Up Response - Based on the 'verbal' update with no evidence being assessed, this action has been assessed as partially completed and is still in progress.</p> <p>We have been advised that the rules have been adjusted as necessary, however, fully refreshed rules will accompany the launch of the end to end process, and the new Whitehall Procurement Bill which is due in 2023.</p>

**Director Education and Skills****Virtual Schools (Audit Report Issued 12th May 2022)**

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
47224	<p>We will ensure any historical information can still be captured in the PEP when making changes to PEP templates going forward.</p> <p>We will continue to implement the moderation of PEPs, reminding VSOs of the importance of giving clear feedback that is fully aligned with the new quality assurance rubric when reviewing PEPs.</p> <p>We will remind schools that PEP completion should only be delegated to someone who has received PEP training, we will ensure this is carried out ASAP to minimise disruption.</p> <p>Whilst PP+ is only paid on amber PEPs in exceptional cases, we will continue to communicate timely with schools when a PEP does not meet the quality expectations to ensure that PP+ is only paid for green rated PEPs and funding is not impacted.</p>	2	Outstanding	31-May-22		Head of Targeted Education and Virtual School Head Teacher Education and Skills	

**Director Families and Children****Designated Officer for Allegations (DOFA) (Audit Report Issued 6th June 2022)**

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
47049	<p>We will amend the Practice Standards and Website timeframes to reflect working days rather than hours, to ensure it is clear that the DOFA service is working days only.</p> <p>We will ensure the timeframes in the Practice Standards and on the Website are consistent.</p>	2	Outstanding	31-Jul-22		Director Families & Children	
47050	<p>We will continue to work through historic cases in Liquid Logic and mark them as closed where appropriate.</p> <p>We will ensure KPI data clearly states if it is based on calendar days or working days. We will take this into account when presenting and comparing data on historical performance.</p> <p>We will ensure the Business Support team are reminded of their responsibility to monitor the DOFA's personal dashboard when they are absent.</p> <p>We will determine how the DOFA dashboard can be streamlined so tasks can be clearly prioritised.</p>	2	Outstanding	31-Jul-22		Director Families & Children	

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
47052	<p>We will seek to ensure the Practice Standard timeframes are followed where possible and that the Service implements a tolerance for exceptions. In particular, we will ensure the meeting minutes and outcome letters are distributed on time.</p> <p>We will introduce a process to help ensure all steps are completed before a case is closed.</p>	2	Outstanding	31-Jul-22		Director Families & Children	
47049	We will review the KPIs and amend them to include the time taken to distribute minutes, actions and letters.	2	Outstanding	31-Jul-22		Director Families & Children	

## Director Ageing and Living Well

### Court of Protection (Audit Report Issued 13th February 2019)

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
40680	We recommend that the Court of Protection Team Manager gives consideration to the most cost effective and efficient manner of document storage for the service.	2	Outstanding	31-Aug-19	31-Dec-21	Court of Protection Team Manager	

## Corporate Director People

### Safeguarding Vulnerable People Partnership (Audit Report Issued 28th April 2022)

Reference Number	Action	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Update
46932	<p>We will provide training to all members of the business support unit responsible for minute taking.</p> <p>We will capture consistent meeting minutes that will include:</p> <ul style="list-style-type: none"><li>A consistent format;</li><li>Clear reference to supporting documents;</li><li>An appropriate level of detail for all discussions and responses;</li><li>All decisions made;</li><li>All actions and the responsible officer;</li><li>Absences, apologies, and substitutes;</li><li>Attendance registers detailing the capacity in which the member is attending; and</li><li>In the absence of the Chair</li></ul>	2	Outstanding	31-Jul-22		SVPP Partnership Lead	
46933	<p>We will produce a strategic plan in a timely manner which will be reviewed on an annual basis.</p>	2	Outstanding	31-Jul-22		SVPP Partnership Lead	