

Wiltshire Council Outstanding Recommendations 30.05.19

Non Schools

Data revision date: 30 May 2019

School Effectiveness - Acting Head of Service Jayne Hartnell							
School Liaison & Support Arrangements (Audit Report Issued 31st August 2017)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
36013	We recommend that management consider introducing process indicators to measure and monitor service effectiveness and efficiency to ensure the business strategy is sustainable.	3	Outstanding	31-Oct-17		Head of School Effectiveness	There have been a number of changes to processes and strategies over the last two years in response to changing local and national needs. This evolution continues and a new School Improvement Framework and associated processes are being established and have been consulted on with a range of stakeholders from January 2019. The new Framework will be in place in September 2019 and indicators to monitor effectiveness and efficiency are being developed. Revised target date takes account of the yet to be established framework and the time to review and embed processes.

ICT - Head of Service Steve Vercella							
ICT Business Continuity Planning (Audit Report Issued 14th July 2017)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

35552	I recommend that in the absence of a live test of the whole Business Continuity Plan, a desk based exercise should be undertaken to verify that the plan is complete and will allow the ICT service to recover in the event of an incident.	3	Outstanding	30-Nov-17		Head of ICT	Budget has now been agreed in the ICT 2019/20 capital budget for review/update of ICT DR plan and agreement of BCP/ICTDR test schedule. This is expected to be undertaken during 2019/20 including the first test. The scope of the test (virtual desk based or physical) will depend on what can be agreed with the business areas. However, it will also need to be agreed with Wiltshire Police as the ICT infrastructure is shared between the two organisations.
35553	I recommend that the ICT Disaster Recovery plan is reviewed and updated following the restructure of the Council's ICT service.	2	Outstanding	31-Oct-17		Head of ICT	Budget has now been agreed in the ICT 2019/20 capital budget for review/update of ICT DR plan and agreement of BCP/ICTDR test schedule. This is expected to be undertaken during 2019/20 including the first test. The scope of the test (virtual desk based or physical) will depend on what can be agreed with the business areas. However, it will also need to be agreed with Wiltshire Police as the ICT infrastructure is shared between the two organisations.

35554	I recommend that in the absence of a live test of the whole Disaster Recovery Plan, a desk based exercise should be undertaken to verify that the plan is complete and will allow the ICT service to recover the network in the event of an incident.	2	Outstanding	31-Dec-17		Head of ICT	Budget has now been agreed in the ICT 2019/20 capital budget for review/update of ICT DR plan and agreement of BCP/ICTDR test schedule. This is expected to be undertaken during 2019/20 including the first test. The scope of the test (virtual desk based or physical) will depend on what can be agreed with the business areas. However, it will also need to be agreed with Wiltshire Police as the ICT infrastructure is shared between the two organisations.
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Cyber Security (Audit Report Issued 31st October 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
37947	We recommend that the Business Continuity Plan, Disaster Recovery Plan and Incident Management Process when next updated, action taken to ensure complete and reflect the current management structure of the Council's ICT service, including contact details.	2	Outstanding	31-Mar-19	31-Mar-20	Operations and Transitions Manager	Update of the Business Continuity Plan is complete. Update of the ICT Incident Management process will be complete by end of July 2019. The ICT DR plan will be reviewed/updated during 2019/20 as budget for this is now available in the ICT 2019/20 capital budget.

Strategic Procurement - Acting Head of Service Greg Lewis

Contract Management (Audit Report Issued 25th January 2017)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
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37117	We recommend that the revised Contract Management Framework and its supporting toolkit is formally 'relaunched' via a corporate-wide communication to ensure all are aware of it and the requirement to comply. Support documentation on the Framework and Toolkit should be readily available to all Contract Managers.	3	Outstanding	31-Mar-18	31-Oct-18	SRM & Contracts Management Specialist	Response not yet received.
37318	We recommend that the Strategic Procurement Team consider utilising the Contract Leads to promote and share Contract Management Framework information, and to monitor a contracts progress towards adoption of the Framework.	3	Outstanding	28-Feb-18	31-Oct-18	SRM & Contracts Management Specialist	Response not yet received.

Legal Services - Head of Service Frank Cain

Corporate Complaints (Audit Report Issued 2nd July 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
38485	We recommend that a policy is introduced/ implemented that informs all staff of the processes and procedures for dealing with a complaint, including guidance on when to pass the complaint to the Corporate Complaints Team.	3	Outstanding	02-Jan-19		Public Law & Compliance Manager	Response not yet received.

38659	We recommend that all Council staff are trained in the corporate complaints process, the information that may be required of them, the timescales involved and the importance of sticking to these timescales.	3	Outstanding	02-Jan-19		Public Law & Compliance Manager	Response not yet received.
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Whistleblowing Arrangements (Audit Report Issued 31st October 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
38451	<p>We recommend that the Whistleblowing Policy:</p> <ul style="list-style-type: none"> • Is updated to replace 'You've told me you'll investigate – what happens next' with 'How the Council will respond' and a flow diagram. • Is reviewed to ensure that it reflects current systems, processes and job titles in relation to whistleblowing; • Receives approval; and, • The updated and approved Policy made accessible to staff on the internet and intranet. 	3	Outstanding	31-Mar-19		Team Leader (Public Law and Compliance)	Response not yet received.

38452	We recommend that: <ul style="list-style-type: none"> • That the telephone number on the Council's internet webpage 'How to blow the whistle internally' is replaced with a direct hotline number for the Public law and Compliance team. • That Customer Services are directed to update their whistleblowing scripts to reflect that a call received from a whistleblower should be put straight through to the Public Law and Compliance team. 	3	Outstanding	31-Mar-19		Team Leader (Public law and compliance)	Response not yet received.
38625	We recommend that whistleblowing awareness is raised across the Council either through training or via the Intranet, induction etc.	3	Outstanding	31-Mar-19		Team Leader (Public law and Compliance)	Response not yet received.
38626	We recommend that an overview of the whistleblowing disclosures received and the actions taken is at least annually to the Council's Standards Committee.	3	Outstanding	31-Mar-19		Team Leader (Public law and Compliance)	Response not yet received.

Officers Declarations of Interests, Gifts and Hospitality (Audit Report Issued 31st October 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
36283	We recommend that declaring potential conflicts of interests, gifts & hospitality is covered during induction training for all staff.	3	Outstanding	31-Mar-19		Head of Legal Services	Response not yet received. However, currently undergoing a Follow Up Audit Review.

36284	We recommend that there is a formal process of regular communication to remind staff and managers of the need to record potential conflicts of interest and the offering/acceptance of gifts & hospitality.	3	Outstanding	31-Mar-19		Head of Legal Services	Response not yet received. However, currently undergoing a Follow Up Audit Review.
36285	We recommend that Close Personal Relationships should be reported through the online register of interests. Policy and guidance should be updated accordingly.	3	Outstanding	31-Mar-19		Head of Legal Services	Response not yet received. However, currently undergoing a Follow Up Audit Review.
36286	We recommend that assessment procedures should include an email to the manager to advise when a potential conflict of interest has been registered.	3	Outstanding	31-Mar-19		Head of Legal Services	Response not yet received. However, currently undergoing a Follow Up Audit Review.
36287	We recommend that the compliance team develop procedures to advise managers which members of their team have a current active declaration. This could be via an annual email or perhaps via a flag on a SAP/ HR record.	3	Outstanding	31-Mar-19		Head of Legal Services	Response not yet received. However, currently undergoing a Follow Up Audit Review.
36288	We recommend that the Managers are provided with guidance on how they can find out about existing declarations of interest.	3	Outstanding	31-Mar-19		Head of Legal Services	Response not yet received. However, currently undergoing a Follow Up Audit Review.

36289	We recommend that archive policies and procedures should be developed. Consideration should be given to length of time to keep records of former officers and any records that are no longer current/accurate.	3	Outstanding	31-Mar-19		Head of Legal Services	Response not yet received. However, currently undergoing a Follow Up Audit Review.
36290	We recommend that procedures are put in place to ensure the register entries is kept current.	3	Outstanding	31-Mar-19		Head of Legal Services	Response not yet received. However, currently undergoing a Follow Up Audit Review.
36385	We recommend that guidance should be updated to include advice on the level of detail that should be included and of any mandatory information (such as estimated value and date hospitality received). It could also advise a minimum threshold for a declaration.	3	Outstanding	31-Mar-19		Head of Legal Services	Response not yet received. However, currently undergoing a Follow Up Audit Review.

Payroll & Business Development - Head of Service Steve Perry							
Staff Travel & Expenses (Audit Report Issued 29th January 2018)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

36766	We recommend that procedures for ensuring all staff, who use their own vehicles for Council business, have business use car insurance cover, valid MOT and full driving licence are reviewed and updated.	3	Outstanding	20-Dec-18	20-Apr-20	HR & Insight Manager	There is an ongoing review of SAP which has been progressing since January, the scope of which includes this type of functionality within an updated or new ERP system. As such we have suspended discussions with the suppliers until the direction of travel and timescales for the SAP review become clear. Should the outcome of the SAP review not include functionality relating to grey fleet/driver management, fleet services have been discussion provision of a service with an
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Housing Operations - Head of Service Nicole Smith							
Homelessness Reduction Act (Audit Report Issued 10th December 2018)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
39589	We recommend that the Council's new Homelessness Strategy is progressed to completion, members' approval and publication as a priority to comply with legislative requirements.	2	Outstanding	31-Mar-19	31-Oct-19	Head of Housing Operations	Not yet implemented – currently at the formal consultation phase. A new implementation date of 31st October 2019 has been set.

Strategic Assets & Facilities Management - Head of Service Nick Darbyshire							
Maintenance of Property (Audit Report Issued 10th December 2018)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

39099	We recommend that Facilities Management continue to investigate the functionality of the Concerto system application to ensure that property maintenance expenditure is measured against the relevant budget to ensure accurate monitoring and management information and also value for money to be achieved.	3	Outstanding	01-Oct-18		Asset Portfolio Manager	Response not yet received.
39100	We recommend that Facilities Management continues to consider and draft the risks associated with managing the property maintenance contract and that these are finalised, agreed and documented in the Council's Risk Register.	3	Outstanding	06-Apr-19		Asset Portfolio Manager	Response not yet received.

39101	<p>We recommend that Facilities Management ensure they meet their contractual obligation to monitor all key performance indicators of each property maintenance contract to achieve good performance, value for money and good satisfaction from stakeholders. Key performance indicators that are not monitored should be reviewed to consider their application, replacement or deletion from the contractual agreement. The Procurement guidance on Contract Management should be finalised and made available on the relevant section of the intranet.</p>	2	Outstanding	06-Dec-18		Facilities Management Delivery Manager	Response not yet received.
39102	<p>We recommend that Facilities Management review and improve the records of monthly meetings with the contractor to provide a fuller account of discussions and an assessment of their overall satisfaction with the way the contract is operating. As a minimum, the spreadsheet should be saved for each month and a new record created for each new meeting to allow an appropriate audit trail.</p>	3	Outstanding	06-Apr-19		Facilities Management Delivery Manager	Response not yet received.

39103	We recommend that the Council should ensure that sufficient due diligence has been completed to satisfy themselves that Kier have appropriate contracts in place with their subcontractors to reduce the level of risk the Council are exposed to in the event of any adverse	3	Outstanding	06-Apr-19		Facilities Management Delivery Manager	Response not yet received.
39131	We recommend that Facilities Management ensure that Kier Services meet their contractual responsibility to pay the subcontractors they engage within the required 30 days of the invoice date.	2	Outstanding	06-Apr-19		Facilities Management Delivery Manager	Response not yet received.

Corporate Assurance & Programmes - Head of Service Liz Creedy

Programme Management Framework (Audit Report Issued 28th October 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
38028	We recommend that the format of the 'Corporate' programmes report is updated to clearly distinguish between programme office data and other data and to provide brief updates from non-Programme office programmes reported at status Amber or Red.	3	Outstanding	31-Dec-18		Head of Programme Office	Response not yet received.

Digital Transformation & IT - Interim Director Paul Day

Digital Transformation Programme (Audit Report Issued 5th April 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
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40981	We recommend that the Interim Director: Digital Transformation & IT creates a mechanism for ensuring that risks identified at programme level are fed into the wider corporate risk management framework. Open dialogue between the responsible officers is maintained throughout the life of the programme.	2	Outstanding	31-May-19		Interim Director: Digital Transformation & IT	Response not yet received.
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Culture & Operational Change - Head of Service Julie Anderson-Hill

Taxi Licensing (Audit Report Issued 8th November 2017)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
36481	We recommend that the Compliance Team review their processing of DBS applications to ensure it is efficient for the applicant and the service whilst according, accurately with Government guidance and will consider providing a clear statement on what documents will only be accepted as proof of identity.	3	Outstanding	31-Mar-18		Fleet Services Manager.	Response not yet received.
36483	We recommend that the Compliance Team periodically check on the Internet and in local press and business directories to see who is advertising a taxi service in the Wiltshire area to ensure licensed and if not investigate further.	3	Outstanding	30-Nov-17		Fleet Services Manager.	Response not yet received.

36485	We recommend that the Compliance Team assess the risk of drivers continuing to use out of date vehicle licence plates and consider taking appropriate action to support its literal message and exercises the Council's authority to pre-empt complacency	3	Outstanding	31-Mar-18		Fleet Services Manager.	Response not yet received.
36486	We recommend that the Compliance Team investigate whether the M3 system functionality can be “switched on” to generate sequential reference numbers for taxi driver and vehicle licenses distinct from other licenses to provide a much clearer audit trail.	3	Outstanding	31-Mar-18		Fleet Services Manager.	Response not yet received.
36487	We recommend that a separation of duties is planned between the officer issuing and the officer authorising licences to ensure all licenses issued are appropriate and have followed a consistent applications assessment process.	3	Outstanding	31-Mar-18		Fleet Services Manager.	Response not yet received.
36489	We recommed that a M3 Super User will be identified/allocated to manage and control user access to the taxi licensing data resulting in access being restricted to current staff in the Fleet Compliance Team on a needs basis.	3	Outstanding	31-Mar-18		Fleet Services Manager.	Response not yet received.

36606	We recommend that the Compliance Team ensure records in the M3 system application are complete and maintained up to date in relation to: <ul style="list-style-type: none"> • confirming driving licence holders have been DVLA driving licence checked; and, • vehicles have current motor insurance cover. 	3	Outstanding	31-Mar-18		Fleet Services Manager.	Response not yet received.
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Passenger Transport - Head of Service Jason Salter

Taxi Licensing (Audit Report Issued 8th October 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
39374	We recommend that management resources are identified to carry out the periodic monitoring of contracts to ensure adequate performance during the contract term, including best value reviews.	2	Outstanding	28-Feb-19	30-Sep-19	Head of Passenger Transport	The post will be created as part of the review of PTU and implemented by September 2019.

Wiltshire Council Outstanding Recommendations 30.05.19

Schools

Data revision date: 30 May 2019

Strategic Assets & Facilities Management - Head of Service ????

Amesbury CE VC Primary School (Audit Report Issued 10th May 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date
38299	We recommend that all staff with financial management responsibilities should complete the SFVS financial competencies matrix.	3	Outstanding	01-Sep-18
38318	We recommend that the school complete a Business Continuity Plan, and this is approved/adopted by the Full Governing Body.	3	Outstanding	30-Jun-18

Strategic Assets & Facilities Management - Head of Service ????

Clarendon Juniors (Audit Report Issued 10th May 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date
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Management of schools

Reference	Description	Priority	Status	Implementation
38686	We recommend that all Governors complete an up-to-date financial management competencies self-evaluation and that these are used to ensure there is sufficient financial knowledge within the Governing Body.	3	Outstanding	31-Jul-18

38712	We recommend that the Business & Resource committee's terms of reference is reviewed to ensure it is accurately reflects practice and that it is formally approved by the Full Governing Board.	3	Outstanding	12-Jul-18
38717	We recommend that the Finance Manual is updated revised and approved to be in line with current practices.	2	Outstanding	30-Sep-18
38718	We recommend that the Whistleblowing Policy is updated to include named contacts and that all Staff and Governors are aware of it and have access to it.	3	Outstanding	30-Sep-18
38720	We recommend that the school adopt a Business Continuity Plan that is formally approved by all Governors.	2	Outstanding	31-Dec-18

38737	We recommend that the amount of uncommitted reserves is reviewed and a plan is put in place considering the best use of these.	3	Outstanding	30-Jun-18
38738	We recommend that all staff with financial competencies complete a self-evaluation upon beginning a role and that this is used to ensure an adequate level of financial expertise.	3	Outstanding	12-Jul-18
38741	We recommend that the School Business Manager & Head Teacher monitor budgets at least monthly and that any deviations from the budget are reported to the Governing Body.	3	Outstanding	06-Jul-18
38742	We recommend that the Finance Manual is updated to include requirements on the number of quotations needed and is approved by Governors.	3	Outstanding	12-Jul-18
38743	We recommend that the whistleblowing policy is update to include names contacts and is accessible by all staff and Governors.	3	Outstanding	12-Jul-18

38744	We recommend that the Business Continuity Plan is updated and formally adopted by Governors.	3	Outstanding	12-Jul-18
38805	We recommend that the Terms of Reference for the Resources Committee is amended and formally approved by the Full Governing Body.	3	Outstanding	31-Dec-18
38810	We recommend that Financial Management Competency Self-Evaluations are completed for all staff with financial responsibilities and that these are used to identify any gaps in knowledge and inform training to ensure adequate competencies exists.	3	Outstanding	31-Dec-18
38811	We recommend that the Head Teacher and the School Business Manager review the budget of all accounts on at least a monthly basis once established and approved and that this is recorded.	3	Outstanding	31-Dec-18
38814	We recommend that the School reviews their policy on the number of quotations required when making new purchases and uses these when reviewing on-going expenditure as well as new expenditure.	3	Outstanding	30-Nov-18
38815	We recommend that the levels of authority in relation to expenditure are reviewed and approved by the Governing Body.	3	Outstanding	31-Dec-18
38836	We recommend that the School create and adopt a Business Continuity Plan	3	Outstanding	31-Mar-19

38877	We recommend that the Scheme of Delegation is reviewed to ensure delegated levels are adhered to and that it is formally approved by Governors.	3	Outstanding	31-Oct-18
39041	We recommend that the School consistently use the CES Application form, ensuring completed ones are retained in staff personnel files upon appointment.	3	Outstanding	31-Dec-18
39044	We recommend that interview panel notes are completed for all interviews and copies retained in personnel files for successful candidates for an appropriately identified retention period and for six months for unsuccessful candidates in line with guidance.	3	Outstanding	30-Nov-18
39045	We recommend that the Spreadsheet currently used to record SFVS returns as they are submitted is maintained and kept up-to-date with a received date and an acknowledged date for each school.	3	Outstanding	21-Dec-18
39047	We recommend that paper copies of documents collected as part of the recruitment process are removed from personnel files and stored on the Single Central Record.	3	Outstanding	30-Nov-18

39050	We recommend that Staffing Minutes are written to reflect discussions that occur around all staffing decisions.	3	Outstanding	30-Nov-18
39051	We recommend that pay scales are reviewed to ensure they are consistently applied and all new vacancies reflect these levels.	3	Outstanding	30-Nov-18
39053	It has been agreed that all forms are reviewed when received to ensure they are complete, readable and signed.	3	Outstanding	21-Dec-18
39167	It has been agreed that when the new guidance is released by the DfE the requirements to be dissemination to schools for greater awareness, in particular the review and signing.	3	Outstanding	29-Mar-19
39180	We recommend that all staff with financial management complete an self-evaluation competencies matrix.	3	Outstanding	31-Dec-18

39198	<p>It has been agreed that SFVS returns are shared with the Internal Audit team, by the Accounting and Budget Support Team. The returns will then be collated and filed for analysis by SWAP Internal Audit to assist in informing the Internal Audit program for schools for the year.</p>	3	Outstanding	31-May-19
39199	<p>It has been agreed that schools are reminded to complete Section E of SFVS returns and reminded of the guidance issued by the Department of Education on how to record these including timescales and accountability.</p>	3	Outstanding	21-Dec-18
40019	<p>We recommend that schools ensure they have an appropriate Freedom of Information Publication Scheme available from their website.</p>	3	Outstanding	31-Mar-19

40020	We recommend that schools ensure they have up to date Privacy Notices displayed on their website that are in accordance with the examples published by the DfE which are available on their website	3	Outstanding	31-Mar-19
40021	We recommend that schools ensure they have appropriate Data Sharing Agreements in place with all organisations with who they share data.	3	Outstanding	31-Mar-19
40022	That schools ensure they have appointed an e-safety lead who has the relevant knowledge and understanding to undertake the role.	3	Outstanding	31-Mar-19
40023	We recommend that schools ensure they have an up to date Data Protection Registration and that a suitable reminder to renew the registration has been set. Schools should be aware that the renewal of a Data Protection Registration has been the subject of a number of scams in recent times and that their renewal should be carried out directly with the Information Commissioners Office.	3	Outstanding	31-Mar-19

40024	We recommend that schools ensure they have an appropriate Anti-Virus software solution in place and running for all IT devices including desktops and laptops.	3	Outstanding	31-Mar-19
40025	We recommend that schools ensure they have proper encryption features are enabled on all PCs, tablets where available portable storage devices.	3	Outstanding	31-Mar-19
40026	We recommend that the access rights held by staff should be documented and periodically reviewed to ensure they remain appropriate.	3	Outstanding	31-Mar-19
40028	We recommend that all staff should have their own individual Admin Password if required. Ideally the Admin Password should be separate for the day to day password they use to perform their normal duties.	3	Outstanding	31-Mar-19

40029	We recommend that schools who use CCTV systems as an additional layer of security should review the Surveillance guidelines available on the ICO website, to ensure they are compliant with the recently introduced General Data Protection Regulations and the Data Protection Act 2018.	3	Outstanding	31-Mar-19
40030	We recommend that schools should ensure that computer screens are locked when the machine is not in use and that the automatic lock function is set to operate after an appropriate period of time.	3	Outstanding	31-Mar-19
40031	That access to school servers should be limited to a small number of individuals with the appropriate level of authority.	3	Outstanding	31-Mar-19
40032	We Recommend that all major hardware items should be appropriately marked to denote them as the property of the school.	3	Outstanding	31-Mar-19

40033	We recommend that any external hard drive/s used as part of the school's data backup solution should be encrypted to prevent unauthorised access to the file contents.	3	Outstanding	31-Mar-19
40034	We recommend that the recovery of data from a back-up should be periodically tested in order to ensure a timely and complete recovery should an incident occur.	3	Outstanding	31-Mar-19
40035	We recommend that schools should periodically review their Business Continuity Plan including the IT recovery strategy, to ensure they remain up to date and relevant to the current situation of the school.	3	Outstanding	31-Mar-19
40036	We recommend that senior school staff should periodically monitor filtering logs to ensure that the school's IT network is being used appropriately by both pupils and staff.	3	Outstanding	31-Mar-19
40037	We recommend that notes made by the Interviewing Panel are retained on personnel files.	3	Outstanding	31-Mar-19

40038	We recommend that Schools use a checklist to ensure that all relevant recruitment documents are present and complete.	3	Outstanding	31-Mar-19
40039	We recommend that copies of identity (and right to work) documents for each successful applicant are retained on personnel files.	3	Outstanding	31-Mar-19
40040	We recommend that originals or copies of DBS check certificates are not retained on the personnel file but are handed back to the individual or securely destroyed.	3	Outstanding	31-Mar-19
40041	We recommend that Medical Forms/checks are completed and retained on the personnel files at the time of appointment.	3	Outstanding	31-Mar-19
40042	We recommend that all personnel files are reviewed on an annual basis to ensure that time expired documents and other material is removed if there is no legal duty to retain such information.	3	Outstanding	31-Mar-19
40044	We recommend that recruitment records for unsuccessful applicants are destroyed no more than 6 months after the recruitment exercise has been completed.	3	Outstanding	31-Mar-19

40045	We recommend that the Head Teacher reviews and signs the monthly payroll reports to confirm it has been checked for accuracy.	3	Outstanding	31-Mar-19
40046	We recommend that the Head Teacher reviews and signs the monthly overtime/additional payment reports to confirm it has been checked for accuracy.	3	Outstanding	31-Mar-19
40114	That the School produces and maintains an Asset Register. This should be used to check against the physical items at least once a year.	3	Outstanding	30-Apr-19
40126	Members of the Governing Body self-assess their financial competency to ensure there is sufficient financial management expertise for effective decision making. Further, that any potential weaknesses both now and in the future are identified and addressed with appropriate training.	3	Outstanding	31-Dec-18
40127	That the Scheme of Delegation is adapted to show delegated approval of the budget to the Full Governing Body as per the Wiltshire Scheme. Approval of the annual budget by the Full Governing Body will be formally noted in meeting minutes to ensure appropriate oversight and approval is recorded.	3	Outstanding	30-Apr-19

40128	The business interest of all staff with financial responsibility are recorded in a register to ensure conflicts of interest are disclosed and that these conflicts are considered when financial decisions are made.	3	Outstanding	31-Dec-18
40157	We recommend the School completes its School Emergency Response Plan and makes it available to all staff as soon as possible so it is ready to use in an emergency.	3	Outstanding	30-Apr-19
40193	The School should maintain an up to date Asset Register. This should be used to check against the physical items at least once a year.	3	Outstanding	05-Apr-19
40207	The Finance and Premises Committee are going to ensure the Benchmarking exercise is carried out to completion, as described in the SFVS Guidance Notes.	3	Outstanding	31-Jan-19
40217	The School should ensure the Finance and Premises sub-Committee has Terms of Reference to document the sub-Committee's responsibilities and these are made available to all Governors.	3	Outstanding	24-Jan-19

40218	<p>The School should ensure that: Prior approval from the Governing Body (or Committee where delegated) is obtained for all expenditure above a predetermined limit; Three written quotes are obtained for all expenditure above a predetermined limit, unless it is impracticable to do so. In such circumstances, the reasons for not doing so should be reported to the Governing Body; Where a quotation other than the lowest is accepted, the reasons for this decision are reported to the Governing Body and included in the minutes of the relevant meeting; and, The Governing Body establish a tendering policy in accordance with Financial Regulations - see s3.3.2 Wiltshire Schools Finance Manual.</p>	3	Outstanding	05-Apr-19
40219	<p>Official, pre-numbered orders should be used, and these should be signed by the Headteacher to approve the financial commitment from the School's budget.</p>	3	Outstanding	21-Dec-18
40220	<p>Requests to make a purchase using the School's Business Charge Card should be presented to the Headteacher to sign as approved before the card is used.</p>	3	Outstanding	21-Dec-18
40221	<p>The School should account for the source of all income to ensure all monies collected on site are banked in full. The member of Staff receiving the money in the first place should record enough details before it is added to other cash collections to provide an adequate audit trail.</p>	3	Outstanding	01-Dec-18

40292	The Governing Body has some awareness of the financial skills of the Governors, but all Governors should complete the SFVS financial skills competency self-evaluations to ensure that the Governing Body has the necessary financial knowledge as a whole to perform its role and addresses any identified weaknesses.	3	Outstanding	31-Dec-18
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40294	All staff with financial responsibility should complete a financial competency self-evaluation immediately to ensure any weaknesses are identified and can be addressed. The School should also put in place a contingency plan for financial staff absence.	3	Outstanding	31-Mar-19
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40295	We recommend that Governors review recent Benchmarking data against comparable schools and determine whether there is scope for improvement. Should savings or financial advantages be identified the School should produce an action plan to achieve these. This exercise should be performed annually going forward.	3	Outstanding	31-Mar-19
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40311	The Financial Procedures Policy should be followed in full to ensure all claims and payments are appropriately documented, authorised and show clear segregation of duties.	2	Outstanding	31-Jan-19
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40312	<p>The School needs to develop and adopt a Business Continuity Plan immediately to ensure that it can effectively respond to any disruptive incidents as quickly as possible.</p>	3	Outstanding	31-Dec-18
40318	<p>To demonstrate the level of the Governors involvement in ensuring that the School's finances keep to the planned budget, the Governors meeting minutes should provide the following detail:</p> <ul style="list-style-type: none"> • Clear reference to supporting reports presented; • Discussion of any anomalies identified from reporting; • Clear statement of the current balance / financial position; and, • Governors approval, or otherwise of the reported position. 	3	Outstanding	24-Jan-19
40350	<p>The School should further develop the Asset Register and use this to check against the physical items on site on at least an annual basis.</p>	3	Outstanding	31-Jan-19

40361	Occupational Health and Safety and Strategic Asset and Facilities Management should determine how best they can work together to ensure there is a robust system in place for monitoring and addressing remedial actions, to reduce duplication and optimise the use of limited resources. The Health, Safety and Welfare Policy Statement for Schools needs to be revised to clarify the responsibilities of each function within the Council involved in the Health and Safety of Schools including who ultimately acts as the "Competent Person".	2	Outstanding	31-Mar-19
40670	We recommend conflicts of Interest and declaration of business Interests to be a standing agenda item for all governance meetings. All conflicts of interest should have a clear and transparent plan in place to manage.	2	Outstanding	30-Apr-19
40895	We recommend that it is clearly minuted when a document is approved at a committee meeting, particularly key documents such as the Budget Template.	3	Outstanding	29-Mar-19
40908	We recommend that the whistleblowing policy is reviewed and updated as necessary to include the addition of contact details and to be placed in an easily accessible location by all staff.	3	Outstanding	29-Apr-19

41053	<p>We recommend that the whistleblowing policy is reviewed and approved as soon as possible. It should then be uploaded on to the schools website so it can be easily accessed by interested parties.</p>	3	Outstanding	31-May-19
41064	<p>We recommend that Governors seek advice on best practice employment processes and amend the existing Safer Recruitment policy to reflect this.</p>	3	Outstanding	30-Nov-18

Revised Target Date	Responsible Officer	Management Response / Update

Head Teacher
& School
Business
Manager

Head Teacher/
School
Business
Manager/
Chair of
Governors

Revised Target Date	Responsible Officer	Management Response / Update

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Revised End Date	Responsible Officer	Management Responses
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Fearon, Louise 20/06/2018
FO Response:

Clerk to
Governors

"All Governors to complete an up-to-date Financial Competencies Self evaluation."

Fearon, Louise 31/05/2018
SBM Response:

Chair B&R

"Review and update B&R's Terms of Reference. Formally adopt at next FGB committee meeting."

Fearon, Louise 20/06/2018
FO Response:

"HT / FO to review/revise add to agenda for formal approval."

02-May-19

HT/FO

Fearon, Louise 10/04/2019
Overdue recommendation followed up on 10/04/19

Fearon, Louise 16/04/2019
Response from SBM:

"Revision to Governors meeting 02/05/2019"

HT/FO

Fearon, Louise 20/06/2018
FO Response:

"Update & make readily available to Staff/Visitors."

Fearon, Louise 20/06/2018
FO Response:

"Adopt a BCP & bring to Governors for approval."

02-May-19

HT / Clerk /
Governors

Fearon, Louise 10/04/2019
Overdue recommendation followed up on 10/04/19

Fearon, Louise 16/04/2019
Response from SBM:

"Approval request to Governors meeting 02/05/2019."

Fearon, Louise 31/05/2018
SBM Response:
Head
Teacher/B&R Ctte "The Headteacher and SBM will work on different scenarios. The Headteacher will consider uncommitted reserves when writing the improvement plan."

Fearon, Louise 31/05/2018
SBM Response:
SBM "Ensure All staff with a financial role complete a Financial Competency self-evaluation on starting work at school and annually thereafter."

Fearon, Louise 31/05/2018
SBM Response:
SBM/Head
Teacher "Arrange a monthly (2nd Thursday) meeting after payroll has been reconciled and posted on to the system for the Headteacher and the SBM to monitor the budget. Create a top sheet to show what has been looked at, anomalies etc. SBM to use the same report each month."

Fearon, Louise 31/05/2018
SBM Response:
SBM "SBM to update the Finance Manual to include amounts of quotes to be sought."

Fearon, Louise 31/05/2018
SBM Response:
Chair of B&R "Update the Whistleblowing policy with named governor and contact telephone number after permission sought. Publish in Governors private area of website and publish to staff."

Fearon, Louise 31/05/2018

SBM Response:

SBM "The Emergency Plan and BCP to be presented, approved and adopted by the Governing Body."

Jenkins, Pat 05/11/2018

School Business Manager Response to Draft Report - 31/10/18 Strategic Financial Support Mgr. (GD): To be actioned by the new School Business Manager.

Jenkins, Pat 05/11/2018

School Business Manager Response to Draft Report - 31/10/18 Strategic Financial Support Mgr. (GD): All office staff have changed during the summer of 2018. New Finance Officer recruited, School Business Manager and Admin assistant responsible for the financial running of the school.

Jenkins, Pat 05/11/2018

School Business Manager Response to Draft Report - 31/10/18 Strategic Financial Support Mgr. (GD): Process to be adopted by the school and be presented to either the Governing Body or Interim Executive Board.

Jenkins, Pat 05/11/2018

School Business Manager. Strategic Financial Support Mgr. (GD): To be actioned by new School Business Manager immediately when commences with Finance Officer.

Head Teacher and School Business Manager Jenkins, Pat 05/11/2018 Strategic Financial Support Mgr. (GD): New Finance Manual will include level of authority,

Jenkins, Pat 05/11/2018

School Business Manager Response to Draft Report - 31/10/18 Strategic Financial Support Mgr. (GD): To be addressed by the new School Business Manager

Fearon, Louise 22/06/2018

SBM Response:

FGB "The scheme of delegation will be reviewed and formally approved at the first FGB meeting of the new academic year."

School Business Manager
Jenkins, Pat 05/11/2018
Response to Draft Report - 31/10/18
Strategic Financial Support Mgr.
(GD): Agreed going forward

School Business Manager
Jenkins, Pat 05/11/2018
Response to Draft Report - 31/10/18
Strategic Financial Support Mgr.
(GD): To be actioned by School Business Manager

School Strategic Financial Management Adviser
Fearon, Louise 18/09/2018
Response from Schools Strategic Financial Support Manager:
"Agreed. Due to a change in personnel in the team for 2017-18, different staff were involved in the process and training will be provided for the 2018-19 returns. Hazel Ryan will be providing training for Sasha Bryant, the newly appointed member of the team to undertake this task."

School Business Manager
Jenkins, Pat 05/11/2018
Response to Draft Report - 31/10/18
Strategic Financial Support Mgr.
(GD): To be actioned by School Business Manager

Jenkins, Pat 05/11/2018
School Business Manager Response to Draft Report - 31/10/18
Strategic Financial Support Mgr.
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Jenkins, Pat 05/11/2018
School Business Manager Response to Draft Report - 31/10/18
Strategic Financial Support Mgr.
(GD): To be actioned by School Business Manager

Fearon, Louise 18/09/2018
Response from Grant Davis, Schools Strategic Financial Support Manager:
School Strategic Financial Management Adviser "Agreed. Due to a change in personnel in the team for 2017-18, different staff were involved in the process and training will be provided for the 2018-19 returns. Hazel Ryan will be providing training for Sasha Bryant, the newly appointed member of the team to undertake this task."

Schools Strategic Financial Support Manager/School Strategic Financial Management Adviser Fearon, Louise 18/09/2018
Response from Schools Strategic Financial Support Manager:
"Yes, this will be made available through Right Choice and also raised at Primary Heads Forum and Wiltshire Association of Secondary and Special Schools."

Fearon, Louise 10/11/2018
Response from SBM:
SBM "Staff evaluation with be completed by December 2018, once budget building for FY 2019/20 is completed and those with FY responsibilities have been identified."

Fearon, Louise 28/09/2018
Response from Grant Davis, Schools
Strategic Financial Support Manager:

Schools
Strategic
Financial
Management
Adviser

"The SFVS is a self-assessment tool where schools benchmark themselves against the standard. Previous attempts at using a traffic light system to analyse the results and inform the audit team have proved fruitless, ie a school answering 'Yes' to all of the questions would show as 'Green' but doesn't necessarily mean that they have fulfilled the standard.

As it is a self-assessment, schools are completing the return subjectively.

The SFVS Guidance for 2018-19 states;

- If the answer is Yes, the comments column can be used to indicate the main evidence on which the

School
Strategic
Financial
Management
Adviser

Fearon, Louise 18/09/2018
Response from Schools Strategic
Financial Support Manager:

"Yes, will be included on all letters and communications with schools."

Head of
Performance
Management
and
Information

Jenkins, Pat 05/11/2018
Lynda Cox Head of Performance
Management and Information
response: Agreed to facilitate
communicating to all schools
reminding them of good practice in
the area and the benefits. This can
be via Right Choice website and
SWAP Team to provide support in
drafting.

Head of Performance Management and Information
Jenkins, Pat 05/11/2018
Lynda Cox Head of Performance Management and Information
response: Agreed to facilitate communicating to all schools reminding them of good practice in the area and the benefits. This can be via Right Choice website and SWAP Team to provide support in drafting.

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Head of HR Operations
Jenkins, Pat 05/11/2018
Result of conversation between SWAP AD, IW, and HR Operations Manager, JM, Agreed to facilitate communicating to all schools and a self -assessment. SWAP Team to provide support in preparing.

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Jenkins, Pat 05/11/2018
Result of conversation between
SWAP AD, IW, and HR Operations
Manager, JM: Agreed to facilitate
communicating to all schools and a
self -assessment. SWAP Team to
provide support in preparing.

Jenkins, Pat 05/11/2018
Result of conversation between
SWAP AD, IW, and HR Operations
Manager, JM: Agreed to facilitate
communicating to all schools and a
self -assessment. SWAP Team to
provide support in preparing.

Adlam, Andrew 04/02/2019
Action agreed for Final Report: An
asset register will be created and a
diary note to check annually. This
will be undertaken by a parent
volunteer. R/O is the Head Teacher
to be implemented by 30.04.19.

Fearon, Louise 27/11/2018
SBM Response:
SBM,
Clerk to
Governors "All members of the Governing Body
to complete the SFVS financial skills
document. Clerk to ensure that
governor training matrix is up to date
and available to School Business
Manager."

Fearon, Louise 27/11/2018
SBM Response:
Clerk to
Governors "Scheme of delegation to be
reviewed and approved at next
meeting."

Fearon, Louise 27/11/2018

SBM response:

Clerk to
Governors

"Business interest document to be updated and distributed to all budget holders and staff with financial responsibilities."

Adlam, Andrew 04/02/2019

Chair of
Governors

Action agreed for Final Report: To be reviewed and agreed by FGB. R/O = Chair of Governors. TO implement by 30.04.19

Assistant
Headteacher

Adlam, Andrew 19/12/2018

Agreed Action in Draft Report: Asset register is updated.

Headteacher /
Chair of
Governors.

Adlam, Andrew 19/12/2018

Agreed Action in Draft Report: Benchmarking to take place between headteacher and chair of governors then findings discussed at the finance and premises sub-committee. An action plan is written and reviewed at subsequent sub-committee meetings.

Headteacher.

Adlam, Andrew 19/12/2018

Agreed Action in Draft Report: Terms of Reference to be available at the next finance and premises sub-committee meeting.

Adlam, Andrew 19/12/2018
Agreed Action in Draft Report:
Approval is gained from the finance
and premises sub-committee/full
Headteacher / governors for expenditure over
SBM. £5000. Three quotes are gained or
reasons given for less than this.
Reasons given for not choosing the
lowest quote. A tendering policy is
established.

Adlam, Andrew 19/12/2018
Headteacher. Agreed Action in Draft Report:
Orders signed by the headteacher.

Adlam, Andrew 19/12/2018
Agreed Action in Draft Report:
Headteacher. Approval for using the Business
Charge Card to be given by the
headteacher.

Adlam, Andrew 19/12/2018
Agreed Action in Draft Report: Detail
SBM recorded for cash collection ensure
an adequate audit trail.

Fearon, Louise 06/12/2018

Finance Officer response:

Chair of
Governors

"Financial skills matrix for the governing body has been circulated and will be completed."

Fearon, Louise 06/12/2018

Finance Officer response:

Head Teacher

"Staff with financial responsibilities to complete the self-evaluation. A contingency plan will be written to ensure continuity due to illness of finance staff."

The Governors should review recent Benchmarking data against comparable schools and determine whether there is scope for improvement. Fearon, Louise 06/12/2018

Should savings or financial advantages be identified the School should produce an action plan to achieve these. Finance Officer response: "Head Teacher to benchmark and report back to Governing Body. Once a year in March."

This exercise should be performed annually going forward.

Fearon, Louise 06/12/2018
Finance Officer response:

"Financial procedures policy will be discussed again, to ensure procedures are in place to adhere to it and appropriately documented."

Chair of Governors Fearon, Louise 10/04/2019
Overdue recommendation followed up on 10/04/19

Fearon, Louise 10/05/2019
Response from SBM:

"Adopted FGB December 11th 2018."

Fearon, Louise 06/12/2018

Finance Officer response:

Head Teacher

"Business Continuity Plan to be drawn up."

Adlam, Andrew 19/12/2018

Agreed Action in Draft Report:

Chair of
Governors

Greater detail to be shown in minutes of governor meetings including questions over anomalies and approval of the reported position.

Fearon, Louise 06/12/2018

Finance Officer response:

Head Teacher

"A Fixed Asset checklist to be completed for each room in the school. IT Register to be maintained by IT Technician – this will be improved with greater detail."

30-Aug-19	Head of Occupational Health and Safety	<p>Fearon, Louise 15/01/2019 Response from Head of Occupational Health and Safety:</p> <p>"Respective managers to meet and review working arrangements and access to documentation records. Policy documents to be revised to reflect agreed arrangements and to more clearly identify respective roles and responsibilities."</p> <p>Fearon, Louise 10/04/2019 Overdue recommendation followed up on 10/04/19</p>
	Chair of Resources	<p>Costello, Gayle 07/05/2019 Declaration of conflicts of interest & declaration of business interests to be on every Resources committee agenda. New policies in place for Relationship Protocol and Pecuniary interests.</p>
	Headteacher	<p>Fearon, Louise 21/03/2019 SBM response:</p> <p>"Agree format of recording key decisions with Clerk and Chairs of Committees to ensure full and compliant audit trail is in place and that procedures are agreed for reporting to full governors."</p>
	School Business Manager	<p>Fearon, Louise 21/03/2019 SBM response:</p> <p>"Review and approve Whistleblowing Policy and update contact details. Place copy of updated policy in staff room. Place Whistleblowing Flowchart in staff room/staff toilets."</p>

Costello, Gayle 07/05/2019
We recommend that the
Whistleblowing Policy is reviewed
Headteacher and approved as soon as possible. It
should then be uploaded on to the
School's website so it can be easily
accessed by interested parties.

School Wilson, Charlotte 02/04/2019
Business To be actioned by School Business
Manager Manager