Wiltshire Council Outstanding Recommendations 27.09.19
Non Schools

Data revision date: 27 September 2019

Head of ICT

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
35553	It has been agreed that the ICT Disaster Recovery plan will be reviewed and updated following the restructure of the Council's ICT service.	2	Outstanding	31-Oct-17		Head of ICT	The Head of Service did not provide an updated response to the status of this reommendation.
35554	It has been agreed that in the absence of a live test of the whole Disaster Recovery Plan, a desk based exercise will 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	The Head of Service did not provide an updated response to the status of this reommendation.

Cyber Security (Audit Report Issued 31st October 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
37947	It has been agreed that when the Business Continuity Plan, Disaster Recovery Plan and Incident Management Process is next updated, action will be 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.

Director HR & OD

Staff Survey Action Plans (Audit Report Issued 21st September 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
39386	It has been agreed that the Council will consider corporately the purpose of the Staff Survey and issue clear guidance and support to enable directorates and teams to be able to analyse reports, create action plans, monitor and be able to complete them.	2	Outstanding	28-Jun-19		Corporate Directors (with support from HR Systems & Insight Manager and Director of HR & OD)	The Director did not provide an updated response to the status of this reommendation.

Head of Business Finance

Gross Loans (Audit Report Issued 18th June 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

41539	It has been agreed that the Council will provide further financial training to the Placements team to ensure journals are completed accurately.	2	Outstanding	25-Jun-19	31-Oct-19	Head of Business Finance	Journals will now be undertaken in Accountancy with full back up papers being supplied by the Placements Team. Further work will be undertaken with the Placements Team in October to ensure consistency in the preparation of back up documentation.
41541	It has been agreed that the Council will ensure that correct procedures are followed when invoicing a customer to ensure that the debt is appropriately accounted for in a timely manner and debt recovery procedures can be followed.	1	Outstanding	25-Jun-19	31-Oct-19	Head of Business Finance	Further work is required to ensure that all invoicing is up to date and that outstanding debts are taken forward into recovery.
41542	It has been agreed that the Placements Team will ensure that the documented procedure is followed and where exceptions to the procedures are identified this should escalated on a case by case basis for approval and this approval documented. Furthermore, approval levels relating to the decision not to invoice or to delay invoicing should be agreed and clearly documented.	2	Outstanding	25-Jun-19	31-Oct-19	Head of Business Finance	Team brief on this will be carried out in October to ensure that there is consistency.

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
41543	It has been agreed that the Placements Team will be trained to ensure they are competent in raising part credits to reduce balances on invoices. This will ensure that invoices are raised in a timely manner and that the debt is more likely to be recovered.	1	Outstanding	25-Jun-19	31-Oct-19	Head of Business Finance	This will be carried out as part of planned team brief in October.
41544	It has been agreed that monthly and year end reconciliations are carried out as part of a business as usual process in order to identify where activity is overdue and that this is documented as part of the process.	2	Outstanding	25-Jun-19	31-Oct-19	Head of Business Finance	Some work has been undertaken on the reconciliations to bring it up to date. This will complete in October and then undertaken monthly after that.

Traded Services Manager							
Traded Services with Schools (Audit Report Issued 6th March 2019)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
39704	It has been agreed that the Council will review the position of Traded Services with Schools and the roles and responsibilities of the service itself to ensure clear accountability & governance at all levels to include oversight, scrutiny and decision making.	2	Outstanding	31-Jul-19	01-Mar-20	Director of Education and Skills

Traded Services Manager | The roles and responsibilities within the team have been identified by the Traded Services Manager, evaluated by HR and agreed by Finance and the Director of Education and Skills. The Traded Services Task Group have been steering the direction of travel for Traded Services and have supported the ongoing and time-consuming negotiations to transfer the outdoor education centres to third-party providers.
The task group will continue through to Children Select Committee in January 2020 by which time a new governance structure will be created to include oversight, scrutiny and decision making. |

Head of Housing Operations

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	It has been agreed 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. |

Corporate Support Manager

Risk and Performance Management (Audit Report Issued 14th November 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
39940	It has been agreed that the Council will ensure that clear targets are listed against performance measures to allow performance to be substantiated and to assist the Council in making informed decisions.	2	Outstanding	30-Apr-19		Corporate Support Manager	The corporate approach has been that targeting is not always appropriate. This remains the case. The process of identifying and defining performance management allows for a calculated judgment of performance based on a verity of criteria and definable tolerances. The creation of the BIH will enable a new corporate performance framework will be developed alongside the outcomes-based business planning approach. This will include both the "what"; metrics to measure delivery of outcomes and outputs as well as the "how"; a common approach to guide the cycle of data-driven decision making.

Facilities Management Delivery Manager							
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
39101	It has been agreed that Facilities Management will 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.	2	Outstanding	06-Dec-18		Facilities Management Delivery Manager	The Manager did not provide an updated response to the status of this reommendation.
39131	It has been agreed that Facilities Management will 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	The Manager did not provide an updated response to the status of this reommendation.

Head of Pensions Administration and Relations

Pensions (Audit Report Issued 30th April 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
41019	It has been agreed that the Fund will liaise with the Information Governance team to help develop a plan to meet the GDPR requirements. The Fund needs to keep documented notes of the steps they are taking to meet the GDPR.	2	Outstanding	31-May-19		Head of Pensions Administration and Relations	Following internal discussion and liaison with our major software provider, we have produced a strategy which outlines in detail the approach we intend to take for data minimisation and retention (both for legacy and new data). Our initial approach includes a deal of pragmatism to ensure it is manageable and realistic with the intention this will evolve over time with developments in the functionality of Altair. We have now sent this to Andy Holyoake and are awaiting a response before we put the strategy into action.

Payroll and Business Development Manager

Payroll (Audit Report Issued 18th June 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
41236	It has been agreed that the Payroll & Business Development Manager will consider how the Council will ensure that Right to Work checks are completed and retained on file for all employees recruited prior to the new automated process coming into effect in order to demonstrate compliance with statutory requirements.	2	Outstanding	31-Jul-19	31-Mar-20	Talent and Resourcing Manager HR & OD	Following the recommendation we have scheduled a series of comms to our managers across the organisation to check and obtain a copy of the Right to Work for their team members which will be emailed to the recruitment team and uploaded into each employee's HR folder.

Director Digital Transformation and IT - Post Vacant

Digital Transformation (Audit Report Issued 5th April 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
40974	It has been agreed that the Interim Director: Digital Transformation & IT will ensure that the Corporate Business Continuity Plan is revisited in line with changes under the transformation programme.	2	Outstanding	30-Jun-19		Interim Director: Digital Transformation & IT	An update was requested from the Head of ICT, however, an updated response to the status of this recommendation was not received.
40975	It has been agreed that the Interim Director: Digital Transformation & IT will ensure that the ICT Disaster Recovery Plan is updated in line with changes under the transformation programme.	2	Outstanding	30-Jun-19		Interim Director: Digital Transformation & IT	An update was requested from the Head of ICT, however, an updated response to the status of this recommendation was not received.

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
40981	It has been agreed that the Interim Director: Digital Transformation & IT will create 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	An update was requested from the Head of ICT, however, an updated response to the status of this recommendation was not received.

Head of Strategic Assets and Facilities Management

Property Management - Third Party Income (Audit Report Issued 19th February 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

39960	It has been agreed that the Council will implement the Third-Party Charging Policy (and Approach to Asset Management) as a priority to ensure whilst still working within the principles of partnership, rental income is optimised. The Third-Party Charging Policy should include the decision process governing the letting of office space to ensure it is transparent, consistently applied and supports the reasons for any discounts or free lets applied. This should be complemented by a Corporate Concessionary Rent Policy, allowing the Council to be transparent in charging less than market charges.	2	Outstanding	30-Jun-19		Head of Strategic Asset & Facilities Management and Asset Manager, Estates & Asset Use, Strategic Assets & FM.	The Head of Service did not provide an updated response to the status of this reommendation.

Premises Health and Safety (Audit Report Issued 11th June 2019)

Unrestricted

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
41128	It has been agreed that the Council will ensure it is complying with corporate policy and health and safety regulations by committing greater resources into monitoring the completion of key safety tasks by Premises-Controlling Managers and by identifying persons to complete these tasks in shared occupancy premises. The Council should ensure that all arrangements are clearly documented to allow for easy identification of missing resources in the future and should consider the arrangements for filling these resource gaps, even if temporary, should they occur.	2	Outstanding	30-Sep-19		SA&FM Asset Portfolio Manager - Asset Condition	The Head of Service did not provide an updated response to the status of this reommendation.

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
41198	It has been agreed that all sites will have an identified person with responsibility to ensure key safety tasks, as set out in the corporate policy, are completed. Consideration should be made to ensuring that these tasks are clearly identified for each site and for training to be provided for the persons required to undertake them. Furthermore, an up to date list of all Responsible People should be maintained in order to be able to quickly and effectively send out relevant email communications.	2	Outstanding	30-Sep-19		SA&FM Asset Portfolio Manager - Asset Condition	The Head of Service did not provide an updated response to the status of this reommendation.

Head of Passenger Transport

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	It has been agreed that management resources will be 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.