

Recommendations Outstanding after 3 Months from Final Audit

Service Reviews

Assigned To	Final Report Issue Date	3 Months after Start Date	Age Analysis	Description	Priority	Unique Reference	Target Implementation Date	Current Position	Revised Response	Revised Implementation Date	RAG Rating Following Revised Actions	Action Owner
Car Parking Services												
WUC Head of Local Highway & Street Scene	02-Oct-14	Y	>120	I recommend that a tolerance level for the subscription of permits per zone be documented with proactive plans put in place both to prevent these levels being breached and in the event of a breach.	3	26400	30-Sep-15	Response from Interim Head of Service: 'In progress'.	Policy being drawn up which enables monitoring the amount of permits issued against amount of available kerb space.	30.6.2016		Parvis Khansari / Jo Pattison
Court of Protection												
WUC Head of Service	15-Dec-14	Y	>120	I recommend that all COP forms should be reviewed to ensure that they have been appropriately completed to avoid delays to obtain court orders.	3	26021	31-Dec-14	Follow up review scheduled for quarter 1 2016-17. Initial meeting to be held 25th April 2016.	Meeting to be held next week. Response to be provided following that.	TBA following meeting 25/4		James Cawley
WUC Head of Service	15-Dec-14	Y	>120	I recommend that further legal advice should be sought before the procedures have gone through the formal approval stages.	4	26160	15-Dec-14	Follow up review scheduled for quarter 1 2016-17. Initial meeting to be held 25th April 2016.	Meeting to be held next week. Response to be provided following that.	TBA following meeting 25/4		James Cawley
WUC Associate Director – Adult Care Commissioning & Housing	15-Dec-14	Y	>120	I recommend that all evidence regarding client's assets including deceased clients should be appropriately evidenced and documented on all the various systems used by the Court of Protection Team.	4	26162	01-Mar-15	Follow up review scheduled for quarter 1 2016-17. Initial meeting to be held 25th April 2016.	Meeting to be held next week. Response to be provided following that.	TBA following meeting 25/4		James Cawley
Disclosure and Barring												
WUC Corporate Director - Statutory role of Director of Childrens Services	30-Jun-15	Y	>120	I recommend that the DBS certificate number is entered in the SEND central record as it is with the other central records.	3	25834	30-Jun-15	Management Response outstanding - follow up requested by 8th April 2016.	Central record maintained by SEND, this includes the certificate number and a system for monitoring renewals.	Complete		Terence Herbert
WUC Corporate Director - Statutory role of Director of Childrens Services	30-Jun-15	Y	>120	I recommend that where the DBS central record is sent in its complete form to managers that it is accompanied by a reminder to advise managers that the information is to be restricted to only those who need to have access to it.	3	25835	30-Jun-15	Management Response outstanding - follow up requested by 8th April 2016.	Central record is maintained by OCSSMT. The list is shared with locality admin managers on a monthly basis, they are required to update with any new starters and renewals where required. A standard reminder is now included in the cover note stating information is restricted.	Complete		Terence Herbert
WUC Corporate Director - Statutory role of Director of Childrens Services	30-Jun-15	Y	>120	I recommend that all details confirming the DBS certificate has been checked are entered on the central record promptly to ensure the record is current.	3	25836	30-Jun-15	Management Response outstanding - follow up requested by 8th April 2016.	Rolling programme of checks in place. Central record is updated on a monthly basis.	Complete		Terence Herbert
WUC Associate Director – Children's Social Care	30-Jun-15	Y	>120	I recommend that Operational Children's Services discuss with HR about generating SAP reports for monitoring 'organisations' and use these to periodically check the central record is complete and accurate.	3	25837	30-Jun-15	Management Response outstanding - follow up requested by 8th April 2016.	DBS number is now recorded on SAP however monitoring data is drawn 'Atlantic Data' which enables HR to report on Children's Services branch - list of staff, date of DBS and date for renewal. HR to run a quarterly report which is reconciled with monthly managers reporting	Complete		Terence Herbert
Economic Development												
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	03-Aug-15	Y	>120	I recommend that the Board's delegation to the Chair, Vice Chair and Director to enter into contracts exceeding the £10,000 stipulated relating for specialist consultants and support contractors should be explicitly evidenced in the minutes.	4	28984	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	A recommendation to be brought to the July board for adoption.	Potential implementation September 2016		Alistair Cunningham

WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	03-Aug-15	Y	>120	I recommend that the Principal Accountant also attends Secretariat meetings to provide independent support and confirmation of the financial position of spending prior to Board meetings.	3	28986	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	Principal Accountant attends prior to board meetings.	Complete		Alistair Cunningham
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	03-Aug-15	Y	>120	I recommend that the formal approval of bi-monthly budget reporting and thus the overall financial position is clearly evidenced.	4	28987	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	This has been adopted - budget reporting is included on the agenda for the board and evidence is provided in minutes.	Complete		Alistair Cunningham
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	03-Aug-15	Y	>120	I recommend, where exceptions to procurement regulations need be applied, the authorisation of the Board should be sought and clearly evidenced in the minutes along with the basis for the decision made.	4	28998	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	Wiltshire Council's procurement exemption procedures are to be adopted, with a report to go to the board at the next meeting. The decision will be minuted and the LEP board member to be involved in the process.	Potential implementation September 2016		Alistair Cunningham
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	03-Aug-15	Y	>120	I recommend that the Board should reviewing existing arrangements for extended contracts to gain assurance that economy and effectiveness continues to be sought from suppliers.	3	28999	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	Wiltshire Council procurement procedures to be adopted with a report to go to the board at the next meeting. The decisions minuted and the LEP board member to be involved in the process.	Potential implementation September 2016		Alistair Cunningham
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	03-Aug-15	Y	>120	I recommend that all documents supporting the procurement of consultants and administrative services should be retained on the Wiltshire shared server in the area designated for the Partnership.	4	29000	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	The LEP Board is adopting accountable body procurement processes including the exemption process. Reports are to be brought to the Board when exemptions are applied and the decisions minuted.	Potential implementation September 2016		Alistair Cunningham
WUC Associate Director – Corporate Function & Procurement	03-Aug-15	Y	>120	I recommend that a formal procedure should also be adopted for the authorisation of extensions of and variations to contract.	4	29008	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	Processes being reviewed as WC is accountable body.	Potential implementation September 2016		Robin Townsend
WUC Associate Director – Corporate Function & Procurement	03-Aug-15	Y	>120	Official Purchase orders should be raised at the point contractual terms are agreed with suppliers.	3	29009	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	Processes being reviewed as WC is accountable body.	Sep-16		Robin Townsend
WUC Associate Director – Corporate Function & Procurement	03-Aug-15	Y	>120	Purchase Orders should be clearly linked to the specification of service and make clear the project and programme to which they relate.	3	29010	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	Processes being reviewed as WC is accountable body.	Sep-16		Robin Townsend
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	03-Aug-15	Y	>120	I recommend that explicit evidence of the authorisation of creditor payments on behalf of the Partnership Board should be retained on the shared area.	3	29012	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	This has been implemented as of April 16.	Complete		Alistair Cunningham
WUC Head of Governance	03-Aug-15	Y	>120	I recommend, in addition to liaising with the Wiltshire Council Democratic Services team, that the Information Assurance Team should also be consulted to provide clear guidance to the Partnership on the nature, reporting and retention of information that is deemed commercially sensitive.	3	29143	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	Wiltshire Council has an extensive Information Governance Programme underway, which includes a review of records retention, data protection and associated policies and procedures. These can be used to provide appropriate guidance.	Wiltshire Council completion date - December 2016.		Robin Townsend

WUC Associate Director – Corporate Function & Procurement	03-Aug-15	Y	>120	I recommend that a formal procedure be adopted when entering into procurement arrangements with suppliers of specialist consultancy and support services. Templates should be developed for use by the Partnership for this purpose. Advice should also be sought on this matter from the Wiltshire Council Corporate Procurement team.	4	29426	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	Council acts as resinsible Authority. New guidance for procurement of consultancy services being developed as part of new Strategic Hub improvement plan which will be applicable to both parties.	Proposed implementation Autumn 2016.		Robin Townsend
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	03-Aug-15	Y	>120	I recommend reporting is provided to the Board of spending against individual contractors and also the lifetime spend against agreed price.	3	29427	31-Dec-15	The Corporate Director has confirmed acceptance of all recommendations made in the SWAP report; any outstanding issues will be prioritised and addressed following appointment of the new SWLEP director (11th April 2016).	This has been implemented as of April 16 - the Principal Accountants attends board meetings, this is a regular agenda item and evidenced through meeting minutes.	Complete		Alistair Cunningham
Pensions		Y										
WUC Associate Director - Finance (Section 151 Officer)	01-Apr-15	Y	>120	I recommend that the workflow processes should be further supported by procedure notes to explain the processes for GMP to officers and ensure consistent application.	3	28298	30-Sep-15	Management Response outstanding. Follow up review is also scheduled for Q2 of 2016-17.	On going GMP project. Compliance manager post now recruited to. New processes being drawn up.	Proposed implementation date Sept 2016		Michael Hudson / David Anthony
WUC Associate Director - Finance (Section 151 Officer)	01-Apr-15	Y	>120	I recommend that the WPF develops an updated set of performance measures and publishes the results on a regular basis.	3	28306	30-Sep-15	Management Response outstanding. Follow up review is also scheduled for Q2 of 2016-17.	Fund development manager now appointed. New measures being devised.	Proposed implementation date for first publication Sept 2016		Michael Hudson / David Anthony

15 Priority 3s

8 Priority 4s

23 Total Service Outstanding Recommendations 12.04.16