

Wiltshire Council Outstanding Recommendations 30.01.2020

Non Schools

Data revision date: 30 January 2020

Director Digital, Data & Technology							
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 is taken to ensure they are 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	<p>There are active projects in train to update both BC and DR plans, and the intention is to start this process in January 2020 and will go on for at least 4 months. As part of this, a schedule of tests will be defined and implemented going forward. There is a Business Case nearing completion and expect this to go to the Digital Board early February.</p> <p>Once updated, the plans will be regularly reviewed to incorporate changes to the technical environment, and regularly tested to ensure the plans are fit-for-purpose.</p>
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	We recommend that the Interim Director: Digital Transformation & IT ensures that the Corporate Business Continuity Plan is revisited in line with changes under the transformation programme.	2	Outstanding	30-Jun-19	30-Jun-20	Director Digital, Data & Technology	It has been agreed that the Director: Digital, Data & Technology will ensure that the Corporate Business Continuity Plan is revisited in line with proposed changes arising from the Digital Transformation programme.

40975	We recommend that the Interim Director: Digital Transformation & IT ensures that the ICT Disaster Recovery Plan is updated in line with changes under the transformation programme.	2	Outstanding	30-Jun-19	30-Jun-20	Director Digital, Data & Technology	It has been agreed that the Director Digital Data & Technology will ensure that the ICT Disaster Recovery Plan is updated in line with proposed changes arising from the Digital Transformation programme.
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	30-Jun-20	Director Digital, Data & Technology	It has been agreed that the Director Digital, Data & Technology will create a mechanism for ensuring that risks identified with IT Transformation programmes are fed into the wider corporate risk management framework. Open dialogue between the responsible officers is maintained throughout the life of these programmes.

Director HR & OD							
Payroll (Audit Report Issued 18th June 2019)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
41388	We recommend that the Payroll & Business Development Manager ensures that early notifications of retirement are flagged, and acted on, in time for the employee to be made a 'leaver' in the pay roll that coincides with their date of retirement.	3	Outstanding	31-Aug-19	29-Feb-20	Payroll Process Team Manager (Council).	A reminder will be sent to managers to complete Leaver forms for retirees in a timely way in the next payroll newsletter. Payroll will action these leaver forms or place a reminder within their workflow to ensure that they are actioned on time.

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
41236	We recommend that the Payroll & Business Development Manager considers 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	<p>Wiltshire schools and academies have the responsibility to ensure all relevant checks are undertaken prior to appointment, including a right to work. All schools and academies hold a Single Central Record (SCR) document which details all the checks undertaken. For those schools where we are the legal employer, community and voluntary controlled, the delegated responsibility is passed to the HT and governors to ensure all the checks are done. In addition we have in the school effectiveness team, a safeguarding team who provide advice and training to schools on what checks are required and we provide the template SCR with supporting guidance and FAQs.</p> <p>For council staff, where the posts are safeguarding roles, the service should hold their own SCR, which includes a column as to whether a right to work check has been undertaken. These records will be audited between now and the end of March 2020.</p> <p>A report is being developed to identify current employees appointed from external sources since 29 February 2008. A process will be identified to recover the checks from managers or potentially to carry out new checks where these cannot be obtained.</p>

Interim Director Finance & Procurement

Gross Loans (Audit Report Issued 18th June 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
41541	We recommend that the Council ensures 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-Mar-20	Head of Business Finance	Agreed - an officer has been assigned to concentrate on the debt recovery aspect and a dedicated piece of work is currently underway to review all the outstanding debts in this category. Procedures were reinforced and followed up to October 2019 when the new IT system was implemented. Since then, it has not been able to invoice as frequently because the system is still being bedded in. Processes and procedures are therefore being reviewed again as part of the final stages of system implementation.
41542	We recommend that the Placements Team should ensure that the documented procedure is followed and where exceptions to the procedures are identified this should be escalated on a case by case basis for approval and this approval is 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-Mar-20	Head of Business Finance	Agreed - the procedure was being followed up to the point on the changeover to the new IT system in October 2019 and invoices were being regularly issued up to that point. As above (recommendation 41541) further review is being undertaken to ensure that the procedure remains robust as charging (invoice raising) starts from the new system. This is due to be done in early February 2020.

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41543	We recommend that the Placements Team should 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-Mar-20	Head of Business Finance	Agreed - the procedure was being followed up to the point on the changeover to the new IT system in October 2019 and invoices were being regularly issued up to that point. As above (recommendation 41541) further review is being undertaken to ensure that the procedure remains robust as charging (invoice raising) starts from the new system. This is due to be done in early February 2020. Staff will be trained again as part of the new processes going live.
41544	We recommend 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	29-Feb-20	Head of Business Finance	Agreed. Work was done with the last interim Head of Finance for Adult Care prior to her departure in November to bring reconciliations up to date. This is being reviewed with the new HoF who arrived mid January to ensure that the process remains fit for purpose with the new systems (LL and ContrOCC) and is fully up to date by the middle of February 2020 so that there no issues at year end. Weekly progress meetings are inpalce between Finance Placements and Accountancy.

Deferred Payments (Audit Report Issued 10th September 2019)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

39503	We recommend that performance indicators relating to Deferred Payment Agreements are fed into both the Executive Director with responsibility for Finance and the Executive Director with responsibility for Adult Social Care's scorecards to ensure that there is sufficient reporting and oversight so that the figures can be challenged. Furthermore, the Section 151 Officer and Adult Care Directors should receive regular, at least quarterly, information on the current debt position for Deferred Payment Agreements.	2	Outstanding	31-Oct-19	31-Mar-20	Head of Business Finance	Performance data and reporting is being worked on after the new list of Deferred Payments was put in place from 1st November 2019. By 31st March a set of data will be ready for reporting to Executive Directors and other relevant members of CLT.
39501	We recommend that the DPA application form is improved to clarify what is expected by maintaining the property.	3	Outstanding	30-Nov-19	29-Feb-20	Head of Business Services, Finance	The DPA application pack including the form is currently under review together with the website content. This will be included as part of the review and updated. It is also intended that once a DPA is in place, there will be a requirement to confirm that maintenance is being carried out as required.
39502	We recommend that the Deferred Payment application assessments are signed and dated by the Officer to demonstrate proper checks have been made before they are sent to the approving officer and to demonstrate appropriate segregation of duties.	3	Outstanding	30-Nov-19	29-Feb-20	Head of Business Services, Finance	A process review has been completed and the Finance Placements Manager will undertake the case checks before seeking the agreement of the relevant Head of Service or Director in Adult Social Care to the DPA.

39552	<p>We recommend that the process for allocating, undertaking and monitoring the 6 monthly review is revisited to ensure that reviews are undertaken in a timely manner. During this process, the Council should also seek assurance from the client that the property has been appropriately maintained and insured.</p> <p>We recommend that the process for allocating, undertaking and monitoring the 6 monthly review is revisited to ensure that reviews are undertaken in a timely manner. During this process, the Council should also seek assurance from the client that the property has been appropriately maintained and insured.</p>	3	Outstanding	30-Nov-19	29-Feb-20	Head of Business Services, Finance	The DPA application pack including the form is currently under review together with the website content. This will be included as part of the review and updated. It is also intended that once a DPA is in place, there will be a requirement to confirm that maintenance is being carried out as required.
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Accounts Payable (Audit Report Issued 3rd April 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
40721	<p>We recommend that the Accounts Payable Team run the Open Credits report on a quarterly basis, if that is deemed sufficient, to ensure that items are identified and escalated where appropriate on a more regular basis. More regular and structured review would ensure that in the absence of the officer responsible for this it could be easily identified if this needs to be undertaken by another AP Officer.</p>	3	Outstanding	01-Apr-19	31-Mar-20	Accounts Payable Manager	It is hoped to start a more regular examination of the credit balances now that Accounts Payable have been able to fill some vacancies. Once staff have been trained it is hoped that this will become a regular part of Accounts Payable work.

Contract Management (Audit Report Issued 25th January 2017)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
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	Acting Head of Strategic Procurement contacted. 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	Acting Head of Strategic Procurement contacted. Response not yet received.
Supply Chain Management (Audit Report Issued 17th January 2019)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
39455	We recommend that exit strategies are tailored to corresponding contracts.	3	Outstanding	30-Jun-19		Senior Category Manager	Acting Head of Strategic Procurement contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
39495	We recommend that Procurement documentation is updated to state a requirement for a current and periodically tested business continuity plan for each supplier.	3	Outstanding	30-Jun-19		Senior Category Manager	Acting Head of Strategic Procurement contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.

39509	We recommend that the Council requests that Cyber Attack response is covered in its suppliers' business continuity plans with evidence of periodic testing.	3	Outstanding	30-Jun-19		Senior Category Manager	Acting Head of Strategic Procurement contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
39510	We recommend that the storage of contract documentation is reviewed to consider ease of location and review.	3	Outstanding	30-Nov-19		Senior Category Manager	Acting Head of Strategic Procurement contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
39653	We recommend that a written contingency plan is outlined for all contracts. This should be proportionate to the criticality of the supplier and the service provided.	3	Outstanding	31-Dec-19		Senior Category Manager	Acting Head of Strategic Procurement contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.

Financial Regulations & Contract Standing Orders (Audit Report Issued 26th February 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
40507	We recommend that the Acting Head of Strategic Procurement Hub updates the Procurement e-manual alongside the Procurement and Contract Rules to ensure the authority levels remain aligned to the current version of the Financial Regulations. All key officers should be notified of these changes and guidance re-published on the intranet. Furthermore, these documents should be developed to be interactive and user friendly, as planned.	3	Outstanding	30-Jun-19		Acting Head of Strategic Procurement Hub	Acting Head of Strategic Procurement contacted. Response not yet received.

Pensions (Audit Report Issued 30th April 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / 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.	3	Outstanding	01-Dec-19	01-Jul-20	Head of Pensions Administration and Relations	Not complete. Unfortunately, we have failed to meet this deadline as this is a complex, specialist piece of work and the person working on it is on what now seems to be a long-term absence. I am looking to re-assign the work to someone else but this will be difficult due to its nature. I suspect this will take at least 6 months.

Director Education & Skills

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
39704	We recommend that the Council 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 Traded Services Task Group is currently overseeing the progress and delivery of the Traded Services team. A final report is being delivered by the group to Children's Select Committee in March 2020. The report will include recommendations, reflecting ongoing discussions underway with Democratic Services, to formalise the scrutiny and governance members going forward.

39710	We recommend that Traded Services with Schools put into place a clear budget that demonstrates how all costs involved will be funded and that it is a viable commercial venture long term.	2	Outstanding	31-Dec-19	31-Dec-20	Traded Services Manager	<p>There are two steps underway to identify long term commercial viability: Business plans and Trading Accounts.</p> <p>Business plans are being created for each traded service that will deliver a clear delivery agenda based on customer demand. This will demonstrate a year-on-year traded income increase and a clear service delivery offer for customers. Due 31 March 2020.</p> <p>Trading Accounts will focus in cost recovery against traded income delivery. Changes in focus and priority with Finance over recent months has delayed its progress. Finance Officer appointed to undertake review alongside other duties. Realistic delivery timescales December 2020. It is anticipated that 2021/22 accounting year will provide the first year where all the groundwork will make significant impact on service delivery and traded income.</p>
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Director Housing & Commercial							
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
39958	We recommend that the Council should market commercial properties through its websites, subject to Economic Development agreement, and business development networking events, to assist in maintaining maximum exposure and increase potential for reletting.	3	Outstanding	30-Aug-19		Asset Manager, Estates & Asset Use, Strategic Assets & FM.	Asset Manager, Estates & Asset Use, Strategic Assets & FM contacted. Response not yet received.

39959	We recommend that the Asset Manager ensures operational procedures are produced, documented and implemented to ensure that there is comprehensive guidance for current and new operational staff.	3	Outstanding	01-Nov-19		Asset Manager, Estates & Asset Use, Strategic Assets & FM.	Asset Manager, Estates & Asset Use, Strategic Assets & FM contacted. Response not yet received.
39960	<p>We recommend that the Council implements 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.</p> <p>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.</p>	2	Outstanding	30-Jun-19	31-Jul-20	Head of Strategic Asset & Facilities Management and Asset Manager, Estates & Asset Use, Strategic Assets & FM.	The implementation of a third party charging policy has been delayed due to other priorities. The items remains an objective of the service, though connection to a Corporate Concessionary Rent has yet to be determined. Other Asset Management Frameworks have now been agreed, with the Third Party Charging to follow.

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

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
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41176	We recommend that clear management authority for the completion of remedial actions is identified and resources are committed to enable the H&S team to monitor compliance.	3	Outstanding	31-Dec-19		SA&FM Asset Portfolio Manager - Asset Condition	SA&FM Asset Portfolio Manager - Asset Condition and Head of Strategic Asset & Facilities Management contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
41128	We recommend that the Council ensures 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	SA&FM Asset Portfolio Manager - Asset Condition and Head of Strategic Asset & Facilities Management contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.

41198	We recommend that all sites 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	SA&FM Asset Portfolio Manager - Asset Condition and Head of Strategic Asset & Facilities Management contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
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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	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.	2	Outstanding	06-Dec-18	31-Jan-20	Facilities Management Delivery Manager	The current KPI,s are being reviewed with the intention to adjust the weighting so they can be ranked according to importance to the contract.

Director Corporate Services							
Programme Management (Audit Report Issued 4th October 2019)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / 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	30-Jun-20	Director Corporate Services / Head of Corporate Assurance and Programmes	A new portfolio management approach was agreed by CLT in October 2019. A programme plan has been developed to include new templates, training and culture change, definitions of roles and responsibilities, benefits mapping and realisation and reporting at a corporate level. The current timeline is for this to have been completed by the end of June 2020.
42100	We recommend that a process is developed to capture the benefits to be realised from the start of a project. This should be continually reviewed throughout the life of the project to ensure the benefits set out at the project initiation stage have been realised and to identify improvement opportunities or the opportunity to halt/alter the project.	3	Outstanding	31-Dec-19	31-Mar-20	Head of Corporate Assurance and Programmes	Being developed as part of the new portfolio management framework.
42101	We recommend that the lessons learn process are reviewed and a set of key themes developed.	3	Outstanding	31-Dec-19	31-Mar-20	Head of Corporate Assurance and Programmes / Portfolio Managers	Being developed as part of the new portfolio management framework.

42102	We recommend that the Project Initiation Document (PID) is amended to include a Quality Management section. Furthermore, the Quality Assurance strategy should be reviewed to ensure quality is reviewed throughout the life of, and at the end of, each project.	3	Outstanding	30-Nov-19	31-Mar-20	Head of Corporate Assurance and Programmes / Portfolio Manager	Being developed as part of the new portfolio management framework.
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Data Breaches (Audit Report Issued 31st May 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
40431	We recommend that policy documentation is reviewed and updated where appropriate.	3	Outstanding	30-Jun-19	31-Mar-20	Information Governance Manager	The suite of IG policies is currently under review and will be taken to the next Cyber Security and IG Board in February.

Project Management Framework (Audit Report Issued 5th November 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	31-Mar-20	Head of Programme Office	Being developed as part of the new portfolio management framework.

Director Communities & Neighbourhood Services

Taxi Licensing (Audit Report Issued 8th October 2018)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
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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	01-Apr-20	Head of Passenger Transport	We are just about to begin the restructure of one of my teams and as part of that the post of contracts managers will be introduced. I hope to have someone on place by 1st April, all being well.
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Director Joint Commissioning							
Adult Social Care Contracts (Audit Report Issued 21st June 2019)							
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

41378	<p>We recommend that the Commissioner – Community Services continues to develop and embed the governance structure for the Help to Live at Home Alliance Partnership to ensure key objectives and outcomes can be met. This should include documenting what levels of authority are required to approve procurement and commissioning decisions, and how this can be confirmed as not being circumvented. The governance board should also document how the achievement and performance of the HTLAH activity will be monitored, including frequency and reporting requirements.</p>	2	Outstanding	31-Dec-19	31-Mar-20	Commissioning Programme Lead – Community Services	<p>Terms of Reference for an annual HTLAH provider forum were agreed with providers in July 2019. Additional meetings will be held as required.</p> <p>A schedule of contract monitoring meetings is being developed. The schedule will take a proportionate risk-based approach with the intention that all providers will be reviewed at least annually.</p> <p>Budget monitoring is in place with a particular focus on how the balance between ‘tier T1/T2/off-contract’ spend system supports best value for the Council. Monitoring will continue to develop alongside improvements in data from brokerage and the development of the commissioning dashboard.</p> <p>Progress with the commissioning dashboard is expected to gather pace due to a dedicated resource being in place for this piece of work as of January 2020.</p> <p>A sub delegation scheme has been put in place for commissioning which clearly shows approval levels for procurement and commissioning decisions.</p>
Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update

41379	We recommend that the Commissioner – Community Services ensures clear performance measures are put in place, and actively monitored, which can both measure and capture planned benefits and savings. This should include KPIs for the providers and internal support services.	2	Outstanding	30-Dec-19	31-Mar-20	Commissioning Programme Lead – Community Services	<p>Initial progress on draft KPIs made with providers in the July 2019 forum. KPIs will be finalised following a review of the overall contract, which will include findings from year 1 of delivery. In lieu of the review outcome, commissioners will investigate possible interim KPIs able to be collated from current data.</p> <p>A customer survey has been drafted but not yet published due to restructure. This will form part of the review of the HLTAH contract review.</p> <p>Timeframe for the above TBC pending commissioning awayday and priority setting / resource allocation (see 'context above).</p>
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41414	<p>We recommend that the Commissioner – Community Services ensures a supplier management framework is developed which identifies key suppliers in terms of capacity and capability. Business continuity plans and contingency plans should also be put in place for key suppliers.</p>	2	Outstanding	31-Dec-19	31-Mar-20	Commissioning Programme Lead – Community Services	<p>See response to 41378 re: brokerage dashboard and 41379 re: KPIs. In addition, budget reports currently inform decision making by identifying package volumes and level of spend for each HTLAH provider.</p> <p>Commissioners are clear on potential exposure to provider failure. However this will be improved by adapting the care homes closure policy to homecare and reviewing the HTLAH contract to ensure Business Continuity plans are clearly included within scope. This is ongoing and will be taken forward as part of the workplan following the directorate awayday in February.</p> <p>In the interim, commissioners have successfully worked with providers through winter pressures schemes to develop capacity by bringing an out-of-county workforce.</p> <p>Though the targeted improvement of data from brokerage plays a crucial part, successfully managing demand on the local health & care system also relies on a wider range of parallel initiatives. Options in this respect will be considered in the directorate awayday and priority setting and will form part of the future update identified above.</p>
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Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / 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.	3	Outstanding	31-Aug-19	30-Jun-20	Court of Protection Team Manager	Systems Thinking Team will be focussing on reviewing the processes that generate documentation to consider more efficient ways to manage client information. This will then identify what storage/scanning facilities will be required. The bespoke database Caspar is not compatible with SharePoint. However a fully upgraded Casper 2 is being launched in April 2020, it is felt that Wiltshire Council will not look to purchase this until 2021 when any teething problems will have been resolved. Caspar 2 has a storage facility on the cloud that could store our scanned documents.

Court of Protection Deputyship & Appointeeship for Service Users (Audit Report Issued 7th August 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
41503	We recommend that the Court of Protection Team Manager reviews the recruitment and vetting process for Officers employed into the Court of Protection team with relevant areas of the Council to ensure staff are appropriately vetted and unsuitable applicants are not employed in a role where access to vulnerable clients' money is available.	3	Outstanding	31-Oct-19	30-Jun-20	Head of Service – Contact and Safeguarding	Discussions have been held with HR and Legal regarding options for further, proportionate, vetting options – a recommendation as to way forward has not yet been finalised and discussions are ongoing, including looking across the council at how different forms of vetting are implemented across different teams.

Director Legal, Electoral & Registration Services

Corporate Complaints (Audit Report Issued 3rd 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 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 department.	3	Outstanding	02-Jan-19		Public Law & Compliance Manager	Head of Legal Services contacted. 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	Head of Legal Services contacted. Response not yet received.

Officers Declarations of Interest, Gifts & 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	31-Mar-20	Head of Legal Services	Head of Legal Services contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
36284	We recommend that there 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	31-Mar-20	Head of Legal Services	Head of Legal Services contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
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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	31-Mar-20	Head of Legal Services	Head of Legal Services contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
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	31-Mar-20	Head of Legal Services	Head of Legal Services contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
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	31-Mar-20	Head of Legal Services	Head of Legal Services contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
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	31-Mar-20	Head of Legal Services	Head of Legal Services contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
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	31-Mar-20	Head of Legal Services	Head of Legal Services contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
36290	We recommend that procedures are put in place to ensure the register entries is kept current.	3	Outstanding	31-Mar-19	31-Mar-20	Head of Legal Services	Head of Legal Services contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.

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-Dec-19	31-Mar-20	Head of Legal Services	Head of Legal Services contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.
42389	We recommend that specific groups of staff to be required to make annual declarations of interests and these be reviewed by Heads of Service.	3	Outstanding	31-Dec-19	31-Mar-20	Head of Legal Services	Head of Legal Services contacted. Response not yet received. However, this recommendation is currently subject to a separate follow up audit.

Director Economic Development & Planning

Community Infrastructure Levy & S106 Agreements (Audit Report Issued 18th October 2019)

Reference Number	Recommendation	Priority	Status	Original Target Date	Revised Target Date	Responsible Officer	Management Response / Update
40899	We recommend that the Head of Planning Operations ensures that the processes for administering the registration and discharge of land charges are formally documented and that a suitable number of staff are trained to carry out the routines.	3	Outstanding	31-Dec-19		Performance Delivery Manager	Director Economic Development & Planning contacted. Response not yet received.
41835	We recommend that a full review is carried out in the planning applications listed as Not Complied With to ensure the accuracy of the database and that all Section 106 monies due have been collected.	3	Outstanding	31-Dec-19		Performance Delivery Manager	Director Economic Development & Planning contacted. Response not yet received.