

OUTSTANDING RECOMMENDATIONS, 3 MONTHS AFTER FINAL REPORT ISSUE

APPENDIX E

Assigned to	Final report issue date	Description	Priority	Due date	Status	Unique Reference	Management comments
NEW HIGHWAYS CONTRACT							
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	22/08/2013	I recommend that active engagement is maintained with the new contractor BBLP. Action as a result of the Service Delivery meetings should be recorded and evidenced that appropriate action has been taken. Any work remaining on the highways from the previous Ringway contractor should be taken forward by BBLP.	3	01/10/2013	To be confirmed	22531	Follow up in progress
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	22/08/2013	I recommend that an immediate attempt should be made to resolve any further delays on the Depots matters so that assurance can be provided that the contract can be signed and to avoid the risks of open challenges to the Terms & Conditions of the agreements and the Parent Company Guarantee.	5	01/10/2013	To be confirmed	22532	Follow up in progress
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	22/08/2013	I recommend that the contract monitoring focuses particular attention on those areas where there is a greater risk that the required quality may not be delivered.	4	31/12/2013	To be confirmed	22533	Follow up in progress
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	22/08/2013	I recommend that the contract is corporately risk assessed to establish if it should be placed on the risk register. This will also allow for recognising potential issues during the transition phases and enables the Council to satisfy itself that adequate controls are in place. In addition the result of any risks identified within the contract and placed on the Contract Risk Register (NEC3) are escalated to the Councils Corporate Risk Register, if appropriate.	4	01/10/2013	To be confirmed	22541	Follow up in progress
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	22/08/2013	I recommend that another officer is allocated to manage the contract so that in the absence of the current contracts manager control over the management of the contract is maintained.	4	02/12/2013	To be confirmed	22542	Follow up in progress
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	22/08/2013	I recommend that the Contract Management Guidance highlights the need for close monitoring during transition periods.	4	01/10/2013	To be confirmed	22653	Follow up in progress
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	22/08/2013	I recommend that all Service Delivery meetings groups as set out in the contract are established. Each group should have clear terms of reference to ensure that control over key decisions making remain with the Contract Management Meeting group.	4	01/10/2013	To be confirmed	22654	Follow up in progress
IMPREST ACCOUNTS							
Corporate Director - Statutory role of Director of Childrens Services	23/08/2013	I recommend that written procedures are developed for administering Imprest and Petty Cash accounts. These should include handing over procedures for when post-holders change or are on leave.	4	31/12/2013	Outstanding	22525	Outstanding, incorporated into the Corporate FIT review.

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Corporate Director - Statutory role of Director of Childrens Services	23/08/2013	I recommend that there is a review of any accounts where details from the Year End Returns do not match centrally held records to ensure details are correct in future.	4	31/03/2014	Outstanding	22522	Not possible to action until after Year End returns received.
Corporate Director - Statutory role of Director of Childrens Services	23/08/2013	I recommend that a review of accounts be carried out. Where accounts are not being used these should be closed. Where less cash is being used the amount of cash should be reduced.	4	31/12/2013	Outstanding	22524	Outstanding, incorporated into the Corporate FIT review.
Corporate Director - Statutory role of Director of Childrens Services	23/08/2013	I recommend that all account holders are made aware that reconciliations should be carried out at least monthly and why this is important.	4	31/12/2013	Outstanding	22521	Outstanding, incorporated into the Corporate FIT review.
Corporate Director - Statutory role of Director of Childrens Services	23/08/2013	I recommend that account administrators receive training on how to manage an account. This should also cover what to do when handing the account over to another person e.g. when they are on leave or when another person takes over the role.	3	31/12/2013	Outstanding	22574	Outstanding, incorporated into the Corporate FIT review.
Corporate Director - Statutory role of Director of Childrens Services	23/08/2013	I recommend that account reconciliations are checked and verified by a second competent person. Evidence of this should be clearly shown. This instruction should be clearly stated in any new procedures or guidance notes.	3	31/12/2013	Outstanding	22573	Outstanding, incorporated into the Corporate FIT review.
HEALTH & SAFETY INSPECTIONS							
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	18/09/2013	I recommend that the Head of Occupational Health & Safety monitors the relevant service risk registers and action plans on SharePoint to ensure that these are consistent with corporate health & safety policies and initiatives.	3	30/10/2013	Outstanding	22601	Agreed with CLT and cabinet that a full review will take place.
LICENSING							
Corporate Director - Statutory role of Director of Adult Social Services	08/11/2013	I recommend that a reconciliation between SAP and the new Northgate licensing system be put into place to ensure that every licence issued has a corresponding payment which has been allocated to the correct SAP code.	3	28/02/2014	To be confirmed	23067	Follow up in progress
Corporate Director - Statutory role of Director of Adult Social Services	08/11/2013	I recommend that a fully costed breakdown of the fees and charges is maintained in order to justify a challenge to the charge levied.	3	28/02/2014	To be confirmed	23069	Follow up in progress
Corporate Director - Statutory role of Director of Adult Social Services	08/11/2013	I recommend that the password structure be amended to ensure it complies with the Wiltshire Council Password Policy.	3	28/02/2014	To be confirmed	23135	Follow up in progress
CARE & NURSING HOME PROVISION							

Assigned to	Final report issue date	Description	Priority	Due date	Status	Unique Reference	Management comments
Corporate Director - Statutory role of Director of Adult Social Services	26/11/2013	I recommend that voids are closely monitored to ensure payments for empty beds are kept to a minimum.	3	31/01/2014	Outstanding	23414	A decision has been made to re-locate the placement team to commissioning from April 2014 to enable closer monitoring.
QUALITY ASSURANCE CHECKS							
Corporate Director - Statutory role of Director of Childrens Services	27/11/2013	I recommend that the Information Assurance Team continue to devise a new Assurance Check around Firewalls in order to check rules, ensure patching and that all unnecessary services have been disabled. It would also be useful to include the details and results of any penetration testing results done by third parties in the Assurance Checks SharePoint area, so that all assurance material is kept in one area and is available to those who need to see it. Other items could be added over time to provide a comprehensive security portfolio.	3	31/03/2014	To be confirmed	22126	Follow up in progress
Corporate Director - Statutory role of Director of Childrens Services	27/11/2013	I recommend that the Information Assurance Team ensures that all the procedures, evidence, reports and reporting lines for all checks are documented and stored on the same SharePoint site with the other Assurance Check documentation.	3	26/11/2013	To be confirmed	22127	Follow up in progress
Corporate Director - Statutory role of Director of Childrens Services	27/11/2013	I recommend that the Information Assurance Team ensure clear reporting lines and reporting procedures are included in the Assurance Checks documentation to ensure that the right people know when there is an issue with any of the checks and can also determine if any of the checks have not been undertaken.	3	28/02/2014	To be confirmed	23174	Follow up in progress
Corporate Director - Statutory role of Director of Childrens Services	27/11/2013	I recommend that a defined escalation process be devised between Governance and Information Services so that all identified threats can be followed up in a timely manner. This will ensure that the Council gains the most benefit out of the Assurance process as far as comfort and robustness are concerned.	4	31/03/2014	To be confirmed	23175	Follow up in progress