

Assigned to	Final report issue date	Description	Priority	Ref	Target Due Date	Management Comments	Current Status
Accounts Receivable							
WUC Associate Director - Finance (Section 151 Officer)	06/12/2013	I recommend that service management and staff should ensure that they are aware of their service area's responsibility for debt management and this should be in line with corporate guidance.	4	23551	30/11/2014	The FIT project has been disbanded & moved to business as usual developments within service areas. These processes will be picked up again from June 2015 with a new project run by Business services Finance to improve Accounts payable processes of which this element will be part. More emphasis will be placed on communication and training with staff and budget managers.	Work has started on this and it will also form part of the efficiencies payment review, which is underway and is looking at how we make payments. Whilst this is going ahead work will need to be completed with accountancy and services to provide debt reporting in revised format. This should be completed this quarter.
WUC Associate Director - Finance (Section 151 Officer)	06/12/2013	I recommend that services use debtor reports so that debts are regularly reviewed and monitored.	4	23578	31/01/2014	The reports have been devised but have yet to be rolled out to all service managers.	(Accounts Receivable & Income Manager): The outstanding issues highlighted were simplification of the report for users and allocation to a member of finance staff to update the report regularly. This is in progress and on target to be completed this quarter
WUC Associate Director – People & Business Services	17/04/2014	I recommend that the Finance Director ensures the Corporate Write off Policy is finalised and issued.	4	24130	30/04/2014	This is being finalised and was delayed due to restructuring.	This is nearing completion and will be tied into a review of the Financial Regulations due to come to Standards Committee in Autumn 2015.
CIVICA Cash Receipting							
WUC Associate Director - Finance (Section 151 Officer)	16/06/2014	I recommend that the Council develops a System User Policy for the Civica system to set out the rules and requirements applicable to staff using the system to ensure they can be held accountable for their actions.	4	24334	31/07/2014	A disclaimer or similar is potentially required for PCI compliance also. I suggest that this is reviewed in conjunction with other work is required to achieve PCI compliance. PCI compliance needs to be resolved as a priority. To be discussed at AD level.	This recommendation is ongoing as PCI Compliance is currently being looked at by the Information Assurance Group. A PCI compliant Information Security Policy document is in draft, but it has not as yet been personalised and issued within Wiltshire. It is understood that the Council is preparing a new suite of information security policies but approval is pending the publication of the ICO audit undertaken in March 2015. In the meanwhile, the information assurance team is nearing completion of user security training which commenced in 2014 and has targetted all Council staff.
Client Property							
WUC Head of Commissioning - Care, Support & Accommodation	15/12/2014	I recommend that care homes are reminded to ensure that procedures accurately reflect the process in use.	3	27426	30/04/2015	Guidance will be issued to all care homes.	No further management response. Followed up by email 29/05/2015 and again on 07/07/2015.
WUC Head of Commissioning - Care, Support & Accommodation	15/12/2014	I recommend that care homes should ensure that their procedures clearly define (using job titles) the staff who are responsible for resident's cash and valuables.	3	27427	30/04/2015	Guidance will be issued to all care homes.	No further management response. Followed up by email 29/05/2015 and again on 07/07/2015.
WUC Head of Commissioning - Care, Support & Accommodation	15/12/2014	I recommend that care homes ensure that their procedures include a process for transferring a residents cash and valuables when they cease to be accommodated at the home.	3	27429	30/04/2015	Guidance will be issued to all care homes.	No further management response. Followed up by email 29/05/2015 and again on 07/07/2015.
WUC Head of Commissioning - Care, Support & Accommodation	15/12/2014	I recommend that care homes ensure they obtain and retain receipts for all expenditure they make on a resident's behalf.	3	27430	30/04/2015	Guidance will be issued to all care homes.	No further management response. Followed up by email 29/05/2015 and again on 07/07/2015.
Contract Clauses							
WUC Associate Director – Corporate Function & Procurement	25/02/2014	The latest 'Procurement and Contract Rules' should be reviewed to ensure no details have been overlooked in particular contracts over £100,000 being required to be overseen by Legal Services and where necessary, for those with material value, for continued involvement with Legal Services. This should then be communicated to all staff involved with tenders and contracts so that they are aware of this requirement.	5	23172	31/05/2014	The procurement review (restructure) has been delayed slightly and the revision of the rules to reflect the new arrangements and changes in law will follow from its conclusion.	In progress and will be presented to Cabinet in October 2015
WUC Associate Director – Corporate Function & Procurement	25/02/2014	I recommend that procedures should be put in place to ensure all contracts are included in the Contracts Register.	4	23312	01/01/2016	This will be difficult to manage if the solution is the current service led input approach for both contract awards and variations. A more appropriate solution would be system based e.g. ProContract, which would automate the process for the majority of our business. The Transparency Code also builds a case for a system solution.	All ADs have been reminded of the need to provide copies of all contracts to Procurement for loading onto the contracts register.

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WUC Associate Director – Corporate Function & Procurement	25/02/2014	I recommend that the Contracts Register is adapted to include a record that Legal Services have been made aware of all contracts with an estimated value of over £100,000. This will evidence Legal Services involvement.	3	23523	01/01/2016	This ought to be resolved through expecting compliance with rules by devolved procurement officers managing the process i.e. the current approach, however this has not worked to date. An alternative solution is to have tender level procurement centrally managed and/or systems controls used effectively such that relevant procurements are flagged and officers understand the need to involve legal, supporting compliance checks too. Continuing with a stand-alone web-based Corporate Contracts Register is not an effective or sustainable solution.	In progress and will be dealt with alongside changes to contract rules above.
Corporate ICT Processes							
WUC Head of Service ICT Infrastructure	29/01/2015	I recommend that the Configuration and Change Manager ensures that policies relating to incident management are completed, updated and made available to staff to ensure the correct incident management processes are adhered to. This recommendation was made last year and is still outstanding.	4	24407	31/03/2015	The Incident management policies have been discussed by the Incident process owners and a revision is currently being drafted. We expect the first draft to be published by the end of July, which will then be updated, ratified, and communicated by the middle of August. This should give us significant contingency time before the end of August deadline.	Implementation date revised to 31.08.2015
WUC Head of Service ICT Infrastructure	29/01/2015	I recommend that the Corporate Security Policy should be updated to reflect the changes in the organisational structure and to include the date and the version number to ensure it is the latest version.	3	24470	30/09/2015	The Council was subject to a review of information security practices and we have received the following information from the Information Assurance Team (June 2015): The Information Commissioner's audit is very much in focus and official findings will be made available shortly. There will be a significant action plan based on this which may involve restructuring with possible additional temporary and permanent resourcing. Everything is in limbo pending this. So while I have drafts of a new Information Security Policy, Information Governance Framework and Information Risk Management Policy which went CLT, they are still 'under consideration' and it is not clear if they will appear in their current format or indeed who will have responsibility for them in future. Until there is some clarity on future lines of responsibility and priorities from above, I am not rewriting any further policies'.	The current arrangements will be reviewed as part of the implementation plan to strengthen and improve the council's information governance arrangements following the ICO's recent audit.
WUC Head of Service ICT Infrastructure	29/01/2015	I recommend that the Corporate Security Policy includes references and requirements for applications so that a benchmark of application security is obtained across the council.	3	24703	30/09/2015	The Council was subject to a review of information security practices and we have received the following information from the Information Assurance Team (June 2015): The Information Commissioner's audit is very much in focus and official findings will be made available shortly. There will be a significant action plan based on this which may involve restructuring with possible additional temporary and permanent resourcing. Everything is in limbo pending this. So while I have drafts of a new Information Security Policy, Information Governance Framework and Information Risk Management Policy which went CLT, they are still 'under consideration' and it is not clear if they will appear in their current format or indeed who will have responsibility for them in future. Until there is some clarity on future lines of responsibility and priorities from above, I am not rewriting any further policies'.	The current arrangements will be reviewed as part of the implementation plan to strengthen and improve the council's information governance arrangements following the ICO's recent audit.
Court of Protection							
WUC Head of Safeguarding & Quality Assurance	15/12/2014	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	31/12/2014	All future applications will be checked by the Court of Protection Team Manager. Delegation of the Deputyship responsibilities are currently being investigated	Will be reviewed as part of the follow up for Partial Assurance Audits.

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WUC Head of Safeguarding & Quality Assurance	15/12/2014	I recommend that a more suitable process for electronic filing and filing conventions should be established for the individual clients.	3	26024	01/06/2015	We are currently looking at ways to progress the scanning process as a matter of urgency.	Will be reviewed as part of the follow up for Partial Assurance Audits.
WUC Head of Safeguarding & Quality Assurance	15/12/2014	I recommend that the systems administrator should carry out regular reviews of actual transactions of client accounts. A report of all amendments and deletions should be produced to inform the review. I also recommend that the sensitivity tolerance for discrepancies on CASPAR should be modified in order to make the reconciliation process more efficient. CASPAR reconciliation procedures should provide clear instructions to ensure existing line items are not overwritten and new line items are created, where necessary.	4	26025	31/12/2014	There is a process already in place which can be administered by the Caspar administrators that enable a full audit check to be initiated. Once a transaction is made the audit trail cannot be deleted or modified.	Reinforcement of the correct procedures have been reiterated to all staff. Each amendment requires a new plan item to be set up. The audit report is available to audit changes to the systems administrator. A system to audit the uploaded transactions is currently being investigated. There are over 4500 transactions per month on accounts. The database cross reference to the plan items is the first audit stage. Only items that match completely are automatically reconciled, any items that fall within tolerances require manual reconciliation. The Caspar database is compliant with the Office of the Public Guardians standards.
WUC Associate Director – Adult Care Commissioning & Housing	15/12/2014	I recommend that all transaction have the appropriate documentation so that evidence of expenditure is maintained. Particular attention should be paid to Internet Banking transactions. A receipt of payment should be retained so that justification for expenditure is available.	3	26077	01/12/2015	This issue will be resolved once scanning is in place.	Future target date.
WUC Associate Director – Adult Care Commissioning & Housing	15/12/2014	I recommend that further legal advice should be sought before the procedures have gone through the formal approval stages.	4	26160	15/12/2014	This concern has been noted and legal approval has been sought. This concern has been removed from the draft policies and procedures.	Will be reviewed as part of the follow up for Partial Assurance Audits.
WUC Associate Director – Adult Care Commissioning & Housing	15/12/2014	I recommend that all client annual visits are appropriately arranged where applicable, where no visits are required then a note should be placed on the system.	3	26161	01/03/2015	This is due to the limitations of the system, the information was recorded but in the notes section, enquiries will be made to see if the visit section of the database can be modified to include this information.	Will be reviewed as part of the follow up for Partial Assurance Audits.
WUC Associate Director – Adult Care Commissioning & Housing	15/12/2014	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	01/03/2015	This area is covered in the new policies and procedures which is shortly to be submitted for approval	Will be reviewed as part of the follow up for Partial Assurance Audits.
WUC Head of Service	15/12/2014	I recommend that the COP Team should ensure manual files can be located when required.	3	26272	01/03/2015	Currently due to storage difficulties the files are stored in Devices and every attempt will be made to bring these files back to the central office when required in a timely manner.	A meeting has been held with the Archive team to resolve issues regarding misplaced boxes. Access is now improved and most files can be retrieved with 48 hours.
WUC Associate Director – Adult Care Commissioning & Housing	15/12/2014	I recommend that the system fault for reporting closed client files on CASPAR should be resolved to prevent individuals from having to be incorrectly classed as deceased.	3	26566	15/12/2014	We are consulting with the provider of our database to have this issue resolved.	We do not remove account details from the Caspar system. We annotate them as Inactive. Accounts are removed from our internet banking system to reduce costs as these are chargeable.
WUC Head of Service	15/12/2014	I recommend that bank accounts details for deceased clients are not removed from the system, in compliance with the financial retention policy. In the event a trustee account has not been opened this should be investigated for accuracy.	3	26567	15/12/2014	This issue has now been resolved and will be implemented on next update in Nov.	Future target date.
Emergency Planning							
WUC Head of Public Protection (Commercial and Communities)	03/11/2014	I recommend that further development of training for Council staff involved in emergency planning is undertaken in order to improve the effectiveness of response to incidents.	3	26434	31/12/2015	To commence in November 2014. This is an ongoing programme, with all staff having a role in delivering resilience within the county needing continuous training.	Future target date.
WUC Head of Public Protection (Commercial and Communities)	03/11/2014	I recommend that the Emergency Planning Team needs to maintain comprehensive records of emergency training event programmes and course attendance records for all Council staff with responsibilities for responding to emergencies.	3	26448	03/12/2014	We accept this recommendation. The following process will be introduced: - A link to the Public Protection Learning and development plan, which is being produced with oversight from the WC OD team. - A policy for training needs.	The Head of Public Protection (Emergency Planning) provided evidence of completed training activity. Action Completed.

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WUC Head of Public Protection (Commercial and Communities)	03/11/2014	I recommend that more work is done to further develop links between Emergency Planning and other committees within Wiltshire Council including better integration of the Major Incident Plan (MIP) with the Business Continuity Plan and the work programme of the Environment Committee.	3	26460	30/04/2015	We accept this recommendation fully. Work has commenced on bringing together an Integrated Emergency Management Plan, with The Major Incident Plan and Business Continuity Plans for the council in one place. This document will be ready for consultation in November 2014, and will need to be signed off by Full Council. As part of the sign off process, the document will be submitted to all relevant committees for scrutiny.	The Head of Public Protection (Emergency Planning) stated that the Integrated Emergency Management Plan has been deferred on advice of the Cabinet Member and Corporate Director. It is on the Cabinet Forward Plan for Oct 2015. Consultation with committees will be part of this process. Action Outstanding.
WUC Head of Public Protection (Commercial and Communities)	03/11/2014	I recommend that the Mobile Telephony Privilege Access Scheme (MTPAS) usage by the Council should be fully documented, holders need to be checked and leavers removed.	3	26462	31/12/2014	We accept this recommendation. A process will be developed for deleting members of staff who should no longer be on the list. Then a policy needs to be agreed as to who will require access to the MTPAS scheme. There will also need to be a process for regular review to ensure that the MTPAS list is kept up to date.	The Head of Public Protection (Emergency Planning) provided a MTPAS list. The review and update of the MTPAS list will be carried out by the Police annually. A policy for who will require access to MTPAS has not been completed. Partial Completion of Action.
WUC Head of Public Protection (Commercial and Communities)	03/11/2014	recommend that Emergency Planning confirm the arrangements in place for Rest Centres (Leisure Centres and Schools) as a matter of priority to ensure that they are fit for purpose should they need to be utilised in the event of an emergency. These arrangements should be confirmed on a regular basis.	4	26485	30/11/2014	We accept this recommendation. All Rest Centres will be confirmed by the end of November. There were originally 30 rest centres when the team started operating in April. This number has been expanded to 50 to provide better coverage and resilience across the county. The out of hours contact details of 40 rest centres have been confirmed. They have all also been mapped on GIS. The following actions are also taking place: 1. Training programmes for Rest Centre staff will be rolled out from November 2014. 2. Action Cards for AD and ASC HoS have been prepared, and will be circulated for consultation and finalised in November 2014. 3. All contacts for rest centres will be updated contacts in the Emergency Contact Directory (ECD). 4. A rolling programme for all rest centres to be visited and checked is being finalised. 5. More work is being carried out to 'map and gap', so that the number of rest centres will increase to better match local risk. 6. Currently, only ASC staff have been trained to work at rest centres. Therefore, work will be done to widen the pool of volunteers who can work at rest centres.	The Head of Public Protection (Emergency Planning) advised that this work continues to be progressed. Partial Completion of Action.
WUC Head of Public Protection (Commercial and Communities)	03/11/2014	I recommend that the Emergency Planning Team continues to work with Community Area Board Partnership Managers to get more Area Boards engaged and involved in emergency planning workshop/ community engagement events.	4	26494	31/12/2014	We partially accept this recommendation. The most important question is not whether we continue our programme of engagement with Community Area Boards – it is whether this programme is the most effective and value for money way of delivering the training. Training at the following CABs have been completed: Chippenham RWB and Cricklade Malmesbury And BoA is booked for 26th Nov The following are in the Pipeline: Amesbury (meeting on 29th Oct) Pewsey Warminster Salisbury City Council South Salisbury Melksham The EPRR team suggests that an evaluation is carried out of the completed workshops to see how many have completed community resilience plans.	The Head of Public Protection (Emergency Planning) progress update shows that a number of workshops have been completed in the following areas: Chippenham, RWB and Cricklade, Malmesbury, BoA, Warminster, South Area, Amesbury. Dates booked for South West Wilts, Melksham and Tidworth. A follow up review will be carried out by audit to confirm that action has been completed.
Employment Tracking							

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WUC Service Director - Human Resources & Organisational Development (Head of Paid Service)	05/09/2014	I recommend that the general ledger cost codes are provided to all managers along with definitions that make it clear what the distinctions are for the range of codes relating to agency workers, interim workers and consultants. Managers who engage people within these groups should be reminded to ensure that the appropriate general ledger cost code is always used when authorising payments.	3	25099	31/10/2014	To be issued with 2015/16 Budget	Head of Strategic Procurement is checking with Finance (as at 09.06.15) to see if accounting code information has been supplied to managers to allow them to apply the appropriate general ledger cost code when authorising payments to agency workers, interim workers and consultants.
WUC Service Director - Human Resources & Organisational Development (Head of Paid Service)	05/09/2014	I recommend that the full backing of CLT is sought to ensure all Associate Directors respond in full to the request originating from the Corporate Procurement Unit so that all consultants / agency and contracted workers can be accounted for, appraised and appropriate action taken to avoid the risk of being fined by HMRC.	5	25100	31/10/2014	CLT approved and will continue to monitor.	Response from Head of Strategic Procurement on 09.06.15: 'This is now complete. CLT have agreed the approach and receive quarterly progress reports in which exceptions are identified. Procurement and HR are working together to aid the identification and challenge of posts identified'. Internal Audit will seek evidence before providing assurance that the action is taken and that it mitigates the risk.
WUC Service Director - Human Resources & Organisational Development (Head of Paid Service)	05/09/2014	I recommend that a process is put in place for informing HR about all people who are directly engaged and paid to work for the Council off payroll and to provide an assessment of their employment status. The process should be documented and the assessment retained as evidence to demonstrate the application of HMRC regulations in deciding the terms of engagement and payment.	4	25102	30/10/2014	Reviewing.	Response from Head of Strategic Procurement on 09.06.15: 'As for recommendation 25100, Procurement and HR are working together to ensure people are identified, utilising the combined knowledge of both teams, finance and ICT. Extra controls have been introduced to reduce the number of people able to be engaged without HR or procurement knowledge'. Internal Audit will seek evidence before providing assurance that the action is taken and that it mitigates the risk.
WUC Service Director - Human Resources & Organisational Development (Head of Paid Service)	05/09/2014	I recommend that legal assurance is obtained to confirm that the Council will not be liable for scrutiny or risk of financial penalty for workers engaged through an arrangement with Comensura before entering into the agreement.	4	25104	31/10/2014	Reviewing.	Response from Head of Strategic Procurement on 09.06.15: 'This is complete. Confirmation has been sought from Comensura and is being checked with legal'. Internal Audit will seek evidence before providing assurance that the action is taken and that it mitigates the risk.
WUC Service Director - Human Resources & Organisational Development (Head of Paid Service)	05/09/2014	I recommend that a regular check is carried out on posts within all establishments to confirm the records in SAP represent the actual posts available, as agreed with Finance, and reflects whether each post is occupied or vacant.	4	25105	01/04/2015	Work to action this recommendation is still taking place. Target date still 1/04/2015. This is a joint action for HR and Finance.	Response from Head of HR Services on 01.06.15: 'The action taken and described below (in response to recommendation ref 25106) will prevent any further issues with this. In addition reviews of structures in SAP are now part of the process that supports the delivery of service reviews and re-structures. On-going updates of SAP structures will take place on an adhoc basis as any issues are identified by finance'. Internal Audit will seek evidence before providing assurance that the action is taken and that it mitigates the risk.
WUC Service Director - Human Resources & Organisational Development (Head of Paid Service)	05/09/2014	I recommend that before Business Services make changes to establishments in SAP that approval is provided by Finance as evidence that budget parameters have been discussed and agreed with the establishment manager.	4	25106	01/04/2015	Work to action this recommendation is still taking place. Target date still 1/04/2015. This is a joint action for HR and Finance'.	Head of HR Services responded on 02.06.15: 'This is complete. A finance approval stage has been built in Talentlink and is now operating. This is an additional approval stage for any recruitment that takes place whether for permanent or agency staff. No further action required'. Internal Audit will seek evidence before providing assurance that the action is taken and that it mitigates the risk.
Expense Claims - HMRC							
WUC Associate Director – People & Business Services	19/12/2014	I recommend investigating the possibility of changing the 'Paper Receipt Exists' box from a tick box to a drop down 'Yes' or 'No' box. Managers will then have to physically select yes or no to indicate whether they have seen a paper receipt before authorising each claim.	3	26580	30/09/2015	A request has been submitted to SAP Support to investigate making a change to the current setting to enable us to explore the implications of the proposed change. Our corporate tax advisors have also been contacted to ensure that scanned electronic receipts would be accepted by Revenue and Customs are their instructions did state 'original receipts'.	Some research has been carried out into the potential for changes to the ESS/MSS portal for both the default yes/no and the potential for scanning receipts, however technical and process issues still exist with these options. We are continuing to work with SAP Support to find resolutions however over the past few months the impact of the SAP refresh and continuing technical issues with payroll have meant that this work has not yet been completed. We will be continuing to progress this work and propose a revised date of end of September 2015.

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WUC Associate Director – People & Business Services	19/12/2014	I recommend consideration be given to introducing a facility in SAP whereby paper receipts can be scanned and attached electronically to each expense claim.	4	26695	28/02/2015	A request has been submitted to SAP Support to investigate making a change to the current setting to enable us to explore the implications of the proposed change. Our corporate tax advisors have also been contacted to ensure that scanned electronic receipts would be accepted by Revenue and Customs are their instructions did state 'original receipts.	Some research has been carried out into the potential for changes to the ESS/MSS portal for both the default yes/no and the potential for scanning receipts, however technical and process issues still exist with these options. We are continuing to work with SAP Support to find resolutions however over the past few months the impact of the SAP refresh and continuing technical issues with payroll have meant that this work has not yet been completed. We will be continuing to progress this work and propose a revised date of end of September 2015.
Highways & Streetscene Contract							
WUC Head of Local Highway & Street Scene	03/02/2015	I recommend that a variation to the contract should be considered to cover the Find & Fix and Find & Report tools so that processes are clearly understood by both parties.	4	26343	01/09/2015	Service under review as part of savings for 2015/16. New supervisory processes and procedures to be developed.	'Currently under review with BBLP, with the timings and actions to be agreed.'the review will have an impact on the audit's recommendations. We are nearing the end of the discussions and hence a three month extension would hopefully allow a more informed update for the audit.
WUC Head of Service Local Highways and Street Scene (Central)	03/02/2015	I recommend that the Risk Register is reviewed to ensure all outstanding CENs/EWNs are appropriately carried forward into the following year Risk Register and it is updated to reflect items that have been closed to avoid confusion and identifying the latest position.	4	26418	01/06/2015	New process for managing EWNs through Service Delivery Teams being established.	'Currently under review with BBLP, with the timings and actions to be agreed.'the review will have an impact on the audit's recommendations. We are nearing the end of the discussions and hence a three month extension would hopefully allow a more informed update for the audit.
WUC Head of Service Local Highways and Street Scene (Central)	03/02/2015	I recommend that the Co-ordinators refer to the agreed schedule, Whereabouts and Daily Activity Manual Reports in order to plan a schedule of inspections. Where the whereabouts reports indicate that BBLP are not planning to deliver work in accordance with the agreed schedule this should also be recorded on the CCMR. All inspections carried out by the Co-ordinator should be supported with relevant details to support the contract specification grading.	4	26633	01/09/2015	Service under review as part of savings for 2015/16. New supervisory processes and procedures to be developed.	'Currently under review with BBLP, with the timings and actions to be agreed.'the review will have an impact on the audit's recommendations. We are nearing the end of the discussions and hence a three month extension would hopefully allow a more informed update for the audit.
WUC Head of Service Local Highways and Street Scene (Central)	03/02/2015	I recommend that the Daily Activity Manual Reports are re-instated to ensure that works are carried out according to the schedules. The reports should be requested on a sample basis as selected by the Community Co-ordinator until full confidence is restored. This will allow the authority to have overall visibility and time to act on matters of importance. I also recommend that this process is replicated across all the Community Team including Parish Stewards for reactive works.	3	26634	01/09/2015	Service under review as part of savings for 2015/16. Use of App and tracking to be introduced to improve monitoring.	'Currently under review with BBLP, with the timings and actions to be agreed.'the review will have an impact on the audit's recommendations.We are nearing the end of the discussions and hence a three month extension would hopefully allow a more informed update for the audit.
WUC Head of Service Local Highways and Street Scene (Central)	03/02/2015	I recommend that all the Daily Activity Manual Reports are appropriately referenced with map codes in line with the Marlborough Daily Activity Manual sheet. For clarity I recommend that only unique map codes are used, this could be achieved by adding a prefix of the area to the current codes.	3	26635	01/09/2015	New supervisory processes and procedures to be developed. Vehicle tracking to be established.	'Currently under review with BBLP, with the timings and actions to be agreed.'the review will have an impact on the audit's recommendations. We are nearing the end of the discussions and hence a three month extension would hopefully allow a more informed update for the audit.
WUC Head of Service Local Highways and Street Scene (Central)	03/02/2015	I recommend more clarity is obtained on the structure chart on the number of staff within the Community Team to deliver the services.	4	26637	01/09/2015	Requests exceeding 18 hour statutory limit already notified as part of process. Individual services would have to decide whether they would have capacity to log time for completion of requests – currently they do not consider that capturing this information would be of value since the data has to be provided in any event. CLT will be asked to take a view on whether this should be recorded – not a decision that can be made at Governance Service level since it affects other services, rather than Governance.	'Currently under review with BBLP, with the timings and actions to be agreed.'the review will have an impact on the audit's recommendations. We are nearing the end of the discussions and hence a three month extension would hopefully allow a more informed update for the audit.
WUC Head of Local Highway & Street Scene	03/02/2015	I recommend that a review is carried out to ensure all PEMS have been appropriately reflected as completed on EXOR. This will ensure that all works have been actioned.	3	26638	01/06/2015	Currently working with the contractor through a collective user group to improve the quality of PEM and defect information across all systems.	'Currently under review with BBLP, with the timings and actions to be agreed.'the review will have an impact on the audit's recommendations. We are nearing the end of the discussions and hence a three month extension would hopefully allow a more informed update for the audit.

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WUC Head of Service Local Highways and Street Scene (Central)	03/02/2015	I strongly recommend that pothole repairs and insurance claims are appropriately investigated and a formal warning to the contractor should be instigated, where necessary.	4	26639	01/06/2015	We are currently undertaking a review of the pothole process with the aim of improving service delivery and data quality.	'Currently under review with BBLP, with the timings and actions to be agreed.'the review will have an impact on the audit's recommendations. We are nearing the end of the discussions and hence a three month extension would hopefully allow a more informed update for the audit.
WUC Head of Local Highway & Street Scene	03/02/2015	I recommend that a report is produced from EXOR with the relevant instructed Scheduled Local Highway works to review against actual delivery and demonstrate if failings have occurred. The CCMR is too general for this area of service delivery. The total community services budget is £8m annually and therefore should have the appropriate reports to ensure the service is delivered and to avoid further claims from members of the public.	4	26727	01/06/2015	Performance reports are being written to measure this. We are currently in the testing stage. It is a detailed suite of reports designed to measure end to end times for reactive maintenance.	'Currently under review with BBLP, with the timings and actions to be agreed.'the review will have an impact on the audit's recommendations. We are nearing the end of the discussions and hence a three month extension would hopefully allow a more informed update for the audit.
WUC Head of Local Highway & Street Scene	03/02/2015	I recommend that the contractor be reminded of the contract particulars where they are not being complied with. For any continued failure to comply formal warnings should be provided and special measures should be taken so that it is clear to the contractor that they must adhere to the contract.	4	26728	01/09/2015	Service under review as part of savings for 2015/16. New supervisory processes and procedures to be developed.	'Currently under review with BBLP, with the timings and actions to be agreed.'the review will have an impact on the audit's recommendations. We are nearing the end of the discussions and hence a three month extension would hopefully allow a more informed update for the audit.
Independent Reviewing Process							
WUC Service Manager Safeguarding	15/09/2014	I recommend that the current system for keeping records of consultation and invitations to review meetings is re-examined with the intention of ensuring that a proper record is maintained. Ideally these letters should be generated and stored within the CareFirst system, but this is a matter for the software supplier to address.	3	25703	15/12/2014	Will be part of the Care Store Project to be implemented January 2015.	The service is in the middle of Ofsted inspection and so is not able to consider or respond to this at present but will be forthcoming post the review
WUC Service Manager Safeguarding	15/09/2014	I recommend that the CareFirst system should be adapted to provide a prompt that a review is overdue through exception reporting, although I acknowledge that this would be a matter for the software supplier to address.	3	25768	15/12/2014	To be taken to the Care First Board for action Feb 2013.	The service is in the middle of Ofsted inspection and so is not able to consider or respond to this at present but will be forthcoming post the review
Members' Expense Claims							
WUC Associate Director – People & Business Services	21/11/2014	I recommend that the 'Wiltshire Council Members' Allowances Scheme' dated 12/11/2013 is reviewed to ensure it is clear and not open to mis-interpretation in regards to how much subsistence may be claimed.	3	25068	30/04/2015	We anticipate that HMRC are likely to make legislative changes to the tax arrangements for councillors. With this in mind we are not proposing to review the scheme until we have been notified of these changes which we anticipate will be later this calendar year. So the earliest timescale will be to review the scheme by February 2015. In the interim we will consider circulating a guidance note, similar to the one provided for staff.	No further management response. Followed up by email 29/05/2015 and again on 07/07/2015.
WUC Associate Director – People & Business Services	21/11/2014	I recommend that as receipts are received, they are securely attached to a claim reference number prior to submission to payroll. A clear indication that receipts have been seen and checked would be helpful. This would provide evidence if a receipt does become detached in the future.	3	25069	30/04/2015	We will look to move towards adopting / aligning the same process for Councillors as we do for staff and issue a guidance note accordingly (see note 1.1a) Payroll are introducing a process to scan and submit receipts, which will apply to all staff and members.	No further management response. Followed up by email 29/05/2015 and again on 07/07/2015.
WUC Associate Director – People & Business Services	21/11/2014	I recommend members are required to submit their expenses claims through SAP. Training should be provided to ensure full and accurate claims are made.	3	25116	30/04/2015	We will as far a possible align the process with that provided for staff and ensure it is ICT compatible. We will also provide a guidance note and consider training needs where appropriate.	No further management response. Followed up by email 29/05/2015 and again on 07/07/2015.
WUC Associate Director – People & Business Services	21/11/2014	I recommend members are reminded of the importance of providing receipts and providing sufficient details within their claims to enable verification. This can have VAT and even National Insurance Contribution implications.	4	25117	30/04/2015	Guidance note to be circulated.	No further management response. Followed up by email 29/05/2015 and again on 07/07/2015.
WUC Associate Director – People & Business Services	21/11/2014	I recommend members are reminded of the need to submit claims on a monthly basis.	3	25302	30/04/2015	We will as far a possible standardise the process with that provided for staff and provide a guidance note (refer to note 1.2b)	No further management response. Followed up by email 29/05/2015 and again on 07/07/2015.

Assigned to	Final report issue date	Description	Priority	Ref	Target Due Date	Management Comments	Current Status
Accounts Receivable							
WUC Associate Director – People & Business Services	21/11/2014	I recommend that claims should not be paid until they have been authorised. The authorisation process should confirm that sufficient detail has been included in the claim and that receipts are attached. This could be backed up by more detailed spot-checking.	4	25499	30/04/2015	Any resource allocated to authorising and spot checking claims needs to be proportionate to the level of risk (both financial and reputational). With this in mind we are not proposing to 'authorise' every claim as such but will initiate a monthly programme of spot checks to ensure that every councillor has at least one months' claim reviewed on an annual basis.	No further management response. Followed up by email 29/05/2015 and again on 07/07/2015.
Payments outside SRM							
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the Accounts Payable Manager ensures that guidance will be issued to define when an FB60 payment request is to be used. This should include confirmation of when an FB60 form should be used and a revision of the list of exemptions.	4	23358	30/04/2015	The FIT project has been disbanded and moved over to business as usual developments within service areas. These processes will be picked up again from June 2015 with a new project run by Business services Finance to improve Accounts payable processes of which this element will be part.	Response from Head of Business Services Finance on 22.06.15: 'At the moment I do not have firm dates as they are not projects as such, just work being done with procurement, so I am dependant on that restructure to move forward, therefore a date of 31/03/2016 will be fine'.
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the FIT Review Project Team aim to make arrangements for scanning all invoices and payment requests to aid the payments process.	3	23423	30/04/2015	The FIT project has been disbanded and moved over to business as usual developments within service areas. These processes will be picked up again from June 2015 with a new project run by Business services Finance to improve Accounts payable processes of which this element will be part.	Instead of being progressed as part of the FIT Project, Business Services are now taking action. Response from Head of Business Services Finance as at 27.05.15: 'Work is underway to identify a solution. The approach being considered is to receive scanned images from royal mail and use current system to provide a copy of those images and workflow for authorisation'. Response from Head of Business Services Finance on 22.06.15: 'At the moment I do not have firm dates as they are not projects as such, just work being done with procurement, so I am dependant on that restructure to move forward, therefore a date of 31/03/2016 will be fine'.
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the FIT Review Project Team should ensure that clear, concise, head line guidance is provided on the Council's Intranet, The Wire, that joins up the various processes and is available in one area. Council officers should be able to go to one webpage and be told what they have to do to make a purchase that complies with Council rules and regulations and how the payment is expected to be processed.	4	23425	30/04/2015	The FIT project has been disbanded and moved over to business as usual developments within service areas. These processes will be picked up again from June 2015 with a new project run by Business services Finance to improve Accounts payable processes of which this element will be part. More emphasis will be placed on communication and engagement with staff.	Work is currently ongoing with the procurement team to produce this. The plan is to roll this out as part of the procurement restructure and practice of category management. Initially it will be a re-affirmation of the rules, including a communication exercise, the enforcement is likely to occur on a service by service basis initially'. Re Implementation date - response from Head of Business Services Finance on 22.06.15: 'At the moment I do not have firm dates as they are not projects as such, just work being done with procurement, so I am dependant on that restructure to move forward, therefore a date of 31/03/2016 will be fine'.
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend the FIT Review Project Team ensures awareness is increased among all Council staff involved in procurement and purchasing of the preferred processes that should be used and that a more rigorous regime will be applied to enforce compliance.	4	23426	30/04/2015	The FIT project has been disbanded and moved over to business as usual developments within service areas. These processes will be picked up again from June 2015 with a new project run by Business services Finance to improve Accounts payable processes of which this element will be part. More emphasis will be placed on communication and engagement with staff.	Re Implementation date - response from Head of Business Services Finance on 22.06.15: 'At the moment I do not have firm dates as they are not projects as such, just work being done with procurement, so I am dependant on that restructure to move forward, therefore a date of 31/03/2016 will be fine'. Instead of being progressed as part of the FIT Project, Business Services are now taking action. Response from Head of Business Services Finance as at 27.05.15: 'Work is currently ongoing with the procurement team to produce this. The plan is to roll this out as part of the procurement restructure and practice of category management. Initially it will be a re-affirmation of the rules, including a communication exercise, the enforcement is likely to occur on a service by service basis initially'.
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the FIT Review Project Team consider approaches to change the culture from doing things the way it has been done to encouraging officers to ask is this the correct way to order and pay for goods and services on behalf of the Council.	4	23427	30/04/2015	The FIT project has been disbanded and moved over to business as usual developments within service areas. These processes will be picked up again from June 2015 with a new project run by Business services Finance to improve Accounts payable processes of which this element will be part. More emphasis will be placed on communication and engagement with staff.	Instead of being progressed as part of the FIT Project, Business Services are now taking action. Response from Head of Business Services Finance as at 27.05.15: 'This will be done in conjunction with procurement and category managers on a service by service basis'. Re Implementation date - response from Head of Business Services Finance on 22.06.15: 'At the moment I do not have firm dates as they are not projects as such, just work being done with procurement, so I am dependant on that restructure to move forward, therefore a date of 31/03/2016 will be fine'.
WUC Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the FIT Review Project Team look at training and guidance materials to consider if this can be rationalised and co-ordinated so officers understand the process from ordering to payment through to recording costs for budget monitoring. Also, to target refresher training to service areas where procurement and payments knowledge is likely to have been lost or reduced due to structural change.	4	23428	30/04/2015	The FIT project has been disbanded and moved over to business as usual developments within service areas. These processes will be picked up again from June 2015 with a new project run by Business services Finance to improve Accounts payable processes of which this element will be part. More emphasis will be placed on backdated and ongoing training needs.	Instead of being progressed as part of the FIT Project, Business Services are now taking action. Response from Head of Business Services Finance as at 27.05.15: 'Work is currently ongoing with the procurement team to produce this. The plan is to roll this out as part of the procurement restructure and practice of category management. Initially it will be a re-affirmation of the rules, including a communication exercise and training'. Re Implementation date - response from Head of Business Services Finance on 22.06.15: 'At the moment I do not have firm dates as they are not projects as such, just work being done with procurement, so I am dependant on that restructure to move forward, therefore a date of 31/03/2016 will be fine'.
Payroll							

Assigned to	Final report issue date	Description	Priority	Ref	Target Due Date	Management Comments	Current Status
Accounts Receivable							
WUC Head of Service, HR Operations	07/04/2014	I recommend that starter forms should be fully completed, whether for councillors or co-optees.	3	24380	31/07/2014	Confirmation that this action is working will not be possible yet as it is not anticipated that there will be new members until the next election in May 2017.	The process for payment of councillors is already subject to review. New starter e-forms are due for implementation very shortly which will fully address this audit requirement. New paper forms will be agreed in the interim. Revised implementation date May 2017.
WUC Head of Service, HR Operations	07/04/2014	I recommend that special responsibility allowances should be notified to payroll using a standard form which facilitates the correct treatment of multiple special responsibility allowances.	3	24381	31/07/2014	This is not current priority as new members are not expected until the next election in 2017. However steps are being taken to reinstate the spreadsheet to suggest a target due date to get the spreadsheet reinstated is changed to 31/05/15.	A spreadsheet with the details of members allowances was provided this year. The process for payment of councillors is already subject to review. New e-forms are due for implementation very shortly which will fully address this audit requirement. New paper forms will be agreed in the interim.
Quality Assurance Checks							
WUC Associate Director – Legal & Governance	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	22126	31/03/2014	A Firewall Management Procedure has already been written. Assurance checks will be developed and implemented in collaboration with ICT. This will include a review of data, tools and any configuration changes needed to support identified firewall assurance checks. In view of the sizeable firewall ruleset there is a potential requirement to procure and implement new tooling to automate the process as far as possible. The target is to develop firewall assurance checks and supporting tooling by 31 March 2014.	Progress has been made in developing appropriate checks to provide reasonable assurance of effective and secure management of Firewalls. Work is ongoing with ICT to provide the necessary data to support the assurance checks.
WUC Associate Director – Legal & Governance	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	23174	28/02/2014	Reporting lines will be added to Assurance Checks documentation. Distribution of Assurance Checks Reports will be extended to the Head of ICT's direct reports: Configuration & Change Manager and Solutions Manager – Servers & Storage. A report for the Head of Governance will be developed and implemented to indicate expected and actual assurance checks undertaken during the period against the assurance catalogue.	This will be addressed as part of the action plan that is being developed to implement the recommendations of the Information Commissioner following a voluntary audit of the council's information governance arrangements in March 2015.
WUC Associate Director – Legal & Governance	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	23175	31/03/2014	Remedial actions and risks highlighted by assurance checks will be added as a standing agenda item at the monthly Compliance and Security Forum meeting. Where there are significant risks or a lack of progress in completing necessary actions these will be escalated to the bi-monthly Information Assurance Steering Group which is attended by the SIRO (Carlton Brand).	The current arrangements will be reviewed as part of the implementation plan to strengthen and improve the council's information governance arrangements following the ICO's recent audit.
Residential Parking Permits							
WUC Head of Local Highway & Street Scene	02/10/2014	I recommend that the "Map of Residential Parking Zones" is updated to reflect changes to the residential parking scheme.	3	26163	31/12/2014	Scheduled for end 2014.	This is scheduled for introduction of virtual permits early September. Implementation date updated to 30.09.2015.
WUC Head of Local Highway & Street Scene	02/10/2014	I recommend that regular review of the number of permits issued in relation to the number of spaces is carried out to determine whether subscription levels remain appropriate.	3	26399	31/03/2015	Early 2015 implementation to see a quarterly review is taken of subscription levels with appropriate adjusting action taken of future subscription levels.	in progress completion date September. Implementation date updated to 30.09.2015
WUC Head of Local Highway & Street Scene	02/10/2014	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	31/03/2015	Early 2015 implementation to see a quarterly review is taken of subscription levels with appropriate adjusting action taken of future subscription levels.	in progress completion date September. Implementation date updated to 30.09.2015
Safeguarding (Adult)							

Assigned to	Final report issue date	Description	Priority	Ref	Target Due Date	Management Comments	Current Status
		Accounts Receivable					
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that all fields within CareFirst are completed with use of NA where necessary to provide assurance that all questions and fields have been considered.	3	27213	31/01/2015	This issue to be discussed with the CareFirst team.	Since the audit was undertaken the Care Act has come into force and safeguarding investigations as you will know are now focused around the individual needs and wishes of the adult at risk rather than a prescribed process that has to be followed on each occasion. As a result of this shift rather than being process driven safeguarding investigations are now person centred with time frames and formal processes no longer the main focus. Therefore some of the findings of the original report relating to the slipping of time frames would no longer be an indicator of poor practice as long of course as there is clear and precise recording for why an ESA has been delayed etc. Ongoing reasonable time frames for action remain important, however a greater emphasis will be placed on making safeguarding personal and recording outcomes for the customer – the conversation with the audit at risk and the outcomes they identify become the focus for the investigation and is therefore a conversation that leads rather than one that is fitted into the process. The Head of service has provided additional detailed comments regarding future focus of this approach (further information available on MKI) which will be used as a the basis of future follow up review.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that where a client's capacity is doubted and they are asked to make multiple decisions, multiple Mental Capacity Assessments should be carried out. Each assessment should be specific in stating what question the vulnerable adult is being asked to consider.	3	27215	31/01/2015	A guidance report to be prepared following this SWAP review advising operational teams of issues relating to their practice that need to be addressed. This can be raised in opa teams meetings as well as in the IM and IO meetings. All teams should be aware of the use of the MCA - suggest a guidance document is sent out to all operational teams on this issue. Discussion with training and development to ensure that this point is reinforced in any training given.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that Team Managers assign Investigating Officers and Managers at the earliest opportunity, with action being carried out by those assigned as soon as possible.	3	27216	31/05/2015	A guidance report to be prepared following this SWAP review advising operational teams of issues relating to their practice that need to be addressed. In this instance the report will highlight the importance of recording at the earliest opportunity. This issue will also be raised in the Operational managers meetings as well as in the IM and IO meetings. Longer Term: Consideration is being given to implementing an adult MASH the process being that all alerts are triaged and managed centrally until the ESA has been completed before being assigned back to locality teams for APC. This will tighten up the front end of the safeguarding process and lead to a faster response time as the SAMCAT are dedicated to safeguarding alone. A trial of this process is being planned for the spring.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that the Early Strategy Meeting, Adult Protection Conference and Adult Protection Review documentation is amended to include a question relating to whether timescales have been met and a narrative box to provide an explanation where timescales have been breached.	4	27217	31/05/2015	This information should be included in the minute therefore this will need to be reinforced in the guidance report to be prepared. This can be raised in the Operational Managers team meetings as well as in the IM and IO meetings. During the course of the case file audit process there's a check on timescale for the investigation. However only a proportion of cases are scrutinised in this depth. A narrative box can also be considered and the care first team will be contacted with regard to this.	Please refer to the current status update for recommendation 27213 above.

Assigned to	Final report issue date	Description	Priority	Ref	Target Due Date	Management Comments	Current Status
Accounts Receivable							
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that where there is no reason to doubt mental capacity that this is expressly stated in relation to questions regarding capacity.	3	27218	31/05/2015	<p>In the triage advice all locality teams are advised to record whether the customer has capacity to understand the abuse they have suffered and whether they would like this to be investigated under safeguarding. There is also a question on care first. This can again be reinforced in the advice and guidance sent to operational teams.</p> <p>In addition to this all IMs will be required to attend the 3 monthly update meetings run by the SAMCAT manager ongoing issues will be raised in this forum and ongoing discussion take place.</p> <p>It is to be noted that in the longer term the council is considering the introduction of the Adult MASH and the Making Safeguarding Personal initiative that will address this issues centrally.</p>	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that documenting clearly client wishes is carried out for all allegations at the earliest opportunity.	4	27219	31/05/2015	<p>The SAMCAT Triage advice always includes a prompt asking for this to be recorded. This can be reinforced again in the guidance. In addition to this all IMs will be required to attend the 3 monthly update meetings run by the SAMCAT manager so that this will be reinforced in that forum and ongoing discussion take place.</p> <p>Training and development department to be advised of this concerns and ensure that this is emphasised in any training received by IMs and IOs</p> <p>LONGER TERM:</p> <p>The council is considering the introduction of an Adult MASH and the Making Safeguarding Personal initiative that will address these issues centrally.</p>	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that where an Investigating Officer or Manager exercises their professional judgement in not taking SAMCAT Triage advice that their reasons for doing do are clearly documented.	4	27220	31/01/2015	<p>This must be clearly recorded on the Abuse Allegation questionnaire. This issue will be reinforced in the guidance sent to locality teams and be linked with the case file audit process.</p> <p>This matter to also be raised at the IM and IO meetings</p>	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that the Abuse Allegation document is only closed and the Safeguarding Investigation opened once the decision to hold an Early Strategy Meeting has been agreed.	3	27221	31/01/2015	<p>This is not usual practice however scenarios are always complex and this delay may have been due to the situation not becoming clear earlier.</p> <p>Contact to be made with the locality team managers for clarity on this.</p>	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that attempts to receive information or action from partner agencies is documented to provide evidence on ongoing attempts to continue the safeguarding process.	3	27222	28/02/2015	<p>vAll IM's to be advised that this needs to be included in minutes. It is to be noted that often requests for information are not responded to and the IM has limited powers to force action.</p> <p>In these situations a process for escalating these issues to the SAB will be put in place.</p>	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that the Local Safeguarding Adults Board be involved in pursuing outstanding responses and actions from partner agencies as one of the sub groups.	3	27223	28/02/2015	<p>All IM's to be advised that this needs to be included in minutes. It is to be noted that often requests for information are not responded to and the IM has limited powers to force action.</p> <p>In these situations a process for escalating these issues to the SAB will be put in place.</p> <p>This issue to be raised with Margaret Sheather SAB chair for possible inclusion on the agenda at SAB meetings.</p>	Please refer to the current status update for recommendation 27213 above.

Assigned to	Final report issue date	Description	Priority	Ref	Target Due Date	Management Comments	Current Status
Accounts Receivable							
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that safeguarding documentation is authorised as a priority.	4	27225	31/01/2015	This is a practice issue that will be addressed in the guidance notes and reinforced in IM and IO meetings.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that alternative methods and tools for recording and progressing Large Scale Investigations are researched with the aim of increasing the level of assurance that policies, procedures and actions are being carried out as required.	3	27226	28/02/2015	This is an action for the SAMCAT team and will be addressed in an appendix to the LSI guidance.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that where allegations are made as part of a Large Scale Investigation, all concerns are investigated with a conclusion as to whether concerns are substantiated or unsubstantiated.	5	27229	31/01/2015	A guidance note will be added to the LSI detailing this.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that all individual concerns relating to a vulnerable adult that has been reviewed as part of the Abuse Allegation are recorded within a summary in Large Scale Investigation. In addition, where specific concerns have been raised regarding individuals, the relevant CareFirst record should be updated.	3	27230	28/02/2015	Only concerns that relate to the terms of reference for the large scale investigation would need to be recorded. Often concerns are recorded in the report from the Investigating Officer who uses this information to inform their report document. The relevant care first record must be updated to record any issues raised about the individual as part of the large scale investigation and this will be included in the guidance provided to teams. This would be the responsibility of the IM to oversee.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that where an individual cannot be identified from the information provided within the alert, the Investigating Officer and Manager should document what attempts were made to determine the identity of the individual.	3	27231	31/01/2015	A prompt for this will be included in the guidance notes.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that Manager Case File Audit documentation is updated to include consideration of whether SAMCAT triage advice has been taken and whether documentation stored outside of CareFirst can be located.	3	27234	31/01/2015	This will be added to the case file audit document.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that where an alleged victim is not in agreement with the devised Protection Plan, a reason for this is documented which should include what attempts were made to seek agreement.	4	27237	31/01/2015	This is a practice issue that will be addressed in the guidance notes and reinforced in IM and IO meetings.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that Safeguarding Investigations are closed once safeguarding decisions and actions have been carried out. Care Management and other procedures should be documented on relevant documentation, not within the Safeguarding Questionnaires.	3	27238	31/05/2015	If the Safeguarding investigation spreads to areas that are not specific to safeguarding and should be addressed by care management this issue can arise. In these instances the IM has set an action relating to a care management issue that has to be addressed before the investigation can be concluded. SHORT TERM A guidance report to be prepared following this SWAP review advising operational teams of issues relating to their practice that need to be addressed. In this instance the report will highlight the importance of having clear Terms of Reference that relates solely to safeguarding at the start of any investigation. This issue will also be raised in the Operational Managers meetings as well as in the IM and IO meetings. LONGER TERM Consideration is being given to implementing an Adult MASH the process being that all alerts are triaged and managed centrally until the ESA has been completed before being assigned back to locality teams for APC. Any issues that are purely care management would be immediately transferred to operational teams before an ESA is held. A trial of this process is being planned for the spring.	Please refer to the current status update for recommendation 27213 above.

Assigned to	Final report issue date	Description	Priority	Ref	Target Due Date	Management Comments	Current Status
Accounts Receivable							
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that where wholly new allegations or concerns are raised during the course of an investigation, a separate Abuse Allegation should be created and investigated. This is to include where the type of abuse experienced, the alleged victim or the alleged perpetrator changes.	5	27239	31/01/2015	This is contrary to the safeguarding Policy and procedures and should not happen. The Policy is clear that any additional alert must initiate a separate safeguarding investigation if the issue is a different one from the current investigation. This will be raised in the guidance notes sent to operational teams and raised in IM and IO meetings.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that Investigating Officers and Managers accurately enter whether client wishes and outcomes have been met. These should be cross referenced to the outcomes identified and documented at the start of the process. Where outcomes have not been met, an explanation why should be provided.	4	27240	28/02/2015	The Council will be moving forward with a trial of the Making Safeguarding Personal initiative in the new year. This will embed the practice of outcome focused working in all safeguarding investigations. Training will be made available before this process is fully rolled out to ensure that all practitioners are competent at reviewing outcomes at the end of an investigation. The MASH process will involve the central safeguarding adults team not only setting the terms of reference for an investigation ensuring this fits the eligibility for a safeguarding investigation but also that the capacity and desired outcomes of the adult at risk are fully documented at the start of the investigation. This will enable the operational teams to have clear outcomes to review at the end of the investigation.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that as a matter of best practice, contact is made with the alleged victim as early in the process as possible. Where a delay is necessary or contact cannot be made, an explanation should be provided.	4	27241	31/05/2015	In my experience this is not a regular omission the sample of investigations monitored may have given the wrong impression that this is a major problem. The triage officers always add prompt advising teams to contact the adult at risk and their families. However even one investigation that does not include details of contact having been made with the victim of the abuse and or the family is a matter for concern. I will include a prompt about this in the guidance notes for managers. This issue will be fully addressed by ther introduction of Making Safeguarding Personal initiative.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that where a decision is made to not hold an Early Strategy Meeting, or that the Early Strategy Meeting needs to be delayed, clear rationale for this should be documented.	3	27242	28/02/2015	This is a recording issue and will be addressed in the guidance notes prepared for operational teams. In addition it will be raised at IM and IO meetings. The case file audit should pick up concerns regarding this if they are ongoing.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that where a response is pending from a partner agency regular contact is maintained and documented with the client. In addition, attempts to receive a response from the partner agency should be documented.	3	27243	31/01/2015	This is a recording issue and will be addressed in the guidance notes prepared for operational teams. In addition it will be raised at IM and IO meetings. Issues can be escalated to the SAB if no response comes from the partner agency.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend timely completion and submission of Form 75 to SAIT for all allegations of abuse where SAIT involvement may be necessary.	4	27244	28/02/2015	This is a recording issue and will be addressed in the guidance notes prepared for operational teams. In addition it will be raised at IM and IO meetings. Issues can be escalated to the SAB if no response comes from the partner agency. The police no longer use the form 75 and now have the PPD1 form. There is an issue with care first as the old form remain on the system. This will need to be addressed with the care first team and the new document uploaded.	Please refer to the current status update for recommendation 27213 above.

Assigned to	Final report issue date	Description	Priority	Ref	Target Due Date	Management Comments	Current Status
Accounts Receivable							
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that Investigating Officers and Managers document where consideration of referral to an advocacy service has taken place and what the alleged victim's views are regarding this.	3	27245	31/05/2015	This should be evidenced on the safeguarding investigation document and recorded in the minutes. This will be included in the guidance sent through to teams and discussed at the IM and IO meetings.	Please refer to the current status update for recommendation 27213 above.
WUC Head of Safeguarding & Quality Assurance	22/12/2014	I recommend that Safeguarding Investigations are closed in instances where an individual has capacity and does not wish to proceed with an investigation. The reasons for closing the case should be clearly documented.	4	27248	28/02/2015	This is a clear lack of understanding of the policy and procedures and will be reinforced in the guidance notes sent out. The only occasion when an investigation would proceed against the adult at risks wishes is if there was an issue of significant risk to the general public.	Please refer to the current status update for recommendation 27213 above.
Safeguarding (Child Protection)							
WUC Head of Safeguarding & Quality	07/07/2015	I recommend that the S47 enquiry should feed into the single assessment meeting as a matter of course so that all matters have been considered and combined recommended actions are taken forward as demonstrated in the CP social care report for the CP conference. Where it is not progressed to CP then the relevant CIN plan should reflect outcomes from both the single assessment and S47 enquiry.	3	28420	31-Dec-15	Whilst recognising these individual findings, the service has developed a Safeguarding Child Protection (CP) Improvement Plan designed to address 5 strategic priorities: 1.Recruit, develop & retain a valued, stable, confident & customer focussed workforce that is suitably qualified, skilled & motivated; 2.Increase social work capacity to enable quality, direct work with children & young people and families to improve outcomes; 3.Develop relationships between children's social care, Early Help and Special Educational Needs and/or Disabilities services and external partners to ensure children and young people receive accessible and coordinated multi-agency help which is proportionate to risk; 4.Operational children's services and safeguarding partners will focus on identified areas of practice improvement to ensure children are safeguarded resulting in improved outcomes; 5.Develop and maintain a culture of aspirational practice and ability to challenge others, by demonstrating the attitudes and behaviours in the Wiltshire Council Behaviours Framework. The above provides a more holistic approach to address individual weaknesses.	Future implementation date.
WUC Head of Safeguarding & Quality	07/07/2015	I recommend that all evidence, completion and authorisation of reports/plans are updated appropriately and according to the SWQS practice standards. Records involving other siblings should have the relevant supporting documentation on their case files and matching record completion dates. In addition, I recommend that the Social Care Quality Standard is reviewed so that specific review of the CP plan is replicated as with the CIN plan review practice standards. Missing practice standard reference numbers should be updated.	4	28422	31-Dec-15	See 28420 above.	Future implementation date.
WUC Head of Safeguarding & Quality	07/07/2015	I recommend that the SWQS specifically addresses the process for carrying out CP conference audits. This should include the format of review, timescales for the audit review and who should receive the reports.	3	28425	31-Dec-15	See 28420 above.	Future implementation date.
Systems Administration							
WUC Head of Governance	29/01/2015	I recommend that all system administrators for all applications undergo basic IT security training so that they know and understand why controls are needed to safeguard their systems and its data.	4	23965	30/06/2016	This is part of a corporate approach to information assurance arrangements. A report with recommendations to be taken to CLT.	This will be addressed as part of the action plan that is being developed to implement the recommendations of the Information Commissioner following a voluntary audit of the council's information governance arrangements in March 2015.
WUC Associate Director – Legal & Governance	29/01/2015	I recommend that all IT projects determine and consider IT security at the outset of projects to ensure all new projects incorporate IT controls prior to projects being moved to Business-as-Usual (BAU) to ensure there will be no legacy anomalies in the future.	3	23966	30/06/2016	This is part of a corporate approach to review information management arrangements. A report with recommendations to be taken to CLT.	This will be addressed as part of the action plan that is being developed to implement the recommendations of the Information Commissioner following a voluntary audit of the council's information governance arrangements in March 2015.