

RECOMMENDATIONS NOT ACCEPTED

This report details recommendations that have not been accepted by management where the residual risk is medium and above and the assurance provided is partial or no.

Audit	Assurance	Residual risk score	Description	Priority	Management Response
Civica Cash Receipting	Partial	Medium	I recommend that automated disablement of accounts is enforced for all Workstation users.	3	There are only a handful of Workstation users. A valid Wiltshire Network login is also required to access any part of the ICON suite. This compensates for this control.
Civica Cash Receipting	Partial	Medium	I recommend that someone independent of the system administrator function makes checks and obtains confirmation from operational line management whether all staff have retained access rights down to the permissions level, which are appropriate to their current roles and responsibilities. This recommendation requires someone independent from the system administration function because the system administrators undertake operational as well as administrative roles.	4	Starters and leavers are dealt with on a weekly basis using data from the Payroll system. Additionally a full review of ALL users is performed annually. In order to access the system, a Wiltshire Council network login is also required. It is therefore felt that these controls cover the risk.
Civica Cash Receipting	Partial	Medium	I recommend that the roles for technical accountancy and system users administration for Civica modules are separated or alternatively that a means of independent review of system administrator duties be identified.	4	The technical accounting duties undertaken by the system administrators are such that they do not directly conflict with the administration requirements of Civica.
Civica Cash Receipting	Partial	Medium	I recommend that changes are not made to user accounts until approval has been obtained from line management and this is fully documented.	3	This relates to control improvements made in regard to clarifications of roles within the system. These new roles were applied to some users to replace the previous permissions.
Adults: referrals & assessments	Partial	Medium	I recommend that timescales for the completion of Initial Assessments on the system are documented in the Wiltshire Eligibility Criteria to care guidance. Exceptional circumstances should be recorded.	4	It is not felt appropriate to stipulate a timescale for completion of Initial assessments (IA) as a performance indicator as there are often many reasons why an IA may not be completed right away such as customer going to hospital, moving house or family members not available on particular dates to be present at the IA. In respect of customers in hospital, a hospital assessment is completed.