

**OUTSTANDING RECOMMENDATIONS, 3 MONTHS AFTER FINAL REPORT ISSUE**

**APPENDIX E**

Assigned To	Final report issue date	Description	Priority	Due date	Status	Unique Ref	Management Comments
<b>Payments outside SRM</b>							
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	30/04/2015	To be confirmed	23358	Agreed implementation date not yet due
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the Accounts Payable Manager ensures that the separation of duties is always demonstrated.	3	31/01/2014	To be confirmed	23359	Follow up in progress
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the Accounts Payable Manager ensures the consistent checking of authorisation levels for managers. Spot checks could be carried out to ensure that payments are not processed without the appropriate authorisation.	4	30/04/2015	To be confirmed	23360	Agreed implementation date not yet due
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the Accounts Payable Manager ensures that suppliers are asked to address invoices to the Council.	3	31/01/2014	To be confirmed	23362	Follow up in progress
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the Accounts Payable Manager ensures that replacement VAT invoices are requested from the supplier when alterations to payment details have to be made.	3	31/01/2014	To be confirmed	23363	Follow up in progress

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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	30/04/2015	To be confirmed	23423	Agreed implementation date not yet due
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the Accounts Payable Manager considers carrying out a study on a random sample of different payment requests to compare the average turnaround of each process with a view to informing the FIT Review.	3	30/04/2015	To be confirmed	23424	Agreed implementation date not yet due
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	30/04/2015	To be confirmed	23425	Agreed implementation date not yet due
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	30/04/2015	To be confirmed	23426	Agreed implementation date not yet due

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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	30/04/2015	To be confirmed	23427	Agreed implementation date not yet due
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	30/04/2015	To be confirmed	23428	Agreed implementation date not yet due
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend that the Accounts Payable Manager appraises the work load impacting on the Accounts Payable function alongside monitoring the through put of payments and presents a regular report highlighting areas of concern or risk to the Council so that senior management are alerted in time for action to be effected.	3	30/04/2015	To be confirmed	23430	Agreed implementation date not yet due
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	05/12/2013	I recommend the Accounts Payable Manager ensures that where a signature is not present on the FB60 form, the audit trail evidences the required separation of duties.	3	31/01/2014	To be confirmed	23526	Follow up in progress
<b>Debt Management</b>							

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Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	06/12/2013	I recommend that service areas are made aware of the documentation and evidence that they need to retain to support the debt management process. The AR2 sales Processes Workbook could be amended to include these requirements. This could also include a reference to the Legal guidance.	4	30/11/2014	To be confirmed	23545	Agreed implementation date not yet due
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	07/12/2013	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	30/11/2014	To be confirmed	23551	Agreed implementation date not yet due
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	08/12/2013	I recommend that services use debtor reports so that debts are regularly reviewed and monitored.	4	31/01/2014	To be confirmed	23578	Follow up in progress
<b>Adults: Referrals and Assessments</b>							
Corporate Director - Statutory role of Director of Adult Social Services	05/12/2013	I recommend that a facility is provided to record actual dates of Initial Assessment visits on the Carefirst system. This will allow for meaningful measurable timeframes in carrying out assessment visits and highlight possible delays.	4	31/03/2014	Outstanding	22938	A change request has been sent for this amendment to Carefirst.
<b>Health &amp; Safety Inspections</b>							

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Corporate Director - Statutory role of Director of Adult Social Services	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	It was agreed with CLT and cabinet that a full review will take place. A preliminary research exercise increased the potential scale and scope. It currently sits on the corporate risk register with an anticipated completion date of March 2015.
<b>Homes 4 Wiltshire</b>							
Corporate Director - Statutory role of Director of Adult Social Services	10/03/2014	I recommend that the Council introduces restrictions through the software used in the bidding process to prevent customers from bidding on properties they do not qualify to occupy.	3	30/09/2014	Outstanding	23146	New system will be implemented in Sept 2014 and restrictions will apply – new policy going live on 9th December 2014
Corporate Director - Statutory role of Director of Adult Social Services	10/03/2014	I recommend that the Homes 4 Wiltshire web page is amended to invite individuals with complaints about the bidding and shortlisting process to inform the Council of their concerns. Agreements with RSLs should include a clause that the Council has access to complaints received by the RSL.	3	24/09/2014	Outstanding	23177	These are being reviewed and will be included on the new site from Sept 2014.
Corporate Director - Statutory role of Director of Adult Social Services	10/03/2014	I recommend that the RSL's should be required, as part of the Homes 4 Wiltshire scheme to make their own Lettings Policies available to prospective tenants.	3	30/09/2014	Outstanding	23216	These are being requested in preparation for the new policy going live in December 2014
<b>Imprest Accounts</b>							
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	The appropriate frequency of reconciliations will be reviewed as part of the review of written procedures.

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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	A review will be undertaken. Revised implementation date 30/09/14.
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	A review will be undertaken. Revised implementation date 30/09/14.
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	A full review of the financial regulations has been undertaken and the updated set approved. A review of the guidance notes for imprest/petty cash accounts can now take place. Revised implementation date of 30/09/14.
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	This will be reviewed as part of the review of written procedures.
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	This will be reviewed as part of the review of written procedures.
<b>Quality Assurance Checks</b>							

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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 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
<b>Licensing</b>							

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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	Outstanding	23069	Due to substantial turnover of staff and shifting of Taxis and street trading licensing functions to other teams in the Council this has not yet started. Licensing team is now settling and clearer remit will enable this work to begin. Full team will be in place from Sep 14 and new team leader in place from April 14. Further work is required to understand breakdown of work across licences. Once team has stabilised this will be incorporated within Team plan. Anticipated November 2014.
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
<b>Contract Clauses</b>							
Corporate Director - Statutory role of Director of Adult Social Services	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	31/05/2014	Outstanding	23172	The rules were due to go to Cabinet for July after some delays, but due to the Procurement review it has been decided that the rules changes need to await the outcome and reflect new governance and other requirements. This should follow on quickly from the conclusion of the review. Revised implementation date early 2015.



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Corporate Director - Statutory role of Director of Adult Social Services	25/02/2014	I recommend that procedures should be put in place to ensure all contracts are included in the Contracts Register.	4	01/01/2016	Outstanding	23312	A review of procurement is underway and a central outcome of that independent of the final structure, will be to address how we capture this. the review ought to conclude during 2014 so the original timeframe of progressive adoption towards 2016 remains realistic but might be achieved earlier.
Corporate Director - Statutory role of Director of Adult Social Services	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	01/01/2016	Outstanding	23523	The procurement review will ensure that requirements for legal involvement are well managed. The original target date of progressive adoption towards 2016 remains valid and might be achieved earlier.
<b>Northgate Benefit System</b>							
WUC Head of Revenues & Benefits	17/03/2014	I recommend that the Council should develop an Authorised Access Matrix for the Northgate Revenues and Benefits system to demonstrate that there are no unidentified Segregation of Duties conflicts in the way that Job Roles and Action Groups have been configured.	4	31/10/2014	Outstanding	24028	Agreed implementation date not yet due
<b>Passenger Transport Safeguarding</b>							
Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	03/12/2013	I recommend that the General Terms and Conditions for Passenger Transport contracts should be reviewed to ensure all details are up to date, in particular the safeguarding clause.	3	31/01/2014	Outstanding	22978	This issue is being discussed further with a view to gaining corporate agreement for more resource

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Corporate Director - Statutory role of Returning Officer and Electoral Registration Officer	03/12/2013	I recommend that the handbooks for drivers and passenger assistants be reviewed together, alongside the new safeguarding policy and contract terms and conditions, so both handbooks contain consistent information and advice.	3	28/02/2014	Outstanding	23128	This issue is being discussed further with a view to gaining corporate agreement for more resource