

RISK LEVEL 3 & 4 RECOMMENDATIONS **01 APRIL 2009 to 15 JULY 2009**

audit year	ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
2008/09	CORP 01	Corporate Income	3.1	<p>Collection policy should be adopted to ensure best use of resources and to improve on the Council's Cash Flow.</p> <p>The policy should include the provisions that:</p> <p>a) persistent sundry debtors should be prevented from obtaining further goods or services on credit until such time as outstanding debts are cleared or agreed repayment plans are implemented;</p> <p>b) the authority to veto the supply of further goods or services on credit to persistent sundry debtors be given to the Council's Debt Recovery Team;</p> <p>c) a focus group should be set up comprising of senior managers to work in conjunction with the debt recovery team to identify income collection where services provided is continuous and to require customers to pay by direct debit.</p> <p>Further more, to ensure the continuation of the level of</p>	3	Agreed	Chief Finance Officer / Head of Customer Support & Revenue Services	Debt Recovery Policy will be drawn up and considered alongside the Fees & charges policy being developed by Scrutiny Committee, to be considered at their meeting in July. Both policies will subsequently be brought to F&A committee for approval	September 2009

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				<p>service provided, when calculating Fees & Charges, consideration should be given to including in the charge apportioned amounts relating to non-tangible costs e.g. recharges for floor space; IT support; research & development; forward planning etc.</p> <p>To facilitate this process a template should be drawn up by Finance Section to assist departments in the calculation of costing of fees and charges.</p>					
2008/09	CORP 01	Corporate Income	3.2	To reduce the time being taken by departments in resolving queries, Aged Debtor reports by Department are generated monthly for distribution to HoDs to investigate all aged debtors over 120 days and report to SMB monthly on progress on the resolution of outstanding queries.	3	Agreed	Head of Customer Support & Revenue Services	Monthly reports have been distributed to HoDs since last Autumn	Implemented
2008/09	CORP 01	Corporate Income	3.3	An annual review of Fees and Charges is undertaken by each Committee of the fees and charges for which they are responsible.	3	Agreed	Chief Finance Officer	This was done as part of 2009/10 budget setting and will be repeated annually	Implemented

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				<p>Where Fees and Charges have not been reviewed recently, an immediate review of fees is to be undertaken, in particular with regard to the Civic Suite -</p> <p>(a) fees and charges for the civic room bookings; (b) fees and charges are levied for the provision of technical equipment; (c) fees and charges are levied for kitchen facilities when self-catering takes place.</p>		Agreed	Head of Community Services	Civic Suite fees and charges were reviewed in late 2008 as part of the general review of fees and charges.	Implemented
2008/09	CORP 02	Information Management	3.1	The Homeworking Policy should be revised to address confidential / sensitive information as well as personal information.	3	Agreed	Director of Central Services	implemented at part of COCO	01/04/09
2008/09	CORP 02	Information Management	3.2	<p>(a) Staff should be reminded that confidential or sensitive documents must be kept securely and not left on desks, shelves, or unlocked cabinets, and</p> <p>(b) Procedures should be prepared so that requests for access to information</p>	3	Agreed	<p>Chief Executive</p> <p>Director of Central Services</p>	<p>to be included in next CEO Staff Briefing</p> <p>implemented at part of COCO</p>	<p>February 2009</p> <p>01/04/09</p>

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				have to be approved by the Data Controller(s) before action by ICT.					
2008/09	CORP 02	Information Management	3.3	(a) Policies for dealing with enquiries made under the Freedom of Information Act and the Environment Information Regulations should be prepared, and (b) The policies should be published on the Intranet, and (c) The Freedom of Information Publication scheme should be reviewed and revised to ensure compliance with the new requirements defined by the Information Commission.	3	Agreed	Assistant Chief Executive	(a) (b) (c)	Implemented 30/06/09 Implemented
2008/09	CORP 02	Information Management	3.4	(a) Accurate records of attendance at DPA / FOIA training should be prepared and kept up to date, and (b) Refresher training should be provided to staff.	3	Agreed	Assistant Chief Executive		Implemented
2008/09	CORP 02	Information Management	3.5	(a) Policies, strategies and procedures relating to Ethics and Confidentiality should be prepared and published, and	3	Agreed	Assistant Chief Executive	This will be in the Officers' Code of Conduct to be drafted following the publication of	publication date unknown therefore unable to give implementation

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				(b) Staff should be required to sign Ethical and Confidentiality agreements.				the C&LG guidelines.	date. To be re-visited in 2009-10 audit
2008/09	CORP 02	Information Management	3.6	A procedure is prepared to be used by all departments, to verify the information received, and to notify all departments by means of a single email list. (death notification)	3	Agreed	Director of Operations	Being developed in Outlook.	30 May 2009
2008/09	CORP 02	Information Management	3.7	Arrangements are made to ensure that the Council fully complies with the Environmental Information Regulations 2004.	3	Agreed	Director of Operations / Director of Development	Information is available on UDC web-site for Planning, Air Quality & Waste (recycling)	Implemented
2008/09	OP19	Revenues Recovery	3.1	All Heads of Division should be reminded about what should be done with the aged debtor report sent to them, particularly with debts over 61 days old. The Heads of Division should also be asked to ensure that the officers to whom they refer this report take appropriate action, and that these officers understand their role in relation to the Clerical Assistant (Sundry Debtors).	3	Agreed	Simon Martin		30 June 2009