

**RISK LEVEL 3 & 4 RECOMMENDATIONS IMPLEMENTED at 15 JULY 2009**

Code & Title	Description	Risk level	Expected Outcome	Assigned To	Due Date
0809 OP04-03 CREDITORS & VAT	Senior Financial Services staff should review the aged credit balances and decide whether recovery is economically justified. Where it is decided that it is not the credits should be written-off.	4	This will be completed as part of the budget process as there may be implications for service budgets	Stephen Joyce	31/03/2009
0809 OP06-01 HOUSING RESPONSIVE MAINTENANCE	The recommendation made in the 2006-07 Audit report, that consideration is given to controlling stock levels by establishing maximum, minimum and re-order levels, is <b>re-iterated</b>	4	The new stock system holds replenish levels. These will be set to ensure maximum and minimum levels are not exceeded.	Roz Millership; Colin Moore	31/03/2010
0809 OP06-02 HOUSING RESPONSIVE MAINTENANCE	Changes should be made to the process so that: a) The Stock Control computer system should be configured so that a second officer has to participate in the stock-take process, either to adjust records where necessary, or to approve and authorise the changes made. b) The officer carrying out the stock take should not be able to select stock items to count, or to be able to know the quantities recorded in the computer system; c) Reports of the stock-takes are submitted to a senior manager for review.	4	Colin Moore now participates in the stock take process. All adjustments are now checked by two officers.	Roz Millership; Colin Moore	31/03/2010
0809 CORP01-02 CORPORATE INCOME	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	Monthly reports have been distributed to HoDs since last Autumn	Stephen Joyce; Simon Martin	30/04/2009
0809 CORP01-03 CORPORATE INCOME	An annual review of Fees and Charges is undertaken by each Committee of the fees and charges for which they are responsible.	3	This was done as part of 2009/10 budget setting and will be repeated annually	Stephen Joyce	30/04/2009
0809 CORP02-01 INFORMATION MANAGEMENT	The Homeworking Policy should be revised to address confidential / sensitive information as well as personal information.	3	implemented as part of COCO	Adrian Webb	31/03/2009

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0809 CORP02-02 INFORMATION MANAGEMENT	(a) Staff should be reminded that confidential or sensitive documents must be kept securely and not left on desks, shelves, or unlocked cabinets, and (b) Procedures should be prepared so that requests for access to information have to be approved by the Data Controller(s) before action by ICT.	3	(a) to be included in next CEO Staff Briefing  (b) implemented at part of COCO	John Mitchell; Adrian Webb	31/03/2009
0809 CORP02-04 INFORMATION MANAGEMENT	(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	Implemented	Michael Perry	30/04/2009
0809 CORP02-07 INFORMATION MANAGEMENT	Arrangements are made to ensure that the Council fully complies with the Environmental Information Regulations 2004.	3	Information is available on UDC web-site for Planning, Air Quality & Waste (recycling)	Diane Burridge; Roger Harborough	31/03/2009
0809 OP01-01 REFUSE & RECYCLING	(a) An Ocella report should be developed to facilitate reconciliations between orders and income received, and responsibility for reconciliation should be assigned to a responsible officer. (b) Discussions should be held with Customer Services to determine the feasibility of recording the Ocella Reference no. in the Cash Receipting system so that they are carried over to FIS. This should permit effective reconciliations between orders for bulky refuse collections and FIS (c) CSC should be asked to record charges made for collections consistently.	3	Working on developing a report arrangement that is not labour intensive. Need to consider tolerance level before prompting a detailed investigation.  Working with CSC to establish if it is feasible.	Ron Pridham	01/01/2009

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0809 OP03-01 CAR LOANS & LEASING	That a further review of the Car Loans and Car Leasing Schemes be undertaken which would give consideration to the following: 1) Abolition of the scheme as it is not cost effective; however consideration has to be weighed between financial cost benefits to the council and the need to provide a vehicle for council business as an initiative to attract key workers to areas with high housing costs. 2) Maintaining the scheme but reviewing the contribution level for future lease users 3) Reviewing the mileage criteria which have a direct impact on environmental issues and the carbon footprint.	3	Work is already underway. Proposals are being prepared for consultation with the Union and users. Report to Finance and Administration Committee on 27 <sup>th</sup> November 2008.	Stephen Joyce	31/01/2009
0809 OP03-02 CAR LOANS & LEASING	That (i) prior to the approval of a lease application, the annual mileage summary from previous years obtainable from payroll records is checked to ensure that a realistic contribution is approved. (ii) The terms and conditions of the lease agreement should be adhered to and management should be advised to check the annual mileage summary and to evoke clause (3) if applicable where the Council shall be entitled and the Employee shall agree to vary the amount of the Council's contribution having regards to the Employee's actual certified business mileage. (iii) Authorisation Officers should be reminded of the cost implication to the budget they manage and the relevance of taking the lease car contribution into consideration as part of the budget process and work plan/schedule. This may be discretionary in cases where car leasing contract may be being used as an staff recruitment incentive.	3	Will be implemented in new scheme.	Stephen Joyce	31/03/2010
0809 OP03-03 CAR LOANS & LEASING	The financial regulation contract standing order should be adhered to ensure a competitive pricing for the lease scheme. <b>Page 3</b>	3	The proposed scheme will include 9 suppliers via a government scheme, with the order going to the cheapest quote.	Stephen Joyce	31/03/2010

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0809 OP06-03 HOUSING RESPONSIVE MAINTENANCE	<p>Prepare a written procedure defining the workaround process, and authorising the Stores &amp; Purchasing Coordinator to follow it and requiring him to bring the stock records up to date when the computer system is available.</p> <p>Consideration should be given to designing, constructing and fitting suitable standard racking to the vehicles when budgetary conditions permit.</p>	3	<p>New procedure in place – new detailed store material withdrawal form has been designed and put in place if the housing system fails.</p> <p>Records are updated as soon as computer system available.</p> <p>Subject to budget and specification of vehicles</p>	Roz Millership; Colin Moore	31/03/2010
0809 OP13-01 LICENSING	Fair Processing Notices (Statements) should be incorporated into Licence application forms where possible, or separate notices should be sent with the forms or correspondence associated with them.	3			31/03/2009
0809 OP20-01 CUSTOMER SERVICES	A plan for reacting to an incident at London Road should be prepared, prescribing the action officers should take if the Customer Services alarm is activated, and referred to JOSHRAC for approval. Officers expected to react to an incident should be trained appropriately.	3			31/03/2009
0809 OP20-04 CUSTOMER SERVICES	The Standard should be reviewed and revised as necessary. It should be published in an easily accessible form on the Council's Web-site.	3	Customer Services Strategy to be reviewed as part of Divisional planning process.		31/03/2010
0809 OP20-05 CUSTOMER SERVICES	The description of Uconnect on the Website should be made more easily accessible.	3			31/03/2010
0809 OP20-06 CUSTOMER SERVICES	<p>Appropriate performance targets should be set for Customer Services, and actual performance measured against them and reported. Data regarding the numbers of enquiries received by telephone, personal visit and email and resolved without reference to Back Offices should be captured and reported periodically to senior management to demonstrate the removal of interruptions to Back Offices. This, and information regarding changes within the CSC such as the removal of the CRM, should also be publicised by submitting for publication in the 'Utterings'.</p>	3	Enhanced data gathering scheduled from 1 April	Claire Croft	01/04/2009

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0809 OP20-07 CUSTOMER SERVICES	Ways by which additional customer satisfaction data can be captured from telephone callers and from internal customers (the Back Offices) should be devised, put into effect, and the results used alongside the data captured from personal visitors to report levels of customer satisfaction.	3		Claire Croft	01/04/2009

n.b unable to give date implemented Date because data was input from 06/07/09 & Covalent will not allow back dating of Completed Date