

RISK LEVEL 3 & 4 RECOMMENDATIONS**16 July to 15 September 2009**

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
cor03	Performance Management	3.1	Checks are carried out in Covalent to ensure that the required supporting data to the data outturn is uploaded onto Covalent ensuring completeness of records and to allow for error detection and identification.	3	agreed	Paula Evans Debra Collins Tülay Norton	BI&P Officers to ensure every PI has calculation data noted for both quarterly and annual reports.	From Q2 2009/10
cor03	Performance Management	3.2	A system is introduced requiring sample checks on data quality to be carried out on a rolling programme to allow for early detection of errors.	3	agreed	Paula Evans Debra Collins Tülay Norton	Agreed that a trial sample of 10% will be checked (NI-1, CI-2, SI-3) for Q2 indicators. BI&P Officers to communicate selection of PIs to internal and district audit to avoid duplication of effort. Ability to complete the exercise going forward will be dependant upon SMB and PSC Committee timetable deadlines.	From Q2 2009/10
cor03	Performance Management	3.3	a) Heads of Division are required to provide the relevant guidance relating to their Corporate and Service indicators for inclusion in Covalent. b) Checks are carried out in Covalent to ensure that guidance	3	agreed	Paula Evans Debra Collins Tülay Norton	BI&P Officers to ensure guidance availability by working with collection officers to develop relevant notes for Covalent. Officers to continue	To be completed as part of estimates and targets exercise for 2010/11 (by April 2010)

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			<p>notes and information for all indicators is complete and up to date thereby providing the assurance on reliability and completeness as require by the Council Data Quality Strategy.</p> <p>c) A reminder is sent to data providers that guidance support is available from the Performance Management Team should they require assistance in interpreting the National Indicator guidance</p>		agreed		in repeatedly communicating the offer of support for interpretation of NI guidance notes	
op01	Enforcement	3.1	<p>a) User-level and Technical documentation should be prepared and reviewed by ICT to ensure that it meets their requirements;</p> <p>b) The system should be stabilised before potential enhancements are identified, agreed, developed and tested in accordance with recognised ICT development practices, and</p> <p>c) A procedure should be devised to remove and archive old records from the database to ensure that they are preserved, and to reduce the risk that space is exhausted without warning.</p>	4	<p>Agreed</p> <p>Agreed</p> <p>Not agreed</p>	Paul Woolcott	<p>Done</p> <p>There is more than ample storage for the foreseeable future</p>	<p>30/11/09</p> <p>N/A</p>
op01	Enforcement	3.2	Instructions should be issued to the Enforcement Officers regarding access to the (new) VOR.	4	Agreed	Paul Woolcott	Done	N/A

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op01	Enforcement	3.3	Reporting outcomes of investigations should be improved: a) Departments and officers referring matters to Enforcement should be informed of the outcome(s), and b) Periodic reports should be published of the numbers of referrals received by Discipline, and the number of completed investigations, and c) The Performance Improvement Team is consulted to help define suitable Performance Indicators which will demonstrate the service's efficiency.	3	Agreed Not agreed Agreed	Paul Woolcott Paul Woolcott	This would achieve no purpose and may be counter productive	31/8/09 1/4/10
op01	Enforcement	3.4	a) At least 2 members of the Enforcement team should be given responsibility for periodically examining the generic email box and distributing the contents to the appropriate member of the team; b) Agreements should be made with the Planning, Environmental (Street Services) and Licensing service departments to ensure that they refer to the Enforcement team any reports of matters which may require investigation that they receive without delay.	3	Agreed Agreed	Paul Woolcott Paul Woolcott	Done Agreement has been reached but compliance with it is outside the control of the enforcement team	N/A N/A
op01	Enforcement	3.5	Pending any recommendations that the Safety Risk Support Officer might make in the future, the Health and Safety briefing should be	3	Agreed	Paul Woolcott	Training was given in June 2009	December 2009 and thereafter on a refresher basis at 6 month

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			repeated. Additional sharps training should be considered.					intervals
op03	Homelessness	3.1	Additional Service Indicator(s) should be defined and reported on, to show how many people are helped to not become homeless.	3	Agreed	Judith Snares	These are currently reported to HOD and will in addition be set up on covalent as a service indicator	September 09
Management & Control of Legionella 2009-10	3.1	a) The draft policy referred to should be reviewed by and discussed with the HoD and then referred to SMB for approval and authorisation. Once it is approved by SMB appropriate staff should be assigned to the structure defined in the policy.	4	Agreed	Russell Goodey	The Water Management policy evolved in its draft form in October 2008 as it was evident that a central policy was required as officer roles involved in asset management were fragmented across the authority	September 2009	
		b) So as to confirm that the policy would satisfy a court of law that the Council has taken all reasonable steps to reduce the likelihood of anybody living in its accommodation or using its facilities contracting Legionella, it is also recommended that Legal Department is asked to review the draft policy.			Agreed	Russell Goodey	The draft policy is currently being reviewed by the Legal Department	September 2009
Management & Control of Legionella 2009	3.2	A comprehensive, central record is drawn up and maintained of all premises for which UDC has responsibility for the management & control of legionella. This record should also include details of checks required at each location,	4	Agreed	Russell Goodey/Derrick Morris	This work is currently in progress and compliments the inspection and monitoring regime that is in place	September 2009	

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			parties responsible for carrying out the checks and management responsibility for monitoring of the checks etc.					
	Management & Control of Legionella 2009	3.3	A procedure should be prepared to ensure that changes to installations are reported and the schedule of works filed with the records amended to reflect the changes.	4	Agreed	Russell Goodey	Notification of the new procedure sent to all parties concerned	Immediately
	Management & Control of Legionella 2009	3.4	a) Management should review records of checks, inspections and maintenance work carried out in line with the programme and sign them to confirm that this is done; b) A survey of sheltered accommodation should be carried out to permit the creation of an inventory of all installed showers, showing whether all attached equipment is supplied by the Council or not; c) Consideration should be given to de-scaling all showers in sheltered accommodation, including showers installed by residents with the Council's permission, and possibly including shower heads supplied and fitted by residents.	3	Agreed	Russell Goodey/Derrick Morris	Weekly audit checks/inspections set up with monitoring officer	Immediately
					Agreed	Russell Goodey	In place April 2009	Implemented April 2009
					Agreed	Russell Goodey	Inspection already carried out. Cost to be obtained for carrying out these works and will be presented to SMB for approval	September 2009
	Management & Control of Legionella 2009	3.5	The logs should be periodically reviewed and signed by management.	3	Agreed	Russell Goodey/Derrick Morris	Procedure now in place	August 2009
	Management & Control of Legionella 2009	3.6	A more tangible and therefore verifiable reporting mechanism should be adopted.	3	Agreed	Russell Goodey	Notification of the new procedure sent to all parties	Immediately

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			A possible solution would be for out-of-limit temperatures to be reported to the Technical Repairs Administrators, so that they can record the circumstances in the Repairs computer system and immediately report them to management.				concerned	
	Management & Control of Legionella 2009	3.7	<p>It is recognised that alternative arrangements will be made to replace the existing one where Enterprise staff run infrequently used showers and taps.</p> <p>Assuming that it is decided that the cleaning contractor continues to carry out these tasks, the contractor should be required to provide adequate Health and Safety warning, training and instructions to their staff.</p>	3	Agreed	Russell Goodey	Quote to be obtained for these works and alternative arrangements put in place	September 2009