

RISK LEVEL 1 & 2 RECOMMENDATIONS NOT IMPLEMENTED BY DUE DATE

Code & Title	Description	Risk level	Expected Outcome	Assigned To	Due Date	Latest Note Date	Latest Note
0809 CORP01-04 CORPORATE INCOME	A complete register of fees and charges is in place ensuring that one of the source documents central to budget & corporate objectives is in place. This register of Fees and Charges should also be available on the website and located in a central point for ease of navigation e.g. under A – Z (F) for Fees and Charges. Fees and charges on the website are reviewed and updated on an annual basis to ensure that the current fees and charges are being advertised.	2	Schedule will be placed on the website and will be updated following annual budget approval in February	Stephen Joyce	31-May-09	14-Sep-09	Recommendation is being followed up as part of the 2009-10 audit which commenced 01/09/09
0809 CORP01-05 CORPORATE INCOME	The Waste and Recycling services should be proactively advertised in particular by means of (a) a list of businesses in Uttlesford should be obtained from the NNDR section and used to target customers; (b) procedures should be introduced to ensure any new business registered is notified to the Environmental Health administration team.	2	Development limited to being within any space capacity of the vehicle (tonnage, schedules)	Stephen Joyce; Ron Pridham	30-Jun-09	14-Sep-09	Recommendation is being followed up as part of the 2009-10 audit which commenced 01/09/09
0809 CORP01-07 CORPORATE INCOME	All invoices issued by the Council must have the date of the supply of goods / services included on the invoice, and the date of supply of goods / services to be included in the data held in FIS for monitoring purposes.	2	Service areas to be advised	Stephen Joyce; Simon Martin	31-May-09	14-Sep-09	Recommendation is being followed up as part of the 2009-10 audit which commenced 01/09/09
0809 CORP01-08 CORPORATE INCOME	Periodic checks are carried out to ensure income collected is correct and that it is allocated to the correct nominal code.	2	Heads of Division should monitor this as part of budgetary control process. Guidance will be issued.	Stephen Joyce	31-Jul-09	14-Sep-09	Recommendation is being followed up as part of the 2009-10 audit which commenced
0809 CORP01-09 CORPORATE INCOME	Regular reviews are undertaken of low value aged debtors over 120 days for consideration for write off if there is no other associated debt.	1		Stephen Joyce; Simon Martin	31-May-09	14-Sep-09	Recommendation is being followed up as part of the 2009-10 audit which commenced 01/09/09
0809 CORP06-02 INFORMATION TECHNOLOGY	A system of monitoring of unresolved helpdesk jobs is introduced which includes a regular update to users concerned	2	Significant changes to the helpdesk process and system are going to be introduced. This will be included	Adrian Webb	01-Jun-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009
0809 CORP06-04 INFORMATION TECHNOLOGY	Re-iteration of the recommendation that an annual automated satisfaction survey is carried out as best practices to i.e. rate the service or to comment on IT issues which may be improve upon.	2		Adrian Webb	01-Aug-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009
0809 CORP06-05 INFORMATION TECHNOLOGY	Re-iteration of the recommendation that a field is setup with a drop down menu where IT analyst can classify the calls into categories of IT issues to allow specific and accurate analysis, enabling periodic monitoring for time/cost analysis, budgetary capital programme review or enhancement of asset performance.	2	Exact way in which this is achieved will be decided as part of the changes identified in 3.2 above	Adrian Webb	01-Jun-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009

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0809 OP07-02 INSURANCE	Written procedures/guidance on insurance risk liability should be in place and host on the intranet as part of the dissemination of information to members of staff who are on/off site replacing the need to have immediate access to senior management for advice. Divisions with high budget cost on insurance should consider incidents/insurance matters as an agenda item in team meetings to enforce the insurance and risk management process.	2	Updated Financial Regulations are due to be produced. Clear guidance on insurance matters will be included It is good practice for risk and insurance issues to be communicated	Stephen Joyce	31-Mar-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009
0809 OP07-03 INSURANCE	Insurance Management Information Report should be in place to enable periodic review of the insurance policies in force ensuring that the Council is not under or over insured.	2	Monthly Section 151 Assurance pack is in development. Insurance claims will be included. This will inform the annual insurance terms renewal process.	Stephen Joyce	30-Apr-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009
0809 OP07-04 INSURANCE	Members of staff responsible in processing claims should familiarise themselves with the Insurance handbook.	2	This is presently dealt with by one member of staff who is familiar with the required procedures. However there are plans to train up other staff so that adequate absence cover is in place.	Stephen Joyce	30-Apr-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009
0809 OP12-01 TREASURY MANAGEMENT	The Chief Finance Officer should arrange training for himself and, as a minimum the Principal Accountant (Technical), in the use of Covalent to maintain Operational Risk Registers. (Reiterated from the 2007-08 audit)	2	Training to be obtained ASAP subject to availability of trainers	Stephen Joyce	31-May-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009
0809 OP12-02 TREASURY MANAGEMENT	A verifiable second officer check of Treasury Management reconciliations should be instituted. (Reiterated from the 2007-08 audit)	2	This will form part of monthly Section 151 assurance pack currently being developed	Stephen Joyce	31-Jul-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009
0809 OP12-05 TREASURY MANAGEMENT	The two Administrators should arrange to take turns to review the BIB system users' permissions and report the outcome to the CFO, at (say) quarterly intervals.	2	This will form part of monthly Section 151 assurance pack currently being developed	Stephen Joyce	31-Jul-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009
0809 OP15-03 ELECTIONS	Returning Officer's Fees should be benchmarked and reviewed against neighbouring local authorities.	2	It should be noted that some local authorities include clerical payments in with their Returning Officer fees, which we do not. Therefore this will give the impression that the fees are higher than they actually are	Peter Snow	31-Aug-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009
0809 OP15-04 ELECTIONS	Information published on the website is updated with frequently asked questions in line most local authorities' practices.	2	The information on the website will be reviewed, revised and improved where necessary. Ultimately though, it is the responsibility of the communications unit to decide the most appropriate format for presenting that information.	Peter Snow	31-May-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009
0809 OP18-02 PAYROLL, ALLOWANCES & EXPENSES	Reconciliation between payroll records and the establishment list should take place as soon as possible.	1	Procedure has been discussed with team and intention is to implement for June and monthly thereafter	Carmela Godden	30-Jun-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009

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0809 OP19-02 REVENUES RECOVERY	Departments providing chargeable services should be asked to ensure that wherever a an invoice for service provided is not paid, arrangements to provide further service should be suspended pending recovery of the outstanding payment. If the Revenues Quality and Recoveries team identifies a history of unpaid invoices developing for a particular customer, it should be reported to the relevant Head of Division;	2		Julian Sayer	30-Jun-09	14-Sep-09	To be followed up as part of the 2009-10 audit (qtr 3 2009-10)
0809 OP19-03 REVENUES RECOVERY	To reduce the likelihood that attempts are made to recover unpaid sums from the wrong commercial customer, the Licensing team should be asked to report personal license applications, including the premises involved, to the Quality & Revenues team as well as the department providing the service.	2		Julian Sayer	30-Jun-09	14-Sep-09	To be followed up as part of the 2009-10 audit (qtr 3 2009-10)
0809 OP19-04 REVENUES RECOVERY	Consideration should be given to defining a 'Revenues Recovery' Risk Register incorporating the risks identified in the existing Council Tax, Business Rates, Benefits and Sundry Debtors Registers, and deleting the existing Registers.	2		Julian Sayer	31-Jul-09	14-Sep-09	To be followed up as part of the 2009-10 audit (qtr 3 2009-10)
0809 OP19-05 REVENUES RECOVERY	The arrangement to contact service departments to warn that invoices cannot be printed should be improved, to ensure that all service departments are aware and do not raise invoices that cannot be printed in a reasonable time. Another officer should be identified to do this in the absence of the Clerical Assistant (Sundry Debtors).	1		Julian Sayer	30-Jun-09	14-Sep-09	To be followed up as part of the 2009-10 audit (qtr 3 2009-10)
0809 OP20-02 CUSTOMER SERVICES	Volunteer staff and UDC staff working alone at Thaxted should be instructed to carry the portable alarm at all times, and a record made when volunteers are instructed in emergency procedures. The procedures should be in accordance with new Lone Working arrangements being devised by JOSHRAC.	2	Dependencies with JOSHRAC	Claire Croft	30-Apr-09	14-Sep-09	To be followed up as part of the rolling IA follow up programme October 2009