

RISK LEVEL 3 & 4 Recommendations implemented between 16 September and 31 October 2009

Code & Title	Description	Risk level	Expected Outcome	Assigned To	Due Date	Completed
0809 CORP02-03 INFORMATION MANAGEMENT	(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	(a) Implemented (b) 30/06/09 (c) Implemented	Michael Perry	30-Jun-09	16-Oct-09
0809 OP13-04 LICENSING	Expired returned Taxi licence plates should be shredded before being recycled.	3		Michael Perry	28-Feb-10	02-Oct-09
0809 OP15-3.1 ELECTIONS	Contractors are advised in writing to ensure that all materials associated with the production of the polling materials are to be destroyed on completion of the printing work.	3	We would be surprised if contractors don't do this already. Nonetheless we will write to all contractors	Peter Snow	31-May-09	20-Oct-09
0809 OP15-3.2 ELECTIONS	Disabled voters are notified to the effect that the polling station they are allocated do not have disabled access and that the option to vote by postal or proxy is available.	3	There is no way to identify disabled voters. We will instead have to write to all electors of a particular polling station to advise them of potential access difficulties	Peter Snow	31-Aug-09	20-Oct-09
0910 COR03 3.1 Performance Management	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	BI&P Officers to ensure every PI has calculation data noted for both quarterly and annual reports.	Debra Admin_Collins; Tūlay Norton	15-Oct-09	09-Oct-09
0910 COR03 3.2 Performance Management	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 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.	Debra Admin_Collins; Tūlay Norton	15-Oct-09	23-Oct-09
0910 IPS01 3.1 MANAGEMENT & CONTROL of LEGIONELLA	(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. (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.	4	(a) 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 (b) The draft policy is currently being reviewed by the Legal Department	Russell Goodey	30-Sep-09	23-Sep-09
0910 IPS01 3.2 MANAGEMENT & CONTROL of LEGIONELLA	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, parties responsible for carrying out the checks and management responsibility for monitoring of the checks etc.	4	This work is currently in progress and compliments the inspection and monitoring regime that is in place	Russell Goodey	30-Sep-09	23-Sep-09

RISK LEVEL 3 & 4 Recommendations implemented between 16 September and 31 October 2009 (contd)

Code & Title	Description	Risk level	Expected Outcome	Assigned To	Due Date	Completed
0910 IPS01 3.4 MANAGEMENT & CONTROL OF LEGIONELLA	<p>(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;</p> <p>(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;</p> <p>(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.</p>	3	<p>(a) Weekly audit checks/inspections set up with monitoring officer - implemented immediately</p> <p>(b) In place April 2009</p> <p>(c) Inspection already carried out. Cost to be obtained for carrying for carrying out these works and will be presented to SMB for approval</p>	Russell Goodey	30-Sep-09	23-Sep-09
0910 OP02 3.2 TRADE WASTE	Steps should be taken to ensure that Businesses leaving cardboard for collection continue to purchase and affix the Council's recycling tape.	3	Letters have been delivered by crews advising that we will only collect taped cardboard and advising how it might be purchased.	Ron Pridham	30-Sep-09	02-Oct-09
0910 OP09 3.1 HOUSING ALLOCATIONS	Housing Services officers should be instructed in the use of the Visiting Officers Register.	4	Agreed. Comment that the VOR in its current form is of very limited use.	Judith Snares	12-Oct-09	12-Oct-09
0910 OP09 3.2 HOUSING ALLOCATIONS	Arrangements should be made for the secure disposal of unwanted application forms and the supporting proofs provided by applicants.	4	Agreed	Judith Snares	12-Oct-09	12-Oct-09
0910 OP10 3.1 UTILITY PAYMENTS & ENERGY EFFICIENCY	Discussions should be held with ICT without delay about the specialist systems used to administer Utility Payments and Energy Efficiency, and arrangements made for backups of them to be taken. If possible, the ability to recover from the backups should be tested.	4	Discussion held with IT. Back up now being organised for Trend963 programme. Systems Link is on server and is backed up		08-Jan-10	12-Oct-09

RISK LEVEL 3 & 4 RECOMMENDATIONS NOT IMPLEMENTED BY DUE DATE

Code & Title	Description	Risk level	Expected Outcome	Assigned To	Due Date	Latest Note Date	Latest Note
0809 CORP03-01 RECONCILIATIONS	All key financial systems are reconciled monthly and signed off by the Chief Finance Officer	3	All reconciliations will be brought up to date and completed in April 2009 to enable the Statement of Accounts to be produced. We are scheduling an "interim" closedown for February/March 2009 during which substantial progress will be made. From 2009/10, a monthly pack of completed reconciliations will be compiled and reviewed by the Chief Finance Officer	Stephen Joyce	31-Jul-09	03-Nov-09	To be followed up as part of the 2009-10 Audit in quarter 3
0809 CORP03-02 RECONCILIATIONS	The Finance Service undertake a review of the whole reconciliation process and, in consultation with each Division, identify key areas where reconciliations are required and provide advice to Budget Holders on suitable budgetary controls where less detailed checks may suffice. Written procedures should be in place for each division together with an appropriate training programme for members of staff with responsibility for carrying out reconciliations, these procedures and training being proportionate to the amount of income involved.	3	Reconciliation procedures for each Division will be introduced early in the 2009/10 financial year.	Stephen Joyce	31-Jul-09	03-Nov-09	To be followed up as part of the 2009-10 Audit in quarter 3
0809 CORP05-01 BUDGET MONITORING & REPORTING	A programme for the systematic reporting of committee budgets to Members is re-introduced	3	Monthly reports have been issued by e-mail to all Members and SMB. Detailed budget reports received by Full Council in December 2008 and February 2009 and Finance & Admin committee March 2009. A formal programme of budget reporting to Members and SMB will be implemented in 2009/10	Stephen Joyce	31-Jul-09	03-Nov-09	Followed up as part of the rolling IA follow up programme October 2009, confirmation of implementation not yet received
0809 CORP05-02 BUDGET MONITORING & REPORTING	A programme for the systematic reporting to SMB of budgets in excess of a pre-determined variance is introduced	3	Monthly reports have been issued by e-mail to all Members and SMB. Detailed budget reports received by Full Council in December 2008 and February 2009 and Finance & Admin committee March 2009. A formal programme of budget reporting to Members and SMB will be implemented in 2009/10	Stephen Joyce	31-Jul-09	03-Nov-09	Followed up as part of the rolling IA follow up programme October 2009, confirmation of implementation not yet received
0809 CORP08-01 CORPORATE BUDGET SETTING	Procedures or instructions for the use of the salary calculations spreadsheet are drafted and that other accountants involved in the budget setting process familiarise themselves with its use and operation in preparation for the 2010-11 budget setting process.	3	To be built into the 2010-11 budget setting process	Stephen Joyce	31-Oct-09	03-Nov-09	To be followed up as part of the 2009-10 Audit in quarter 3
0910 OP10 3.3 UTILITY PAYMENTS & ENERGY EFFICIENCY	A Business Continuity Plan should be prepared and passed to the Emergency Planning team for approval as soon as possible.	3	Will be part of overall Building Surveying BCP currently being written	Keith Osborne	02-Nov-09	28-Oct-09	HoD advises that the Divisional-level BC plan is still being prepared, but he will endeavour to isolate the measures specific to Utility Payments & Energy Efficiency by 6 November.
0809 OP19-01 REVENUES RECOVERY	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		Simon Martin	30-Jun-09	14-Sep-09	Previously reported to Members 29/09/09. Recommendation being followed up with Corporate Income 2008-09 recommendation 0809 CORP01-09 as part of 2009-10

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 CORP05-03 BUDGET MONITORING & REPORTING	Action is taken to ensure that the planned follow-up to the Financial Management Survey of Councillors and Budget Holders carried out in May 2008 is completed within the first half of 2009-10	2		Stephen Joyce	30-Sep-09	03-Nov-09	Followed up as part of the rolling IA follow up programme October 2009, confirmation of implementation not yet received
0809 CORP08-02 CORPORATE BUDGET SETTING	A formal sign off between Budget Holders and Finance is introduced to confirm receipt of and agreement to the Chief Finance Officer's e-mail to Budget Holders of their final budget figures after all assumptions adjustments have been made.	2	To be built into the 2010-11 budget setting process	Stephen Joyce	31-Oct-09	03-Nov-09	To be followed up as part of the 2009-10 Audit in quarter 3
0809 OP07-01 INSURANCE	Risk identified in the risk register should be considered during the review process in particular to risk ratings which are above the Council's risk tolerance. Financial risk implications to the Council should be considered to ensure Insurance and Risk Management are joint initiatives.	2	The corporate risk register will inform the annual renewal of insurance terms.	Stephen Joyce	30-Sep-09	03-Nov-09	Followed up as part of the rolling IA follow up programme October 2009, confirmation of implementation not yet received
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	03-Nov-09	Followed up as part of the rolling IA follow up programme October 2009, confirmation of implementation not yet received
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	03-Nov-09	Followed up as part of the rolling IA follow up programme October 2009, confirmation of implementation not yet received
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	03-Nov-09	Followed up as part of the rolling IA follow up programme October 2009, confirmation of implementation not yet received
0809 OP12-03 TREASURY MANAGEMENT	The draft Treasury Management Manual should be revised and completed. (Reiterated from the 2007-08 audit)	2	This will form part of the finance service business continuity plan currently being developed	Stephen Joyce	31-Oct-09	14-Oct-09	In progress. to revisit as part of 2009-10 audit in quarter 4 The new Web-based BIB system is much easier and intuitive to use than the previous Business Master system. sequence it has been decided not to proceed with a Treasury Management Manual but that brief procedure notes should be prepared. These Notes were not complete at the time this follow-up was carried out 13 October 2009 but it is expected that they will be by the end of November.
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-Oct-09	Not yet implemented - to revisit as part of 2009 10 audit in quarter 4 Developments at Thaxted after the audit, with CAB, the Police, Job Centre Plus and the Clerk to the Town Council all using the accommodation, have reduced the likelihood that CSC Advisors or volunteers work alone. However it still seems possible and therefore use of the alarm should be made compulsory.

RISK LEVEL 1 & 2 RECOMMENDATIONS NOT IMPLEMENTED BY DUE DATE (contd)

Code & Title	Description	Risk level	Expected Outcome	Assigned To	Due Date	Latest Note Date	Latest Note
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	Previously reported to Members 29/09/09. 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	Previously reported to Members 29/09/09. 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	Previously reported to Members 29/09/09. 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	Previously reported to Members 29/09/09. To be followed up as part of the 2009-10 audit (qtr 3 2009-10)