

RISK LEVEL 3 & 4 Recommendations implemented between 01 November 2009 and 15 January 2010

Code & Title	Description	Risk Level	Expected Outcome	Assigned To	Due Date	Completed
0809 CORP01-01 CORPORATE INCOME	A Corporate Fees & Charges and Income Collection policy should be adopted to ensure best use of resources and to improve on the Council's Cash Flow. The policy should include the provisions that: 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; 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; 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.	3	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	Stephen Joyce; Simon Martin	30-Sep-09	20-Nov-09
0910 0904 3.1 Emergency Planning	Staff details on the intranet are updated as soon as possible.	3			18-Dec-09	12-Jan-10
0910 IPS01 3.7 MANAGEMENT & CONTROL OF LEGIONELLA	It is recognised that alternative arrangements will be made to replace the existing one where Enterprise staff run infrequently used showers and taps. 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.	3	Quote to be obtained for these works and alternative arrangements put in place	Russell Goodey	31-Dec-09	31-Dec-09
0910 OP02 3.1(b) Trade Waste	Service to Trade Waste customers in the Aged Debtor report should be suspended pending payment in full.	4	Agreed As for 3.1(a)	Ron Pridham	31-Oct-09	12-Jan-10
0910 OP08 3.2(a) Creditors & VAT	It is recommended that : Service Divisions are reminded of the need to comply with the late payment act	3	This was done at the SMB/HoDs meeting on 11 November 2009	Stephen Joyce	09-Dec-09	09-Dec-09
0910 OP08 3.2(b) Creditors & VAT	It is recommended that : The Mailroom should ensure all invoices are date stamped upon receipt.	3	This was done by email to the responsible HoD on 16 November 2009, who has subsequently confirmed that the Mailroom have received the instruction.	Stephen Joyce	09-Dec-09	09-Dec-09
0910 OP08 3.2(d) Creditors & VAT	It is recommended that: The sampling interval criteria are changed from every 12th to every 10th invoice to allow for a minimum 10% sampling size (after adjustment).	3	The marginal additional benefit would not justify the additional work required. The amount sampled is about double that required by the former BVPI8 guidance	Stephen Joyce	09-Dec-09	09-Dec-09
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	20-Nov-09
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	31-Dec-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 CORP03-02 RECONCILIATIONS	<p>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.</p> <p>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.</p>	3	Reconciliation procedures for each Division will be introduced early in the 2009/10 financial year.	Stephen Joyce	31-Jul-09	21-Dec-09	Is being followed up as part of the Reconciliations Audit 2009-10 which commenced 17/11/09
0809 CORP07-01 CONTRACTS & PROCUREMENT	<p>(a) To ensure that a Contracts Register is maintained, an officer with appropriate authority should be nominated to ensure that the draft Contracts Register is correct, up to date and to ensure that is properly maintained in the future.</p> <p>(b) To ensure that the process for renewals starts in a timely manner, officers managing contracts or other arrangements for the supply of goods and services by means of a serial programme, should be instructed to ensure that renewals are commenced in sufficient time to avoid emergency measures being necessary to ensure continued service.</p>	4	The principles behind these recommendations are agreed, and complement the independent procurement diagnostic review well. At present the Council lacks the capacity to take these issues forward. We have received an in principle offer of support from Essex County Council in the form of a procurement officer's time. This, supplemented by Improvement East funding as appropriate, will enable to Council to make progress during 2009.	Stephen Joyce	31-Dec-09		to be followed-up as part of the 2009-10 audit (qtr 4 2009-10)
0809 CORP07-02 CONTRACTS & PROCUREMENT	Officers responsible for managing contracts, or other arrangements for the supply of goods or services, are trained in contract management	3	as CORP07-01	Stephen Joyce	31-Dec-09		to be followed-up as part of the 2009-10 audit (qtr 4 2009-10)
0809 CORP07-03 CONTRACTS & PROCUREMENT	A training plan should be devised and training provided to officers who are, or are likely to be, involved with procurement.	3	as CORP07-01	Stephen Joyce	31-Dec-09		to be followed-up as part of the 2009-10 audit (qtr 4 2009-10)
0809 CORP07-04 CONTRACTS & PROCUREMENT	A procedure or similar guidance document should be prepared and published on the Intranet so that all staff needing to procure goods, services or let contracts, can determine how to use the Hub, and contact it in a timely manner.	3	as CORP07-01	Stephen Joyce	31-Dec-09		to be followed-up as part of the 2009-10 audit (qtr 4 2009-10)
0809 CORP07-05 CONTRACTS & PROCUREMENT	In addition to the procedure for using and contacting the Hub, procedures should be prepared defining: - <ul style="list-style-type: none"> · The procedures to be followed when letting Contracts, and · A standard method of retaining Quotations is devised, and that recording Tenders and their opening in the Tenders Register is mandatory, and · The ongoing management of Contracts 	3	as CORP07-01	Stephen Joyce	31-Dec-09		to be followed-up as part of the 2009-10 audit (qtr 4 2009-10)
0809 CORP07-06 CONTRACTS & PROCUREMENT	The Strategy document should be reviewed and revised as necessary, as soon as possible.	3	as CORP07-01	Stephen Joyce	31-Dec-09		to be followed-up as part of the 2009-10 audit (qtr 4 2009-10)
0809 CORP07-07 CONTRACTS & PROCUREMENT	<p>a) Suppliers should be properly approved before tenders are invited from them, or business is transacted with them.</p> <p>b) Requests to add suppliers to MarketPlace or other Supplier databases should be properly authorised.</p>	3	as CORP07-01	Stephen Joyce	31-Dec-09		to be followed-up as part of the 2009-10 audit (qtr 4 2009-10)
0809 CORP07-08 CONTRACTS & PROCUREMENT	A more formal approach to selecting suppliers, should be adopted, to ensure that, apart from their being selected from an approved list, price and quality are considered.	3	as CORP07-01	Stephen Joyce	31-Dec-09		to be followed-up as part of the 2009-10 audit (qtr 4 2009-10)
0809 CORP07-09 CONTRACTS & PROCUREMENT	All officers engaged in tendering processes should be required to involve the Committee & Electoral Services Manager, and that the process is registered and recorded properly.	3	as CORP07-01	Stephen Joyce	31-Dec-09		to be followed-up as part of the 2009-10 audit (qtr 4 2009-10)

RISK LEVEL 3 & 4 Recommendations NOT implemented by due date (contd).

Code & Title	Description	Risk level	Expected Outcome	Assigned To	Due Date	Latest Note Date	Latest Note
0809 CORP07-10 CONTRACTS & PROCUREMENT	Officers should be instructed to register any and all interests they may have in a firm supplying, or likely to supply, goods or services to the Council. The PPN should be redrafted to include the requirement to register business interests or connections.	3	as CORP07-01	Stephen Joyce	31-Dec-09		to be followed-up as part of the 2009-10 audit (qtr 4 2009-10)
0809 OP16-03 FACILITIES MANAGEMENT	Trees in the vicinity of Council buildings used by staff, visited by members of the public, or lived in by residents should be inspected in advance of any District-wide tree condition survey and action taken to deal with trees which could endanger property or people.	3	Insurance advice being taken	Simon Martin	31-Dec-09	13-Jan-10	Not fully implemented, although in hand. The Head of Corporate Support & Revenues Services has asked the Area Services Officer to commission a survey of trees at London Road and the Museum by a contractor, and another contractor to quote for carrying out any necessary remedial work. The Insurers advise that casualty claims for employees/members of the public would be covered under the Council's liability insurance but claims for property damage caused by trees are not covered. They recommend that an inspection regime is put in place for all trees on Council land.

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	21-Dec-09	Is being followed up as part of the Corporate Budget Audit 2009-10 January 2010
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	21-Dec-09	e-mail from CFO 21/12/09 - (revise Treasury Management manual) - not yet implemented
0809 OP17-01 HOUSING BENEFITS	Application forms are redesign in line with Local Authorities with a low turnaround time by ensuring that the proofs required to assess the claim for entitlement /payment and the return times are printed on the first page of the application form	2	There are likely dependencies around adopting common working practices within a potential partnership arrangement. Next print run, or prevailing working practices adopted by any potential partner.	Sue Mustill	01-Jan-10		Is being followed up as part of the Housing Benefits Audit 2009-10, December 2009
0809 OP17-02 HOUSING BENEFITS	The Intervention review completion date is updated in Iworld and Iclipse and that this is monitored through the use of the reports available from Iworld. This is a re-iteration of the recommendations made in our 2006-07 and 2007-08 audits	2	There are likely dependencies around adopting common working practices within a potential partnership arrangement.	Sue Mustill	01-Jan-10		Is being followed up as part of the Housing Benefits Audit 2009-10, December 2009
0809 OP20-03 CUSTOMER SERVICES	When the equipment installed in the Great Dunmow offices can be released and used to upgrade the London Road CCTV installation, the backup arrangements should be tested, and suitable back-up media identified and provided.	2	Dependencies with equipment release from Gt. Dunmow	Claire Croft	30-Dec-09	14-Jan-10	The Street Services Admin. team continues to occupy an office in the Dunmow Office. It is still planned to relocate the CCTV equipment to London Road when the Dunmow office is vacated.
0910 OP05 3.1(b) Community Development	It is also recommended that BAME groups should be encouraged to have a participative role in decision-making process (Ref. to 3.1a)	2	Will review knowledge of groups & attempt to engage in decision making forums	Gaynor Bradley	31-Dec-09		
0910 OP05 3.2(b) Community Development	It is recommended that a set of Statistical Monitoring Information is in place that reports on the efficiency and effectiveness of the service on joint equalities strategies in its partnership working with public, voluntary and community sectors.	2	Will need to work in partnership with "Uttlesford Futures" Thematic Working Groups	Gaynor Bradley	31-Dec-09		
0910 OP05 3.3(a) Community Development	It is recommended that the survey methodology is assessed to gain a good understanding of the survey results on scores & weighting to ensure a coherent approach from the survey results to the consultation process.	2	Agreed	Gaynor Bradley	31-Dec-09		
0910 OP05 3.3(b) Community Development	It is recommended that a login to the Place Survey website is setup as soon as possible to enable access to the survey results.	2	Agreed and to be carried out ASAP	Gaynor Bradley	31-Dec-09		
0910 OP05 3.4 Community Development	It is therefore recommended that the performance framework for Local Government Partnership is reassessed to ensure a balance selection of National Indicators for measurement of effective outcomes to the service and partnership delivery.	2	Agreed	Gaynor Bradley	31-Dec-09		