

**RISK LEVEL 3 & 4 Recommendations implemented between 16 January 2010 to 15 July 2010**

| Code & Title                           | Description   | Risk Level | Expected Outcome  | Assigned To    | Due Date  | Completed |
|--|---|------------|---|----------------|-----------|-----------|
| 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.<br>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 | 20-Apr-10 |
| 0809 CORP07-06 CONTRACTS & PROCUREMENT | The Strategy document should be reviewed and revised as necessary, as soon as possible.   | 3          | 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 | 31-Jan-10 |
| 0809 CORP07-07 CONTRACTS & PROCUREMENT | a) Suppliers should be properly approved before tenders are invited from them, or business is transacted with them.<br>b) Requests to add suppliers to MarketPlace or other Supplier databases should be properly authorised.   | 3          | As 0809 CORP07-06 above   | Stephen Joyce  | 31-Dec-09 | 31-Jan-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 0809 CORP07-06 above   | Stephen Joyce  | 31-Dec-09 | 31-Jan-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 0809 CORP07-06 above   | Stephen Joyce  | 31-Dec-09 | 31-Jan-10 |
| 0809 OP15-3.5 ELECTIONS                | Hardcopy records are to be replaced by electronic files and enabling file backup onto the Council's back up IT systems.   | 3          | This requires further investigation as to the practicalities of recommendation.<br>Can see the logic, but need to ascertain whether suitable software is available to carry out all necessary recording. It will in any case be necessary to retain records in hard copy as well, as original receipted vouchers need to be produced for Ministry of Justice and Inland Revenue purposes.   | Peter Snow     | 28-Feb-10 | 13-Jul-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 | 06-Jul-10 |
| 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 | 28-Jan-10 |
| 0910 0904 3.2(b) Emergency Planning    | a) This audit also recommends that BCP are timeline to ensure the plans are timely completed.   | 3          |   | Lisa Lipscombe | 18-Mar-10 | 26-Apr-10 |
| 0910 0904 3.3 Emergency Planning       | It is re-iterated that a "Business Impact Analysis should be carried out as a matter of urgency so that the Business Continuity Plan can reflect priorities and dependencies" as per the audit of Emergency Planning 2007-08.   | 3          |   | Lisa Lipscombe | 18-Mar-10 | 26-Apr-10 |

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| 0910 0904 3.4 Emergency Planning | It is recommended that a Business Continuity working group be setup to further facilitate the work of the Emergency Planning Officers. | 3 |  | Lisa Lipscombe | 31-Mar-10 | 26-Apr-10 |
|----------------------------------|--|---|--|----------------|-----------|-----------|

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| 0910 COR03 3.3 Performance Management                 | a) Heads of Division are required to provide the relevant guidance relating to their Corporate and Service indicators for inclusion in Covalent.<br>b) Checks are carried out in Covalent to ensure that guidance 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.<br>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 | 3          | BI&P Officers to ensure guidance availability by working with collection officers to develop relevant notes for Covalent. Officers to continue in repeatedly communicating the offer of support for interpretation of NI guidance notes To be completed as part of estimates and targets exercise for 2010/11 | Debra Admin_Collins;<br><del>Fulay Norton</del> | 30-Jun-10 | 06-Jul-10 |
| 0910 COR07 3.1 CORPORATE INCOME including CASH INCOME | a) A comprehensive review of facilitating customer cash payments at the Dunmow CIC is undertaken as soon as possible.<br>b) The CIC Advisor deposits miscellaneous petty cash payments into the ATM immediately on receipt.<br>c) Should a customer wish to make a substantial cash payment they are directed to a private area where they can safely arrange for its placing into an envelope for controlled deposit via the ATM.   | 4          |   | Simon Martin                                    | 31-Jan-10 | 16-Mar-10 |
| 0910 COR07 3.2 CORPORATE INCOME including CASH INCOME | a) A review of the Council's vending machine contracts and usage is undertaken as soon as possible.<br>b) As an interim measure, the Dunmow Depot vending machine is emptied in accordance with the Council current practices and that takings are paid directly into the Council's account at a Dunmow bank rather than transported to London Road offices for banking,   | 4          |   | Simon Martin;<br>Ron Pridham                    | 31-Mar-10 | 30-Apr-10 |
| 0910 COR07 3.3 CORPORATE INCOME including CASH INCOME | a) A reconciliation process on AllPay is setup as soon as possible<br>b) Procedures for the reconciliation should be documented once the reconciliation process is in place<br>c) Arrangements are in place to ensure that Finance are notified when AllPay suspense items are cleared by service areas  | 3          |   | Stephen Joyce                                   | 31-Mar-10 | 23-Feb-10 |
| 0910 COR11 3.3 ASSET MANAGEMENT                       | Recommend that at its next meeting the Capital Officer Working Group revise its Terms of Reference to include its responsibilities as detailed in the Asset Management Plan and considers how it will undertake the role.  | 4          | Next meeting 13 April 2010  | Stephen Joyce                                   | 31-May-10 | 10-May-10 |
| 0910 OP01 3.3(c) Enforcement                          | The Performance Improvement Team is consulted to help define suitable Performance Indicators which will demonstrate the service's efficiency   | 3          |   | Paul Woolcott                                   | 30-Jun-10 | 30-Jun-10 |
| 0910 OP02 3.1(a) Trade Waste                          | A Project team should be established with a view to implementing annual contracts for Trade Waste services, paid by Direct Debit.  | 4          | Agreed<br>Dedicated officer has been appointed, work underway   | Ron Pridham                                     | 30-Jun-10 | 21-Jun-10 |
| 0910 OP10 3.2 UTILITY PAYMENTS & ENERGY EFFICIENCY    | Procedures used to administer Utility Payments and Energy Efficiency should be properly documented, to a standard permitting a new starter to be absorbed into the team quickly and with minimal impact on other officers.   | 3          | Work in progress, to complete by 8 January 2010   | Jake Rees                                       | 28-Feb-10 | 05-Mar-10 |
| 0910 OP12 3.1 Housing Rents                           | a) Housing Officers and others with an interest in debts should be informed by means of a report that a tenant has had a Debt Relief Order made in their favour;<br>b) The decision whether or not to inform tenants that their debts is written-off when an Order is made should be reviewed.   | 4          |   | Robert Patterson-Smith                          | 30-Apr-10 | 05-May-10 |

**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   |
|---------------------------------|--|------------|--|---------------|-----------|------------------|---|
| 0910 COR11 3.1 ASSET MANAGEMENT | Recommend that Asset Management arrangements continue to be fully supported at Strategic level and resourced at a level that will ensure the Council's ability to introduce acceptable and sustained improvements in its Asset Management arrangements   | 4          | Currently investigating partnership working opportunities with two other Essex Councils. It is expected that a way forward will be identified by end of March and work will commence in April. | Stephen Joyce | 30-Apr-10 | 13-Jul-10        | On 31 March 2010 Basildon District Council were engaged on a 3 year SLA to provide Asset Management consultancy and support, and to implement the Asset Management Action Plan, this arrangement has fallen through due to staff issues at BDC. UDC are now looking elsewhere for Asset Management consultancy and support and at this time not realistic revised due date for this recommendation can be given . This recommendation has not been implemented and has therefore been reactivated and will be reviewed as part of the 2010-11 audit (qtr3). |
| 0910 COR11 3.2 ASSET MANAGEMENT | Recommend that<br>(a) the highest priority is given to ensuring that the Asset Management Plan actions 1 and 2 are implemented within the indicative timescale<br>(b) in the determining of roles and responsibilities and actions, named officers take responsibility for these actions are accountable for their progression against specific implementation dates | 4          | Agreed -In accordance with AMP timetable   | Stephen Joyce | 30-Jun-10 | 13-Jul-10        | On 31 March 2010 Basildon District Council were engaged on a 3 year SLA to provide Asset Management consultancy and support, and to implement the Asset Management Action Plan, this arrangement has fallen through due to staff issues at BDC. UDC are now looking elsewhere for Asset Management consultancy and support and at this time not realistic revised due date for this recommendation can be given . This recommendation has not been implemented and will be reviewed as part of the 2010-11 audit (qtr3).                                    |