

RISK LEVEL 3 & 4 Recommendations implemented between 16 July 2010 and 05 September 2010

Code & Title	Description	Risk level	Expected Outcome	Assigned To	Due Date	Completed
0910 COR04 3.1 INFORMATION MANAGEMENT	<p>Heads of Divisions and Line Managers reporting to them, or directly to Directors, should be instructed to:</p> <ul style="list-style-type: none"> - · Review the Retention Schedule; · Ensure that processes in it relate to their Service(s); · Ensure that records created and maintained are correctly identified in it; · Define a suitable retention period for the records, taking account of any legal requirements (e.g. Financial records, Asbestos records, etc) and best practice; · Maintain their electronic and hard copy records accordingly. · Maintain a register of records destroyed in accordance with the Records Management Society's recommendations. 	3	HoDs and directors have been circulated to ask them to check that the documents retention schedule is appropriate/accurate and to confirm that they have processes in place to ensure that documents are being maintained/destroyed in accordance with the schedule and that a record of destroyed documents is kept.	Michael Perry	31-Aug-10	31-Aug-10
0910 COR04 3.4 INFORMATION MANAGEMENT	<p>Re-iteration of 2008-09 Audit Recommendation: -</p> <p>A procedure should be prepared, to be used by all departments, that when notification of the death of a resident is received the information is verified, and notified to all departments by means of a single email list.</p>	3	The form is built and in test. The website forms package sends an email to intended recipients however the email is just a data dump of field names and data input by the user. The form is done and the email now looks good. It will initially go to Revenues, Benefits, Housing and Electoral role. Others can be added if they notify James. An email to all staff will be going out today or tomorrow (confirmation from Director of Central Services 07/09/10)	Simon Martin; Adrian Webb	31-Aug-10	31-Aug-10
0910 OP01 3.4 Enforcement	<p>a) At least 2 member 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;</p> <p>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.</p>	3	(a) has been implemented (b) Agreement has been reached but compliance with it is outside the control of the enforcement team	Sonia Williams	31-Dec-09	31-Jul-10
0910 0904 3.2(a) Emergency Planning	a) It is reiterated that this Council's Business Continuity plan should be reviewed and tested at least annually, in the same way as other emergency-related plans" as per the audit of Emergency Planning 2007-08.	3	The BCP has been tested by way of a desk top exercise for SMB and this will recur on an annual basis	Lisa Lipscombe	14-Aug-10	10-Aug-10

RISK LEVEL 3 & 4 Recommendations NOT implemented by due date at 05 September 2010

Code & Title	Description	Risk level	Previous note 13-Jul-10 (reported to Members 27-Jul-10)	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	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).	Stephen Joyce	30-Apr-10	07-Sep-10	discussion with Assistant Chief Executive - Finance, 03/09/10 No further action to be reported on this recommendation at present
0910 COR11 3.2 ASSET MANAGEMENT	Recommend that (a) the highest priority is given to ensuring that the Asset Management Plan actions 1 and 2 are implemented within the indicative timescale (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	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).	Stephen Joyce	30-Jun-10	08-Sep-10	discussion with Assistant Chief Executive - Finance, 03/09/10 No further action to be reported on this recommendation at present

RISK LEVEL 1 & 2 Recommendations NOT implemented by due date at 05 September 2010

Code & Title	Description	Risk level	Expected Outcome	Assigned To	Due Date	Latest Note Date	Latest Note
0910 OP18 3.5 HR & PAYROLL 2009-10	To ensure that signatures of officers authorising overtime, mileage and subsistence and other claims can be easily verified, it is recommended that the Authorised Signatures file is kept up to date.	1	An up to date file of authorised signatures	Stephen Joyce	31-Aug-10	07-Sep-10	confirmation on progress towards implementation from Assistant Chief Executive - Finance 08/09/10 - as of today, all but 1 service has updated their signatory lists. Reminders have been issued to the outstanding services, and expected completion is before the date of the PSC meeting