

RISK LEVEL 3 & 4 Recommendations implemented between 06 September 2010 and 31 October 2010

Code & Title	Description	Risk Level	Expected Outcome	Assigned To	Due Date	Completed
0910 COR08 3.2 CONTRACTS & PROCUREMENT	re-iterated that Officers responsible for managing contracts or other arrangements for the supply of good or services are trained in contract management.	3	Contract Management Training has been identified as a training need in the Corporate Training Strategy currently being developed in conjunction with the Workforce Strategy	Stephen Joyce	30-Sep-10	30-Sep-10
0910 COR08 3.3 CONTRACTS & PROCUREMENT	re-iterated that procedures should be prepared defining:- · 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 · The ongoing management of contracts	3	Contract Procedure Rules adequately cover these points. The extent to which compliance is an issue that will be dealt with by the new Procurement Manager.	Stephen Joyce	31-Oct-10	30-Sep-10
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	UDC have appointed Braintree DC Asset Management staff to undertake compilation of the asset register and draw up a revised Asset Management Strategy	Stephen Joyce	30-Apr-10	31-Oct-10
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	UDC have appointed Braintree DC Asset Management staff to undertake compilation of the asset register and draw up a revised Asset Management Strategy (a) AM plan action 1 implemented; action 2 no longer applicable as it related to the 2003 Asset Register. Braintree DC will be starting a new Asset Register from scratch. (b) no longer applicable as new AM plan is to be drawn up and present to F&A committee in March 2011	Stephen Joyce	30-Jun-10	31-Oct-10
0910 OP01 3.5 Enforcement	Pending any recommendations that the Safety Risk Support Officer might make in the future, the Health and Safety briefing should be repeated. Additional sharps training should be considered.	3	H&S training has been carried out	Sonia Williams	30-Sep-10	17-Sep-10
0910 OP18 3.1 HR & PAYROLL 2009-10	Although expense claims have to be authorised by a senior officer and are therefore checked at that time, and the new Envoy Mileage system is being introduced, there may still be confusion over business journeys starting and / or finishing at the claimant's home. It is therefore recommended that PPN 47 is revised to indicate what can be claimed for journeys starting and / or ending at the officer's home.	3	Updates to PPN47 have been drafted and will be issued in November. Meanwhile, finance staff continue to be vigilant and ensure that no inappropriate claims are made	Stephen Joyce	31-Oct-10	31-Oct-10
1011 OP06 3.1 Members' Allowances & Expenses	A recommendation made in the 2006-07 audit report is re-iterated: Members should be reminded that Expenses claims should be submitted promptly. If Members consider it impossible to submit claims monthly, discussions should be held with the Assistant Chief Executive (Finance) and / or Financial Services with a view to increasing the claim period. In any event, claims should be submitted within one month of the year end, as specified in both Financial Regulations and the Members' Handbook.	3	Reminder included in the 17 September 2010 Members' Bulletin		23-Sep-10	23-Sep-10
1011 OP06 3.2 Members' Allowances & Expenses	It should be explained to Members that photocopied VAT receipts are not acceptable to HMRC (HMRC's Ref. Notice 700/64 issued May 2007 refers) and therefore claims cannot be accepted unless an original receipt is attached.	3	Explained to Members in the 17 September 2010 Members' Bulletin.		23-Sep-10	23-Sep-10
1011 OP07 3.1 Transport & Plant Utilisation & Mtce	The Council operates their fleet of vehicles with a valid tax disc - Checks are in place and monitored on a regular basis to ensure that internal triggers are relied upon for the renewal of a new tax disc.	3		Ron Pridham	18-Feb-11	18-Oct-10

RISK LEVEL 3 & 4 Recommendations NOT implemented by due date at 31 October 2010

Code & Title	Description	Risk level	Expected Outcome	Assigned To	Due Date	Latest Note Date	Latest Note
0910 COR 3.1 Corporate Reconciliation	Liaison meeting between IT, CSC and Finance to identify the audit trail for Debit and Credit card payments.	3		Toby Cowper	29-Oct-10	27-Oct-10	being reviewed as part of 2010/11 audit October 2010
0910 OP08 3.1(a) Creditors & VAT	It is recommended that high priority be given to ensuring that the Purchase Order Module be implemented as planned for April 2010 and that key user training and drafting of documented procedures will be implemented to coincide with its introduction.	3	Phased implementation is scheduled for April 2010 and if successful, roll out across the Council will be completed during the subsequent months. There is a dependency on the software supplier solving certain security issues. Training will be delivered shortly before the implementation date.	Stephen Joyce	31-Oct-10	02-Nov-10	being reviewed as part of 2010/11 audit, October 2010
0910 OP08 3.2(c) Creditors & VAT	It is recommended that: Consideration is given to investigating the feasibility of using the system field to allow for the invoice receipt date to be input into the Financial Information System. This should improve efficiency as system generated reports would remove the need to physically check the hardcopy invoice records.	3	The feasibility will be investigated and if possible, implemented.	Stephen Joyce	29-Oct-10	02-Nov-10	being reviewed as part of 2010/11 audit, October 2010