

RISK LEVEL 3 & 4 Recommendations implemented between 04 August and 09 November 2012

Code & Title	Description	Risk level	Assigned To	Due Date	Completed	Comment
1112 OP 01 1.1 Housing Strategy	It is recommended that a SWOT and sensitivity analysis be carried out to enable managers to build in contingency and to control risk if identified during the analysis.	3	Housing Strategy Manager	15-Oct-12	05-Nov-12	The Draft Housing Strategy is out on consultation and should be presented to Cabinet in December 20 12. Once the Strategy is formalised the Housing Strategy Manager will prepare a document along the SWOT analysis framework towards the achievement of the strategy.
1213 OP-13r 02 LICENSING	That an immediate review of the level of fees should be undertaken to ensure that the surplus is reduced to an acceptable level by 2013/14.	3	ACE-Legal	31-Oct-12	31-Oct-12	Report went to the Licensing Committee on 24/10/12 and an additional report went to Cabinet on 25/10/12
1213 OP-13r 03 ENFORCEMENT	Notebooks should be updated after each visit. Case notes should be sufficient in order that other enforcement officers can take over a case if required.	3	Enforcement Team Leader	31-Aug-12	31-Aug-12	The use of notebooks and case notes will be covered in the U-perform Staff Appraisal; All notebooks and case notes are sufficiently detailed

RISK LEVEL 1 & 2 Recommendations NOT implemented by due date at 09 November 2012

Code & Title	Description	Risk level	Assigned To	Due Date	Latest Note Date	Comment
1112 OP K06 1.1 Payroll, Allowances & Expenses	Recommend that procedures are drawn up that require Managers to ensure early identification of any potential conflict of interest for any member of their staff involved in the calculation or processing of final payments and leavers documentation. If any such interest is identified Managers must ensure that if resources permit the officer concerned has no involvement with any of the calculation and processing of the final payments or leavers documentation. If resourcing does not permit this then Managers must oversee the case and implement additional management controls at all stages of the process, including post-payment verification to ensure transparency and to protect officers from possible allegations of fraud, mis-administration etc.	2	ACE-Finance	30-Sep-12	From ACE-Fin 27/07/12 Written procedures have not been drawn up yet. Risk is very low as this was a one off event, no similar instances have occurred before or since, or are likely to in the foreseeable future Following discussion with ACE-Fin 31/07/12, Audit Manager has agreed to amend due date to 30 September 2012 and to regard priority as 2 rather than 3 maintaining the IA position that although likelihood is low the impact, while still significant, is less than when the recommendation was made as there have been changes made in recording the processing of redundancy payments.	awaiting update from officers on progress towards implmentaion from