

FINAL REPORTS ISSUED **05 May to 03 August 2012**

ref	Audit	Risk	Original approx days	Revised approx days	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion
							No.	Risk Level				
							total	4	3	2	1	
2011/12 opk05	NNDR	3	10	7	18/05/12	4	2	0	1	1	0	Adequate
2011/12 opk06	Payroll, Allowances & Expenses	3	10	7	28/05/12	3	2	0	1	1	0	Adequate
ref	Audit	Risk	Original Potential days	Revised Potential days	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion
2012/13 op07	Mailroom & Reprographics	2	10	10	28/05/12	8	2	0	1	1	0	Adequate

RISK LEVEL 3 & 4 RECOMMENDATIONS **05 May to 03 August 2012**

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
2011/12 opk05	NNDR	01	Recommendation that the NNDR Service works towards cessation of payment of NNDR refund by cheque by:	3				
			a) taking immediate action to contact those customers who are currently insisting on cheques and advise them that they need to change to BACS payments and to provide us with bank details and email addresses so future payments can be made in this way.		Agreed	Valuation Control Officer	Will commence writing to customers	1 st July 2012
			b) investigate if reference numbers relating to the account can go with the BACS transaction to aid identification of NNDR payments being credited to traders accounts		Agreed	Principal Council Tax Officer	Call has been made to Alan Mose in IT who is currently looking into problem	Immediate
			c) undertaking a review of all ratepayers where the BACS indicator is currently not set with the aim of obtaining their bank details in preparation for any future refund payment by BACS		Agreed	Valuation Control Officer	Will commence sending letters to customers	1 st July 2012

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
2011/12 opk06	Payroll, Allowances & Expenses	01	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.	3	Agreed	ACE-Finance	Agreed	July 2012 <i>(amended to 30/09/12 following discussion with ACE-FIN)</i>
2012/13 op07	Mailroom & Reprographics	02	It is recommended that owners of responsibility for deletion of electronic files on the common network drive (K:/) are defined for completed print jobs; to ensure the adherence of DPA 1998.	3	Agreed	Print Room & Mail Room Manager	Files will be deleted once the job is finished and in addition a check will be made every month to ensure no files have been missed.	May 2012

PERFORMANCE AGAINST the 2012/13 AUDIT PROGRAMME (revised July 2012) 05 May to 03 August 2012

ref	Audit	Risk 2012/13	Qtr	Original Potential days	Revised Potential days	Started	Draft Report issued	Final Report Issued	Days Taken	Stage	Comment
cork01	Corporate Budgets	4		10	10						
cork02	Corporate Contracts & Procurement	2		10	10						
cork03	Corporate Income	4		10	10						
cork04	Corporate Reconciliations	4		10	10						
				40	40						
cor01	Corporate Equality & Diversity	3	1	15	15	16/04/12	30/05/12		14	interim	
cor02	Corporate Governance & AGS	3	1	10	10	18/04/12	17/05/12		5	draft	
cor03	Corporate Grants & External Funding	3	1	10	10	19/04/12	03/08/12		14	draft	
cor04	Corporate ICT	3	2	10	10						
cor05	Corporate Partnerships	3	2	15	15						
cor06	Corporate Risk Management	3	1	15	15	23/04/12	11/05/12		6	interim	
cor07r	Corporate Information Management		2		15	25/06/12	03/08/12		12	draft	
cor08r	Corporate Training		4								
				75	90						
opk01	Council Tax	3		10	10						
opk02	Creditors	3		10	10						
opk03	Housing Benefits	3		10	10						
opk04	Housing Rents	3		10	10						
opk05	NNDR	3		10	10						
opk06	Payroll, Allowances & Expenses	3		10	10						
opk07	Sundry Debtors	3		10	10						
				70	70						

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ref	Audit	Risk 2012/13	Qtr	Original Potential days	Revised Potential days	Started	Draft Report issued	Final Report Issued	Days Taken	Stage	Comment
op01	Customer Service Centre	3	2	15	15	19/06/12			3	planning	
op02	Electoral Registration	2	1	5	5	20/06/12	03/07/08		3	draft	
op03	Emergency Planning / Business Continuity	3	4	15	15						
op04	Enforcement	3	1	10	10	30/04/12	26/06/12		13	draft	
op05	Homelessness	3	3	15	15						
op06	Housing Allocations	3	3	15	15						
op07	Mailroom & Reprographics	2	1	10	10	03/04/12	11/05/12	28/05/12	8	final	
op08	Street Services	4	2	20	20						
op09	Utility Payments & Energy Efficiency	3	1	10	10	23/05/12			1	planning	
op10	Voids	2	2	5	5						
op11r	Museum		2		10						
op12r	Insurance		2		5	19/06/12			1	planning	
op13r	Licensing		2		10	19/06/12	27/07/12		6	draft	
op14r	Conservation & Landscape		2		10						
op15r	Section 106 Agreements		2		5						
op16r	Legal Services		2		10	25/06/12			2	testing	
op17r	Facilities Management		3								
op18r	Access to Services		4								
				120	170					88	
total potential audit days				305	370						