

FINAL REPORTS ISSUED

04 August to 09 November 2012

ref	Audit	Risk	Original Potential days	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion
						No.	Risk Level				
						total	4	3	2	1	
cor02	Corporate Governance & AGS	3	10	27/09/12	5.1	n/a	n/a	n/a	n/a	n/a	No report issued
cor03	Corporate Grants & External Funding	3	10	26/10/12	18.2	4	0	0	4	0	Adequate
cor07r	Corporate Information Management	2	15	10/10/12	15.2	2	0	1	1	0	Adequate
op02	Electoral Registration	2	5	29/10/12	3.1	1	0	0	1	0	Substantial
op04	Enforcement	3	10	23/08/12	13.2	3	0	3	0	0	Adequate
op09	Utility Payments & Energy Efficiency	3	10	05/11/12	5.3	3	0	1	2	0	Adequate
op11r	Museum	2	10	24/10/12	8.5	8	0	0	8	0	Adequate
op12r	Insurance	2	5	28/09/12	9.3	4	0	1	3	0	Adequate
op13r	Licensing	2	10	23/08/12	7.4	3	0	2	1	0	Adequate
op15r	Section 106 Obligations	2	5	02/11/12	7.9	1	0	1	0	0	Adequate
op16r	Legal Services	2	10	07/09/12	10.5	1	0	0	1	0	Substantial
total						30	0	9	21	0	

RISK LEVEL 3 & 4 RECOMMENDATIONS**04 August to 09 November 2012**

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
cor07r	Corporate Information Management	01	It is recommended that Socitim's advice is followed and that the full Fair Processing Statement appears in the Your Council section of the website alongside other such corporate documents. In addition, sections of the website where personal information is requested should at least carry reference to the Fair Processing Statement.	3	Agreed	Assistant Director Corporate Services		31/03/13
op04	Enforcement	01	COEDIS should no longer be used. Revised version of DVLA online user guide 3.8 should be obtained.	3	Agreed	Enforcement Team Leader	Once IDOX is implemented then COEDIS will no longer be used. This has now been obtained and is currently being used	End of September 2012 August 2012
op04	Enforcement	02	Enforcement Officers should have attack alarms and refer to the VOR. The Procurement Manager should re-evaluate the ROMAD Contract	3 3	Agreed Agreed	Enforcement Team Leader Procurement Manager	The attack alarms will be obtained and the use of the VOR will be covered in the U-perform Staff Appraisal The Procurement Manager will re-evaluate the current contract.	August 2012 End of September 2012

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
op04	Enforcement	03	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	Agreed	Enforcement Team Leader	The use of notebooks and case notes will be covered in the U-perform Staff Appraisal	August 2012
op09	Utility Payments & Energy Efficiency	01	The SLA with Braintree DC should be updated.	3	Agreed	Andrew Taylor	SLA has been updated and a copy will be provided to Audit once senior managers have agreed it.	December 2012
op12r	Insurance	01	A formal SLA with EFDC should be put in place to include appropriate but proportionate monitoring arrangements for the SLA.	3	Agreed	Assistant Chief Executive - Finance	The existing SLA will be updated. On 18/9/2012 we requested EFDC to draft this and they have agreed. Monitoring has been undertaken through informal liaison between ACEF and his EFDC counterpart. This is felt to be proportionate.	January 2013
op13r	Licensing	01	The online payments system should be set up in order to comply with EU Services Directive 2009	3	Agreed	Licensing Officer	The system will be made available as soon as practicable.	March 2013
op13r	Licensing	02	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	Agreed	Assistant Chief Executive - Legal	A review of fees and charges will be undertaken to ensure that there is no significant surplus by 2013/14 and thereafter fees will cover the cost of providing the service.	October 2012

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
op15r	Section 106 Obligations	01	<p>It is recommended that:-</p> <ul style="list-style-type: none"> • Work in progress on Developer's contribution towards affordable housing and civic amenity is completed asap and published on the Council's website; • Assistance from the Accountancy Manager should be sought to carry out a financial appraisal/ forecast on major developments to ensure sustainability and adequacy of the Developers financial contribution. 	3	Agreed	Andrew Taylor		31/03/2013

PERFORMANCE AGAINST the 2012/13 AUDIT PROGRAMME
(reviewed September 2012)**04 August to 09 November 2012**

ref	Audit	Risk 12/ 13	Qtr	Original Potential days	Started	Draft Report issued	Final Report Issued	Days Taken	Stage	Comment
cork01r	General Ledger	4	3	10	17/10/12			0.4	prelim	formerly Budgets & Income
cork02	Corporate Contracts & Procurement	2	4	10						
cork03r	Cash & Bank	4	3	10	17/10/12			1.1	prelim	formerly Reconciliations
cork04r	Asset Management	4	3	10	17/10/12			0.5	prelim	
cor01	Corporate Equality & Diversity	3	4	15	16/04/12	30/05/12		13.5	interim	
cor02	Corporate Governance & AGS	3	1	10	18/04/12	17/05/12	27/09/12	5.1	final	AGS work only
cor03	Corporate Grants & External Funding	3	1	10	19/04/12	03/08/12	26/10/12	18.2	final	
cor04	Corporate ICT	3	4	10						
cor05	Corporate Partnerships	3	4	15						
cor06	Corporate Risk Management	3	3	15	23/04/12	11/05/12		6.1	interim	
cor07r	Corporate Information Management	2	2	15	25/06/12	03/08/12	10/10/12	15.2	final	
cor08r	Corporate Training		4							
opk01	Council Tax	4	3	10	17/10/12			0.4	prelim	
opk02	Creditors	4	3	10	17/10/12			0.7	prelim	
opk03	Housing Benefits	4	3	10	17/10/12			0.0	prelim	
opk04	Housing Rents	4	3	10	17/10/12			0.3	prelim	
opk05	NNDR	4	3	10	17/10/12			0.3	prelim	
opk06	Payroll, Allowances & Expenses	4	3	10	17/10/12			0.0	prelim	
opk07	Sundry Debtors	4	3	10	17/10/12			0.7	prelim	
opk08r	Treasury Management	4	3	10	17/10/12			0.8	prelim	
opk09r	Housing Repairs	4	3	10	17/10/12			0.0	prelim	

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ref	Audit	Risk 12/ 13	Qtr	Original Potential days	Started	Draft Report issued	Final Report Issued	Days Taken	Stage	Comment	
op01	Customer Service Centre	3	3	15	19/06/12	09/11/12		6.5	draft		
op02	Electoral Registration	2	1	5	20/06/12	03/07/08	29/10/12	3.1	final		
op03	Emergency Planning / Business Continuity	3	4	15							
op04	Enforcement	3	1	10	30/04/12	26/06/12	23/08/12	13.2	final		
op05	Homelessness	3	3	15	15/10/12			2.7	testing		
op06	Housing Allocations	3	3	15							
op07	Mailroom & Reprographics	2	1	10	03/04/12	11/05/12	28/05/12	7.7	final		
op08	Street Services	4	4	20							
op09	Utility Payments & Energy Efficiency	3	1	10	23/05/12	23/10/12	05/11/12	5.3	final		
op10	Voids	2	4	5							
op11r	Museum	2	2	10	30/08/12	10/10/12	24/10/12	8.5	final		
op12r	Insurance	2	2	5	19/06/12	06/09/12	28/09/12	9.3	final		
op13r	Licensing	2	2	10	19/06/12	27/07/12	23/08/12	7.4	final		
op14r	Conservation & Trees	2	2	10	31/08/12	09/11/12		9.0	draft		
op15r	Section 106 Agreements	2	2	5	16/08/12	19/09/12	02/11/12	7.9	final		
op16r	Legal Services	2	2	10	25/06/12	31/08/12	07/09/12	10.5	final		
op17r	Facilities Management	2	3								
op18r	Access to Services	2	4								
total potential audit days				390	Days taken			154.4			