

FINAL REPORTS ISSUED	10 November 2012 to 25 January 2013
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ref	Audit	Risk	revised potential days	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion
						No.	Risk Level				
							total	4	3	2	
cork04r	Asset Management	2	2	18/12/12	1	0	0	0	0	0	Substantial
opk08r	Treasury Management	2	1	18/12/12	2	0	0	0	0	0	Substantial
op01	Customer Service Centre	3	15	22/11/12	10	3	0	2	1	0	Adequate
op05	Homelessness	3	15	04/01/13	13	1	0	1	0	0	Adequate
op06	Housing Allocations	3	15	20/12/12	12	2	0	0	2	0	Substantial
op14r	Conservation & Trees	2	10	19/11/12	11	1	0	0	1	0	Substantial
total						7	0	3	4	0	

RISK LEVEL 3 & 4 RECOMMENDATIONS **10 November 2012 to 25 January 2013**

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
op01	Customer Service Centre	1	A rental agreement with Essex County Council for the use of Great Dunmow library should be put in place by Legal.	3	Agreed	Assistant Director – Corporate Services	A rental agreement building on the already existing SLA has been prepared and is the subject of final discussions between UDC and ECC solicitors.	31 January 2013
op01	Customer Service Centre	2	The Customer Charter should be formally launched. Consideration should be given to adopting the customer service excellence standard.	3	Agreed	Assistant Director – Corporate Services	Project was delayed through consideration of installing new complaints system. Cost ultimately proved prohibitive, so formal launch of Charter will now take place.	31 March 2013
op05	Homelessness	01	It is recommended that in conjunction with the Council's ICT team, Northgate (Housing Management System software provider) and Locata software provider; action plans are agreed for the purpose of managing risk in accordance to the Data Protection Act 1998; in relation to tenancy data kept longer than required by law.	3	Agreed	Housing Needs & Landlord Services Manager	Following the audit Judith has been in discussion with Locata to align data to the DPA. She has also liaised with UDC IT team in relation to data held in Northgate and is awaiting a response on the way forward.	31 March 2013

PERFORMANCE AGAINST the 2012/13 AUDIT PROGRAMME (reviewed September 2012)	10 November 2012 to 25 January 2013
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ref	Audit	Risk 12/ 13	Qtr	revised Potential days	Started	Draft Report issued	Final Report Issued	Days Taken	Stage	Comment
cork01r	General Ledger	4	3	10	17/10/12			1.3	testing	KF-EA
cork02	Corporate Contracts & Procurement	2	4	10						<i>to be c/f to 2013/14</i>
cork03r	Cash & Bank	4	3	15	17/10/12			15.2	testing	KF-EA
cork04r	Asset Management	2	3	2	17/10/12	13/12/12	18/12/12	1.3	final	
cor01	Corporate Equality & Diversity	3	4	15	16/04/12			13.6	testing	
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	0						<i>to be c/f to 2013/14</i>
cor05	Corporate Partnerships	3	4	15						<i>to be c/f to 2013/14</i>
cor06	Corporate Risk Management	3	3	15	23/04/12			9.5	testing	
cor07r	Corporate Information Management	2	2	15	25/06/12	03/08/12	10/10/12	15.2	final	
cor08r	Corporate Training		4							<i>to be c/f to 2013/14</i>
opk01	Council Tax	3	4	3	17/10/12			0.4	planning	KF-UDC
opk02	Creditors	4	3	10	17/10/12			3.7	testing	KF-EA
opk03	Housing Benefits	3	4	3	17/10/12			3.0	planning	KF-UDC
opk04	Housing Rents	4	3	10	17/10/12			7.9	testing	KF-EA
opk05	NNDR	3	4	3	17/10/12			0.4	planning	KF-UDC
opk06	Payroll, Allowances & Expenses	4	4	3	17/10/12			1.0	planning	KF-UDC
opk07	Sundry Debtors	4	3	10	17/10/12			5.5	testing	KF-EA
opk08r	Treasury Management	2	3	1	17/10/12	14/12/12	18/12/12	1.8	final	final
opk09r	Housing Repairs	4	3	10	17/10/12			4.0	testing	KF-EA
opk10r	Revenues & Benefits Recovery	3	4	3	21/12/12			0.1	planning	KF-UDC

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op01	Customer Service Centre	3	3	15	19/06/12	09/11/12	22/11/12	10.0	final		
op02	Electoral Registration	2	1	5	20/06/12	03/07/08	29/10/12	3.2	final		
op03	Business Continuity	3	4	10	22/01/13			0.3	planning		
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	16/11/12	04/01/13	13.0	final		
op06	Housing Allocations	3	3	15	15/11/12	20/12/12	20/12/12	11.9	final		
op07	Mailroom & Reprographics	2	1	10	03/04/12	11/05/12	28/05/12	7.6	final		
op08	Street Services	4	4	15	23/11/12			3.9	planning		
op09	Utility Payments & Energy Efficiency	3	1	10	23/05/12	23/10/12	05/11/12	6.3	final		
op10	<i>Voids</i>	2	4	5				0.3			
op11r	Museum	2	2	10	30/08/12	10/10/12	24/10/12	9.2	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	7.3	final		
op14r	Conservation & Trees	2	2	10	31/08/12	09/11/12	19/11/12	10.8	final		
op15r	Section 106 Obligations	2	2	5	16/08/12	19/09/12	02/11/12	8.8	final		
op16r	Legal Services	2	2	10	25/06/12	31/08/12	07/09/12	10.5	final		
op17r	<i>Facilities Management</i>	2	3	0						<i>to be c/f to 2013/14</i>	
op18r	<i>Access to Services</i>	2	4	0						<i>to be c/f to 2013/14</i>	
total potential audit days				390	Days taken			232.8			