

FINAL REPORTS ISSUED

26 January to 30 April 2013

ref	Audit	Risk	revised potential days	Final Report Issued	Days Taken	Recommendations Made					Audit Opinion
						No.	Risk Level				
							total	4	3	2	
cork01r	General Ledger	4	10	06/03/12	8	2	0	0	2	0	Substantial
cork03r	Cash & Bank	4	15	04/04/13	16	2	0	1	1	0	Adequate
cor01	Corporate Equality & Diversity	3	15	21/03/13	16	5	0	4	1	0	Limited
cor06	Corporate Risk Management	3	15	22/03/13	12	1	0	0	1	0	Substantial
opk01	Council Tax	3	3	28/03/13	4	0	0	0	0	0	Substantial
opk02	Creditors	4	10	19/04/13	11	2	0	0	2	0	Substantial
opk03	Housing Benefits	3	3	03/04/13	7	0	0	0	0	0	Substantial
opk04	Housing Rents	4	10	31/01/13	9	0	0	0	0	0	Substantial
opk05	NNDR	3	3	28/03/13	3	0	0	0	0	0	Substantial
opk06	Payroll, Allowances & Expenses	4	3	19/04/13	5	0	0	0	0	0	Substantial
opk07	Sundry Debtors	4	10	03/04/13	10	0	0	0	0	0	Substantial
opk10r	Revenues & Benefits Recovery	3	8	21/03/13	5	0	0	0	0	0	Substantial
op03	Business Continuity	3	10	26/04/13	9	3	0	1	2	0	Adequate
op08	Street Services	4	15	24/04/13	13	4	0	3	1	0	Limited
op10	Voids	2	5	23/04/13	4	2	0	0	2	0	Substantial
total						21	0	9	12	0	

RISK LEVEL 3 & 4 RECOMMENDATIONS**26 January to 30 April 2013**

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
cork03r	Cash & Bank	01	<p>a) It is recommended that the terms and conditions of the contract with Allpay are reviewed and to benchmark their charges with potential vendors to ensure charges remain competitive.</p> <p>b) It is also recommended that options are considered to encourage council tax, NNDR and housing rent payers to use Direct Debit as a method of payment. This should further reduce the Council's payment liability.</p>	3	Agreed. Agreed.	Assistant Director of Corporate Services	Officers continue to encourage the use of Direct Debit/ online payment where possible. The encouragement of DD's is especially important due to the coming changes in the Welfare system with effect form 1.4.2013.	August 2013 Ongoing.
cor01	Corporate Equality & Diversity	01	The Action plan should be updated to include feedback from Equality Training and 2011 Census data and with timescale targets set and lead responsibility decided.	3	Agreed	Chief Executive		31/03/13
cor01	Corporate Equality & Diversity	02	Equality Champions role is developed further to ensure active participation in the Equality & Diversity programme. To support this, the reviewing of Equality objectives by CMT and Cabinet should be evidenced.	3	Agreed	Chief Executive		31/07/13

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
cor01	Corporate Equality & Diversity	03	The minutes of the Equalities Strategy Group / Equalities Working Group should be circulated once the Working Group is reconvened in Feb/March and the terms of reference for the combined Equalities Strategy Group / Equalities Working Group should be revised.	3	Agreed	Chief Executive		31/07/13
cor01	Corporate Equality & Diversity	04	There should be a corporate programme for Equality Impact Assessments; a central register maintained of EqIA's; A designated officer should be responsible for EqIA's; All External EqIA's should be on the UDC Website.	3	Agreed	Chief Executive	Access & Equalities Officer will liaise with web-site team to create an Intranet page, linked to the Census info and also to list EIA's. CMT to provide a list of policies for Committee	30/04/13
op03	Business Continuity	1	The Finance BC Plan has not been completed and should be formulated as soon as possible.	3	Agreed	ACE - Finance	Agreed and is part of Accountancy Manager's U-Perform objectives for completion in July.	31 July 2013
op08	Street Services	01	Recommendation that the policy on free collection concessions is reviewed and that officers in both Street Services Administration and the Customer Service Centre are made aware of the policy.	3	Agreed	Street Services Team Leader		31/05/13

ref	Audit	Ref	Recommendation	Risk	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
op08	Street Services	02	<p>Recommendation that, following the relocation of the Street Services Administration to the Shirehill Depot</p> <p>a) a property database is created for all properties, plant and machinery and moveable assets currently owned or used by the council above £1000 in value. The database should be in a form approved by the CFO in accordance with Fin Regs 8.5</p> <p>b) a stock take of moveable items valued at under £1000 is undertaken and records maintained to show acquisitions and disposals</p> <p>c) regular stock takes of all domestic and trade containers are undertaken and that for trade waste containers, all deliveries or collections of are promptly notified to the Street Services Admin Team to ensure up to date records can be maintained.</p>	3	Agreed	Street Services Team Leader / Waste & Recycling Officer	This will not be able to be acted upon until the relocation of the team to the Shirehill Depot	30/09/13
op08	Street Services	03	Recommendation that a reminder is sent to ensure that, in accordance with instructions already issued, tanks at Shirehill	3	Agreed	Street Services Team Leader	Supervisors have been reminded, and as fuel suppliers now require 5 days for a	Already implemented

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			and Dunmow are dipped weekly to provide as accurate and up-to-date actual stock levels as possible and that dipped levels should be logged and signed off as per instructions. As a replacement dip-stick cannot be obtained for Shirehill, prompt management action should be taken to ensure investigation of the cause of any Shirehill discrepancy that is not in line with an agreed 'home-made' dip stick inaccuracy parameters				delivery this has become essential.	

PERFORMANCE AGAINST the 2012/13 AUDIT PROGRAMME (reviewed September 2012)	26 January to 30 April 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	19/02/13	06/03/12	8	final	KF-EA
cork02	<i>Corporate Contracts & Procurement</i>	2		10						<i>to be c/f to 2013/14</i>
cork03r	Cash & Bank	4	3	15	17/10/12	08/02/13	04/04/13	16	final	KF-EA
cork04r	Asset Management	2	3	2	17/10/12	13/12/12	18/12/12	1	final	
cor01	Corporate Equality & Diversity	3	4	15	16/04/12	19/02/13	21/03/13	16	final	
cor02	Corporate Governance & AGS	3	1	10	18/04/12	17/05/12	27/09/12	5	final	AGS work only
cor03	Corporate Grants & External Funding	3	1	10	19/04/12	03/08/12	26/10/12	18	final	
cor04	<i>Corporate ICT</i>	3		0						<i>to be c/f to 2013/14</i>
cor05	<i>Corporate Partnerships</i>	3		15						<i>to be c/f to 2013/14</i>
cor06	Corporate Risk Management	3	3	15	23/04/12	22/03/13	22/03/13	12	final	
cor07r	Corporate Information Management	2	2	15	25/06/12	03/08/12	10/10/12	15	final	
cor08r	<i>Corporate Training</i>									<i>to be c/f to 2013/14</i>
opk01	Council Tax	3	4	3	17/10/12	27/03/13	28/03/13	4	final	KF-UDC
opk02	Creditors	4	3	10	17/10/12	04/03/13	19/04/13	11	final	KF-EA
opk03	Housing Benefits	3	4	3	17/10/12	20/03/13	03/04/13	7	final	KF-UDC
opk04	Housing Rents	4	3	10	17/10/12	31/01/13	31/01/13	9	final	KF-EA
opk05	NNDR	3	4	3	17/10/12	27/03/13	28/03/13	3	final	KF-UDC
opk06	Payroll, Allowances & Expenses	4	4	3	17/10/12	19/04/13	19/04/13	6	final	KF-UDC
opk07	Sundry Debtors	4	3	10	17/10/12	18/02/13	03/04/13	10	final	KF-EA
opk08r	Treasury Management	2	3	1	17/10/12	14/12/12	18/12/12	2	final	final
opk09r	Housing Repairs	4	3	10	17/10/12	19/03/13		18	draft	KF-EA
opk10r	Revenues & Benefits Recovery	3	4	3	21/12/12	13/03/13	21/03/13	5	final	KF-UDC

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op01	Customer Service Centre	3	3	15	19/06/12	09/11/12	22/11/12	10	final		
op02	Electoral Registration	2	1	5	20/06/12	03/07/08	29/10/12	3	final		
op03	Business Continuity	3	4	10	22/01/13	19/04/13	26/04/13	9	final		
op04	Enforcement	3	1	10	30/04/12	26/06/12	23/08/12	13	final		
op05	Homelessness	3	3	15	15/10/12	16/11/12	04/01/13	13	final		
op06	Housing Allocations	3	3	15	15/11/12	20/12/12	20/12/12	12	final		
op07	Mailroom & Reprographics	2	1	10	03/04/12	11/05/12	28/05/12	8	final		
op08	Street Services	4	4	15	23/11/12	26/03/13	24/04/13	13	final		
op09	Utility Payments & Energy Efficiency	3	1	10	23/05/12	23/10/12	05/11/12	6	final		
op10	Voids	2	4	5	20/03/13	16/04/13	23/04/13	4	final		
op11r	Museum	2	2	10	30/08/12	10/10/12	24/10/12	9	final		
op12r	Insurance	2	2	5	19/06/12	06/09/12	28/09/12	9	final		
op13r	Licensing	2	2	10	19/06/12	27/07/12	23/08/12	7	final		
op14r	Conservation & Trees	2	2	10	31/08/12	09/11/12	19/11/12	11	final		
op15r	Section 106 Obligations	2	2	5	16/08/12	19/09/12	02/11/12	9	final		
op16r	Legal Services	2	2	10	25/06/12	31/08/12	07/09/12	11	final		
op17r	Facilities Management	2	3	0						to be c/f to 2013/14	
op18r	Access to Services	2	4	0						to be c/f to 2013/14	
total potential audit days				333	Days taken			313			