

## Condensed Guide For Audit Attendance

### **Audit at Branch ( Introduction and Horizon Reports)**

On arrival at the branch and entry to the secure area, explain the purpose of the visit. Establish if the person in charge has full access to the Horizon system (ie may just be a member of staff), and ask them to Log on to the Horizon system.

You may wish to make a mental note of where personal items (bags, holdalls etc) taken into the secure area are located when the audit commences or anything carried in by staff who arrive later.

REPLACE (If SPMR/staff were already in secure area prior to your arrival, obtain a Transaction Log from 17.30 hours the previous working day, in addition to the following reports) WITH Obtain a Transaction Log from 17.30 hours the previous working day (even if spmr arrives outside the branch - they may have been in a rear entrance and accessed Horizon and then returned to the front) in addition to the following reports:

**Office Snapshot:**      **TAKE THE SENTENCE IN BRACKETS OUT, A BALANCE SNAPSHOT MAY NOT CONTAIN ALL RECEIPTS & PAYMENTS WITHIN TRADING PERIOD IF ROLLED INTO BP, MUST BE OFFICE SNAPSHOT**  
(This can be Balance snapshot if only one AA Stock unit.  
However) If multi-stock unit, obtain **Transfer Reconciliation** and individual snapshots as well.

**Cash declaration/s**    Obtain reprint of figures entered previously

**Foreign Currency Holdings -**                      if applicable

If time is limited the following reports can be obtained later:

- **Previous Branch Trading Statement** (Reprint)
- **Suspense Account** (Entries need to be supported by NBSC reference and to be within an 8 week timescale)
- **Rems In and Rems Out** (Printing both 'Daily' and 'By Product' useful, especially if completing Tier 2 entries on P.32)
- **Reversals** (Transaction Log, Mode, ER and RV)
- **Transaction Corrections Processed**
- **Transaction Corrections Outstanding**
- **User Summary** (if any changes made to users 'proper' to office, obtain a second copy showing amendments)
- **Transaction Log - over £5000** for previous 6 weeks

Establish where all Cash and Stock is located, including any outstanding Lottery from retail side, ATM monies etc. There may also be dormant stocks in Combi-tills, which are not being used.

Proceed to count **Counter** Working Cash and Stamp Portfolio, together with loose Stamp Books and any Foreign Currency. Check any documents and Cheques on hand and relating to the current Trading Period.

Then move onto Bulk Cash and Stock

Proceed to enter Cash , Stock and Documentation from the above reports onto P32. You may wish to start with figures B/F from the last BTS and the Office Snapshot, remembering that some reports have entries on more than 1 page of the P.32 if completing Tier 2 audits. **Rem In** figures for postage totals and stock are entered on the corresponding page 'tab' - scroll to the far right of the pages to locate the columns.

- **If audit is on Thursday morning after a Trading Period, the BTS must be produced before the auditors leave.**