

<b>Title</b>	Audit Process Manual
<b>Subject</b>	Chapter 3a - Core & Outreach Audit Process
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<b>Purpose</b>	Outline responsibilities and processes to perform an audit in Core & Outreach Branches
<b>Audience</b>	Network Services Field Team
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**Stakeholders**

<b>Stakeholders Name</b>	<b>Responsibility</b>
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**Responsibilities in change**

<b>Role</b>	<b>Job Title(s)</b>	<b>Date</b>
Author	Field Team Leaders - Dave Ogleby, Peter Jackson & Linda McLaughlin	2/02/11
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**Version control**

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## Section 1 - INTRODUCTION - TYPES OF CORE & OUTREACH BRANCHES

1.1 This is a concept to supply small community and rural areas with a counter service. A Core branch will operate a range of outreach options offering a variety of transactions.

1.2 There are four types of outreach branches:

1. Partnership
2. Hosted
3. Mobile
4. Home Service

## Section 2 - PLANNING

2.1 The Field Team Member (FTM) designated "lead" at the audit is responsible for carrying out the pre visit preparation. The lead must check the audit type, branch names and codes and other details supplied by the schedulers. Using the available database on EASE i.e. the All Branches Database, they can find all the information on the branch including the date of the last audit

2.2 When allocated a Core and Outreach audit as the FTM leading the audit, you will prepare as follows:

- See the audit appear on your schedule - this should appear with a comment to make clear it is a C&O branch and sufficient resource is allocated.
- If this is a 100/300 audit code all accessible (open) Outreach's must be included in the audit
- If this is a 150 audit code only the Core will be included in the audit- no resource plan will be required as this will be the only branch being audited.
- Prepare your resource plan - see Appendix A

The lead FTM will also prepare the latest FAA P32 for use at the Core (making sure to complete the C&O section on the P32 planning page), as well as the latest CAT reporting tool for the compliance audit at the Core branch. This will include checking any compliance gaps from the last audit at the office.

2.3 Once scheduled with Core & Outreach Audits you will need to check 2 databases that are held on EASE:

**Core-S - Branch Opening Hours** (updated monthly) and the **Outreach Network** (both of these databases are found via: EASE - Audits - Branch Opening Times). The following is on EASE:

Outreach Network This lists all Core & Outreach branches and shows you what branches are associated with a Core branch. There are no opening times shown on this database.

**Level 1 Branch Code** - This is the Core

**Level 2 Branch Code** - This is the Branch Code for the Horizon kit and it is where the kit is stored (i.e. Mobile Van, Hosted - portable Horizon kit and Partner - installed fixed Horizon kit)

**Level 3 Branch Code** - Outreach Locations (i.e. where the Mobile Van or portable Horizon kit is taken to, this code is N/A for partnered sites as the Horizon kit is fixed at the Level 2 Branch Code site)

#### Core-S

This gives the opening times for each branch code

**Core Branch** - Pres 'Ctrl' and 'f' then type in the branch code (**Level 1**) and it will take you to the line with the Core's opening hours. (You might need to keep pressing find next until the code appears in column A)

**Partner Branch** - Pres 'Ctrl' and 'f' then type in the branch code (**Level 2**) and it will take you to the line with the Partner's opening hours. (These are permanent sites where the Horizon kit is installed)

**Mobile Van and Hosted Sites** - Pres 'Ctrl' and 'f' then type in the branch code (**Level 3**) and it will take you to the line with that particular site's opening times.

**Note:** Some Level 2 codes will show opening times of 03:00 to 03:01, as this is the code for the actual mobile kit and therefore do not have opening times.

**2.4** Arrange a conference call with the rest of the FTM's using the Field Team leader's conference call number. Areas to explore on this call would include what time to meet at the Core before any mobiles/hosted stocks leave that day. All FTM's need to familiarise themselves with the audit process and raise any questions on the call.

**2.5** Any FTMs scheduled to support at any outreach sites will also need to prep the latest FAA P32, and also prep the Outreach CAT reporting tool and Outreach CAT working papers, as found on EASE. (See also Outreach CAT Tool User Instructions)

**2.6** Two days prior to the audit the Lead FTM contacts the relevant Contracts Advisor (CA) to inform of audit.

### **Section 3 - CONDUCTING THE AUDIT ON SITE**

**3.1** Refer to APM Chapter 3 - Performing a Branch Audit, for how to carry out the introduction, actual financial and compliance audits, and the closing meeting.

### **Section 4 - IRREGULARITIES**

**4.1** In the event of any irregularities or issues of concern at any of the outreach branches, the lead FTM at the Core should be informed of these.

**4.2** The lead FTM should then:

- Phone the relevant CA to let them know as soon as you identify a potential problem. In the event a CA is not free use the buddy list to contact replacement CA's who will be able to make decisions to enable you to progress.

- Ring again once you know the final findings and total deficit, so the CA can make decisions on next steps.
- If there are Outreach's that do not have access available on the day, take advice from the CA as to how to proceed (either take as assured or plan to audit the next available open day).
- Phone the relevant Security Programme Manager - Jason Collins (South) 



 mobex 



 or Lesley Frankland (North) mobex 



 or 



 or Allison Drake ( Central) mobex 



 br
- If required, follow the suspension procedures guidelines below:

## Section 5 - REQUIRED PROCESS IN THE EVENT OF AGENT SUSPENSION

**5.1** The likelihood would be that the mobile and hosted stocks will not have left the Core. All partner branches have a lockable Post Office Coin cabinet in which cash can be stored overnight once audited, until such a time as either a replacement Agent is found or the branch can be defunded

**5.2** FTM's should balance the Horizon on Line (HOL) system and complete the P32, whilst waiting to hear if the branch is to be transferred or defunded.

**5.3** If a decision has been made to defund the core and outreaches, all cash and stock must be branch to branch remitted back to the core. Remember to remit from the Partner Site before leaving, as no terminal will be at Core office to do this.

**5.4** Core branches supply outreaches with cash and stock via branch to branch remittances with the use of barcode labels designed specifically for that purpose (these should be on hand at the branch).

**5.5** Outreaches cannot remit out to the cash centre directly, all remittances must go via the core branch.

**5.6** So in order to defund you should follow the process outlined below:

FTM at the partner site would:

- Rem cash and stock to the core via HoL
- Inform the FTM at the core what the pouch numbers are.
- This should initially be branch to branch, and the pouch that the cash and stock is actually being placed into for CIT collection.

The FTM at the core branch would:

- Accept the rem and input the barcode manually
- Rem out to ADC by manual input of the pouch number
- Prepare the partners pouch by manual input

**5.7** When the CIT van has been arranged they will pick up from the outreach first and supply a TransTrak receipt for any pouches they take. They will then take the pouch(es) to the Core so there will be a requirement to have FTM presence at both locations for the defund.

5.8 It is the CA's decision whether or not to suspend based on the facts you provide.

## **Section 6 - AUDIT REPORTING & SHAREPOINT**

6.1 Core and Outreach P32s are named as follows:

C&O P32 (branch code).(date) (branch name)  
E.g. C&O P32 123456.120511 Anytown

6.2 The lead FTM will collate the P32's from the other FTM's and create just one audit report for the whole cluster after the audit.

Name this as follows- C&O (branch code).(date) (branch name)  
E.g. C&O 123456.120511 Anytown Audit Report

6.3 The Core and Outreach CAT tools are saved as follows

:  
C&O CAT (branch code).(date) (office name)  
E.g. C&O CAT 123456.030809 Anytown

6.4 The FTMs who audited the Outreach branches will complete their Outreach CAT reporting tool as per the Outreach CAT Tool User Instructions, and e-mail the tool and Appendix C template (if applicable) to the lead FTM.

6.5 The lead FTM will post the following printed documents to the Agent at the Core branch:

- Audit report
- Appendix A&B for the Core branch (if applicable)
- Appendix C for each Outreach branch (if applicable)
- The Compliance Declaration for the Core, and any Outreaches (again, if applicable)

6.6 The lead FTM will put the following into the P32 zip file:

- All P32s
- The overall Audit Report
- The Core CAT reporting tool
- All Outreach reporting tools
- All appendices

6.7 The lead will then e-mail all electronic documents, as per the latest version of the Audit Report Matrix.

6.8 All report and Appendices templates needed for the above are available on EASE.

6.9 The individual FTMs are responsible for recording the financial and compliance results onto Sharepoint, within the required timescales (i.e. within 5 working days, or by the last day of the reporting period, whichever is the sooner).

**PROFORMA TO CAPTURE INFO RE C&O CLUSTER FOR AUDITING  
APPENDIX A**

As part of the prep for the audit, the lead FTM should populate the above named document **(available on EASE)**. The document requires the following information:

- Level 1,2 & 3 branch codes - from EASE
- Outreach branch names, locations and postcodes
- Any extra relevant information regarding mobile and/or hosted Outreach sites
- Opening times of the C&O branches on the day of the audit

The proforma should then be circulated to the supporting FTMs prior to the pre-audit conference call.