



NEWS FROM THE OFFICE OF
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FOR IMMEDIATE RELEASE

RISK ASSESSMENT COMPLETED-AUDIT PLAN RELEASED **‘Sunlight’ is the Best Deterrent against Fraud or Carelessness**

Kingston, NY (April 3, 2017) – The Ulster County Office of the Comptroller submitted its 2017 Annual Audit Report to the Ulster County Legislature and Executive after careful analysis of a 2017 RISK ASSESSMENT QUESTIONNAIRE, which identified issues relating to internal controls and areas with a high degree of exposure, risk, or liability. Twenty-nine units of County government participated in the survey, ranging from the Department of Social Services to the Office of the District Attorney. The Audit Report noted that the Ulster County Legislature was the only unit of government that did not respond.

The Report was multi-faceted in its approach, outlining risk factors, the risk assessment survey, and available audit resources. Further, it introduced the Office’s tentative 2017 Audit Plan. Enhancing the Report was an overview of thirty-two audits, reports, and examinations that the Office of the Ulster County Comptroller completed in 2016

“I appreciated the participation of each office and department of county government that completed the initial risk self-assessment and shared timely information about their finances, operating procedures, and other noteworthy areas,” said Comptroller Elliott Auerbach. “Every level of government has a unique set of circumstances, and our examination is to recognize best practices and minimize risk wherever possible.”

“The 2017 Audit Plan and the risk self-assessment continues to draw from acceptable industry standards and practices as recommended by the Institute of Internal Auditors,” continued Auerbach. “According to the Institute’s Standard 2010.A1, ‘[t]he internal audit activity’s plan of engagements must be based on a documented risk assessment[,]’ which continues to underscore my Office’s way of thinking that prevention through shining some sunlight on certain areas of concern is the best deterrent against fraud or carelessness.”

The 2017 Annual Audit Report can be found at www.YourEyesOnUlster.com under quarterly reports.

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