

Audit Actions Status - based on Management reports - as at 20/08/2014				Open Red & Amber		Comments	Open Red & Amber Actions			Revised target date compared to original date (for live reds / ambers)				Planned Implementation date			
Department	Audit Review	Main Report Finalised	Assurance level	R	A		On target to Orig Date	Revised Dates agreed	Revised to be agreed	1 to 3 mths	4 to 6 mths	7 to 12 mths	12 mths plus	<3 mths	3 - 6 mths	> 6 mths	
Open Spaces	Chingford Golf Course	Aug-10	Amber	0	1	On 6 th January 2014, the Director of Open Spaces met with officers from Procurement, Audit and Epping Forest; regarding the planned tendering approach. Discussion about the nature of the service, resulted in the procurement officer advising that tendering would not yield income benefits greater than currently achieved. It was determined that a recovery plan should be instigated and that a performance based contract introduced with the current contractor. The Visitor Services manager, responsible for this work, resigned in February 2014 and to date it hasn't been possible to appoint a suitable successor. As an interim arrangement, the Superintendent informed Aytee Sports of the intention to move to performance contract. One of the Epping staff, who is managing this work on an interim basis, has been able to introduced two elements of the recovery plan:- 1) A new loyalty membership scheme, 2) Removal of the "red rule" which required all golfers to wear a red top when playing. These interim arrangements are showing some early improvement in the level of use; the number of rounds played in 2013/14 were up 1,657 or 8% from 20,497 to 22,154, against a national trend of declining memberships. (The Sky Sports Golf Survey indicated that 70% of clubs reported a continuing fall in membership.) Once an appointment of the Visitor Services Manager can be achieved, it will be a high priority for a new performance contract to be completed, together with a full recovery plan.		1					1				1
Markets and Consumer Protection	Markets Car Parks	Apr-12	Green	0	1	One amber priority recommendation is outstanding in respect of addressing the poor quality of management information available from the car park barrier system at Smithfield. The barrier equipment replacement is included in the procurement of the off-street car park management contract. The current contract (with APCOA) has been extended until 30 November 2014 (ratified at Court of Common Council on 16 May 2013). Therefore the replacement equipment will not now take place until 2014/15 when the new off street car park contract is let.		1			1			1			
Community and Children's Services	Affordable Housing	Sep-12	Amber	0	1	One amber priority recommendation is outstanding in respect of inclusion of the on-going revenue cost of additional housing units, plus estimates for rental income, within the 30-year Housing Business Plan. The Asset Management strategy - key to the implementation of this recommendation - is yet to be ratified and as such a revised target date of the end of November 2014 has been agreed.		1				1	1				
Community and Children's Services	CDM Regulations - Health and Safety	Oct-12	Amber	0	1	This amber priority recommendation has been partially implemented. Many of the April 2007 changes to CDM regulations place extra responsibilities upon clients with key objectives. Many of these responsibilities apply to projects which must be notified to the Health and Safety Executive (HSE) but also equally apply to non-notifiable projects as well. One of the ways to address these changes is to make staff more aware of the current requirements by stipulating these in a departmental procedures document for compliance. (CSAQ 2.1 & 2.2) The Department of Community and Children's Services has reportedly implemented a compensating control through the renewed training of it's officers and Internal Audit are currently awaiting receipt of the training booklet used to verify that all of the appropriate headings and responsibilities have been addressed.			1					1			
Corporate	Final Account Verifications	Mar-14	Amber	0	1	This amber priority recommendation has been partially implemented. The outstanding action relates to the reporting facility for use when monitoring the extent to which final accounts are being verified and was due for implementation by the 31st August 2014. Confirmation is awaited that this issue has been addressed.		1			1			1			
Community and Children's Services	Holloway Estate Investigation	May-14	N/A		1	This amber priority recommendation relates to the lack of CCTV at the Holloway Estate Office, which has hampered identification of the individual responsible for the r the suspected theft of a Blackberry and cash from the site safe. We are advised that the installation of CCTV forms part of the capital programme of works for 2014/15 and Holloway has been flagged as a priority. A revised implementation timescale of the end of November 2014 has been agreed.		1			1			1			
Open Spaces	Cemetery & Crematorium ICT Review	Jun-14	Amber	0	3	The three outstanding amber priority recommendations are understood to be on target for implementation by the originally agreed dates. The recommendations relate to: 1) the need to investigate and address areas of poor performance within the Epilogue system, especially the cremation desk diary and the burial bookings functions; 2) the drafting of a BIA document for the IT systems, consulting with the Town Clerk's Security and Contingency Planning Group for assistance where necessary; and 3) Updating and reviewing the BCP (preferably on an annual basis as a minimum) to ensure its currency, and carrying out a BCP exercise in earnest to ensure procedures, contact information and facilities are present and the Business Continuity Plan operates adequately	3							2	1		

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Town Clerk's	Public Relations Office	Jul-14	Green	0	1	This amber priority recommendation relates to the progression of discussions between the PRO and City Procurement regarding print services, continuing to consult them in instances where the value of the expenditure is expected to exceed the thresholds where competitive quotes or tender are required. We are advised by the Chairman of the Marketing and PR Procurement Category Board, which includes printing in its terms of reference, that a major revamp of the whole procurement of printing is being planned. It is expected that this will take about 12 months to implement, so to cover the position until then, the Chamberlain will be submitting a waiver request to the Finance Committee for all the organisation's printing, across every department (obviously including PRO).	1										1
Town Clerk's	EDO Overseas Offices	Aug-14	N/A	0	1	This amber priority recommendation relates to the provision of fraud awareness training to all individuals in the China and India offices, based on good practice utilised in the UK and is scheduled for completion by the 31st October 2014.	1										1
Total				0	11		5	5	1	0	1	1	1	2	7	1	3