

Audit Follow-ups September to November 2014					Recommendations Agreed				Recommendations Implemented				Appendix 1
Department	Audit Review	Main Report Finalised	Follow up Date	Original Assurance level	R	A	G	Tot	R	A	G	Tot	Exception Comments
Barbican Centre	Barbican ICT	Jul-13	Sep-14	Amber	0	3	3	6	0	1	3	4	Two amber recommendations involving Disaster Recovery (DR) were expected to be completed in full by November 2014 but have been only partially implemented. During the November DR test the need for additional hardware was identified. Without the additional hardware the test was expected to have a detrimental effect on the current hardware configuration and potentially impacting on IT operational availability. This additional hardware solution is to be fully reviewed by the Barbican IT and audit will be kept informed of the progress and the rescheduled DR test date. The Head of Audit and Risk Management has been informed of the circumstances and agreed to the revision of the timescale. Although complete loss of the computer was not possible, some elements of the DR were successfully tested and brought online such as: email, routing, system access, files server access and internet access.
City Surveyor	Building Repairs & Maintenance	Oct-13	Sep-14	Amber	0	5	3	8	0	5	3	8	
Built Environment	Variation Orders and Change Control	Jul-14	Sep-14	Green	0	0	2	2	0	0	1	1	The review identified that the department has partially implemented the recommendations made. Whilst the department has set out procedures for adding new rates to the schedule of rates included in the Term Contract, it does not set out the process for varying the works originally agreed at the time when the contract was let (regardless of whether these works are priced using existing rates, new rates or under the day work rates).
City Surveyor	Investment Property Recoverable Works	Jan-14	Sep-14	Green	0	1	0	1	0	0	0	0	The introduction of the new Building Repairs and Maintenance Contract has raised a different approach to the way in which costs are apportioned before being recharged to tenants. The recent follow up review identified that the department has partially implemented the recommendation made in respect of service charges and the department has adjusted its procedures to incorporate a reconciliation billed to service charge calculations on a building by building basis, each year. At the time of this review, however, the majority of Investment Property balancing charges for 2012/13 had still to be invoiced; invoices had only been raised in respect of 33 of the 71 (46%) investment properties where balancing charges are required to be billed. To put this in context, the amount of income still due to be invoiced in respect of 2012/13 balancing charges was approximately £198k, with a further £248k owed to tenants; this poses both a financial and reputational risk to the City. The on-going nature of the problem resulted in this recommendation being escalated from "green" to 'amber' priority. Subsequent to the formal follow-up exercise we have been advised that the outstanding recommendation has been addressed.
Town Clerk, City Surveyor & Built Environment	Final Account Verification	Mar-14	Oct-14	Amber	0	2	0	2	0	1	0	1	The follow-up review identified that one of the recommendations had been implemented, whilst the other recommendation had been partially implemented. In terms of the recommendation that has been partially implemented, the Corporate Programme Manager was devising a reporting facility to enable monitoring of those projects where final account verifications have yet to be undertaken by the Chamberlain's department, despite projects having reached practical completion. Appropriate guidance to facilitate monitoring had been distributed to staff involved in the delivery of projects and also to relevant staff in the Chamberlain's Financial Services Division. Subsequent to the formal follow-up exercise we have been advised that the outstanding recommendation has been addressed.

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City Surveyor	Asset Disposals & Capital Receipts	Apr-14	Oct-14	Green	0	0	4	4	0	0	3	3	The follow up review identified that the department has implemented three of the recommendations, whilst the other recommendation has been partially implemented. In terms of the recommendation that has been partially implemented, the department has so far devised a template to be completed by departments in submitting business cases for use of property declared 'surplus to requirements'. Whilst this will ensure that departments provide all required information in putting forward business cases, the department has yet to formally determine the criteria it will use to assess business cases. It is understood that the criteria to be used will need to be determined in conjunction with both the Chamberlains department and Town Clerk's department, and recent discussion indicate that this consultation is underway.
Totals					0	11	12	23	0	7	10	17	