# Internal Audit Follow-Up Outcomes October to December 2021

| No. | Audit & Final Report Date | Original Assurance | Total Recs | Follow-Up Report | Updated Assurance | Outstanding Recs | Further Follow-Up |
|---|---|---|---|---|---|---|---|
| 1 | IT: Software Development Lifecycle March 2020 | Limited | 2 | Second follow-up: November 2021 | Moderate | 1 | Third follow-up required |
| 2 | Corporate: Fire Safety Risk Management May 2020 | Moderate | 7 | Second follow-up: October 2021 | Moderate | 1 | Third follow-up undertaken |
| 3 | | | | Third follow-up: December 2021 | Substantial | 0 | N/A |
| 4 | Corporate: Asset Management November 2020 | Moderate | 2 | Second follow-up: November 2021 | Moderate | 1 | Third follow-up undertaken |
| 5 | | | | Third follow-up: December 2021 | Substantial | 0 | N/A |
| 6 | IT: Legacy Technology December 2020 | Limited | 3 | First follow-up: October 2021 | Substantial | 0 | N/A |
| 7 | HR Pay Gaps January 2021 | Moderate | 4 | First follow-up: November 2021 | Substantial | 2 | Second follow-up required |
| 8 | Barbican & GSMD Facilities Management & Maintenance March 2021 | Moderate | 14 | First follow-up: December 2021 | Moderate | 10 | Second follow-up required |
| 9 | Chamberlain's: Business Continuity & Disaster Recovery March 2021 | Moderate | 4 | First follow-up: November 2021 | Moderate | 3 | Second follow-up required |
| 10 | Chamberlain's: Accounts Receivable & Debt Management March 2021 | Substantial | 2 | First follow-up: November 2021 | Substantial | 2 | Second follow-up required |
| 11 | DCCS Adult Skills & Education Service: Safeguarding April 2021 | Limited | 15 | First follow-up: August 2021 | Moderate | 7 | Second follow-up undertaken |
| 12 | | | | Second follow-up: December 2021 | Substantial | 0 | N/A |

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|-----|---------------------------|--------------------|------------|------------------|-------------------|------------------|-------------------|
| 13 | DCCS Housing Fire Safety April 2021 | Moderate | 7 | First follow-up: December 2021 | Moderate | 7 | Second follow-up required |
| 14 | Corporate: Purchase Cards May 2021 | Substantial | 14 | First follow-up: November 2021 | Substantial | 8 | Second follow-up required |
| 15 | DCCS Social Care Contract Monitoring June 2021 | Moderate | 7 | First follow-up: November 2021 | Moderate | 3 | Second follow-up required |
| 16 | Chamberlain's: Corporate Contract Management June 2021 | Moderate | 5 | First follow-up: November 2021 | Moderate | 3 | Second follow-up required |
| 17 | GSMD: Universities UK Accommodation Code of Practice June 2021 | Moderate | 10 | First follow-up: November 2021 | Moderate | 6 | Second follow-up undertaken |
| 18 | | | | Second follow-up: December 2021 | Substantial | 0 | N/A |
| 19 | DCCS Unregulated Placements July 2021 | Moderate | 5 | First follow-up: October 2021 | Moderate | 3 | Second follow-up required |
| **TOTALS** | | | **101** | **As per latest follow-up exercise** | | **42** | |

# Internal Audit Follow-Up Outcomes October to December 2021

**Recommendations Outstanding from Follow-Up**

| No. | Original Audit | Red | Amber | Green | Total | Internal Audit Comment |
|-----|----------------|-----|-------|-------|-------|------------------------|
| 1 | IT: Software Development Lifecycle - March 2020 | 0 | 1 | 0 | 1 | Partial implementation of the live recommendation has been confirmed. Confirmation is required from the recommendation owner of the revised timescale for demonstration of implementation; this will be used to determine the timing of further follow-up. |
| 7 | HR Pay Gaps - January 2021 | 0 | 1 | 1 | 2 | The recommendations have not been implemented. Confirmation is required from the recommendation owner of the revised timescales for demonstration of implementation; this will be used to determine the timing of further follow-up. |
| 8 | Barbican & GSMD Facilities Management & Maintenance - March 2021 | 0 | 10 | 0 | 10 | Progress updates and revised timescales for demonstration of full implementation have been received; implementation of two of the recommendations is dependent on successful implementation of the new Computer Aided Facilities Management (CAFM) system. A second follow-up is scheduled for June 2022. |
| 9 | Chamberlain's: Business Continuity & Disaster Recovery - March 2021 | 0 | 3 | 0 | 3 | Partial implementation of two of the live recommendations has been confirmed. Progress updates and revised timescales for demonstration of full implementation have been received. A second follow-up is scheduled for February 2022. |
| 10 | Chamberlain's: Accounts Receivable & Debt Management - March 2021 | 0 | 0 | 2 | 2 | Partial implementation of the live recommendations has been confirmed and revised timescales have been received for demonstration of full implementation. A second follow-up is scheduled for May 2022. |
| 13 | DCCS Housing Fire Safety - April 2021 | 0 | 6 | 1 | 7 | Partial implementation of three of the live amber priority recommendations has been confirmed. The recommendation owner has advised that implementation remains a work in progress and it has been agreed that a second follow-up will be carried out in April 2022. |

# Internal Audit Follow-Up Outcomes October to December 2021 <span>Appendix 1</span>

| No. | Original Audit | Red | Amber | Green | Total | Internal Audit Comment |
|-----|----------------|-----|-------|-------|-------|------------------------|
| 14 | Corporate: Purchase Cards - May 2021 | 0 | 0 | 8 | 8 | Full progress updates, including demonstration of partial implementation for one live recommendation, and revised target dates for demonstration of full implementation have been provided by the recommendation owner. A second follow-up is scheduled for February 2022. |
| 15 | DCCS Social Care Contract Monitoring - June 2021 | 0 | 3 | 0 | 3 | Partial implementation of the three live recommendations has been confirmed. Confirmation is required from the recommendation owner of the revised timescales for demonstration of implementation; this will be used to determine the timing of further follow-up. |
| 16 | Chamberlain's: Corporate Contract Management - June 2021 | 0 | 1 | 2 | 3 | Confirmation is required from the recommendation owner of the revised timescales for demonstration of implementation, in particular in respect of the amber priority recommendation; this will be used to determine the timing of further follow-up. |
| 19 | DCCS Unregulated Placements - July 2021 | 0 | 3 | 0 | 3 | Whilst the outstanding due diligence identified during the original audit had been completed, full implementation of two of the live recommendations could not be confirmed as no new providers had been engaged since the original audit.  A second follow-up exercise is planned to be carried out in February 2022, by which time it is expected that new providers will have been engaged. |
| | **TOTAL** | **0** | **28** | **14** | **42** | |