

Internal Audit Follow-Up Outcomes January to April 2022

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	Third follow-up: January 2022	Substantial	0	N/A
2	Corporate: Fire Safety Risk Management May 2020	Moderate	7	Third follow-up: January 2022	Substantial	0	N/A
3	HR Pay Gaps January 2021	Moderate	4	Second follow-up: January 2022	Substantial	1	Third follow-up required
4	DCCS: Lone Workers June 2021	Moderate	7	Second follow-up: February 2022	Substantial	2	Third follow-up required
5				Third follow-up: April 2022	Substantial	0	N/A
6	DCCS: Housing Safety November 2020	Moderate	5	Second follow-up: January 2022	Moderate	4	Third follow-up required
7	DCCS: Rough Sleepers March 2021	Substantial	1	First follow-up: January 2022	Substantial	0	N/A
8	IT: Cyber Security May 2021	Moderate	6	First follow-up: February 2022	Moderate	5	Second follow-up required
9	CHB: Accounts Payable September 2021	Substantial	2	First follow-up: February 2022	Substantial	2	Second follow-up required
10	DCCS Social Care Contract Monitoring June 2021	Moderate	7	Second follow-up: March 2022	Substantial	0	N/A
11	Barbican: Spektrix Ticketing System June 2021	Moderate	6	First follow-up: February 2022	Substantial	0	N/A
12	CoLP: IT Service Provision Contract Management & Performance December 2021	Limited	7	First follow-up: March 2022	Limited	4	Second follow-up required
13	DCCS: Adult Skills & Education Service: Financial Management	Limited	8	First follow-up: March 2022	Moderate	3	Second follow-up required

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No.	Audit & Final Report Date	Original Assurance	Total Recs	Follow-Up Report	Updated Assurance	Outstanding Recs	Further Follow-Up
	October 2021						
14	Innovation & Growth: Project Management January 2022	Moderate	9	First follow-up: April 2022	Moderate	9	Second follow-up required
15	GSMD: Medium Term Financial Plan February 2021	Moderate	1	Second follow-up: April 2022	Moderate	1	Third follow-up required
16	CoLP: Front Desks December 2019	Moderate	3	First follow-up: April 2022	Moderate	1	Second follow-up required
17	CoLP: Payroll & Overtime June 2020	Moderate	4	First follow-up: April 2022	Moderate	1	Rolling programme of audits now in place
18	DCCS: Barbican Estate Rents March 2022	Substantial	1	First follow-up: April 2022	Substantial	0	N/A
19	Waste Collection Income & Expenditure July 2021	Substantial	1	First follow-up: April 2022	Substantial	0	N/A
20	DCCS: Housing Rents October 2021	Substantial	4	First follow-up: April 2022	Substantial	4	Second follow-up required
21	CoLP: Workforce Planning November 2020	Moderate	5	First follow-up: April 2022	Moderate	2	Second follow-up required
22	DCCS Housing Fire Safety April 2021	Moderate	7	Second follow-up: April 2022	Moderate	6	Third follow-up required
23	DCCS Unregulated Placements July 2021	Moderate	5	Second follow-up: April 2022	Substantial	0	N/A
24	CoLP: Procurement Cards January 2021	Substantial	2	First follow-up: April 2022	Substantial	2	
TOTALS			105	As per latest follow-up exercise		45	

Recommendations Outstanding from Follow-Up

No.	Original Audit	Red	Amber	Green	Total	Internal Audit Comment
3	HR Pay Gaps - January 2021	0	1	0	1	Management update provided. Third follow-up scheduled for October 2022, in line with revised target implementation date.
6	DCCS: Housing Safety - November 2020	0	2	2	4	Management update provided. Third follow-up scheduled for July 2022, in line with revised target implementation dates.
8	IT: Cyber Security - May 2021	0	1	4	5	Second follow-up in progress – May 2022.
9	CHB: Accounts Payable - September 2021	0	0	2	2	Second follow-up in progress – May 2022.
12	CoLP: IT Service Provision Contract Management & Performance December 2021	1	3	0	4	Management updates provided. Second follow-up scheduled for June 2022, in line with revised target implementation dates.
13	DCCS: Adult Skills & Education Service: Financial Management October 2021	0	3	0	3	Timing of the second follow-up to be confirmed, as revised target timescales for demonstration of implementation are required.
14	Innovation & Growth: Project Management - January 2022	0	8	1	9	Management update provided. Second follow-up scheduled for July 2022, in line with revised target implementation dates.
15	GSMD: Medium Term Financial Plan - February 2021	0	1	0	1	Management update provided. Third follow-up scheduled for July 2022, in line with revised target implementation date.
16	CoLP: Front Desks - December 2019	1	0	0	1	Partial implementation of this recommendation has been confirmed. A management update has been provided with a revised target date for demonstration of full implementation; second follow-up scheduled for July 2022 in line with this.
17	CoLP: Payroll & Overtime - June 2020	0	1	0	1	A rolling programme of compliance checks has been introduced in this area and will incorporate follow-up of the remaining recommendation.

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No.	Original Audit	Red	Amber	Green	Total	Internal Audit Comment
20	DCCS: Housing Rents - October 2021	0	2	2	4	Timing of the second follow-up to be confirmed, as revised target timescales for demonstration of implementation are required.
21	CoLP: Workforce Planning - November 2020	0	0	2	2	Timing of the second follow-up to be confirmed, as revised target timescales for demonstration of implementation are required.
22	DCCS Housing Fire Safety - April 2021	0	6	0	6	Management update provided. Third follow-up scheduled for September 2022, in line with revised target implementation dates.
24	CoLP: Procurement Cards - January 2021	0	0	2	2	Management update provided and revised target date of December 2022 provided for demonstration of implementation. A compliance audit, part of a rolling programme of checks, will evaluate implementation in line with the revised target date.
TOTAL		2	28	15	45	