

Audit Actions Status - based on Management reports - AS AT FEBRUARY 2013.				Open Red & Amber		Comments	Open Red & Amber Actions			Planned Implementation date		
Department	Audit Review	Main Report Finalised	Assurance level	R	A		On target	Revised Dates agreed	Revised to be agreed	<3 mths	3 - 6 mths	> 6 mths
Open Spaces	Chingford Golf Course	Aug-10	Amber	0	1	The outstanding recommendation relates to the need to market test the contractual relationship with Aytee Sports to confirm that value for money is being received. It is understood that Members will be asked in February to continue with the existing arrangements, but with a new contract until October 2013. This will provide sufficient time for the IS division to introduce a new on line booking system and payment portal linked to our website, a key requirement of the Recovery Plan. The new, revised, short term contract has already been drafted and addresses the concerns raised in the audit report.		1			1	
Chamberlain's Department	Pensions - Corporate Responsibility	Jun-11	Amber	0	2	Implementation of the two amber priority recommendations is linked to the requirements of the Hutton report which have yet to be made statutory. The legislation is intended to be made by 01/4/2013 with implementation anticipated by 01/4/2014.	2				2	
Town Clerk's	Declarations	Jun-11	Green	0	1	The revised employee code of conduct has improved guidance on declarations and is now being finalised. Awareness raising activities commenced in Summer and in progress. Finalisation and communication of the new Employee Code of Conduct will complete the full implementation of this Amber recommendation.		1		1		
CLSG	Fee Income	Feb-12	Green	0	1	A revised implementation date of 31/03/13 has been provided for the outstanding amber priority recommendation to reconcile the income system to the banking system, owing to its links with year-end processes and the need to obtain final agreement from the Financial Services Division on agreed procedure		1		1		
GSMD	ICT strategy, security and operations	Apr-12	Amber	0	1	The client advises that implementation of one amber priority recommendation relating to encryption arrangements is in progress. It is understood that Sophos "Govcrypt" is being trialed and rolled out for portable devices, having been implemented already for non portable devices.		1		1		
Chamberlain's Department	iTrent	Oct-12	Amber		3	Amber priority recommendations outstanding. A recommendation concerning configuration hardening for web servers has not been progressed due to lack of resources. However a project brief has been written and it is currently estimated that it will take until the end of May 2013 to complete the work on the iTrent web servers. Two further recommendations have not been implement. The first concerning writing audit trails to a secure server and automated reconciliation of audit logs. The second concerning log retention & activities. The resource required to undertake this work is not currently available. IS Management will further consider the risks in conjunction with Internal Audit and agree whether it is appropriate that additional resource should be requested or other work de-prioritised.		1	2	1		
CLS	Procurement: Compliance with central contracts	Jun-12	Green	0	1	One amber priority recommendation relating to investigation of opportunities for collective procurement between schools is outstanding. We understand that his recommendation will be considered as part of the PP2P programme but the School have indicated that in view of other commitments it is not possible to specify a timescale at this point -			1			

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CLS	Petty cash, CDT safe and inventory	Jun-12	Green	0	1	One amber priority recommendation is outstanding in relation to the introduction of an asset disposal process. We understand that the School will be trialling a new school asset management next month with a view to introducing the system fully in April 2013.		1		1		
DCCS	Construction Design Management Regs	Apr-12	Amber	0	1	Implementation is in progress in respect of the introduction of departmental guidance or other procedures, to ensure that the Housing and Technical Services Division supply individual flat occupiers with health and safety information concerning their home. From February 2013 the Comptroller will include appropriate information in letters which are sent out to prospective buyers. For all estates (including the Barbican) prospective buyers will be advised to contact the relevant estate office. With regard to health & safety information for existing residents, relevant information on how to obtain a health and safety file will be added to the Department's website by March 2013. In addition the new tenants' handbook, planned for publication in December 2013, will include additional information relating to health & safety.		1			1	
DCCS	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 strategy is still being developed but it is highly likely the deadline will be extended. This is largely due to additional research work necessary to inform the future energy efficiency property investment works we will choose to carry out on our existing stock. This has been prompted by the work being undertaken on the Golden Lane estate where this research has recently begun. The results of this will inform the strategy investment decisions. Timescale not known at this stage.			1			
Markets and Consumer Protection	Markets Car Parks	Apr-12	Green	0	1	The outstanding amber priority recommendation is relates to the procurement of new Car parking IS systems. ~We are advised that the PP2P project is planning to undertake a review of the parking management arrangements this financial year. There are plans to undertake a full review of the viability of parking provision within the City and this includes the feasibility of including the car park barrier equipment in the new off street management contract, which is due to expire in November 2013. The replacement of the car park barrier equipment (if agreed) is unlikely to take place until 2014.		1				1
Culture, Heritage and Libraries	Guildhall Art Gallery	Nov-10	Green	0	2	The outstanding amber priority recommendations relate to the monitoring of annual lending fees by staff and ensuring that the contractual obligations of borrowing institutions are being fulfilled, and update of the departmental risk register to reflect an insurance risk.		2		2		
Barbican Centre	Retail Outlets	Nov-12	Amber	0	3	The outstanding recommendations relating to stock management arrangements are linked to procurement of the EPOS system, scheduled for 31/03/13		3		3		
Total				0		19	2			13	4	
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