

Audit Actions Status - based on Management reports - as at 23/08/13			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	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	0	1	The outstanding recommendation, with an original implementation date of 31st March 2011, related to the need to market test the contractual relationship with Aylee Sports for management of the Golf Course to confirm that value for money is being received. The client has advised that the action is "In Progress" and the revised completion date remains "October 2013". Progress is described by the client as follows: "The Epping Forest Committee agreed on the 8th July 2013 to complete a tendering exercise for the Chingford Golf Course. This process will address the audit recommendation. Authority was delegated to the Town Clerk in consultation with the Chairman and Deputy Chairman of the spending committee to agree the evaluation criteria for the exercise".		1						1		
Community and Children's Services	Purchase of Equipment for Clients	Jun-13	0	1	The outstanding recommendation relates to agreement of the arrangements for future equipment service delivery. Due diligence checks are in progress on a Framework procured by the London Borough of Redbridge and a revised timescale of late October 2013 has been provided for their completion, representing slippage of less than 3 months.		1		1				1		
Community and Children's Services	Appointeeships and Deputyships	Jul-13	0	1	The outstanding amber priority recommendations relate to the need for the Adult Social Care division to advise finance officers of the responsibilities inherent in administering Appointeeships and Deputyships, pursuant to OPG and DWP regulations, and formulation of the policy for dealing with the accounts of deceased clients. In respect of the former we're advised that training is being devised and confirmation of the delivery date is awaited; November 2013 was the previous estimate. The latter issue is understood to have been incorporated into a procedure document and a draft circulated for comment; confirmation of approval is awaited.	1							1		
Corporate	Prioritisation of Projects	May-13	0	2	The outstanding recommendations relate to input to Project Vision. In one case, amendments of the data entry controls are recommended so that "write" access to the Priority Category Field is restricted to members of the Town Clerk's Corporate Programme Team; developments are expected to be concluded by the end of September. The data entered in the Project Vision Priority Category Field should be verified as accurate/ in agreement, with that which was reported to the Projects Sub Committee of the Policy and Resources Committee. ProjectVision Training is arranged for all Policy Officers on Monday 30th September. This will enhance the capacity of the team to ensure this field can be checked on a consistent and regular basis. Slippage on both recommendations equates to 3 months from the original agreed implementation dates.		2		1	1			2		
CLSG	Fee Income	Feb-12	0	1	A revised implementation date of 31/12/13 has been provided for the outstanding amber priority recommendation to reconcile the income system to the banking system; the frequency is understood to have been set at termly. The original implementation date was mid February 2012. The reason for delay has been escalated with the Bursar by the Head of Internal Audit. He has confirmed that termly reconciliations have been implemented followed the closure of 2012/13 accounts. Further clarity has been sought to ensure reconciliations are review end and signed off by the Bursar.		1						1		
GSMD	ICT strategy, security and operations	Apr-12	0	1	Implementation of the amber priority recommendation relating to encryption arrangements is in progress. It is understood that Sophos "Govcrypt" has been trialled and is being rolled out for portable devices, having been implemented already for non portable devices.		1			1			1		
CLS	Petty cash, CDT safe and inventory	Jun-12	0	1	Following a successful trial the School has purchased School Asset Manager software and is in the process of entering all of its assets. To date 1,260 assets have been entered. It is hoped to complete this process by 31 October 2013. The new system will provide appropriate procedures for future fixed asset disposals.		1						1		

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DCCS	Affordable Housing	Sep-12	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 is to be reported to Housing sub committee in January 2014 and will address this recommendation in full.		1				1				1	
Markets and Consumer Protection	Markets Car Parks	Apr-12	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
GSMD	Income	Aug-13	0	1	The outstanding recommendation is in progress, focused on improving the quality of management information submitted to the Board in respect of debt management; this is anticipated to be implemented by the end of September 2013.	1									1	
Town Clerks	City Bridge Trust Due Diligence	Oct-12	0	1	Additional verification work has been recommended. A paper on proposed changes to how monitoring visits are structured is being prepared as part of the Quinquennial Review. This includes a section on proposed compliance visits which would include additional verification checks to be introduced from October 2013.		1				1				1	
Corporate	Tendering and Due Diligence	Jun-13	0	1	The outstanding recommendation relates to ensuring that the electronic PQQ templates held on Pro Contract are updated to reflect that references may be obtained and evaluated, should firms be short-listed to tender. The CLPS Policy and Compliance team has produced a new draft PQQ which is currently out for review by the Procurement Document Working Group will fully address the audit recommendation. As this is one of several substantive revisions to the current PQQ, the review and change control process will now not be completed until 30 September 2013.		1		1						1	
DCCS	Telecare	May-13	0	1	the outstanding recommendation relates to the signing of a contract between the City and Wealden and Eastbourne (Wellbeing) for the provision of the 24hour call alarm response service. Queries have been raised in respect of number of clauses in the Terms and Conditions for low value contracts which came from Comptrollers and City Solicitors and it is anticipated that the contract will now not be signed until the end of September 2013.		1			1					1	
Total			0	14		2	12	0	3	2	3	4	12	1	1	