

Audit Actions Status - based on Management reports - as at 22/11/13				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	Assurance level	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	Amber	0	1	Recommendation to market test the management contract has been delayed pending developments and optional appraisal relating to the future of the site. The Epping Forest Committee agreed on the 8th July 2013 to complete a tendering exercise for the running of the site. A specification and contract for tendering was developed and assessed, however, CLPS then advised that as most Golf Professionals are directly employed a tender process is unlikely to yield a sufficient range of competitive quotations. Consultation is now underway on the legal and human resource implications of either direct employment or negotiations with the current contract holder. A new timescale for completion of this exercise is dependent on the result of these discussions, the plan is to have an agreed way forward by the end of January 2014.			1							
Markets and Consumer Protection	Markets Car Parks	Apr-12	Green	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	
Town Clerks	City Bridge Trust Due Diligence	Oct-12	Amber	0	1	Additional verification audit checks had 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. Internal audit provided assistance in scoping these additional checks which are to be introduced from November 2013 (tbc).		1				1		1		
DCCS	Telecare	May-13	Amber	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. A signed copy of the contract has been received from the third party 19/11/13 but was not dated; this is being pursued.		1				1		1		
Community and Children's Services	Purchase of Equipment for Clients	Jun-13	Amber	0	1	The outstanding recommendation relates to agreement of the arrangements for future equipment service delivery. The City is entering into a call-off contract with the provider of a framework for the Community Equipment Service procured by the London Borough of Redbridge. A revised implementation timescale of mid December has been agreed for implementation of the contract, allowing for approval of the indemnity within the Access Agreement to be sought from the Chamberlain.		1				1		1		
Corporate Wide	Contract tendering and due diligence	Jun-13	Green	0	1	The outstanding amber recommendation relates to missing information that tenders may be rejected if their references are unsatisfactory. The creation of a single corporate pre-qualification questionnaire for the City has taken longer than anticipated since the audit recommendation was made. This is due to need to harmonise disparate documentation across the City following the launch of CLPS in April 2013. At present a number of departmental specific PQQ templates used for conducting tenders for works contracts over £400,000 and Supplies and Services contracts over the EU limits namely £174,000. The new corporate PQQ is to replace the departmental PQQ's is being finalised and will be ready for use in January 2014. However, in the interim period the City's Sourcing Support team undertake a check of all tenders being issued by Pro Contract to ensure that the recommended statement regarding reference checks is included, which mitigates the risk in the interim period		1			1			1		
Barbican Centre	ICT strategy, security and operations	Jul-13	Green	0	2	Two amber priority recommendation related to extending the Disaster Recovery (DR) plan to address major disaster scenarios and conduct recovery tests have been delayed whilst an additional firewall is installed at the DR site to improve security. This is reliant on BT installing a fibre connection which has been delayed. A revised timetable has been agreed for these recommendations to be fully implemented by the end of February 2014.		2					2			

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Total	0	8	0	7	1	3	1	2	2	6	0	1			