

Audit Follow-ups November to February 2014					Recommendations Agreed				Recommendations Implemented				Appendix 1
Department	Audit Review	Main Report Finalised	Follow up Date	Assurance level	R	A	G	Tot	R	A	G	Tot	Exception Comments
DCCS	Community Care (Management of client funds, Telecare and Telephone Rental Service)	May-13	Nov-13	Red	4	5	6	15	4	5	4	13	The two outstanding green priority recommendations at the time of formal follow-up are due for implementation in April 2014. One relates to the Telecare service pricing structure and we are advised that limited progress has been made owing to required work on CBIS and CLPS which has taken up the resources of the officers responsible for telecare assessments. The remaining recommendation relates to the need to notify the Office for Public Guardianship of a client's level of capital exceeding the threshold set out in the court order granting Deputyship. Annual statements, advising clients of the financial position of their accounts, will be issued in April 2014 once the financial year has ended and the accrued interest calculated. The issues relating to two recommendations, one red and one green priority, are considered to have been addressed through alternative mitigative action.
Depart of the Built Environment	On Street Parking contracts	Jun-13	Jan-14	Green	0	0	2	2	0	0	1	1	The green priority recommendation relating to is considered to be partially implemented. An options appraisal is being undertaken in respect of replacement of the P&D (Pay & Display machines) and will be considered by the Director of the Built Environment, Director of Transportation & Public Realm and Assistant Director of Highways. The current maintenance contract for the P&D machines is due to expire in September 2014 so an agreed position going forward beyond this date will need to be determined in the next couple of months.
Barbican	Box Office Processes	Apr-13	Jan-14	n/a	0	0	4	4	0	0	4	4	All recommendations implemented.
Chamberlains	GL-AP-AR-Main Accounting	Aug-12	Jan-14	Green	0	0	4	4	0	0	4	4	The issue relating to one recommendation is considered to have been superseded due to a change in the system for printing cheques; this has been classed as implemented.
Mansion House	Supplies, Services and Transport	Feb-13	Nov-13	Green	0	0	2	2	0	0	2	2	All recommendations implemented.
GSMD	Income	Jul-13	Jan-14	Green	0	1	7	8	0	1	4	5	Three green recommendations concerning annual reconciliations and written procedures for SITS and arrears management not implemented owing to staff resourcing. Revised implementation dates for these green priority recommendations have been agreed for March 2014.
Remembrancer's	Operational Expenditure	Oct-12	Oct-13	Green	0	0	4	4	0	0	4	4	All recommendations implemented.
DCCS	CDM Regulations - Health and Safety	Dec-11	Jan-14	Amber	0	4	1	5	0	1	1	2	There were three amber priority recommendations which were considered to be partially implemented at the time of formal follow-up. One was intended to be implemented in full by the end of January 2014, for which confirmation has been sought. Implementation of the remaining 2 amber recommendations has been delayed by liaison with other departments. At the time of writing the majority of the changes required by these 2 amber recommendations have now been achieved but the remaining issue involves evidencing the discharge of a corporate responsibility to allow sufficient time when planning projects. DCCS is now in the process of initiating compensating controls to achieve the required improvements.
Barbican	Cost Monitoring	Mar-13	Jan-14	Green	0	0	3	3	0	0	3	3	All recommendations implemented.
Corporate-wide review	Contract tendering and due diligence	Jun-13	Jan-14	Green	0	4	5	9	0	4	4	8	The outstanding green priority recommendation, related to development of detailed guidance on the process to be followed in evaluating tenders is considered to be partially implemented.
Barbican	Cash collection and security	Oct-13	Jan-14	n/a	0	2	0	2	0	2	0	2	All recommendations implemented.
GSMD	ICT Strategy Security and Operations	Apr-12	Jan-14	Amber	0	5	12	17	0	5	12	17	All recommendations implemented.
<b>Totals</b>					<b>4</b>	<b>21</b>	<b>50</b>	<b>75</b>	<b>4</b>	<b>18</b>	<b>43</b>	<b>65</b>	