

## Internal Audit Work 2017-18 (as at 21-02-2019)

## Progress against the plan – Summary

No of Reviews	Planning	Fieldwork	Draft Report	Final Report (Audit Complete)
59	0	0	0	59
100%	0%	0%	0%	100%

Audit status definitions: 'Fieldwork' – audit terms of reference finalised and fieldwork underway, 'Draft Report' – draft report issued and management response awaited, and 'Final Report' – management response received to the draft report and audit completed.

## Progress against the plan – Detail

No	Department	Main Audit Review	Status	Assurance Rating	Recommendations Made				Recommendations Agreed			
					R	A	G	Total	R	A	G	Total
1	CORPORATE	EMERGENCY PLANNING	Completed	Amber	0	1	0	1	0	1	0	1
2	CORPORATE	USE OF WAIVERS	Completed	Amber	0	7	0	7	0	7	0	7
3	CORPORATE	EVALUATION OF SUB £100K TENDERS	Completed	Amber	0	4	2	6	0	4	2	6
4	CORPORATE	PROCUREMENT CONSULTATION WITH STAKEHOLDERS	Completed	Amber	0	2	2	4	0	2	2	4
5	CORPORATE	INCOME COLLECTION AND BANKING	Draft Report	Amber	0	3	0	3	0	3	0	3
6	CORPORATE	EXPENSES - PROCUREMENT CARDS - PETTY CASH	Final Report	Amber	0	12	1	13	0	12	0	12
7	CORPORATE	CORPORATE-WIDE REVIEW OF BUSINESS TRAVEL	Completed	Amber	0	8	0	8	0	8	0	8
8	CORPORATE	CORPORATE FOLLOW-UP EXERCISES	Completed	N/A	-	-	-	-	-	-	-	-
9	CORPORATE	GDPR – GAP ANALYSIS	Completed	Green	0	5	0	5	0	5	0	5

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					R	A	G	Total	R	A	G	Total
10	TOWN CLERK	SOCIAL INVESTMENT FUND	Completed	Green	0	0	0	0	0	0	0	0
11	TOWN CLERK	MEMBERS AND OFFICERS DECLARATIONS INTERESTS	Completed	Red	1	7	3	11	1	7	3	11
12	TOWN CLERK	HUMAN RESOURCES – STARTERS AND LEAVERS	Completed	Amber	0	9	3	12	0	9	3	12
13	TOWN CLERK	STAFF LEARNING & DEVELOPMENT (including Central Training)	Draft Report	Amber	0	2	1	3	0	2	1	0
14	TOWN CLERK	GUILDHALL CLUB ACCOUNTS	Completed	Green	0	0	0	0	0	0	0	0
15	CHAMBERLAIN	IT – INFORMATION MANAGEMENT (DATA STORAGE MANAGEMENT)	Completed	Amber	0	4	0	4	0	4	0	4
16	CHAMBERLAIN	IT – CYBER SECURITY – MALWARE PROTECTION	Completed	Green	0	0	4	4	0	0	4	4
17	CHAMBERLAIN	IT – INFORMATION SECURITY - INCIDENT MANAGEMENT	Completed	Amber	0	4	4	8	0	4	4	8
18	CHAMBERLAIN	IT - SOCIAL MEDIA (HORIZON SCANNING)	Completed	Green	0	0	2	2	0	0	2	2
19	CHAMBERLAIN	IT ORACLE (CBIS) APPLICATION	Completed	Amber	0	3	1	4	0	3	1	4
20	CHAMBERLAIN	IT CONTRACT MANAGEMENT	Completed	Green	0	0	1	1	0	0	1	1
21	CHAMBERLAIN	MEDIUM TERM FINANCIAL PLANNING	Completed	Green	0	1	1	2	0	1	1	2
22	CHAMBERLAIN	CITY PROCUREMENT	Final Report	Amber	0	4	1	5	0	4	1	5
23	CHAMBERLAIN	COUNCIL TAX & NNDR	Completed	Amber	0	2	2	4	0	2	2	4
24	DCCS	ACADEMIES	Completed	Amber	0	2	1	3	0	2	1	3
25	DCCS	WELFARE REFORM	Completed	Amber	0	5	1	6	0	4	1	5
26	DCCS	HOUSING ALLOCATIONS LETTINGS AND VOIDS	Completed	Amber	0	3	0	3	0	3	0	3
27	DCCS	HOUSING RENTS	Completed	Amber	0	5	6	11	0	5	6	11
28	DCCS	BARBICAN ESTATE RENTS	Completed	Amber	0	2	4	6	0	2	4	6
29	DCCS	HEALTH & SOCIAL CARE INTEGRATION	Completed	Amber	0	3	0	3	0	3	0	3
30	DCCS	FINANCIAL ASSESSMENTS	Completed	Amber	0	4	4	8	0	4	4	8
31	DCCS	SIR JOHN CASS SCHOOL INCOME GENERATION	Completed	Amber	0	4	2	6	0	4	2	6

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					R	A	G	Total	R	A	G	Total
32	DCCS	COMMUNITY CENTRE REVENUE	Completed	Red	1	6	1	8	1	6	1	8
33	CITY SURVEYOR	SERVICE BASED PROPERTY CONTRACTS	Completed	Amber	0	3	4	7	0	3	4	7
34	CITY SURVEYOR	GUILDHALL COMPLEX - PERFORMANCE	Completed	Amber	0	2	0	2	0	2	0	2
	OPEN SPACES	FINANCIAL MANAGEMENT	Completed									
35	OPEN SPACES	CEMETERY & CREMATORIUM - ESTABLISHMENT REVIEW	Completed	Green	0	0	5	5	0	0	5	5
36	OPEN SPACES	TOWER BRIDGE MAJOR INCIDENT PLAN	Completed	Green	0	1	0	1	0	1	0	1
37	BUILT ENVIRONMENT	HIGHWAYS FOOTPATH REPAIRS	Completed	Green	0	0	0	0	0	0	0	0
38	BUILT ENVIRONMENT	TFL LOCAL IMPLEMENTATION PLAN	Completed	Green	0	0	0	0	0	0	0	0
39	BUILT ENVIRONMENT	HIGHWAYS ASSETS REGISTER	Completed	Green	0	1	2	3	0	1	2	3
40	M&CP	SEIZED GOODS (Trading Standards & Licensing)	Completed	Amber	0	6	2	8	0	6	2	8
41	M&CP	CONSUMER PROTECTION ENFORCEMENT	Completed	Amber	0	2	1	3	0	2	1	3
42	M&CP	MARKETS FRAUD RISK	Completed	Amber	0	4	5	9	0	4	5	9
43	REMEMBRANCER	FUNCTIONS & GUILDHALL LETTINGS - INCOME (INC. BANKING, SAFES AND SECURITY)	Completed	Green	0	0	0	0	0	0	0	0
44	POLICE	DEMAND POLICING AND EVENT RESOURCING	Completed	Amber	0	1	0	1	0	1	0	1
45	POLICE	POLICE BUSINESS CONTINUITY PLANNING	Completed	Amber	0	6	1	7	0	5	1	6
46	POLICE	POLICE BANK ACCOUNTS	Completed	Red	2	1	2	5	2	1	2	5
47	POLICE	POLICE SEIZED GOODS	Completed	Red	3	12	0	15	3	11	0	14
48	POLICE	PROJECT MANAGEMENT	Completed	Amber	2	8	0	10	2	8	0	10
49	POLICE	FREEDOM OF INFORMATION REQUESTS	Completed	Red	1	3	4	8	1	3	4	8
50	BARBICAN CENTRE	VISITOR EXPERIENCE	Completed	Amber	0	5	5	10	0	5	5	10
51	BARBICAN CENTRE	EQUALITY AND INCLUSION	Completed	Amber	0	10	4	14	0	10	4	14
52	BARBICAN CENTRE	RETAIL AND BARS	Completed	Red	1	9	1	11	1	9	1	11

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					R	A	G	Total	R	A	G	Total
53	BARBICAN CENTRE	CASH HANDLING	Completed	Amber	0	4	1	5	0	4	1	5
54	GUILDHALL SCHOOL	DATA QUALITY	Completed	Amber	0	2	3	5	0	1	3	4
55	GUILDHALL SCHOOL	SUNDIAL COURT PROJECT GOVERNANCE	Completed	Amber	0	3	0	3	0	3	0	3
56	GUILDHALL SCHOOL	CATERING INCLUDING STUDENT BAR	Completed	Red	2	3	1	6	2	3	1	6
57	CLS	FINANCIAL MANAGEMENT	Completed	Amber	0	5	2	7	0	5	2	7
58	CLFS	HEALTH AND SAFETY	Completed	Amber	0	2	1	3	0	2	1	3
59	CLFS	INCOME GENERATION	Completed	Amber	0	2	2	4	0	2	2	4
<b>TOTAL</b>					<b>13</b>	<b>207</b>	<b>93</b>	<b>313</b>	<b>13</b>	<b>205</b>	<b>92</b>	<b>310</b>