## Internal Audit Work 2015-16 – finalised audits

					Recommendations Made**			Recommendations Agreed**				
No	Department	Main Audit Review	Status *	Assurance	R	A	G	Total	R	Α	G	Total
1	City of London Police	Procurement Cards	Final Report	Amber	0	8	1	9	0	8	1	9
2	City of London Police	Police Allowances and Ad-hoc Payments	Final Report	Green	0	0	0	0	0	0	0	0
3	City of London Police	Fuel Cards	Final Report	Red	1	4	0	5	1	4	0	5
4	Chamberlain's	IT Infrastructure Library (ITIL)	Final Report	Amber	0	1	10	11	0	1	10	11
5	Chamberlain's	Cloud Security	Final Report	Green	0	0	0	0	0	0	0	0
6	Chamberlain's	WiFi Security and Operations	Final Report	Red	1	4	0	5	1	4	0	5
7	CLSG	Institutional Review	Final Report	Amber	0	6	3	9	0	6	3	9
8	Open Spaces	Chingford Golf Course	Final Report	Amber	0	7	1	8	0	7	1	8
9	Built Environment	Recoverable Costs	Final Report	Green	0	0	1	1	0	0	1	1
10	City Surveyors	Investment Property Purchases and Sales	Final Report	Green	0	1	1	2	0	1	1	2

## Internal Audit Work 2016-17 (as at 19 August 2016)

This appendix complements the summary outcome of final reports as presented above.

## Progress against the plan – Summary

Ī	No of Reviews	Fieldwork	Draft Report	Final Report
	61	8	10	6
ſ		13%	16.5%	10%

Progress against the plan – Detail

-							Recommendations Made**					Recommendations Agreed**				
No	Department	Main Audit Review	Status *	Assurance	R	A	G	Total	R	A	G	Total				
1	Corporate	Emergency Planning	Fieldwork													
2	Corporate	Project Management	Draft Report													
3	Corporate	IT Data Management														
4	Corporate	IT Cyber Security														
5	Corporate	Risk Management														
6	Corporate	Safeguarding	Draft Terms of Reference													
7	Town Clerks	Electoral Registration	Fieldwork													
8	Town Clerks	Bridge House Trust Grants														
9	Town Clerks	Pay and Reward	Draft Report													
10	Town Clerks	Guildhall Club Accounts	Fieldwork													
11	Town Clerks	EDO – Supporting Businesses														
12	Chamberlain	Budget Management	Fieldwork													
13	Chamberlain	Payroll	Draft Report													
14	Chamberlain	Accounts Receivable														
15	Chamberlain	VAT	Fieldwork													
16	Chamberlain	Procurement Cards	Final Report		-	2	4	6	I	2	4	6				
17	Information Systems	IT Contract Management														

						Recommendations Made**			tions	Recommendations Agreed**				
No	Department	Main Audit Review	Status *	Assurance	R	Α	G	Total	R	Α	G	Total		
18	Information Systems	Oracle Property Manager Module Application Review												
19	Information Systems	City Procurement Application Review	Draft Report											
20	Information Systems	Asset Review												
21	Open Spaces	Repairs and Maintenance												
22	Markets and Consumer Protection	Spitalfields Market Forklift Truck Safety and Permit Management												
23	Markets and Consumer Protection	Key Performance Monitoring												
24	Children & Community Services	Housing Asset Management Strategy												
25	Children & Community Services	Service Charges (Housing and BE)												
26	Children & Community Services	Contract Management and Commissioning												
27	Children & Community Services	Rough Sleepers												
28	Children & Community Services	Education Strategy												
29	Children & Community Services	Sir John Cass School – School's Financial Value Standard	Final Report		-	-	-	-	-	-	-	-		
30	City Surveyors	Geared Ground Rents	Draft Terms of Reference											
31	City Surveyors	Asset Disposals and Capital Receipts												
32	Built Environment	Car Parks	Fieldwork											
33	Built Environment	Planning Control	Ī											
34	Built Environment	Building Control	Ī											
35	Built Environment	Change Control (Cleansing and Waste Disposal)	Draft Report											
36	Culture, Heritage and Libraries	City Information Centre	Draft Report											

					Recommendations Made**				Recommendations Agreed**				
No	Department	Main Audit Review	Status *	Assurance	R	Α	G	Total	R	Α	G	Total	
37	Culture, Heritage and Libraries	Library Book and Audio Video Stock	Draft Report										
38	Mansion House	Security Contract Management											
39	Mansion House	Annual Plate Review	Final Report		-	-	-	-	-	-	-	-	
40	City of London Police	Standard Operating Procedures	Draft Report										
41	City of London Police	Budget Monitoring											
42	City of London Police	International Fraud Academy	Draft Report										
43	City of London Police	Community Consultation	Final Report		-	1	-	1	-	1	-	1	
44	City of London Police	Grant Audits											
45	City of London Police	Action Awareness											
46	City of London Police	Governance Framework	Draft Terms of Reference										
47	City of London Police	Income Streams and Generation											
48	City of London												
	Freemans School	ТВС										1	
49	City of London Schools	ТВС											
50	City of London School for Girls	ТВС											
51	Guildhall School of Music and Drama	Strategic Planning											
52	Guildhall School of Music and Drama	Income Generation											
53	Guildhall School of Music and Drama	Succession Planning											
54	Guildhall School of Music and Drama	Satellite Site Operations											
55	Barbican Centre	Major Incident, Security and Safety						1					
56	Barbican Centre	Catering	Fieldwork										
57	Barbican Centre	Customer Experience								İ			
58	Barbican Centre	Car Parking System	Fieldwork					1					
59	Corporate	Procurement Compliance c/fwd	Final Report		-	-	1	1	-	-	1	1	

_					Recommendations Made**			Recommendations Made**				
No	Department	Main Audit Review	Status *	Assurance	R	A	G	Total	R	A	G	Total
60	Corporate	DCCS Departmental Review c/fwd	Final Report		-	1	6	7	-	1	6	7
61	Children and Community Services	Barbican Estates Car Parks – Strategic Review	Draft Report									

\* Status definitions \_ Fieldwork + Formal TOR Issued. Draft = Formal draft report issued. Final = Review complete and final report issued

\*\* Only completed once final report has been issued.

## **Performance Indicators**

Performance Measures	Target	Actual
1 Completion of audit plan	95% of planned audits completed to draft report stage by end of plan review period (31 March 2017)	26.5%
2 Timely production of draft report	Average time taken to issue draft reports within 28 days of end of fieldwork i.e. exit meeting date.	20 days
3 Timely response to draft report	Average time taken to obtain a full management response within 28 days of the draft report being issued.	27 days
4 Timely issue of final report	Average time taken to finalise the review within 7 working days on full response from management	6 days
5 Customer satisfaction	Through key question on post audit surveys – target 90%	100%
6 Percentage (%) of audit section staff with relevant professional qualification	Target 75%	78%