

Appendix 1

Internal Audit Work 2015-16 – finalised audits

No	Department	Main Audit Review	Status *	Assurance ***	Recommendations Made**				Recommendations Agreed**			
					R	A	G	Total	R	A	G	Total
1	Town Clerk	Vetting of Staff	Final Report	Moderate	0	4	0	4	0	4	0	4

Internal Audit Work 2016-17 (as at 19 January 2017)

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

Progress against the plan – Summary

No of Reviews	Fieldwork	Draft Report	Final Report
58	19	10	16
	33%	17%	28%

Progress against the plan – Detail

No	Department	Main Audit Review	Status *	Assurance ***	Recommendations Made**				Recommendations Agreed**			
					R	A	G	Total	R	A	G	Total
	Corporate	Emergency Planning	Deferred to 17/18	-	-	-	-	-	-	-	-	-
1	Corporate	Project Management	Final Report	Moderate	-	2	-	2	-	2	-	2
2	Corporate	IT Data Management	ToR issued									
3	Corporate	IT Cyber Security – High Level Review	Draft Report									
4	Corporate	IT Cyber Security – SekChek	Planning									
5	Corporate	IT Cyber Security - TBC	Planning									
	Corporate	Risk Management	Deferred to 17/18	-	-	-	-	-	-	-	-	-
6	Corporate	Safeguarding	ToR issued									
7	Town Clerks	Electoral Registration	Draft Report									
8	Town Clerks	Bridge House Trust Grants	Fieldwork									
9	Town Clerks	Pay and Reward	Draft Report									
10	Town Clerks	Guildhall Club Accounts	Completed	Substantial	-	-	-	-	-	-	-	-
11	Town Clerks	EDO – Supporting Businesses	Fieldwork									
12	Chamberlain	Budget Management	Draft Report									
13	Chamberlain	Payroll	Draft Report									
14	Chamberlain	Accounts Receivable	Fieldwork									
15	Chamberlain	VAT	Fieldwork									
16	Chamberlain	Procurement Cards	Completed	Moderate	-	2	4	6	-	2	4	6

[illegible]

[illegible]

No	Department	Main Audit Review	Status *	Assurance ***	Recommendations Made				Recommendations Made			
					R	A	G	Total	R	A	G	Total
47	Barbican Centre	Major Incident, Security and Safety	ToR issued									
48	Barbican Centre	Catering	Final Report	Moderate	-	3	2	5	-	3	2	5
	Barbican Centre	Customer Experience	Deferred to 17/18		-	-	-	-	-	-	-	-
49	Barbican Centre	Car Parking System	Fieldwork									
50	Corporate	Procurement Compliance c/fwd	Completed	Substantial	-	-	1	1	-	-	1	1
51	Corporate	DCCS Departmental Review c/fwd	Completed	Substantial	-	1	6	7	-	1	6	7
52	Children and Community Services	Barbican Estates Car Parks – Strategic Review	Final Report	Moderate	-	1	2	3	-	1	2	3
53	Open Spaces	Epping Forest	Fieldwork									
54	City Surveyors	Debt Recovery and OPM	Planning									
55	Barbican Centre	Consultancy Payments and Exhibition Halls	Draft Report									
56	Culture, Heritage and Libraries	Monument Cash Reconciliation and Security	Fieldwork									
57	Markets and Consumer Protection	Spitalfields Market - Code of Conduct	Fieldwork									
58	Corporate	Recommendations Follow-up	Final Report	N/A	-	-	-	-	-	-	-	-

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)	45%
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.	27 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.	26 days
4 Timely issue of final report	Average time taken to finalise the review within 7 working days on full response from management	7 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%