Appendix 1

Internal Audit Work 2015-16 - finalised audits

					Recommendations			Recommendations				
					Made**				Αç	greed*	*	
No	Department	Main Audit Review	Status *	Assurance ***	R	Α	G	Total	R	Α	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

					Recommendations		Recommendation					
					Made**			Agreed**				
No	Department	Main Audit Review	Status *	Assurance	R	Α	G	Total	R	Α	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

					Recommendations Made			Recommendations Agreed				
No	Department	Main Audit Review	Status *	Assurance	R	Α	G	Total	R	Α	G	Total
17	Information Systems	IT Contract Management	ToR issued									
	Information Systems	Oracle Property Manager Module Application Review	Deferred to 17/18	-	-	-	-	-	-	-	-	-
18	Information Systems	City Procurement Application Review	Final Report	Substantial	-	-	6	6	-	-	6	6
	Information Systems	Asset Review	Deferred to 17/18	-	-	-	-	-	-	-	-	-
19	Open Spaces	Repairs and Maintenance	Fieldwork									
20	Markets and Consumer Protection	Spitalfields Market Forklift Truck Safety and Permit Management	Planning									
21	Markets and Consumer Protection	Key Performance Monitoring	Fieldwork									
22	Children & Community Services	Housing Asset Management Strategy	Fieldwork									
23	Children & Community Services	Service Charges (Housing and BE)	Fieldwork									
24	Children & Community Services	Contract Management and Commissioning	Planning									
25	Children & Community Services	Rough Sleepers	Not Started									
26	Children & Community Services	Education Strategy	Fieldwork									
27	Children & Community Services	Sir John Cass School – School's Financial Value Standard	Completed	N/A	-	-	-	-	-	-	-	-
28	City Surveyors	Geared Ground Rents	Draft Report									
29	City Surveyors	Asset Disposals and Capital Receipts	ToR issued									
30	Built Environment	Car Parks	Draft Report									
31	Built Environment	Planning Control	Fieldwork									
32	Built Environment	Building Control	Fieldwork									
33	Built Environment	Change Control (Cleansing and Waste Disposal)	Draft Report									

					Recommendations			Recommendations				
							Made		Agreed			
No	Department	Main Audit Review	Status *	Assurance ***	R	Α	G	Total	R	Α	G	Total
34	Culture, Heritage and Libraries	City Information Centre	Final Report	Moderate	-	2	1	3	-	2	1	3
35	Culture, Heritage and Libraries	Library Book and Audio Video Stock	Final Report	Moderate	-	4	4	8	-	4	4	8
36	Mansion House	Security Contract Management	Draft Report									
37	Mansion House	Annual Plate Review	Completed	Green	-	-	-	-	-	-	-	-
38	City of London Police	Standard Operating Procedures	Final Report	Moderate	-	1	5	6	-	1	5	6
39	City of London Police	Budget Monitoring	Fieldwork									
40	City of London Police	Economic Crime Academy	Final Report	Moderate	-	5	1	6	-	5	1	6
41	City of London Police	Community Consultation	Completed	Moderate	-	1	-	1	-	1	-	1
42	City of London Police	Grant Audits	Fieldwork									
	City of London Police	Action Awareness	Deferred to 17/18	-	-	-	-	-	-	-	-	-
43	City of London Police	Governance Framework	Fieldwork									
44	City of London Police	Income Streams and Generation	Planning									
	City of London Freemans School	TBC	Deferred to 17/18	-	-	-	-	-	-	-	-	-
	City of London Schools	TBC	Deferred to 17/18	-	-	-	-	-	-	-	-	-
	City of London School for Girls	TBC	Deferred to 17/18	-	-	-	-	-	-	-	-	-
	Guildhall School of Music and Drama	Strategic Planning	Deferred to 17/18	-	-	-	-	-	-	-	-	-
	Guildhall School of Music and Drama	Income Generation	Deferred to 17/18	-	-	-	-	-	-	-	-	-
45	Guildhall School of Music and Drama	Succession Planning	Fieldwork									
46	Guildhall School of Music and Drama	Satellite Site Operations	Planning									

					Recommendations Made				Recommendations Made			
No	Department	Main Audit Review	Status *	Assurance ***	R	Α	G	Total	R	Α	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%