## Internal Audit Work 2017-18 (as at 23 June 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	Completed
81	7	7	-	-
	9%	9%	-	-

## Progress against the plan - Detail

					Re	Recommendations Made**			Recommendations Agreed**				
No	Department	Main Audit Review	Status *	Assurance	R	Α	G	Total	R	Α	G	Total	
1	CORPORATE	EMERGENCY PLANNING											
2	CORPORATE	RISK MANAGEMENT											
3	CORPORATE	USE OF WAIVERS	Draft Report										
4	CORPORATE	IR 35 - USE CONSULTANTS AND SPECIALIST (OFF PAYROLL ENGAGEMENT)	Draft Report										
5	CORPORATE	EVALUATION OF SUB £100K TENDERS	Fieldwork										
6	CORPORATE	PROCUREMENT CONSULTATION WITH STAKEHOLDERS	Fieldwork										
7	CORPORATE	INCOME COLLECTION AND BANKING	Fieldwork										
8	CORPORATE	EXPENSES - PROCUREMENT CARDS - PETTY CASH	Draft Report										
9	CORPORATE	CORPORATE-WIDE REVIEW OF BUSINESS TRAVEL	Draft Report										
10	CORPORATE	CORPORATE FOLLOW-UP EXCERSISES	Draft Report										

		Recommendations  Made**				Recommendations Agreed**						
No	Department	Main Audit Review	Status *	Assurance	R	Α	G	Total	R	Α	G	Total
11	CORPORATE	INFORMATION GOVERNANCE/GDPR										
12	TOWN CLERK	FREEDOM OF INFORMATION REQUESTS										1
13	TOWN CLERK	SOCIAL INVESTMENT FUND	Planning									1
14	TOWN CLERK	MEMBERS AND OFFICERS DECLARATIONS INTERESTS	Fieldwork									
15	TOWN CLERK	HUMAN RESOURCES – STARTERS AND LEAVERS	Planning									
16	TOWN CLERK	STAFF LEARNING & DEVELOPMENT (including Central Training)										
17	CHAMBERLAIN	IT - ORACLE PROPERTY MANAGER MODULE APPLICATION REVIEW										
18	CHAMBERLAIN	IT – INFORMATION MANAGEMENT	Fieldwork									
19	CHAMBERLAIN	IT - CYBERSECURITY										
20	CHAMBERLAIN	IT - CLOUD COMPUTING										
21	CHAMBERLAIN	IT - MOBILE DEVICES (HORIZON SCANNING)	Deferred									
22	CHAMBERLAIN	IT - SOCIAL MEDIA (HORIZON SCANNING)										
23	CHAMBERLAIN	IT - INFORMATION SECURITY										1
24	CHAMBERLAIN	IT BUSINESS CONTINUITY										·
25	CHAMBERLAIN	IT ORACLE (CBIS) APPLICATION										·
26	CHAMBERLAIN	MEDIUM TERM FINANCIAL PLANNING										·
27	CHAMBERLAIN	CITY PROCUREMENT										<u> </u>
28	CHAMBERLAIN	COUNCIL TAX & NNDR	Draft Report									<u> </u>
29	DCCS	ACADEMIES										<u> </u>
30	DCCS	WELFARE REFORM										1
	DCCS	HOUSING ALLOCATIONS LETTINGS AND VOIDS										
	DCCS	HOUSING AND BE RENTS										

		Recommendations Made**				itions	Recommendations Agreed**					
No			Status *	Assurance	R	Α	G	Total	R	Α	G	Total
	DCCS	HEALTH AND SOCIAL CARE INTEGRATION										
31	DCCS	FINANCIAL ASSESSMENTS (REFER FRAUD WORK)										
32	DCCS	SIR JOHN CASS SCHOOL INCOME GENERATION										
33	DCCS	FINANCIAL ASSESSMENTS										
34	CITY SURVEYOR	INTERNAL CONTROL GOVERNANCE										
35	CITY SURVEYOR	SERVICE BASED PROPERTY CONTRACTS										
36	CITY SURVEYOR	GUILDHALL COMPLEX - PERFORMANCE										
37	OPEN SPACES	FINANCIAL MANAGEMENT INCLUDING										
		INTERNAL CONTROL PROCECURES										
38	OPEN SPACES	CITY COMMONS - VISITORS CENTRE &										
		ESTABLISHMENT REVIEW										
39	OPEN SPACES	CEMETERY & CREMATORIUM -										
		ESTABLISHMENT REVIEW										
40	BUILT ENVIRONMENT	HIGHWAYS										
41	BUILT ENVIRONMENT	TFL LOCAL IMPLMENTATION PLAN										
42	M&CP	TRADING STANDARDS - SEIZED GOODS										
43	M&CP	CONSUMER PROTECTION ENFORCEMENT										
44	M&CP	MARKETS FRAUD RISK										
45	CITY SOLICITOR	ORACLE OPN										
46	REMEMBRANCER	FUNCTIONS & GUILDHALL LETTINGS - INCOME (INC. BANKING, SAFES AND SECURITY)										
47	MANSION HOUSE	HOSPITALITY AND CATERING CONTRACT MANAGEMENT										
48	POLICE	ACTION FRAUD TEAM										
49	POLICE	IT NETWORK SECURITY										

				Recommendations Made**			Recommendations Agreed**				
No											
52	POLICE	IT TECHNOLOGY REFRESH PROJECT									
60	POLICE	DEMAND POLICING AND EVENT RESOURCING	Fieldwork								
61	POLICE	POLICE BUSINESS CONTINUITY PLANNING									
62	POLICE	POLICE BANK ACCOUNTS	Planning								
63	POLICE	POLICE SEIZED GOODS	Fieldwork								
64	BARBICAN CENTRE	CUSTOMER EXPERIENCE									
65	BARBICAN CENTRE	EQUALITY AND DIVERSITY									
66	BARBICAN CENTRE	RETAIL AND BARS									
67	BARBICAN CENTRE	CASH HANDLING									
68	GUILDHALL SCHOOL	STRATEGIC PLANNING									
69	GUILDHALL SCHOOL	INCOME GENERATION									
70	GUILDHALL SCHOOL	STUDENT SUPPORT									
71	GUILDHALL SCHOOL	DATA QUALITY									
72	CLS	FINANCIAL MANAGEMENT									
73	CLS	SAFEGUARDING									
74	CLS	HEALTH AND SAFETY									
75	CLSG	SAFEGUARDING									
76	CLSG	HEALTH AND SAFETY									
77	CLFS	SAFEGUARDING									
78	CLFS	HEALTH AND SAFETY									
79	CLFS	INCOME GENERATION									
80	BUILT ENVIRONMENT	HIGHWAYS ASSETS REGISTER	Fieldwork								
81	POLICE	PROJECT MANAGEMENT	Draft Report								

<sup>\*</sup> 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	9%
	plan review period (31 March 2017)	
2 Timely production of draft report	Average time taken to issue draft reports within 28 days of end	20 days
	of fieldwork i.e. exit meeting date.	
3 Timely response to draft report	Average time taken to obtain a full management response	27 days
	within 28 days of the draft report being issued.	
4 Timely issue of final report	Average time taken to finalise the review within 7 working days	6 days
	on full response from management	
5 Customer satisfaction	Through key question on post audit surveys – target 90%	100%
6 Percentage (%) of audit section staff	Target 75%	78%
with relevant professional qualification		