

Appendix 1

Internal Audit Work 2016-17 (as at 6th November 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
60	0	5	16	39
	-	8%	27%	65%

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	-	-	-	-	-	-	-	-	-
1	Corporate	Project Management	Completed	Amber	0	2	0	2	0	2	0	2
	Corporate	IT Data Management	Deferred		-	-	-	-	-	-	-	-
2	Corporate	IT Cyber Security – High Level Review	Superseded									
3	Corporate	IT Cyber Security – SekChek	Completed	Red	1	7	3	11	1	7	3	11
	Corporate	Risk Management	Deferred		-	-	-	-	-	-	-	-
4	Corporate	Safeguarding	Final Report	Amber	0	2	3	5	0	2	3	5
5	Corporate	DBS Checks	Draft Report									
6	Town Clerks	Electoral Registration	Draft Report									
7	Town Clerks	Bridge Trust Grants	Completed	Green	0	0	0	0	0	0	0	0
8	Town Clerks	Pay and Reward	Final Report	Green	0	0	2	2	0	0	2	2
9	Town Clerks	Guildhall Club Accounts	Completed	Green	0	0	0	0	0	0	0	0
10	Town Clerks	EDO – Supporting Businesses	Completed	Green	0	0	3	3	0	0	3	0
11	Chamberlain	Budget Management	Final Report	Amber	0	2	2	4	0	2	2	4
12	Chamberlain	Payroll	Draft Report									
13	Chamberlain	Accounts Receivable	Final Report	Amber	0	3	1	4	0	3	1	4
14	Chamberlain	VAT Management	Completed	Amber	0	4	7	11	0	4	7	11
15	Chamberlain	Procurement Cards	Completed	Green	0	2	4	6	0	2	4	6
16	Information Systems	IT Contract Management	Final Report	Red	1	2	0	3	1	2	0	3

No	Department	Main Audit Review	Status *	Assurance ***	Recommendations Made**				Recommendations Agreed**			
					R	A	G	Total	R	A	G	Total
	Information Systems	Oracle Property Manager Module Application Review	Deferred									
17	Information Systems	City Procurement Application Review	Final Report	Green	0	0	6	6	0	0	6	6
18	Information Systems	Asset Management	Completed	Red	2	8	2	12	2	8	2	12
19	Open Spaces	Repairs and Maintenance	Final Report	Amber	0	1	0	1	0	1	0	1
20	Markets and Consumer Protection	Spitalfields Market Forklift Truck Safety and Permit Management	Completed	Green	0	0	0	0	0	0	0	0
21	Markets and Consumer Protection	Key Performance Monitoring	Completed	Green	0	0	2	2	0	0	2	2
22	Children & Community Services	Housing Asset Management Strategy	Completed	Green	0	0	1	1	0	0	1	1
23	Children & Community Services	Service Charges (Housing and BE)	Completed	Amber	0	1	5	6	0	1	5	6
24	Children & Community Services	Contract Management and Commissioning	Completed	Amber	0	3	4	7	0	3	4	7
25	Children & Community Services	Rough Sleepers	Completed	Green	0	1	2	3	0	1	2	3
26	Children & Community Services	Education Strategy – position statement	Completed	n/a	0	0	0	0	0	0	0	0
27	Children & Community Services	Sir John Cass School – School's Financial Value Standard	Completed		-	-	-	-	-	-	-	-
28	City Surveyors	Geared Ground Rents	Final Report	Amber	0	3	2	5	0	3	2	5
29	City Surveyors	Asset Disposals and Capital Receipts	Final Report	Green	0	0	2	2	0	0	2	2
30	Built Environment	Car Parks	Completed	Green	0	0	1	1	0	0	1	1
31	Built Environment	Planning Control	Completed	Green	0	0	0	0	0	0	0	0
32	Built Environment	Building Control	Final Report	Amber	0	2	1	3	0	2	1	3
33	Built Environment	Change Control (Cleansing and Waste Disposal)	Completed	Green	0	0	1	1	0	0	1	1
34	Culture, Heritage and Libraries	City Information Centre	Completed	Amber	-	2	1	3	-	2	1	3

No	Department	Main Audit Review	Status *	Assurance ***	Recommendations Made**				Recommendations Agreed**			
					R	A	G	Total	R	A	G	Total
35	Culture, Heritage and Libraries	Library Book and Audio Video Stock	Completed	Amber	-	4	4	8	-	4	4	8
36	Mansion House	Security Contract Management	Completed	Green	0	1	1	2	0	1	1	2
37	Mansion House	Annual Plate Review	Completed	Green	-	-	-	-	-	-	-	-
38	City of London Police	Standard Operating Procedures	Completed	Amber	-	1	5	6	-	1	5	6
39	City of London Police	Budget Monitoring	Final Report	Amber	0	4	2	6	0	4	2	6
40	City of London Police	Economic Crime Academy	Completed	Amber	-	5	1	6	-	5	1	6
41	City of London Police	Community Consultation	Completed	Amber	-	1	-	1	-	1	-	1
42	City of London Police	Grant Audits	Final Report	Green	0	0	0	0	0	0	0	0
	City of London Police	Action Awareness	Deferred									
43	City of London Police	Governance Framework	Final Report	Amber	0	2	3	5	0	2	3	5
44	City of London Police	Income Streams and Generation	Final Report	Green	0	0	0	0	0	0	0	0
	City of London Freemans School	TBC	Deleted									
	City of London Schools	TBC	Deleted									
	City of London School for Girls	TBC	Deleted									
	Guildhall School of Music and Drama	Strategic Planning	Deferred									
	Guildhall School of Music and Drama	Income Generation	Deferred									
45	Guildhall School of Music and Drama	Succession Planning	Final Report	Amber	0	2	4	6	0	2	4	6
46	Guildhall School of Music and Drama	Satellite Site Operations	Completed	Amber	0	4	0	4	0	4	0	4
47	Barbican Centre	Major Incident, Security and Safety	Completed	Green	0	0	1	1	0	0	1	1
48	Barbican Centre	Catering	Completed	Amber	0	3	2	5	0	3	2	5
	Barbican Centre	Customer Experience	Deferred									
49	Barbican Centre	Car Parking System	Completed	Green	0	1	2	3	0	1	2	3
50	Corporate	Procurement Compliance c/fwd	Completed	Green	-	-	1	1	-	-	1	1

No	Department	Main Audit Review	Status *	Assurance ***	Recommendations Made**				Recommendations Made**			
					R	A	G	Total	R	A	G	Total
51	Corporate	DCCS Departmental Review c/fwd	Completed	Green	-	1	6	7	-	1	6	7
52	Children and Community Services	Barbican Estates Car Parks – Strategic Review (Consultancy review – no assurance rating given)	Completed	n/a	0	1	2	3	0	1	2	3
53	Open Spaces	Epping Forest Deer Sanctuary	Final Report	Amber	0	3	3	6	0	3	3	6
54	City Surveyors	Directly Managed Property Leases	Completed	Amber	0	3	1	4	0	3	1	4
55	Barbican Centre	Consultancy Payments and Exhibition Halls	Completed	Amber	0	4	3	7	0	4	3	7
56	Culture, Heritage & Libraries	Monument Cash Reconciliation and Security	Completed	Amber	0	5	2	7	0	5	2	7
57	Markets & Consumer Protection	Spitalfields Market – Code of Conduct	Completed	Green	0	0	1	1	0	0	1	1
58	City of London Police	Salary Overpayments	Final Report	Amber	0	4	0	4	0	4	0	4
59	Open Spaces	Epping Forest Deer Sanctuary	Final Report	Amber	0	3	3	0	0	3	3	0
60	Corporate	Recommendations Follow-up	Completed	n/a	-	-	-	-	-	-	-	-

* 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)	100%
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.	25 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%	<5 responses received
6 Percentage (%) of audit section staff with relevant professional qualification	Target 75%	78%