Internal Audit Work 2017-18 (as at 06 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
76	19	16	3	-
	25%	21%	4%	-

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	Fieldwork										
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	Draft Report										
6	CORPORATE	PROCUREMENT CONSULTATION WITH STAKEHOLDERS	Draft Report										
7	CORPORATE	INCOME COLLECTION AND BANKING	Fieldwork										
8	CORPORATE	EXPENSES - PROCUREMENT CARDS - PETTY CASH	Draft Report										
9	CORPORATE	CORPORATE-WIDE REVIEW OF BUSINESS TRAVEL	Final Report	Amber	0	8	0	8	0	8	0	8	
10	CORPORATE	CORPORATE FOLLOW-UP EXCERSISES	2 nd Quarter Completed	n/a	-	-		-	-	-	-	-	

					Recommendations Made**		Re	Recommendations Agreed**				
No	Department	Main Audit Review	Status *	Assurance	R	Α	G	Total	R	Α	G	Total
11	CORPORATE	INFORMATION GOVERNANCE/GDPR	Fieldwork									
12	TOWN CLERK	FREEDOM OF INFORMATION REQUESTS	Deferred									
13	TOWN CLERK	SOCIAL INVESTMENT FUND	Draft Report									
14	TOWN CLERK	MEMBERS AND OFFICERS DECLARATIONS INTERESTS	Draft Report									
15	TOWN CLERK	HUMAN RESOURCES – STARTERS AND LEAVERS	Fieldwork									
16	TOWN CLERK	STAFF LEARNING & DEVELOPMENT (including Central Training)	Fieldwork									
17	CHAMBERLAIN	IT - ORACLE PROPERTY MANAGER MODULE APPLICATION REVIEW										
18	CHAMBERLAIN	IT – INFORMATION MANAGEMENT	Fieldwork									
19	CHAMBERLAIN	IT - CYBERSECURITY	Planning									
20	CHAMBERLAIN	IT - CLOUD COMPUTING										
21	CHAMBERLAIN	IT - MOBILE DEVICES (HORIZON SCANNING)	Deferred									
22	CHAMBERLAIN	IT - SOCIAL MEDIA (HORIZON SCANNING)	Draft Report									
23	CHAMBERLAIN	IT - INFORMATION SECURITY										
24	CHAMBERLAIN	IT BUSINESS CONTINUITY	Deferred									
25	CHAMBERLAIN	IT ORACLE (CBIS) APPLICATION										
26	CHAMBERLAIN	MEDIUM TERM FINANCIAL PLANNING	Fieldwork									
27	CHAMBERLAIN	CITY PROCUREMENT	Fieldwork									
28	CHAMBERLAIN	COUNCIL TAX & NNDR	Final Report	Amber	0	2	2	4	0	2	2	4
29	DCCS	ACADEMIES	Planning									
30	DCCS	WELFARE REFORM	Planning									
31	DCCS	HOUSING ALLOCATIONS LETTINGS AND VOIDS	Draft Report									
32	DCCS	HOUSING AND BE RENTS	Draft Report									

					Recommendations Made**				Re	ecommendations Agreed**			
No			Status *	Assurance	R	A	G	Total	R		G	Total	
33	DCCS	HEALTH AND SOCIAL CARE INTEGRATION	Planning										
34	DCCS	FINANCIAL ASSESSMENTS (REFER FRAUD WORK)	Planning										
35	DCCS	SIR JOHN CASS SCHOOL INCOME GENERATION	Planning										
36	DCCS	FINANCIAL ASSESSMENTS	Planning										
37	CITY SURVEYOR	INTERNAL CONTROL GOVERNANCE										1	
38	CITY SURVEYOR	SERVICE BASED PROPERTY CONTRACTS	Fieldwork										
39	CITY SURVEYOR	GUILDHALL COMPLEX - PERFORMANCE	Draft Report										
40	OPEN SPACES	FINANCIAL MANAGEMENT INCLUDING INTERNAL CONTROL PROCECURES	Fieldwork										
41	OPEN SPACES	CITY COMMONS - VISITORS CENTRE & ESTABLISHMENT REVIEW	Deleted										
42	OPEN SPACES	CEMETERY & CREMATORIUM - ESTABLISHMENT REVIEW											
43	BUILT ENVIRONMENT	HIGHWAYS											
44	BUILT ENVIRONMENT	TFL LOCAL IMPLMENTATION PLAN											
45	M&CP	TRADING STANDARDS - SEIZED GOODS	Draft Report									1	
46	M&CP	CONSUMER PROTECTION ENFORCEMENT	Planning										
47	M&CP	MARKETS FRAUD RISK										<u> </u>	
48	CITY SOLICITOR	ORACLE OPN										1	
49	REMEMBRANCER	FUNCTIONS & GUILDHALL LETTINGS - INCOME (INC. BANKING, SAFES AND SECURITY)											
50	MANSION HOUSE	HOSPITALITY AND CATERING CONTRACT MANAGEMENT											
51	POLICE	ACTION FRAUD TEAM	Deferred										
52	POLICE	IT NETWORK SECURITY	Deleted										

					Recommendations Made**			Re	ecommendations Agreed**			
No												
53	POLICE	IT TECHNOLOGY REFRESH PROJECT	Deleted									
54	POLICE	DEMAND POLICING AND EVENT	Fieldwork									
		RESOURCING										
55	POLICE	POLICE BUSINESS CONTINUITY PLANNING										
56	POLICE	POLICE BANK ACCOUNTS	Fieldwork									
57	POLICE	POLICE SEIZED GOODS	Final Report	Red	3	12	0	15	3	12	0	15
58	BARBICAN CENTRE	CUSTOMER EXPERIENCE	Planning									
59	BARBICAN CENTRE	EQUALITY AND DIVERSITY	Planning									
60	BARBICAN CENTRE	RETAIL AND BARS	Planning									
61	BARBICAN CENTRE	CASH HANDLING	Draft Report									
62	GUILDHALL SCHOOL	STRATEGIC PLANNING	Deleted									
63	GUILDHALL SCHOOL	INCOME GENERATION	Deleted									
64	GUILDHALL SCHOOL	STUDENT SUPPORT	Planning									•
65	GUILDHALL SCHOOL	DATA QUALITY	Planning									
66	CLS	FINANCIAL MANAGEMENT	Draft Report									
67	CLS	HEALTH AND SAFETY	Deferred									
68	CLFS	SAFEGUARDING	Draft Report									
69	CLFS	HEALTH AND SAFETY										
70	CLFS	INCOME GENERATION	Draft Report									
71	BUILT ENVIRONMENT	HIGHWAYS ASSETS REGISTER	Draft Report									
72	POLICE	PROJECT MANAGEMENT	Final Report	Red	2	8	0	10	2	8	0	10
73	DCCS	COMMUNITY CENTRE REVENUE	Planning									
74	GUILDHALL SCHOOL	SUNDIAL COURT PROJECT GOVERNANCE	Final Report									
75	GUILDHALL SCHOOL	CATERING INCLUDING STUDENT BAR	Planning									

Performance Indicators

Performance Measures	Target	Actual
1 Completion of audit plan	95% of planned audits completed to draft report stage by end of	25%
	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		

^{*} 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.