

Appendix 1

Internal Audit Work 2017-18 (as at 14-02-2018)

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
62	33	18	6	5
100%	53%	29%	10%	8%

Progress against the plan – Detail

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No	Department	Main Audit Review	Status *	Assurance ***	Recommendations Made**				Recommendations Agreed**			
					R	A	G	Total	R	A	G	Total
	CORPORATE	GDPR – READINESS	Deferred									
11	CORPORATE WIDE	CONTRACT MANAGEMENT (Police Accommodation Programme)	Fieldwork									
	TOWN CLERK	FREEDOM OF INFORMATION REQUESTS	Deferred									
12	TOWN CLERK	SOCIAL INVESTMENT FUND	Final Report	Green	0	0	0	0	0	0	0	0
13	TOWN CLERK	MEMBERS AND OFFICERS DECLARATIONS INTERESTS	Draft Report									
14	TOWN CLERK	HUMAN RESOURCES – STARTERS AND LEAVERS	Fieldwork									
15	TOWN CLERK	STAFF LEARNING & DEVELOPMENT (including Central Training)	Fieldwork									
16	TOWN CLERKS	GUILDHALL CLUB ACCOUNTS	Completed	Green	0	0	0	0	0	0	0	0
	CHAMBERLAIN	IT - ORACLE PROPERTY MANAGER MODULE APPLICATION REVIEW	Deferred									
	CHAMBERLAIN	IT – CLOUD COMPUTING	Deferred									
17	CHAMBERLAIN	IT – INFORMATION MANAGEMENT	Fieldwork									
18	CHAMBERLAIN	IT CYBER SECURITY–MALWARE PROTECTION	Fieldwork									
19	CHAMBERLAIN	IT INFORMATION SECURITY – INCIDENT MANAGEMENT	Fieldwork									
	CHAMBERLAIN	IT - MOBILE DEVICES	Deferred									
20	CHAMBERLAIN	IT - SOCIAL MEDIA	Draft Report									
	CHAMBERLAIN	IT BUSINESS CONTINUITY	Deferred									
21	CHAMBERLAIN	IT ORACLE (CBIS) APPLICATION	Fieldwork									
	CHAMBERLAIN	IT ORACLE (CBIS) REVENUE	Deleted									
22	CHAMBERLAIN	MEDIUM TERM FINANCIAL PLANNING	Draft Report									
23	CHAMBERLAIN	CITY PROCUREMENT	Draft Report									
24	CHAMBERLAIN	COUNCIL TAX & NNDR	Completed	Amber	0	2	2	4	0	2	2	4

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No	Department	Main Audit Review	Status *	Assurance ***	Recommendations Made**				Recommendations Agreed**			
					R	A	G	Total	R	A	G	Total
62	CLFS	INCOME GENERATION	Draft Report									

* 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)	25%
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.	27 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 satisfactions	Through key question on post audit surveys – target 90%	100%
6 Percentage (%) of audit section staff with relevant professional qualification	Target 75%	78%