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

					Recommendations			Re	Recommendation			
					Made**				Agreed**			
No	Department	Main Audit Review	Status *	Assurance	R	Α	G	Total	R	Α	G	Total
1	CORPORATE	EMERGENCY PLANNING	Fieldwork									
2	CORPORATE	USE OF WAIVERS	Final Report	Amber	0	7	0	7	0	7	0	7
3	CORPORATE	IR 35 - USE CONSULTANTS AND SPECIALIST (OFF PAYROLL ENGAGEMENT)	Draft Report									
4	CORPORATE	EVALUATION OF SUB £100K TENDERS	Draft Report									
5	CORPORATE	PROCUREMENT CONSULTATION WITH STAKEHOLDERS	Draft Report									
6	CORPORATE	INCOME COLLECTION AND BANKING	Fieldwork									
7	CORPORATE	EXPENSES - PROCUREMENT CARDS - PETTY CASH	Draft Report									
8	CORPORATE	CORPORATE-WIDE REVIEW OF BUSINESS TRAVEL	Final Report	Amber	0	8	0	8	0	8	0	8
9	CORPORATE	CORPORATE FOLLOW-UP EXCERSISES	3rd Quarter Completed	n/a	-	-	-	-	-	-	-	-
10	CORPORATE	GDPR – GAP ANALYSIS	Draft Report									

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

					Re	Recommendations		Re	ations				
					Made**				Agreed**				
No	Department	Main Audit Review	Status *	Assurance	R	Α	G	Total	R	Α	G	Total	
25	DCCS	ACADEMIES	Fieldwork										
26	DCCS	WELFARE REFORM	Fieldwork										
27	DCCS	HOUSING ALLOCATIONS LETTINGS AND VOIDS	Fieldwork										
28	DCCS	HOUSING RENTS	Draft Report										
29	DCCS	BARBICAN ESTATE RENTS	Draft Report										
30	DCCS	HEALTH AND SOCIAL CARE INTEGRATION	Fieldwork										
31	DCCS	FINANCIAL ASSESSMENTS	Fieldwork										
32	DCCS	SIR JOHN CASS SCHOOL INCOME GENERATION	Fieldwork										
33	DCCS	COMMUNITY CENTRE REVENUE	Fieldwork										
	CITY SURVEYOR	INTERNAL CONTROL/GOVERNANCE	Deferred										
34	CITY SURVEYOR	SERVICE BASED PROPERTY CONTRACTS	Fieldwork										
35	CITY SURVEYOR	GUILDHALL COMPLEX - PERFORMANCE	Draft Report										
36	OPEN SPACES	FINANCIAL MANAGEMENT INCLUDING INTERNAL CONTROL PROCECURES	Fieldwork										
37	OPEN SPACES	CEMETERIES AND CREMATORIA	Fieldwork										
	OPEN SPACES	INCOME GENERATION	Deferred										
	OPEN SPACES	EPPING FOREST DEER CONTROL	Deferred										
38	OPEN SPACES	TOWER BRIDGE MAJOR INCIDENT PLAN	Final Report	Green	0	1	0	1	0	1	0	1	
39	BUILT ENVIRONMENT	HIGHWAYS	Fieldwork										
40	BUILT ENVIRONMENT	TFL LOCAL IMPLMENTATION PLAN	Fieldwork										
41	BUILT ENVIRONMENT	HIGHWAYS ASSETS REGISTER	Draft Report										
42	M&CP	TRADING STANDARDS - SEIZED GOODS	Draft Report										
43	M&CP	CONSUMER PROTECTION ENFORCEMENT	Fieldwork										
44	M&CP	MARKETS FRAUD RISK	Fieldwork										
	CITY SOLICITOR	ORACLE OPN	Deferred										

					Recommendations Made**			Re	Recommendation Agreed**				
No	Department	Main Audit Review	Status *	Assurance	R	Α	G	Total	R	Α	G	Total	
45	REMEMBRANCER	FUNCTIONS & GUILDHALL LETTINGS - INCOME (INC. BANKING, SAFES AND SECURITY)	Fieldwork										
46	MANSION HOUSE	HOSPITALITY AND CATERING CONTRACT MANAGEMENT	Fieldwork										
	POLICE	ACTION FRAUD TEAM	Deferred										
	POLICE	IT NETWORK SECURITY	Deleted										
	POLICE	IT TECHNOLOGY REFRESH PROJECT	Deleted										
47	POLICE	DEMAND POLICING AND EVENT RESOURCING	Draft Report										
48	POLICE	POLICE BUSINESS CONTINUITY PLANNING	Fieldwork										
49	POLICE	POLICE BANK ACCOUNTS	Fieldwork										
50	POLICE	POLICE SEIZED GOODS	Completed	Red	3	12	0	15	3	12	0	15	
51	POLICE	PROJECT MANAGEMENT	Completed	Amber	2	8	0	10	2	8	0	10	
52	POLICE	FREEDOM OF INFORMATION REQUESTS	Fieldwork										
53	BARBICAN CENTRE	VISITOR EXPERIENCE	Fieldwork										
54	BARBICAN CENTRE	EQUALITY AND DIVERSITY	Fieldwork										
55	BARBICAN CENTRE	RETAIL AND BARS	Fieldwork										
56	BARBICAN CENTRE	CASH HANDLING	Final Report	Amber	0	4	1	5	0	4	1	5	
	GUILDHALL SCHOOL	STRATEGIC PLANNING	Deferred										
	GUILDHALL SCHOOL	INCOME GENERATION	Deferred										
	GUILDHALL SCHOOL	STUDENT SUPPORT	Deferred										
57	GUILDHALL SCHOOL	DATA QUALITY	Fieldwork										
58	GUILDHALL SCHOOL	SUNDIAL COURT PROJECT GOVERNANCE	Final Report	Amber	0	3	0	3	0	3	0	3	
59	GUILDHALL SCHOOL	CATERING INCLUDING STUDENT BAR	Fieldwork										
60	CLS	FINANCIAL MANAGEMENT	Draft Report										
	CLS	HEALTH AND SAFETY	Deferred										
61	CLFS	HEALTH AND SAFETY	Draft Report										

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

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 satisfactions	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.