

Draft Internal Audit Plan 2018/19 to 2020/21

Dept Code	Audit	2018-19	2019-20	2020-21
CORP	PROJECT MANAGEMENT PROCEDURES COMPLIANCE			15
CORP	CREDITORS (CENTRALISED PURCHASE ORDERING & INVOICE PAYMENT)		10	
CORP	BUSINESS CONTINUITY & DISASTER RECOVERY	15		
CORP	HEALTH & SAFETY			10
CORP	PETTY CASH		20	20
CORP	PROJECT MANAGEMENT		20	
CORP	EMERGENCY PLANNING		20	
CORP	IR35 - USE OF CONSULTANTS & SPECIALISTS (OFF PAYROLL ENGAGEMENT)	5		
CORP	CORPORATE-WIDE INCOME COLLECTION & BANKING		20	
CORP	CORPORATE-WIDE EXPENSES, PROCUREMENT CARDS, PETTY CASH			20
CORP	CONTRACT MANAGEMENT		40	40
CORP	GDPR READINESS	20		
CORP	CORPORATE-WIDE RISK MANAGEMENT		15	
CORP	CORPORATE-WIDE RETROSPECTIVE WAIVERS	12		
CORP	CORPORATE-WIDE - SUPPLIERS FINANCIAL HEALTH/RESILIENCE	12		
CORP	CORPORATE -WIDE - COMMERCIAL MANAGER SCORECARD PROCEDURES	10		
CORP	CORPORATE-WIDE BUDGET ESTIMATE PREPARATION	30		
CORP	CORPORATE FOLLOW-UP EXERCISES	25	20	20
CORP	CORPORATE-WIDE CHANGE CONTROL	20		
CORP	CORPORATE-WIDE HIGHWAYS REPAIRS AND MAINTENANCE CONTRACT	20		
CORP	CORPORATE-WIDE PROGRAMMED REPAIRS AND MAINTENANCE	20		

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CORP	FIRE SAFETY RISK MANAGEMENT		15	
CORP	OPERATIONAL PROPERTY RENT & SERVICE CHARGES	12		
CORP	ASSET MANAGEMENT		15	
CORP	PROJECTS CHANGE CONTROL PROCESS	10		
CORP	PROJECT ESTIMATING (GATEWAY PROCESS)		15	
TCK	CITY BRIDGE RISK MANAGEMENT	10		
CORP	EDUCATION & SKILLS SAFEGUARDING GOVERNANCE (INCLUDING SAFER RECRUITMENT)	30		
CORP	MANAGEMENT OF COMMERCIAL LEASES	12		
CORP	MAJOR INCIDENT PLANNING (LINKED TO VESSEL STRIKE / TERRORISM)			8
CORP	ACCOMMODATION PLANNING		10	
CORP	WORKFORCE PLANNING		15	
CORP	LEGIONNAIRES RISK MANAGEMENT		12	
	ASBESTOS RISK MANAGEMENT			12
		263	247	145
Town Clerk's				
TCK	EDO OVERSEAS OFFICES		5	
TCK	DATA PROTECTION & FOI	10		10
TCK	MEMBER DECLARATIONS OF INTEREST & RELATED PARTY TRANSACTIONS		10	
TCK	PERFORMANCE DEVELOPMENT FRAMEWORK		10	
TCK	CITY BRIDGE TRUST GRANTS	15	15	15
TCK	MEMBERS AND OFFICERS DECLARATIONS INTERESTS		10	
TCK	HUMAN RESOURCES - STARTER AND LEAVERS		15	
TCK	STAFF LEARNING & DEVELOPMENT (including Central Training)			15
TCK	GUILDHALL CLUB ACCOUNTS	5	5	5
TCK	LMA - COLLECTION MANAGEMENT - ACQUISITION AND DISPOSAL	12		
TCK	SUSTAINABILITY	12		
TCK	ECONOMIC DEVELOPMENT	15		15

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TCK	HUMAN RESOURCES - POLICIES/PROCEDURES/GUIDANCE REVIEWS		20	
TCK	CITY BRIDGE TRUST - GRANT APPLICATION GOVERNANCE	10		
	HUMAN RESOURCES - STAFF SICKNESS MANAGEMENT		15	
	HUMAN RESOURCES - CORPORATE RECRUITMENT			15
		79	105	75
Chamberlain's				
CHB	TREASURY MANAGEMENT			10
CHB	BUSINESS RATES / COUNCIL TAX - APPLICATIONS HOSTING	15		15
CHB	PAYROLL	20		20
CHB	MAIN ACCOUNTING SYSTEM - GL / AR / AP	10		
CHB	COUNCIL TAX	10		10
CHB	BUSINESS RATES		10	
CHB	VAT MANAGEMENT		10	
CHB	CBIS AR			15
CHB - IT	INFORMATION MANAGEMENT	20		
CHB - IT	CLOUD COMPUTING	15		
CHB - IT	MOBILE DEVICES	10		
CHB - IT	BUSINESS CONTINUITY	15		
CHB - IT	IT CONTRACT MANAGEMENT	10		
CHB - IT	ASSET MANAGEMENT ROAD MAP	10		
CHB - IT	To be determined following updated IT Audit Needs Assessment 2019-21			
CHB	CHANGE CONTROL	10	80	80
CHB	TREASURY MANAGEMENT	15		15
CHB	PENSIONS	15		15
CHB	PROCESS MAPS	10		
CHB	CBIS (ORACLE) PROPERTY MODULE	12		
	IT AUDITS MAN DAYS		120	120
		197	220	300

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COMMUNITY AND CHILDRENS' SERVICES				
DCCS	FINANCIAL MANAGEMENT		15	
DCCS	HOUSING SERVICE CHARGES		10	
DCCS	BARBICAN ESTATE SERVICE CHARGES		10	
DCCS	HOUSING ALLOCATIONS LETTINGS AND VOIDS			10
DCCS	HOUSING RENTS			10
DCCS	BARBICAN ESTATE RENTS			10
DCCS	MENTAL HEALTH PROVISION	15		
DCCS	ASYLUM SEEKERS	10		
DCCS	EARLY HELP STRATEGY	10		
DCCS	HOUSING SAFETY, REPAIRS & MAINTENANCE		15	
DCCS	SOCIAL CARE FUNDING		10	
DCCS	DIRECT PAYMENTS		8	
DCCS	CHILDREN LOOKED AFTER			10
DCCS	LIBRARIES			10
DCCS	SEN			10
		35	68	60
SJC Foundation School				
SJC	SCHOOLS FINANCIAL VALUE STANDARD		5	5
SJC	SIR JOHN CASS SCHOOL INCOME GENERATION			
SJC	CASS CHILDREN & FAMILY CENTRE	8		
		8	5	5
City Surveyor's				
SVY	RENTS, LETTINGS & VACANCIES			15
SVY	PROJECT RESOURCING	12		
SVY	FACILITIES MANAGEMENT SBR REVIEW	12		
SVY	FRAUD RISK MANAGEMENT		8	

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		24	8	15
OPEN SPACES				
OSD	FLEET MANAGEMENT			10
OSD	INCOME CHECKS		20	
OSD	CHINGFORD GOLF COURSE			10
OSD	MONUMENT CASH REVIEW			
OSD	FINANCIAL MANAGEMENT INCLUDING INTERNAL CONTROL PROCECURES		20	
OSD	TOWER BRIDGE & MONUMENT INCOME & EXPENDITURE	10		
OSD	EPPING FOREST - VISITORS CENTRE & ESTABLISHMENT REVIEW	15		
OSD	CEMETERY AND CREMATORIUM - REPAIRS AND MAINTENANCE	15		
OSD	KEATS HOUSE - RECRUITMENT AND STAFF TRAINING	8		
OSD	MAJOR INCIDENT PLANNING	10		
OSD	PROGRAMME AND PROJECT MANAGEMENT	15		
OSD	PERFORMANCE MEASURES	7		
OSD	HAMPSTEAD HEATH - ESTABLISHMENT REVIEW			8
OSD	WEST HAM PARK - ESTABLISHMENT REVIEW		8	
OSD	CEMETERY & CREMATORIUM - MONUMENTS AND LANDSCAPE		10	
OSD	CITY VISITORS CENTRE - INCOME AND EXPENDITURE			10
OSD	KEATS HOUSE - INCOME AND EXPENDITURE			10
OSD	ASSET MANAGEMENT - REPAIRS AND MAINTENANCE			10
OSD	BUSINESS PLANNING PROCESS		10	
OSD	STAFF OVERTIME PAYMENTS			10
OSD	STAFF EXPENSES		10	
OSD	TOWER BRIDGE AND MONUMENT SHOP STOCK CONTROL			10
		80	78	78
Built Environment				
DBE	DBE PLANNING APPLICATIONS			10
DBE	DBE CAR PARKS		20	

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DBE	HIGHWAYS			15
DBE	TFL LOCAL IMPLMENTATION PLAN			10
DBE	DBE PROJECT TEAM	15		
DBE	BUSINESS CONTINUITY PLANNING	10		
DBE	PERFORMANCE MEASURES	10		
DBE	DBE ON-STREET PARKING		15	
DBE	LOCAL IMPROVEMENT PLAN		10	
		35	45	35
Markets & Consumer Protection				
M&CP	FINANCIAL MANAGEMENT		15	
M&CP	HEATHROW ANIMAL RECEPTION CENTRE			12
M&CP	MARKETS LOCAL CONTRACT MANAGEMENT		10	
M&CP	LICENSING - ELECTRONIC DATABASE	10		
M&CP	BILLINGSGATE TRANSPORT MANAGEMENT		8	
M&CP	HEALTH & SAFETY			8
M&CP	FEE RECOVERY			10
M&CP	LEARNING & DEVELOPMENT			10
		10	33	40
COMPTROLLER & CITY SOLICITOR				
CCS	LEGAL CONSULTATION			
CCS	RECRUITMENT AND RETENTION OF STAFF	8		
CCS	INCOME AND EXPENDITURE	12		
		20	0	0

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REMEMBRANCERS				
REM	GUILDHALL LETTINGS AND FUNCTIONS INCOME			10
REM	STAFF TRAINING	7		
REM	MANAGEMENT OF GUEST DATABASE	6		
REM	EXPENDITURE - PROCUREMENT - PURCHASE CARDS - PETTY CASH		10	
		13	10	10
MANSION HOUSE AND CENTRAL CRIMINAL COURT				
MH	INCOME AND EXPENDITURE	15		
		15	0	0
CITY OF LONDON POLICE				
COLP	ECONOMIC CRIME ACADEMY			10
COLP	BUDGET MONITORING			20
COLP	Project Management			10
COLP	Police Bank Accounts (Defendants)			15
COLP	IT TECHNOLOGY REFRESH PROJECT C/fwd 2017-18	10		
COLP	POLICE OVERTIME	15		
COLP	POLICE PERFORMANCE INDICATORS	5		
COLP	INTERPRETERS FEES	5		
COLP	POLICE PREMISES EXPENDITURE	15		
COLP	POLICE PROCUREMENT CONTRACT MANAGEMENT	15		
	POLICE OFFICER EXPENSES - USE OF PROCUREMENT CARDS - PETTY CASH - EXPENSES	20		
COLP	CLAIMS			
COLP	POLICE FRONT DESKS	10		
COLP	Police Front Offices (including income collection and banking)			10
COLP	Action Fraud Team		10	
COLP	Police Supplies and Services		20	
COLP	Police Fleet Management		10	
COLP	Police Compensation Claims		10	

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COLP	Police Fees and Charges		10	
COLP	IT Audit Days Contingency		15	
COLP	Police Informants Funds			10
COLP	Police Recruitment & Training			15
COLP	Police Performance Indicators			5
COLP	Police Project Management			20
COLP	IT Audit Days Contingency			15
		95	75	130
Barbican Centre				
BBC	ICT REVIEW			15
BBC	STRATEGIC PLANNING, MONITORING & IMPLEMENTATION	15		
BBC	IT PROJECTS (CRM, AGILE WORKING, TICKETING SYSTEM)	15		
BBC	EVENT CONTRACTS (INCLUDING CANCELLATION ARRANGEMENTS)	10		
BBC	FINANCIAL MONITORING & INCOME GENERATION	15		
BBC	FRAUD RISK MANAGEMENT	10		
BBC	REPAIRS & MAINTENANCE		15	
BBC	PROFESSIONAL DEVELOPMENT & PROGRESSION (ARTISTIC OFFERING / SUPPORTING ARTISTS)			8
BBC	TARGET-SETTING & PERFORMANCE MONITORING		12	
BBC	SPONSORSHIP & DONATIONS		8	
BBC	SAFEGUARDING		15	
BBC	HEALTH & SAFETY			15
BBC	SECURITY			12
		65	50	50

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The Guildhall School				
GSMD	STUDENT SUPPORT (b/f)	10		
GSMD	STRATEGIC PLANNING (b/f)	15		
GSMD	INCOME GENERATION (b/f)		15	
GSMD	FINANCIAL PLANNING & FINANCIAL MANAGEMENT	15		
	CONTINGENCY (the audits for GSMD will be confirmed following a workshop with management)	20	45	60
		60	60	60
City of London School for Boys				
CLS	TEACHING & NON-TEACHING STAFF RECRUITMENT			8
CLS	HEALTH & SAFETY	10		
CLS	CYBER SECURITY	8		
CLS	SCHOOL FEES		8	
		18	8	8
City of London School for Girls				
CLSG	TEACHING & NON-TEACHING STAFF RECRUITMENT			8
CLSG	HEALTH AND SAFETY		10	
CLSG	CYBER SECURITY	8		
CLSG	BUDGET ESTIMATING	7		
CLSG	SCHOOL FEES			8
		15	10	16
City of London Freeman's School				
CLFS	TEACHING & NON-TEACHING STAFF RECRUITMENT			8
CLFS	CYBER SECURITY	8		
CLFS	SCHOOL FEES		8	
		8	8	8

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	Total Days	1040		
	Finalisation of 2017/18 reports	25		
	Museum of London/London Councils Audit Plan requirements	100		
	Total audit resources required prior to prioritisation	1165		
	Total audit resources available	1060		
	Excess days to be subject to audit plan prioritisation	-105		