

<b>Draft Three Year Audit Plan 2019-20 to 2021-22</b>						
<b>Dept Code</b>	<b>Department/Audit</b>	<b>Last Audit</b>	<b>Assurance Rating</b>	<b>2019-20</b>	<b>2020-21</b>	<b>2021-22</b>
<b>Corporate</b>						
CORP	CREDITORS (CENTRALISED PURCHASE ORDERING & INVOICE PAYMENT)	2014-15	GREEN	10		
CORP	BUSINESS CONTINUITY & DISASTER RECOVERY	2018-19				15
CORP	CORPORATE-WIDE CHANGE CONTROL	b/f 2018-19	NEW	12		
CORP	HEALTH & SAFETY	2015-16	AMBER		10	
CORP	PETTY CASH	2018-19	AMBER			20
CORP	PROJECT MANAGEMENT	2016-17	AMBER	25		
CORP	EMERGENCY PLANNING	2017-18	GREEN		20	
CORP	USE OF WAIVERS	2017-18	AMBER		10	
CORP	IR35 - USE OF CONSULTANTS & SPECIALISTS (OFF PAYROLL ENGAGEMENT)	2018-19				5
CORP	CORPORATE-WIDE INCOME COLLECTION & BANKING	2017-18	AMBER			20
CORP	CORPORATE-WIDE EXPENSES AND PROCUREMENT CARDS	2017-18	AMBER		20	
CORP	CONTRACT MANAGEMENT	2018/19	RED	40	40	40
CORP	GDPR COMPLIANCE	NEW		15		
CORP	CORPORATE-WIDE RISK MANAGEMENT	NEW		15		
CORP	CORPORATE-WIDE - SUPPLIERS FINANCIAL HEALTH/RESILIENCE	2018-19	WIP			10
CORP	CORPORATE -WIDE - COMMERCIAL MANAGER SCORECARD PROCEDURES	2018/19	WIP			10
CORP	CORPORATE-WIDE BUDGET ESTIMATE PREPARATION	2018/19	WIP			30
CORP	CORPORATE FOLLOW-UP EXERCISES	Annual		20	20	25

CORP	CORPORATE-WIDE CHANGE CONTROL	2018/19	WIP			20
CORP	CORPORATE-WIDE HIGHWAYS REPAIRS AND MAINTENANCE CONTRACT	NEW		20		
CORP	CORPORATE-WIDE PROGRAMMED REPAIRS AND MAINTENANCE	2018/19	RED			20
CORP	FIRE SAFETY RISK MANAGEMENT	NEW		15		
CORP	ASSET MANAGEMENT	NEW		15		
CORP	PROJECTS CHANGE CONTROL PROCESS	b/f 2018-19		10		
CORP	PROJECT ESTIMATING (GATEWAY PROCESS)	NEW		15		
CORP	SAFEGUARDING	2018-19				30
CORP	MAJOR INCIDENT PLANNING (LINKED TO VESSEL STRIKE / TERRORISM)				8	
CORP	ACCOMMODATION PLANNING			10		
CORP	WORKFORCE PLANNING			15		
CORP	LEGIONNAIRES RISK MANAGEMENT			12		
CORP	ASBESTOS RISK MANAGEMENT				12	
CORP	USE OF CONSULTANTS			20		
CORP	SUSTAINABILITY	2018/19	WIP			12
CORP	APPRENTICESHIPS			15		
CORP	ALTERNATIVE DELIVERY MODELS				15	
				<b>284</b>	<b>155</b>	<b>257</b>
Town Clerk's						
TCK	EDO OVERSEAS OFFICES	2014-15	GREEN	5		
TCK	MEMBER DECLARATIONS OF INTEREST & RELATED PARTY TRANSACTIONS	2017-18	<b>RED</b>			10
TCK	CITY BRIDGE TRUST GRANTS	2016-17	GREEN	15	15	15
TCK	CITY BRIDGE RISK MANAGEMENT					10
TCK	GUILDHALL CLUB ACCOUNTS	2018/19	GREEN	5	5	5
TCK	ECONOMIC DEVELOPMENT	2018/19	WIP			15

TCK	CITY VISITORS CENTRE - INCOME AND EXPENDITURE				10	
TCK/HR	PERFORMANCE DEVELOPMENT FRAMEWORK	2015-16	GREEN			10
TCK/HR	HUMAN RESOURCES - STARTER AND LEAVERS	2017-18	AMBER			15
TCK/HR	STAFF LEARNING & DEVELOPMENT (including Central Training)	2017-18	AMBER			15
TCK/HR	HUMAN RESOURCES - POLICIES/PROCEDURES/GUIDANCE REVIEWS	NEW		20		
TCK/HR	HUMAN RESOURCES - STAFF SICKNESS MANAGEMENT			15		
TCK/HR	HUMAN RESOURCES - CORPORATE RECRUITMENT				15	
TCK/HR	PUBLIC SECTOR EQUALITIES DUTY	NEW	10			
				<b>60</b>	<b>45</b>	<b>95</b>
Chamberlain's						
CHB/FSD	TREASURY MANAGEMENT	2013-14	GREEN	10		10
CHB/FSD	PAYROLL	2018-19	WIP		20	
CHB/FSD	PENSION FUND INVESTMENTS	NEW		12		
CHB/FSD	MAIN ACCOUNTING SYSTEM - GL / AR / AP	2018-19	AMBER			10
CHB/FSD	COUNCIL TAX	2015-16	GREEN	10		10
CHB/FSD	BUSINESS RATES	2015-16	GREEN	10		10
CHB/FSD	VAT MANAGEMENT	2016-17	AMBER		10	
CHB/FSD	CBIS AR	2016-17	GREEN		15	
CHB/FSD	PROCESS MAPS	2018-19	WIP			10
CHB/FSD	CBIS (ORACLE) PROPERTY MODULE	2018-19	WIP			12
CHB - IT	INFORMATION GOVERNANCE	NEW		20		
CHB - IT	SOFTWARE LIFECYCLE MANAGEMENT	NEW		14		
CHB - IT	MOBILE DEVICES	2018-19	WIP			10
CHB - IT	BUSINESS CONTINUITY	2018-19	WIP			15
CHB - IT	IT CONTRACT MANAGEMENT	NEW		10		
CHB - IT	IT SERVICE MANAGEMENT (ITIL)	NEW		10		
CHB - IT	FIREWALL & VPN MANAGEMENT	NEW		14		
CHB - IT	IT TELECOMS	NEW		15		



SJC	KEY CONTROL PROCESSES	NEW		7		
SJC	SCHOOL FUNDING	NEW		7		
SJC	CASS CHILDREN & FAMILY CENTRE	NEW		7		
SJC	RECRUITMENT & RETENTION	NEW			7	
				<b>21</b>	<b>7</b>	<b>0</b>
City Surveyor's						
SVY	CORPORATE PROPERTY COMMERCIAL LEASES	NEW		8		
SVY	RENTS, LETTINGS & VACANCIES	2016-17	AMBER		15	
SVY	PROJECT RESOURCING	NEW			12	
SVY	FRAUD RISK MANAGEMENT	NEW		8		
SVY	PROJECT MANAGEMENT PROCESS	NEW		10		
SVY	ACQUISITION OF NEW PROPERTIES/ DISPOSAL	NEW		10		
SVY	INVESTMENT PROPERTY	NEW				9
SVY	CORPORATE PROPERTY	NEW				9
SVY	OPERATIONAL PROPERTY	NEW				9
				<b>28</b>	<b>27</b>	<b>27</b>
OPEN SPACES						
OSD	FLEET MANAGEMENT	2013-14	GREEN		10	
OSD	INCOME CHECKS	2013-14	GREEN	20		
OSD	CHINGFORD GOLF COURSE	2016-17	AMBER		10	
OSD	FINANCIAL MANAGEMENT INCLUDING INTERNAL CONTROL PROCESSES	2017-18	<b>AMBER</b>			20
OSD	TOWER BRIDGE & MONUMENT INCOME (TICKETING OFFICE, SHOP AND COMMERCIAL EVENTS)	2013-14	<b>AMBER</b>	15		
OSD	EPPING FOREST - The View Income Controls & ESTABLISHMENT REVIEW	NEW		15		
OSD	HAMPSTEAD HEATH - ESTABLISHMENT REVIEW	NEW			15	
OSD	WEST HAM PARK - ESTABLISHMENT REVIEW	NEW		8		
OSD	CEMETERY AND CREMATORIUM - INCOME AND EXPENDITURE	2016-17	AMBER			15

OSD	KEATS HOUSE - INCOME AND EXPENDITURE	NEW		10		
OSD	MAJOR INCIDENT PLANNING	NEW			10	
OSD	PERFORMANCE MEASURES	2018-19	AMBER			7
				<b>68</b>	<b>45</b>	<b>42</b>
Built Environment						
DBE	DBE PLANNING APPLICATIONS & BUILDING CONTROL	2014-15	GREEN		15	
DBE	DBE CAR PARKS CONTRACT MANAGEMENT	2016-17	GREEN	10		
DBE	TFL LOCAL IMPLMENTATION PLAN	2017-18	GREEN			10
DBE	BUSINESS CONTINUITY PLANNING	2018-19	WIP			10
DBE	PERFORMANCE MEASURES	2018-19	WIP			5
DBE	PARKING FIXED PENALTY NOTICE OFFICE	2014/15	GREEN		10	
DBE	LOCAL IMPROVEMENT PLAN	NEW		10		
DBE	SECTION 106 CONTROLS	2018-19	RED			5
DBE	STREET CLEANSING INC. FLEET MANAGEMENT	PRE 2014-15	GREEN			10
DBE	CLEANSING AND WASTE CONTRACT	PRE 2014-15	GREEN		10	
				<b>20</b>	<b>35</b>	<b>40</b>
Markets & Consumer Protection						
M&CP	BUDGET-SETTING & FINANCIAL MONITORING	2014-15	GREEN	15		
M&CP	HEATHROW ANIMAL RECEPTION CENTRE - KEY FINANCIAL CONTROLS	2014-15	<b>GREEN</b>	12		
M&CP	CONTRACT MANAGEMENT	2014-15	AMBER		10	
M&CP	IT CONTROLS	NEW				7
M&CP	TRAFFIC / TRANSPORT MANAGEMENT	NEW			8	
M&CP	HEALTH & SAFETY	NEW		15		
M&CP	FEE RECOVERY	NEW			10	
M&CP	REPAIRS & MAINTENANCE	NEW			15	
M&CP	WHOLESALE MARKETS	NEW				8
M&CP	PORT HEALTH	NEW				8

M&CP	PUBLIC PROTECTION	NEW			8	
				42	43	31
COMPTROLLER & CITY SOLICITOR						
CCS	GDPR	2018-19	AMBER	10		
CCS	MANAGEMENT OF FREEDOM OF INFORMATION REQUESTS	NEW		10		
CCS	RECRUITMENT AND RETENTION OF STAFF	NEW				8
CCS	INCOME AND EXPENDITURE - DIRECT CHARGING	NEW		15		
				15	0	8
REMEMBRANCERS						
REM	REMEMBRANCER'S DEPARTMENT INCOME AND EXPENDITURE	2017-18	GREEN			10
REM	ASSET AND STOCK MANAGEMENT	2015-16	GREEN	10		
				10	0	10
MANSION HOUSE AND CENTRAL CRIMINAL COURT						
MH	INCOME AND EXPENDITURE	2018-19	WIP			15
				0	0	15
CITY OF LONDON POLICE						
COLP	ECONOMIC CRIME ACADEMY	2016-17	AMBER		10	
COLP	Project Management	2017-18	AMBER		10	
COLP	Police Bank Accounts (Defendants)	2017-18	RED		15	
COLP	IT TECHNOLOGY REFRESH PROJECT C/fwd 2017-18	NEW		10		
COLP	POLICE PAYROLL & OVERTIME	2018-19	WIP			15
COLP	POLICE PERFORMANCE INDICATORS	2014-15		12		
COLP	INTERPRETERS FEES	2018-19	WIP			5
COLP	POLICE PREMISES EXPENDTIURE	2018-19	WIP			15
COLP	POLICE PROCUREMENT CONTRACT MANAGEMENT	NEW		15		
	POLICE OFFICER EXPENSES - USE OF PROCUREMENT CARDS	2016-17	AMBER	20		
COLP	- PETTY CASH - EXPENSES CLAIMS					
COLP	POLICE FRONT DESKS	2018-19	WIP			10

COLP	ACTION FRAUD TEAM	NEW	10		
	SUPPLIES & SERVICES	PRE 2014-15			
COLP		15	GREEN	20	
COLP	FLEET MANAGEMENT	2016-17	RED	10	
COLP	COMPENSATION CLAIMS	2015-16	AMBER	10	
COLP	FEES & CHARGES	2014-15	GREEN	10	
COLP	IT AUDIT DAYS CONTINGENCY	TBC		30	15
COLP	INFORMANTS' FUNDS	2018-19	WIP		10
COLP	RECRUITMENT & TRAINING	2014-15	AMBER		15
COLP	PROJECT MANAGEMENT	2016-17	AMBER		20
				<b>97</b>	<b>85</b>
					<b>105</b>
Police Authority					
COLPA	POLICE FUNDING	NEW		20	
COLPA	POLICE AUTHORITY CONTINGENCY	NEW		20	40
				<b>40</b>	<b>40</b>
					<b>40</b>
Barbican Centre					
BBC	TICKETING SYSTEM	NEW		12	
BBC	BARS	2017-18		7	
BBC	FACILITIES MANAGEMENT (Barbican and Guildhall School)	NEW		12	
BBC	REPAIRS & MAINTENANCE (Barbican and Guildhall School)	NEW		12	
BBC	PROFESSIONAL DEVELOPMENT & PROGRESSION (ARTISTIC OFFERING / SUPPORTING ARTISTS)	NEW		8	
BBC	DATA SECURITY	NEW		15	
BBC	SPONSORSHIP & DONATIONS	NEW		10	
BBC	SAFEGUARDING	NEW		12	
BBC	HEALTH & SAFETY (Barbican and Guildhall School)	NEW		15	
BBC	SECURITY	NEW		15	
				<b>64</b>	<b>54</b>
					<b>0</b>
The Guildhall School					
GSMD	BUDGET-SETTING & FINANCIAL MANAGEMENT	NEW		15	



GSMD	FACILITIES MANAGEMENT (Barbican and Guildhall School)	NEW	12		
GSMD	REPAIRS & MAINTENANCE (Barbican and Guildhall School)	NEW	12		
GSMD	HEALTH & SAFETY (Barbican and Guildhall School)	NEW		15	
GSMD	DATA FUTURES	NEW	12		
GSMD	FRAUD RISK MANAGEMENT	NEW	12		
GSMD	STUDENT PETTY CASH	2013-14	5		
GSMD	Diversifying Funding / Fundraising			12	
GSMD	Internationalisation			12	
GSMD	Under 18s Offer			13	
GSMD	Guildhall School and Barbican Alliance				13
GSMD	GDPR				12
GSMD	IT - Digital & Technology				14
GSMD	Capital Expenditure & Procurement				15
			<b>68</b>	<b>52</b>	<b>54</b>
City of London School for Boys					
CLS	STAFF TRAINING	NEW		7	
CLS	STAFF RECRUITMENT & RETENTION	NEW		7	
CLS	SCHOOL FEES	NEW	7		
CLS	KEY CONTROLS	2015-16			8
			<b>7</b>	<b>14</b>	<b>0</b>
City of London School for Girls					
CLSG	HEALTH AND SAFETY	NEW	10		
CLSG	KEY CONTROLS	2015-16			8
CLSG	SCHOOL EXPANSION PROJECT	NEW	7		
CLSG	ASSET MANAGEMENT	2018-19	3		
CLSG	SCHOOL FEES	NEW		7	
CLSG	STAFF TRAINING	NEW		7	
CLSG	STAFF RECRUITMENT & RETENTION	NEW		7	
			<b>20</b>	<b>21</b>	<b>8</b>

City of London Freeman's School						
CLFS	FINANCIAL MANAGEMENT	NEW				8
CLFS	ASSET MANAGEMENT	NEW				7
CLFS	STAFF RECRUITMENT & RETENTION	NEW		7		
CLFS	STAFF TRAINING	NEW	8			
CLFS	KEY CONTROLS	2015-16	8			
			16	7		15
			TOTAL	1079	787	951