

## Internal Audit Delivery 2018-19 (as at 17-06-19)

## Progress against the plan – Summary

No of Reviews	Planning/ToR issued	Fieldwork	Report under Review	Draft Report	Final Report (Audit Complete)
60	0	5	2	25	28
<b>100%</b>	<b>0%</b>	<b>8%</b>	<b>3%</b>	<b>42%</b>	<b>47%</b>

Audit status definitions: 'Planning/ToR issued' – audit being planned or ToR issued; 'Fieldwork' – audit terms of reference finalised and fieldwork underway/complete, 'Draft Report' – draft report issued and management response awaited, and 'Final Report' – management response received to the draft report and audit completed.

## Progress against the plan – Detail

No	Department	Main Audit Review	Status	Assurance	Recommendations Made				Recommendations Agreed			
					R	A	G	Total	R	A	G	Total
1	Corporate Wide	IR35 – Use of Consultants & Specialists	Draft Report									
2	Corporate Wide	GDPR Readiness	Final Report	Red	2	0	5	7	2	0	5	7
3	Corporate Wide	Suppliers Financial Health/Resilience	Final Report	Amber	0	4	2	6	0	4	2	6
4	Corporate Wide	Commercial Manager Scorecard Procedures	Final Report	Amber	0	6	4	10	0	6	4	10
5	Corporate Wide	Budgetary Control	Draft Report									
6	Corporate Wide	Follow-up Exercise	Complete	N/a	N/a	N/a	N/a	N/a	N/a	N/a	N/a	N/a
	Corporate Wide	Change Control (Mazars)	Defer to 2019/20									
	Corporate Wide	Highways Repairs and Maintenance	Defer to 2019/20									
7	Corporate Wide	Programmed Repairs and Maintenance	Final Report	Amber	1	2	1	4	1	2	1	4

No	Department	Main Audit Review	Status	Assurance	Recommendations Made				Recommendations Agreed			
					R	A	G	Total	R	A	G	Total
8	Corporate Wide	Operational Property Rent & Service Charges	Draft Report									
	Corporate Wide	Project Change Control	Defer to 2019/20									
9	Corporate Wide	Safeguarding Governance	Final Report	N/A	N/a	N/a	N/a	N/a	N/a	N/a	N/a	N/a
10	Corporate Wide	Safer Recruitment	Draft Report									
11	Corporate Wide	Investment Properties Commercial Leases	Draft Report									
	Town Clerks	City Bridge Trust – Grant Application Governance	Defer to 2019/20									
	Town Clerks	Management of Freedom of Information Requests	Defer to 2019/20									
12	Town Clerks	Guildhall Club Accounts	Final Report	Green	0	0	0	0	0	0	0	0
13	Town Clerks	LMA – Collection Management	Final Report	Amber	0	4	1	5	0	4	1	5
14	Town Clerks	Sustainability	Fieldwork									
15	Town Clerks	EDO – Programmes and Projects	Final Report	Amber	0	4	1	5	0	4	1	5
16	Chamberlains	Payroll	Final Report	Amber	0	1	3	4	0	1	3	4
17	Chamberlains	Main Accounting System GP/AR/AP	Draft Report									
	Chamberlains	IT Digital Content Management (Mazars)	Defer to 2019/20									
18	Chamberlains	IT Project Management – Governance and Process	Draft Report									
19	Chamberlains	IT Mobile Devices	Draft Report									
20	Chamberlains	IT Business Continuity & Disaster Recovery	Draft Report									
21	Chamberlains	IT Asset Management	Draft Report									
22	Chamberlains	IT Change Management	Final Report	Amber	0	1	1	2	0	1	1	2
	Chamberlains	Pension Fund Investment Management	Defer to 2019/20									
23	Chamberlains	Pensions Administration – City	Final Report	Green	0	1	0	1	0	1	0	1
24	Chamberlains	Pensions Administration – CoLP	Final Report	Green	0	1	0	1	0	1	0	1

No	Department	Main Audit Review	Status	Assurance	Recommendations Made				Recommendations Agreed			
					R	A	G	Total	R	A	G	Total
	Chamberlains	Process Maps	Defer to 2019/20									
	Chamberlains	CBIS (ORACLE) Property Module	Defer									
25	DCCS	Mental Health Provision	Final Report	Amber	0	3	0	3	0	3	0	3
26	DCCS	Asylum Seekers	Draft Report									
27	DCCS	Early Help Strategy	Draft Report									
28	City Surveyors	Facilities Management SBR Review	Draft Report									
29	Open Spaces	Performance Measures	Final Report	Amber	0	2	2	4	0	2	2	4
30	Built Environment	DBE Project Team	Draft Report									
31	Built Environment	Business Continuity & Disaster Recovery	Draft Report									
32	Markets	Licensing – Electronic Database	Final report	Amber	0	2	2	4	0	2	2	4
	City Solicitors	Income and Expenditure	Defer to 2019/20									
	Remembrancers	Staff Training	Defer to 2019/20									
33	Mansion House	Income and Expenditure	Final Report	Red	3	8	2	13	3	8	2	13
	City Police	Police Overtime	Defer to 2019/20									
	City Police	Police Performance Measures	Deleted									
34	City Police	Interpreters Fees	Draft Report									
	City Police	Police Premises Expenditure	Defer to 2019/20									
35	City Police	Police Procurement Contract Management	Draft Report									
	City Police	Financial Controls – Procurement Cards – Petty Cash – Expense Claims	Defer to 2019/20									
36	City Police	Front Desks	Draft Report									
37	Barbican Centre	Strategic Planning, Monitoring & Income Generation	Final Report	Amber	0	2	0	2	0	2	0	2

No	Department	Main Audit Review	Status	Assurance	Recommendations Made				Recommendations Agreed			
					R	A	G	Total	R	A	G	Total
38	Barbican Centre	IT Projects (CRM, Agile Working, Ticketing System)	Draft Report under Review									
39a	Barbican Centre	Artistic Event Contracts	Fieldwork									
39b	Barbican Centre	Artistic Events: Decision-Making & Evaluation	Fieldwork									
39c	Barbican Centre	Commercial Events: Contracting, Decision-Making & Evaluation	Fieldwork									
40	Barbican Centre	Financial Monitoring & Income Generation	Draft Report									
41	Barbican Centre	Fraud Risk Management	Draft Report									
42	Guildhall School	Student Support (Student Affairs)	Final Report	Amber	0	10	0	10	0	10	0	10
43	Guildhall School	Strategic Planning	Final Report	Amber	0	2	2	4	0	2	2	4
	<b>Guildhall School</b>	<b>Budget Setting and Financial Management</b>	<b>Defer to 2019/20</b>									
44	Guildhall School	Accommodation Strategy	Fieldwork									
45	Guildhall School	Income Generation	Draft Report under Review									
46	Guildhall School	Academic Programme Development	Fieldwork									
47	CLS	Health and Safety	Draft Report									
48	CLS	Cyber Security	Final Report	Red	2	11	0	13	2	11	0	13
49	CLSG	Cyber Security	Draft Report									
50	CLSG	Budget Setting and Monitoring	Draft Report									
51	CLSG	Internal Controls	Draft Report									
52	CLFS	Cyber Security	Final Report	Red	3	11	0	14	3	11	0	14
53	DCCS	Adult Education Skills Service Contract Arrangements	Final Report	Red	4	5	4	13	4	5	4	13
54	Built Environment	CIL & Section 106 Funding	Final Report	Red	1	7	5	13	1	7	5	13
55	City Police	Key Financial Controls	Final Report	Red	3	10	0	13	3	10	0	13
56	City Police	Key Financial Controls – additional testing	Final Report	Amber	0	5	0	5	0	5	0	5

No	Department	Main Audit Review	Status	Assurance	Recommendations Made				Recommendations Agreed			
					R	A	G	Total	R	A	G	Total
57	Corporate Wide	City Police Accommodation Programme	Draft report									
58	Mansion House	Catering and Hospitality Contract	Final Report	Amber	0	5	0	5	0	5	0	5
59	Open Spaces	Financial Management	Final Report	Amber	0	3	5	8	0	3	5	8
60	City Police	Police Accommodation 2	Fieldwork									
<b>TOTAL</b>					<b>16</b>	<b>93</b>	<b>34</b>	<b>143</b>	<b>16</b>	<b>93</b>	<b>34</b>	<b>143</b>