## Internal Audit Work 2019-20 (as at 17-06-19)

## **Progress against the plan – Summary**

No of Reviews	Not started	Planning/ToR issued	Fieldwork	Report under Review	Draft Report	Final Report (Audit Complete)
70	53	11	4	1	1	0
100%	76%	16%	6%	1%	1%	0%

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

					Recommendations Made				Recommendations Agreed			
No	Department	Main Audit Review	Status	Assurance	R	Α	G	Total	R	Α	G	Total
1	CORP	CORPORATE-WIDE CHANGE CONTROL										
2	CORP	PROJECT MANAGEMENT										
3	CORP	GDPR COMPLIANCE	ToR									
4	CORP	CORPORATE-WIDE RISK MANAGEMENT										
5	CORP	CORPORATE FOLLOW-UP EXERCISES										
6	CORP	CORPORATE-WIDE HIGHWAYS REPAIRS AND										
		MAINTENANCE CONTRACT										
7	CORP	FIRE SAFETY RISK MANAGEMENT										
8	CORP	ASSET MANAGEMENT										
9	CORP	PROJECTS CHANGE CONTROL PROCESS										

					Recommendations Made				Recommendations Agreed				
No	Department	Main Audit Review	Status	Assurance	R	Α	G	Total	R	Α	G	Total	
10	CORP	PROJECT ESTIMATING (GATEWAY PROCESS)											
11	CORP	WORKFORCE PLANNING											
12	CORP	USE OF CONSULTANTS											
13	CORP	APPRENTICESHIPS											
14	TCK	CITY BRIDGE TRUST GRANTS											
15	TCK	GUILDHALL CLUB ACCOUNTS											
16	TCK/HR	HUMAN RESOURCES -											
		POLICIES/PROCEDURES/GUIDANCE REVIEWS											
17	TCK/HR	HUMAN RESOURCES - STAFF SICKNESS											
		MANAGEMENT											
18	TCK/HR	PUBLIC SECTOR EQUALITIES DUTY	Report under review										
19	CHB/FSD	TREASURY MANAGEMENT											
20	CHB/FSD	PENSION FUND INVESTMENTS											
21	CHB/FSD	COUNCIL TAX											
22	CHB/FSD	BUSINESS RATES											
23	СНВ	PROCESS MAPS	Planning										
24	СНВ	CBIS (ORACLE) PROPERTY MODULE											
25	CHB/IT	INFORMATION GOVERNANCE											
26	CHB/IT	SOFTWARE LIFECYCLE MANAGEMENT	Planning										
27	CHB/IT	IT SHAREPOINT	Planning										
28	CHB/IT	IT SERVICE MANAGEMENT (ITIL)	Planning										
29	CHB/IT	FIREWALL & VPN MANAGEMENT	Planning										
30	CHB/IT	IT TELECOMS											
31	DCCS	BUDGET-SETTING & FINANCIAL MANAGEMENT	Planning										
32	DCCS	HOUSING SAFETY	Planning										
33	DCCS	DIRECT PAYMENTS											
34	DCCS	CHILDREN LOOKED AFTER											

					Recommendations Made			Recommendations Agreed				
No	Department	Main Audit Review	Status Assu	Assurance	R	Α	G	Total	R	Α	G	Total
35	DCCS	ACADEMIES										
36	SJC	KEY CONTROL PROCESSES										
37	SJC	SCHOOL FUNDING										
38	SJC	CASS CHILDREN & FAMILY CENTRE										
39	SVY	FRAUD RISK MANAGEMENT										
40	SVY	ACQUISITION OF NEW PROPERTIES/ DISPOSAL	Fieldwork									
41	OSD	INCOME CHECKS										
42	OSD	KEATS HOUSE - INCOME AND EXPENDITURE										
43	DBE	DBE CAR PARKS CONTRACT MANAGEMENT										
44	MKTS	BUDGET-SETTING & FINANCIAL MONITORING										
45	MKTS	HEATHROW ANIMAL RECEPTION CENTRE - KEY FINANCIAL										
46	MKTS	HEALTH & SAFETY	Planning									
47	CCS	MANAGEMENT OF FREEDOM OF INFORMATION REQUESTS										
48	ccs	INCOME AND EXPENDITURE - DIRECT CHARGING										
49	COLP	POLICE PREMISES EXPENDITURE	Planning									
50	COLP	PAYROLL AND OVERTIME	Fieldwork									
51	COLP	TRANSFORM CHANGE PROGRAMME PHASE 1	Fieldwork									
52	COLP	TRANSFORM CHANGE PROGRAMME PHASE 2										
53	COLP	WORKFORCE PLANNING										
54	COLP	FINANCIAL FORECAST										
55	POLA	POLICE FUNDING										
56	POLA	POLICE AUTHORITY CONTINGENCY										
57	BBC/GSMD	FACILITIES MANAGEMENT AND MAINTENANCE										
		(Barbican and Guildhall School)										
58	BBC	DATA SECURITY										

					R	Recommendations				Recommendations				
						Agreed								
No	Department	Main Audit Review	Status	Assurance	R	Α	G	Total	R	Α	G	Total		
59	BBC	SPONSORSHIP & DONATIONS												
60	BBC	SECURITY	Planning											
61	GSMD	BUDGET-SETTING & FINANCIAL MANAGEMENT	Draft report											
62	GSMD	INTERNATIONALISM												
63	GSMD	FRAUD RISK MANAGEMENT												
64	GSMD	STUDENT PETTY CASH												
65	CLS	SCHOOL FEES												
66	CLSG	HEALTH AND SAFETY	Fieldwork											
67	CLSG	SCHOOL EXPANSION PROJECT												
68	CLSG	ASSET MANAGEMENT												
69	CLFS	STAFF TRAINING												
70	CLFS	KEY CONTROLS												