

Department	Auditable Area	Potential Scope	Audit Days	Priority	Corporate Plan Ref	Corporate Risk Ref
Barbican Centre	Health and Safety	consider delivering in less time/in partnership with Corporate Health and Safety	15	1	Outcome 1	CR09 BBC Ex Halls 003 BBC Buildings 006 BBC Buildings 007
Community and Children's Services	Safeguarding (schools)	Applies across all City Schools, the Academies will be invited and encouraged to participate.	25	1	Outcome 1	CR17
Community and Children's Services	Lone Working	Review of controls and arrangements in place to ensure safety and wellbeing of lone workers.	7	1	Outcome 1	
Town Clerks	Community Safety and Resilience	Entity review of the Community Safety and Resilience function, looking at key controls and local governance arrangements	12	1	Outcome 1	
Corporate Wide	Infrastructure/Physical Security	Assurance as to delivery of the Security programme to make the City safer, building resilience to natural and man made threats.	15	1	Outcome 1 and 12	CR24 CR01
Corporate Wide	Climate Action/Air Quality	Assurance on the effectiveness of Climate Action; the impact of controls/management action.	15	1	Outcome 11	CR30 CR21
Community and Children's Services	Joint Health and Wellbeing	explore governance arrangements, liaise with partners to explore what assurance activity exists, possible joint piece of work with partners, depending on arrangements, this may not be required	12	1	Outcome 2	
Community and Children's Services	Housing Tenancies	Tenancy management, allocations and tenancy fraud risk	10	1	Outcome 4	
Built Environment	Gigabit City	Smart City, wireless connectivity etc	12	1	Outcome 9	
Open Spaces Department	Wanstead Flats - Reservoir Management (risk mitigation)	Review of Mitigations to OSD 007 Maintaining the City's water bodies summary risk	3	1	Outcomes 1 and 12	OSD 007
Community and Children's Services	Housing Fire Safety	Fire risk management, assurance on mitigation actions.	12	1	Outcomes 1 and 12	
Community and Children's Services	Rough Sleepers	Review of management action to support rough sleepers, including relevant partnership arrangements	7	1	Outcomes 1 and 2	
Community and Children's Services	Unregulated Placements - Children	houses of multiple occupancy, refer to OFSTED, commissioning, ensuring adequacy, VFM	12	1	Outcomes 1, 2, 3 and 4	
Corporate HR	Gender/Equalities Pay Gap Reporting	Assurance as to the validity, reliability of data reported and the adequacy of the process for compiling information.	7	1	Outcomes 3 and 8	
Corporate Wide	Major Projects Governance Arrangements	Review of the adequacy of governance arrangements within the City Corporation for delivery and oversight of the Major Projects	15	1	Outcomes 3, 4 and 7	
Town Clerks	Innovation and Growth - Partnerships and Engagement	Review of mitigating actions to CR02, the programme of work of Innovation and Growth and outcomes delivered from this activity, including partnership arrangements	15	1	Outcomes 5, 6 and 7	CR02
Markets and Consumer Protection	Brexit Implications	Longer term implications of Brexit on the operations of MCP, time to be held in the audit plan and the review to be scoped once we have certainty on Brexit and likely implications	15	1	Outcomes 6 and 7	CR26

Department	Auditable Area	Potential Scope	Audit Days	Priority	Corporate Plan Ref	Corporate Risk Ref
Chamberlain's IT	Business Continuity and Disaster Recovery	Assurance as to the adequacy of IT Business Continuity and Disaster Recovery arrangements including the management controls in place to test, review and report on plans.	10	1		CR01
Town Clerks	Corporate wide - Emergency Planning	Assurance on the management actions in place to ensure continued relevance of emergency planning, including lessons learned from exercises and incidents	20	1		CR01
Chamberlain's IT	Cyber Security	Review of management actions to ensure robust cyber security controls are in place, including work of 3rd party assurance providers and internal monitoring and governance and oversight for this.	20	1		CR16
City of London Police	Grant Funding	Conditions of grant funding are being met, measuring delivery against these, preparedness for renewal of key grants	12	1		CR23
City of London Police	Key Financial Controls	undertake key control reviews on a rolling basis, total allocation of time to be split to deliver smaller, more focussed reviews	20	1		CR23
City of London Police	Transform	Capital funding and delivery of capital projects, achievement/tracking of savings (if not covered within 2019/20 audit work)	15	1		CR23
Police Authority	Value for Money Scrutiny and Oversight	Assurance as to the arrangements in place via the Police Authority Treasurer to provide effective scrutiny and oversight over Police financial management	35	1		CR23
Chamberlain's IT	Information Management	Reference to the Information Management project, looking at controls and policies in place for the effective management of information to ensure that the organisation derives value from this.	20	1		CR29 CR16
Chamberlain's	Fundamental Review	Validation of high value and high risk proposals, particularly income/commercial proposals where pump-priming investment has been granted. Lighter touch assurance via budget monitoring that lower level proposals are being delivered and efficiency savings met.	25	1		CR31
Chamberlain's	Accounts Receivable and Debt Management	Central control aspects, timeliness and completeness of recovery action, write offs	15	1		
Chamberlain's	Development of a Corporate Finance Strategy - Debt Financing	Controls and governance arrangements in respect of borrowing activity.	12	1		
Chamberlain's	Corporate Contract Management	Live management and oversight of Corporate Contracts; Governance, performance management etc	15	1		
Chamberlain's	Payroll	Key controls within payroll (starters, leavers, permanent and temporary adjustments to pay)	8	1		
City of London Police	Procurement Cards	Use of P-cards and administration	10	1		

Department	Auditable Area	Potential Scope	Audit Days	Priority	Corporate Plan Ref	Corporate Risk Ref
City of London Police	Digital Policing	Alignment of the Force Roadmap with the national IT strategy, inclusion of this within Transform and resourcing considerations	10	1		
City Surveyor's	Rents, Lettings and Vacancies	Investment Property management; timeliness, completeness and accuracy of billing, management of leases and vacant properties	15	1		
City Surveyor's	Project Resourcing	Review of project management resourcing and governance arrangements within the City Surveyors Department, focus on Major Projects. Links to Governance Arrangements for Major Projects	12	1		
Corporate Wide	Performance Management/Delivery of Business Plan Objectives (time allocation TBC)	Theme to apply across all departments, data validation, assurance on completeness and depth of business planning - coverage across the organisation on a rolling basis over 3 years	15	1		
Corporate Wide	Safer City Partnership	Looking at collaboration and delivery of strategy and validity of outcomes reported.	15	1		
Town Clerks	City Bridge Trust - Grants Administration and Compliance with Strategy	Key controls within the grant administration process; awarding grants, monitoring compliance with conditions of grants, delivery of outcomes in alignment with strategy, overall financial management and fraud risk management	15	1		
Town Clerks	Corporate Recruitment	Related to Recruitment Moratorium Review - may not be necessary as well, but would cover compliance with corporate recruitment process, operation of key controls within this.	15	2	Outcome 8	
Community and Children's Services	Social Care Contract Monitoring	Review of contract monitoring arrangements; adequacy to ensure the adequacy of care provision, including fraud risk	7	2	Outcomes 1 and 2	
Barbican Centre	Ticketing System	Review of new ticketing system and controls in place	12	2		
Barbican Centre	Bars	Income collection and banking, stock control and fraud risk management	7	2		
Barbican Centre	Professional Development & Progression (Artistic Offering/Supporting Artists)	TBC	8	2		
Built Environment	Waste Collection Income and Expenditure	Review of control framework for income and expenditure within the waste collection service; completeness and accuracy of charging, timely collection of income, reconciliation, monitoring, compliance with Financial Regulations	8	2		
Built Environment	Planning Income and Expenditure	Review of control framework for income and expenditure within the Planning service; completeness and accuracy of charging, timely collection of income, reconciliation, monitoring, compliance with Financial Regulations	12	2		

Department	Auditable Area	Potential Scope	Audit Days	Priority	Corporate Plan Ref	Corporate Risk Ref
Built Environment	Building Control Income and Expenditure	Review of control framework for income and expenditure within the Building Control service; completeness and accuracy of charging, timely collection of income, reconciliation, monitoring, compliance with Financial Regulations	10	2		
Chamberlain's	Procurement Category Management - Governance and Effectiveness	Assurance on the operational effectiveness of procurement governance, outcome focussed	7	2		
Chamberlain's	Chamberlain's Court Income	Includes retail, collection and banking of income	8	2		
Chamberlain's	Supplier Resilience	controls in place to measure and mitigate resilience risks in the supply chain	12	2		
Chamberlain's IT	Data Storage	Looking at both cloud and on premise storage, governance arrangements in place to manage this and overall strategy - link to Information Management	15	2		
Chamberlain's IT	Legacy Systems	Review of management of legacy systems and plans for migration/upgrade/replacement/decommissioning	10	2		
City of London Freeman's School	Financial Sustainability	Review of Medium Financial Strategy, longer term financial sustainability and self sufficiency	8	2		
City of London Police	Management of Service Contracts	Controls in place to ensure effective management and oversight of bought in services	12	2		
City of London Police	Defendants Funds/Ceased Goods	Series of spotchecks across sites, time allocation to be spread	7	2		
City of London School	Financial Sustainability	Review of Medium Financial Strategy, longer term financial sustainability and self sufficiency	7	2		
City of London School for Girls	Financial Sustainability	Review of Medium Financial Strategy, longer term financial sustainability and self sufficiency	7	2		
City Surveyor's	Operational Property Management	role as the corporate landlord, effective management of operational property, including repairs and maintenance	15	2		
Community and Children's Services	Housing Rents	Completeness and accuracy of billing, collection of rent, debt management	10	2		
Community and Children's Services	Barbican Estate Rents	Completeness and accuracy of billing, collection of rent, debt management	10	2		
Community and Children's Services	Libraries - Entity Review	Entity review of Libraries, looking at key controls and local governance arrangements	10	2		
Comptroller and City Solicitor	Direct Charging for Legal Services	Review of new business model, its administration, operational effectiveness and the extent to which this has aided demand management.	10	2		
Corporate Wide	Recruitment Moratorium	Managing headcount growth, recruitment control in response, to current moratorium, very narrow focus, identify and challenge business case process	5	2		
Corporate Wide	P-Cards	a rolling programme of activity (excluding the Police) will target 5 departments each year	25	2		
Guildhall School of Music and Drama	Governance	Review of governance arrangements, inline with industry and regulator expectations and requirements	12	2		

Department	Auditable Area	Potential Scope	Audit Days	Priority	Corporate Plan Ref	Corporate Risk Ref
Guildhall School of Music and Drama	Diversifying Funding / Fundraising	Strategy to diversify funding and increase fundraising to mitigate the risk of dependency on fewer, high value funding streams	12	2		
Guildhall School of Music and Drama	Data Futures	(tbc) Readiness for and compliance with HESA's Data Futures transformation programme	12	2		
Guildhall School of Music and Drama	Under 18s Offer	Operation of the under 18 education programme, alignment to strategy, administration and general control environment.	12	2		
Guildhall School of Music and Drama	Data Quality	Independent verification/validation of data submissions	10	2		
Mansion House and Central Criminal Court	Roger Gifford Trust Fund (Conservation of Art Collection)	Delivery of the aims and objectives of the Trust Fund	5	2		
Mansion House and Central Criminal Court	Premises Related Expenditure	Key Controls in relation to premises related expenditure, reference to Operational Property Management review	10	2		
Markets and Consumer Protection	Contract Management	Focus on Markets, in particular: managing the transition to bring contracts into alignment as part of the Market's Consolidation Project	7	2		
Markets and Consumer Protection	Fee Recovery - All sites	Including a review of the extent to which business units are recovering costs	10	2		
Markets and Consumer Protection	Safe Disposal of ceased/condemned goods/food	Across Markets and Port Health, looking at consistency of controls (inc. animal by products)	10	2		
Markets and Consumer Protection	Markets - Medium Term Financial Strategy	Preparedness for consolidation of Markets, streamlining and harmonising accounting and financial management.	10	2		
Open Spaces Department	Entity Review	Sites to be covered on a rolling basis, priorities to be determined with Director of Open Spaces, looking at key controls and operations.	15	2		
Open Spaces Department	Department Wide - Wayleaves	Administration of Wayleaves, including billing and collection of income.	12	2		
Open Spaces Department	Department Wide - Lodges	Management/operation of the lodges, including rental income	12	2		
Open Spaces Department	Department Wide - Commercial Leases	Management and operation of commercial leases, including the extent to which these are fit for purpose	8	2		
Open Spaces Department	Tower Bridge - Exhibition Income	Ticket income, collection, banking, reconciliation and related income controls, including fraud risk	12	2		
Remembrancers	Supplies and Services	Expenditure controls, contract/supplier management	8	2		
Town Clerks	Social Media	Use of Social media to promote City of London Corporation and support effective service delivery, including overarching strategy/coordination of this	8	2		
Town Clerks	Guildhall Art Gallery - Income and Expenditure	Income and expenditure controls, includes operation of shop (e.g. stock control)	12	2		
Town Clerks	Guildhall Club Accounts	Annual audit of accounts	5	n/a	n/a	n/a

Total Audit Days

987