

Internal Audit Plan Delivery 2022-23

Project	Current Stage	Assurance Rating	Recommendations Raised			
			Total Red	Total Amber	Total Green	Total
Audits & Spot Checks						
<u>Cyber Security</u> An examination of key controls related to cyber security and designed to minimise the risk of unauthorised access impacting: information confidentiality, service delivery, and network integrity and availability; for example: <ul style="list-style-type: none"> • Cyber security governance • Culture, awareness, and user education • IT systems configuration • Network security • Identity and access management • Malware prevention • Incident management • Data loss prevention (e.g.in respect of mobile/home working). 	Fieldwork	-	-	-	-	-
<u>Organisational Culture & Staff Experience</u> The timing and detailed scope of this work will give regard to the timetable for completion of management actions resulting from the HR review into staff experiences of racism. It is anticipated that the audit review will focus on implementation of the HR recommendations, outcomes from action taken by management and the extent to which organisational culture and staff experience is improving as a result.	Not Initiated	-	-	-	-	-

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			Total Red	Total Amber	Total Green	Total
<u>Ticketing: Refunds – spot check</u> To focus on the impact of the pandemic in relation to tickets for events; the processes for dealing with all categories of transaction, looking at completeness and accuracy.	Complete	Substantial	0	0	0	0
TOTAL RECOMMENDATIONS RAISED			0	0	0	0

Project	Assurance Rating	Recommendations Outstanding			
		Total Red	Total Amber	Total Green	Total
Completed Audit Follow-Ups					
<u>Retail: Online Shop & Branded Merchandise: 2021-22 Audit – first follow-up (May 2022)</u> <ul style="list-style-type: none"> Audit finalised in January 2022: moderate assurance First follow-up in May 2022: moderate assurance with 3 out of 7 recommendations partially implemented, 1 not implemented and 1 where the risk has been accepted. A second follow-up exercise is due to be completed by 30 th June 2022, in line with revised target dates for demonstration of implementation.	Moderate	0	4	1	5
<u>Facilities Management & Maintenance: 2020-21 Audit – second follow-up (June 2022)</u> <ul style="list-style-type: none"> Audit finalised in March 2021: moderate assurance First follow-up in December 2021: moderate assurance with 10 out of 14 recommendations not implemented 	Moderate	0	9	0	9

Project	Assurance Rating	Recommendations Outstanding			
		Total Red	Total Amber	Total Green	Total
<ul style="list-style-type: none"> <i>Second follow-up in June 2022: moderate assurance as no further implementation progress demonstrated</i> <p>A third follow-up exercise will be carried out in October 2022, in line with the most recent revised target implementation dates.</p>					
Planned Audit Follow-Ups					
<u>Fire Safety: 2021-22 Audit – first follow-up (August 2022)</u>	-	-	-	-	-
<u>Facilities Management & Maintenance: 2020-21 Audit – third follow-up (October 2022)</u>	-	-	-	-	-
RECOMMENDATIONS OUTSTANDING AT LATEST FOLLOW-UP		0	13	1	14