

Detailed Internal Audit Annual Work Plan for 2016-17

Corporate and Strategic Reviews (250 days)

Title of Review	Coverage
Emergency Planning	Corporate Risk 1
Project Management	Compliance review of major projects with agreed methodology.
Data Management	Will cover critical systems to ensure there are clearly defined data owners and data management procedures are adhered to. This is also cover compliance with Data Protection Act.
Cyber Security	A number of reviews will be undertaken in a phased approach covering the 10 'cyber security essentials'.
Risk Management	Compliance review of a sample of departments with current framework, policies and procedures.
Safeguarding	Corporate Risk 17
Follow Up	A six monthly review, prior to the Audit and Risk Committee and other relevant sub committees, will be performed to substantiate the progress management has made against implementing Red and Amber rated recommendations. For Green rated recommendations an updated from management will be obtained only.
Contingency	Recommended best practice that contingency days are available for additional reviews and ad hoc requests.

Departmental Reviews (445 days)

Department	Title of Review
Town Clerks	Electoral Registration and Elections Management
	Bridge House Trust Grants
	Pay and Reward
	Guildhall Club Accounts
	EDO – Supporting Businesses
Chamberlain	Budget Management
	Payroll
	Accounts Receivable
	VAT
<i>Information Systems (in house)</i>	Procurement Cards
	IT Contract Management
	Oracle Property Manager Module Application Review
	City Procurement Application Review
	Asset Review
Open Spaces	Repairs and Maintenance
Markets and Consumer Protection	Spitalfields Market Forklift Truck Safety and Permit Management
	Key Performance Monitoring
Children & Community Services	Housing Asset Management Strategy
	Service Charges (Housing and BE)
	Contract Management and Commissioning
	Rough Sleepers
	Education Strategy
	Sir John Cass School – Schools Financial Value Standard

City Surveyors	Geared Ground Rents
	Asset Disposals and Capital Receipts
Built Environment	Car Parks
	Planning Control
	Building Control
	Change Control (Cleansing and Waste Disposal)
Culture, Heritage and Libraries	City Information Centre
	Library Book and Audio Stock
Mansion House	Security Contract Management
	Annual Plate Review

CoL Institutional Reviews (220 days)

Department	Title of Review
City of London Police	Standard Operating Procedures
	Budget Monitoring
	International Fraud Academy
	Community Consultation
	Grant Audits
	Governance Framework
	Income Streams and Generation
City of London Freemans School	TBC
City of London School	TBC
City of London School for Girls	TBC
Guildhall School of Music and Drama	Strategic Planning
	Income Generation
	Succession Planning
	Satellite Site Operations
Barbican Centre	Major Incident, Security and Safety
	Catering
	Customer Experience
	Car Parking System

Non CoL Institutional Reviews (110 days)

Institution	Title of Review
Museum of London	Governance and Risk Management
	Financial Management (Budget Setting and Financial Planning)
	Key Financial Controls (Declarations of Interest/Inventories of Equipment/Travel and Subsistence)
	Stock Checks
	ICT Cybercrime Prevention Strategy
	Follow Ups
London Councils (60 days – 10 c/f from 2015-16)	Key Financial Controls (inc. budget management, gifts & hospitality and income)
	Grants
	Procurement of Goods and Services
	ICT Information Governance
	Recruitment and Payroll Adjustments
	Governance Arrangements
	Follow Ups

Three year strategy

Department	Audit Title	2016-17	2017-18	2018-19
Corporate	Emergency Planning	✓		
Corporate	Project Management	✓		
Corporate	Data Management	✓		
Corporate	Cyber Security	✓	✓	✓
Corporate	Risk Management	✓		✓
Corporate	Safeguarding	✓		
Corporate	Follow Up	✓	✓	✓
Corporate	Contingency	✓	✓	✓
Town Clerk	EDO – Supporting Businesses	✓		
Town Clerk	Electoral Registration and Elections Management	✓		
Town Clerk	Bridge House Trust Grants	✓		
Town Clerk	Pay and Reward	✓		
Town Clerk	Guildhall Club Accounts	✓	✓	✓
Town Clerk	Freedom of Information		✓	
Town Clerk	Social Investment Fund		✓	
Town Clerk	Members and Officer's Declarations of Interest		✓	
Town Clerk	Supporting the City			✓
Town Clerk	Occupational Health			✓
Town Clerk	Policy Initiative Fund and EDO Grant Payments			✓
Town Clerk	Court Security Arrangements			✓
Chamberlains	Budget Management (to include police)	✓		
Chamberlains	Payroll	✓		✓
Chamberlains	Accounts Receivable	✓		
Chamberlains	VAT	✓		
Chamberlains	Information Security		✓	
Chamberlains	Financial Planning		✓	
Chamberlains	City Procurement		✓	
Chamberlains	Council Tax and NNDR		✓	
Chamberlains	Income Collection and Banking		✓	
Chamberlains	Treasury Management and Investments		✓	
Chamberlains	Expenditure – Expenses, Procurement Cards and Petty Cash	✓	✓	✓
Chamberlains	Accounts Payable			✓
Chamberlains	General Ledger (Main Accounting)			✓
Chamberlains (IT)	IT Contract Management	✓		
Chamberlains (IT)	Oracle Property Manager Module Application Review	✓		
Chamberlains (IT)	City Procurement Application Review	✓		
Chamberlains (IT)	Asset Review	✓		
Chamberlains (IT)	IT Business Continuity		✓	
Chamberlains (IT)	Oracle (CBIS) Application		✓	
Chamberlains (IT)	City Revenues Application		✓	
Chamberlains (IT)	eSourcing			✓
Chamberlains (IT)	Artifax Application			✓
Chamberlains (IT)	CRM Software – Post Implementation Review			✓
Open Spaces	Repairs and Maintenance	✓		
Open Spaces	Income Generation		✓	
Open Spaces	Fleet Management			✓

Open Spaces	Wayleaves			✓
Open Spaces	Sports Charging Policy			✓
Market & Consumer Protection	Spitalfields Market Forklift Truck Safety and Permit Management	✓		
Market & Consumer Protection	Key Performance Monitoring	✓		
Market & Consumer Protection	Market lease Renewals		✓	
Market & Consumer Protection	Markets Code of Practice and Working Manuals		✓	
Market & Consumer Protection	Charitable Street Collection Permits		✓	
Market & Consumer Protection	Licensing			✓
Market & Consumer Protection	Electronic Licensing Database			✓
Children & Community Services	Housing Asset Management Strategy	✓		
Children & Community Services	Service Charges (Housing and BE)	✓		
Children & Community Services	Contract Management and Commissioning	✓		
Children & Community Services	Rough Sleepers	✓		
Children & Community Services	Education Strategy	✓		
Children & Community Services	Sir John Cass School – Schools Financial Value Standard	✓		
Children & Community Services	City of London Freemans School	✓	✓	✓
Children & Community Services	City of London School	✓	✓	✓
Children & Community Services	City of London School for Girls	✓	✓	✓
Children & Community Services	Housing Allocations, Lettings and Voids		✓	
Children & Community Services	Housing and BE Rents		✓	
Children & Community Services	Partnerships		✓	
Children & Community Services	Mental Health Provision			✓
Children & Community Services	Community Engagement Plan			✓
Children & Community Services	Youth Services			✓
Children & Community Services	Asylum Seekers			✓
Children & Community Services	Early Help Strategy			✓
City Surveyors	Geared Ground Rents	✓		
City Surveyors	Asset Disposals and Capital Receipts	✓		
City Surveyors	Property Purchases, Sales and Investments			✓
Built Environment	Car Parks	✓		

Built Environment	Planning Control	✓		
Built Environment	Building Control	✓		
Built Environment	Change Control (Cleansing and Waste Disposal)	✓		
Built Environment	Highways		✓	
Built Environment	Community Infrastructure Levy			✓
Built Environment	Development			✓
Culture, Heritage and Libraries	City Information Centre	✓		
Culture, Heritage and Libraries	Library Book and Audio Stock	✓		
Culture, Heritage and Libraries	Guildhall Art Gallery		✓	
Culture, Heritage and Libraries	Tower Bridge and Monument			✓
Mansion House	Security Contract Management	✓		
Mansion House	Annual Plate Review	✓		
Mansion House	Hospitality and Catering		✓	
Mansion House	Asset and Stock Management			✓
Police	Standard Operating Procedures	✓		
Police	Budget Monitoring	✓		
Police	International Fraud Academy	✓		
Police	Community Consultation	✓		
Police	Grant Audits	✓		
Police	Governance Framework	✓		
Police	Income Streams and Generation	✓		
Police	IT Network Security		✓	
Police	Technology Refresh Project		✓	
Police	Business Continuity inc. IT		✓	
Police	Demand Policing and Event Resourcing		✓	
Police	Accommodation Review			✓
Guildhall School of Music and Drama	Strategic Planning	✓		
Guildhall School of Music and Drama	Income Generation	✓		
Guildhall School of Music and Drama	Succession Planning	✓		
Guildhall School of Music and Drama	Satellite Site Operations	✓		
Guildhall School of Music and Drama	Budget Setting and Financial Management		✓	
Guildhall School of Music and Drama	Student Support		✓	
Guildhall School of Music and Drama	Facilities Management and Maintenance		✓	
Guildhall School of Music and Drama	Asset Management and Register		✓	
Guildhall School of Music and Drama	Enrolment			✓
Guildhall School of Music and Drama	Professional Services			✓
Barbican	Major Incident, Security and Safety	✓		
Barbican	Catering	✓		
Barbican	Customer Experience	✓		
Barbican	Car Parking System	✓		

Barbican	Strategic Planning, Monitoring and Implementation		✓	
Barbican	IT Projects		✓	
Barbican	Financial Monitoring and Income Generation		✓	
Barbican	Cancellation of Events		✓	
Barbican	Widening Audiences		✓	
Barbican	Cash Handling		✓	
Barbican	Repairs and Maintenance			✓
Barbican	Progression and Professional Development (Artistic Offering/Supporting Artists)			✓
Barbican	Target Setting and Performance Monitoring			✓
Barbican	Sponsorship and Donations			✓
Total Days		1,025	1,025	1,025