

Internal Audit Work 2015-16 (as at 07 January 2016)

This appendix complements the summary outcome of final reports as presented above.

Progress against the plan – Summary

No of Reviews	Fieldwork	Draft Report	Final Report
72	14	15	20
	19%	21%	28%

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	Business Continuity & Disaster Recovery	Draft									
2	Corporate	Cyber Security Committee Report – <i>replaces Information Governance and Security</i>	FINAL	n/a	n/a				n/a			
3	Corporate	Health & Safety	FINAL	Amber	0	2	2	4	0	2	2	4
4	Corporate	Vetting of Staff										
5	Corporate	COSO - Entity Wide Control Environment										
6	Corporate	Procurement										
7	Corporate	Petty Cash	Draft									
8	Corporate	Cash Income Collection and Banking	Draft									
9	Corporate	Expenses	Draft									
10	Corporate	Pre Contract Appraisal	<i>Draft TOR</i>									
11	Corporate	Liquidations	Fieldwork									
12	Corporate	Follow Ups										
13	Corporate	Physical Access Security to Guildhall										
14	Chamberlain	Main Accounting System - GL / AR / AP	Draft									
15	Chamberlain	Investments - Corporate Responsibility										
16	Chamberlain	Council Tax	<i>Draft TOR</i>									
17	Chamberlain	Business Rates	<i>Draft TOR</i>									
18	Information Systems	ITIL Compliance	Fieldwork									
19	Information Systems	Remote Access	Fieldwork									
20	Information Systems	Database Patching & Change Control Procedures	Fieldwork									
21	Information Systems	Back Up Strategy and Procedures	Draft									
22	Information Systems	Firewalls	Fieldwork									
23	Information Systems	Asset Register	<i>Draft TOR</i>									
24	Information Systems	WAN (MLPS)	<i>Draft TOR</i>									

No	Department	Main Audit Review	Status**	Assurance ***	Recommendations Made***				Recommendations Agreed***			
					R	A	G	Total	R	A	G	Total
25	Information Systems	GJR Server Rooms										
26	Information Systems (Outsourced)	WIFI Strategy										
27	Information Systems (Outsourced)	Cloud Security										
28	Information Systems (Outsourced)	Oracle 12 Licenses										
29	Information Systems (Outsourced)	Oracle Post Implementation Review										
30	Open Spaces	Hampstead Heath	FINAL	Amber	0	11	0	11	0	11	0	11
31	Open Spaces	Cemeteries & Crematoriums	Draft									
32	Open Spaces	Chingford Golf Course										
33	Markets and Consumer Protection	Licensing	FINAL	Amber	0	3	6	9	0	3	5	8
34	Markets and Consumer Protection	Port Health Income	FINAL	Amber	0	2	2	4	0	2	2	4
35	Markets and Consumer Protection	Penalty Charge Notices	FINAL	Amber	0	3	3	6	0	3	3	6
36	Markets and Consumer Protection	Contract Variation – Figures Verification	FINAL	n/a	n/a				n/a			
37	Community & Children Services	Departmental Review										
38*	Community & Children Services	Sir John Cass Schools Financial Value Sign Off	FINAL	Amber	0	2	3	5	0	2	3	5
39	Community & Children Services	Sir John Cass School Private Fund Account	Fieldwork									
40	Community & Children Services	Community Capacity and Disabled Facilities Grant Verification	FINAL	n/a	n/a				n/a			
41	City Surveyors	Property Purchases, Sales & Investments	Draft									
42	City Surveyors	Rents, Letting and Vacancies	Fieldwork									
43	Built Environment	Recoverable Works	Fieldwork									
44	Police	Procurement Card - <i>replaces Expenses inc. travel and business travel scheme</i>	Fieldwork									
45	Police	Police Officer Allowances & Ad Hoc Payments										
46	Police	Police Supplies & Services and 3rd Party Payments	Draft									
47	Police	Action Awareness Team										
48	Police	Governance and oversight of outsourcing (IT)										

No	Department	Main Audit Review	Status**	Assurance ***	Recommendations Made***				Recommendations Agreed***			
					R	A	G	Total	R	A	G	Total
49	Police	Interim Follow Up of Disaster Recovery and PBX Resilience	Draft									
50	Police	Invoices on Hold	Draft									
51	Police	Interpreters Fees	FINAL	Green	0	1	0	1	0	1	0	1
52	Police	Gifts and Hospitality	FINAL	Amber	0	3	1	4	0	3	1	4
53*	Police	European Commission Grant Verification	FINAL	n/a	n/a				n/a			
54	Police	Compensation Claims Committee Report	FINAL	n/a	n/a				n/a			
55	Police	European Commission Grant Verification – Cross Border Bribery	Draft	n/a	n/a				n/a			
56	CLFS	Institutional Review	<i>Draft TOR</i>									
57	CLS	Institutional Review	Fieldwork									
58	CLSG	Institutional Review	Fieldwork									
59	CLSG	ICT Strategy	Draft									
60	Guildhall School	Milton Court	Fieldwork									
61	Guildhall School	Procurement of Goods and Services	FINAL	Amber	0	2	1	3	0	2	1	3
62	Guildhall School	Principal Study - <i>replaces Satellite Operations</i>	Draft									
63	Barbican	Box Office	<i>Draft TOR</i>									
64	Barbican	Barbican - International Enterprise	FINAL	Green	0	2	6	8	0	1	6	7
65	Barbican	Barbican - Bars (Contract Management and New Arrangements)	Fieldwork									
66	Barbican	Membership Scheme	Fieldwork									
67	Barbican	Budget Setting and Financial Management	FINAL	Green	0	2	2	4	0	1	2	3
68	Barbican	Cost Estimates and Cost Plan	FINAL	Green	0	1	1	2	0	1	1	2
69	Barbican	Systems Controls	Draft									
70	Culture Libraries and Heritage	Monument Cash Collection	FINAL	Green	0	0	3	3	0	0	3	3
71	Mansion House	Annual Plate Review	FINAL	n/a	n/a				n/a			
72	Town Clerks	Guildhall Club Accounts	FINAL	n/a	0	1		2	n/a			

**Status definitions – Fieldwork = Formal TOR issued, Draft = Formal draft report issued, Final = Review complete and final report issued.

***Assurance level and recommendations only completed once report has been finalised.