Internal Audit Work 2017-18 (as at 02-07-2018) Progress against the plan – Summary

No of Reviews	Planning	Fieldwork	Draft Report	Final Report (Audit Complete)
60	0	2	24	34
100%	0%	3%	40%	57%

Audit status definitions: 'Fieldwork' – audit terms of reference finalised and fieldwork underway, '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 Rating	R	Α	G	Total	R	Α	G	Total
1	CORPORATE	EMERGENCY PLANNING	Draft Report									
2	CORPORATE	USE OF WAIVERS	Final Report	Amber	0	7	0	7	0	7	0	7
3	CORPORATE	IR 35 - USE OF CONSULTANTS AND SPECIALIST (OFF PAYROLL ENGAGEMENT)	Draft Report									
4	CORPORATE	EVALUATION OF SUB £100K TENDERS	Final Report	Amber	0	4	2	6	0	4	2	6
5	CORPORATE	PROCUREMENT CONSULTATION WITH STAKEHOLDERS	Draft Report									
6	CORPORATE	INCOME COLLECTION AND BANKING	Fieldwork									
7	CORPORATE	EXPENSES - PROCUREMENT CARDS - PETTY CASH	Draft Report									
8	CORPORATE	CORPORATE-WIDE REVIEW OF BUSINESS TRAVEL	Final Report	Amber	0	8	0	8	0	8	0	8

					Recommendations Made			Recommendations Agreed					
No	Department	Main Audit Review	Status	Assurance	R	Α	G	Total	R	Α	G	Total	
9	CORPORATE	CORPORATE FOLLOW-UP EXERCISES	Final Report	N/A	-	-	-	-	-	-	-	-	
10	CORPORATE	GDPR – GAP ANALYSIS	Final Report	Green	0	5	0	5	0	5	0	5	
	CORPORATE	CONTRACT MANAGEMENT (Police Accommodation Programme)	Deferred										
11	TOWN CLERK	SOCIAL INVESTMENT FUND	Final Report	Green	0	0	0	0	0	0	0	0	
12	TOWN CLERK	MEMBERS AND OFFICERS DECLARATIONS INTERESTS	Final Report	Red	1	7	3	11	1	7	3	11	
13	TOWN CLERK	HUMAN RESOURCES – STARTERS AND LEAVERS	Final Report	Amber	0	9	3	12	0	9	3	12	
14	TOWN CLERK	STAFF LEARNING & DEVELOPMENT (including Central Training)	Draft Report										
15	TOWN CLERK	GUILDHALL CLUB ACCOUNTS	Final Report	Green	0	0	0	0	0	0	0	0	
16	CHAMBERLAIN	IT – INFORMATION MANAGEMENT (DATA STORAGE MANAGEMENT)	Draft Report										
17	CHAMBERLAIN	IT – CYBER SECURITY – MALWARE PROTECTION	Draft Report										
18	CHAMBERLAIN	IT – INFORMATION SECURITY - INCIDENT MANAGEMENT	Draft Report										
19	CHAMBERLAIN	IT - SOCIAL MEDIA (HORIZON SCANNING)	Draft Report										
20	CHAMBERLAIN	IT ORACLE (CBIS) APPLICATION	Draft Report										
21	CHAMBERLAIN	MEDIUM TERM FINANCIAL PLANNING	Final Report	Green	0	1	1	2	0	1	1	2	
22	CHAMBERLAIN	CITY PROCUREMENT	Fieldwork										
23	CHAMBERLAIN	COUNCIL TAX & NNDR	Final Report	Amber	0	2	2	4	0	2	2	4	
24	DCCS	ACADEMIES	Final Report	Amber	0	2	1	3	0	2	1	3	
25	DCCS	WELFARE REFORM	Final Report	Amber	0	5	1	6	0	4	1	5	
26	DCCS	HOUSING ALLOCATIONS LETTINGS AND VOIDS	Draft Report										
27	DCCS	HOUSING RENTS	Final Report	Amber	0	5	6	11	0	5	6	11	
28	DCCS	BARBICAN ESTATE RENTS	Final Report	Amber	0	2	4	6	0	2	4	6	
29	DCCS	HEALTH & SOCIAL CARE INTEGRATION	Draft Report										

					Recommendations Made			R	ecom A	lations d		
No	Department	Main Audit Review	Status	Assurance	R	Α	G	Total	R	Α	G	Total
30	DCCS	FINANCIAL ASSESSMENTS	Draft Report									
31	DCCS	SIR JOHN CASS SCHOOL INCOME GENERATION	Draft Report									
32	DCCS	COMMUNITY CENTRE REVENUE	Draft Report									
33	CITY SURVEYOR	SERVICE BASED PROPERTY CONTRACTS	Draft Report									
34	CITY SURVEYOR	GUILDHALL COMPLEX - PERFORMANCE	Final Report	Amber	0	2	0	2	0	2	0	2
	OPEN SPACES	FINANCIAL MANAGEMENT	Deferred									
35	OPEN SPACES	CEMETERY & CREMATORIUM - ESTABLISHMENT REVIEW	Final Report	Green	0	0	5	5	0	0	5	5
36		TOWER BRIDGE MAJOR INCIDENT	Final Report	Green	0	1	0	1	0	1	0	1
	OPEN SPACES	PLAN										
37	BUILT ENVIRONMENT	HIGHWAYS	Draft Report									
38	BUILT ENVIRONMENT	TFL LOCAL IMPLMENTATION PLAN	Draft Report									
39	BUILT ENVIRONMENT	HIGHWAYS ASSETS REGISTER	Draft Report									
40	M&CP	SEIZED GOODS (Trading Standards & Licensing)	Final Report	Amber	0	6	2	8	0	6	2	8
41	M&CP	CONSUMER PROTECTION ENFORCEMENT	Draft Report									
42	M&CP	MARKETS FRAUD RISK	Draft Report									
43	REMEMBRANCER	FUNCTIONS & GUILDHALL LETTINGS - INCOME (INC. BANKING, SAFES AND SECURITY)	Draft Report									
44	MANSION HOUSE	HOSPITALITY AND CATERING CONTRACT MANAGEMENT	Draft Report									
45	POLICE	DEMAND POLICING AND EVENT RESOURCING	Final Report	Amber	0	1	0	1	0	1	0	1
46	POLICE	POLICE BUSINESS CONTINUITY PLANNING	Final Report	Amber	0	6	1	7	0	5	1	6
47	POLICE	POLICE BANK ACCOUNTS	Draft Report									

					Recommendations Made			Recommendations Agreed				
No	Department	Main Audit Review	Status	Assurance	R	Α	G	Total	R	Α	G	Total
48	POLICE	POLICE SEIZED GOODS	Final Report	Red	3	12	0	15	3	12	0	15
49	POLICE	PROJECT MANAGEMENT	Final Report	Amber	2	8	0	10	2	8	0	10
50	POLICE	FREEDOM OF INFORMATION REQUESTS	Final Report	Red	1	3	4	8	1	3	4	8
51	BARBICAN CENTRE	VISITOR EXPERIENCE	Final Report	Amber	0	5	5	10	0	5	5	10
52	BARBICAN CENTRE	EQUALITY AND INCLUSION	Final Report	Amber	0	10	4	14	0	10	4	14
53	BARBICAN CENTRE	RETAIL AND BARS	Final Report	Red	1	9	1	11	1	9	1	11
54	BARBICAN CENTRE	CASH HANDLING	Final Report	Amber	0	4	1	5	0	4	1	5
55	GUILDHALL SCHOOL	DATA QUALITY	Final Report	Amber	0	2	3	5	0	2	3	5
56	GUILDHALL SCHOOL	SUNDIAL COURT PROJECT GOVERNANCE	Final Report	Amber	0	3	0	3	0	3	0	3
57	GUILDHALL SCHOOL	CATERING INLUDING STUDENT BAR	Final Report	Red	2	3	1	6	2	3	1	6
58	CLS	FINANCIAL MANAGEMENT	Final Report	Amber	0	5	2	7	0	5	2	7
59	CLFS	HEALTH AND SAFETY	Final Report	Amber	0	2	1	3	0	2	1	3
60	CLFS	INCOME GENERATION	Final Report	Amber	0	2	2	4	0	2	2	4

Performance Indicators

Performance Measures	Target	Actual
1 Completion of audit plan	95% of planned audits completed to draft report stage by end of plan review period (31 March 2018)	95%
2 Timely production of draft report	Average time taken to issue draft reports within 28 days of end of fieldwork i.e. exit meeting date.	30 days
3 Timely response to draft report	Average time taken to obtain a full management response within 28 days of the draft report being issued.	32 days
4 Timely issue of final report	Average time taken to finalise the review within 7 working days on full response from management	6 days
5 Customer satisfaction	Through key question on post audit surveys – target 90%	91%
6 Percentage (%) of audit section staff with relevant professional qualification	Target 75%	78%