

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

No	Department	Main Audit Review	Status	Assurance Rating	Recommendations Made				Recommendations Agreed			
					R	A	G	Total	R	A	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

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No	Department	Main Audit Review	Status	Assurance	Recommendations Made				Recommendations Agreed			
					R	A	G	Total	R	A	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 INCLUDING 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%