

Audit Committee, 6 September 2016

Internal audit schedule 2016-17

Executive summary and recommendations

Introduction

Grant Thornton developed their internal audit plan for 2016-17 in consultation with the Executive. The plan was approved by the Audit Committee at their meeting of 16 June 2016.

An updated and revised schedule for the plan taking into account progress to date is now presented to the Committee for discussion.

Decision

The Audit Committee is asked to discuss and approve the attached internal audit schedule.

Background information

See Grant Thornton's plan contained within the papers from 16 June 2016

Resource implications

None

Financial implications

Grant Thornton's fees for 2016-17 will be approx. £46k including VAT.

Appendices

None

Date of paper

30 August 2016

2016-17 internal audit schedule

Audit	EMT sponsor	Audit Committee meeting to deliver to date	Papers circulation date	Audit visit date	Planning meeting date
Whistleblowing arrangements (<i>this review and report covers the two aspects discussed at the Audit Committee – internal whistleblowing and public disclosure</i>)	MS	6 September 2016	26 August 2016	Done	Done
Registration appeals process	GRS	22 November 2016	11 November 2016	Week beginning 3 October 2016	September TBC
Non-FTP legal costs	AG	22 November 2016	11 November 2016	October TBC	September TBC
Partner recruitment, retention, equality and diversity	TH	22 November 2016	11 November 2016	October TBC	September TBC
Employee recruitment and retention including succession planning	TH	15 March 2017	3 March 2017	February TBC	January TBC
Review of the Registration Transformation project	GRS	15 March 2017 [TBC with GRS]	3 March 2017	Work to be timed to take place around gateway review at end of phase 1, before procurement for phase 2, ie Dec/Jan on current project timetable	November TBC

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Property management including space utilisation at 405 Kennington Road	GRS	15 March 2017 [TBC with GRS]	3 March 2017	February TBC	January TBC
Core financial controls	AG	15 March 2017	3 March 2017	February TBC	January TBC
Internal audit annual report	AG	14 June 2017 (or could be 15 March 2017)	2 June 2017 (or 3 March 2017)	N/a, desktop exercise	N/a