

INTERNAL AUDIT DIVISION ACTIVITY CHART

PROJECTED TIMELINE - DETAIL OF TASKS

INTERNAL AUDIT DIVISION
ACTIVITY CHART AND PROJECTED TIMELINE
FISCAL YEAR 2019-2020

	Performance Audit Projects	Internal Control Assessments	Consulting Engagements	Audit Follow-up Tracking	IA Infrastructure Building	IA Monitoring Initiatives	Other IA Supported Tasks	Miscellaneous IA Tasks/Projects
March-19			Sewer Laterals & City-Owned Trees Liability Assessment (3/11 - report to be revised to include and/or address Finance and CAO comments)	Audit recommendations follow-up tracking	IA Governing Rules, Internal Audit Work Plan and peer review status update approved by GAC	Develop and/or update procedures for all monitoring processes	Review and approval of external performance & financial audit scopes of review	Provided administrative manual updates (Finance, CMO-Communications)
				Develop procedures for action plans to be included in audit training manual (item #2.13, but have these procedures completed by 3/31)	Review peer review status, IA work plan and IA charter to help document IA activity chart	P-card review		
				Agenda report & slides due to Legistar on 3/29 for GS, Park & Rec and PW action plans (review plans & and follow up by 3/22)	develop IA training programs (item #2.4, due 4/30)			
April-19		Temp Employees, Independent Contractors and Retired Annuitants Compliance with CalPERS	Sewer Laterals & City-Owned Trees Liability Assessment	Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs develop template for quarterly updates (which should also include item #3.4, due 7/3)	Payroll OT monitoring	CC approval of external City audits scopes of review	Develop procedures and templates for internal control assessments
						Update of grants IA website	Issue RFPs for external City audits	
May-19		Software Asset Management	Sewer Laterals & City-Owned Trees Liability Assessment - Land Use Committee presentation	Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs begin development of item #1.7, #2.10 (due 12/30)	Implement trial/test of grant compliance process	RFPs due 5/24; determine individuals to be part of RFP selection process	Provide administrative manual updates
		Temp Employees, Independent Contractors and Retired Annuitants Compliance with CalPERS			begin development of item #3.5 (due 5/31)			
June-19		Software Asset Management		Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs begin discussion with HR re: item #1.5 (due 9/30)	P-card review	Internal review of RFP proposals due 6/7	Review IA work plan
		Temp Employees, Independent Contractors and Retired Annuitants Compliance with CalPERS			begin development of item #3.6 (due 7/31)		Interviews conducted (completion due by 6/21)	
					begin development of item #2.7 (due 3/31/2020)			
July-19	Begin research for Contract Compliance audit	CalPERS Compliance Assessment		Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	Submit annual HOTLINE reporting summary	Recommendation of consultant(s) and contract negotiations	GAC quarterly update of IA activities
					Development of IA performance measures	Payroll OT monitoring		Provide admin manual updates
					Begin process to implement item #2.6, due 6/30/2020	Update of grants IA website		
August-19	Contract Compliance - Riverside Convention Center	CalPERS Compliance Assessment		Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	Grant compliance monitoring	CC approves selection of consultant(s) and PSA contracts	
							External audits due to begin	

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September-19	Contract Compliance - Riverside Convention Center			Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	P-card review		Review IA work plan
								Provide admin manual updates
October-19	Contract Compliance - Riverside Convention Center			Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	Payroll OT monitoring		GAC quarterly update of IA activities
					Begin discussions with IT re: item #3.11 (due 12/30)			
November-19				Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	Grant compliance monitoring	1st drafts for external audits due	Provide admin manual updates
December-19	Begin research for firefighter work schedule (or replacement) audit			Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	P-card review	Final reports for external audits due	Review IA work plan
January-20	Firefighter Work Schedule Optimization (or replacement audit)			Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	Payroll OT monitoring	External audit reports presented to CC	GAC quarterly update of IA activities
February-20	Firefighter Work Schedule Optimization (or replacement audit)			Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	Grant compliance monitoring		
March-20	Firefighter Work Schedule Optimization (or replacement audit)			Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	P-card review		Submit annual IA work plan to GAC
								Submit annual confirmation of organizational independence to GAC
								Submit IA governing rules to GAC for annual review
April-20		Cybersecurity Internal Controls		Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	Payroll OT monitoring		GAC quarterly update of IA activities
May-20		Cybersecurity Internal Controls		Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	Grant compliance review		
June-20		Cybersecurity Internal Controls		Audit recommendations follow-up tracking	Implement and enhance Internal Audit organizational and structural needs	P-card review		Review IA work plan

Legend:

- Audit/Project completed as planned.
- Audit/Project completion was delayed due to time constraints from other Internal Audit projects.
- Audit/Project schedule/timeframe changed from original Audit Plan Timeline.
- Audit/Project added to original Audit Plan Timeline.