

Office of Internal Audit

Monthly Activity Report

Period Ending 9.30.16

Prepared by Louisville Metro Office of Internal Audit

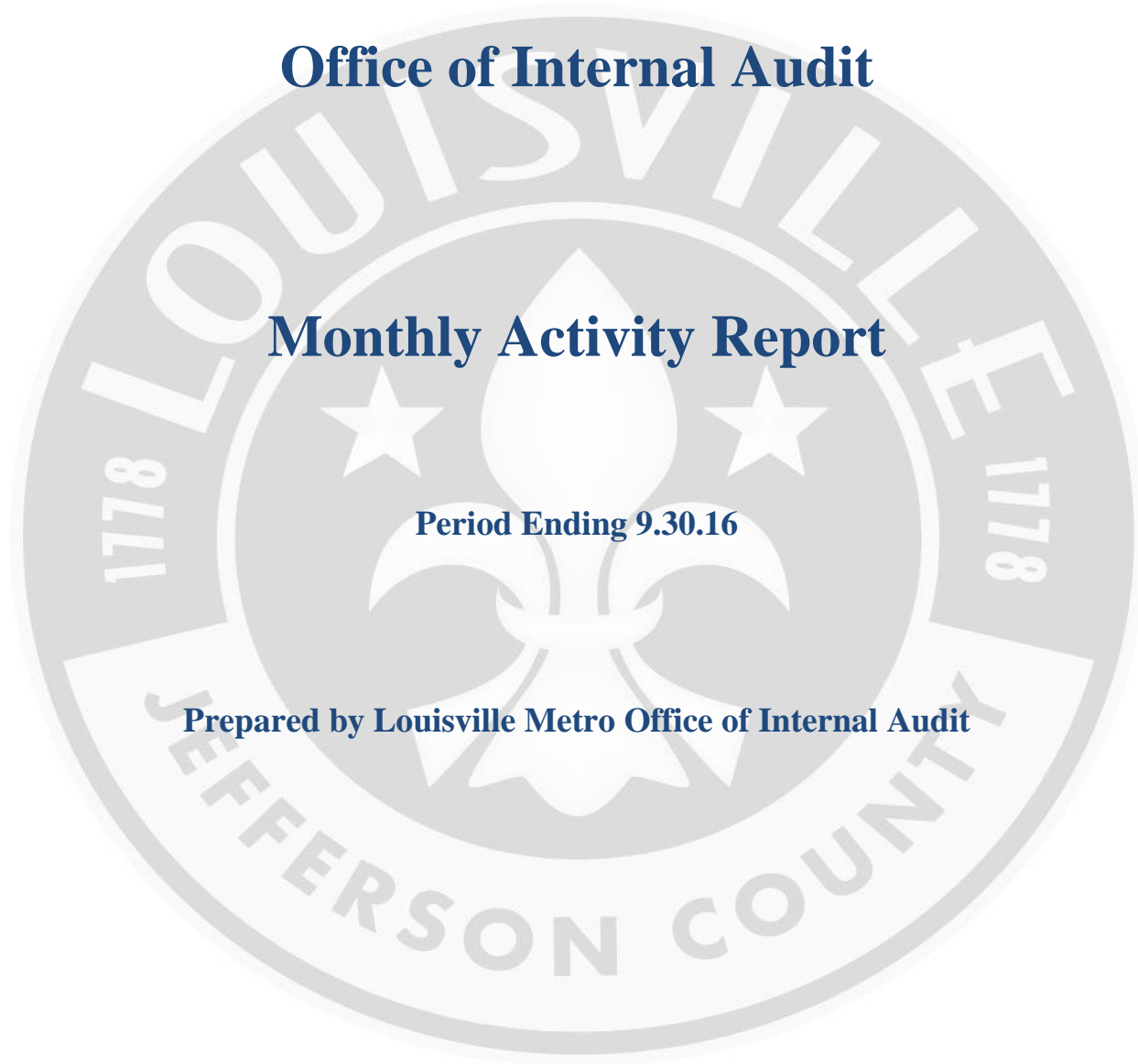


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I. Office of Internal Audit

Mission Statement

Provide independent, objective assurance and consulting activities that assist both policy makers and program managers in providing high-quality services in a manner that is accountable, efficient, effective, and ethical. Provide services that add value and improve Louisville Metro Government operations. Support the accomplishment of Louisville Metro Government's objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

Core Values

Integrity, Objectivity, Confidentiality, and Competency.

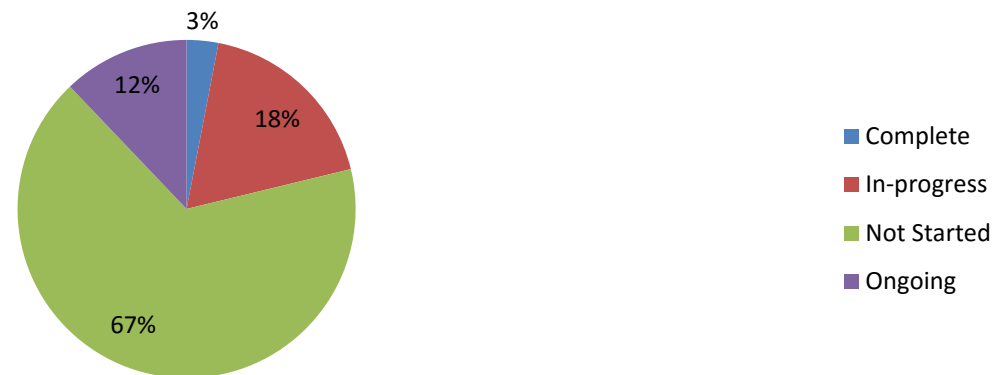
Staffing Snapshot

Name	Position	Advanced Degree	Certification(s)	Office of Internal Audit Tenure	Audit Experience
May Porter	Director	MBA	Certified Internal Auditor	6 years	10 years
Jacqueline Lewis	Assistant Director	MAcc	Certified Internal Auditor Certified Public Accountant	6 months	7 years
Jason Byrd	Manager	-	Certified Fraud Examiner	4 years	4 years
Glenn Reed	Coordinator	MAcc, MBA	Certified Internal Auditor Certified Public Accountant Certified Governmental Audit Professional Certified Fraud Examiner Certification in Risk Management Assurance	2 years	33 years
Brandon Booth	Senior	MPA	Certified Internal Auditor Certified Government Financial Manager Certified Fraud Examiner	1 year	2 years
Danielle Manning	Auditor II	-	-	1 year	4 years
Laketa Short	Auditor I	MBA	-	2 years	2 years
Andrew Googe	Auditor I	-	Certified Internal Auditor (33% Complete)	11 months	11 months

II. Audit Plan Status

The following illustrates the status of the Annual Audit Plan.

FY 2017 Audit Plan Completion



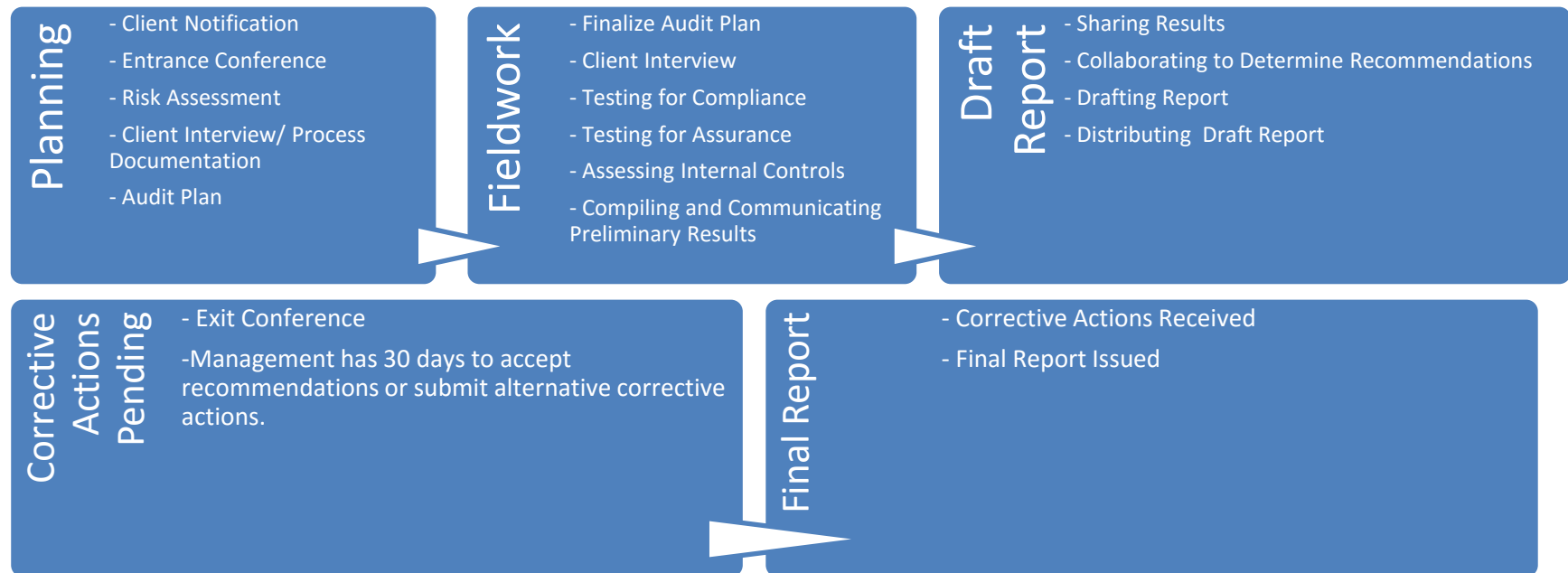
Status Definitions:

- Complete:** Projects that have a status of “Complete” have had a final deliverable including, but not limited to, a report, memo, or opinion issued.
- In-progress:** Projects that have a status of “In-progress” have been started but have not had a final deliverable issued.
- Not Started:** Projects that have a status of “Not Started” have not begun.
- Ongoing:** Projects that have a status of “Ongoing” are expected to remain open during the fiscal year. Examples include trainings and narcotics disposals.
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III. Audit Projects: In-progress

Department/ Area	Project	Completion Status	Audit Process Stage
Enterprise	Policy - Cellular Device Usage and Management	In-progress	Draft Report
Enterprise	Payroll Review CY 2015	In-progress	Fieldwork
Office of Management and Budget	Fleet and Facilities: Parts Cost	In-progress	Fieldwork
Enterprise	Grant Monitoring Process	In-progress	Corrective Actions Pending
Enterprise	Special Request: Code Enforcement Activity	In-progress	Corrective Actions Pending
Emergency Services	CAD - Emergency Dispatch System	In-progress	Planning

Audit Process Stages



IV. Audit Projects: Upcoming Projects

Department/ Area	Project	Status	Expected Start Month	Expected Start Year
Enterprise	Commercial Driver's License	Not Started	December	2016
Enterprise	Policy - Tuition Assistance	Not Started	December	2016
Human Resources	Health Insurance Administration	Not Started	October	2016
Enterprise	Boards and Commissions: Member Payment Activity	Not Started	October	2016
Department of Information Technology	IT Project Implementation	Not Started	December	2016
Animal Services	Controlled Substances	Not Started	October	2016
Enterprise	Audit Follow-up	Not Started	December	2016
Animal Services	Revenue Activity	Not Started	October	2016
Corrections	Home Incarceration Program	Not Started	October	2016
Parks & Recreation	Revenue Activity: Billing and Collections	Not Started	November	2016
Develop Louisville	Capital Projects	Not Started	February	2017
Related Agencies - Office of Internal Audit	Annual Report of Activities	Not Started	January	2017
Related Agencies - Office of Internal Audit	Annual Quality Assessment Review (Internal)	Not Started	January	2017

V. Audit Projects: Completed Projects

Department/ Area	Project	Issue Date	Significant Issues	Corrective Action Target Implementation Date
Revenue Commission	Special Requests: Revenue Commission Internal Inspection	9/30/2016	None	None
