



Activity Status Report as of June 30, 2015

*Yong Ju No, CPA
Director of Internal Audit*

FISCAL YEAR 2015 UPDATE (JANUARY 1, 2015 TO JUNE 30, 2015)

Title	Objective(s)	Status	Results/Comments
<u>ACTIVITIES DURING THE PERIOD</u>			
Audit and Advisory Assignments			
City's Investment Quarterly Review	Determine whether the City's investments comply with City Ordinance 42-35 and Massachusetts General Laws.	On-going	No reportable findings from our review of the third quarter investment report from the City Treasurer. Our review of the fourth quarter investment report will be completed in Q1 of FY2016.
City Auditor Advisory Roles	Provide guidance and advice to management.	On-going	<p>Review the Police Department's evidence room policies and procedures (currently suspended).</p> <p>Review of the Police Department's information technology policies and procedures. Review performed by a consultant. Report will be issued in July 2015.</p> <p>Review the Parks Department's Fun and Fitness program. See OIA's report.</p>
Contract Compliance Review of Northeast Grounds Management, Inc.	Evaluate the accuracy of expenditures and whether payments made to vendor were in accordance with contracts, renewals, and amendments.	Complete	Report issued on June 26, 2015.

FISCAL YEAR 2015 UPDATE (JANUARY 1, 2015 TO JUNE 30, 2015) - Continued

Title	Objective(s)	Status	Results/Comments
Other Monitoring and Administrative Assignments			
Maintain the City's Fraud Hotline	Investigate reports of fraud, waste or abuse.	On-going	<p>17 allegations have been submitted of which 16 have been closed with no further action warranted.</p> <p>An allegation of employee theft was received from Elder Affairs. OIA investigated and submitted our findings to Human Resources, Legal, and Elder Affairs.</p>
Fiscal Year 2016 Audit Plan	Comply with City Ordinance 67-12.	Complete	The FY16 Annual Audit Plan was presented to the Audit Committee on April 1, 2015.
<u>ACTIVITIES ON THE HORIZON</u>			
Audit and Advisory Assignments			
Elder Affairs Review	Evaluate policies and procedures related to cash handling, disbursements, and grant administration.	Not Started	
The School Department's Student Activity Funds Agreed Upon Procedures	Comply with Massachusetts General Law.	Not Started	
Information Technology Review at Springfield Public Schools	Evaluate the IT Policies and Procedures at Springfield Public Schools and assess their external network for vulnerabilities. Review will be performed by a consultant.	Not Started	