

Appendix 2

High Priority Recommendations Partially Implemented / Not Implemented

Amber priority recommendations outstanding at time of August 2018 follow-up exercise (implementation due by 31st July 2018)

Department & Audit Area	Original Target Date	Revised Target Date (pre follow-up)	New Target Date (post follow-up)	Implementation Status		Management Comment
				Not	Partial	
Barbican						
Retail & Bars – Revel System Functionality for Ordering Retail Stock	31/07/18	N/A	TBC	0	1	For all four recommendations related to Revel: Numerous talks to work with Revel to solve our issues have taken place but it doesn't look like it will deliver what we need. Retail are working with IT on requirements for a new system and we are going to the market in the next few months. Some system testing on what is out there has already been done and we feel comfortable a new system will meet all our needs. Revised timescale for a procurement decision to be confirmed.
Retail & Bars – Stock Cost Information on Revel	31/05/18	N/A	TBC	0	1	
Retail & Bars – Integration of Revel and Shopify Online Shop System	31/07/18	N/A	TBC	0	1	
Retail & Bars – Retail Stocktake Revel System Functionality	31/07/18	N/A	TBC	0	1	
Retail & Bars – CCTV Installation	31/05/18	N/A	31/12/19	1	0	This is being tied in to the larger Barbican wide CCTV project. As this is being procured centrally for all City departments this project has seen a delay to 2019. New deadline - 31st December 2019.
Retail & Bars – Wastage Information on Stocktake Reports	31/05/18	N/A	TBC	1	0	No status update received. Evidence awaited of the Stocktaker being asked to report wastage at cost.
Retail & Bars – Recording of Cross Charges on Revel	31/07/18	N/A	TBC	1	0	No status update received. Evidence awaited of revised arrangements for recording of internal sales to Barbican departments.
Chamberlain's IT						
PBX Fraud – Call Logging	27/02/15	30/06/18	30/11/18	0	1	A project to implement call logger is now in progress, this will provide all required logs, and also be PSN compliant.

Department & Audit Area	Original Target Date	Revised Target Date (pre follow-up)	New Target Date (post follow-up)	Implementation Status		Management Comment
				Not	Partial	
Remote Access – New User Access Authorisation	30/05/16	31/05/18	30/09/18	0	1	<p>This project will be fully implemented by 31/10/18. In order to provide some time to collect and review logs, a revised target date for full implementation of 30/11/18 has been set.</p> <p>A more robust process has been defined incorporating a workflow approval of new accounts by the cost centre owner. Cost Centre is a mandatory field in the starters form, the cost centre owner will now be required to approve all new account requests. Audit have confirmed that this is an acceptable process to mitigate the risk. Revised implementation date: 30/09/18.</p>
Wifi Strategy – Wifi Policy	31/07/17	30/06/18	31/08/18	1	0	Wifi Logs are now being captured as part of the new network service. These will be available from the revised target timescale of 31/08/18.
SekChek – Event Log Settings	28/02/18	30/06/18	31/10/18	1	0	A project is currently being carried out by Agilisys to implement the Audit Policies on the new infrastructure. This project will provide full Management of Event Logs. This will be fully implemented by the revised target date of 31/10/18.
City of London Police CoLP - Seized Goods -Property Storage Locations (RED priority)	31/03/18	30/06/18	N/A	1	0	New jobs are now on Niche, legacy jobs are on PMS and will be cleared as these are closed. Storage locations are recorded on Niche accordingly. Audit are invited to view Niche system as evidence of completion. (CoLP were not available to confirm evidence at the time of update).
CoLP – Seized Goods – Witness of Disposals	31/03/18	30/06/18	N/A	1	0	The SOP has been updated to reflect the process currently used for Niche. Niche does not have a signature pad for this process and the officer logging onto the system has an electronic stamp. At this time the Niche system does not operate in the same way as PMS which this recommendation referred to. Although no secondary witness is in place, there is an audit trail within the system which identifies who was responsible for managing the disposal. (RISK ACCEPTED).

Department & Audit Area	Original Target Date	Revised Target Date (pre follow-up)	New Target Date (post follow-up)	Implementation Status		Management Comment
				Not	Partial	
CoLP – Seized Goods – Cash-Counting Policy ‘i’	31/03/18	30/06/18	30/11/18	0	1	<i>Update for both recommendations: The new Force Financial Investigations Strategy has been approved by the Transform Board and this will be used to update the Force SOP regarding POCA (Asset Recovery). The SOP is being developed, due to its complexity it is envisaged to take three months to develop which will include internal consultation within Force.</i>
CoLP – Seized goods – Cash-Counting Policy ‘ii’	31/03/18	30/06/18	30/11/18	0	1	
City of London School Financial Management – Timeliness of Interface Reconciliations	30/06/18	-	30/11/18	0	1	<p>The entire School has been moving from an old software system (SIMS) to a new system (ISAMS) over the last 3 years. One of the last areas to move across to ISAMS was the finance department, due to the expected heavy workload and high risk in making this move. ISAMS was adopted as the finance team’s software package for billing and accounts during the second half of 2017.</p> <p>As ISAMS did not have a debtor module, the School adopted ISAMS preferred partner solution, called ‘Accounts IQ’. However, it rapidly became clear that the interface between Accounts IQ and Oracle General Ledger was inadequate, and the software is unable to provide the level of financial reporting required, without manual intervention.</p> <p>The School has been working with Accounts IQ to rectify this problem, but as at August 2018 Accounts IQ has been unable to provide an adequate solution. As the entire School has moved its data from SIMS to ISAMS, the finance team are obliged to use ISAMS (SIMS has become redundant).</p> <p>For the Corporation’s year end audit at March 31st, 2018, the finance team manually reconciled the School and Corporation ledger. A copy of this is attached for audit purposes. This required considerable manual intervention by the finance team.</p> <p>Accounts IQ had promised a better solution by the summer 2018, but unfortunately have not delivered this yet. Due to this software failure, we are therefore unable to complete a ledger reconciliation for the</p>

Department & Audit Area	Original Target Date	Revised Target Date (pre follow-up)	New Target Date (post follow-up)	Implementation Status		Management Comment
				Not	Partial	
						<p>Summer term (by June 2018). We will however press Accounts IQ to produce a software solution during the summer and autumn, and target meeting this audit requirement in the autumn term (by 30th November 2018).</p> <p>The finance team's diary has been updated and this is now documented on the calendar of actions for finance.</p>
City of London School for Girls Inventory Maintenance	08/07/16	30/09/17	TBC	0	1	An audit is underway in this area and has indicated that further work is required in order to strengthen the control environment for asset management. An audit recommendation will be made to address weaknesses identified and the management response will require a timescale for full implementation to be set.
ICT Strategy, Security & Operations - Disaster Recovery Testing	11/12/15	30/06/18	15/11/18	0	1	As a result of the move of the IT server rooms out of Guildhall in the run up to the summer, we have had to completely revise our DR process. This has involved mirroring our systems in the cloud and revising completely the way we back up our IT systems and data. This work is currently ongoing as part of the Network upgrade and should be completed by the end of the summer. With the pressures on the IT team to get the new desktop IT systems rolled out across the school before the new academic year starts at the beginning of September we are unlikely to be able to do the DR walkthrough before half term in October. The revised date for completion is 15 November 2018.
ICT Strategy, Security & Operations – Penetration Testing	01/12/15	31/05/18	01/11/18	0	1	The City of London Police have agreed to test some of their new tools as part of penetration testing of our systems. We have to date provided them with details of our web IP addresses and these have been tested and only one recommendation was made, which has already been completed. Our Police colleagues have also been in to school for an initial recce. However, work has been postponed while we complete the network server upgrade and roll out of new desktop IT, which should be completed by October half-term.

Department & Audit Area	Original Target Date	Revised Target Date (pre follow-up)	New Target Date (post follow-up)	Implementation Status		Management Comment
				Not	Partial	
						As part of the network upgrade external providers assessed our systems for weaknesses. Recommendations have been completed or are in hand. Revised date for completion of Police led penetration testing is now 1 November 2018 (though the Police have recently informed us that they are currently short of resources – we will keep this under review).
City Surveyor Directly Managed Property Lease Issue – Void Property Reports	31/10/17	30/06/18	31/12/18	0	1	The Voids Report is now live in Oracle. However, there is an ongoing data validation exercise being undertaken to remove data errors e.g. where the voids report is currently showing un-occupiable space. I expect that the data validation exercise will be completed, and we will be able to rely upon data in the Voids Report by December 2018.
Community & Children's Services Car Parks Income Generation – Updating of Account Forecasts	31/03/17	30/06/18	30/11/18	0	1	Following recommendations from the Car Park Working Party a report on the Charging Policy for Car Parks and Stores was presented to the Barbican Residential Committee (BRC) on 4 June 2018. The committee resolved that a special meeting of the BRC be held on 21 June 2018 to further consider the matter and make a decision. The BRC agreed to increase charges, to be reviewed in a year, and the proposal to build additional stores to generate income was also approved. Car park estimates to reflect the new income generated will be updated during the revised estimates process. New estimates will be reported to the Barbican Residential Committee in November 2018 as usual.
Housing & BE Rents – Arrears Information for Members	31/07/18	N/A	31/01/19	0	1	Arrears/rent collection performance is reported to Members via the Housing Update Report, which is presented to the Housing Management and Almshouses Sub Committee twice yearly. Housing are currently revising the format of this report to include a more detailed performance dashboard. It is intended this will provide more detailed information relating to rent collection performance beyond the figure or percentage collected. The last housing update report

Department & Audit Area	Original Target Date	Revised Target Date (pre follow-up)	New Target Date (post follow-up)	Implementation Status		Management Comment
				Not	Partial	
Housing & BE Rents – Rent Arrears Levels	31/07/18	N/A	31/03/19	0	1	<p>was presented to committee on 23 July 2018. The revised format will be presented to the committee in January 2019.</p> <p>A revised target date has been supplied for setting a former tenant arrears target, hence partial implementation.</p>
Guildhall School of Music & Drama Baxter Storey Contract Management – ESB Priority 1 Recommendations (RED priority)	22/05/18	N/A	31/12/18	0	1	As this Health & Safety Audit is undertaken annually (by ESB) and will take place in the Autumn term, proof of monthly review cannot be supplied until this time. Revised target timescale set for demonstration of full implementation.
Succession Planning, Talent Management & Staff Development – Workforce Plan	30/04/18	31/07/18	31/12/18	1	0	With changes in senior staff at the School and further development of the strategic plan, and the development of the corporate HR transformation plans we have delayed finalising our workforce plan to ensure we are able to take into account all relevant factors. The overall objectives in the School Strategic plan have now been agreed and a more detailed 5 year business plan is now being developed and the workforce plan and talent management will need to reflect the new business plan. Revised date - 31st December 2018.
Succession Planning, Talent Management & Staff Development – Succession Planning	31/01/18	31/07/18	31/12/18	1	0	Following this initial plan the City started developing a talent management strategy as part of the HR transformation. We therefore delayed our plan to ensure we could use the expertise of the new Organisational Development team in Corporate HR and so we could align with any corporate plan. This also links into a new appraisal system that the City are currently trialling and will launched across the corporation from April 2019. The overall objectives in the School Strategic plan have now been agreed and a more detailed 5 year business plan is now being developed and the workforce plan and talent management will need to reflect the new business plan. Revised date – 31 st December 2018.

Department & Audit Area	Original Target Date	Revised Target Date (pre follow-up)	New Target Date (post follow-up)	Implementation Status		Management Comment
				Not	Partial	
Satellite Site Operations – Strategic Plan	31/12/17	31/07/18	30/09/18	0	1	For both Satellite Sites recommendations: this links in to the School's strategic objective around under 18 provision. A consultant was brought in to develop this strategy with focus on governance and SLA's. The final draft is being tweaked over the summer and the final version will be presented to an Under 18 away day in September. A draft report will be signed off by SMT in September and the Board in November. Partially implemented status due to a copy of the draft Strategy having been supplied to Internal Audit. Revised target date for full implementation is 30th November 2018.
Satellite Sites – Collaboration Agreements	31/10/17	N/A	30/09/18	0	1	
Sundial Court – Accommodation Strategy	31/07/18	N/A	30/11/18	0	1	
Markets & Consumer Protection Seized Goods – Records of Disposal	30/03/18	N/A	N/A	0	1	Disposals procedures cannot be tested in practice until such time as there are disposals.
Town Clerk Corporate Business Travel – Policy	31/05/18	N/A	31/10/18	1	0	The review of the business travel policy is ongoing, and a first draft was presented to SRG in April. Feedback from SRG, and various key stakeholders have been incorporated into the policy and will go to back to SRG and summit in Sept 2018.
Corporate Business Travel – Purchase Supporting Documentation	31/05/18	N/A	31/03/19	1	0	The review of business travel by procurement has identified the challenges in implementing and monitoring compliance to this recommendation due to the fact that the travel authorisation /purchasing process is manual. Cityproc will therefore commence procurement of travel services that will include software to facilitate and track travel purchases. Timescale to be revised to end of FY2018.
Corporate Business Travel – Pre-approval of Business Travel Arrangements	31/05/18	N/A	31/10/18	1	0	Will be progressed once the above actions have been implemented. Timescale revised to end of FY 2018 The Town Clerk will remind Chief Officers in September 2018 of the importance of all business travel being notified to the Insurance Team.

Department & Audit Area	Original Target Date	Revised Target Date (pre follow-up)	New Target Date (post follow-up)	Implementation Status		Management Comment
				Not	Partial	
Member & Officer Declarations of Interest – Co-opted Member Records	30/04/18	N/A	31/10/18	1	0	The annual update, including all Co-opted Members and all elected Members was undertaken after the start of the new municipal year and we have updated all our records on the basis of responses received. The next step is to upload the Co-opted Members register to the library on-line so they're publicly accessible. A report on the outcomes of the annual update exercise will be reported to the 5th October meeting of the Standards Committee.
Member & Officer Declarations of Interest – Timeliness of Website Publishing	30/04/18	N/A	31/10/18	1	0	The DOI (Declaration of Interests) and ROI (Register of Interests) work has become part of a wider piece of work. We were originally delayed by essential work in readiness for GDPR.
Member & Officer Declarations of Interest – Officer DoI Monitoring Arrangements (RED priority)	31/05/18	N/A	TBC	0	1	Further to going to Establishment Committee in July, the Chairman asked for us to investigate mirroring the Members Register of Interest. We have been asked to take a report to Summit (26.09.18) and thereafter depending on their views to steer providing a further report to Establishment Committee on the proposed way forward (22.10.18 meeting). Revised target date for implementation to be confirmed following decision-making by Members in October 2018.
TOTAL				14	22	