

High Priority Recommendations Partially Implemented / Not Implemented

Amber priority recommendations outstanding at time of September 2017 follow-up exercise (recommendations due for implementation by 31st August 2017)

Department & Audit Area (<i>'Not implemented'</i> listed first)	Original Target Date	Revised Target Date	Implementation Status		Management Comment
			Not	Partial	
Chamberlain's (IT Division):					
IT Network Infrastructure (SekChek) - Audit Policy	30/07/17	31/12/17	3	3	An Audit Policy (part of a raft of security related policies) will be produced and approved as part of the raft of IT policies being developed by the IT Transformation Programme (proposed new delivery date, end Dec 2017.) With the new contract deliverables matrix being in place to ensure delivery against policy.
IT Network Infrastructure (SekChek) – Audit Policy Alerts	30/07/17	28/02/18			As the policies are drafted and developed with partners and customers, a project Manager has been contracted to implement them. The design, implementation, use and regular review of audit logs will require careful planning. There is currently no SIEM (Security Information & Event Management) at CoL or DLP team, this is being addressed within CR16 and the recent Risk Treatment Plan including ten Steps to Security. A multi-strand project which is underway.
IT Asset Management – Software License Asset Register	30/06/17	10/07/17			Internal Audit are awaiting evidence of implementation.
ITIL – Version Control	31/03/17	31/12/17			The Head of IT Business Management and Performance advised that the starters, movers and leavers policy and process is currently being worked on, along with 50 others, in line with the transformation project, the aim is to get these fully implemented before 31/12/17.
Remote Access – New User Access Authorisation	30/05/16	31/12/17			The IT Business Manager has confirmed with the Service Desk that anyone can complete the new user form on the City of London Self-Services portal and that there is no approval that goes to the line manager of the relevant team. This is to be addressed by the new IT

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WiFi – Penetration Tests	13/10/16	31/10/17			<p>Business Manager with the Service Desk to ensure tighter controls on authorisation of new user access authorisation.</p> <p>The IT Health check is complete, with one high risk vulnerability relating to Corporate WiFi. A plan to remediate against the Health check recommendations has been drafted by COL IT and Agilisys teams. The plan aims to complete the remediation, ready for our PSN compliance application deadline before the end of October 2017.</p>
City of London School Institutional Review – Governor Training Institutional Review – Procurement Card Management Institutional Review – Inventory Maintenance Institutional Review – Debt Management Roles, Responsibilities, Procedures	31/12/16 01/04/16 31/12/16 31/12/16	TBC TBC TBC TBC	0	4	<p>Internal Audit is in the process of liaising with the Town Clerk's Department and all of the Independent Schools to obtain assurance that responsibilities for Governor training and development are clear, mechanisms are in operation to ensure that all mandatory is undertaken as a minimum, and comprehensive training records are available to facilitate review.</p> <p>A recent audit of Financial Management at the School has confirmed partial implementation of these recommendations. New high priority recommendations are to be raised in these areas to incorporate some additional findings arising from audit fieldwork and suitable implementation timescales will be agreed with management.</p>
City of London School for Girls ICT Disaster Recovery Test	11/12/15	15/12/17	2	2	<p>CLSG Bursar: we understand the need for procedures for controlled restoring of data but we already have these in place along with a very good track record of keeping our systems on line (and have been able to do so even when colleagues in Guildhall have been suffering IT and telephony outages). We remain far from complacent about our IT resilience and we continue to review our procedures and systems and we are just completing an upgrade of our network which further enhances this resilience. We will take a look at whether a desk based</p>

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ICT Penetration Testing	01/12/15	TBC			scenario (paper exercise) such as is set out below would be a useful addition to run at some point. We are about to change Systems Manager at the school at the end of this month. I will ask the new systems manager to run a paper exercise by the end of this term.
Institutional Review – Governor Training	30/06/16	TBC			CLSG Bursar: We have been researching the cost of a penetration test but the cost would be prohibitive e.g. around \$10,000. The school cannot afford to do this.
Institutional Review – Inventory Maintenance	08/07/16	30/09/17			CLSG Bursar: There are no legislative standards in this area. The Headmistress and Governors between them agree what training is appropriate. We are content for some of the training/induction to our particular school to be led by us. However, the issue is that many of the Governors also sit on other committees which have similar training requirements. Understandably, they do not want to have to repeat training multiple times just to meet requirements of individual departments or committees. This is where the Town Clerk's come in as Governors have asked for centrally provided training to be maintained by Clerks and then shared with Departments as required. This is outside the remit and control of the school. We can ask for the information to be provided but we are not responsible for maintaining the central training records.
City Surveyor (Action owner is CHB – IT) BMS Configuration	31/12/11	30/04/18	0	1	CLSG Bursar: We would normally run inventory checks during the summer when the equipment is all in one place and school is not in session. However, we have not been able to do this recently due to the refurbishment works taking place in school. However, I am confident that our checks are robust, for instance we were able to identify that some iPads were missing from their normal place of storage which has led to investigations to find their whereabouts.
					A series of workshops are underway attended by Schneider (the new

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					BMS sub-contractor), IS networks, Agilysis and the City Surveyor's Department to consider the options to meet the Government's Code of Connection compliance criteria. To achieve compliance the parties are considering how the BMS can best be segregated from the main IS network. At the end of this exercise Schneider will report to the City on the options, costs and implications. This is expected to complete by the end of October 2017. Revised date for resolution of risk: 30 April 2018.
City of London Police Monitoring of Fuel Cards in Circulation Fuel Card List Accuracy Fuel Card Transaction Checking	30/09/16 30/09/16 30/11/16	31/12/17 31/12/17 31/12/17	3	0	The Police are currently in the process of procuring a new fuel card contract and an audit will be undertaken when the new contract comes into operation. A transaction list of all fuel card spend is circulated to the relevant departments by the Vehicle Fleet Manager. The Vehicle Fleet Manager does not have the resources to follow up on these and is reliant on departments checking the reports. The Police are advised to seek feedback from departments that transaction reports are being reviewed to 'close the loop.'
Community & Children's Services Valuation of Contract Variations Provisional Sums & General Contingencies Issue of Contract Instructions	31/03/15 31/03/15 31/03/15	31/12/17 31/12/17 31/12/17	0	3	DCCS now have a contract management checklist which will address the requirements of all three live high priority recommendations. Internal Audit need to review checks operating in practice post December 2017 as the current four projects are only just getting under way.
Open Spaces Lodges - Mole Valley Contract and Financial Regulations	30/12/16	31/12/17	0	1	The lodge review is complete – this has either reduced the number of staff in lodges or the position has remained static. The Mole Valley contract has been discussed and it is felt to be a useful and necessary service. However different sites have reported varying levels of

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					satisfaction. Regular meetings are being established with Mole Valley to address this. An initial investigation of alternative providers did not find any suitable alternatives, so we will now take steps to review the market more fully with a procurement process.' As the procurement process is still to be undertaken, the recommendation has been recorded as partially implemented.
Town Clerk's HR Vetting Policies & Procedures	28/02/17	31/12/17	1	0	HR Operations Manager: I can confirm a review of the Recruitment and Selection Policy, together with the Pre-employment Vetting Policy has not yet been completed due to conflicting work commitments but it is now on the objectives of one of my team to complete this year with the support of the Policy team.
TOTAL			9	14	
Percentage of follow-up activity			%	%	