

**Corporate Follow-Up Exercise Outcomes – Live Recommendations due by 31/12/19**
**Appendix 2**
*Outstanding High Priority (Red & Amber) Recommendations*

<b>Department:</b>		Barbican Centre			<b>Original Assurance Rating:</b>		Red
<b>Audit:</b>		Retail and Bars			<b>Revised Assurance Rating:</b>		Red
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Functionality of Revel system for Ordering of Retail's Stock	Amber	31/07/2018	31/12/2019	Partially Implemented.	The tender is being published after the Christmas holiday. Depending on the implementation period we would have a new system in place at the earliest of March 20 and the latest July 20.	31/07/2020	
Online shop - Integration of Revel and Shopify	Amber	31/07/2018	31/12/2019	Partially Implemented.		31/07/2020	
Retail Stock-take Revel System Functionality	Amber	31/07/2018	31/12/2019	Partially Implemented.		31/07/2020	
Recording of Cross charges on Revel	Amber	31/07/2018	31/12/2019	Not Implemented.		31/07/2020	
<b>Department:</b>		Barbican Centre			<b>Original Assurance Rating:</b>		Amber
<b>Audit:</b>		Visitor Experience			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Goals & Objectives - Definitions	Amber	31/08/2018	31/12/2019	Partially Implemented.	We have recently conducted an audience segmenetaion exercise and associated review which has lead to a closer definition of the different types of visitors. The following phase is to role out training to departments. This has in progress. This is joined up with the wider audience experience training which will ensure a further one team approach to our customer experience and understanding.	31/07/2020	
Measurement, Analysis and Dissemination	Amber	31/05/2019	31/12/2019	Partially Implemented.		31/07/2020	
Goals & Objectives - Line of Sight	Amber	31/01/2019	31/12/2019	Not Implemented.	The new Strategic Plan and business plan aid this. These are on the work plan for both the Board and MT to gain regular updates.	31/07/2020	
SMART Objectives	Amber	30/11/2018	31/12/2019	Not Implemented.	Draft KPI areas went to the Board in November 2019. As work develops on the business plan these will be fleshed out and finalised in the new year – Revised date – 31/05/20	31/05/2020	
Goals & Objectives - Business Plan Monitoring	Amber	30/11/2018	31/12/2019	Not Implemented.	This is updated regularly and has just gone to the Board ( Nov 19). Updates are on the work plan for both the Board and Management Team.	31/07/2020	

<b>Department:</b>		Chamberlain's (City Procurement)			<b>Original Assurance Rating:</b>		Amber
<b>Audit:</b>		Commercial Contract Management - Scorecards			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Completing Scorecards	Amber	30/09/2019	N/A	Not Implemented.	Audit Comment: further correspondence received following completion of the corporate wide follow-up review, confirming implementation of recommendations. Evidence has been provided and will be reviewed as part of subsequent follow-up activity.	31/01/2020	
Reporting to Members and Senior Management	Amber	31/07/2019	31/12/2019	Not Implemented.		31/01/2020	
Backlog of Supplier Scorecards	Amber	30/06/2019	N/A	Not Implemented.		31/01/2020	
<b>Department:</b>		Chamberlain's (City Procurement)			<b>Original Assurance Rating:</b>		Amber
<b>Audit:</b>		Suppliers Health and Resilience			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Category A Supplier Scorecards	Amber	31/07/2019	31/10/2019	Partially Implemented.	Audit Comment: further correspondence received following completion of the corporate wide follow-up review, confirming implementation of recommendations. Evidence has been provided and will be reviewed as part of subsequent follow-up activity.	31/01/2020	
Financial Metrics Analysis and Commercial Analysis	Amber	30/06/2019	31/10/2019	Partially Implemented.		31/01/2020	
<b>Department:</b>		City of London Freeman's School			<b>Original Assurance Rating:</b>		Amber
<b>Audit:</b>		Institutional Review			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Capture of Asset Purchases	Amber	29/02/2016	31/08/2019	Partially Implemented.	A proposal for a time bonded plan for the way forward is to be developed and submitted for agreement with Internal Audit, details of which will be made available by 31 March 2020. In outline, a plan will be created to include a protocol , a template for completion and a staff training & awareness raising program to enable a robust process for inventory capture can be implemented by 31 October 2020. This should enable a Inventory Update exercise to be completed over the following term.	31/10/2020	

<b>Department:</b>		City of London Freeman's School			<b>Original Assurance Rating:</b>		Red
<b>Audit:</b>		Cyber			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
USB Ports Unlocked	Red	31/01/2019	30/11/2019	Partially Implemented.	In the Autumn term 2019, the ICT Strategy Group approved a policy to lock down USB drives so they cannot be used or, if their use is essential for business purposes, to enforce USB encryption prior to data transfer. The policy has been implemented and communicated accordingly. Internal protocols have been developed and staff awareness raising and training delivered as needed. However, due to serious accessibility issues for students during the exam period this has been temporarily reversed (ie 'un-locked down'). This will be restored late Jan once the exams complete. Further work is required to identify an 'exam proof' lock down process before the next round of exams in May 2020.	31/05/2020	

  

<b>Department:</b>		City of London School			<b>Original Assurance Rating:</b>		Red
<b>Audit:</b>		Cyber			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Governors Comms	Amber	31/12/2019		Not Implemented.	Cyber report wasn't prepared and issued for the previous BoG meeting in December, oversight on the school side. Next BoG is May 2020 where a standing agenda item will be cyber and data protection	31/05/2020	
DSG minutes	Amber	31/07/2019	31/12/2019	Not Implemented.	Monthly agenda item to be added onto SMT meetings from week of 13th January 2020 concerning cyber security.	31/01/2020	
Remote Wiping/InTune	Amber	30/09/2019		Partially Implemented.	The implementation of mobile device management for school owned devices (staff ultrabooks) was completed in August. Due to the complexities involved in in the change, the roll-out was delayed for personal devices. This has seen a decline in the use of personal devices. Newly implemented AUP and Information Security Policy were issued to staff in the last quarter of 2019. Implementation timeframe is now May 2020 at which point a full demonstration will be provided to the audit team.	31/05/2020	
Mobile device usage guidance	Amber	30/09/2019		Not Implemented.		31/05/2020	

<b>Department:</b>		City of London School for Girls			<b>Original Assurance Rating:</b>		Amber
<b>Audit:</b>		ICT			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
DR test	Amber	11/12/2015	28/02/2019	Not Implemented.	<p>Critical system/data that is managed locally is only the shared file store and MIS system holding student data. The rest is on Office365 platform and recovery is managed by the Office 365 support.</p> <p>For the MIS and file store a DR test or table-top exercise has not been done. Guidance will be sought from the City of London IT Team regarding the steps needed for a DR Walkthrough tabletop exercise.</p> <p>An extension to end of April 2020 is specified as this is expected to be sufficient time to liaise with COL IT and complete the task.</p> <p>Revised implementation date : End of April 2020</p>	30/04/2020	
<b>Department:</b>		City of London School for Girls			<b>Original Assurance Rating:</b>		Amber
<b>Audit:</b>		Budget Setting and Monitoring			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Budget Estimating - Absence of budget monitoring processes involving budget holders	Amber	31/12/2019		Partially Implemented.	The Finance Manager has been holding these meetings with budget holders. Q3 review meetings have been arranged and meeting notes will be supplied to enable closure of the recommendation.	21/01/2020	
Consistent approach to budget estimating	Amber	31/12/2019		Partially Implemented.	Procedure now documented. This should be finalised by 10 January and will then be circulated to staff (I will copy you in on the email that gets sent out). Work on the Survey Monkey to issue in February will provide evidence of how much staff are aware of procedures and help identify training needs.	29/02/2020	

<b>Department:</b>		City of London School for Girls			<b>Original Assurance Rating:</b>		Red
<b>Audit:</b>		Cyber			<b>Revised Assurance Rating:</b>		Red
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Create Password & Firewall Policy	Amber	13/12/2019		Partially Implemented.	The Password and Firewall Policies have been prepared. Version Control information is needed for the Password Policy. Password Policy and Review Frequency will be checked and added where necessary. Target Implementation Date: 15 February 2020	15/02/2020	
Security Measures - Pen test	Amber	06/11/2019		Partially Implemented.	Last significant infrastructure change July 2018. Subsequently External Pen and Internal Pen Test Done March 2019 No major changes since that time. Please find attached Pen Test Report. External Company brought in to help address all pen test recommendations with revised implementation date of March 2020	31/03/2020	
Security Measures - Pen Test frequency	Amber	13/12/2019		Partially Implemented.	As the IT Manager I have considered the Certifications such as Cyber Essentials Plus and will progress with the IT Management as this is a cost associated with this. However I have attended Cyber Security forums (Last one attended Approx June 2019) which keeps me informed about Cyber Certifications Requirements. A policy for penetration testing will be drafted by the IT systems manager by 14th February 2020.	14/02/2020	

Cyber Strategy Information	Amber	13/12/2019		Partially Implemented.	<p>Cyber exposure identification is present in the cyber strategy document which is a link in the cyber handbook. Strategic Principles and Objectives sections outline Cyber Exposure details.</p> <ul style="list-style-type: none"> <li>•Keeping Technology up to date relates to patching (policy) which is not currently in the Cyber Handbook but will be added as there is already a patching matrix in place.</li> <li>•Cyber Attacks are documented in the Cyber Handbook and Sophos is used for detection and ServiceDesk and Email is used for reporting. An incident management policy will be drafted as specified in the Cyber Security Strategy document and will include Cyber Attack Detection and Incident Reporting.</li> <li>•Physical information assets e.g Usbs are now locked down as demonstrated to Audit.</li> </ul> <ul style="list-style-type: none"> <li>•Governance structure is contained in Document Version Control however reporting to the board is to be established by requesting information from the bursar.</li> <li>•Regular Testing of Infrastructure is to be included and addressed in another rec 2952, thus excluded here.</li> <li>•Backups are duly completely and to supplement this a backup policy will created to provide clarity to the policy and operational activity.</li> </ul>	31/03/2020
Network Diagram	Amber	13/12/2019		Partially Implemented.	<p>Network Diagram has been created but needs to be updated with latest addition of Firewall to link to COL. New Firewall introduced beginning of December 2019.</p> <p>Diagram to be updated to include some more detail e.g Makes location and models.</p> <p>Revised Implementation Date : 29 Feb 2020</p>	29/02/2020

<b>Department:</b>		City of London School for Girls			<b>Original Assurance Rating:</b>		Red
<b>Audit:</b>		Internal Controls			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Raising purchase orders	Amber	02/09/2019		Not Implemented.	Finance Bite Size has continued to be used to disseminate key procedures regarding procurement, Purchase Orders and good practice. Training will be arranged for the three key Heads of Department (IT, Music, PE) in February. Further evidence will be provided of the training taking place.	29/02/2020	
Bite Size Financial Guidance	Amber	30/10/2019		Not Implemented.	These bite size reminders have continued to issue to all staff on a regular basis. Testing of staff knowledge has yet to take. This will be timed for next month (February) following the dissemination of the local Finance Procedure which is currently being finalised and should issue week commencing 13 January 2020. Evidence of this issuing will be provided. Evidence following Survey Monkey will be provided in February.	29/02/2020	
Staff Awareness of Procurement Card Written Procedures	Amber	02/09/2019		Not Implemented.		29/02/2020	
Procurement Card Request Business Cases	Amber	02/09/2019		Partially Implemented.	This procedure has now been drafted and commented on by Audit. The aim is to finalise it by Friday 10 January and disseminate it the week after that.	19/01/2020	
Asset Register Written Procedures	Amber	02/09/2019		Partially Implemented.	This procedure has now been drafted and commented on by Audit. The aim is to finalise it by Friday 10 January and disseminate it the week after that.	20/01/2020	
Asset Register Maintenance	Amber	02/09/2019		Partially Implemented.	This has now been addressed in the local Finance Procedure which Audit have now seen and commented on. This will be finalised by 10 January and disseminated the following week. The asset registers and inventories are in various states of preparation and will continue to be worked on in the coming months. Regular updates can be provided on progress. The new Compliance Manager at the school will spot check these registers in the Summer holidays.	30/09/2020	
Consistent Asset Register Format	Amber	11/07/2019	30/09/2019	Partially Implemented.	It is not possible to have a single unified format. Some departments need inventories not asset registers and IT asset register has different requirements to a valuables register. The various proposed templates have been shared with Audit.	31/03/2020	
Annual Physical Asset Checks	Amber	02/09/2019		Partially Implemented.	Internal Audit: the checking process has been defined. A revised target timescale is required for demonstration of these checks in operation.	30/09/2020	

Revenue Project Governance Procedures	Amber	02/09/2019		Partially Implemented.	This has been addressed in the draft local Finance Procedure which Audit have seen and commented on. The procedure will be finalised by 10 January 2020 and disseminated to staff the following week	19/01/2020
Written procedures for revenue project management	Amber	02/09/2019		Partially Implemented.	This has been addressed in the draft local Finance Procedure which Audit have seen and commented on. The procedure will be finalised by 10 January 2020 and disseminated to staff the following week.	19/01/2020
Business Cases Requirements for Revenue Projects	Amber	02/09/2019		Partially Implemented.		19/01/2020
<b>Department:</b>		Community and Children's Services			<b>Original Assurance Rating:</b>	Red
<b>Audit:</b>		Asylum Seekers			<b>Revised Assurance Rating:</b>	Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date
Procurement & Payment of Services - Contracts in Place	Red	31/12/2019		Partially Implemented.	New contract terms and specification for placements are being finalised by Commissioning and Conptrollers. Once finalised these will be used for new placements and will be used when placement contracts are reviewed, It is not aniticipated that we will be able to provide evidence of full implementation for some time and request an extention on this recommendation until 31 March 2020	31/03/2020
Procurement of Semi-Independent Living Placements	Red	30/09/2019		Partially Implemented.		31/03/2020
Procurement - Individual Agreements	Red	30/09/2019		Partially Implemented.	An extension of time has been requested for completion and signing of the outstanding Individual Agreements completed and signed by the relevant parties.	31/03/2020
<b>Department:</b>		Guildhall School of Music and Drama			<b>Original Assurance Rating:</b>	Amber
<b>Audit:</b>		Student Affairs			<b>Revised Assurance Rating:</b>	Green
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date
Recording of Budget Monitoring Outcomes	Amber	28/02/2019	30/09/2019	Partially Implemented.		TBC
Review/Benchmarking of Service Provision	Amber	30/09/2019	31/10/2019	Partially Implemented.		TBC
<b>Department:</b>		Guildhall School of Music and Drama			<b>Original Assurance Rating:</b>	Green
<b>Audit:</b>		Production Arts Students Petty Cash			<b>Revised Assurance Rating:</b>	Green
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date
Petty Cash Fund Reconciliations	Amber	31/10/2019		Partially Implemented.	A process has been designed to address the recommendation and evidence of application in practice will be available by 31st January 2020.	31/01/2020



<b>Department:</b>		Town Clerk's			<b>Original Assurance Rating:</b>		Red
<b>Audit:</b>		Declaration of Interests			<b>Revised Assurance Rating:</b>		Green
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Communication of Policy to Employees	Amber	30/04/2018	30/04/2019	Partially Implemented.	<p>An on-line Declaration of Interest form has been developed in Firmsteps. Due to more snagging issues upon testing than anticipated, these are currently being worked through with IT support. We have had to revise our planned cascade and now intend a staggered as opposed to global release. Corporate HR will be a live test group first in early January, then Chamberlains and the rest of Town Clerk's.</p> <p>As advised previously we are not preparing training courses but aids to managers include declaration of interest examples, FAQs, a Managers' Handbook Guide and a new Conflicts of Interest Policy.</p>	TBC	
<b>Department:</b>		Town Clerk's			<b>Original Assurance Rating:</b>		Amber
<b>Audit:</b>		Corporate Wide Emergency Planning			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Emergency Management Plan	Amber	30/06/2018	30/11/2019	Not Implemented.	The Corporate Emergency Plan content is complete , the current phase is for it to go back to publishers to carry out typo checks and place the sections in the order we have requested , this will be mid January.	31/01/2020	

<b>Department:</b>		Town Clerk's			<b>Original Assurance Rating:</b>		Amber
<b>Audit:</b>		Innovation and Growth (EDO) - Projects and Programmes			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Quarterly Reviews are not done quarterly.	Amber	30/09/2019	N/A	Not Implemented.	Deep dives have been scheduled at 3 month intervals, these are supported by the Assistant Directors through the completion of supporting documentation that guides each team deep dive. All documentation and outcomes from these meetings are now stored securely in the SLT SharePoint. Internal Audit comment: implementation evidence awaited.	TBC	
Business Case Outline	Amber	31/07/2019	N/A	Not Implemented.	Work is beginning with a consultant to facilitate best working practices across the department, throughout the identification and implementation of new ways of working we will be developing and documenting new processes and procedures.	TBC	
<b>Department:</b>		Town Clerk's			<b>Original Assurance Rating:</b>		Amber
<b>Audit:</b>		Responsible Business Strategy			<b>Revised Assurance Rating:</b>		Amber
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Responsible Procurement Guidance	Amber	30/12/2019	N/A	Not Implemented.	Operational responsibility for Responsible Business is in transition following changes to key staffing and current vacancies, recommendation implementation to be reviewed once the position has stabilised.	TBC	
Resilience	Amber	30/11/2019	N/A	Not Implemented.		TBC	
Training	Amber	30/11/2019	N/A	Not Implemented.		TBC	
On-Going Coordination Arrangements	Amber	30/11/2019	N/A	Not Implemented.		TBC	
<b>Department:</b>		Town Clerk's			<b>Original Assurance Rating:</b>		Amber
<b>Audit:</b>		Human Resources - Staff Learning and Devopment			<b>Revised Assurance Rating:</b>		Green
Recommendation Name	Priority	Target Date	Revised Target Date	Follow-Up Outcome	Management Comment	Latest Revised Target Date	
Review of L & D Policy	Amber	28/06/2019	31/12/2019	Not Implemented.	The policy has been amended and is waiting final sign off. It is hoped that the policy will be uploaded by the end of February 2020.	29/02/2020	