

Recommendation details

Data revision date: 21/06/22

Audit Period	Audit Name	Unique Reference	Issue	Status	Priority	Created Date	Target Implementation Date	Revised End Date	Revised End Date changes	
July 2019	Cyber Security - Incident Management	44560	The Incident Management Policy, along with the Information Security Framework of policies, were last updated in 2017.	Outstanding	2	10/11/20	30/04/21	31/05/21	31/05/22	3
July 2019	Cyber Security - Incident Management	44562	Incident Management and investigation procedures are not documented.	Agreed	2	10/11/20	31/12/21	31/01/22	30/06/22	2
July 2019	Cyber Security - Incident Management	44561	Incident Response plans are not fully documented.	Agreed	3	10/11/20	31/12/21	31/01/22	30/06/22	2
July 2019	Cyber Security - Incident Management	44563	There is no clear tracking mechanism for ongoing and recurring vulnerabilities. There is currently no formal process in place to review, identify, validate and remediate gaps in anti-malware status and coverage.	Agreed	3	10/11/20	31/12/21	31/01/22	30/06/22	2
October 2020	ICT Audit Deployment of Anti-Malware Devices	44542	CDC / WODC - Housing Benefit not reconciled during 2020	Ongoing	3	17/05/21	31/10/21	30/11/21	30/04/22	1
October 2020	Revenues and Benefits (CDC, FoDDC, WODC)	44592	CDC and WODC - Officer system access is not revoked when it is no longer required.	Ongoing	2	18/11/20	31/01/21	01/02/21	31/07/22	3
October 2020	Revenues and Benefits (CDC, FoDDC, WODC)	44540		Ongoing	3	09/11/20	31/03/21	30/06/21	30/11/22	2
2021/22 Audits										
April 2020	Accounts Payable (Creditors)	45450	Amendments to supplier accounts can not be monitored.	Complete	2	17/05/21	30/09/21	31/10/21		0
April 2020	Accounts Payable (Creditors)	45451	Documentation is due for review and forms do not contain all relevant information.	Complete	3	17/05/21	31/10/21	30/11/21		0

April 2020	Accounts Payable (Creditors)	45457	Supplier bank account details were not confirmed in writing	Complete	3	18/05/21	30/06/21	31/07/21	0	
April 2020	Payroll	45585	Payroll monthly checklists are not fully completed, and we are unable to tell when process notes were last reviewed.	Complete	3	21/06/21	30/09/21	31/10/21	0	
July 2020	Systems Administration	45115	Privileged user accounts remain active when not required.	Closed - Recomm	2	04/03/21	31/01/22	31/01/22	30/06/22	1
July 2020	Systems Administration	45236	A lack of control surrounds the Business World SYSTEM account.	Complete	2	25/03/21	31/01/22	31/01/22	30/06/22	1
January 2021	Human Resources (Learning & Development)	45249	Third parties and/or temporary staff working for or on behalf of the Council are not required to carry out mandatory training modules	Agreed	2	30/03/21	31/03/22	30/04/22	0	
January 2021	Human Resources (Learning & Development)	45287	The Public Learning and Development Guidance and associated forms (Training Brief form and Learning Contract) have not been fully approved by relevant Employee Trade Unions.	Agreed	2	13/04/21	30/09/21	31/10/21	30/11/21	1
January 2021	Human Resources (Learning & Development)	45223	There is no Learning Management System in place	Agreed	3	23/03/21	31/03/22	30/04/22	0	
January 2021	Human Resources (Learning & Development)	45265	Training needs identification and training evaluation are not used as a tool for identification and improvement of training for the wider organisation	Complete (Client	3	09/04/21	30/04/21		0	
January 2021	Human Resources (Learning & Development)	45266	Course completion data extracted from iHasco is unreliable and incomplete, meaning it cannot be used for reliable reporting and training monitoring	Agreed	3	09/04/21	31/10/21	30/11/21	0	

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January 2021	ICT Audit Data Recovery Capabilities	45747	A Data Recovery Test Schedule was not available.	Complete	3	22/07/21	31/12/21	31/01/22	0	
June 2021	H&S - Fire Risk Assessments	45890	Fire Risk Assessments Work Schedule is not current and incomplete	Complete	2	18/08/21	31/12/21	31/01/22	31/03/22	1
September 2021	Emergency Planning (CDC, FoDDC, WODC)	46080	Gold Commanders have not undertaken training in the last 3 years.	Complete	2	04/10/21	31/12/21	31/01/22	0	
September 2021	Emergency Planning (CDC, FoDDC, WODC)	46119	No guidance for the use of WhatsApp groups.	Ongoing	2	13/10/21	31/12/21	31/01/22	30/06/22	1
September 2021	Emergency Planning (CDC, FoDDC, WODC)	46168	Statutory roles and responsibilities are not clearly defined	Ongoing	2	26/10/21	31/12/21	31/01/22	30/06/22	1
September 2021	Emergency Planning (CDC, FoDDC, WODC)	46127	The Publica Emergency Planning Contact Directory is not up to date.	Complete	3	18/10/21	31/12/21	31/01/22	0	
July 2021	Procurement - Contract Management and Monitoring	46222	Contractor's BCP arrangements are not reviewed	Complete	3	02/11/21	31/03/22	30/04/22	0	
July 2021	Procurement - Contract Management and Monitoring	46220	Contract could not be located - WODC	Complete	3	02/11/21	31/03/22	30/04/22	0	
January 2022	Governance of Programmes and Projects	46565	Statutory Officers not consulted on project/programme governance decisions; Framework requires updating	Agreed	2	05/01/22	30/09/22	30/06/22	0	
January 2022	Governance of Programmes and Projects	46807	Inconsistencies with the quality of key milestones.	Agreed	3	01/03/22	30/09/22	0		
October 2021	Revenues and Benefits - Ctax and NNDR (CDC, FoDDC, WODC)	46965	Regular Financial Reconciliations are not completed (CDC and WODC)	Agreed	2	08/04/22	31/07/22	31/07/22	0	
October 2021	Revenues and Benefits - Ctax and NNDR (CDC, FoDDC, WODC)	46965	Regular Financial Reconciliations are not completed (CDC and WODC)	Agreed	2	08/04/22	31/07/22	31/07/22	0	
October 2021	Revenues and Benefits - Ctax and NNDR (CDC, FoDDC, WODC)	46966	Backlogs exist in processing Housing Benefits claims (CDC, FoDDC and WODC)	Agreed	3	08/04/22	31/07/22	31/08/22	0	
October 2021	Main Accounting and Accounts Receivable (CDC, FoDDC, WODC)	47056	Write off Separation of duties.	Agreed	2	04/05/22	30/09/22	31/07/22	31/10/22	1

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October 2021	Main Accounting and Accounts Receivable (CDC, FoDDC, WODC)	47096	Debt Management, recovery and write off guidance.	Agreed	2	17/05/22	30/09/22	31/10/22	0	
November 2021	ICT - Control of Accounts with Administrative Privileges	46851	Accountability (enforced reason entry to view accounts)	Agreed	3	03/03/22	30/11/22	31/12/22	0	
November 2021	ICT - Control of Accounts with Administrative Privileges	47032	Potential for inappropriate and undetected local Administrator rights.	Agreed	3	11/04/22	30/11/22	31/12/22	0	
November 2021	ICT - Control of Accounts with Administrative Privileges	47089	Last (current) Logged on user within Virtual environments	Agreed	3	13/05/22	30/11/22	31/12/22	0	
January 2021	Risk Management (CDC, FoDDC, WODC, Pub)	45972	Sufficient Training, Support and Guidance should be provided to Managers.	Complete	2	09/09/21	31/10/21	30/11/21	31/05/22	1
January 2021	Risk Management (CDC, FoDDC, WODC, Pub)	45973	Universal Risk Register Templates are to be issued, with consideration of dedicated Risk Management Tooling.	Outstanding	2	09/09/21	31/10/21	30/11/21	31/05/22	1
January 2021	Risk Management (CDC, FoDDC, WODC, Pub)	45974	Define Risk Management differences between Councils, and role of Corporate Responsibility Compliance.	Complete	3	09/09/21	31/10/21	30/11/21	31/05/22	1