



Control Summary Report

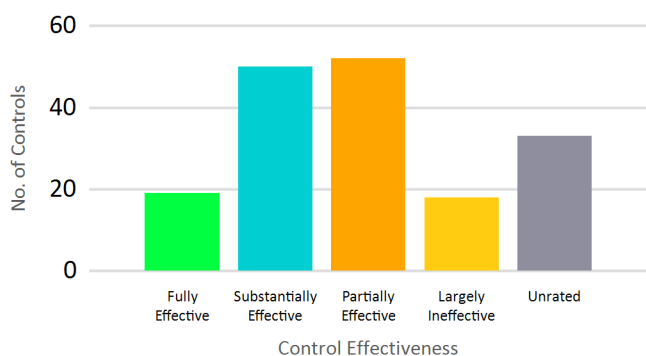
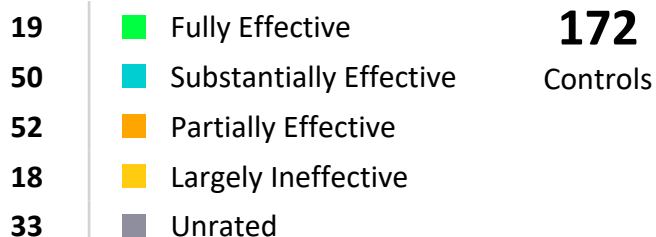
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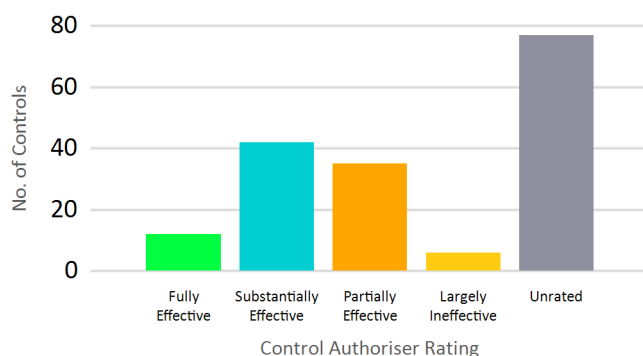
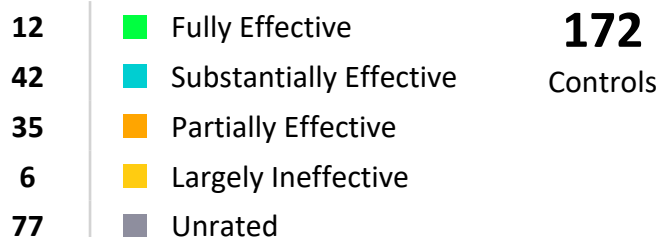
Print Date: 03-Mar-2022

CONTROL SUMMARY

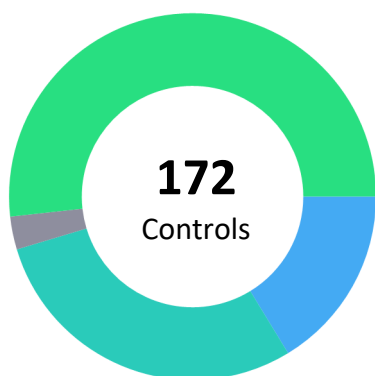
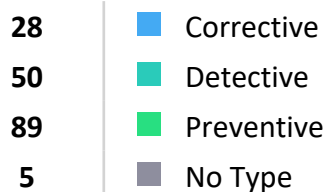
Control Effectiveness



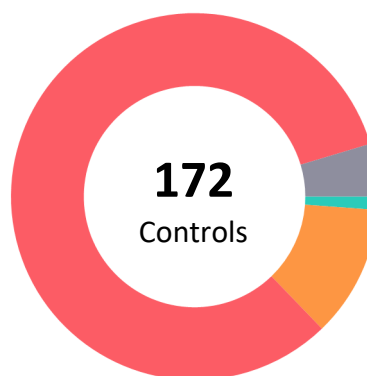
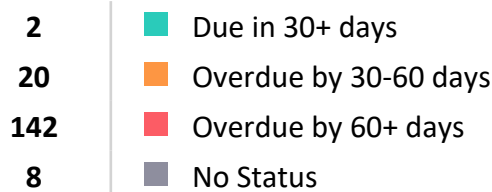
Control Authoriser Rating



Controls by Type





Control Review Status



CONTROL DETAILS

Proactively monitor infrastructure for data breaches & theft

Control Type: Preventive	Status: Active	Last Review Date: 04-12-2021	Next Review Date: 28-07-2022
Control Owner: David Murray	 Fully Effective	Control Authoriser: Elizabeth McMahon	 Substantially Effective
Control Comment: Maintain constant monitoring of infrastructure to avoid data breaches and/or theft			
Organisational Links: Organisation > Corporate Strategy > Human Resources			

Actions

Action Title	Action Owner	Action Status	Start Date	End Date	% Completed
Review code management protocols across key systems	David Murray	In Progress	01-02-2021	31-10-2022	67
Proper knowledge on handling the legal and regulatory compliance.	Michelle Jonas	In Progress	21-09-2021	14-05-2022	18
Encryption to be installed on all company laptops, mobile devices and removable media	Susan Wright	Not Started	28-02-2022	02-07-2023	0

Risks

Risk Title	Risk Owner	Primary Risk Category	Residual Rating	Next Review Date
SR - 5 Implementation of alternative fuel usage strategy	David Murray	Environmental	 High	31-10-2022
Organisational Links: Organisation > Corporate Strategy > Analysis and Planning				
SR - 11 Inefficient document control process results in the accidental release of sensitive, confidential data	Elizabeth McMahon	Service Delivery	 High	14-06-2022
Organisational Links: Organisation > Operations and IT > Innovation > Digital First Organisation > Legal & Genera				
OR - 2 Efficiency caused by procedural flexibility	Elizabeth McMahon	Business Continuity	 Moderate	02-09-2022

Incidents

Incident Title	Responsible Officer	Incident Type	Incident Status	Reported Date/Time
BI - 1 A networking device crashes, bringing down several services	David Murray	Business Incident	Open	03-11-2022 01:48 PM
INJ - 4 Tripping injury to member of the staff in breakroom	Elizabeth McMahon	Feedback	Open	03-11-2022 09:26 AM
AD - 5 Environment Protection Act 1993	Elizabeth McMahon	Injury	Closed	03-11-2022 11:57 AM

Authority Documents

Authority Document Title	Responsible Officer	Authority Document Type	Risk Rating	Next Review Date
AD - 01 Using and Disclosing Personal Information and Identifiers	David Murray	Federal Legislation	High	03-11-2022
AD - 5 Environment Protection Act 1993	Elizabeth McMahon	State Legislation	Low	03-11-2022

Policies

Policy Title	Responsible Officer	Policy Type	Risk Rating	Next Review Date
AD - 01 Using and Disclosing Personal Information and Identifiers	David Murray	Internal Policy Document	High	03-11-2022

Obligations

Obligation Title	Obligation Owner	Obligation Type	Obligation Status	Risk Rating	Next Review Date
CMS - 20 Using and Disclosing Personal Information and Identifiers	David Murray	Privacy & Data Protection	Partially Compliant	High	31-10-2022
CMS - 25 Investment management, superannuation, and related services sector	Elizabeth McMahon	Anti Bribery	Fully Compliant	Medium	14-05-2022
AD - 5 Environment Protection Act 1993	Elizabeth McMahon	Workplace Health & Safety	Partially Compliant	High	02-07-2022

Audits

Audit Title	Responsible Officer	Audit Type	Audit Category	Audit Year	Audit Risk Rating
OHS1801 Review of Bank Reconciliations	David Murray	OHS	Health of the population	20/21	Medium
GOV1802 Money laundering	Michelle Jonas	GOV	Health of the population	21/22	Low
OHS1813 Information security management audit	Susan Wright	GOV	Security	21/22	High



Audit Findings

Audit Finding Title	Audit No	Responsible Officer	Audit Year	Risk Rating
FN01 Inappropriate allocation of expenditure to expense type	GOV1802	David Murray	20/21	Medium
FN06 Although the CIMM document doesn't provide the actual crisis management strategies (i.e., specific actions to be undertaken at the time of a crisis) it does provide Crisis team members and alternates. Responsibilities of the Chief Executive (crisis manager). High-level responsibilities of the crisis team. The CIMM however, has the following deficiencies: Roles and responsibilities of the other crisis team members are not defined.	OHS1801	Michelle Jonas	19/20	High
FN03 The use of user accounts and passwords to limit access privileges should be implemented organization wide	OHS1813	Susan Wright	21/22	Medium

Audit Recommendations

Audit Recommendations Title	Audit No. & Finding No.	Responsible Officer	Status	Risk Rating	End Date
FN01-02 The Banking Officer should forward all bank reconciliations to the Financial Accountant to be reviewed and authorized monthly. The review process should ensure that reconciling items are cleared and that underlying process issues are identified and addressed. The review of all reconciliations should be documented on the reconciliation.	OHS 1801 – FN01	David Murray	Not Started	Medium	31-10-2022
FN03-01 Expenses should be charged to the appropriate expense code. Clearer guidance in relation to what expenditure type should be charged to each expense code should be provided.	OHS 1802 – FN03	Andrea West	In Progress	High	31-10-2022
FN11-03 Password changes should be system enforced and occur at least every 2 months, with strict password policy in place.	OHS 1813 – FN11	Andrea West	In Progress	Low	31-10-2022




Business improvement plan developed and reviewed annually for each Department

Control Type: Preventive	Status: Active	Last Review Date: 19-11-2021	Next Review Date: 28-08-2022
Control Owner: Detective	 Fully Effective	Control Authoriser: Andrew James	 Substantially Effective
Control Comment: Maintain constant monitoring of infrastructure to avoid data breaches and/or theft			
Organisational Links: Organisation > Corporate Strategy > Human Resources			

Actions

Action Title	Action Owner	Action Status	Start Date	End Date	% Completed
Contracting out certain aspects of the business that provide instant resources	David Murray	In Progress	01-02-2022	31-10-2022	10
Employee training plan	Michelle Jonas	In Progress	21-09-2021	14-05-2022	55
Additional training on customer relationship	Susan Wright	In Progress	30-11-2021	02-07-2022	20

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