



OHS1901-00 : ISO 27001:2011 - Information security management audit

Type	Year	Owner	Entity	Firm	Start	End	Final Report Due	Risk	Status
OHS	19/20	Joe Smith - Manager, Planning and Amenity	National Corporation	KPMG	31/07/2019	31/12/2019	26/07/2019	 High	Active

No	Finding	Consequences	Responsibility
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FN02	There no policies/procedures addressing the use of personnel devices such as mobile phones, hard drives and pen drives at workplace. There should be restrictive practice on regards to file sharing.	Mismanagement of client data leading to theft of sensitive client and company information.	People and Culture
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No	Recommendation	Owner	Status	Completion
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FN02-01	Organization should implement restriction on USB ports for all office laptops or devices	Amy Stevens - Manager	 In Progress	29/05/2020
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FN02-02	Develop policies addressing the use of mobile phones	Paul Hilton - Director	 Not Started	09/09/2020
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FN02-03	Restrict employees from having USB drives at work place	Tamsen Jose - Officer	 Not Started	18/04/2020
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No	Finding	Consequences	Responsibility
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FN03	Current security system employed does not have a audit trail feature, which displays changes, extraction of data etc.	Accountability in regards to company and client information can lead to legal repercussions.	People and Culture
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No	Recommendation	Owner	Status	Completion
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FN03-01	Implement a security system where the Audit trail feature is available	Tom Jones - Director Corporate Development	 Completed	30/01/2020
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No	Finding	Consequences	Responsibility
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FN01	The organisation currently has a weak password and password renewal policy. A strict 'Access Control' is still under development.	Unrestricted access and lack of audit trails may result in inappropriate transactions being recorded and not being detected in a timely manner	Building and Local Law Services
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No	Recommendation	Owner	Status	Completion
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FN01-01	We recommend that with the implementation of the 'security system' system that the Council implement the use of individual user accounts for each Officer and eliminating the use of shared accounts.	Joe Smith - Manager, Planning and Amenity	 In Progress	16/03/2020
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FN01-01	We recommend that with the implementation of the 'security system' system that the Council implement the use of individual user accounts for each Officer and eliminating the use of shared accounts.	Joe Smith - Manager, Planning and Amenity	 In Progress	16/03/2020
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FN01-01	We recommend that with the implementation of the 'security system' system that the Council implement the use of individual user accounts for each Officer and eliminating the use of shared accounts.	Joe Smith - Manager, Planning and Amenity	 In Progress	16/03/2020
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FN01-02	Password changes should be system enforced and occur at least every 2 months, with strict password policy in place	Cory Klein - Project Manager	 In Progress	
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OHS1804-00 : Workplace OH&S 2017


Type	Year	Owner	Entity	Firm	Start	End	Final Report Due	Risk	Status
OHS	17/18	Joe Smith - Manager, Planning and Amenity	National Corporation	Internal	11/01/2018	29/04/2018	15/04/2018	 High	Active

No	Finding	Consequences	Responsibility
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FN01	Some of the hallways and stairwells within the hospital do not have the required hand railing to assist patients, and other clients.	Costly lawsuits could result if someone falls and is injured as a result.	Risk, Safety and Assurance
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No	Recommendation	Owner	Status	Completion
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OHS1803-00 : Environmental Management

Type	Year	Owner	Entity	Firm	Start	End	Final Report Due	Risk	Status
OHS	17/18	Joe Smith - Manager, Planning and Amenity	National Corporation	Internal	13/06/2017	19/07/2018	31/07/2018	 High	Active


No	Finding	Consequences	Responsibility
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FN01 Situation:Accountability for environmental compliance and/or control of environmental risk is diffused throughout the organisation and lacks a clear framework and management system. Although some procedures have been implemented through the use of the Control Risk Self Assessment, the management of environmental risks lacks a centralised point of management and control. Desirable Situation:CAMMS Risk Management Framework should be adapted to develop a completely integrated Environmental Management System, with a single member of the executive management team being responsible for the overall corporate management of environmental risk. Consequences If No Action:CAMMS may fail to adequately recognise and mitigate environmental risks, resulting in a failure to comply with existing environmental legislation, particularly relating to EPA matters. This in -turn may have adverse financial, legal and reputation impacts on CAMMS. Changes In Progress :We have been advised that actions are being taken to identify relevant legal compliance requirements (including environmental compliance) and that these will be incorporated into CAMMS Risk Management Framework.

No	Recommendation	Owner	Status	Completion
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FN01-01 There are a number of initiatives that should be implemented to enable the existing framework to function as an effective Environmental Management System ;1.Additional guidance should be provided to Business Units when completing Control Risk Self Assessments .This guidance should enable employees responsible for the completion of assessments to more thoroughly assess the environmental risks applicable to their Business Unit; and Recommendation :2.Incident Response Plans should be developed for all risks considered to have a potentially significant environmental impact.

Joe Smith - Manager, Planning and Amenity

 In Progress

09/05/2020

OHS1802-00 : Crisis Management

Type	Year	Owner	Entity	Firm	Start	End	Final Report Due	Risk	Status
OHS	17/18	Catherine Allan - Director	National Corporation	Internal	07/09/2017	19/01/2018	18/05/2018	 Medium	Active


No	Finding	Consequences	Responsibility
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FN01 1.Although CAMMS has a range of Business Continuity plans and capabilities,these may not provide the appropriate level of support or protection in the event of a crisis.
2.Approved policy and plans can not be communicated to all relevant stakeholders.

No	Recommendation	Owner	Status	Completion
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FN01-01 Develop a specific Crisis Management Policy covering: crisis management scope, incident management and reporting executive team awareness and training crisis management plan review and updating, crisis management rehearsal and testing, and reporting policy breaches.


David Murray - Manager

 Completed

31/01/2020


FN01-02 Assign ownership of the Crisis Policy, and other related crisis management procedures and tools to Risk Management or other appropriate group.

John Wayne - Project Manager

 Not Started

30/04/2020


GOV1802-00 : Security / Audit Trails

Type	Year	Owner	Entity	Firm	Start	End	Final Report Due	Risk	Status
GOV	18/19	Joe Smith - Manager, Planning and Amenity	National Corporation	Internal	01/07/2017	30/06/2018		 High	Active



No	Finding	Consequences	Responsibility
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FN01 The Group Manager, Parks & Recreation and the Head of Sport, Recreation & Events advised that the Events & Booking Database does not incorporate the following security measures: • Use of user accounts and passwords to limit access privileges. • Transaction audit trails. • The ability to extract financial reports. Desirable Situation: Access to the Events & Booking Database should be restricted to authorised users and have audit trails to record which officers record transactions / amend Masterfile information.


Unrestricted access and lack of audit trails may result in inappropriate transactions being recorded and not being detected in a timely manner. Information within the database may also be inappropriately manipulated to enable cash to be misappropriated prior to banking with financial loss to the Council. Changes In Progress: The Parks & Recreation Department is in the process of installing a new system called 'Events Perfect'. We have been advised that the new system should rectify the above limitations and will be implemented during October 2010.

No	Recommendation	Owner	Status	Completion
FN01-01	We recommend that with the implementation of the 'Events Perfect' system that the Council implement the following controls: 1. Use of individual user accounts for each Events Officer. 2. Passwords protection. Password changes should be system enforced and occur at least every 2 months. 3. Independent review of Masterfile maintenance audit trail reporting by an officer that is not involved with the collection and recording of monies collected. The review should be evidenced by signature and a copy of the reviewed report maintained on file. 4. The ability to extract financial reporting. In particular all reversals should be scrutinised in detail to confirm they have been performed for valid purposes and supported by appropriate documentation explaining the reason(s) for adjustment. 5. The new system should not have the ability to delete transaction records.	Carlene James - Officer	 In Progress	02/02/2020


No	Finding	Consequences	Responsibility
FN02	The organisation currently has a weak password and password renewal policy. A strict 'Access Control' is still under development.	Unrestricted access and lack of audit trails may result in inappropriate transactions being recorded and not being detected in a timely manner	City Strategy

No	Recommendation	Owner	Status	Completion
FN02-01	Password changes should be system enforced and occur at least every 2 months, with strict password policy in place	Joe Smith - Manager, Planning and Amenity	 In Progress	20/07/2019
FN02-02	We recommend that with the implementation of the 'security system' system that the Council implement the use of individual user accounts for each Officer and eliminating the use of shared accounts.	Joe Smith - Manager, Planning and Amenity	 Not Started	25/12/2019

GOV1801-00 : Review of Bank Reconciliations

Type	Year	Owner	Entity	Firm	Start	End	Final Report Due	Risk	Status
GOV	18/19	Joe Smith - Manager, Planning and Amenity	National Corporation	Internal	14/08/2017	19/01/2018	15/11/2018	 Low	Active

No	Finding	Consequences	Responsibility
FN01	Observation There is no independent review of the monthly bank reconciliations. Also, for a period of time, reconciling items were not cleared in a timely manner. Implication an inadequate review of bank reconciliations may compromise the accuracy of accounting information as discrepancies remain undetected.	This increases the risk that the account balance of "cash" is misstated.	

No	Recommendation	Owner	Status	Completion
FN01-01	The Banking Officer should forward all bank reconciliations to the Financial Accountant to be reviewed and authorised on a monthly basis. 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.	Richard Jennings - Manager	 Completed	15/02/2018