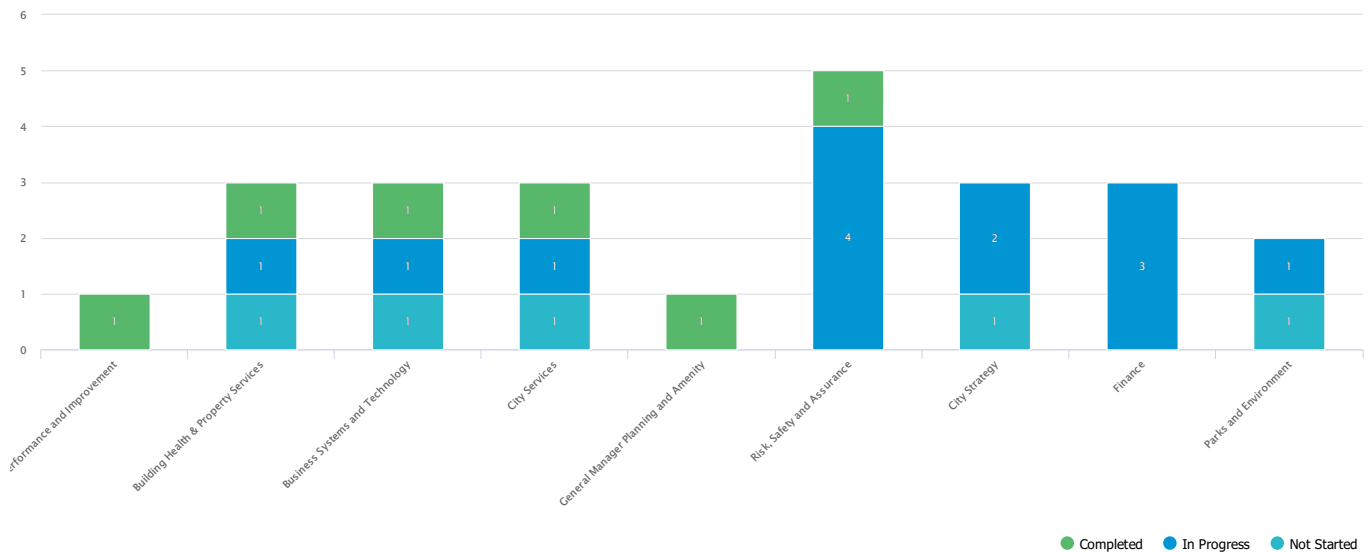


## Audit Actions by Business Units



## Action ageing across Audits

	91+ days	Completed	Overdue	Total #
Audit Title	#	#	#	
Allocation of expenditure to expense type			1	1
Council were required to select six (6) records of Reactive inspections conducted on Roads. These were each assessed against a number of key compliance criteria.		1	3	4
Crisis Management		1	1	2
Environmental Management			1	1
ISO 27001:2011 - Information security management audit	1	2	5	8
Review of Bank Reconciliations		1		1
Security / Audit Trails			3	3
Workplace OH&S		1		1
Workplace OH&S 2017			1	1
	1	6	15	22

## Audit Action Details

Allocation of expenditure to expense type

Recommendation No	Recommendation / Corrective Action	Responsible Officer	Status	Due By	Category	Due in Days
FN01-01	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.	Carlene James - Officer	In Progress	12/05/2020	Overdue	-630

Council were required to select six (6) records of Reactive inspections conducted on Roads. These were each assessed against a number of key compliance criteria.

Recommendation No	Recommendation / Corrective Action	Responsible Officer	Status	Due By	Category	Due in Days
FN01-01	The date repairs were due for completion is recorded.	Joe Smith - Manager, Planning and Amenity	Not Started	24/02/2020	Overdue	-757
FN01-02	Photographs of the defect are available.	David Murray - Manager	In Progress	24/05/2020	Overdue	-835
FN01-03	Measurements of the defect are recorded.	Faye Stanley - Manager	Completed	08/03/2020	Completed	N/A
FN01-04	Description of the defect as assessed by the Council inspector is recorded.	Jennifer Rance - Officer	In Progress	13/04/2020	Overdue	-793

## Crisis Management

Recommendation No	Recommendation / Corrective Action	Responsible Officer	Status	Due By	Category	Due in Days
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	22/02/2018	Completed	N/A
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	29/06/2020	Overdue	-806

## Environmental Management

Recommendation No	Recommendation / Corrective Action	Responsible Officer	Status	Due By	Category	Due in Days
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	17/02/2020	Overdue	-797

## ISO 27001:2011 - Information security management audit

Recommendation No	Recommendation / Corrective Action	Responsible Officer	Status	Due By	Category	Due in Days
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	01/06/2020	Overdue	-851
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	12/03/2020	91+ days	
FN02-01	Organization should implement restriction on USB ports for all office laptops or devices	Amy Stevens - Manager	In Progress	20/05/2020	Overdue	-777
FN02-02	Develop policies addressing the use of mobile phones	Paul Hilton - Director	Not Started	13/04/2020	Overdue	-674
FN02-03	Restrict employees from having USB drives at work place	Tamsen Jose - Officer	Not Started	08/12/2019	Overdue	-818
FN03-01	Implement a security system where the Audit trail feature is available	Tom Jones - Director Corporate Development	Completed	17/02/2020	Completed	N/A
FN04-01	Give consideration to the potential benefits of formally adopting IT Security Standards to achieve either alignment or formal compliance with the requirements of the ISO27001 IT security standards.	Cory Klein - Project Manager	In Progress	12/01/2020	Overdue	-842
FN05-01	Weekly Meeting 1	Cory Klein - Project Manager	Completed	10/02/2020	Completed	N/A

## Review of Bank Reconciliations

Recommendation No	Recommendation / Corrective Action	Responsible Officer	Status	Due By	Category	Due in Days
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	18/02/2020	Completed	N/A

## Security / Audit Trails

Recommendation No	Recommendation / Corrective Action	Responsible Officer	Status	Due By	Category	Due in Days
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	10/02/2020	Overdue	-894
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	23/04/2020	Overdue	-1091
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	19/03/2020	Overdue	-933

## Workplace OH&S

Recommendation No	Recommendation / Corrective Action	Responsible Officer	Status	Due By	Category	Due in Days
FN01-01	Installation of new lighting over all staff working areas	Jack Watts - Officer	Completed	12/10/2018	Completed	N/A

## Workplace OH&S 2017

Recommendation No	Recommendation / Corrective Action	Responsible Officer	Status	Due By	Category	Due in Days
FN01-01	Add hand railings to all hallways and stairwells.	Joe Smith - Manager, Planning and Amenity	In Progress	17/03/2020	Overdue	-777