



Recommendations Summary

Atlantis Group

Camms.Risk

Print Date: 16-Feb-2022

Audit Recommendations

OVERVIEW

47% OVERDUE

11% SCHEDULED

42% COMPLETED



Audit Recommendations Summary

GOV1801-00 Security / Audit Trails

Category : Health of the Population

1

Total Number of
Recommendations

1

Number of
Recommendations
Completed

0

Number of
Recommendations
Overdue for Completion

0

Number of
Recommendations Due
for Completion

GOV1802-00 Money laundering

Category : Health of the Population

1

Total Number of
Recommendations

1

Number of
Recommendations
Completed

0

Number of
Recommendations
Overdue for Completion

0

Number of
Recommendations Due
for Completion

OHS1801-00 Review of Bank Reconciliations

Category : Health of the Population

2

Total Number of
Recommendations

0

Number of
Recommendations
Completed

2

Number of
Recommendations
Overdue for Completion

0

Number of
Recommendations Due
for Completion

OHS1802-00 Workplace OH&S

Category : Health of the Population

1

Total Number of
Recommendations

1

Number of
Recommendations
Completed

0

Number of
Recommendations
Overdue for Completion

0

Number of
Recommendations Due
for Completion

OHS1803-00 Crisis Management**Category :** Health of the Population

5

Total Number of
Recommendations

2

Number of
Recommendations
Completed

1

Number of
Recommendations
Overdue for Completion

2

Number of
Recommendations Due
for Completion**OHS1804-00 ISO 14001:2015 - Environmental Audit****Category :** Health of the Population

1

Total Number of
Recommendations

1

Number of
Recommendations
Completed

0

Number of
Recommendations
Overdue for Completion

0

Number of
Recommendations Due
for Completion**OHS1805-00 Workplace OH&S 2017****Category :** Health of the Population

1

Total Number of
Recommendations

0

Number of
Recommendations
Completed

1

Number of
Recommendations
Overdue for Completion

0

Number of
Recommendations Due
for Completion**OHS1901-00 ISO 27001:2011 - Information security management audit****Category :** Security

7

Total Number of
Recommendations

2

Number of
Recommendations
Completed

5

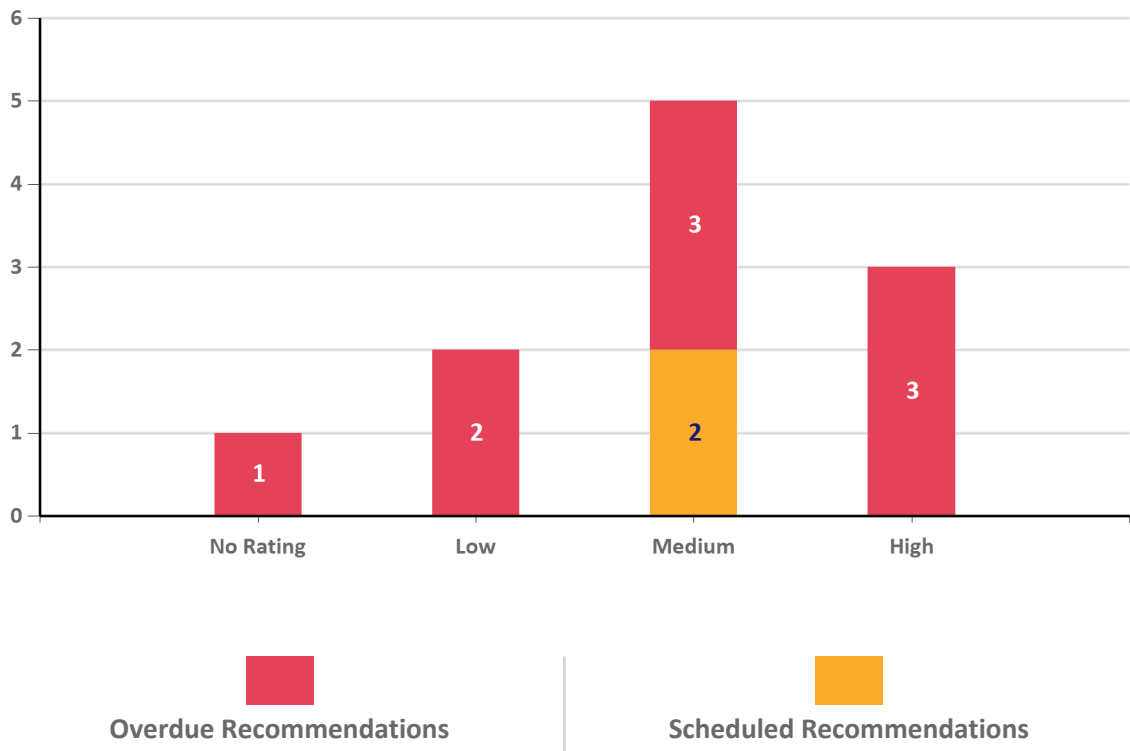
Number of
Recommendations
Overdue for Completion

0

Number of
Recommendations Due
for Completion

Outstanding Recommendations

OVERVIEW



Outstanding Recommendations

OHS1803-00 Crisis Management		Risk Rating: Medium		
Finding : FN01 The following documents are key to Atlantis Crisis Management processes; Crisis and Issues Manual policy document prepared by Corporate Communications; and a Business Continuity – Corporate Policy document prepared by Corporate Services. Finding this does not refer to the Business Continuity -Corporate Policy although it provides good a good starting point regarding roles and responsibilities and this interrelationship between the various aspects of the framework.				
Due Date of Recommendation: 25-Feb-22	Responsible Officer: Elizabeth McMahon	Division: Operations and IT	Percentage Complete:	Action Status: In Progress
Recommendation Description FN01-02 Assign ownership of the Crisis Policy, and other related crisis management procedures and tools to Risk Management or other appropriate group.				
Status Report Summary:				
Management Response: Agreed. This will be undertaken as an early part of the revision of all crises management documentation.				
Status Report:				
Finding : FN03 Atlantis suite of Crisis Management documents consists of: The Crisis and Issues Management Manual (CIMM), a 33 page document Crisis/Issue Management Flowchart, Business Continuity – Corporate Policy Selected Business Continuity Plan documents and parts of the Municipal Emergency Management Plan Findings Our examination of these crisis management documents noted: There is no reference in the CIMM to the Business Continuity – Corporate Policy, however the Policy refers to the CIMM. The CIMM does not refer to the overarching business continuity management Policy, which is in fact a good ‘starting point’ for stakeholders to understand the framework structure and interrelation between plans and teams. Crisis response strategies were not defined in the CIMM. Although the purpose of this document is to: “help manage issues, incidents or crisis.” The procedures required to achieve this are not defined in the document. The Business Continuity – Corporate Policy calls out the Crisis Management Team ’s responsibility for the implementation of BCPs and DRPs – contingent on the crisis scenario, this may not be accurate. The CIMM refers to the Business Continuity plans but does not describe how the two interrelate when the plans are executed. The CIMM seems to depend on strategies contained in the Municipal Emergency Management Plan (MEMPlan). Hence, the CIMM doesn’t ‘stand on its own.’				
Due Date of Recommendation: 02-Feb-22	Responsible Officer: Susan Wright	Division: Sales	Percentage Complete:	Action Status: In Progress
Recommendation Description FN03-02 Review crisis response strategies to ensure they are in line with Atlantis strategic objectives.				
Status Report Summary:				
Management Response:				
Status Report:				

Due Date of Recommendation: 23-Feb-22	Responsible Officer: Andrea West	Division: Legal & General	Percentage Complete:	Action Status: In Progress
Recommendation Description FN03-01 Document the crisis management plan in accordance with the BCM Policy. 2.Consider outcomes of a risk and vulnerability assessment in developing crisis response strategies. 3.Review crisis response strategies to ensure they are in line with Atlantis strategic objectives. 4.Formally describe the linkage between crisis management and the business continuity and disaster recovery teams’ roles and responsibilities.				
Status Report Summary:				
Management Response: Agreed. A workshop review with all parties will be conducted to determine all information and obtain agreed positions and ongoing management and maintenance.				
Status Report:				

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

Risk Rating: High

Finding : FN02 There are no policies addressing the use of personal devices at the workplace.

Due Date of Recommendation: 12-Nov-19	Responsible Officer: Clarke Chan	Division:	Percentage Complete:	Action Status: Not Started
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Recommendation Description

FN02-03 Atlantis should implement restriction on USB ports for all office laptops or devices

Status Report Summary:**Management Response:****Status Report:**

Due Date of Recommendation: 08-Apr-20	Responsible Officer: Shannon Roma	Division: Operations and IT	Percentage Complete:	Action Status: Not Started
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Recommendation Description

FN02-02 Develop policies addressing the use of mobile phones

Status Report Summary:**Management Response:****Status Report:**

Due Date of Recommendation: 23-Nov-21	Responsible Officer: Elizabeth McMahon	Division: Operations and IT	Percentage Complete:	Action Status: In Progress
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Recommendation Description

FN02-01 Restrict employees from having USB drives at work place

Status Report Summary:**Management Response:****Status Report:**

Finding : FN03 Systems lacking oversight, there are no transaction audit trails

Due Date of Recommendation: 03-Feb-20	Responsible Officer: Elizabeth McMahon	Division: Operations and IT	Percentage Complete:	Action Status: In Progress
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Recommendation Description

FN03-01 Implement a security system where the Audit trail feature is available

Status Report Summary:**Management Response:****Status Report:**

Finding : FN04 Overall company does not have the controls in place to satisfy the requirements of ISO27001

Due Date of Recommendation: 02-Dec-19	Responsible Officer: Joe Smith	Division: Operations and IT	Percentage Complete: 50 %	Action Status: In Progress
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Recommendation Description

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.

Status Report Summary:

Investigation into the potential business impact and risks from adopting IT security standard in a number of areas will be conducted

Management Response:

Status Report:

OHS1801-00 Review of Bank Reconciliations

Risk Rating: Low

Finding : FN01 Independent Review of Bank Reconciliations

Due Date of Recommendation:

08-Mar-21

Responsible Officer:
Joe Smith

Division:
Operations and IT

Percentage Complete:
56 %

Action Status:**Recommendation Description**

FN01-02 Investigation into the potential business impact and risks from the merger or acquisition in a number of areas

Status Report Summary:

Framework established, awaiting board approval

Management Response:**Status Report:**

Due Date of Recommendation:

23-Nov-17

Responsible Officer:
Madeline Jones

Division:
Sales

Percentage Complete:

Action Status:
Not Started

Recommendation Description

FN01-01 The Banking Officer should forward all bank reconciliations to the Financial Accountant to be reviewed and authorized 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.

Status Report Summary:

Awaiting confirmation from Group Accountant

Management Response:

In September and October 2009, the method used to reconcile the bank accounts was independently reviewed and all monthly reconciliations completed. Since November 2009, monthly reconciliations have been reviewed and signed off by the Management & Financial Accountant and reconciling items cleared promptly.

Status Report:

Status Report - This issue may be closed

OHS1805-00 Workplace OH&S 2017

Risk Rating: Medium

Finding : FN01 Some hallways and stairwells do not have hand railings for support**Due Date of
Recommendation:**

16-Mar-18

Responsible Officer:

Joe Smith

Division:

Operations and IT

**Percentage
Complete:**

80 %

Action Status:

In Progress

Recommendation Description

FN01-01 Add hand railings to all hallways and stairwells.

Status Report Summary:

Installation of hand railings over all staff working areas will be assigned following month

Management Response:**Status Report:**

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