

Huntingdonshire District Council - Agreed Audit Actions Not Implemented as at 30 June 2019

Appendix

Reference	Audit Name and Action Number	Priority	AM Responsible	Date agreed for action	Original Target Date	Action Status	Evidence to be Provided	Last Update Date	Last Update By	Last Update Summary	Last Update Detail	Service Area	
1	AT/84b4/24118	Network Security 17.18 - Intrusion Detection - 4	Amber	Network/Infrastructure Manager	31/3/2019	30/6/2018	open	Baselines for appropriate network activity. On-going monitoring of network activity.	1/3/2019	Internal Audit & Risk Manager	3rd extension granted - from 28/02/2019 to 31/03/2019. Target date changed to: 31/03/2019	Update: July 2019 Other active mitigating steps are in place – Cabinets are locked to prevent unauthorised / un approved use of unused ports on switches. Cabinets are in secure / locked environments which prevents unauthorised access to the cabinets themselves. Traffic monitoring to establish a baseline or normal level of activity or behaviour is being developed, however, with the volume of infrastructure change that is currently being undertaken that impacts network traffic, analysing and settling on 'normal' will take much longer than originally planned. Options for IP address management tools and procedures are being assessed as part of a wider set of improvements and enhancements to network management and solarwinds. Funding bids (external and internal) processes are underway. Discussions are due to take place with the BDO auditor to agree whether this action can be closed as progress is being tracked and managed as part of an agreed project/programme of work.	3C ICT
2	AT/94a4/9519	FOI 18.19 / 2	Amber	Information Governance Manager	31/3/2019	31/3/2019	open	Evidence of completed data quality template uploaded to Intranet.			Update: July 2019 Statistical data re FOI reporting is currently being produced and presented to relevant groups. This exercise is more effective e.g. CCC, further work is required for HDC and SCDC, reasons, relevant groups for presentation are not active. Reporting structure has further been enhanced by the Interim IG Manager to include SAR requests, number of appeals, ICO appeals and/or notices. Additional monthly reports will be sent to departments to update performance to ensure the department is meeting mandated legal timeframes.	3C ICT	
3	AT/34a8/9519	FOI 18.19 / 5	Amber	Information Governance Manager	31/5/2019	31/5/2019	open	IGB minutes to confirm the outcome/decision. Noted that currently IGB is only advisory and CMT is the decision-making body. It is suggested that the authority of the IGB is amended to include decision-making on IG matters.			Update: July 2019 Further discussions are required prior to signing up. The IG Manager is moving this forward with the relevant to ensure prior to sign up applied and/or agreed costs have been signed off and approved by finance. Some councils are already publishing under (TC) e.g. CCC, SCDC, though SCDC data may be out of date etc. As for what additional data needs to be published this is still work in progress.	3C ICT	

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4	AT/04b9/9519 FOI 18.19 / 3 Communications for launch of new FOI training course will be sent to HR and launched as mandatory training to all staff. [Current availability of the course will be checked and the course removed whilst errors are amended, then a new launch and instruction].	Amber	Information Governance Manager	31/3/2019	31/3/2019	open	Evidence of training launch				Update: July 2019 FOI is best effective when carried out by an approved third party with qualified skilled trainers. An exam is required for this course. Having one uploaded is ideal as a refresher. All relevant staff will be booked on a course currently being coordinated by Interim IG Manager (this action can be closed) staff just need to attend courses booked FOI/SAR. This was discussed and will be presenting figures to finance for sign off, training can then commence.	3C ICT
5	AT/a48d/24118 Network Security 17.18 - Intrusion Detection - 3 A procedure will be introduced to identify, regularly monitor and report on all devices that have connected to the IT network. Devices identified are to be reviewed and when found not to be authorised, be removed. This procedure shall include the use of personal devices connected to the IT network.	Amber	Network/Infrastructure Manager	31/3/2019	30/6/2018	open	The documented procedure. Evidence of the devices review.	1/3/2019	Internal Audit & Risk Manager	Extension granted - from 28/02/2019 to 31/03/2019. Target date changed to: 31/03/2019	Update: March 2019 "We are in the process of installing the Clearpass software which will identify all devices connected to the network and block those that are not authorised. The solution is partially in but has been problematic and blocking approved devices. The vendor are scheduled to attend site of March 7th to work to resolve the issues. When this has been resolved we will be able to fully roll out. Please can I ask you to extend my actions until the end of March initially until we have resolved the issue and have the planned timelines to complete. I fully appreciate that these actions have been extended a number of times. The vendor who is working on this are the same people that installed the networking and they believe the issues are resolvable and that the solution is still the correct solution." Target date changed to: 31/03/2019 Original target date: 28/02/2019	3C ICT
6	AT/04bd/9519 FOI 18.19 / 4 Enforcement of mandatory training will be taken to the next Information Governance Board to decide how training will be monitored and enforced (suggested that iLearn should show the staff member the courses required, and enforcement is made as part of the PDR process and monitored through 1:1s and the 'manager's contract' developed via Cohort training) .	Amber	Information Governance Manager	31/5/2019	31/5/2019	open	IGB minutes to confirm the outcome/decision. Noted that currently IGB is only advisory and CMT is the decision-making body. It is suggested that the authority of the IGB is amended to include decision-making on IG matters.				Update: July 2019 Interim IG Manager to follow up with relevant Heads of HR and Staff. The current model is not that effective and so far I have failed to see how none compliance is escalated to line managers who need to be responsible for their staff. There is lack of managerial accountability, work in progress.	3C ICT
7	AT/54af/151216 IT Disaster Recovery 1617 - 3 Management should produce technical recovery plans for all IT infrastructure, hardware and systems that are necessary to provide an IT service to the Council in the event of a disaster. These technical actions plans should be appended to the IT Disaster Recovery Plan and made available in the event of a disaster.	Amber	Senior Network/Infrastructure Team Leader	30/9/2018	30/6/2017	open	a) To produce a plan for producing these technical recovery documents by June 2017. b) Technical recovery plans	16/7/2018	Internal Audit & Risk Manager	Extension of time granted from 30/04/2018 to 30/09/2018. Target date changed to: 30/09/2018	No Update Provided	3C ICT

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9	AT/f4b3/9519 FOI 18.19 / 1 FOI guidance will be prepared for FOI Champions to follow. This should provide guidance on all aspects of the process (including identification and handling; redaction; exemptions; vexatious requests; fees and hours; previous requests checks.)	Amber	Information Governance Manager	31/5/2019	31/5/2019	open	Guidance to be provided to Audit	9/5/2019	Deborah Moss - Internal Auditor	Report upload	Update: July 2019 There was a guidance written, but not fit for purpose, this work needs to be reviewed to ensure the overall operational tasks are covered and agreed with line managers and IG champions if the guidance is going to be effective.	3C ICT
10	AT/f485/23818 Management of Health & Safety - 17.18 - 4 The following arrangements should be embedded into the Health and Safety policy: 1. Gas Safety 2. Infection Control 3. Respiratory Protective Equipment 4. Security Threats 5. Smoke Free Workplace 6. Transport Safety 7. Vibration	Amber	Head of Community	30/6/2019	31/3/2019	open	Updated Health & Safety policy.	1/4/2019	Internal Audit & Risk Manager	Extension of time requested from 31/03/2019 to 30/06/2019. Target date changed to: 30/06/2019	Update: July 2019 Head of Community commented that the implementation of these changes has been delayed from the original target date. Key members of the team working on this have been assigned to other projects within the Council, carrying higher corporate priority; or have been involved in the preparation for and presentation of evidence at the Coroners Inquest following the fatal accident at Hamerton Zoo. An extension will be requested to this to allow a new date for completion of 30th September 2019. Target date changed to: 30/06/2019 - this has not expired and not implemented. Original target date: 31/03/2019.	Community
11	DM-IA/34b4/21616 Data Protection and Information Management 15.16 The Senior Information Risk Officer (SIRO) shall decide how long information and emails etc. shall be kept within Anite, and the process for purging or archiving.	Amber	Corporate Team Manager	31/7/2018	30/9/2016	open	Decision taken and copy of instruction informing managers.	29/5/2019	Corporate Team Manager	There has been no progress made on this and will now need to be taken up by the Corporate Team Manager and the new Information Governance Manager in June 2019.	Update: July 2019 This action has proven difficult to complete as it involves a number of Officers and the relevant Officer to lead on this is the Information Governance Manager who has had at least three different post holders since the action was identified and this activity has never been given a priority (e.g. GDPR, FOI management due to volume of work and resource issues have taken priority) and so has not been drawn to a conclusion. The essential issue is that the purging or archiving of the records will almost certainly take up resource for several months and there are a lot of records to consider and this will be give us few tangible benefits and so another solution has tried to be found that manages this action more efficiently from a cost point of view. However, it is not been a priority and so getting all the key users who use the system (Anite / Information at Work) together to explore their own needs and so reach a collective agreement has not been achieved.	Corporate Team

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12	AT/e4b2/6618 Social Media - 3a The Social Media Policy to include detail as to the types of posting that need to be formally reported as defamation or libellous to individuals or the Council. (in addition training to officers about the type of posting which fall into these categories should be provided).	Amber	Corporate Team Manager	31/1/2019	31/1/2019	open	The updated Social Media Policy that reflects the recommendations above.	29/5/2019	Corporate Team Manager	There is to be a new Communications Strategy and Social Media policies and guidance in July 2019	Update: July 2019 This action is being picked up in the new Communications Strategy being prepared, due for issue in July 2019. The appointment of the new Communications Executives took place later than first intended (we had to go to a second two round of recruitment) and once appointed and due to start in April, I decided that the Strategy would be prepared by them and this would include an update to our use of Social Media and so that was when this audit action would be completed.	Corporate Team
13	AT/749e/5917 One Leisure 17.18 - 1d Consider removal of second OL card/key fob (to mitigate card sharing)	Amber	Business Manager Operations	30/6/2019	31/12/2017	open		1/7/2019	Business Manager Operations	Card sharing across all other sites to be removed when new access control system is delivered in Autumn 2019	Update: July 2019 A Capital Bid to deliver a new access control system in Autumn 2019 has been accepted. This will include the use of RFID. One Leisure still holds a large supply of cards with both fobs and in the interim will ask customers which one they prefer - although it is accepted that some (estranged parents) will request both.	Leisure and Health
14	AT/44af/23818 Grounds Maintenance and Street Cleansing - 17.18 - 3 In the period before the new cab system is implemented, the Street Cleansing and Grounds Maintenance manager will review a sample of maintenance sheets, this will be formally built into the new in cab solution in the future.	Amber	Head of Operations	31/10/2018	31/10/2018	open	Reviewed beat sheets.	8/7/2019	Head of Operations	Project Target Dates Changed	Update: July 2019 Due to complexities of working with brand new Alloy product Go Live Street Cleansing date 28th July 2019. All rounds data input as part of this delivery.	Operations