Reference	Audit Name and Action Number	Assignee	Detail	Evidence to be Provided	Current Due Target	Original Due Target	Status	Timing	MANAGER UPDATE AT JANUARY 2021	Time lapse since original date
1521	Hardware & Software	Alex.Young@3cs	Procedures should be documented for the secure wiping of information when managing lost/stolen IT assets and prior to the disposal of IT assets.	Procedure to be developed for secure wipe/protection of data at rest for lost/stolen. supporting evidence - produce written documentation relating to Certificate revocation, bitlocker, intune remote wipe for phones, restrictions non re-introduction of devices on to the domain.	31/12/20	01/07/20	NotStarted	Late	AY: I have just not had the time to complete this but will commit to have it completed by end of Jan. TIME EXTENSION REQUESTED TO END Jan.21	6 months
1532	Network System Resili	Alex.Young@3cs	Management should establish planned schedule for testing of data centre failover. Testing should be undertaken on at least an annual basis.	Data centre testing schedule.	31/10/20	31/10/20	NotStarted	Late	AY: This was due to be completed over the weekend of November 14th but had to be postponed. This is now scheduled for weekend of January 29th. Can this action be extended until end of Feb to allow for evidence to be written up and added. TIME EXTENSION REQUESTED TO END Jan.21	under 6 months
1137	Data Protection and In	Oliver.morley@h	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.	Decision taken and copy of instruction informing managers.	31/07/18	30/09/16	NotStarted	Late	No reply	4 years +
1170	Management of Healtl	john.taylor@hur	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	Updated Health & Safety policy.	30/09/19	31/03/19	NotStarted	Late	JT: "this action has be reallocated following organisational restructure, and an update is being sought from the new owner" (Justin Andrews)	21 months
1080	Social Media - 3a	gregg.sullivan@l	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).	The updated Social Media Policy that reflects the recommendations above.	31/03/20	31/01/19	NotStarted	Late	No reply	21 months
1526	Protocol Policy Manag	madelaine.govie	Management will put a plan in place to seek staff awareness of IT policies by including a rolling awareness programme for extant policies within the protocol policy management system.	High level plan.	30/11/20	01/06/20	NotStarted	Late	MG disscussed with IAM that this is being considered through a MetaCompliance tool to store and monitor. IT Policies need to be updated before this can progress and this is currently being looked at.	6 months
1496	Grounds Maintenance	Neil.Sloper@hur	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.	Reviewed beat sheets.	31/12/19	31/10/18	InProgress	Late	No reply	2 years+
1535	FMS Post-implementa	manjit.pope@hu	Going forwards for joint projects key stakeholders (system users) from the Council should commit to the system specification phase and detail variances I business needs to ensure they are controlled and overseen.	System specifications	31/10/20	01/04/20	In progress	Late	Project management ramework in place and signed off by WP SLT SLT. Project ManagementGateway process has been developed for HDC with National IPA stipulated requirements awaiting HDC SLT Sign off.	9 months

1536	FMS Post-implementa	manjit.pope@h	Going forwards decision points such as UAT sign -off should be supported by contingency plans when partial roll out is approved. this should involve holding the vendor to account and /or providing additional resource to support processes.	Contingency plans.	31/10/20	01/04/20 In Progress	Late	Project management Gateway process developed and proposed for all new projects and programmes - awaiting C- SLT sign off.	9 months
1537	FMS Post-implementa	manjit.pope@h	Going forwards all new contracts should stipulate an exit clause to ensure timely extraction and transformation of data from the legacy database to the new database.	Contractual agreements.	31/10/20	01/04/20 In Progress	Late	This should be a standard default for all products and projects, Projec management framework for HDC developed and include PM ToR's & responsibilities to ensure contractual assurance is sought.	9 months
1538	FMS Post-implementa	manjit.pope@h	Going forwards risk assessments as part of the initiation phase (project initiation document and project plan) should include an assessment of resource needs and corresponding resource risks.	Risk assessment	31/10/20	01/04/20 In Progress	Late	HDC project management framework tested and completed,his include risk management processes. Furher more the HDC PM Gateway process asssess RM at every gateway approval, and the giovernane will be overlaped by release of budget approval and allocation only on sucessfully gateway approval. The Governace for this later part has been agreed by Corparate Finance and Corparate PMD. C SLT approval remaining.	9 months
1133	Repairs & Maintenanc	mark.houston@	Once the plan of schedules repairs and maintenance has been compiled the service will agree key performance indicators to allow for performance to be monitored. (Appendix 1 in the report provides examples).	The agreed key performance indicators.	31/10/20	31/03/19 InProgress	Late	No reply	21 months
1311	Repairs & Maintenanc	mark.houston@	If and when the Facilities Management team provide FM services for another team within the Council, service delivery expectations will be clearly defined, agreed and approved between the relevant Heads of Service.		31/10/20	31/03/20 InProgress	Late	No reply	9 months
1339	Repairs & Maintenanc	mark.houston@	Once the asset management software has been purchased and populated with operational property details, the Facilities Management team will explore the use of the software with other managers who have responsibility for asset management.		31/03/20	31/03/19 InProgress	Late	No reply	21 months
1363	Repairs & Maintenanc	mark.houston@	Once annual and cyclical plans have been compiled, a resourcing plan to evidence how these plans will be delivered - including financial budgets - will be prepared and approved by the Head of Operations and used to support the 2019/20 budget setting process.	The resourcing plan.	31/10/20	31/03/19 NotStarted	Late	No reply	21 months
1529	PCI DSS 18.19 / 3	Oliver.morley@	A training needs assessment should be performed for all members of staff that have responsibility for PCI DSS compliance activities so as to determine their training needs.	Shared Service Management Board minutes	01/04/20	01/04/20 NotStarted	Late	No reply	9 months
1530	PCI DSS 18.19 / 4	Oliver.morley@	Compliance should be monitored and actin taken when members of staff are found to have not completed the PCI DSS training or have not read the policy and procedures.	Shared Service Management Board minutes	01/04/20	01/04/20 NotStarted	Late	No reply	9 months

1531	PCI DSS 18.19 / 5	Oliver.morley@l	Actions need to be drawn together in a policy which sets out how the council will manage PCA DSS compliance activities and the policy should be reviewed on a regular basis. this should include but not be limited to: - Assignment of roles and responsibilities for ensuring that the Council is PCS DSS compliant - Procures for staff that are responsible for taking card payments - The Council's security strategy in relation to the storage, processing and transmission of credit card data - A set of instructions for detecting, responding to the storage, processing and transmission of credit card data.	Shared Service Management Board minutes	01/04/20	01/04/20 NotStarted	Late	No reply	9 months
1513	Access Management C	Sagar.Roy@3csh	Head of IT & Digital 3C Shared Services should ensure requirements for setting up new user access to the network are set out in formal policy document and is uploaded onto the intranet and the PPMS. Line managers acknowledge the formal policy set out by 3CSS which ensures 3CSS are notified of leavers in timely manner.	User access policy or requirements in an equivalent policy. Acknowledgement from line managers and employee owners.	31/08/20	31/08/20 InProgress	Late	No reply	Under 6 months

COUNT 19