Charnwood

AUDIT COMMITTEE

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To: Committee Members Angell (Chair), Grimley (Vice-Chair), Hadji-Nikolaou, Huddlestone, Parsons, Parton and Smith (For attention)

All other members of the Council
(For information)

You are requested to attend the meeting of the Audit Committee to be held in Committee Room 2 - Council Offices on Tuesday, 26th February 2019 at 6.00 pm for the following business.

Chief Executive

Southfields
Loughborough

18th February 2019

AGENDA SUPPLEMENT

9.   INTERNAL AUDIT PLAN - PROGRESS REPORT   2 - 5

        Report of the Head of Strategic Support.

        Appendix D to follow.

Follow Ups: Recommendations Not Implemented (incl. partially and/or no response) By the Agreed Date, as at 31st December 2018

Audit	Observation	Recommendation	Priority	Agreed Action	Agreed Date	Responsible Officer	Comments
Risk Management 2017/18	2.					Audit & Risk Manager	Deferred - Awaiting approval of revised strategy and training thereon.
Garden Waste Scheme 2018/19	3.						Originally deferred until January 2019 due to staff absence but now implemented as per follow up in January 2019.
Staff Allowances and Expenses 2018/19	4. There is no centralised record which confirms the posts that attract essential user's allowance.	A review is undertaken to identify those posts where the duties are of such a nature that it is essential for them to have a vehicle at their disposal, ensuring that any exceptions to the posts identified have appropriate approval	Low.	Consideration will be given to placing a flag on iTrent identifying if the post qualifies for essential car user. Ensure that the JD/PS reflect the fact that the post is essential car user	Dec 19	Improvement and Organisational Development Manager/Systems Analyst	Partially implemented, a flag has been placed on iTrent identifying the people who are receiving essential car user. Further work required to ensure JD's/PS reflect the posts essential user status. The subsequent update confirmed that the recommendation had been implemented.
Key ICT Controls	8. Controls need to be tightened in	ICS should ensure that controls are	Low	8. Agreed as	Apr 18	ICT Service	Deferred - Awaiting changes required to the

2016/17	respect of the guest Wi-Fi e.g. at present the connectivity is not time limiting and the generic password has not been changed for over a year.	strengthened around access to the guest Wi-Fi.		recommendation.	Revised to Dec 18 Revised to April 19	Delivery Manager	existing network and wi–fi setup, this is due by April 2019.
Health & Safety 2017/18	5.						Deferred, risk assessment training to take place in February/March 2019.
ICT Key Controls 2017/18	13. Numerous Everyone or BUILTIN\Users (therefore domain users) accessible file shares were found on the sample servers reviewed. Of specific concern was one of the file shares contained a backup copy of the QLLIVE database, which contained both	We recommend that management reviews the access control lists on all server files shares and looks to restrict access to only authorised officers.	Medium	The backup copy of the database was placed on the share to send to the QL software supplier – this is an exception Permission levels for the following shares to be	Technical Services Manager	October 2018	No response at time of follow up, but subsequent update received confirming that amendments made to Database, in accordance with recommendation.

	medical records and personal contact information.				reviewed – QLLive, SQLsrvr (4-8), PNCDBSERVER, LAGANDB and LAGANBI			
ICT Key Controls 2017/18	11. Not all database servers in the sample reviewed were subject to pro-active monitoring using Idera, this included the live databases for the Lifeline (PNC) application which had 'very high' accessibility requirements and classified as critical in the business continuity plan.	We recommend that management reviews the maintenance and monitoring procedures for all critical production database servers.	Low	Due to licence costs, only larger systems/key databases are monitored. Cost of implementing additional licences will be reviewed. Due to the high availability requirement, PNC application has a mirrored database at the Council's Disaster recovery site	ICT Service Delivery Manager	November 2018	No response at time of follow up, but subsequent update received confirming that additional licence has been purchased for PNC
ICT Key Controls 2017/18	3. There was no formal schedule for reviewing the access control permissions set on the department directories on the file	We recommend that management implements a schedule and assigns responsibility for reviewing	Low	Access control permissions will be reviewed with Services as part of the ICT SLA meetings every	ICT Service Delivery Manager	December 2018	No response at time of follow up, but subsequent update received confirming that review undertaken as part of ICT SLA meetings.

	server, and responsibility for performing such reviews did not appear to have been assigned to the departments or ICT.	permissions on department directories.		quarterly. This is also linked to the role-based permission approach we are developing.			
ICT Key Controls 2017/18	4. Access to a number of directories on department area of the file server could not be justified from a sample reviewed, including the Call Centre, Creditor Payments, Env Health, Finance Admin, Housing, HR_ESC_LCC and Income directories	We recommend that management co-ordinates a review of all directories on the department area of the file server, and ensures unauthorised access is revoked.	Low	See response to recommendation 3 above.	ICT Service Delivery Manager	December 2018	No response at time of follow up, but subsequent update received confirming permissions to shared drives are reviewed on an on-going basis as part of ICT SLA meetings. (see rec. 3 above)