

(01) Audit recommendations completed since the last Governance Committee

Code & Title	Latest Note	Original Due Date	Completed Date
16 PL Planning Applications 2015/16	postponed update, as awaiting project plan to be signed off by new owner (Jeremy Mann)	31-Dec-2016	15-May-2023
16 PL 03 S106 Agreements	Closure Note: The effectiveness of the Section 106 Agreements process was reviewed in line with the audit recommendation. Numerous changes to the process, including automation, consolidation and clear roles and responsibilities are now being incorporated into the DEF Planning System. The final element to be implemented will be the compliance / monitoring but in terms of reviewing the process this element is complete.	31-Dec-2016	15-May-2023
21 CSM&R 14 Introduce guidelines for script download & use by ICT Users & user Kaspersky to periodically check software installed	<p>We have installed Sophos and removed Kaspersky from our IT estate. We have purchased an asset discovery tool called LANsweeper. We are checking installed software on IT machines on a monthly basis.</p> <p>Guidance for script downloads has been prepared and shared with the team.</p> <p>We have safe browsing, Sophos and fortinet managing our web traffic. Users will be further reminded not to use unauthorised web applications.</p>	31-Mar-2022	18-May-2023
21 P 17 When the functionality of ESS is expanded we will remind all	Staff are reminded on a regular basis of the need to pass information to payroll promptly. This will of course form part of the roll out of any ESS modules and the monitoring afterwards.	31-Jul-2021	15-May-2023

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staff / managers of the importance of submitting this information promptly			
22 CCG 08 Establish a Strategic Indicator related to the Carbon Neutral Target	Carbon Footprint reports will be monitored through the EE programme and reported to members annually through S & R Committee	31-Mar-2023	19-May-2023
22 CS 03 Firewall patch management	Regular checking of vulnerabilities is now taking place, Regular calendar appointments have been scheduled to ensure high severity vulnerabilities are implemented within 14 days of publication	30-Apr-2022	11-May-2023
22 CS 03 Options available for implementation of a supported SIEM solution	We have purchased add-ons to our current anti-virus solution. These are currently being configured. The logs will be held in a data lake for a 12 month period and managed by a 3rd party supplier.	31-Dec-2023	18-May-2023
22 CS 04 Review of firewall rules	Calendar appointments scheduled and, firewall counters reset.	30-Jun-2022	11-May-2023
22 CS 09 Denial of Service (DoS)	Complete, settings applied to Firewall.	04-Apr-2023	11-May-2023
22 CS 11 Apply/grant future installations and administrative rights using the 'Law of Least Privilege'.	We have installed a Privilege Access Management (PAM) system. Existing and new members of the ICT team are being moved to the PAM portal. We have adopted the law of least privilege operating model.	31-Dec-2023	19-May-2023
22 CS 12 Web Application Firewalls (WAF)	Most WAF is done using the Fortiweb but we have implemented the WAF functionality on the edge firewall.	31-Mar-2023	11-May-2023
22 CS 14 Establish a Service Desk process to set an expiry date on for managing the accounts of staff who have left.	A Service Desk process has been put in place. Managers have been notified that the expectation is for user accounts to be deleted 30 days after the user has left the organisation.	31-Dec-2023	18-May-2023
22 CS 15 Amendments to the charter prior to the next election	Written into the Member's Agreement	05-May-2023	10-May-2023

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cycle enables cyber security training to be provided to the Members			
22 CS 16 Further strengthen malware incident reporting awareness for staff	<p>ICT periodically present at Manager forums and staff briefings highlighting the need for incident reporting. We have also gone through an induction process with our new Councillors and we have reiterated this message.</p> <p>Information reporting is written into our 3 overarching ICT policies:</p> <p>Information Security and Standards Policy</p> <p>5.1.4 All breaches of information security, actual or suspected, must be reported and will be investigated.</p> <p>8.2 Reporting Information Security Incidents</p> <p>Email and internet Policy</p> <p>5.4 Breach of the policy must be reported.</p> <p>5.10 Attached to inappropriate site</p> <p>Data Protection Policy</p> <p>9.5 Reporting a personal data breach</p>	05-May-2023	18-May-2023
22 CS 17 Continue the procurement process for an automated asset / software discovery tool	Completed, LANSweeper purchased	09-May-2023	10-May-2023

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22 CS 18 Review and update the patch management policy	The Patch Management Policy has been reviewed and updated.	31-Oct-2023	22-May-2023
22 CS 19 Review the process for managing and removing unsupported software to properly manage risks	We have purchased LANsweeper an asset discovery tool. The Service Desk and Infrastructure teams will scan the network periodically for software that has been deprecated and no longer receiving security updates. A document has been created outlining the process for removing software throughout all our environments.	31-Oct-2023	19-May-2023
22 CS 29 Staff should be advised not to use their D: Drives for storing NDDC data	Management response: Agreed – We will provide guidance for all staff and explain the consequences of storing files locally on the D:Drive.	31-Dec-2023	18-May-2023
22 E&D 01 Provide a range of reports supporting compliance with the Equality Duty	Community data and basic workforce information have been published on our website supporting the core compliance. We will look to add further data on-going.	31-Mar-2023	15-May-2023
22 E&D 06 HR should provide a periodic report detailing the reasons for officers departing from the council.	Leavers letter has been updated and all leavers will be required to attend an exit interview, first report detailing reasons for leaving will go to SMT in March 2023 and thereafter as appropriate. Action will be completed once first report has gone. So during the next reporting period this action will be shown as complete and these reports will form a regular update to SMT. Request an extension of time to 31st March 2023 to allow for the report to be presented to SMT	01-Jan-2023	06-Apr-2023
22 GM 08 Benefits of bringing the service in-house	Due to elections there was no S & R committee in May. New members have been informed of the benefits of in house delivery at their induction on Friday 12th May. Further progress reports will come through the EE Programme.	31-Oct-2022	19-May-2023

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22 IM 03 Review Key Projects within the SharePoint Migration Project	We have considered Appendix B and will build this into our project approach. We are working with a trusted partner who has delivered sharepoint migration projects previously.	31-Dec-2023	19-May-2023
22 IM 04 Identifying Operational Risks	A recent restructure within the Infrastructure Team has added an additional member of staff; by the time of the June 23 Governance Committee the new staff member will be in place. All necessary internal and external training needs for all members of the team will be monitored with additional bid for funds as needed.	31-Dec-2023	19-May-2023
22 PAY 02 Management to accept or make changes to System Administrator access to iTrent	Management continue to accept the risk based on the size of the team. The situation will be kept under review	31-Mar-2023	15-May-2023
22 PMO 07 Implement an effective reporting tool to support real time monitoring of the programmes/projects	Closure Note: Pentana, our performance management system is being used to report upon all programmes and projects and linked to those is our new suite of key results and indicators.	31-Mar-2023	15-May-2023
22 PO 01 Draft agreements -Car park related duties for Parish Councils	All agreements have been signed and returned to us by relevant town/parish councils. No further action.	31-Mar-2023	16-May-2023
22 RRS 03 iTrent Training	A session has been delivered by Julie Chandler to other members of the HR team	31-Mar-2023	26-Apr-2023
22 RRS 07 Analyse Leaver Data	Exit interviews are now being carried out and a primary reasons for leaving report being taken to SMT the more information that we are able to collect and analyse will assist us with in relation to understanding any common themes impacting on retention.	31-Mar-2023	26-Apr-2023
22 TLSC 05 The Contractor is understood to have incurred	The contract is currently performing well and all Management Fees have been paid on time and in full. Regular meetings are held with the contractor and we continue to work with them on capital and	31-Mar-2023	19-May-2023

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significant losses of around £158k from the first four months of trading	revenue funding bids to increase sustainability and energy efficiency to protect against energy price increases		
22 TLSC 09 Monitoring arrangement for maintenance aspects of the contract	Monitoring of the facility is currently continuing regularly as we come to the end of the snagging period. When the snagging period is complete we will confirm and formalise future monitoring programmes with Property Team colleagues.	31-Mar-2023	19-May-2023
22 TM 02 That an approval line be added to the list of investments	The approval line has been added to the investment records	26-Apr-2023	15-May-2023