

APPENDIX B – AUDITS THAT HAVE BEEN COMPLETED SINCE THE LAST COMMITTEE

Code & Title	Latest Note	Original Due Date	Completed Date
21 CSM&R 02 Remove internet & email access from privileged accounts. Provide administrators with an ordinary account for email & internet access.	We have 3 domain admin accounts remaining. We de-scoped privileged access from the rest of the ICT team. We have separated our network accounts from our 365 accounts. We will continue to seek opportunities to further remove permissions from privileged accounts ensuring we don't preclude the Infrastructure Team from undertaking their IT admin tasks. I have added a risk to the ICR Risk Register.	30-Sep-2021	08-May-2024
21 CSM&R 20 Opportunity: Bring the Arcserve Cloud storage into the backup strategy. Digitally disconnect the cloud backup when it is not in use as advised by the NCSC	Cloud backups form part of our backup strategy. We are currently limited as to what we can back up to the cloud due to our small internet connection and space with Arcserve. When procure our next backup solution we will look at increasing our cloud backup capabilities.	31-Aug-2021	15-Apr-2024
22 CS 09 Create a policy/procedural document and server build sheet to ensure consistency and enhanced security	Network device hardening documentation now complete.	31-Dec-2023	08-May-2024
22 CS 10 Separate AD user accounts should be provided to all users with Domain Admin/ High privilege access and appropriately restricted	We have 3 domain admin accounts remaining. We de-scoped privileged access from the rest of the ICT team. We have separated our network accounts from our 365 accounts. We will continue to seek opportunities to further remove permissions from privileged accounts ensuring we don't preclude the Infrastructure Team from undertaking their IT admin tasks. I have added a risk to the ICT Risk Register	31-Dec-2023	08-May-2024

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22 CS 24 Back up data to be reviewed on annual basis to ensure that it's up to date	All backup information has been updated and will continue to be reviewed at least on an annual basis.	31-Dec-2023	15-Apr-2024
22 EM 04 Consider a full reconciliation of the Property Terrier and Asset Register	This has been considered and the newly procured Tech Forge module will allow for this. The data does have to be input manually and it is likely that this will take 6 months once the system has gone live.	31-Mar-2024	08-May-2024
22 EM 05 Can asset postcodes can be included when running the asset report list	The procured module allows for this and will be considered when data is uploaded.	31-Mar-2024	08-May-2024
22 EM 08 Update the Master report data to include invoice references.	This was considered but will not be happening as at the time of procurement a link between our systems was not available. This may be reconsidered in time. It is requested that at the moment this action is closed.	31-Mar-2024	08-May-2024
22 IM 05 Update Information Strategy for SharePoint	The Information Governance Strategy has been completed and will be reviewed on an annual basis by the IMAG group and reported to SMT annually.	31-Dec-2023	05-Apr-2024
22 IM 06 Consider how information risks can be incorporated in the information governance process	The Information Governance Strategy, has been completed and will be reviewed on an annual basis by the IMAG group and reported to SMT annually. This also includes the consideration of information risks and these risks will be reviewed regularly by IMAG also.	31-Dec-2023	08-May-2024
22 MAS 04 Update the procedures for reconciliations	The consultancy with Civica Financials has been completed and provided the reassurance over the system set up and procedures. DAP have recently carried out a further audit of our main accounting systems and provided reasonable assurance, with no follow up recommendation on this point. Any reconciliation balances will be managed by the Finance Manager as business as usual.	30-Jun-2023	15-May-2024

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22 S 02 Consider member involvement in the review of the arrangements for Safeguarding Policy	Member involvement was considered, discussed with Group Leaders and as part of wider discussions at Annual Council.	31-Dec-2022	08-May-2024
23 BC 06 Customer satisfaction survey	A new survey was set up in March through Survey Monkey. The link goes out with all of our completion emails and the results will be compiled into a report quarterly.	31-Mar-2024	22-May-2024
23 CSP 01 Create a definitive plan on the role and actions for the CSP to take forward	An action tracker has now been developed, this is being reviewed at the CSP Meetings and also internally we are reviewing as part of our Housing and Community Safety Programme.	30-Jun-2024	08-May-2024
23 CSP 03 Share resources between NDC and TDC	NDC are always open to Partnership opportunities and if TDC wish to reopen talks around CCTV, NDC will of course be happy to discuss further.	31-Oct-2024	08-May-2024
23 CSP 04 Ensure appropriate weblinks work on our website	The broken link has now been directed to the relevant page.	31-Mar-2024	08-May-2024
23 CSP 05 Provide information about our street marshalls on our website	Strategy and Resources support a report to extend the Street Marshal Scheme and also the CSP have been successful in securing some Hot Spot Funding from the PCC to further enhance this service.	31-Oct-2024	08-May-2024
23 HA 01 Review and update the website and ensure links work	This has been completed.	01-Apr-2024	30-Apr-2024
23 HA 03 Ensure Harbour assistants have access to Harbour risk assessments	This has been completed.	29-Feb-2024	08-May-2024
23 HA 04 Add the Ilfracombe Harbour Edge Protection Policy to the website	This has been checked and is on the website.	29-Feb-2024	30-Apr-2024

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23 HB 02 Maintain evidence of double checking of amendments on systems	Management response and action plan: These checks are always carried out, we will ensure that evidence to support this is kept with the release notes going forwards. This new procedure has already been put in place.	30-Apr-2024	14-May-2024
23 I 01 Consider joining South West Insurance Professionals (SWIP)	Our Insurance Officer now attends this group	01-Mar-2024	15-May-2024
23 L&D 01 Learning and Development Policy could be clearer to state that probation is completed on submission of induction checklist	We will consider the policy and add detail that probation is completed on submission of the Induction Checklist. We will also consider the text related to officers moving in the council.	01-Mar-2024	09-May-2024
23 L&D 04 HR should provide clarity on the mandated training in the L&D policy and internal website, and how often the training should be revisited for current staff	This detail on mandatory training will be added into the Policy and put on Insight so officers are aware. I-Trent will support monitoring of this process.	01-Mar-2024	09-May-2024
23 L&D 05 A summary report on the training and learning delivered to officers and members should be periodically presented to SMT for review and consideration	With our move to check ins and not a formal timeline for Appraisals a corporate training plan will not be in the same format but a report of training delivered Further Education bids will be provided periodically to SMT together with a Levy spend update.	01-Apr-2024	09-May-2024
23 L&D 06 The current L&D policy does not provide detail on the introduction of the Learning Development module of I-Trent	We will update the L&D policy to incorporate details on introduction of i-Trent.	01-Mar-2024	09-May-2024
23 P 02 The Council should have a central register would be periodically submitted to members for approval.	Partnership register has been produced and a calendar note added for annual review	31-Mar-2024	15-May-2024

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23 PAY 02 An evidenced formal authorisation process should be in place	Management accept the current arrangements for System Admin access to the payroll system. An authorisation process has now been established for system access.	30-Apr-2024	15-May-2024
23 PM 01 Lack of Dedicated System Support	A dedicated resources is now being shared across PMO and Customer Services to provide a Systems Admin role for Pentana and wider programme support.	31-Mar-2024	08-May-2024
23 PM 04 Present performance, finance, and risk elements in a unified paper.	A decision has been made that Appendix 5 will now be taken as a separate report to update on Key Results, KPIs and programmes, to give this wider visibility on the deliverables against the Corporate Plan.	01-Apr-2024	08-May-2024
23 PM 07 Opportunity: Consider a simplified business plan template	Considered and discounted.	31-Mar-2024	08-May-2024
23 SC 02 Each web page should have a link to the call centre.	Confirmed with Comms and George Connett (IT) 20/3/24 and actioned.	30-Apr-2024	20-Mar-2024
23 VM 01 Assessment to be done to analyse contract deliverance	Contract Manager taking report to July S&R committee. Booked in with B.Triggs.	26-Apr-2024	10-May-2024
23 VM 02 Formal quarterly meetings to be initiated	Formal quarterly meetings initiated. Last meeting held 22 Jan 2024. Next scheduled meeting 29 April 2024	22-Jan-2024	21-Mar-2024
23 VM 03 List the other core contract performance indicators and add to monthly review list	The following KPI's are already in operation. Monthly meetings between SFS and the Contract Manager analyse performance against these. KPI's- Vehicle availability, Downtime, Missed Services, Average time to respond to failures, Average time to resolve performance issues,	26-Apr-2024	09-May-2024

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	Qty failures to resolve issues, Average time taken to resolve urgent failures.		
23 VM 04 Monthly report requested from SFS	Information has been requested and diarised monthly so the Contract Manager can analyse compliance.	26-Apr-2024	08-May-2024
23 VM 05 Add potential workshop opportunities and EV discussions to the quarterly review meetings	Items have been added to the quarterly agenda. Next meeting scheduled for 20th May 2024	29-Apr-2024	08-May-2024