

Appendix C

Follow Up Reviews

| Audit Title | Management Actions | | | |
|-----------------------------|--------------------|-----------------------|-----------------|--------------------|
| | Implemented | Partially Implemented | Not implemented | No Longer relevant |
| IT Platform Review | 3 | 7 (3) | 4 (4) | 0 |
| Health and Safety | 13 | 3 (3) | 0 | 0 |
| Robotics Process Automation | 8 | 3 | 0 | 0 |
| Legionella | 3 | 2 | 0 | 0 |

The numbers in brackets are high risk actions partially or not implemented and detailed below:

IT Platform Review:

Changes to Configuration Settings

- Ensure that only authorised staff members can make changes to the configuration settings
- Ensure that an approval process is implemented to ensure that only approved changes to configuration settings are made
- Implement a monitoring process to detect any unauthorised changes to the configuration settings.

Partially Implemented

An investment proposal is being raised for a product that can check the configurations of servers against a base line. As of 01/12/20 - partners have not approved budget, therefore we were unable to complete the management actions. Revised date 30 September 2021.

Monitoring of User Activity

- Ensure that the Security team in conjunction with Council IT Management perform a risk assessment to identify all the audit logs available on the platforms. Subsequently, a decision should be made as to which logs should be monitored and by whom.
- If there are logs that should be monitored, identify the key sensitive transactions and activities that need to be identified,
- Develop exception reports that are generated automatically when these transactions are performed; and
- Ensure that the correct Line Management receive these reports for review and/or authorisation.

Not Implemented

Closer and more detailed logging in at the client estate needs investment from all of the partners. Adding this extra layer of security is estimated to cost £300,000 per year. This will be reviewed later in the year. Revised date 30 September 2021.

Health and Safety:

Absence of Internal Assurance Activities

- a) Develop a risk-based assurance plan for undertaking H&S assurance activities (audits and inspections) for key risks across the Council (refer to appendix C for more detail on internal assurance activities).
- b) Report on the findings of these assurance activities to the H&S committee and the Council Management Team (CMT).
- c). Review the H&S team capacity to carry out assurance of the H&S management system in addition to current advisory role, ensuring there are suitable independence considerations in place between those providing assurance and those providing advisory support

Partially Implemented

The H&S team developed a risk based assurance plan for undertaking assurance activities. However, the audits were not able to take place due to the effect of covid19 on the council. The H&S team will draw up a new assurance plan once there is more stability within council services. Revised date 31 July 2021.