

APPENDIX B Governance & Audit Committee 17 October 2019

Audit:	Officer Responsible:	Grade:	Target Date:	Proposed Date:	Recommendation:	Agreed Action:	Latest Officer Update:
Business Continuity 2012-13	ICT Manager	High	31/07/2015	31/12/2019	Corporate Support Manager to arrange testing exercises of all BCPs and a complete ICT restore with the ICT Manager to ensure correct information is backed up to allow for the continuation of the Council's services following a disaster.	Agreed	<p>September 19: A number of key business applications are now being replicated to the new DR environment.</p> <p>The following tests of the new DR arrangements have been undertaken successfully:</p> <ol style="list-style-type: none"> 1. Failover of the Xpress application and database server followed by an lightweight test of the system with the Sysadmin. 2. Failover of the Live Uniform environment, the Oracle datase and the main File Server followed by testing the of the live database copy procedure for taking data from live to test. 3. Failover of the Remote Desktop server that underpins Citrix, allowing staff to use corporate applications. Testing undertaking with IT and sysadmin. <p>Testing of the Xpress system and DR remote access is planned for completion by end of October 2019.</p> <p>Subsequent tests to be arranged:</p> <ol style="list-style-type: none"> 1. Test of individual business processes in Uniform 2. AIM testing with Finance
Information Management 2013-14	ICT Manager	Medium	31/03/2015	31/03/2020	ICT Manager arranges for a condensed refresher version of the key elements of the ICT Security Policy to be available on the learning pool. The HR Manager arranges for all officers to complete the module annually as part of the compulsory training suite and for Members to be encouraged to do the same as a matter of good practice	The ICT Security Policy is being reviewed during the summer as part of the PSN compliance. The online training cannot be established until the policy has been reviewed/ amended. Estimated completion March 2015. Staff however can be reminded to revisit the policy via core brief messages.	September 2019: Draft ICT Security Policy completed. IT have reviewed compliance management systems, such as Metacompliance as an additional way of managing refresher training, provided more targeted and timely manner of handling changes. Next steps are to get the new policy consulted on and approved. A schedule of dissemination will then begin. Approval of the new policy to be done by end of the financial year.
Cash Handling 2018-19	Community Partnerships Manager	Medium	31/03/2019		Establish alternative payment arrangements for Health and Wellbeing services to minimise cash handling wherever possible. Where cash payment remains unavoidable ensure appropriate and effective controls are in place to minimise the risk of fraud and ensure all cash is promptly and accurately accounted for. For example, reconciliation of cash collected to attendance records, safe storage of cash pending collection and banking and increasing the frequency and timeliness of collection and banking arrangements.	We are currently in discussions with the budget manager for Health and Wellbeing and will implement some suggested improvements in conjunction with this service.	August 19 - In Progress. Two instructors in the community have been provided with the means to personally bank their income. Alongside this HDC Sport and Health team have a means to bank income themselves which will help to minimise cash handling within the department.