Code & Title	Audit Reference	Audit Area	Main Contact	Recommendations	Priority	Status Description	Original Date Due for Completion	Revised Date Due for Completion	Latest Note
BAUDICT004A Establishment Mapping	BRK1616	ICT	IT Manager	A process to be implemented whereby all job roles within the Council are mapped to the ICT, and other, requirements of the role. Risk/rationale: Mapping roles to ICT requirements will help to ensure consistent application of ICT, and other, requirements to all staff without the need to consult existing staff about the equipment and services they use or cloning an existing account. If job roles are not mapped to their related ICT requirements, there is an increased risk of inconsistent services being provided in a timely manner.	Medium	Outstanding (With Agreed Extension)	31-Mar-16	31-Dec-17	It is not standard practice to complete individual role mapping in organisations of 200+. Instead recognised practice is to create a standard build / image for new devices and desktops with a digital authorisation process which enables the user to select relevant applications suitable for a given role which are then authorised by line managers within a agreed timeframe. Standard build, SLAs, selecting applications through a helpdesk tool and digital authorisation are stages/actions of the following dependant projects: BTRP - D11 - NCC Migration BTRP-D11d - Stage 4 - Helpdesk / ITSM Tool (scheduled completion 27.10.17) BICTACT003 - Starters, Leavers & Movers BICTACT003D - Stage 4 - IT Integration / Automation (scheduled completion 22.12.17)
BAUDICT006I Breckland IT management to design and implement an appropriate IT training programme	BRK1618	ICT	Interim Head of IT	Recommendation 2 - Breckland IT management to design and implement an appropriate IT training programme, having formally identified where the training time should be positioned via the internal appraisal process. Risk & rationale: Designing and implementing an appropriate IT staff training programme will help to ensure that the Council's IT infrastructure can be appropriately supported on an ongoing basis. The lack of an appropriate IT training programme increases the risk of infrastructure failures or service disruptions.	Medium	Outstanding (With Agreed Extension)	29-Apr-16	30-Nov-17	Development plans with the new team are being revised alongside best use of 15 x training consultancy days to enable appropriate knowledge transfer.

BAUDICT006M The username known as "DomainAdmin" to be disabled and replaced	BRK1618	ICT	IT Manager	Recommendation 3 - The username known as "DomainAdmin" to be disabled and replaced with equivalent named user accounts, if possible. Passwords for these accounts to be compliant with the existing Domain Accounts Policy. It is recognised that the account is required for the effective operation of the network. Hence, disabling it should be tested to understand the consequences of doing so before being disabled Risk & rationale: Disabling the shared DomainAdmin account and replacing it with named equivalents will help to ensure the security of the network and demonstrate adequate accountability for changes made to the configuration of the domain. The use of shared generic administration accounts increases the risk of security vulnerabilities and inadequate accountability.	Low	Outstanding (With Agreed Extension)	29-Apr-16	30-Nov-17	Breckland IT have purchased and deployed a development tool provide by CJW. The tool searches through all the servers/PC's and lists all the services and scheduled tasks along with the account that runs it, the tool is able to export the findings, remotely change the password for the user account, search for specific accounts, etc. You can not only change the user password, but also change the user account if required, which enable us to get rid of the **DomainAdmin** account being used for services and scheduled tasks. Breckland IT are looking to implement the ability to change the user account enabling the removal of **DomainAdmin** in preparation of forthcoming PSN PEN testing and the NCC in-house migration scheduled for 14 Nov 2017.
BAUDICT005A Copies of all relevant DR plan documentation to be communicated	BRK1619	ICT	IT Manager	Recommendation 2 - Copies of all relevant DR plan documentation (including updated documentation as this becomes relevant) to be communicated to all relevant staff, with hard copies kept at both Elizabeth House in Dereham and Breckland House in Thetford. Consideration could be given to incorporating the DR plan documentation into the Corporate Business Continuity Plan or using similar storage and communication mechanisms. Risk & rationale: Effective communication and accessibility of relevant DR plan documentation will help to ensure that all relevant documentation is accessible during an incident. If relevant documentation is not effective communicated, there is an increased risk of service disruption.	Medium	Outstanding (With Agreed Extension)	29-Jul-16	31-Dec-17	Full Disaster Recovery / Business Continuity documentation to be produced, communicated and circulated in conjunction with the completion of the dependant project actions: BTRP-D10c Stage 3 - vSAN Install (scheduled completion 06.12.17) STRP-D10d Stage 4 - vSAN Install (scheduled completion 06.12.17) vSAN Install includes deployment of new virtual infrastructure and storage, Veeam backup, disaster recovery, migration & replication The project stage requires large scale delivery (208 days total) across both councils and is part of the overall Transformation / Moving Forward project: TRP-D10 IT Infrastructure (schedule completion 08.06.18)

BAUDICT005B IT Management to complete the upgrade of the DR infrastructure	BRK1619	ICT	IT Manager	Recommendation 1 - IT Management to complete the upgrade of the DR infrastructure and ensure that formal documentation of DR plans are drafted and agreed thereafter. The following suggested best practice processes to be taken into account: Incorporate a list of all internal and external contact details. For example, Com-Com, all internal IT staff and Norfolk County Council contacts; The inclusion of a version history section that can be used to log changes to the plan and reasons for the changes. For example, as a result of lessons learned from any tests; Formally define roles and responsibilities, including responsibilities for invocation and escalation, possibly aligned to the Corporate Business Continuity Plan if IT management staff are already included there; Ensure that the Recovery Time Objectives defined in Appendix J of the Corporate Business Continuity Plan are reflected within the DR plan documentation as a minimum standard for recovery; Risk & rationale: The presence of appropriately documented DR plans will help to ensure continued support for the Council's priority services. Inadequate DR plans increase the risk of service disruptions.	Medium	Outstanding (With Agreed Extension)	29-Jul-16	31-Dec-17	Full Disaster Recovery/Business Continuity documentation to be produced, communicated and circulated in conjunction with the completion of the dependant project actions: BTRP-D10c Stage 3 - vSAN Install (scheduled completion 06.12.17) STRP-D10d Stage 4 - vSAN Install (scheduled completion 06.12.17) vSAN Install includes deployment of new virtual infrastructure and storage, Veeam backup, disaster recovery, migration & replication The project stage requires large scale delivery (208 days total) across both councils and is part of the overall Transformation / Moving Forward project: TRP-D10 IT Infrastructure (schedule completion 08.06.18)
BAUDICT005C IT Management to document, agree and implement an appropriate DR test plans	BRK1619	ICT	IT Manager	Recommendation 5 - IT Management to document, agree and implement an appropriate DR test plans and relevant supporting management process. Such processes to include: The creation and communication of test reports for each test; Documenting appropriate remedial action plans that seek to address potential weaknesses identified as a result of the tests; Updating the DR plan as appropriate to implement any remedial actions identified. Risk & rationale: The implementation of appropriate DR testing and supporting management processes will help to demonstrate the Council's ability to support its priority services during an incident. Inadequate DR testing increases the risk that priority services cannot be supported adequately during an incident.	Medium	Outstanding (With Agreed Extension)	29-Apr-16	31-Dec-17	Disaster Recovery test documentation and support plans to be produced, communicated and circulated in conjunction with the completion of the dependant project actions: BTRP-D10c Stage 3 - vSAN Install (scheduled completion 06.12.17) STRP-D10d Stage 4 - vSAN Install (scheduled completion 06.12.17) vSAN Install includes deployment of new virtual infrastructure and storage, Veeam backup, disaster recovery, migration & replication The project stage requires large scale delivery (208 days total) across both councils and is part of the overall Transformation / Moving Forward project: TRP-D10 IT Infrastructure (schedule completion 08.06.18)

BAUDICT005D IT Management to ensure that all DR-related documentation is shared with Business Continuity	BRK1619	ICT	IT Manager	Recommendation 6 - IT Management to ensure that all DR-related documentation such as the DR plan, test schedules, test reports and remedial action plans be shared with Business Continuity colleagues as appropriate. Risk & rationale: Knowledge sharing of this nature will help to ensure transparency of the DR work being implemented and provide assurance over the ability of the DR infrastructure to support priority Council services during an incident. Where knowledge sharing is inadequate, there is an increased risk that the DR service is unable to support the Council's priority services during an incident.	Medium	Outstanding (With Agreed Extension)	30-Jun-16	31-Dec-17	Full Disaster Recovery/Business Continuity documentation to be produced, communicated and circulated in conjunction with the completion of the dependant project actions: BTRP-D10c Stage 3 - vSAN Install (scheduled completion 06.12.17) STRP-D10d Stage 4 - vSAN Install (scheduled completion 06.12.17) vSAN Install includes deployment of new virtual infrastructure and storage, Veeam backup, disaster recovery, migration & replication The project stage requires large scale delivery (208 days total) across both councils and is part of the overall Transformation / Moving Forward project: TRP-D10 IT Infrastructure (schedule completion 08.06.18)
BAUDICT005G IT Management to work with Business Continuity Management to design and implement appropriate IT service Business Continuity Plans	BRK1619	ICT	IT Manager	Recommendation 3 - IT Management to work with Business Continuity Management to design and implement appropriate IT service Business Continuity Plans that adequate demonstrate how the DR service will be delivered. The plans to include reference to formal out of hours support arrangements. Risk & rationale: Formalising the IT Department Business Continuity Plan will help to ensure that the IT Department is able to deliver the DR service according to Business requirements, following an incident. The lack of formal plans, increase the risk of an inability to deliver the required DR service to the Business, following an incident.	Medium	Outstanding (With Agreed Extension)	29-Apr-16	31-Dec-17	Full Disaster Recovery/Business Continuity documentation to be produced, communicated and circulated in conjunction with the completion of the dependant project actions: BTRP-D10c Stage 3 - vSAN Install (scheduled completion 06.12.17) STRP-D10d Stage 4 - vSAN Install (scheduled completion 06.12.17) vSAN Install includes deployment of new virtual infrastructure and storage, Veeam backup, disaster recovery, migration & replication The project stage requires large scale delivery (208 days total) across both councils and is part of the overall Transformation / Moving Forward project: TRP-D10 IT Infrastructure (schedule completion 08.06.18)