











● Draft
 ● Not started
 ● Behind
 ● On Track
 ● Overdue
 ● Complete
 → Direct Alignment
 ----> Indirect Alignment





AUDITS PLAN






AUDITS ACTION PLAN 2022-23




Goal	Audit Recommendations	Start Date	Due Date	Historic ...	Current ...	Update	Respons...
2. Update of Internal Guidance Documents	Frequency of review or the next review date should be included within internal guidance documents.	15/03/2023	30/06/2023	0%	90% 	Q2: The transaction card management practice will be amended once the new credit card module is implemented which is expected to be completed in April 2024. Policy 331 was updated and presented at the policy workshop on 27/11/23	Financial Services
3. IT Inventory checks	A stock take of portable and attractive assets should be undertaken, the IT asset register updated accordingly and reconciled to the finance asset register.	15/03/2023	30/06/2023	0%	30% 	Q2: Yet to come up with a methodology and process with Manager TDS.	Financial Services

Goal	Audit Recommendations	Start Date	Due Date	Historic ...	Current ...	Update	Respons...
5. Progress on audit findings from Office of the Auditor General audit in 2021: Vulnerability Management-Create Vulnerability Management Process Engage expertise to perform full vulnerability audit. Fix/mitigate issues identified.	Create Vulnerability Management Process. Engage expertise to perform full vulnerability audit. Fix/mitigate issues identified (due date: 31 March 2022)	28/02/2021	31/10/2023	50%	90% 	Q2: Work is continuing on mitigating issues identified.	Technology and Digital Strategy
6. Progress on audit findings from Office of the Auditor General audit in 2021: Cyber Security Strategy - Review and amend HR Practice HRP010 – “Information Systems, Email and Internet Use” as required to address cyber security issues and risks	Review and amend HR Practice HRP010 – “Information Systems, Email and Internet Use” as required to address cyber security issues and risks. The Town should review and update existing strategy and policies to ensure that ICT securely meets business objectives. The Town should utilise an internal security awareness program to communicate updates to policy and ensure individuals are assigned responsibility for cyber and information security. Without adequate policies there is an increased risk that the Town’s requirements and objectives for cyber security will not be achieved. This could affect the Town’s IT systems and the confidentiality, integrity, and availability of their information.	28/02/2021	30/06/2023	50%	60% 	Q2: Policy 331 has now been reviewed and updated. HRP010 is being reviewed as part of the Town's move to Policy Management as a Service (PMaaS) and is expected to be completed by 30 Jun 2024	Technology and Digital Strategy
7. Progress on audit findings from Office of the Auditor General audit in 2021: Disaster Recovery Plan (Review update & endorse an appropriate DRP and undertake appropriate test to verify effectiveness)	Develop Disaster Recovery Plan and document. Establish testing regime for the Disaster Recovery Plan. Schedule regular fail-over test to ensure veracity of the plan.	28/02/2021	31/12/2023	20%	50% 	Q2: This will be reviewed and updated when changes to the Town's IT infrastructure have been completed. This is expected by end of 2024.	Technology and Digital Strategy
9. Reg 17 22/23: Risk Management Framework - Provide relevant employees with regular refresher risk management training.	Provide relevant employees with regular refresher risk management training.	01/03/2023	31/12/2023	60%	75% 	Q2: C-suite has approved the purchase of an online module to be delivered this financial year.	Governance and Strategy

Goal	Audit Recommendations	Start Date	Due Date	Historic ...	Current ...	Update	Respons...
10. Reg 17 22/23: Business Continuity Planning - Ensure a review deadline is included in the Business Continuity Management Plan and a reminder to conduct an annual review is set either in a corporate calendar or Outlook calendar.	Ensure a review deadline is included in the Business Continuity Management Plan and a reminder to conduct an annual review is set either in a corporate calendar or Outlook calendar.	01/03/2023	30/12/2023	43%	60% 	Q2: BCP was approved in May 2023. The goal is to have a full review completed by May 2024	People and Culture
15. Reg 17 22/23: Managing insurable risks and ensuring the adequacy of insurance - Develop a written procedure for managing insurable risks, including the need for officers to actively participate in the insurer's annual risk assessment process.	Develop a written procedure for managing insurable risks, including the need for officers to actively participate in the insurer's annual risk assessment process	01/03/2023	31/10/2023	0%	0% 	Q2: The procedure required as part of the Reg 17 audit is to be written next quarter.	Financial Services
17. Reg 17 22/23: Procurement Framework - Ensure purchasing training, where required, is conducted for the relevant officers following Council endorsement of the revised purchasing policy.	Ensure purchasing training, is conducted for the relevant officers following Council endorsement of the revised purchasing policy.	01/03/2023	30/12/2023	90%	90% 	Q2: With P&C team, we have organised WALGA's online procurement training access. Currently reviewing the contents of the training and decide which level of staff (if not all) to conduct the training.	Financial Services
18. Reg 17 22/23: Procurement Framework - Amend the Procurement Management Practice (May 2020) to define when a probity reviewer is to be engaged.	Amend the Procurement Management Practice (May 2020) to define when a probity reviewer is to be engaged.	01/03/2023	31/08/2023	50%	50% 	Q2: Review of Procurement Management Practice is underway. Aiming to finalised by the end of March 2024.	Financial Services

Goal	Audit Recommendations	Start Date	Due Date	Historic ...	Current ...	Update	Respons...
19. Reg 17 22/23: IT management plan and data recovery procedure - Continue to develop written procedures to assist officers undertaking IT-related tasks internally.	Continue to develop written procedures to assist officers undertaking IT-related tasks internally.	01/03/2023	26/08/2023	50%	50% 	Q2: With the Town's move toward managed services, these procedures will be established as part of the handover to the MSP.	Technology and Digital Strategy
20. Reg 17 22/23: Cyber security - draft a management procedure capturing the protocol regarding cyber security testing and other measures. This should include contacts for external providers where appropriate.	draft a management procedure capturing the protocol regarding cyber security testing and other measures. This should include contacts for external providers where appropriate.	01/03/2023	30/06/2024	25%	25% 	Q2: As part of our migration to managed services, this documentation will be produced. Estimated completion date is 30/06/2024.	Technology and Digital Strategy
21. Reg 17 22/23: Emergency evacuation procedures -Formalise a procedure for tenants in buildings owned by the Town to ensure those buildings meet relevant standards for 21. evacuation protocols. Ensure a reminder is set to conduct the next review of emergency evacuation maps.	Formalise a procedure for working with tenants in buildings owned by the Town to ensure those buildings meet relevant standards for evacuation protocols	01/03/2023	30/06/2024	45%	45% 	Q2: A list of leased buildings has been obtained from the Property and lease coordinator. The tenants will be contacted in relation to their evacuation diagrams. In order to set up a process, this task has to be co-owned with those who manage tenants for the Town	People and Culture
22. Reg 17 22/23: Maintaining written procedures - Encourage business units to maintain a management practice register, including review deadlines for all management practices. Should be reviewed and ensure a consistent style is used when drafting.	Business units to maintain a management practice register, including review deadlines for all management practices.	01/03/2023	30/06/2023	42%	67% 	Q2: Work continuing to review and record all management practices. Update to be provided when new version of VIKI is available in 2024, with single location for Management Practices with subfolders for each service area.	Governance and Strategy

Goal	Audit Recommendations	Start Date	Due Date	Historic ...	Current ...	Update	Respons...
23. Reg 17 22/23: Restricting access to physical assets and records - Draft a written procedure to formalise the process of requesting and granting access to buildings/assets (if not already done so).	Draft a written procedure to formalise the process of requesting and granting access to buildings/assets	01/03/2023	30/06/2024	25%	25% 	Q2: As part of our migration to managed services, this documentation will be produced. Estimated completion date is 30/06/2024.	Technology and Digital Strategy
24. Reg 17 22/23: Restricting access to electronic documents and records - Draft a written procedure to formalise the process of requesting and granting access to electronic records (if not already done so).	Draft a written procedure to formalise the process of requesting and granting access to electronic records	03/03/2023	30/06/2024	25%	25% 	Q2: This is currently being worked on by the Information Management Team.	Technology and Digital Strategy
25. Reg 17 22/23: Updating computer applications and information systems - Continue developing the management practice for the replacement of hardware.	Continue developing the management practice for the replacement of hardware.	01/03/2023	30/06/2024	25%	25% 	Q2: As part of our migration to managed services, this documentation will be produced. Estimated completion date is 30/06/2024.	Technology and Digital Strategy
26. Reg 17 22/23: Updating computer applications and information systems - Draft a procedure regarding the use of patches (including the use of user acceptance groups).	Draft a procedure regarding the use of patches (including the use of user acceptance groups).	03/03/2023	30/06/2024	25%	25% 	Q2: As part of our migration to managed services, this documentation will be produced. Estimated completion date is 30/06/2024.	Technology and Digital Strategy
27. Reg 17 22/23: Authorising changes to data files and systems - Ensure the procedure for deleting corporate documents is captured in a written procedural document (if not done so already).	Ensure the procedure for deleting corporate documents is captured in a written procedural document	03/03/2023	30/06/2024	25%	25% 	Q2: This is currently being worked on by the IM Team	Technology and Digital Strategy

Goal	Audit Recommendations	Start Date	Due Date	Historic ...	Current ...	Update	Respons...
28. Reg 17 22/23: Ensuring (arithmetical) accuracy of records - Ensure officers are provided with refresher records management training, particularly following changes to the records management system. Ensure that quality control functions, spot checks, are captured in procedures.	Officers are provided with refresher records management training, particularly following changes to the records management system.	03/03/2023	30/06/2024	25%	25% 	Q2: This is currently being worked on by the IM Team	Technology and Digital Strategy
33. Tender register to include a copy or link to the notice of invitation to tender	The tender should include a copy or link to the notice of invitation to tender.	25/10/2023	31/12/2023	Not started	50% 	Q2: Investigation is underway the Website's ability to link the notice invitation with tender register.	Financial Services
34. Incomplete contracts register: top 10 supplier review on annual basis	Implement a control to cross-check contracts recorded within Content Manager 9 and expenditure with the contracts register to identify contracts that should be put in place or recorded.	01/06/2022	30/06/2024	50%	50% 	Q2: This will be completed by end of June 2024.	Financial Services