	Original Audit 2011/12 Audit Report						
Rec no	Recommendation	Priority	Responsible Officer	Implementation Date	Status (Complete/In Progress/Not Started)	Follow Up Finding (for all that are not complete)	Revised Implementation Date (where applicable)
1	We recommend that the Project Documentation such as the Project Initiation Document (PID) should be formalised and approved prior to commencement of future projects and should adequately identify all key stakeholders to be involved in the implementation.	M	Head of Shared Services	For future projects	Complete		N/a
2	A review should be undertaken of the user accounts that have generic user names to establish whether they are still required. Where no longer required, these accounts should be disabled.	M	Systems Accountant, Financial Systems Control Team	31st December 2011	In progress	High risk generic responsibilities targeted first and closed down with remainder considered low risk which will be dealt with by the end of April 2012.	30th April 2012
3	A review of the current Oracle user population should be undertaken to ensure that password expiry settings that are currently set to expire accounts after 60 days are consistently applied across all accounts.	M	Systems Accountant, Financial Systems Control Team	Immediate	Complete		N/a

| 4 | The number of failed attempts that a user is permitted to log into the system should be reviewed with a view to reducing the number of attempts to three attempts from the existing five attempts that are currently permitted. We also recommend that the unsuccessful login report should be reviewed to identify any persistent attempts at accessing the system. | M | Systems Accountant, Financial Systems Control Team | 31st December 2011 | Complete | | N/a |
| 5 | Documented procedures should be developed for the user management processes including the processes for user creation, amendment and removal. Furthermore, all original requests for access and amendments to access should be formally retained. We also recommend that a summary document should be developed for all roles defined on the system and explanations of their capability with a view to identifying the consequences of provision of access and any conflicting access, which may introduce segregation of duty conflicts. | M | Systems Accountant, Financial Systems Control Team | 31st January 2012 | Complete | | N/a |

6	A review of the user population in the Oracle system should be undertaken to ensure that roles have been correctly assigned and that privileges are not excessive for the identified roles. The new user eform should be reviewed and updated to reflect the available access options within the Oracle on Demand system to ensure that access levels are accurately captured at the time of the initial request for system access. Reviews should also be undertaken on a periodic basis to re-confirm that access privileges are correctly assigned as well as establishing a system to ensure leavers are removed from the Oracle system in a timely manner. Investigation should also be undertaken to establish a more user-friendly output report, which reports users and their access privileges which can be easily reviewed.	M	Systems Accountant, Financial Systems Control Team	31st March 2012	Complete		N/a
7	The Council should identify the available capability for Oracle systems auditing and monitoring to identify auditing at user activity and database row change level. This should look to identify which fields would be beneficial to establish auditing of user activity on the system.	M	Systems Accountant, Financial Systems Control Team	31st March 2012	In progress	Oracle GRC system and other solutions being looked at which would allow real time monitoring of Oracle as well as run reports for system auditing.	31st October 2012

8	The Oracle Competency Centre should ensure that knowledge of the interfaces is shared between team members to assist in succession planning and to ensure that all knowledge on the system is shared.	M	Corporate & Business Applications Manager	31st January 2012	Complete	All of the interfaces have been documented and follow standard Oracle documentation format. All members of the Oracle support team are familiar with this documentation. The interface skills are also readily available on the contract market so the risk to the organisation is minimal.	N/a
9	Procedures should be documented for the management of all Oracle interfaces to document the reconciliation processes along with the accountability for the reconciliation processes.	M	Transactional Services Manager	31st January 2012	Complete	An exercise to map all interfaces and confirm responsibilities has been completed. Swift Interface Instructions held APACS (i.e. credit/debit card) files created in PARIS and sent to the Bank with reconciliation procedures.	N/a
10	The Accounts Payable Galaxy Library interface should be reviewed to establish if this interface can be automated to eliminate the current manual routine used to transfer information.	M	Transactional Services Manager	31st March 2012	Complete		N/a
11	All Accounts Payable interface routines should be subject to a consistent reconciliation monitoring and recording process to ensure that the reconciliation of the Social Services SWIFT interface is adequately monitored and recorded.	M	Transactional Services Manager	31st January 2012	Complete		N/a

12	The current inability to reconcile the Transfuel and Translive interfaces should be investigated and resolved. Furthermore, where issues are identified with the reconciliation of interfaces, this should be brought to the attention of the Oracle Competency Centre immediately to be added to the issues and further development list.	M	Transactional Services Manager Corporate & Business Applications Manager	31st December 2011	Complete		N/a
13	The efficiency of the Accounts Receivable Swift Interface should be reviewed to establish the reasons for the delay in the running of the interface and the production of invoices which can result in the recovery timeline commencing before the invoices are received by the customer. Furthermore, the Accounts Receivable team should ensure that they specify the files required for the transfer of the interface for communication with ICT.	M	Transactional Services Manager Corporate & Business Applications Manager	31st March 2012	Complete		N/a
14	Procedures should be developed and maintained for Payroll and Accounts Payable processes. All process documentation should be subject to regular review and appropriate version control should be established documenting the author and date of review.	M	Transactional Services Manager	31st December 2011	In progress	Workshops have been held to combine knowledge with existing materials and Payroll and Accounts payable procedures are now in place.	31st March 2012

15	Data input screens across the Oracle on Demand system should be reviewed to establish: Whether superfluous options/screens can be removed; and Where, in some cases, failure to complete fields which are not mandatory can lead to later errors. e.g. Accounts Receivable where the profile field is not mandatory and where failure to populate this field leads to payment rejections. This should be completed with a view to making some system input fields mandatory for completion to enhance data quality	M	Transactional Services Manager	31st March 2012	In progress	Review process has focussed on key screens first.	31st March 2012
16	A secondary check should be undertaken of the Accounts Payable 'Batch Direct Payments' to help ensure the accuracy of the data input to the system.	M	Transactional Services Manager	30th November 2011	Complete		N/a
17	The Council should identify if address validation and postcode look up can be implemented within the system to improve the quality of address information that can be input into the Oracle on Demand system.	M	Transactional Services Manager Corporate & Business Applications Manager	31st March 2012	Not started	To be dealt with under the joint procurement project	Apr-13

18	The Council should identify if the Payroll process of importing timesheets can be amended in Oracle to ensure that data is in the correct format and does not require manual intervention to correct formatting.	M	Transactional Services Manager	31st December 2011	Complete		N/a
19	A secondary check should be undertaken of Accounts Payable bank details that are input to the system to help ensure the accuracy of data input to the system.	M	Transactional Services Manager	30th November 2011	Complete		N/a
20	The Council should review the reports, which can be produced from the payroll process, and these should be documented including the details of the recipients of the reports and the frequency of the production required.	M	Transactional Services Manager	31st December 2011	Complete		N/a
21	The current problems with the Business Intelligence reporting module should be reviewed and resolved to enable the organisation to be able to produce the required level of management information.	M	Corporate & Business Applications Manager	31st December 2011 31st December 2011	Complete		N/a

22	The process for the management of changes on the system should be formalised for testing changes and gaining business user engagement in the user acceptance testing process. The Council should ensure that the standard change control process developed by Business Systems is followed for all changes to the database.	M	Transactional Services Manager Corporate & Business Applications Manager	31st March 2012	Complete		N/a
23	A review should be undertaken of users with access to the 'My Oracle Support' portal to remove the access for users who no longer require access to this system.	M	Corporate & Business Applications Manager	31st March 2012	In progress	A review has been undertaken and most users who no longer require access to the 'My Oracle Support' portal have been removed..	31st March 2012
24	A schedule of Disaster Recovery test exercises should be developed, as well as a backup restore schedule to confirm the integrity of backups taken and to prove that the system can be recovered on a periodic basis and in a timescale in line with the relevant ISS Business Continuity Plan.	M	Corporate & Business Applications Manager	31st March 2012	In progress	A DR test should be carried out without further slippage to ensure that the data being backed up is complete and useable and to test the process works as expected.	30th June 2012