

Study	Audit Body	Date	Conclusion
IT Disaster Recovery 2010-11	Police	Jun-11	Limited Assurance, the level of non compliance putting the system objectives at risk
Business Continuity & Disaster Recovery 2013-14	Police	Jun-14	Limited Assurance, the level of non compliance putting the system objectives at risk
General IT Controls	Police	Aug-14	Limited Assurance, the level of non compliance putting the system objectives at risk
Sustainable IT - Replacement Planning	Police	May-15	Limited Assurance, the level of non compliance putting the system objectives at risk
ICT network security 2015-16	Police	10 days	
Business Continuity Planning	MCC	Jul-12	Unsatisfactory - not very well controlled, unacceptable levels of risk identified, changes required urgently
Business Continuity Planning 2013-14	MCC	Mar-14	Reasonable - adequately controlled, some risks identified which may compromise control environment
Software Licensing Controls	MCC	Mar-14	Reasonable - adequately controlled, some risks identified which may compromise control environment
Telephony & mobiles	MCC	18 days	
Active Directory 2011-12 (SRS11-001)	TCBC	Nov-12	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.
Active Directory 2012-13 Follow up (SRS12-001)	TCBC	Jun-13	Unsatisfactory - less than 50% of recommendations have been implemented
Active Directory 2014-15 (SRS-003)	TCBC	Mar-15	Moderate - Internal control environment does meet minimum expected standards but has weaknesses which put the system objectives at risk. There is some non-compliance with controls and those operating are not effective or are inadequate.
Application Support 2012-13 (SRS12-002)	TCBC	Nov-12	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.
Application Support 2013-14 Follow up (SRS13-001)	TCBC	May-14	Satisfactory - between 50% and 80% of recommendations have been implemented
Back Office System Review 2012-13 (SRS12-003)	TCBC	Jun-13	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.
Back Office 2013-14 Follow up (SRS13-002)	TCBC	Apr-14	Unsatisfactory - less than 50% of recommendations have been implemented

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Backup and retention 2014-15 (SRS-013)	TCBC	Dec-14	Substantial - Internal control environment meets minimum expected standards, is basically sound and whilst there is reasonable assurance that the system / process is reliable, weaknesses exist which MAY put SOME of the system objectives at risk. There is some non-compliance with controls but most are adequate and operating satisfactorily.
Disaster Recovery and Business Continuity 2013-14 (SRS13-003)	TCBC	Oct-14	Moderate - Internal control environment does meet minimum expected standards but has weaknesses which put the system objectives at risk. There is some non-compliance with controls and those operating are not effective or are inadequate.
CCTV Control Centre 2013-14 (SRS13-004)	TCBC	Sep-14	Substantial - Internal control environment meets minimum expected standards, is basically sound and whilst there is reasonable assurance that the system / process is reliable, weaknesses exist which MAY put SOME of the system objectives at risk. There is some non-compliance with controls but most are adequate and operating satisfactorily.
CCTV Control Centre 2013-14 Follow up (SRS-011)	TCBC	Mar-15	Unsatisfactory - less than 50% of recommendations have been implemented
Database management 2011-12 Follow up (SRS11-008)	TCBC	Jun-12	Unsatisfactory - less than 50% of recommendations have been implemented
Database management 2013-14 (SRS13-006)	TCBC	Jul-14	Moderate - Internal control environment does meet minimum expected standards but has weaknesses which put the system objectives at risk. There is some non-compliance with controls and those operating are not effective or are inadequate.
Database management 2014-15 Follow up (SRS-002)	TCBC	Apr-15	Unsatisfactory - less than 50% of recommendations have been implemented
Email 2013-14 (SRS13-007)	TCBC	Jul-13	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.
Email 2014-15 Follow up (SRS-006)	TCBC	Nov-14	Unsatisfactory - less than 50% of recommendations have been implemented
Environmental controls 2013-14 (SRS13-008)	TCBC	Aug-13	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.
Firewall 2012-13 (SRS12-008)	TCBC	Feb-13	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.
Firewall 2013-14 Follow up (SRS13-009)	TCBC	Feb-14	Unsatisfactory - less than 50% of recommendations have been implemented
Service desk 2011-12 (SRS11-007)	TCBC	Jan-12	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.

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Service desk 2012-13 Follow up (SRS12-010)	TCBC	Apr-13	Unacceptable - no recommendations have been implemented
Information management 2014-15 (SRS-010)	TCBC	May-15	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.
Internet information services 2013-14 (SRS13-011)	TCBC	Apr-14	Moderate - Internal control environment does meet minimum expected standards but has weaknesses which put the system objectives at risk. There is some non-compliance with controls and those operating are not effective or are inadequate.
Internet information services follow up 2014-15 (SRS-007)	TCBC	Jan-15	Excellent - between 80% and 100% of recommendations have been implemented
Internet usage 2014-15 (SRS-004)	TCBC	Apr-15	Moderate - Internal control environment does meet minimum expected standards but has weaknesses which put the system objectives at risk. There is some non-compliance with controls and those operating are not effective or are inadequate.
ISO 27001 Management System 2012-13 (SRS12-015)	TCBC	Mar-13	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.
ISO 27001 High Risks 2012-13 (SRS12-019)	TCBC	Apr-13	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.
ISO 27001 Communications and operations management 2013-14 Follow up (SRS13-012)	TCBC	Dec-13	Unsatisfactory - less than 50% of recommendations have been implemented
ISO 27001 2014-15 (SRS-016)	TCBC	Jan-15	The audit has identified that Management is not currently operating in the manner required by the new standard and there are certain actions required (see the recommendations made) in order to be able to do so.
IT disposals 2014-15 (SRS-014)	TCBC	Dec-14	Moderate - Internal control environment does meet minimum expected standards but has weaknesses which put the system objectives at risk. There is some non-compliance with controls and those operating are not effective or are inadequate.
IT Strategy 2012-13 (SRS12-13)	TCBC	Mar-13	Limited - Internal control environment does not meet minimum expected standards and has weaknesses which put the system objectives at risk. There is non-compliance with controls and those operating are not effective or are inadequate.
Microsoft Forefront 2012-13 (SRS12-009)	TCBC	Jan-13	Moderate - Internal control environment does meet minimum expected standards but has weaknesses which put the system objectives at risk. There is some non-compliance with controls and those operating are not effective or are inadequate.

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Patch management 2013-14 (SRS13-016)	TCBC	Dec-14	Moderate - Internal control environment does meet minimum expected standards but has weaknesses which put the system objectives at risk. There is some non-compliance with controls and those operating are not effective or are inadequate.
Remote access 2011-12 Follow up (SRS11-011)		Oct-12	Unacceptable - no recommendations have been implemented
Remote access 2014-15 (SRS-005)	TCBC	Jun-15	Moderate - Internal control environment does meet minimum expected standards but has weaknesses which put the system objectives at risk. There is some non-compliance with controls and those operating are not effective or are inadequate.
Security policy 2012-13 (SRS12-017)	TCBC	Oct-12	NIL - Internal control environment is weak and does not meet minimum expected standards leaving the system / process open to error and / or abuse. There is non-compliance with controls on a significant level and required controls are not present.
Security policy 2013-14 Follow up (SRS13-017)	TCBC	Nov-13	Unacceptable - no recommendations have been implemented
Software management 2012-13 Follow up (SRS12-018)	TCBC	Jan-13	Unacceptable - no recommendations have been implemented
Software management 2014-15 (SRS-001)	TCBC	Jul-15	Moderate - Internal control environment does meet minimum expected standards but has weaknesses which put the system objectives at risk. There is some non-compliance with controls and those operating are not effective or are inadequate.
Storage & Capacity management 2012-13 (SRS12-020)	TCBC	Sep-13	NIL - Internal control environment is weak and does not meet minimum expected standards leaving the system / process open to error and / or abuse. There is non-compliance with controls on a significant level and required controls are not present.
Storage & Capacity management 2014-15 Follow up (SRS-008)	TCBC	Mar-15	<p>Following completion of the systems audit (ref SRS12-20) on 09 September 2013, an action plan was drawn up and you agreed to implement 10 of the 11 recommendations made.</p> <p>The planning stage of the follow up audit has identified that you have not implemented any of the actions you agreed at the time, as you:</p> <ul style="list-style-type: none"> <li>• believe the risks are not currently 'real' within the SRS environment e.g. the Netapp San has 144TB available of which only 50% is being used;</li> <li>• do not have the time or the resources available to produce the strategies, plans, policies and carry out forecasting etc.;</li> </ul> <p>Whilst I am therefore unable to carry out the follow up audit, I note that you are accepting the risks of non-implementation and I will reflect this in the audit risk assessment to revisit when the audit is next scheduled. If you require any further information, please contact me.</p>

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Virtualisation 2012-13 Follow up (SRS12-021)	TCBC	May-13	Unsatisfactory - less than 50% of recommendations have been resolved
Service Desk 2015-16 (SRS15-009)	TCBC	12 days	
Business Continuity Management and Disaster Recovery 2015-16 Follow up (SRS15-004)	TCBC	7 days	
Change Management 2015-16 (SRS15-005)	TCBC	15 days	
Firewall 2015-16 (SRS15-007)	TCBC	12 days	
Internet usage 2015-16 Follow up (SRS15-010)	TCBC	7 days	
ISO 27001: 2013 New Standard Year 1 2015-16 (SRS15-011)	TCBC	15 days	
Service Point 2015-16 Follow up (SRS15-013)	TCBC	7 days	
Patch management 2015-16 Follow up (SRS15-014)	TCBC	7 days	
Virtualisation 2015-16 (SRS15-017)	TCBC	15 days (97 days)	