

Section	Action	Implementation Date	Executive Risk Owner	Status	RAG Status	Report Ref
Risk Management	Management to ensure that links to Transport for the North's strategic objectives are explicitly recorded against risks included with Transport for the North's corporate risk register. Additionally, management to include the date that a risk update was added to the risk under the "control/monitor stage" column.	28th February 2019	Haddy Njie	Complete	Low	1.18/19
Risk Management	Mitigation strategies included in the risk registers are to be clear and quantifiable controls. In addition, the use of "on-going" within the target date completion should be minimised – at minimum, the next risk review date should be added.	28th February 2019	Haddy Njie	Complete - this is a continuous practice.	Low	1.18/19
Risk Management	Management to review the value and applicability of the inclusion of a defined assurance framework with each of Transport for the North's risk registers.	Transport for the North's business planning period – 2020/2021	Transport for the North's leadership team. Consideration of the assurance framework will be part of the 2020/2021 business planning process.	Consideration of the assurance framework to be part of the 2020/2021 business planning process.	Medium	1.18/19
Risk Management	Management to establish "target" risk ratings against all risks included within the risk registers.	28th February 2019	Haddy Njie	Complete	Low	1.18/19
Risk Management	Producing quarterly risk reports as stated in the Risk Management Strategy	28th February 2019	Haddy Njie	First Quarterly Risk Report due in July 2019.	Low	1.18/19
Finance	Staff will be reminded of the Transport for the North procedure to obtain signed letter headed paper prior to suppliers being set up in the finance system.	29-Mar-19	Gareth Sutton	Completed	Low	2.18/19
Finance	The requirement to submit procurement card logs within five working days of month end will be amended in the policy to a more achievable timeframe.	29-Mar-19	Gareth Sutton	Completed	Low	2.18/19
Procurement	The Procurement Policy will be uploaded to the Polices section of the Transport for the North Share Point site.	Completed	Graham Bramwell	Completed	Low	3.18/19
Procurement	The Supplier Recommendation Report will be amended to require staff authorising the procurement of goods and services from a chosen supplier to declare any interests in the supplier.	22-Mar-19	Graham Bramwell	Completed	Low	3.18/19
Procurement	The process flowchart for setting up new suppliers will be updated to include all process carried out in practice, such as the verification of bank details and completion of the bank verification form.	15-Mar-19	Graham Bramwell	Completed	Low	3.18/19
Procurement	The Contract Log will be updated to include indication of whether contract documentation has been uploaded to Share Point. This information can then be used to monitor and report compliance.	29-Mar-19	Graham Bramwell	Completed	Low	3.18/19
IT - Cyber Security	1. Transport for the North does not undertake any external penetration testing of its perimeter network.	Q2 2019/20	Kevin Willans	TfN are fully aware we require regular vulnerability assessments and have not to date completed one as funding is planned in 2019/20. This is in our IT business plan which was visible to the audit team and is fully backed within our IT & Data strategies. The first round of Penetration testing is scheduled for Q1 2019/20 with a further test scheduled for later in the financial year. Scheduled for Q1 of the next financial year. Update 03/06/19: Procurement requirements are currently under review by TfNs IT Steering group for approval to proceed. Procurement to utilise established CCS framework in sourcing a	Medium	4.18/19
IT - Cyber Security	2. Transport for the North does not have a formally documented patch management procedure.	31-Mar-19	Kevin Willans	Patching Policy documented and has been circulated around the IT Steering Governance Members comment/approval. Formal sign-off will take place at the next IT Steering Group in March. To be completed by 31/Mar/19.	Medium	4.18/19
IT - Cyber Security	3. Windows security and critical updates are not tested prior to being deployed on Transport for the North's machines.	On-going Quarterly	Kevin Willans	On-going updates will be performed as per the IT Device Patching policy. Quarterly reviews will be performed to ensure compliance. Update 03/06/19: Completed	Medium	4.18/19
IT - Cyber Security	4.All users are currently set up as local administrators on their PCs and laptops.	Completed	Kevin Willans	Completed	Low	4.18/19
IT - Cyber Security	5. We noted that there are no restrictions placed upon staff's use of removable media, such as preventing unencrypted removable media devices on its network.	Completed	Kevin Willans	Completed	Low	4.18/19
IT - Cyber Security	6. Transport for the North does not undertake periodic clear desk checks to confirm that staff are adhering to the Office and Desk Protocol. LOW	Completed	Kevin Willans	Completed	Low	4.18/19
IT - Cyber Security	7. Transport for the North's home and mobile working arrangements are captured within the organisation's "ITP01 IT Policy". However, in discussion with the Head of IT and Information we were informed that the security risks associated with home and mobile working have not been formally assessed.	Completed	Kevin Willans	Completed	Low	4.18/19
IT - Cyber Security	8. Transport for Greater Manchester (TFGM), Transport for the North's IT third party support provider, are responsible for enforcing the standard image build for PCs and workstations across Transport for the North's estate, this includes ensuring that all the PCs and workstations are up to date with the latest security patches. Audit testing confirmed that there were six devices across Transport for the North's estate which were not up to date with the latest security patches.	Completed	Kevin Willans	Completed	Low	4.18/19
IT - Cyber Security	9. Although staff are made aware of cyber risks and threats through meetings and occasional presentations by members of the IT team, they are not required to complete any formal annual information security or cyber training to keep them up to date with the people risks facing the Transport for the North.	Q1 2019 & On-going	Kevin Willans	All new starters have to complete this IT Security and Data training presentations face to face and then complete an online test. All staff received this training within Q1 2018/19 when TfN became a statutory body. Therefore, we do not have any records on annual refreshes being performed as we have not existed a year. Refresher training is being developed for Q1 2019/20 and additional online e-learning material are being rolled out. Update 03/06/19: Refresher training material has been developed and face 2 face rollout scheduled to commence Q2 2019. Online e-learning is in place. Complete	Low	4.18/19
IT - Cyber Security	10. Audit testing of the starters, movers and leavers did not note any issues with the creation and amendment of users account privileges and the disabling of users' accounts. Transport for the North has a formally documented starters process. However, we noted that Transport for the North does not have a formally documented movers and leavers process.	Completed	Kevin Willans	Completed	Low	4.18/19
Payroll	Management will develop a new user request form to ensure that documented authorisation is obtained for staff granted access to payroll processing module in the Talent system.	31-May-19	Stephen Hipwell	Completed	Low	5.18/19
Risk Register Deep Dive	The Risk Portfolio Manager will review and update the Risk Management Strategy in order to ensure that it is in line with current organisational operations. The Risk Management Strategy will then be reviewed and approved by the Senior Management Team on an annual basis, with the version control box stating the next due date for review. In addition, the Risk Management Strategy will include the frequency of the review of the risks within the Corporate Risk Register.	30-Sep-19	Haddy Njie	Action not started as report only agreed and finalised on 31 May 19.	Low	1.19/20
Risk Register Deep Dive	The Risk Portfolio Manager will ensure that the Corporate, Programme and Directorate Risk Registers are updated consistently following each review point. Where there are no changes to a risk, and/or action, this will be documented as a nil return to ensure that there is a clear audit trail of senior management review.	30-Sep-19	Haddy Njie	Action not started as report only agreed and finalised on 31 May 19.	Medium	1.19/20
Risk Register Deep Dive	Both Corporate and Programme level risks will be reviewed by the Audit and Governance Committee on a quarterly basis.	30-Sep-19	Haddy Njie	Action not started as report only agreed and finalised on 31 May 19.	Low	1.19/20
Corporate Governance - SDC Programme	No actions required	n/a	n/a	n/a	n/a	2.19/20