REPORT TO THOSE CHARGED WITH GOVERNANCE – SEPTEMBER 2013

Action	Priority	Responsibility	Action to Date	Resolved [✓ or X]	(Original) Implementation date
IT Arrangements for monitoring unauthorised access attempts Formal security monitoring procedures should be developed covering key systems and network infrastructure. For network Active Directory and financial systems where activity logs are available, failed access attempts, access provisioning activity created by these systems should be formally reviewed as a minimum for the purpose of detecting inappropriate or anomalous activity. These reviews should ideally be performed by one or more knowledgeable individuals who are independent of the day-to-day use or administration of these systems.	Medium	Head of Corporate Strategy & Client Services	Position – November 2013 Protective monitoring on the WBC network is provided through the Windows event log function. The following are monitored and recorded: • Security state change • Logon • Logoff • Account lockout The e-financials systems has been highlighted as requiring a health check and therefore any changes, or additional security monitoring will be added. Process needs to be defined for these audit logs to be reviewed. **Position January 2014** ***Process defined: On call engineer is assigned this weekly review task.***	✓	December 2013

			Task takes place every Friday morning and outcomes are escalated as appropriate. *FMS – A health check was undertaken on __all__ databases and the maintenance solution applied to industry best practice.*		

| No Periodic Refresh of IT Security Policies

The Information Security Policy and should be refreshed at planned intervals or when significant changes occur to ensure their continuing suitability, adequacy, and effectiveness. | Medium | Head of Corporate Strategy & Client Services | Position – November 2013

This has now been drafted and is awaiting sign off from Management Board and Leadership Team. Information Security Policy, Issue 0.2. This will then be issued to staff.

This document is then scheduled for an annual review. The first will take place Feb-Apr 2014 following the release of ISO27001 (2013 version) and a change to the government protective marking scheme.

Position January 2014

Signed off by TRDC management board on 19th November 2013. Note: these are joint policies. This will be reviewed by ITSG on December 10th and then issued to staff.

Subsequent reviews will be completed annually (Q4), unless otherwise required. | *x*
Part resolved | December 2013 |

Assurance for third party services The council should request where it has third party IT service provision, formal assurance from the service provider on the adequacy of the general IT controls they have in operation at their data centre(s) from which the service is provided. This should include testing of third party disaster recovery plans.	Medium	Head of Corporate Strategy & Client Services	Position – November 2013 Memorandum of understanding is currently in draft format. This will be issued to (PSN) priority systems vendors initially. A further policy will be developed around management of third parties will be written during 2014. *Position January 2014* *This is in progress. MOU's for third parties are currently being issued. Third party policy is scheduled for completion by end of Q4.*	*x* Part resolved	December 2013

Financial governance The presentation of income charges could be improved with the further analysis of other income streams such as property and commercial income included within the monthly budget reporting pack the 'Finance Digest'.	Medium	Head of Finance Shared Services	*Position January 2014* *The content and presentation of the Finance Digest is under review. The Shared Internal Audit Service is performing a county-wide examination of budget monitoring and reporting arrangements and will report on best practice during 2014. The Budget panel will be consulted on proposed changes.*	*x*	December 2013
Key indicators The Council should consider their current absence management procedures in the light of the 2012/13 staff absence levels.	Medium	Head of HR Shared Services	*Position January 2014* *Leadership Team regularly monitor staff absence levels in all service areas. Review of the policy will be considered when quarter 3 levels have been analysed.*	*x*	December 2013

Financial Governance Housing benefit service to reduce the time taken to process a change in claimants circumstances to be more in line with DWP national average of 9 days.	Medium	Head of Revenues and Benefits Shared Services	Position November 2013 This is being progressed and regular monitoring is in place. Improvements in performance are being achieved. *Position January 2014* *The original issue arose mainly due to ATLAS files from the DWP not having been assessed. Clearing the backlog had a negative impact on the PI. The position is that the old ATLAS files have all been cleared and the ATLAS files are being regularly downloaded. Whilst the in year figure will not be within the DWP target of 9 days, the month to month position is getting better. We are currently doing systematic audits to identify any further remaining old cases which are then being ring fenced.*	*x*	December 2013

Financial Governance Housing Benefit service to process the notification of regulation amendments from the DWP and to reduce the level of LA error overpayments.	Medium	Head of Revenues and Benefits Shared Services	Position November 2013 Achieved. The level of LA errors for 2013/14 will be above the thresholds for subsidy purposes as a result of the clearance of the backlog. New changes of circumstances are being ringfenced to minimise overpayments.	✓	December 2013
Journal Authorisation The shared finance service should develop an up-to-date journal authorization policy setting out clear responsibilities for authorization of different types of journal.	Medium	Head of Finance Shared Services	Position November 2013 This is being progressed. ***Position January 2014*** ***Policy and procedure notes have now been completed.***	✓	December 2013

Financial Control The housing and council tax benefit to general ledger reconciliation is performed annually on a timely basis.	Medium	Head of Finance Services	Position November 2013 This is being progressed. ***Position January 2014*** ***Completed***	✔	December 2013