

Action	Priority	Responsibility	Action to Date	Resolved [✓ or X]	(Original) Implementation date
<p>No Periodic Refresh of IT Security Policies</p> <p>The Information Security Policy and should be refreshed at planned intervals or when significant changes occur to ensure their continuing suitability, adequacy, and effectiveness.</p>	Medium	Head of Corporate Strategy & Client Services	<p>Position – November 2013</p> <p>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.</p> <p>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.</p> <p>Position January 2014</p> <p>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.</p> <p>Subsequent reviews will be completed annually (Q4), unless otherwise</p>	✓	December 2013

			<p>required.</p> <p>Position March 2014</p> <p>Signed off by TRDC Management Board – 19th November 2013 and ITSG – 10th December 2013. Refresh points are in place and managed through fortnightly Information Security meetings with David Macintosh (Security expert, assigned to W3R account) and ICT Client Manager – Emma Tiernan</p>		
<p>Assurance for third party services</p> <p>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.</p>	Medium	Head of Corporate Strategy & Client Services	<p>Position – November 2013</p> <p>Memorandum of understanding is currently in draft format. This will be issued to (PSN) priority systems vendors initially.</p> <p>A further policy will be developed around management of third parties will be written during 2014.</p> <p>Position January 2014</p> <p>This is in progress. MOU's for third parties are currently being issued. Third party policy is scheduled for completion by end of Q4.</p>	<p>x</p> <p>Part resolved</p>	<p>December 2013</p> <p>April 2014 to complete Third party policy</p>

			<p>Position March 2014</p> <p>MOUs issued to key vendors.</p> <p>Third party policy is currently being drafted</p>		
<p>Financial governance</p> <p>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'.</p>	Medium	Head of Finance Shared Services	<p>Position January 2014</p> <p>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.</p> <p>Position March 2014</p> <p>SIAS and Finance Managers have commenced the review process and the detailed evidence gathering will be completed by the end of March. The budget monitoring process and new reporting format will be reported to Budget Panel in July.</p>	x	<p>December 2013</p> <p>July 2014</p>

<p>Key indicators</p> <p>The Council should consider their current absence management procedures in the light of the 2012/13 staff absence levels.</p>	<p>Medium</p>	<p>Head of HR Shared Services</p>	<p>Position January 2014</p> <p>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.</p> <p>Position March 2014</p> <p><i>Absence management reports taken to Managers Forum and Leadership Team and recommendations agreed. The council has also adopted an Employee Health & Wellbeing Strategy with aims to reduce absence. Regular monitoring and reporting continues and the levels of absence are a key indicator for Managing the Organisation.</i></p>	<p>✓</p>	<p>December 2013</p>
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<p>Financial Governance</p> <p>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.</p>	<p>Medium</p>	<p>Head of Revenues and Benefits Shared Services</p>	<p>Position November 2013</p> <p>This is being progressed and regular monitoring is in place. Improvements in performance are being achieved.</p> <p>Position January 2014</p> <p>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.</p> <p>Position March 2014</p> <p><i>ATLAS files are being regularly downloaded on a daily basis and a monitoring procedure is in place. To track the number outstanding.</i></p>	<p>✓</p>	<p>December 2013</p>
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