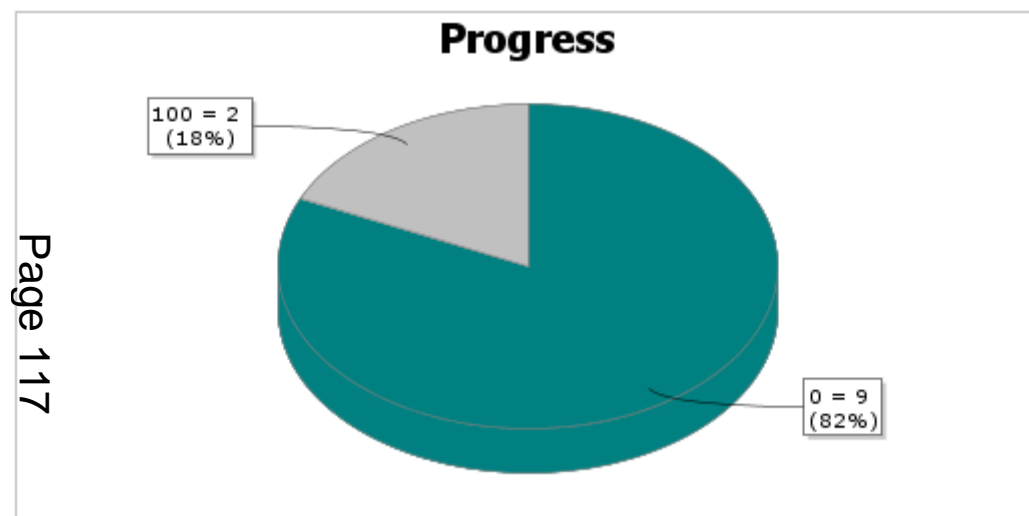


First Implementation Review 2017/18 Quarter 4

Report Type: Audit Recommendations Report

Report Author: Angela Struthers

Generated on: 24 April 2018



Priority High Priority

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
1617 MD01 Management oversight	0%	Reports should be issued to management detailing the level of uptake, any devices lost that could potentially contain sensitive official data together	February 2018 – Not Implemented BYOD/Mobile Device policy is	Gareth Youlden

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
		with details of estimates of savings made through the programme.	being reviewed/updated as part of an ICT governance process review. As part of this we will implement a more formal approach to tracking BYOD use. Previous implementation date October 2017	
1617 MD02 User Training	0%	The BYOD initiative does have specific training requirements with regard to the differential between personal and business use. End users should be informed of these differences and advised of changes as they materialise.	February 2018 – Not Implemented BYOD/mobile device policy is being reviewed/updated as part of an ICT governance process review. As part of this we will be putting together the training presentation as per original response Previous implementation date December 2017	Gareth Youlden
1617 MD03 Legal compliance	0%	Reference should be made in the policy that if for any reason data is held locally then it must comply with all legal and data protection legislation. Together with the authority having permission in respect of search and seizure law if required.	February 2018 – Not Implemented BYOD/Mobile Device policy is being reviewed/updated as part of an ICT governance process review.	Nicola Hesketh; Gareth Youlden

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
1617 MD04 Risk assessment	0%	BYOD should be risk assessed and an entry recorded in the corporate risk register if required.	<p>Previous implementation date October 2017</p> <p>February 2018 – Not Implemented</p> <p>Information Services risk register will be updated as part of policy review</p>	Gareth Youlden
1617 MD05 BYOD Policy	0%	The policy should be reviewed to ensure that it is robust, fit for purpose, and formally approved. It should then be rolled out to all users and reviewed on an annual basis.	<p>Previous implementation date October 2017</p> <p>February 2018 – Not Implemented</p> <p>As per original response, governance review on-going</p>	Gareth Youlden
1617 MD09 Network access	0%	The policy in respect of mobile devices should be updated to include a requirement to attach to the network on a regular basis. With any that do not attach for a period of 90 days to be investigated further to ensure that they are still held by the individuals concerned	<p>Previous implementation date October 2017</p> <p>February 2018 – Not Implemented</p> <p>Looking at ways to best implement a process of patch management for mobile devices which do not connect regularly to the network. Once agreed, the approach/policy will be included</p>	Gareth Youlden

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
			<p>in governance review. In the interim we have been recalling laptops for essential security updates.</p> <p>Previous implementation date October 2017</p>	
<p>1617 MD10 Termination of Employment</p>	<p>0%</p>	<p>IT are included in the monthly HR notification issued in advance of all persons leaving the authority and this should be used as the basis to prompt the notification to line managers of devices held by those persons. A review of any mobile devices held can be made and copies of the declaration forms held forwarded to the relevant line manger to ensure the return of all items held.</p>	<p>February 2018 – Partially Implemented</p> <p>Has been included in the new starters and leavers policy/process currently being reviewed/signed off by ICT mgmt.</p> <p>Previous implementation date December 2017</p>	<p>Gareth Youlden</p>
<p>1617 MD11 Register of approved users</p>	<p>0%</p>	<p>A register of approved users to the scheme should be drawn up and updated on an ongoing basis. Together with a returned signed declarations of acceptance of the conditions of use.</p>	<p>February 2018 – Not Implemented</p> <p>BYOD register will be completed as part of policy review. This will include signed conditions of use agreement similar to the mobile device terms and conditions agreement already in place for corporately issued mobile devices.</p>	<p>Gareth Youlden</p>

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
			Previous implementation date October 2017	

Priority Medium Priority

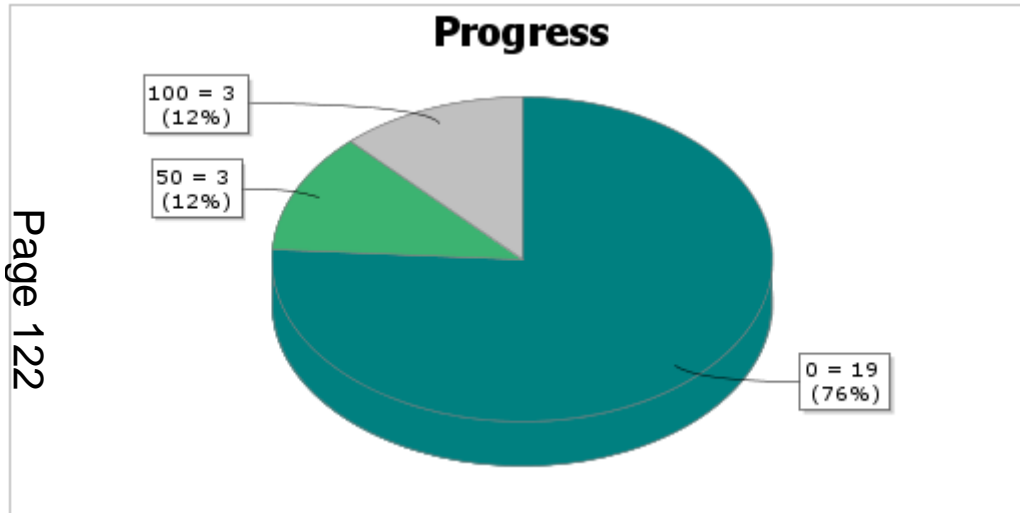
Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
1617 MD07 Register of approved users	0%	Once a register of BYOD users is drawn up this should be periodically reconciled to the devices officially supplied by the authority.	February 2018 – Not Implemented As per original response, BYOD register will be completed as part of policy review. Previous implementation date December 2017	Gareth Youlden

Further Implementation Review 2017/18 Quarter 4

Report Type: Audit Recommendations Report

Report Author: Angela Struthers

Generated on: 24 April 2018



Priority High Priority

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
1516 ICTDR 1.1 Business Impact Analysis	0%	The Business Impact Analysis (BIA) should be stored with other reviews. Additionally the BIA should be used to identify critical IT systems / data and priorities relating to the order and	February 2018 – Not Implemented DR testing and associated activities postponed due to significant ICT	Gareth Youlden

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
		<p>timescales for recovery. A recommendation is made below regarding recording the priority list and approval process.</p>	<p>infrastructure changes including new backup solution. BIA + DR/BC plans will all be reviewed and updated as part of the DR testing in April 2018</p> <p>Previous implementation date December 2017</p> <hr/> <p>May 2017 – Not Implemented</p> <p>The Civil Contingencies Officer is currently carrying out Business Impact Assessments with Heads of Service</p> <p>The current review of IT DR Plan will consider these BIA's and plans</p> <p>Previous implementation date March 2017</p>	
<p>1516 ICTDR 1.2 List of IT systems</p>	<p>0%</p>	<p>The list of critical IT systems / data should be approved by the Civil Contingencies & Corporate Business Continuity Group. This should include timescales for recovery. This list should be reviewed formally at least annually.</p>	<p>February 2018 – Not Implemented</p> <p>DR testing and associated activities postponed due to significant ICT infrastructure changes including new backup solution. BIA plans will be reviewed and updated as part of the DR testing in April 2018</p> <p>Previous implementation date</p>	<p>Gareth Youlden</p>

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
			<p>December 2017</p> <p>May 2017 – Not Implemented</p> <p>Updated DR plan including critical system list from BIA and outcomes from the DR testing this year for system recovery timescales will be reviewed and approved by CC and CBCG</p> <p>Previous implementation date September 2016</p>	
E5 6 ICTDR 2.1 Errors in ICT DR plan	0%	<p>Steps should be taken to correct the errors that exist in the current ICT DR plan (Document “E5 – TBCIUBCP20705 – Business Continuity Plan”). The inclusion of the following should also be actioned:</p> <ul style="list-style-type: none"> - ICT staff contact details. - How access to the Walsall MBC site “out of hours” will be achieved. - How access to the off-site backup tape location (TIC) will be achieved. 	<p>February 2018 – Not Implemented</p> <p>DR testing and associated activities postponed due to significant ICT infrastructure changes including new backup solution. ICT DR plan will be reviewed and updated as part of the DR testing in April 2018</p> <p>Previous implementation date September 2017</p> <p>May 2017 – Not Implemented</p> <p>Walsall MBC contract currently under review, once complete the DR plan will be updated to correct errors/</p>	Gareth Youlden

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
			omissions as per recommendation.	
1516 ICTDR 2.2 Access to documents/ files	0%	Steps should be taken to ensure files / documents can be accessed in a genuine emergency. The use of encrypted memory sticks should be considered. Also the arrangements to gain access to the external data centre should be finalised.	<p>Previous implementation date December 2016</p> <p>February 2018 – Not Implemented</p> <p>Walsall contract now formalised with details of OOH access included. Essential DR/BC information will be stored in tape safe at Ankerside. Documentation needs to be updated after on-going infrastructure/backup changes due for completion March 2018</p> <p>Previous implementation date September 2017</p> <p>May 2017 – Not Implemented</p> <p>Walsall MBC contract/arrangements currently under review, access to be formally agreed as part of this. DR plan and associated documents will be stored (encrypted) in the cloud for accessibility.</p> <p>Previous implementation date</p>	Gareth Youlden

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
1516 ICTDR 2.4a Alternative site	0%	The use of the Depot as an alternative site will need to be fully reviewed / formalised post completion of the BIA work currently underway.	<p>October 2016</p> <p>February 2018 – Not Implemented</p> <p>Depot review will be carried out post DR testing/BIA update including options for internet provision</p> <p>Previous implementation date December 2017</p> <hr/> <p>May 2017 – Not Implemented</p> <p>Usage of the depot as a DR site will be formally reviewed and gap analysis produced after BIA complete</p> <p>Previous implementation date September 2016</p>	Gareth Youlden
1516 ICTDR 3.1 Testing DR Recovery	0%	<p>The approach to testing DR recovery should be re-visited to include the following:</p> <ul style="list-style-type: none"> - DR testing should be an annual event. Rotating service involvement will ensure managers / service users gain some experience / knowledge. - Scope of testing to be completed by Service users and ICT. - ICT should sense check the testing completed by Service Users and comment accordingly. 	<p>February 2018 – Not Implemented</p> <p>DR testing and associated activities postponed due to significant ICT infrastructure changes including new backup solution. All recommendations will be included into plans for DR testing in April 2018</p>	Gareth Youlden

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
		<p>- Tests (Service / ICT) should be documented and signed off. This should be retained accordingly.</p> <p>- The tracking of issues and future actions should be formalised. Significant updates should be reported to the Civil Contingencies & Corporate Business Continuity Group.</p> <p>This should be documented and agreed by the Civil Contingencies & Corporate Business Continuity Group.</p>	<p>Previous implementation date December 2017</p> <hr/> <p>May 2017 – Not Implemented</p> <p>Previous implementation date March 2017</p>	
<p>16 ICTDR 5.1 IT Elements of service unit plans</p>	<p>0%</p>	<p>There is a need to ensure the IT elements of Service Unit plans are brought up to date and include sufficient detail.</p>	<p>February 2018 – Not Implemented</p> <p>Reviews of service continuity plans will be better carried out post DR testing given the significant changes to ICT infrastructure and backup solution since the last test.</p> <p>The Emergency Planning officer from CCU has started on business continuity and will be working on this area.</p> <p>Previous implementation date September 2017</p> <hr/> <p>May 2017 – Not Implemented</p>	<p>Nicki Burton</p>

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
			<p>The Civil Contingencies Officer is currently carrying out Business Impact Assessments with Heads of Service which will contribute to the revision and compilation of updated Business Continuity Plans. The current review of IT DR Plan will consider these BIA's and plans.</p> <p>Previous implementation date December 2016</p>	
1516 RIPA 2.3 Social Media	0%	Officers who use social media for identifying, monitoring or surveillance of individuals should be authorised to have the relevant access and record all use of the sites with relevant reasons as to why it has been used. This record should be forwarded to the Solicitor to the Council on a regular basis to ensure that there is no breach of legislation.	<p>January 2018 – Not Implemented</p> <p>To be taken to CMT to assign responsibility for policy development.</p> <p>Previous implementation date December 2017</p> <p>May 2017 – Not Implemented</p> <p>No policy in existence.</p> <p>Previous implementation date March 2017</p>	Jane Hackett
1516 RIPA 3.1 Surveillance outside RIPA	0%	The responsibility for developing a monitoring at work policy is assigned and the policy is written, approved and circulated.	<p>January 2018 – Not Implemented</p> <p>No action taken. To be taken to CMT for discussion.</p>	Jane Hackett

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
1617 T&S 2.01 Policy	0%	The policy is updated and distributed as detailed.	<p>Previous implementation date December 2017</p> <hr/> <p>May 2017 – Not Implemented</p> <p>No action commenced in this area</p> <p>Previous implementation date – December 2016</p>	Christie Tims; Zoe Wolicki
1617 T&S 2.02 Policy	0%	The policy is reviewed for accuracy and relevantly amended.	<p>Original due date December 2016</p> <hr/> <p>January 2018 – Not Implemented</p> <p>Although the policy has been distributed through NetConsent it has not been updated.</p> <p>Previous implementation date December 2017</p> <hr/> <p>April 2017 – Not Implemented</p> <p>There have been no changes since the previous audit.</p>	Christie Tims; Zoe Wolicki

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
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Previous implementation date
December 2017

April 2017 – Not Implemented

No amendments have been made to the policy to correct the inaccuracies.

Original due date December 2016

February 2018 – Partially implemented

Updated policy currently being reviewed and signed off by ICT management team

Previous implementation date
September 2017

Priority Medium Priority

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
1516 ICTDR 1.3 IT resource requirements	0%	The requirements for other IT resources i.e. workstations, printers, telephones etc. should be tracked and recorded as an action once the current BIA is completed.	<p>February 2018 – Not Implemented</p> <p>Gareth Youlden</p> <p>DR testing and associated activities postponed due to significant ICT infrastructure changes including new backup solution. BIA including IT resource requirements will be reviewed and updated as part of the DR testing in April 2018</p> <hr/> <p>Previous implementation date December 2017</p> <p>May 2017 – Not Implemented</p> <p>Will be considered on completion of the BIA's</p> <hr/> <p>Previous implementation date December 2016</p>	Gareth Youlden
1516 ICTDR 2.3 ICT DR Plan update	0%	The approval box for the ICT DR plan (Document "E5 – TBCIUBCP20705 – Business Continuity Plan") should be updated in line with reviews and changes to staff as necessary. This document should be reviewed / signed off annually as being accurate / approved.	<p>February 2018 – Not Implemented</p> <p>Nicki Burton</p> <p>Assigned to NB although DR testing and associated activities postponed due to significant ICT infrastructure changes including</p>	Nicki Burton

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
			<p>new backup solution. ICT DR plan will be reviewed and updated as part of the DR testing in April 2018.</p> <p>Previous implementation date September 2017</p> <p>May 2017 – Not Implemented</p> <p>This is being reviewed and updated as part of the wider information services governance review. Will also be reviewed and updated annually/in line with changes as per recommendation.</p> <p>Previous implementation date December 2016</p>	
1516 ICTDR 2.4b Depot Internet Access	0%	Steps should be taken to ensure internet access for any critical activities / services are available should the Depot be used as an alternative location.	<p>February 2018 – Not Implemented</p> <p>Internet options will be looked at as part of Depot review post DR testing</p> <p>Previous implementation date December 2017</p>	Gareth Youlden

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
			<p>May 2017 – Not Implemented</p> <p>Usage of the depot as a DR site will be formally reviewed and gap analysis produced after BIA complete.</p> <p>Previous implementation date September 2016</p>	
<p>1516 ICTDR 2.5 Recovery Procedures</p>	<p>0%</p>	<p>Recovery procedures should be documented for all key services / applications.</p>	<p>February 2018 – Not Implemented</p> <p>DR testing and associated activities postponed due to significant ICT infrastructure changes including new backup solution. Recovery procedures will all be reviewed and updated as part of the DR testing in April 2018</p> <p>Previous implementation date December 2017</p> <p>May 2017 – Not Implemented</p> <p>Recovery procedures will be updated as part of DR testing this year.</p>	<p>Gareth Youlden</p>

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
			<p>Previous implementation date March 2017</p> <hr/> <p>May 2017 – Not Implemented</p> <p>Previous implementation date October 2016</p> <hr/> <p>February 2018 – Not Implemented</p>	
1516 ICTDR 5.2a Timetable of plans	0%	A schedule / timetable of plans, including review dates, should be documented and presented to the Civil Contingencies & Corporate Business Continuity Group.	<p>Reviews of service continuity plans will be better carried out post DR testing given the significant changes to ICT infrastructure and backup solution since the last test.</p> <p>The Emergency Planning officer from CCU has started on business continuity and will be working on this area.</p> <p>Previous implementation date June 2017</p> <hr/> <p>May 2017 – Not Implemented</p> <p>The Corporate Business Continuity Strategy has recently been endorsed by CMT, and contains a commitment to active</p>	Nicki Burton

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
			<p>testing of all plans. The strategy is being rolled out to the organisation as part of the Business Continuity Awareness Week campaign and will be formally discussed at the inaugural Corporate Business Continuity Group scheduled June 17 .</p> <p>Previous implementation date December 2016</p>	
16 ITrent 3.2 Audit log tables	0%	A periodic review of the sizes of the audit log tables should be completed. Evidence of such reviews should be evidenced and records of sizes recorded.	<p>February 2018 – Not Implemented</p> <p>No further progress, need to revisit this recommendation to understand if still relevant.</p> <p>Previous implementation date June 2017</p> <p>February 2017 – NOT IMPLEMENTED</p> <p>Need to review the audit log to see what information is logged in order to decide how often this would be reviewed.</p> <p>Original implementation date:</p>	Gareth Youlden

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
1516 ITrent 4.2 System Checker	0%	Steps should be taken to formalise the approach to application capacity and performance management. A review of the System Checker functionality should be completed to see how this can assist with this issue.	31st March 2016	Gareth Youlden
			No further progress, task raised on applications support team work plan covering a review of system checker functionality	
			Previous implementation date June 2017	
			February 2017 – NOT IMPLEMENTED	
			Capacity management is being reviewed as part of ICT policy update. Will look into System Checker functionality to see what this can do.	
			Original implementation date: 31st March 2016	
1516 ITrent 6.1 Recovery procedures	0%	Restart / recovery procedures should be documented by ICT and Service Users.	February 2018 – Not Implemented	Gareth Youlden
			DR Test postponed due to IT infrastructure changes, now scheduled for April 2018. Documentation will be updated.	
			Previous implementation date	

Audit Recommendation Code & Title	Audit Recommendation Progress Bar	Audit Recommendation	Audit Implementation Review Note	Assigned To
			<p>December 2017</p> <hr/> <p>February 2017 – NOT IMPLEMENTED</p> <p>Another disaster recovery test is to be carried out, which iTrent is to be included. Once the testing has been completed, will seek to document the restart and recovery procedures.</p> <p>Original implementation date: 31st March 2017</p>	

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