

# Reporting on progress against recommendations from 2014/15 for Shropshire Council

**Year ended 31 March 2016**

February 2016

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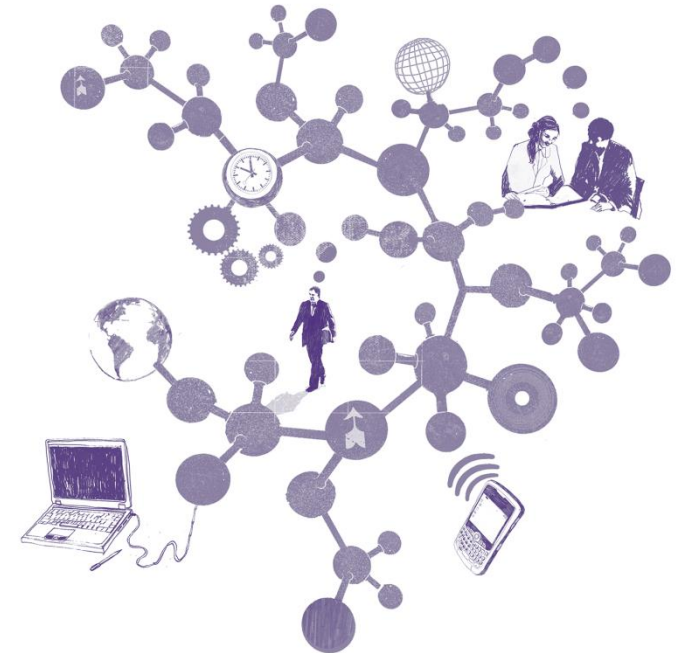
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# Reporting on progress against recommendations from 2014/15

Our Audit Findings Report in 2014/15 raised a number of recommendations which we have set out in Appendix 1. As part of our initial planning in 2015/16 we enquire as to progress against these recommendations. As agreed with Audit Committee, we will report progress back to you.

Where actions have only recently been implemented, or where we already plan to revisit an area as part of our wider audit, we will obtain evidence in the most efficient way which may require further reporting to Audit Committee. We will cover this as part of our regular update reports.

## **Conclusion**

All recommendations have been progressed.

- 2 IT recommendations have been fully implemented
- 2 IT recommendations have been delayed and revised dates agreed. These specific recommendations relate to IT security policies and disaster recovery. We consider that it is reasonable that these recommendations are picked up as part of the wider work being undertaken by the Council.
- 2 recommendations are due to be implemented in April 2016 and will be followed up as part of our on site work after this date.

# Appendix A: Action plan

## Priority

**High** – required prior to the opinion being signed, risk of significant misstatement

**Medium** – risk of inconsequential misstatement going forward

Rec No.	Recommendation	Priority	Management response	Implementation date & responsibility
1.	Management should establish a formal documented process for reviewing user access rights to ensure that only authorised staff have access to the network, and the levels of access granted is appropriate for their roles and responsibilities.	Medium	<p>The ICT security team have a rights audit schedule that captures the various areas of audit that are undertaken. This is organised and carried out with evidence of the completion of activity. Any exception requiring escalation is reported.</p> <p>The security rights calendar is detailed with the activity to be carried out, when, and reporting lines plus other information.</p> <p>Outstanding element – A formal documented process will be written to ensure that this structure activity is identified and followed.</p>	<p>February 2016</p> <p>I&amp;S Team Leader, Security Specialist</p>
2.	ICT should send out user access rights to line managers to determine if the user access is still relevant and adequate.	Medium	<p>ICT is able produce a report on who is able to access a particular file or folder upon request of the data owner, so they can then determine if staff have access they no longer require. We also disable AD accounts if they have not been used in over 2 months, and are working with HR to determine if we have any disabled accounts which can be deleted as staff leave.</p> <p>It is the responsibility of managers in the council to follow the procedures we have in place for when staff leave or move departments.</p>	Complete
3.	Management should put controls in place in relation to IT hardware for back up and replication of systems, specifically enhancement to air conditioning and fire suppression for servers as a matter of urgency.	Medium	<p>The BMS system in Shirehall has recently been repaired to meet required DR compliance. The fire suppression and air conditioning systems in Shirehall have regular maintenance performed on them to ensure they meet requirements and a faulty air conditioning unit was recently replaced in the Shirehall comms room. The recent relocation of our DR site from Wem to Nuneaton has remediated the environmental concerns raised in the ICT Audit. The Nuneaton site is fully climate controlled and has effective access security, air conditioning and fire suppression systems in place.</p>	Complete

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**Medium** – risk of inconsequential misstatement going forward

Rec No.	Recommendation	Priority	Management response	Implementation date & responsibility
4.	Management should strengthen ICT resilience during a major event in relation to business continuity and disaster recovery to reduce the risk that access to and functionality of significant data could be considerably compromised.	High	<p>The relocation of the DR equipment to the new offices in Nuneaton has increased the resilience position of the council as it has remediated the environmental concerns relating to our previous DR site.</p> <p>A programme of work in being planned by an appointed Project Manager for BC &amp; DR, this plan will include reviewing documentation and actively testing the plan to ensure that adequate controls and procedures are in place to ensure that access to those systems or data can be recovered in a timely manner.</p> <p>The Data Centre at Nuneaton also has a secondary Internet connection that is currently being commissioned and it is anticipated that services relying on an Internet link will have additional resilience by April 2016.</p>	<p>April 2016 I&amp;S Team Leader</p>
5.	The Council should review the parameters within the reporting package of Northgate to ensure that they are set up correctly and support the Council in its drive for efficiencies and the compiling of the Housing Benefit Subsidy claim.	Medium	<p>The Northgate package cannot be changed for this amendment. However the Benefits Team are attending a Grant Thornton event in April on the Benefit claim process, and therefore will discuss alternative methods of addressing the concern raised with the auditors at this event.</p>	<p>April 2016 Revenue and Benefits Service Manager</p>
6.	The Council should review the process by which declarations of interest are made to ensure 100% compliance without taking a disproportionate amount of officer time.	Medium	<p>The Council continues to look for ways to streamline the related party declarations for members to encourage 100% compliance and disclosure. Members will be specifically reminded of the importance of declaring interests during the 2015/16 account process.</p>	<p>April 2016 Principal Accountant (revenue)</p>



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