

Action Points Behind Schedule - Audit Scotland Reports

A – EDUCATION DEPARTMENT - COMPUTER SERVICES REVIEW

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
2	<p>Currently many staff with the Education Department can install software on the schools networks. Risk - Allowing a lot of staff to install software on the schools computers can potentially result in poorly configured applications, badly performing applications and weak security. Staff who install the software may be unaware of the licensing restrictions which can potentially lead to legal action against the Council if software is installed against the licence arrangement or if illegal software is installed.</p> <p>Any software installations on the schools network should be handled or carried out under the supervision of the ICT technicians or other trusted employees. Action - Management procedures are being developed as part of the identified Information Security (IS) Policy for Education.</p>	ICT Development Manager	Audit software, suitable for MAC and PC platforms, has been sourced and purchased and will be rolled out across the schools estate between now and the end of July.	HIGH	31 December 2006	31 July 2007

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
6	<p>In secondary schools, one network hosts both teaching and administrative computers. This is a potential security weakness, as in theory, it is possible for pupils to hack into the administrative computer.</p> <p>A review of the existing network should be undertaken to ascertain if improvements to security of the existing networks is feasible. Possibilities include separating the student and administrative computers into different segments of the network. This approach would help enforce better access controls to the respective computers. Closer monitoring of activities will be undertaken as part of implementation of IS Policy for Education.</p>	ICT Development Manager	The establishment of Virtual Local Area Networks (VLANs) across the Secondary school estate is being developed for deployment. This is only now possible due to the programme of installation of new network equipment as the NPDO project progresses. This is subject to project deadlines being met by the NPDO Project.	HIGH	31 December 2006	February 2008
7	In general, most staff were aware of the need to use strong passwords. However, a small number were unaware of this requirement. Staff use easily guessable passwords, which could allow unauthorised and inappropriate access to the Education Department's	ICT Development Manager	<p>Regular password changes have now been agreed in line with Standard Information Security guidelines for all staff and pupils.</p> <p>The changes to the password policy has been agreed by the ICT Steering Group and ICT Co-ordinators Group for the Education Service but has not yet been implemented. The issue of the existence of Windows 98 PCs will be raised by the ICT</p>	HIGH	31 December 2006	

APPENDIX 4

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
	<p>computer facilities.</p> <p>All staff using computers within the Education Department should be reminded to use strong passwords. This exists on Corporate Network and will be implemented as part of IS Policy for Education</p>		<p>Development Manager with the schools and he will attempt to advise the relevant schools on a migration strategy for them. This, however, is difficult to enforce as the responsibility for the schools property ultimately rests with the Head Teachers of the establishments and not with the ICT Development Manager. Essentially he is only empowered to offer an advisory service in these.</p>			
8	<p>At the time of audit, the inventory of software and hardware was incomplete. At present the opportunity exists for items to be purchased directly by schools. These items are not reflected on the inventory consistently. Software licences are included in the council's balance sheet as fixed assets. However, without a detailed count of the software licenses this figure may be inaccurate. Generally software is subject to license agreements, which can be legally enforced. Operating with unlicensed software is an offence. Without a detailed inventory it is difficult to argue that all the necessary steps were taken to ensure that only properly licensed software is used within the schools.</p>	ICT Development Officer	<p>An Audit package was purchased and will be rolled out over the summer months to all schools.</p>	MEDIUM	30 November 2006	31 August 2007

APPENDIX 4

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
	Update the existing inventories to ensure that all software and hardware are included. Consideration should be given to monitoring hardware and software configurations of all networked computers. This will be implemented as part of IT work plan over the coming year.					
9	We were unable to establish the existence of standard network procedures, security and data protection handbook. Network procedures describe how various networking administrative tasks are carried out. They are useful in training staff new to the task and in documenting tasks which are generally only undertaken once or twice during the product's lifetime. One of the tasks identified as necessary for the Council to meet BS7799 Information Security Management standard, was for the Education Department to develop a security and data protection handbook. Without such a document the department would find it difficult to comply with this	ICT Development Manager	The issue of an IS Policy for Education will be developed over the coming calendar year. The start of this process will commence with the negotiation of a new Acceptable Use Policy which will take place between now and the end of July. IS standard will be achievable once the new LAN equipment is rolled out across the Secondary School estate, in line with NPDO Project timescales.	MEDIUM	31 December 2006	February 2008

APPENDIX 4

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
	<p>standard.</p> <p>Develop the appropriate network procedures. Develop security and data protection. Network management procedures are being developed as part of the identified (IS) Policy for Education.</p>					
10	<p>A comprehensive service level agreement (SLA) is an essential requirement for the provision or receipt of any important service. An SLA defines the parameters for the delivery of that service, for the benefit of both parties. The parameters of the service delivery arrangement are not adequately defined.</p> <p>Finalise the SLA for National Grid for Learning project. This will be addressed in re-negotiation of contract.</p>	ICT Development Manager	The issue has been raised with ICT & Financial Services at the last NGfL Team meeting on Thursday 15 March 2007.	MINOR	30 April 2006	Awaiting dates from ICT & Financial Services
11	The aim of business continuity planning is to ensure that an adequate service level can be provided if an unforeseen incident occurs. The Progress Report on Argyll & Bute Council Education Information Security Implementation Plan	ICT Development Manager	<p>Business Continuity Planning is in place for the SEEMIS application suite.</p> <p>The Disaster Recovery Project is being managed by ICT & Financial Services.</p>	MINOR	30 April 2006	Awaiting dates from ICT & Financial Services

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
	<p>dated February 2005 highlighted several outstanding actions in the area of business continuity planning. Incomplete business continuity plans will have an impact on the service provision provided by the Education Department should an unforeseen incident occur.</p> <p>Identify the resources required to complete this action. The Education Management Information System (SEEMIS) will be included in corporate Disaster Recovery Project which accommodates Business continuity plans.</p>					

B – e-GOVERNMENT PREPAREDNESS

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
2	<p>With the customer contact centre project not progressing according to timescales originally agreed, the Council should assess the current position and take action to reflect the way forward in their 21st Century Government Agenda.</p> <p>The strategic plan is being developed for approval by the Strategic Management Team and Strategic Policy Committee</p>	Head of Democratic Services and Governance	The Contact Centre was approved by the Council on 15/11/06 and the action plan agreed for delivery of the initial six series is currently on track.	MEDIUM	31 July 2004	31 December 2007

C – FINANCIAL STRATEGY

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
6	<p>The council's approach to develop financial skills across the organisation could be further improved. Risk: Capital investment decisions may be made which are not soundly based or consistent with the overall corporate strategy. Recommendation: The implementation of the asset management strategy is treated as a matter of priority and measures are taken to minimise any further delay in its implementation.</p> <p>Develop a continuing and structured staff development programme on financial issues.</p>	Head of Strategic Finance	There has been no progress on this. There are not sufficient resources to do this within the next 3 months. Will look at how this can be achieved as work is taken forward on development of the financial strategy and also the best value review of Strategic Finance.	n/a	30 June 2006	31 December 2007

D – BUSINESS CONTINUITY PLANNING REVIEW

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
1	<p>The Council set-up a Strategic Risk Management and Governance Group, which is responsible for managing risk. This group produced a risk register, oversaw the formation of the Loss Control Groups and supervised the development of business continuity plans for a pandemic influenza epidemic. Current business continuity plans do not cover many of the main risks facing the Council. Without proper business continuity plans in place the Council will find it difficult to deliver the level of services that it's citizens expect.</p> <p>The scope of the Strategic Risk Management and governance Group activities for business continuity will be expanded to include the provision of addressing other operational risks. The BCP for a pandemic flu will be completed by 30/08/05. Once approved by the SMT, the RMG will expand the BCP report to include all appropriate risks by 31/01/06. The BCP action</p>	Governance and Risk Manager	See separate report from Iain Jackson	HIGH	31 January 2006	31 January 2008

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
	plan will be subject to task by role play by 31/06/06.					

E – IMPROVING CUSTOMER SERVICES THROUGH BETTER CUSTOMER CONTACT

Ref	Action Point / Implication	Department / Head of Service	Explanation for delay	Risk Grading	Original implementation date	Revised implementation date
1	<p>Councils need to commit to actively pursue a programme to manage customer service improvements as this is central to effective service delivery.</p> <p>Councils should improve how they research customers' opinion on service and make better use of feedback.</p> <p>Councils should improve performance measurement.</p>	Head of Democratic Services & Governance	The Contact Centre Consultancy from Steria requires them to assist the Council review their Customer strategy in line with the new Service delivery model developed by the Contact Centre.	Medium	31 December 2005	31 August 2007