



Audit Committee Report

Report of: Laraine Manley, Executive Director

Date: 31 January 2013

Subject: Progress Report on ICT Audit

Author of Report: Paul Green, Director of Information Services

Summary: This report is an updated position statement on the response by the Council's Business Information Solution (BIS) team to issues raised by external audits in their annual audit report of 2011-12 on the management of ICT User accounts. The central finding of the external auditors report highlighted the lack of clarity in policy terms and Council direction to the IT partner Capita IT Sheffield (CITS) on suspension and deletion of dormant User accounts and this has been the focus of activity by BIS and Capita IT Sheffield.

Recommendation: The Director of Information Services continues to progress addressing the issues highlighted by the external auditor in line with the actions set out in this report.

Background Papers: NONE

Category of Report: OPEN

If Closed add – 'Not for publication because it contains exempt information under Paragraph... of Schedule 12A of the Local Government Act 1972 (as amended)'

Statutory and Council Policy Checklist

Financial Implications
NO Cleared by:
Legal Implications
NO Cleared by:
Equality of Opportunity Implications
NO Cleared by:
Tackling Health Inequalities Implications
NO
Human rights Implications
NO
Environmental and Sustainability implications
NO
Economic impact
NO
Community safety implications
NO
Human resources implications
NO
Property implications
NO
Area(s) affected
Relevant Cabinet Portfolio Leader
Relevant Scrutiny Committee if decision called in
Not applicable
Is the item a matter which is reserved for approval by the City Council?
NO
Press release
NO

Progress report in response to external audit of ICT procedures

1.0 INTRODUCTION

ACTION PLAN

Business Information Solutions (BIS) and Capita IT Sheffield (CITS) have developed a comprehensive action plan, integrated into BIS preparation work for the calculation and notification of chargeback to ICT users in 2013, with agreed actions to be implemented by all parties to address the issues raised in the external audit of ICT in 2011-12. The action plan addresses both the process issues that have led to the problems, and the need to establish an ICT user database capable of delivering a reliable baseline going forward that will be the definitive source of information on ICT users.

2.0 SUMMARY

ACTION PLAN HEADLINES

Delivered

Change to the Council's Information Governance (IG) Policy (detailed below) and text changes to the supporting Intranet guidance:

The revised IG Policy now reads:

"The IT Partner will ensure that terminated or suspended computer user accounts are deleted one month after termination or suspension unless the City Council request, in the circumstances of a particular case, that an account is retained for such longer period as it prescribes..."

[This clause applies to email accounts and any computer storage space allocated to the individual affected user..."]

3.0 MAIN BODY OF THE REPORT

WORK IN PROGRESS

In addition to the revision to Information Governance policy noted above, BIS and CITS are working to address other issues highlighted in the external audit report. A preliminary action to ensure clear and focused activity by BIS/CITS to is to assign the issues identified by the external audit to a specific category: Process change; Policy change & Review; (detailed below)

Process change

- ✚ To ensure User account information is shared between all parties
- ✚ To implement timely deletion of temporary User accounts, and any associated GCSX secure mailbox held under that User account
- ✚ To improve User account management by mandating form and tick list completion for starters, movers and leavers
- ✚ To notify account deletion through use of a mandatory checklist to be completed and returned to BIS Service Centre
- ✚ To check and x-check active User accounts with Capita HR payroll data
- ✚ To implement regular database monitoring, cleansing and reconciliation

Policy change

- ✚ Implement a policy for a naming convention for non-SCC employees who have a justifiable business need for an ICT User account
- ✚ Implement a policy to assign generic mailbox ownership and set time limits for retention of a generic mailbox
- ✚ Implement a policy to specify how long data from deleted User accounts & Mailboxes is retained before being deleted

Review

- ✚ Ownership of Intranet guidance on managing User accounts
- ✚ Ownership User account management
- ✚ Ownership of database integrity management

Once ownership is assigned, set time periods for future reviews by owner to; ensure ICT User account guidance remains up to date; effective management responsibility for starters, movers and leavers ICT User accounts; check the integrity of and links between all systems and data sources that provide and receive information related to ICT User accounts.

INTERDEPENDENCIES & FUTURE MANAGEMENT

This report deals specifically with addressing the issues highlighted in the external audit report. The Process change, Policy change, and Review task categories are not mutually exclusive and all inter-dependencies across the categories will be effectively documented and managed.

Going forward, the effective future management of policies, processes and reviews is essential to ensure issues of the type highlighted by the external audit do not, as far as possible, re-occur. To this end, representatives from BIS & Capita IT Sheffield (and from support teams in SCC & Capita) will have assigned responsibility for managing all policies, processes and reviews connected to ICT User accounts.

4.0 RECOMMENDATION

The Director of Information Services continues to progress addressing the issues highlighted by the external auditor in line with the actions set out in this report.

Appendix Table

Issue ID, Ownership & Target completion date

ID	Issue & assigned Task Category [TC]	Owner(s)	Complete
Issue 1	<p>Issue: Quality and relevance of Intranet guidance to managers on ICT User creation</p> <p>[TC] REVIEW</p>	Alex Waite [BIS]	31 Mar 2013
Issue 2	<p>Issue: Accurate & timely information on starters and movers is not being effectively passed between Capita HR and Capita ITS</p> <p>[TC] PROCESS</p> <p>Issue: Temporary accounts not being deleted on creation of Active Directory User account</p> <p>[TC] PROCESS</p>	David Cunningham [CITS]	31 Jan 2013
Issue 3	<p>Issue: Issues with management of ICT User accounts created for users not on SCC payroll</p> <p>[TC] REVIEW</p>	David Bownes [BIS]	31 Jan 2013
Issue 4	<p>Issue: An ICT Users secure (GCSX) mailbox is not being deleted when they leave</p> <p>[TC] PROCESS</p>	David Cunningham	28 Feb 2013
Issue 5	<p>Issue: No identification of the organisation ICT Users not on SCC payroll have come from</p> <p>Issue: No agreed action to collect and record details of ICT Users not on SCC payroll</p> <p>[TC] PROCESS & POLICY</p>	Alex Waite & David Cunningham	28 Feb 2013
Issue 6	<p>Issue: No HR checklist for ICT Users not on SCC payroll that identifies when they leave, the contract closes or their project is complete</p> <p>[TC] REVIEW & POLICY</p>	Alex Waite & David Cunningham	31 Jan 2013

Appendix Table (continued)

Issue ID, Ownership & Target completion date

ID	Issue & assigned Task Category [TC]	Owner(s)	Complete
Issue 7	Issue: Accurate information on SCC leavers and movers is not being passed between Capita HR & Capita IT Services leading to User accounts not being deleted [TC] PROCESS	David Cunningham	31 Jan 2013
Issue 8	Issue: Failure to accurately x-check active User accounts against Capita HR payroll data [TC] POLICY & PROCESS	Alex Waite & David Cunningham	28 Feb 2013
Issue 9	Issue: Lack of clear meaning of data on 'last logon by User to a mailbox' [TC] REVIEW	Alex Waite & David Cunningham	31 Jan 2013
Issue 10	Issue: Lack of defined period for retaining data after ICT User account is deleted [TC] POLICY & REVIEW	David Bownes	28 Feb 2013
Issue 11	Issue: Management of Generic Mailboxes [TC] POLICY AND PROCESS	Alex Waite & David Cunningham	31 Mar 2013
Issue 12	Issue: Failure to suspend and delete mailboxes where no evidence of User access [TC] POLICY & PROCSS	Alex Waite & Laurence Green [BIS]	28 Feb 2013
Issue 13	Issue: Limited linkage between databases that impact ICT User accounts and mailboxes [TC] REVIEW	Alex Waite & David Cunningham	31 Mar 2013
Issue 14	Issue: Lack of regular monitoring and reconciliation of databases that hold ICT User account information [TC] PROCESS	Alex Waite & David Cunningham	30 April 2013

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