

IT GENERAL CONTROLS – INTERNAL AUDIT ACTION PLAN UPDATE

APPENDIX B

	Action	Responsible Person	Internal Audit Target Completion Date	Update as at 31 October 2018
IT Security Training	Revisit both the need for IT Security training to be mandatory and the interval at which it needs to be recompletd, to confirm these are in line with organisational need	Gavin Muncaster	November 2018	Mapping is being undertaken of existing training alongside the data protection/data security training that has been introduced as a mandatory training requirement for all staff in order to meet the new general data protection regulations. Any remaining training needs should they exist will be developed into a new on-line training module.
	Highlight the current position to CMT with the expectation that the requirement will be re-cascaded to line management, with clear sanctions agreed if training is not completed within a reasonable timeframe for example three months, such as withdrawal of access to IT systems.	Gavin Muncaster	November 2018	Once any outstanding IT security training requirements have been established as a result of the above exercise and an on-line training module developed, this will be formally launched as a monitored programme which will be tracked on a quarterly basis and reports provided to the corporate management team so that any remedial action required can be requested.
IT Disaster Recovery	Consult with service areas as necessary, to agree appropriate Recovery Time Objective /Recovery point objectives for their key systems	Gavin Muncaster	November 2018	Work is underway with all service areas to review their current business continuity plans in respect of IT disaster recovery time/point objectives to ensure that these are up to date. This will be undertaken alongside a planned power outage for works to be carried out as a means to enact and test plans.
	Reprioritise the relative criticality of systems as necessary, in line with agreed organisational need.	Gavin Muncaster	November 2018	Following the above exercise a full review report will be provided to the corporate management team in December 2018 and which will aim to secure corporate agreement on the priorities for IT system recovery.

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	Present the revised IT disaster recovery exercise, specifically to include testing of new fail over arrangement with the local NHS Trust to ensure that key systems are both tested and any learning is acted on	Gavin Muncaster	November 2018	Once the planned works for reciprocal fail over arrangements with the NHS Trust are completed, a further disaster recovery exercise will be conducted.
Detective Controls	Design, document and gain approval for a process to detect and notify line management regarding inappropriate use and attempts to access blocked content. This should band/quantify by severity and include actions taken as a result.	Gavin Muncaster	November 2018	The service considers that the web filtering controls in place are an appropriate mechanism to provide both a level of protection around content that can be accessed and a warning to any member of staff that they have accessed an inappropriate site. Without additional staffing capacity in the IT security team, it is not considered feasible to undertake frequent monitoring and reporting of web browsing by staff.
	Add local file storage to a future meeting of the information governance group	Gavin Muncaster	November 2018	Complete
Policies	Review the ICT electronic communication policy, make any changes necessary and update the next review date to 12 months' time.	Gavin Muncaster	November 2018	Policy updates have been scheduled for completion between January – March 2019 in line with the work that will be required to be undertaken to meet our annual public service network accreditation. It is considered that there is nothing that is critically out of date that will make any material difference to IT controls or security.

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	Revise the wording of section 16.1.7 of the IT security policy to make it clear that SaaS/Cloud software should be approved and configured by IT.	Gavin Muncaster	November 2018	As above.

PARKING – INTERNAL AUDIT ACTION PLAN UPDATE

	Action	Responsible Person	Internal Audit Target Completion Date	Update as at 31 October 2018
Parking Machine Income	Implement the process to reconcile the cash collected and banked from all machines with the cash reported electronically as received by each machine	Vicki Guildford	October 2018	Complete – cash reconciliation processes are in place and operational.
	Progress the capital project to replace as many of the Metric machines for which the council is responsible as soon as possible	Mark Downer	October 2018	15 new Parkeon Machines on order and due for imminent delivery; to be installed and commissioned by Christmas 2018. Capital bid submitted for the 2019/20 capital programme to replace the remaining 6 metric machines.
	Monitor income reports closely, to identify any anomalies against historic trends for cash collected from all machines, with a particular focus on Metric machines where remote reporting is not working. Document anomalies on a spreadsheet or equivalent.	Vicki Guildford	October 2018	Process has now been reviewed. Monies documented and checked by team leader.
Sim Cards	Request binding confirmation from Parkeon that there would be no additional costs to the council should SIM cards be stolen from parking machines	Mark Downer	October 2018	Confirmation has been received that the sim cards remain the property of Parkeon and therefore any charges beyond the monthly fee for data usage would be absorbed by Parkeon providing Parkeon are notified within 10 days of a breach.
	Reconcile SIM card to actual parking machines, to confirm that the council is paying for the correct number of SIMs. As part of this exercise ensure that SIM cards can be definitively tied to parking machines.	Mark Downer	October 2018	A member of staff is currently creating an up to date inventory of all parking sim cards. This work is planned to be complete by Christmas 2018.

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	Investigate implementing logical controls on SIM cards in parking meters, as part of the procurement exercise for the new mobile phone contract	Mark Downer	October 2018	The new Parking Technician post will monitor usage of all SIM cards on a regular basis to ensure there is not excessive use.
	Investigate removing SIMs from parking meters which are not communicating electronically.	Mark Downer	October 2018	When the SIM card audit is complete SIMs will be removed from any machines that are not communicating. However, as machines are replaced the expectation is that the new ones will communicate with the back office software and SIMs will be required.
	Investigate if costs associated with blackberries/mobile phones held by the service can be reduced.	Mark Downer	October 2018	The parking handholds are currently being upgraded so that they will be the only piece of communicative technology that the CEOs require. At this point all Blackberries and mobile phones will be returned and the costs reduced considerably. Due for completion by Christmas 2018.
Permits	Document the processes of managing resident parking permits.	Michelle Porter	October 2018	This action is still outstanding as the team are currently progressing with the easy permits functionality (permits on-line) which is scheduled to go live by the end of November 2019. New processes will be documents as a result of these developments.
	Continue to progress/investigate alternative arrangements, to implement a more robust approach.	Michelle Porter	October 2018	Process now documented. Data reviewed by Team Leader. The online easy permits software system to be implemented shortly.

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	Identify and implement management oversight. For example checking the total number of permits issued to income received.	Michelle Porter	October 2018	Reconciliation process now in place.
Penalty Charge Notices	Progress the planned initiative to revise policy, to seize persistent evaders' vehicles and recoup outstanding debts wherever possible.	Michelle Porter	October 2018	A persistent evader policy has approved On 19 October 2018 under delegated decision by the Cabinet Member for Infrastructure and Transport. Work is now underway with Island Roads to establish a process for enforcement.
	Ensure reports from Sidem are reviewed, to confirm payments received, against tickets issued.	Michelle Porter	October 2018	Payments are being reconciled in accordance with agreed processes that have been established.
Risk Register	Review and update Parking Service's risk register to ensure this fully captures the risks to the service and how these are or will be mitigated.	Mark Downer	October 2018	Complete – risk register has been fully updated.
Parking Machine Status	Place a link on iweight.com to facilitate the process of reporting faulty parking machines	Mark Downer	October 2018	The telephone number for Island Roads has been placed under the Frequently Asked Questions page of the General Parking Services website. The link to the question "Who do I contact to report a faulty/broken ticket machine?" is:- https://www.iow.gov.uk/Visitors/Parking-and-Travel/Parking-Services1/Fags
	Implement the Parking Technician post and stock of spares for Metric machines as planned	Mark Downer	October 2018	The post has been created and recruitment exercise underway.

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	Remind Civil Enforcement Officers (CEO) of the importance of identifying when parking machines are not working.	Mark Downer	October 2018	Complete – Staff have been reminded to report faults regarding ticket machines and this is included in the refreshed CEO manual issued to all CEOs.
PCN Cancellation	Review and update the guidance policies for the enforcement and cancellation of penalty charge notices document, scheduling future periodic review.	Michele Porter	October 2018	Complete – guidance notes reviewed and updated and sampling in process as part of the team leader quality assurance activity.
Cash Collection Handbook	Formalise, document and evidence the process of sample checking PCN cancellations, subsequent to challenges being accepted. The council will update the cash collection handbook, to ensure this is reflective of required current practice and controls. This will need to be circulated to all relevant staff and old handbooks destroyed.	Michelle Porter Mark Downer	October 2018	Process now in place and Team Leader sampling cancellations. Three staff have been assigned the task of compiling alterations and amendments to the handbook with a target for completion of updating by 30.11.18