IMPLEMENTATION POSITION OF LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED QUARTER 2 2012/13

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
IT Incident and Problem Management – 30 September 2012		
The format of the emails, that are sent to users to advise them that the call has been logged, should be reviewed to ensure that the target resolution time is included.	*Technical Support & Application Support Managers:* Agreed. The format of the emails has been amended to include the classified SLA target date / time for resolution. Completed.	No further response required.
Staff should be reminded of the need to record sufficient details of the call received, the work performed to try and resolve the issue and any communication with the customer.	*Technical Support Manager:* Agreed. Staff have been sent an email to remind them of this requirement. Completed.	No further response required.
Profiles should be updated as appropriate to reflect the actual issue identified if this varies from the initial description received.	*Technical Support Manager:* Agreed. Staff have been sent an email to remind them of this requirement. Completed.	No further response required.
The SLA prioritisation should be used appropriately.	*Technical Support Manager:* Agreed. Staff have been sent an email to remind them of this requirement. Completed.	No further response required.

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Review the use of problem classification for relevant incidents where temporary fixes are provided.	*Technical Support, Application Support and Network & Comms. Managers:* Agreed. The use of the problem classification has been reviewed and will be used as appropriate for future cases. Completed.	No further response required.
The 'known error' function on SupportWorks should be populated with relevant information, with Helpdesk staff being made aware of the existence of the content.	*Technical Support, Application Support and Network & Communications Managers:* Upon further inspection, it transpired that more use of this function was being made than was thought at the time of the review, although the content could not easily be viewed by different users due to the set-up of the SupportWorks system. However, it will be used where relevant for future cases. Completed.	No further response required.
ICT Business Applications: Paris Income Management – 30 September 2012		
The ICT team should confirm why the vendor for Total is provided with SYSADMIN access at instance level. Steps should subsequently be made to ensure that the Paris database cannot be accessed by the Total vendor.	*ICT Infrastructure Manager:* Remove sysadmin rights from TASK and warwickdc\consilium. Completed on 12 Oct 2012.	No further response required.

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A procedure should be implemented (subject to feasibility review) for regular purging of income transaction import files in the Paris 'working directory'.	*Principal Accountant (Capital & Treasury Management):* The feasibility of the recommendation will be investigated and implemented if practical. March 2013.	Income transaction import files now archived at end of each year by IT. User access is governed by user levels i.e. highest level access is limited to "super users".
The feasibility of locking down the income transaction import files in the Paris 'working directory' against access through Windows navigation tools should be investigated.	*Application Support Manager:* Northgate have been consulted and they have provided necessary information. Application Support have started the required changes. They will take some time to complete, as thorough testing is required. End November 2012.	The income transaction import files have all been locked down as recommended. Action Complete
Enquiries should be made with Northgate as to whether the scope of audit logging in the version of Paris being considered for migration includes parameter changes.	*Application Support Manager:* Northgate have been consulted. The audit logging of parameter changes is in version 41 of Paris. Completed (4 October 2012).	No further response required.
Logging and reporting of parameter changes should be implemented, either as part of the envisaged upgrade or installation of the applicable system release previously produced as appropriate.	*Application Support Manager:* We will be upgrading to version 41 of Paris as soon as possible. However Northgate will not be available to carry out the upgrade until January 2013 at the earliest and they are unable to give us a date currently. End January 2013.	Northgate were not able to carry out the upgrade in January. The upgrade has now been carried out on the test system and is currently being tested by Finance. It is due to go live later in 2013 once all testing has been completed and any issues resolved by the supplier.

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Document Management Systems – 27 July 2012		
Procedures for transferring and linking scanned documents to the ActiveH housing management and application records should be documented.	*Head of Housing and Property Services:* A comprehensive procedure and user guide will be prepared and stored on the Moss library. December 2012.	Complete.
Access restrictions should be placed on the network folders area holding creditor invoice document images linked to Total.	*Financial Services Manager:* ICT Application Support Manager has advised that work to identify the correct levels of access and then apply the restrictions has started. Because of the complexity of the use of the folders, the restrictions will be applied gradually. October 2012.	*Head of Finance:* The supplier has recommended not locking down the creditor invoice document image folders. Also, due to the positioning of the folders, the risk here is low. However, work is on-going to investigate what further restrictions can be put in place here. The target date for completion of this is March 2014.

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The feasibility of restricting access to the 'scan and store' repositories in WDCShare should be investigated.	*ICT Services Manager/ Technical Support Manager:* Agreed. The scan and store folders can potentially be secured using existing departmental security policies. August 2012.	Access to scanning directories is now controlled by discrete file access groups within the main WDC Active Directory system. This means that in effect users have access to only their departmental scanning directory. By default these permissions are allocated when a user joins the organisation and each user has access to read, write and delete from their 'departmental' folder. Although the folder structure is largely based around operational team hierarchies, granular control can be exercised to create bespoke directories if the current structure does not support project based working teams. Exception requests can be addressed to the ICT Helpdesk and would need sign-off from a departmental manager. No Further Action Required.
A framework for managing the content of WDCShare should be developed and implemented based on clear policies and assignment of responsibilities.	*Senior Management Team:* DCE (AJ) and Graham Leach are doing some work on information governance/data. Need to bring information back to SMT.	Graham Leach, Richard Barr and Ty Walter, in consultation with WCC legal, are producing a new data handling policy as a sub group to the ICT Steering Group. This will be brought back to SMT in due course.

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An alternative document management and sharing platform to replace WDCShare should be investigated.	*Senior Management Team:* Not agreed because there didn't seem to be a business case for it.	No further response required.
Incentive Schemes – 30 September 2012		
Future review of the Transfer Incentive Grant Scheme should include an assessment of the current scale of under-occupied Council family properties and setting of clear success factors for outcome reporting.	*Housing Manager:* Scale of under-occupation has been determined in light of Welfare Reform and reductions in Housing Benefit. The TIGS will be reviewed in the context of the proposed changes and amendments to the scheme will be considered. April 2013. Review the number of TIGS payments likely to be made in the final quarter of 2012/13 and throughout 2013/14 in light of the demolition of Fetherston Court and the re-housing of 29 households eligible for accommodation that may have been utilised for TIGS. Amend the budget and set take-up targets accordingly. April 2013.	There is a corporate Welfare Reform Strategic working group that is considering the options available to the Council in assisting customers who are adversely affected by welfare reforms, through which the TIGS scheme will be reviewed. As this work is still progressing, we have agreed a revised implementation date of March 2014. Complete - The rehousing of residents of Fetherston Court is almost complete and we are no longer holding properties that become available for letting. In 2012/13, this policy did not have any impact on the demand for the budget that was fully spent. Therefore for 2013/14 the TIGs budget will not be affected by the Fetherston Court redevelopment.

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The future and financing of the Resettlement Grant Scheme should be reviewed.	*Head of Housing and Property Services/Housing Manager:* Undertake review of the Resettlement Service and consider its efficacy in the light of other methods for re-letting difficult to let properties. April 2013.	There is a corporate Welfare Reform Strategic working group that is considering the options available to the Council in assisting customers who are adversely affected by welfare reforms, through which the RGS will be reviewed. As this work is still progressing, we have agreed a revised implementation date of March 2014.