

AGENDA SUPPLEMENT (1)

Meeting: Audit and Governance Committee

Place: Council Chamber - County Hall, Bythesea Road, Trowbridge, BA14 8JN

Date: Wednesday 24 November 2021

Time: 10.00 am

The Agenda for the above meeting was published on 16 November 2021. Additional documents are now available and are attached to this Agenda Supplement.

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Press enquiries to Communications on direct lines (01225)713114/713115.

This Agenda and all the documents referred to within it are available on the Council's website at www.wiltshire.gov.uk

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Cyber Security Update

Audit & Governance Committee
24th November 2021

Mike Ibbitson, Assistant Director, ICT

This presentation

The Audit & Governance Committee last received an item on cyber security in April 2021 which primarily addressed the work that was underway following an internal (SWAP) audit in February 2021.

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This presentation updates progress since the audit and also notes other areas of progress. Cyber Security remains an ever present threat and one which is still increasing and has directly impacted some local authorities.

SWAP Cyber Security audit; summary & findings

Executive Summary

Audit Summary

<p>There was some evidence of controls in place or being developed across most of the areas covered by the Framework. The high-level adequacy of these controls has resulted in the identification of 12 areas where further review may be required. We identified two areas where we were not able to provide any immediate assurance and require management attention.</p>	<p>This review has been undertaken against 20 agreed Key Cyber Security controls.</p> <p>We would suggest that management give attention to the recommendations for immediate action within this report.</p> <p>Consideration should also be given to the areas highlighted for potential future audit review.</p>	Opinion	Number
		Fully compliant	6
		Recommended further review	12
		Requires immediate attention	2
		Total	20

Audit Conclusion

This review has been conducted during the response to the Covid-19 pandemic and a period of reorganisation within ICT services. In February 2020, the authority suffered a significant disruption in ICT services due to an outage resulting from environmental conditions in the main data centre. These circumstances contribute to the ongoing evolution and work in progress to Cyber Security services covered by this Framework.

The 20 Key Cyber Security Controls have each been given an initial assessment on page 6 below. The findings of this report should be used by management to address areas that require immediate attention and as a catalyst for discussion during the annual audit planning process with a view to future audit work. Several control areas have been identified where work was either planned or in progress to configure tools and processes which have resulted in an amber rating and the potential for further audit review. Given the ongoing work to configuration it is proposed that any reviews agreed as required be prioritised and timed to allow the work currently planned or underway to be progressed.

Findings and Outcomes

Summary of Control Framework

We have provided outcomes for each of the 20 key controls below:

Key Control Area:	Fully compliant	Recommended for further review	Requires immediate attention
Cyber Security Governance and Management Support			
Existence and Maintenance of an Inventory of Hardware Assets			
Inventory of Software Assets (including Data Assets)			
Vulnerability Management Processes			
Control of Accounts with Administrative Privileges			
Deployment of Secure Hardware and Software Configurations			
Active Monitoring and Analysis of Audit Logs			
E-Mail and Web Browser Protections			
Deployment of Malware Defences			
Control of Network Ports, Protocols and Services			
Data Recovery Capabilities including Back Up and Restore			
Secure Configuration of Network Devices			
Boundary Defences are documented and understood			
Management controls for data in transit			
Management of Wireless Access Controls			
User Access Monitoring and Control			
Security Awareness and Training			
Development of Application Software and Security			
Incident Response and Management Procedures			
Programme of Penetration Testing			

Update on Actions from Feb '21 audit: all complete

- There were 20 actions from the SWAP audit report - are no outstanding actions

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- RED graded actions 1.11 & 1.13 are both complete
- AMBER graded actions 1.1, 1.2, 1.3, 1.6, 1.7, 1.9, 1.10, 1.12, 1.17, 1.19 and 1.20 are complete
- GREEN areas (no actions needed) were 1.4, 1.5, 1.8, 1.14, 1.15, 1.16, 1.18

Follow on items

- Several Amber review actions were agreed as part of the audit, these are complete and we have decided on additional work to improve security (and deliver other general management targets), these include:
 - Further steps to ensure rigorous hardware asset controls via the recently adopted IT Service Management software (improves security plus cost control)
 - Building a business case for acquisition of a software asset management tool (improves security, ease of management & cost control)
 - Further updates to our network replacing some equipment and implementing a tighter regime for updates/patching
 - On going operation of the new Information Management & Governance Board (led by the SIRO & Deputy SIRO)

General items of progress & relevant action details

- The ICT restructure was completed in Autumn '21 & increased dedicated security staff from 1 person to 3 – now comprising a Security Manager, Senior Security Officer and Technical Security Officer. This provides much more scrutiny on security matters including policy, approach, threat assessment and day to day monitoring as well as giving annual leave cover in case of incidents.
- One aspect of this is that we have now developed a operational Cyber Security Incident Management process with clear roles and actions in this event
- Work towards the 'Cyber Essentials Plus' certification is underway and we expect to achieve this in Q1 of 2022 (against a new, tighter standard for 2022)
- We secured £3000 of external training funds from the LGA and were able to train 2 staff to Certified Information Systems Security Professional (CISSP) standard via a remote learning course with Salford College
- A briefing session for the Pension Fund Committee to provide a situation report and general advice has been conducted (with another update scheduled for December '21)

Conclusion

- The cyber threat to the security of our systems has not diminished over the past year and may have grown
- However we are in a much better position now that all 20 audit actions are done and general improvements have been made. More work is scheduled.
- We will continue to:
 - Reduce vulnerability by technology means
 - Educate users to diminish the threat
 - Maintain vigilance, manage any incidents & learn from these

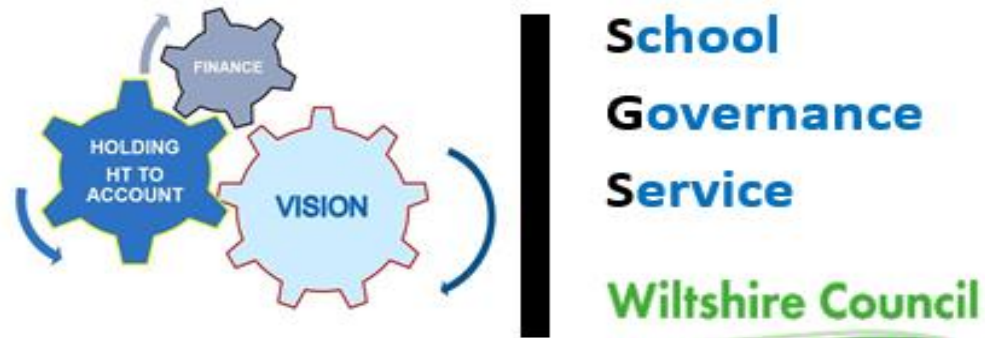
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School Governance

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Executive Summary / Purpose

- To provide an overview of how the council fulfils its statutory duties in relation to schools
- To outline how these duties are applied to maintained schools and academies

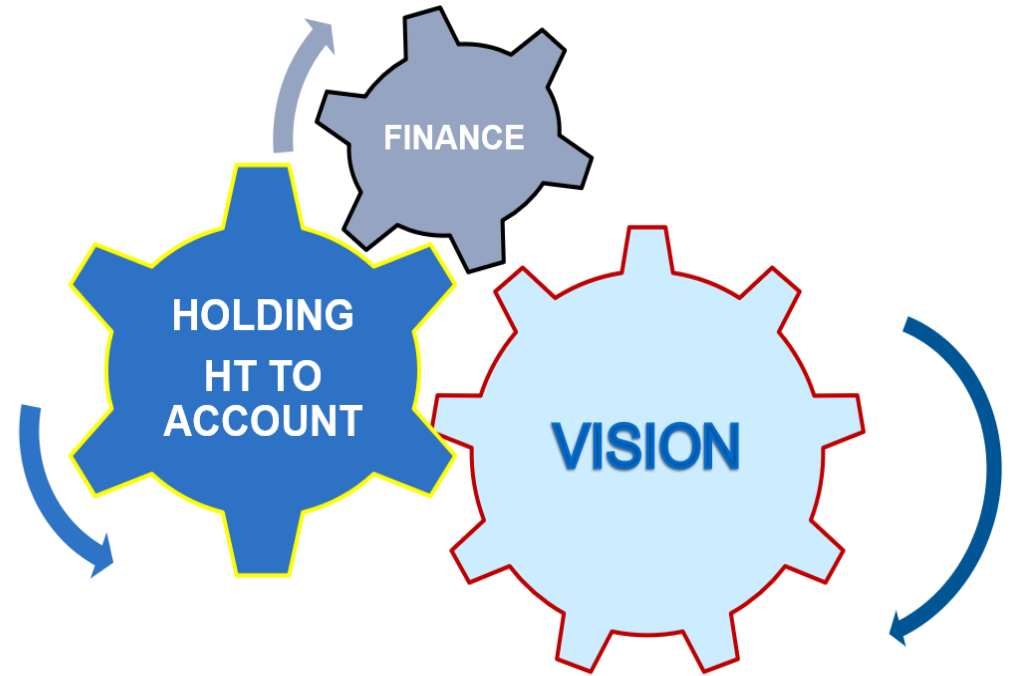


Context for Wiltshire

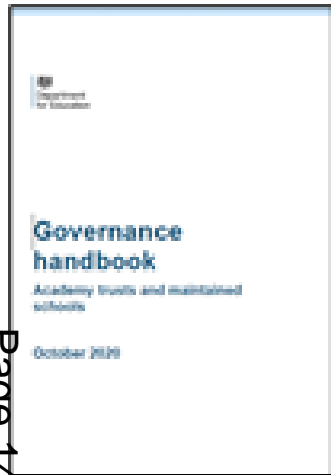
- School Governance Service (SGS) including the Clerking Service is a traded service
- 235 Schools in Wiltshire
- Around 1,800 governors

Three Core Functions of Governance

1. Ensuring clarity of vision, ethos and strategic direction;
2. Holding executive leaders to account for the educational performance of the organisation and its pupils, and the effective and efficient performance management of staff;
3. Overseeing the financial performance of the organisation and making sure its money is well spent.



Governance



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The local authority's duties in respect of governance include the general duty under section 13a of the Education Act 1996: *A local education authority shall ensure that their functions relating to the provision of education to which this section applies are (so far as they are capable of being so exercised) exercised by the authority with a view to promoting high standards*

The statutory duties in respect of governing bodies include:

1. Checking and making the instruments of government
2. Nomination of LA governors
3. Arrangements for the election of staff governors
4. Arrangements for the election of parent governors in some categories of maintained schools
5. Arrangements for parent governors to be represented on education scrutiny boards
6. Establishment of a temporary governing body when a school leaves a federation
7. Schools causing concern – appointment of members to an interim executive board
8. Schools causing concern – a duty to facilitate academy conversion where the RSC has identified an academy trust to run a maintained school
9. Providing information and guidance to governors free of charge
10. To provide advice to governing bodies in relation to staff pay
11. Ensuring that governing bodies carry out their safeguarding duties effectively
12. Monitor the governing body's compliance with the requirements of their financial scheme

Relevance to Council's Business Plan

The business plan sets out our priorities and how we will deliver them working closely with local communities and partners; as well as investing in technology to make it easier for residents and businesses to engage with us and resolve matters more quickly.

Our key priorities are:

- Growing the economy
- Strong communities
- Protecting those who are most vulnerable
- An innovative and effective council

Educational Context of Wiltshire

	Primary	Secondary	Special	Total
Overall Number	202	29	4	235
Number of Maintained	117	4	2	123
Number of Academies	84	25	2	111
Number in SATs	9	8	0	17
Number in MATs	75	17	2	94

- **LA-** Locally accountable for school performance, who nominate an LA governor for the board, who is appointed by the board, subject to the board's approval. In relation to schools causing concern under the Education and Inspections Act 2006 (EIA 2006), they have the power to intervene in a governing board including; appointing additional governors, and withdrawing financial delegation from schools.
- **Diocese-** For schools with a religious character, the relevant diocese or religious body exercises general oversight and provides support. Their responsibilities include, but are not limited to, overseeing the governing body's maintenance of the religious character of the school and facilitating inspections to evaluate the quality of religious education and collective worship, they may also have a key role in appointing the foundation governors, to the board.
- **Single School-** The governing board is the school's legally accountable body. It is accountable for the **individual school** to the local authority and, if relevant, the diocese or relevant religious body. It has a strategic oversight role.
- **Federation-** The federation board is the legally accountable body for a **group of schools** who have entered into a federation. It is accountable to the local authority and, if relevant, the diocese or relevant religious body. It has a strategic oversight role of the schools in the federation.
- The HT(s) is responsible for day-to-day operations, provides information to the governing board and is held accountable by the board. The Headteacher can sit on the governing board.

Different types of Schools Maintained

Type of School	Number
Community School	33
Community Special School	2
Foundation School	9
Voluntary Aided School	32
Voluntary Controlled School	47
Total	123

Community Schools

- LA supported admissions
- LA employs staff
- Controlled and run by the LA

The governing body must not be smaller than seven members, and must include:

- at least two parent governors;
- the headteacher unless the headteacher resigns as a governor;
- one, and only one, staff governor;
- one, and only one, local authority governor; and
- The governing body may appoint as many additional co-opted governors as they consider necessary. (but staff governors must not exceed 1/3 of total membership)

Voluntary Controlled (Usually Christian denomination)

- Not Diocesan led
- LA supported admissions
- LA employs staff

The governing body must not be smaller than seven members, and must include:

- at least two parent governors;
- the headteacher unless the headteacher resigns as a governor;
- one, and only one, staff governor;
- one, and only one, local authority governor; and
- at least two (but no more than a quarter of the total) foundation governors.

Foundation School

- Not Diocesan led
- LA supported admissions
- GB is the admission authority

Governing board constitution is the same with exception of foundation governors

- The governing body must not be smaller than seven members, and must include:
 - at least two parent governors;
 - the headteacher unless the headteacher resigns as a governor;
 - one, and only one, staff governor;
 - one, and only one, local authority governor;
 - foundation and foundation special schools without a foundation must have at least two (but no more than one quarter of the total) partnership governors;
 - foundation and foundation special schools that have a foundation but are not a qualifying foundation school must have at least two (but no more than 45% of the total) foundation colours;

Partnership governors nominated by the parents of the school and appointed by the governing body

Voluntary Aided

- Diocesan led appointing foundation governors
- In charge of their own admissions
- GB Employers

Governing board constitution is the same with exception of foundation governors

- The governing body must not be smaller than seven members, and must include:
- at least two parent governors;
- the headteacher unless the headteacher resigns as a governor;
- one, and only one, staff governor;
- one, and only one, local authority governor; and
- must have such number of foundation governors as to outnumber all other governors by up to two in qualifying foundation schools and by two in voluntary aided schools;

LA Governor

- All maintained schools are required to have an LA governor
- Nominated by the LA (taking into consideration the skills requirement of the governing bodies)
- Appointed by governing body
- The LA nomination process should be councillor led and work in partnership with schools (historically this process was supported by Democratic Services)

Current LA vacancies 63 from 123 LA maintained schools (21 of these terms of office became vacant in the last 12 months)

Academies and Multi Academy Trust

Multi Academy Trust	Total	Primary	Secondary	Special
Acorn	12	10	2	
Athelstan Trust	2		2	
DBAT	7	7		
DSAT	8	8		
Equa MAT	6	5	1	
Excalibur	7	6	1	
King Alfred	2	2		
Magna	9	4	5	
Oasis Community Learning	1	1		
Palladian	2	2		
Pickwick	8	8		
Reach South	1			1
Royal Wootton Bassett	6	3	3	
Salisbury Plain	5	4	1	
Somerset Road	3	2		1
The Corsham Trust	2	1	1	
The Mead	3	3		
White Horse Federation	12	10	2	
SAT's	17	9	8	

Schools buying into School Governor Services

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Subscribing Schools	2021- 2022	%
Maintained Schools subscribing to SGS	122 out of 123	99.2%
SAT's subscribing to SGS	12 out of 17	71%
Schools in MAT's subscribing to SGS	18 out of 94	19%
Total number of schools subscribing to SGS	151 out of 235	64%

	SGS support for Maintained Schools *(SGS subscribing Academies if relevant for them)	SGS support for non-subscribing Academies
1) Checking and making Instrument of Government	Right Choice Toolkit on landing page for subscribing and non-subscribing schools. SGS email and telephone support	Related to this would be Articles of Association. SGS would support through telephone and emails and highlight relevant DfE regs and guidance
2) Nomination of LA governors	Right Choice Toolkit on landing page for subscribing and non-subscribing schools. SGS email and telephone support. Comms through Newsletter and weekly Governance update	Non-statutory - SGS would support through telephone and emails and highlight relevant DfE regs and guidance
3) Arrangements for election of staff governors	*Right Choice Toolkit on landing page for subscribing and non-subscribing schools. SGS email and telephone support. Comms through Newsletter and weekly Governance update	Right Choice Toolkit on landing page for subscribing and non-subscribing schools. Comms through weekly Governance update
4) Arrangements for the election of parent governors	*Right Choice Toolkit on landing page for subscribing and non-subscribing schools. SGS email and telephone support. Comms through Newsletter and weekly Governance update	Right Choice Toolkit on landing page for subscribing and non-subscribing schools. Comms through weekly Governance update
5) Arrangements for parent governors to be represented on education scrutiny boards	*Sits with LA Democratic Services	Sits with LA Democratic Services
6) Establishment of a temporary GB when a school leaves a federation	*Sits with LA Legal Services Team	Sits with relevant Legal Services Team
7) Schools causing concern – appointment of members to an interim executive board (IEB)	Work with school, diocese (if applicable) and RSC to put an interim board in place –	N/A

	making sure the right people are around the table to address areas of need.	
8) Schools causing concern – a duty to facilitate academy conversion where the RSC has identified an academy thrust to run a maintained school	Support the board with the process of academisation as they convert and join trust	N/A
9) Providing information and guidance to governors free of charge	*DfE, Ofsted, updates guidance and regulations sent out to governors weekly via governance updates and twitter. Documents shared through Right Choice on landing page for subscribing and non-subscribing schools. Option to email or telephone SGS to have individualised bespoke support. Resources or correct support highlighted.	DfE, Ofsted, updates guidance and regulations sent out to governors weekly via governance updates and twitter. Documents shared through Right Choice on landing page for subscribing and non-subscribing schools. Option to email or telephone SGS to have individualised bespoke support. Resources or correct support highlighted.
10) Ensuring the governing bodies carry out their safeguarding duties	*Regular updates guidance and regulations sent out to governors weekly via governance updates and twitter. Documents shared through Right Choice on landing page for subscribing and non-subscribing schools, further toolkits developed to support subscribing. Governors termly newsletter has safeguarding as standing item – soon to be replaced by highlighting areas of consideration with the new monthly safeguarding newsletter. Training for Link governors and a light touch training for all governors around the culture of safeguarding.	Regular updates guidance and regulations sent out to governors weekly via governance updates and twitter. Documents shared through Right Choice on landing page for subscribing and non-subscribing schools. Highlighting training they can attend for link and all governors.

<p>11) To provide advice to governing bodies in relation to staff pay</p>	<p>*SGS works with HR to disseminate relevant policies and advice to governing boards through Comms, <u>Newsletter</u> and weekly Governance update</p>	<p>SGS works with HR to disseminate relevant policies and advice to governing boards through Comms, <u>Newsletter</u> and weekly Governance update</p>
<p>12) Monitor the governing bodies compliance with the requirements of their financial scheme</p>	<p>*Regular updates guidance and regulations sent out to governors weekly via governance updates and twitter. Documents shared through Right Choice on landing page for subscribing and non-subscribing schools, further toolkits developed to support subscribing. Governors termly newsletter and governors briefing. Separate bespoke training for Maintained and Academies. In-depth lead Finance governor training and lighter touch training for all governors.</p>	<p>Regular updates guidance and regulations sent out to governors weekly via governance updates and twitter. Documents shared through Right Choice on landing page for subscribing and non-subscribing schools. In-depth lead Finance governor training and lighter touch training for all governors.</p>

Growth of Training package over 3 years

Training	2019-2020	2020-2021	2021-2022
Different courses offered	26	36	49
Opportunities to attend training	37	73	127
Number of Governors attending	1021	1962	

Engagement of Governing Boards 2021-2022

Governors attendance/accessing	Term 1	Term 2	Term 3	Term 4	Term 5	Term 6
Training	270					
Briefings	80 - booked on and attended the briefing but others accessed the recording via Right Choice					
Newsletters	134 different users					
Updates	435 different users					

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