

# Chapter 14 – Security

## Introduction –Security

1. As a Jobcentre Customer Service Manager, you are responsible for:
  - the overall security for your office and adopting secure practices for your staff to follow;
  - working with your linked Work Coach Team Leader (s) to ensure the work coach team complies with security measures;
  - working with your Security Advisor to maintain a security conscious environment;
  - identifying, administering, monitoring and enforcing internal security controls and compliance;
  - the prevention and detection of internal fraud;
  - ensuring that all mandatory controls are being complied with and are operating effectively;
  - the overall administration, system access control and system security (equipment and data) of LMS for your office;
  - ensuring your staff are aware of and fully understand their responsibilities in relation to security;
  - ensuring full compliance with the Departmental Policy Statement on Internal Fraud;
  - managing risks and ensuring that the risk management process is effective in your office;
  - ensuring all locally completed Business Control System (BCS) and other management checks are completed on time;
  - preventing and detecting unauthorised access to Departmental IT systems; and
  - preventing and detecting unauthorised Disclosure of Information
2. All staff working in DWP are required to act honestly and with integrity at all times. Fraud and abuse are ever-present threats and are not tolerated in the Department.
3. The Department has a duty to develop and maintain effective controls and to ensure that if fraud or abuse does occur it is investigated promptly and fairly.
4. The Internal Security-DWP Policy Statement sets out the responsibilities all staff have for the prevention of fraud or abuse and the procedures that must be followed where either is detected or suspected.
5. What follows is a brief overview of the type of information contained on the DWP Security Portal's guidance pages. This site contains useful information for ensuring you run a security conscious environment.

## What is Security

6. Security is the protection of Departmental assets, such as staff, as well as the physical assets of IT related or other equipment, and information, whether stored electronically or clerically, against deliberate or accidental:
  - attack;
  - theft;
  - fraud;

- loss;
- disclosure;
- corruption; and/or
- abuse.

## **Role of the Jobcentre Customer Service Manager**

7. As a Jobcentre Customer Service Manager, you are responsible for the prevention and detection of fraud or abuse. You must also ensure that you have an adequate system of internal controls and that mandatory controls are being complied with and operating effectively.

8. You have a crucial role to play in ensuring the security of your office and you must:

- be conversant with current security policies and requirements;
- cultivate and maintain a security conscious environment;
- be available for staff to discuss any problems or concerns regarding security issues;
- ensure staff are aware of security requirements which affect them. This includes:
  - new entrants at their interview or induction; and
  - any staff in specialist posts where additional security requirements apply;
  - any linked Work Coach Team Leaders, who are responsible for the actions of the work coach team;
- ensure staff comply with mandatory controls and procedures;
- ensure staff are aware of the reporting procedures for security incidents/breaches;
- encourage staff to report any suspicions or concerns to the appropriate officer;
- be aware of risks and make all reasonable attempts to prevent exploitation; and
- take security implications into account when business planning and consult relevant personnel before implementation.

## **Security Advice Centre**

9. Security Advice Centre provides advice and guidance on security matters to Managers and staff. Security Business Advisors undertake awareness talks with all staff in the business areas. They undertake preliminary enquiries into security issues and where necessary they liaise with DWP Security contacts.

10. Above all, the role of the Security Business Advisor is to be pro-active, flexible and able to respond to local and national issues worthy of examination.

11. As a Jobcentre Customer Service Manager, it is your responsibility to ensure that you know who your Security Business Advisor is and the importance of this role. Please see the Security Advice Centre for more information.

## **Standards of Behaviour**

12. All civil servants must abide by certain principles and rules so that they have the confidence and trust of Ministers, Parliament and the public. These are described in the Standards of Behaviour Policy.

13. The core values of the Civil Service Code (link is external) are:

- integrity – putting the obligations of public service above your own personal interests;
- honesty – being truthful and open;
- objectivity – basing your advice and decisions on rigorous analysis of the evidence; and
- impartiality – acting solely according to the merits of the case and serving equally well Governments of different political persuasions.

14. As a Jobcentre Customer Service Manager you should also familiarise yourself with the Civil Service Management Code (link is external).

## The Law

15. Jobcentre Customer Service Manager must ensure that their staff are aware of and comply with legislation relevant to their day-to-day tasks as required by law, to safeguard the information we use and to reduce the risk of Fraud, dishonesty and corruption by members of staff.

16. Listed below are some of the acts, which require the Department to operate in a secure fashion. This list is not exhaustive and other Acts may also apply:

- Disclosure of Information
  - Official Secrets Act 1989;
  - Section 123 of the Social Security Administration Act 1992;
  - Section 50 of the Child Support Act 1991;
  - Data Protection Act;
- Computer Misuse Act 1990;
- Theft Acts 1968 and 1978;
- Prevention of Corruption Acts 1906 and 1916;
- Copyright, Designs and Patents Act 1988;
- Companies Securities (Insider Dealings) Act 1985;
- Public Interest Disclosure Act 1998; and
- Freedom of Information Act 2000.

## Managing Risks

17. It is essential that risks in the Department are managed accordingly. As a Jobcentre Customer Service Manager, it is your responsibility to manage operational risks and to ensure that the risk management process is effective in your office.

### Definition of Assumption and Risk

18. An **assumption** is something that needs to happen (or not to happen) for the business to achieve its objectives, but which cannot be treated as fact.

19. A **risk** is an assumption that does not materialise or turns out not to be the case.

20. The department recognises that to ensure a common approach to risk management is achieved, a number of mandatory requirements are needed. These include:

- nominated Risk Owners and Risk Action Managers;
- standard format for assumption, risk and issues register;
- documentation escalation process;
- mitigation plans for assumptions and risks; and
- explicit contingency planning

21. The risk management process within the Department is built into the planning and reporting processes/frameworks that encompass all levels of management with the Department. There is a mandatory requirement that risks are managed at the appropriated management level.

22. Further information about Risk Management is available on the intranet.

## **Jobcentre Plus Mandatory Checking Regime and the Business Controls System**

23. Jobcentre Customer Service Manager must ensure they and their staff comply with the requirements of all the mandatory checks. This includes checks that are not required to be recorded in BCS (driving licences etc). Annex 1 contains a list (not exhaustive) of the mandatory checks not recorded in BCS.

24. Although the majority of mandatory Checks within Jobcentre Plus are recorded on BCS, benefit and allowance security checks and benefit accuracy checks are not. Assurance for these check types is obtained via the SCCS system (security checks) or the local database (accuracy checks).

25. For more information on checks and governance, see the Jobcentre Plus Finance, Governance & Procurement guidance and the corporate governance homepage

26. The Business Control Systems (BCS) is the current system for recording the results of mandatory checks in Jobcentre Plus. DWP BCS system guidance (link is external) is also available.

27. The Flexible Support Fund Guide contains the BCS checks that support the Flexible Support Fund process for payments to remove a claimant's barriers to work. Further information can be found in the Flexible Support Fund Guide.

28. The centralised Quality Team will perform quarterly BCS validation checks for all sites. The volume of validation checks will depend on the number of BCS monthly checks completed.

## **Information Security**

29. DWP has a legal responsibility to protect information held about both its internal and external claimants and customers. Staff must take reasonable steps to establish that the person or organisation requesting information is legitimately entitled to receive it.

30. Preventing accidental unauthorised access comes partly through staff's own awareness of the correct procedures and partly by your reinforcement of good practice. You must ensure that your staff are aware of:

- the importance of using our IT systems correctly;
- how to recognise when a test check is generated;
- the need to complete the appropriate test check forms immediately;
- the risks to information posed by bogus callers; and
- the potential disciplinary consequences of:
  - accessing IT systems on behalf of friends/colleagues;
  - allowing others to use their smartcard/or providing an opportunity for their smartcard to be used by someone else; and
  - disclosing information unlawfully.

31. All Jobcentre Plus IT systems have robust audit trails which monitor every action undertaken by users. Managers need to ensure that all their staff are aware of this to help prevent unauthorised access and/or disclosure. You should also work closely with your local Security Advisor to ensure that all mandatory test checks are undertaken.

## **Further information on the use of computer systems can be found in the Acceptable Use Policy and the Information Security Policy. JSA Claimant Commitment**

32. Claimant Commitments are created in the Signature Capture Service. The Claimant Commitment instructions contain full details of how they are stored and retained. These instructions also contained information about how to handle Claimant commitments that are created clerically.

33. The tactical desktop solution must no longer be used to create a Claimant Commitment under any circumstances. However, claimants who started on the Work Programme before their office went live with the Signature Capture Service could be on the tactical desktop solution until July 2017, at which point a new Signature Capture Service Claimant Commitment must be completed if the claimant returns to JSA.

34. The tactical solution is an interactive PDF document which is saved in a shared folder on the DSA desktop is jobcentres. The desktop does not have the same security controls as LMS

35. As part of JSA CC implementation every jobcentre confirmed an Information Asset Manager (IAM) was in place and submitted an Information Asset Inventory (IAI).

36. The following ongoing activities are mandatory for the JSA CC.

- The IAM is responsible for reviewing the JSA CC information assets on a monthly basis to ensure they are being securely managed. Any changes to the IAI must be notified to the DWP Operations Information, Assurance & Compliance team, email: [OPERATIONS.IACTEAM@DWP.GOV.UK](mailto:OPERATIONS.IACTEAM@DWP.GOV.UK) (link sends e-mail)
- The Work Coach Team Leader is responsible for monitoring access to the JSA CC folder to limit access only to those users confirmed as requiring it.
- The IAM and Work Coach Team Leader review the JSA CC folder access rights on a monthly basis. As part of this reconciliation IAMs and Work Coach Team Leaders ensure:
  - Staff with access to the folder have the correct access level
  - Access has been removed for those no longer requiring access
  - Dormant JSA CCs are retained in line with DWP Data Retention Policies
  - There is clear version control
  - Only 1 electronic JSA CC in place for each claimant
- The IAM is responsible for handling incidents in relation to the JSA CC assets, reporting and escalating any incidents to DWP Security. Link to guidance: [Security Incidents Guidance](#).

## **Accessible Use Policy**

37. As a Jobcentre Customer Service Manager, you must ensure that all staff fully understand and adhere to the Accessible Use Policy. The policy is the definitive guidance for anyone working for, or on behalf of, the Department (e.g. full and part-time workers, seconded or co-located staff, contractors, consultants and staff employed by the Department's service providers).

38. It is vital that you and your staff understand the policy. The rules are part of our terms and conditions of employment and employees agree to abide by the policy by

clicking OK on the Accessible Use Policy disclaimer when first logging into a desktop PC or Departmental laptop.

## **LMS Access and Security**

39. As a Jobcentre Customer Service Manager, you are responsible for the overall administration of LMS, including controlling access and the security of the system (equipment and data).

40. You will need to authorise systems access for users by allocating the appropriate user groups and ensure all new users complete the following learning before accessing LMS:

- DWP Foundation Learning;
- LMS Core Learning appropriate to their job role; and
- Security Awareness e-learning.

41. The DWP Foundation Learning and Security Awareness Learning must also be completed at least once a year once access has been given and included in their Personal Development Plan.

42. You must appoint an LMS Operator with the appropriate levels of knowledge and skills to be able to carry out their role effectively, and ensure LMS Operator support is provided at all times during working hours.

43. All new users must read LMS User Guide, Chapter B before accessing LMS.

44. As Jobcentre Customer Service Manager, you will be responsible for reviewing systems access as part of regular checks to ensure that all staff who have access to LMS still require it and that their access level is appropriate to their current job role. Maintaining a central LMS Access Role matrix will allow you to manage and review access roles within the office easily.

45. A recent audit report has highlighted the need to strengthen our security control framework around access to LMS. It is critical that we protect data stored on our IT systems and ensure that all our data is held securely. As Jobcentre Customer Service Manager, you will be responsible for monitoring and investigating potential security breaches, and taking any remedial action as a result of the investigation.

46. You will need to ensure all staff in your office are aware of their responsibilities under the Data Protection Act, the Computer Misuse Act, and other relevant legislation e.g. the Official Secrets Act 1989.

47. The LMS User Guide, and in particular, the LMS Administration Guide, provides useful information about your role and responsibilities.


48. You should also refer to the HR Data Handling Policy and the HR Standards of Behaviour for further information.

## **Security of money and assets**

49. All staff have a duty to protect public funds and must behave in a financially responsible manner in all of their day to day workplace activities.

50. As a Jobcentre Customer Service Manager, you can help safeguard public funds by ensuring instructions are followed for the:

- safe handling of Departmental valuables;
- authorisation and certification of claims to travel and subsistence;
- see the [business travel homepage](#) for further information.

- procurement of goods and services; further information on the Government Procurement Card (GPC) can be found [here](#); and
- correct procedures for running  Standards of Behaviour - Staff Clubs .

## Annex 1

### Mandatory Jobcentre Plus Checks

CATEGORY	FREQUENCY	OWNER	GUIDANCE
Computer access	Regularly	All line managers	<p>Ensure the level of access held by each user is still appropriate.</p> <p>DWP IT Security Standards or IT Security Homepage</p> <p>User Groups</p> <p>Electronic Media Policy</p> <p>Mobile and Remote Users Guide</p>
Attendance Management	As required	Line managers	<p>Monitor all absences and maintain attendance management plan. Ensure RM up-dated with start and end dates.</p> <p>HR pages</p> <p>Procedures</p> <p>Referrals to OHS</p> <p>Data Handling</p>
Driving Licence check	Annually	Any manager who considers approving a business journey which entails a member of staff driving a	<p>Ensure driver has full current licence before allowing use of hire cars, PUS vehicles or OV.</p> <p>Ensure driver of private vehicle has full current licence before allowing mileage claim.</p> <p>Driving on official business</p> <p>Data Handling</p>

		vehicle	
Excess Fares Allowance	As required	Line managers	<p>Ensure correct amount is id for the correct period.</p> <p>Excess Fares Allowance policy</p>
Expenses Claims	As required	Any officer approving an expenses claim	<p>Ensure all claims correct and appropriate cost code centre shown.</p> <p>Ensure receipts are included if appropriate.</p> <p>Check for notifications from RM regularly.</p> <p>Approve expenses.</p> <p>Expenses RM Expenses claim job aid (link is external)</p>
Motor Insurance check	At least Annual	Any manager who considers approving the use of a private motor vehicle for a business journey	<p>Ensure the necessary motor insurance conditions are met. Also ensure Exp 9 has been completed.</p> <p>(See also driving licence check)</p> <p>Driving on official business Authorisation to use a private motor vehicle - EXP9 (link is external)</p>
Private Use Scheme	Monthly	Certifying officer	<p>Each month mileage should be entered on the PUS LOG and the form passed to the certifying officer for on line approval/signature.</p> <p>PUS Full Guide</p>
Asset Stock take	Annual	Officer nominated by	<p>Ensure all assets are accounted for and shown against the</p>

		Team Leader	correct cost centre code.  Accounting Group Guidance.
Government Procurement Card	Monthly check of statement	Line manager of card holder	Cost Centre Managers are responsible for ensuring their GPC Cardholders use their cards in compliance with the current GPC policy.  Government Procurement Card (GPC) GPC User Guidance
Procurement	As required	Officer with “ Approver Role” on RM for Cost Centre	Ensure correct procedures followed.  Check notifications.  Approve invoices.  Ensure RM updated timeously on receipt of goods.  Resource management homepage Finance and Commercial Homepage Delegated Financial Authority Propriety and Regularity Framework
Accidents/ Reporting incidents Awareness	On-going	Line managers	Ensure managers and their staff are aware of their responsibilities under Health & Safety legislation.  Managers' Guidance Accidents Data Handling
Emergency Procedures	Regularly  Every 6 months	ICO  Line managers	Site manager nominates ICO.  Staff reminded of Fire and Bomb Instructions and of name and contact details of the ICO.

			<p>Fire and Bomb Instructions circulated.</p> <p>Emergency Planning and Evacuation Procedures</p> <p>Managing Incidents</p>
Eye Care	As required Prior to working on a VDU and 2 yearly thereafter	Line Managers	<p>Ensure Health &amp; Safety of employee.</p> <p>Comply with H&amp;S legislation.</p> <p>Eye tests (All DWP staff are considered to be VDU users, including casuals)</p> <p>Eye Care</p>
Workstation Assessments	As required	Line managers	<p>Ensure workstation assessments completed when required and any necessary action taken timeously.</p> <p>Risk Assessment</p> <p>OHSD</p> <p>Users who are required to use more than one desk must complete a DSE workstation risk assessment for the desk they use most frequently. Please see Office Environment</p>
Health & Safety	Quarterly	Nominated Health & Safety Rep	<p>Awareness of any health &amp; safety issues.</p> <p>See Chapter 18 of Managing in Jobcentres Manual</p>
Lap tops	As required	Line manager	<p>Ensure any officer using Departmental computer outside official premises is aware of the guidance.</p> <p>Mobile and Remote Users Guide (MARUG)</p>
Mobile	Check of each	Line manager	Ensure compliance with current

Telephony	call statement		<p>instructions. Ensure register up-to-date. Ensure details of changes electronically sent to Vodaphone. Review need for the phone. Check personal calls have been identified and payment made.</p> <p>Mobile Telephony</p>
Pay and Rewards	As required	Line manager	<p>RM updated timeously. Follow HR procedures. Ensure correct amount id.</p> <p>pay and reward Resource Management Homepage Data Handling</p>
Responsibility Allowance	As required	Line manager	<p>Keep a record of the reasons for the employee's selection, which other members of the team are entitled to see.</p> <p>Responsibility Allowance</p>
Salary Advance	As required	Officer approving the advance	<p>Ensure advance has been used for the purpose for which it was approved.</p> <p>Advances of Salary Policy</p>
Temporary Duties Addition	As required	Line manager	<p>Details of the number of days worked in the higher Band/Grade. Hard copies of the TDA calculator sheets (when used). A copy of the claim form. Ensure correct amount hid. Maintain a robust audit trail for all claims and associated payments made. Line Managers have a responsibility to review TDAs regularly.</p> <p>TDA Policy</p>

Vouchers	As required	Team Leader	<p>Once vouchers have been received by the Manager the defined local procedures for the receipt of valuables must be followed.</p> <p>pay and reward Propriety and Regularity Framework</p>
People Performance	As required	Line managers	<p>Ensure action taken timeously during the reporting year.</p> <p>People Performance</p>
Certify/ Approve Annual leave	As required	Line managers	<p>Ensure all annual leave recorded correctly and timeously.</p> <p>Time Off</p>
Flexible work sheets	At end of each accounting period	Line managers	<p>Examine individual flexi records routinely and regularly to prevent abuse.</p> <p>Flexible working Records Management Policy</p>
Physical Security	Ongoing	Line managers	<p>Ensure safety of staff, Departmental equipment and Claimant and staff information.</p> <p>DWP Security Portal homepage</p>
Staff Clubs	At least annual	Team Leader	<p>To ensure office bearers and committee members are aware of their responsibilities.</p> <p>Propriety and Regularity Framework staff clubs</p>
Staff Collections	As required	Team Leader	<p>Control the number of collections.</p>

			<p>Money collected is kept secure and accounted for.</p> <p>Standards of Behaviour</p>
Staff Induction	As required	Line managers	<p>Help new staff to become effective employees and to help, encourage and motivate them.</p> <p>Induction JCP HR Directorate - learning - home (link is external)</p>
Staff Leaving	As required	Line managers	<p>Ensure the best possible outcomes for the employee and the Department.</p> <p>Leaving the DWP</p>
Staff Selection	As required	Function Head	<p>Ensure correct procedures are followed.</p> <p>Selection</p>
Working Hours/ Working patterns	As required	Line manager	<p>Ensure correct working pattern notified for each new member of staff. Ensure system updated for any changes in pattern.</p> <p>Working Hours Working terms and procedures</p>
Standards of Behaviour	<p>Regularly</p> <p>At least 6 monthly intervals</p>		<p>Staff awareness of standards of behaviour.</p> <p>Standards of Behaviour</p>
Business Continuity	Plans must be updated regularly and tested annually	Line Manager	<p>Staff awareness of business continuity.</p> <p>Business Continuity Awareness</p>

	as a minimum		
Working Securely  Mandatory e-learning	Induction and annually	Line Manager	Staff awareness of roles and responsibilities and departmental security policies and practices  Working Securely homepage
Document and Data Retention	As Required		Records management policy