Internal Audit

FINAL REPORT

IT AUDIT 2007-08

To:	**Mike Brean**	**Director of Business Transformation**

For information:	Alasdair Bovaird	Chief Executive
	Michael Perry	Assistant Chief Executive
	Phil O'Dell	Director of Resources
	Adrian Webb	Head of ICT
	Nicola Wittman	Principal Technical Officer

1.   Introduction

An audit of Information Technology has been carried out as part of the 2007-08 audit plan.   Detailed tests have been carried out on the systems of control and the management of risk within this area.

2.   Findings and recommendations

The detailed findings and recommendations are set out in the attached appendices. A Management Action Plan is attached and we should be grateful if you would arrange for its completion and return by 24 October 2007. A satisfaction survey has been sent to the Head of ICT.

3.   Conclusions

No significant problems were identified during our work. It can therefore be concluded that the systems of control are functioning satisfactorily. The risk of error or misadministration is therefore low

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Sheila Bronson
Acting Audit Manager
24 September 2007

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1.1   AREAS COVERED DURING THE AUDIT

The key areas of possible risk identified at the planning stage of the audit were as follows:

a) Call logging system is not in place;

b) Customer Care is ineffective;

c) Inappropriate user access;

d) Network management/monitoring is not in place;

e) Scheduled batch files are not monitored;

f) Insufficient training to ensure staffs keep abreast with technology changes;

g) Knowledge base on i.e. troubleshooting, installation, back-ups, re-boot (servers) process is not available for reference in the absence of key staff;

h) Ineffective business continuity;

i) Procurement of IT equipments are not in accordance with Financial Regulations

j) Inventory list/database is not maintain;

k) Licenses do not operate within the boundaries of the license terms;

l) Procedures are not in place for the disposal of IT equipments resulting in non adherence to the DPA 1998.

The methodology stated in the terms of reference document was used to establish and test the controls that management have in place for mitigating or reducing the above risks to an acceptable level.

1.2   OVERALL AUDIT OPINION

Subject to the matters raised below it was confirmed that effective controls are in place to support the administration of Information Technology. We are therefore pleased to report that the likelihood of significant error or misadministration is low.

2004-05 AUDIT

1.3   PREVIOUS RECOMMENDATIONS

The recommendation made at the previous audit 2004-05 has been fully implemented.

1.4   OVERVIEW OF THE IT SETUP

It is pleasing to note that the Information Technology Governance is in alignment with corporate objectives. E-Gov Initiatives have been implemented and ongoing where Information Technology is fully utilized to improve customer services which have an impact on the life of UDC local residents. Significant progress has been made towards ensuring the IT infrastructure and application software are being kept abreast with technological advancement and IT industry standards. Business continuity processes and disaster recovery plans are adequate to address and react to an emergency situation.

1.5   CALL LOGGING - CLASSIFICATION OF CALLS INTO CATEGORIES

The call logging software is an In-house programme application with capabilities for logging, assigning and tracking calls as well as reporting and SQL monitoring.

During the audit, it was identified that reports are generated by specifying keywords to extract details of calls. If a call is logged minus the keyword, this may omit calls which are relevant to the keyword in question. To enable accurate monitoring for time/cost analysis, budgetary capital programme review or enhancement of assets performance, **we recommend** that a field is setup with a drop down menu e.g. Network; Microsoft Outlook; Ocella, Northgate – Housing; Northgate – Revs & Bens; and that reports generated using these keywords should be periodically reviewed.

1.6   MONITORING

There have been significant changes to the IT systems recently - the procurement of an IT Asset Management Software (Express Software Manager) and a move towards new servers using Virtualisation Technology. Once both systems are fully phased in, **we recommend** that procedures are put in place to periodically review performance, systems, security and event logs. This is to ensure detection of security problems, performance issues and other irregularities including attempts to exceed authority or gain system access during unusual hours.

1.7   USERS SATISFACTION SURVEY

During the audit it was identified that users are provided with the facility to offer feedback on their individual calls. However it does not give an overall view or opinion on the services offered by the IT department. To assist IT to examine the services provided to its customer, **we therefore recommend** that an annual automated satisfaction survey is carried out to allow internal customers to rate the service or to comment on IT issues.

Meng-Chee Leong
September 2007
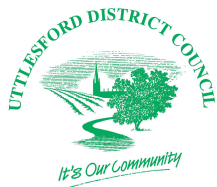
MANAGEMENT ACTION PLAN

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Appendix Para	Recommendation	Significance * Low ** Med *** High	Agreed / Not agreed	Officer Responsible	Officer Comments	Implementation date
1.5	<u>Call Log System</u> - A field is setup with a drop down menu where IT analyst can classify the calls into categories of IT issues to allow specific and accurate analysis enabling periodic monitoring for time/cost analysis, budgetary capital programme review or enhancement of assets performance.	**	Agreed	Paul Crossley		February 2008
1.6	Procedures are in place to periodically review performance, systems, security and event logs for IT equipments.	***	Agreed	Paul Crossley		March 2008
1.7	An annual automated satisfaction survey is carried out as best practices to ie rate the service or to comment on IT issues which may be improve upon.	*	Agreed	Paul Crossley		February 2008

Agreed _____ _____ (Head of Division)   Date ___ 14 November 2007_____