



IT Controls: IT Network, internet and e-commerce

Committee Audit and Standards

Date of meeting 18 March 2016

Date of report 7 March 2016

Report by Assistant Chief Executive (Business Support)

1. Object of report

To advise the committee on the findings of a review of IT controls for the IT network, internet and e-commerce. This engagement is included in the annual Internal Audit plan for 2015/16.

2. Background

SPT makes extensive use of information technology (IT) and networked systems. These systems support service delivery objectives, manage and pay suppliers and allow effective communication. Every part of SPT's business activities relies, in some way, on computerised systems and information technology.

SPT, like many public sector organisations is in the process of moving some back office services from a desktop orientated IT delivery to a virtual/'cloud' orientated model.

PCIDSS is the Payment Card Industry Data Security Standard, and this is a worldwide standard that was set up to help businesses process card payments securely and reduce card fraud. This is achieved through tight controls surrounding the storage, transmission and processing of cardholder data that businesses handle. PCIDSS is intended to protect sensitive cardholder data. SPT must comply with these standards in order to operate and process card payments.

The objective of this engagement was to assess the current IT controls for the IT network, internet and e-commerce.

This engagement tested elements of the internal controls and mitigation against SPT 7: Prolonged IT failure: customer critical systems and core internal systems; and SPT 22: Governance arrangements.

3. Outline of findings

Engagement testing found that PCIDSS compliance has been achieved for all service delivery areas (Subway stations, SPT operated Travel centres and on-line payments).

The engagement identified a requirement to review the current internet and e-mail policy and performance management and reporting arrangements.

There are areas for improvement, and these areas have been addressed by four audit recommendations. IT management have agreed to implement these recommendations, which are currently being actioned.

4. Conclusions

The Audit and Assurance team has undertaken a review of IT controls for the IT network, internet and e-commerce. Areas for improvement have been identified and four recommendations have been agreed.

Key controls exist and are applied consistently and effectively in the majority of areas tested in this engagement.

Reasonable assurance can be taken from the areas covered in this engagement.

5. Committee action

The committee is asked to note the contents of this report and agree that the Audit and Assurance Manager submits a follow-up report on the implementation of the recommendations to a future meeting.

6. Consequences

Policy consequences	<i>None</i>
Legal consequences	<i>None</i>
Financial consequences	<i>None</i>
Personnel consequences	<i>None</i>
Social Inclusion consequences	<i>None</i>
Risk consequences	<i>As detailed in the report</i>

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