



IT Controls: system administration and network controls

Committee Audit and Standards

Date of meeting 17 June 2016

Date of report 6 June 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 system administration and the IT network. This engagement is included in the 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.

In early 2016, IT managed and delivered the migration of IT equipment, networks and associated services to support the relocation of SPT headquarters.

IT network services remained operational during the migration of service provision.

The objective of this engagement was to review the IT network arrangements, controls and plans for development.

This engagement provided 'a snapshot' of this transition and the on-going IT work to support changes to service delivery.

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

It is essential that IT infrastructure and data switches are maintained and are up to date and configured for appropriate business use, to support the data and voice services throughout SPT including data centre and failover arrangements.

The Partnership agreed an award of contract to Capita plc. at its meeting of 14 August 2015, to enhance IT data and voice services including business resilience measures, service relocation, and replacement of telephony services.

As at the date of engagement testing, March 2016, a requirement to review the IT network strategy and related procedural guidance was identified. Engagement testing also highlighted some areas where environmental controls require review, assessment and where appropriate, external certification to enhance the assurance framework.

There are some 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 the IT controls for system administration and the IT network. 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>

Name Valerie Davidson

Name Gordon Maclennan

Title **Assistant Chief Executive
(Business Support)**

Title **Chief Executive**

For further information, please contact Iain McNicol, Audit and Assurance Manager on 0141 333 3195.