



Review of IT controls: portable IT equipment

Committee Audit and Standards

Date of meeting 9 September 2016

Date of report 29 August 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 portable IT equipment. This engagement is included in the annual Internal Audit plan for 2016/17.

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 order to optimise the use of IT, designated staff and members are provided with portable IT equipment (i.e. laptops, mobile phones, tablets and related IT equipment).

The IT and Information Security policy provides guidance on the use of portable IT equipment.

The objective of this engagement was to review and evaluate the current processes, procedures and monitoring arrangements in place for portable IT equipment.

This engagement tested elements of the internal controls and mitigation against SPT6: Security, SPT 21: Adverse publicity and SPT 22: Governance arrangements, as identified in the corporate risk register.

3. Outline of findings

IT procedures and work practices are in place for the administration of portable IT equipment. Engagement testing reviewed these arrangements and supporting records and found areas for improvement in the monitoring, returning and destruction of portable IT equipment.

Engagement testing also identified a requirement to assess options for the electronic tracking of mobile IT devices.

There are areas for improvement, and these areas have been addressed by eight audit recommendations. IT management have agreed to implement these recommendations.

4. Conclusions

The Audit and Assurance team has undertaken a review of controls for portable IT equipment. Areas for improvement have been identified and eight recommendations have been agreed.

Key controls exist but are not applied consistently and effectively.

Reasonable assurance can be taken from the controls in place for the areas covered in this engagement with the exception of inventory records.

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.