Committee report

SPT

IT controls: change and file controls

Committee   Audit and Standards

Date of meeting 17 March 2017   **Date of report** 6 March 2017

Report by Assistant Chief Executive (Business Support)

1. Object of report

To advise the committee on the findings of a review of IT change and file controls including back-up arrangements. This engagement is included in the 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.

SPT's plan for digital transformation has resulted in the implementation of a new Digital Team being formed from the resources available in IT and Business Improvement teams.

Digital services are governed by the Scheme of Delegated Functions, IT policies, Digital strategy, procedures and guidelines.

The objective of this engagement was to assess, review and evaluate the internal controls in place for IT change and file protocol, including back-up arrangements.

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

As at the date of engagement testing (October 2016), documented procedures in relation to IT change and file controls including back-up arrangements were not current. Digital (IT) management acknowledged this and are actively addressing this matter.

Recent change(s) to service delivery arrangements also require to be documented to enhance the currency of information provision and performance measures.

There are areas for improvement, and these areas have been addressed by nine audit recommendations. Digital (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 change and file controls including back-up arrangements. Areas for improvement have been identified and nine recommendations have been agreed.

Key controls exist but are not applied consistently and effectively in the areas tested from this engagement.

Reasonable assurance can be taken from the areas covered in this engagement with the exception of back-up arrangements and recovery planning.

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	*None*
Legal consequences	*None*
Financial consequences	*None*
Personnel consequences	*None*
Social Inclusion consequences	*None*
Risk consequences	*As detailed in the report*

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