

Appendix 1a: Audits Revisited

Purpose of these audits

To assess whether the actions agreed in the original audit report have been implemented and are now effectively embedded into the day-to-day operation of the service.

IT Infrastructure and Asset Management Revisited

Original Objective

To assess whether the IT infrastructure and asset portfolio is well managed, secured and helps deliver both effective IT and wider Southend-on-Sea Borough Council (the Council) services.

Results

Fully implemented	Substantially implemented	Partially implemented	Not implemented	No longer applicable
3	2	0	0	0

Summary

ICT has made good progress towards implementing the recommendations raised in the original IT Infrastructure and Asset Management audit report.

An IT Asset Management Policy and Procedure have been developed which define the responsibilities of staff, management and ICT in relation to safeguarding assets and replacing existing hardware. The Policy now just needs to be formally approved by DMT and CMT.

A new asset management system (WASP) has been implemented for hardware assets, which has improved the safeguarding and management of IT assets as:

- a mandatory field ensures sufficient information is recorded regarding the location of assets
- data cleansing undertaken has improved the consistency and level of detail held about assets as well as who the assets are assigned to.

ICT carry out spot checks to obtain assurance over the completeness of the hardware asset register but these checks need to be documented.

Details of the Council's software assets including the numbers of licences have been recorded on a software asset register. The accuracy of the register is validated before software licences are renewed.

ICT will undertake spot checks going forward, to check for illegal software installed on Council machines.

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IT Enterprise Change Management Revisited

Original Objective

To assess the adequacy and effectiveness of the Council's formal processes that ensure any changes to the IT environment (e.g. through applications or infrastructure) are introduced in a controlled and coordinated manner to minimise the risk of disruption to Council services.

Results

IT Change Elements	Assurance	Summary Assessment
<p>Change Requesting, assessing and authorising changes.</p>	Satisfactory	<p>There is still work to do across all these areas; nevertheless an appropriately designed 'change' process is in place. The enhancements identified will further improve this process and involve such things as making:</p> <ul style="list-style-type: none"> • sure changes are closed on the system in a timely manner • instructions within some documents more explicit • it easier to identify the type of change by recording this separately in the system (see note below).
<p>Configuration Maintaining an accurate record of the 'status' of systems, including changes applied.</p>	Satisfactory	<p>The Council has a record of the 'status' of its systems (i.e. cumulatively the version, all changes / fixes applied, issues and how they have been resolved / worked around). However, this is split across IT systems and needs to be more integrated.</p> <p>This can't be progressed until the planned software upgrade has been implemented (see note below).</p> <p>The fragmented nature of current records should be recognised as a risk on the IT Risk Register.</p>
<p>Release Planning, testing and implementing changes.</p>	Minimal	<p>This is the least mature element of the change management process.</p> <p>For it to be appropriately managed and this evidenced consistently, the software upgrade is needed (see note below).</p> <p>This short-term risk should also have corporate visibility and therefore be added to the ICT Risk Register.</p>

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Summary

These new IT Enterprise Change Management arrangements were highlighted to staff in January 2018 and are still developing. The previous review undertaken earlier in 2016/17 which this follows up on identified deficiencies in all of the areas above, prior to this date.

Some issues identified reflect deficiencies in the current version of the Council's Service Desk software (Hornbill Support Works). However, a planned upgrade to Support Works 8 by November 2018 will enable many of these issued to be addressed. The software has been purchased and an action plan is in place, setting out the steps required to successfully complete the implementation by the due date.

For clarity, this review focussed on IT Enterprise Change Management, which is changes applicable to the 'environment' in which applications, for example Agresso, sits. Specific, more focussed governance / change management arrangements are in place for key applications, such as Agresso and Liquid Logic. Governance and Change Management arrangements for key applications will be risk assessed and audited separately, as needed.