

West Lothian Council 2008/09

Follow-up Computer Service Review

September 2009



 AUDIT SCOTLAND

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Summary

Introduction

1. The Code of Audit Practice requires the auditor to follow up issues reported to management, and ensure that audit recommendations have been properly addressed. As part of our 2008/09 audit we have carried out a review of the action taken in response to recommendations contained in our computer service review at West Lothian Council in 2006/07.

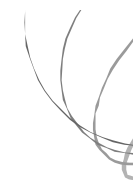
Main Findings

2. The council has made reasonable progress with the previously agreed action plan. A total of eight action points were brought forward from the audit. Of these, three actions were completed, and five remain outstanding, although they are currently being progressed. There are two actions where completion targets were achieved but subsequent actions have now moved them into their next phase, with dates established for future completion. Plans are in place to address all the outstanding actions, which include the following critical matters:
 - service continuity
 - and the development of an ICT Strategy.
3. The updated action plan at Appendix 1 of this report provides an overall summary of progress in implementing audit actions. Appendix 2 describes the outstanding actions and the revised agreed date for implementation.

Acknowledgements

4. The contents of this letter have been discussed and agreed with relevant officers to confirm factual accuracy. The co-operation and assistance given by all officers contacted during the course of this audit is gratefully acknowledged.

Appendix 1: Action Plan Update



No	Risk Exposure	Client Response	Responsible Officer	Target Date	Current Position	Further Action Ref.
1	<p>Issue</p> <p>With the increasing reliance being placed on the provision of continuous computer services it is important that the council has documented disaster recovery and business continuity plans covering all services. We found the council are in the process of identifying all Services IT dependencies.</p> <p>Risk</p> <p>If planning priorities are not in place it is likely that in the event of failure, service continuity will not be effective.</p> <p>Recommendation</p> <p>The mapping exercise to record and analyse all Services IT dependencies should be completed at the earliest opportunity.</p>	<p>All Service area BCP plans will be updated and provided to the Risk and Insurance team.</p>	<p>Heads of Service</p>	<p>March 2008</p>	<p>Outstanding</p> <p>Corporate Tactical plan testing was part of the desktop exercise of West Lothian House arrangements on 27/3/09.</p> <p>Revised date for all BCPs to be submitted by Heads of Service 31/7/09.</p> <p>Business Continuity Policy and Strategy issued for Heads of Service to review by 31/7/09.</p> <p>Final Policy and Strategy to be tabled at Corporate Management team on 26/8/09.</p>	<p>See action 1</p>
		<p>The Risk & Insurance team will collate the information from the plans for critical services to identify high level dependencies and report to the Corporate Management Team.</p>	<p>Risk & Insurance Officer</p>	<p>March 2008</p>	<p>Revised date following the above set as end Sept 09.</p>	



No	Risk Exposure	Client Response	Responsible Officer	Target Date	Current Position	Further Action Ref.
2	<p>Issue It is important that ITS has a documented business continuity plan covering all critical IT services.</p> <p>Risk If planning is not in place it is likely that in the event of failure, service continuity will not be effective.</p> <p>Recommendation IT Services section should develop a business continuity plan for all identified IT services, and adapt it for other Services IT dependencies, as appropriate. The plan should be supported with appropriate testing arrangements.</p>	<p>In line with ITIL best practice, IT Services will develop IT Service Continuity Plans that support the overall organisations agreed corporate business continuity plans. IT will recommend the testing schedule of the IT recovery plans to the service areas within the council.</p> <p>This product is dependant on the actions from Risk No1.</p>	Head of IT Services	September 2008	<p>Outstanding</p> <p>The ICT continuity plans were tested as part of the desktop testing of arrangements for West Lothian House on 27/3/09.</p> <p>Revised date following the actions in item1 By end Dec 2009.</p>	See action 2
3	<p>Issue The council has a draft ICT strategy to cover the period to 2010.</p> <p>Risk It is possible the council will not get best value from the use of technology should milestones and the vision for the delivery of IT services and systems not be documented in an approved medium to long term strategy.</p> <p>Recommendation The council should ensure the new ICT strategy is approved at the earliest opportunity.</p>	<p>Accepted. Work is currently underway with priority of Network Strategy.</p> <p>The Network Strategy encompassing convergence assessment will be available by end of October.</p> <p>The IT strategy will be completed thereafter.</p>	Head of IT Services	January 2008	<p>Outstanding</p> <p>A new ICT strategy is being developed to incorporate all the changes currently underway and to provide the direction going forward.</p> <p>The ICT Programme Board will review the approach to the ICT strategy in August 2009 and agree outline timetable.</p>	See Action 3



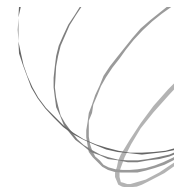
No	Risk Exposure	Client Response	Responsible Officer	Target Date	Current Position	Further Action Ref.
4	<p>Issue An essential component in the provision of a well managed and effective IT service is a change control process.</p> <p>Risk Without comprehensive change procedures for documenting and logging ICT infrastructure and system changes management control may not be effective.</p> <p>Recommendation The council's change control procedures should be reviewed, with particular focus on test file controls and management checks.</p>	<p>The existing Change Control procedures are well established and effectively manage change, however it is accepted that a regular review of these procedures is required to align the process to ITIL.</p> <p>A review of the Change control procedures will be undertaken to identify the gap and actions required to address these.</p> <p>Implementation plan will be produced.</p>	IT Operations Manager	March 2008	<p>Complete</p> <p>Subsequent work identified.</p>	See Action 4
5	<p>Issue An essential component in demonstrating a well managed IT service is a fault recording and reporting system.</p> <p>Risk Without proper classification for recording and reporting of system failure and user issues problem identification and fault resolution may not be effective.</p> <p>Recommendation The Service Standards document should be reviewed to confirm the relevance of the fault classifications. Such reviews should be carried out on a regular basis.</p>	<p>A review of Service Standards document will be undertaken, however the incident classification level will be a guide and not be prescriptive. In line with ITIL best practice the ability for the customer and the Service Desk to agree the priority of the incident having considered the business impact will remain.</p> <p>Service Standard review and gap analysis produced.</p> <p>Implementation plan</p>	IT Operations Manager	March 2008	<p>Complete</p> <p>Subsequent work identified.</p>	See Action 5



No	Risk Exposure	Client Response	Responsible Officer	Target Date	Current Position	Further Action Ref.
6	<p>Issue An asset register is an essential component in the management and control of the council's hardware and software.</p> <p>Risk If an up to date asset register is not maintained the council may not be able to provide effective support and plan adequately for hardware / software refresh and replacement.</p> <p>Recommendation The council's IT Asset Management plan supported by procedures and processes should be implemented to manage all the council's ICT assets. All assets should be identified and assigned to an authorised user or owner.</p>	<p>Gap analysis to be conducted on existing procedures to ensure that they support the IT Asset Management plan. Assets will be identified to owning service or IT Services in the case of enterprise assets.</p> <p>Implementation of revised procedures.</p>	IT Operations Manager	<p>March 2008</p> <p>September 2008</p>	<p>Outstanding</p> <p>Current projects underway for software asset management, hardware asset management and people/staff asset management. Procedures/systems (Centennial, Active Directory) will inter-link and integrate with the Operational IT Services system, Assyst.</p>	See action 6
7	<p>Issue Periodic review of ICT security policies should be conducted to take into account changes in legislation and best practice.</p> <p>Risk The policies may not meet the current best practice or legislation.</p> <p>Recommendation The new Information Security Policy should be issued at the earliest opportunity, supported by suitable training and awareness material.</p>	<p>Review of ICT Security policies will be undertaken and gap analysis prepared.</p> <p>Revised policies will be produced.</p>	Technical Strategy Manager	December 2007	<p>Complete</p> <p>The council approved the new information security policy on 23rd December 2008.</p> <p>A training and awareness programme has been developed and is being rolled out across the council.</p>	None



No	Risk Exposure	Client Response	Responsible Officer	Target Date	Current Position	Further Action Ref.
8	<p>Issue</p> <p>To ensure the council has the most appropriate communications technology available a Network strategy should be developed.</p> <p>Risk</p> <p>It is possible the council will not get best value from the use of communications technology should milestones and the vision for the delivery of such services and systems not be documented in an approved medium to long term strategy.</p> <p>Recommendation</p> <p>The council should ensure the new Network strategy is developed and approved at the earliest opportunity.</p>	<p>Accepted. Work is currently underway with priority of Network Strategy.</p> <p>The Network Strategy encompassing convergence assessment will be available by end of October.</p> <p>Approval via Modernising Government Board expected by end Jan 2008.</p>	Head of IT Services	January 2008	<p>Outstanding</p> <p>The council's strategic requirements will be recorded in the ICT strategy. A new ICT strategy is being developed to incorporate all the changes currently underway and to provide the direction going forward.</p> <p>The ICT Programme Board will review the approach to the ICT strategy in August 2009 and agree outline timetable.</p>	See action 7



Appendix 2: Outstanding actions

Issue	Original Reference	Action to be taken	Responsibility	Date
1	1	The results of the desktop testing are being reviewed and BCPs are being updated. Collated Corporate BCP	Heads of Service Risk and Insurance Manager	31/7/09 30/9/09
2	2	The delivery of IT services is undergoing some radical changes with the move to the civic centre and the transfer of backup systems from Lindsay House to the Caird Centre, managed by South Lanarkshire Council. The BCP arrangements are being reviewed and documented as part of these changes.	Head of IT Services	30/12/09
3	3	The main focus at this time is the transfer to the civic centre and the consequential changes to the ICT infrastructure. When these matters have been concluded the draft ICT strategy will be finalised.	Head of IT Services	Approach by 31/8/09 Final timetable not agreed by ICT Programme Board as yet.
4	4	Subsequent work: Ongoing adherence to the IT change control procedure facilitates change control management. Update on hardware and application documentation. Plans to link with operational support system, Assyst to enhance change control management procedures. This will be done in conjunction with review of change control procedures.	IT Operations Manager	31/3/10
5	5	Subsequent work: It is expected that Civic Centre will introduce new service provision/standards. These will need to be assessed alongside existing service standards. Action will be undertaken in consultation with all Service areas.	IT Operations Manager	31/3/10
6	6	The requirements of the ICT asset register have been laid out in the council's asset management plan. All information is being collected and will be used to populate the register.	IT Operations Manager	31/3/10
7	8	The council's networks services are provided by a partnership agreement and all provisions are the subject of contract. The council's ongoing strategic requirements will be documented in the ICT strategy.	Head of IT Services	Approach by 31/8/09 Final timetable not agreed by ICT Programme Board as yet.