

REPORT TO: Audit and Governance Committee

MEETING DATE: 9 September 2014

BY: Depute Chief Executive – Resources & People Services

SUBJECT: Internal Audit Report – Residential Units for Young People

1 PURPOSE

- 1.1 To inform the Audit and Governance Committee of the recently issued audit report on Residential Units for Young People.

2 RECOMMENDATION

- 2.1 That the Audit and Governance Committee note the contents of the Executive Summary and Action Plan for Residential Units for Young People.

3 BACKGROUND

- 3.1 A review of the IT arrangements operating at the Council's Residential Units for Young People was undertaken as part of the audit plan for 2013/14.
- 3.2 The main objective of the audit was to ensure that the IT arrangements in place at the Council's Residential Units for Young People were operating effectively.
- 3.3 The main findings from our audit work are outlined in the attached report.

4 POLICY IMPLICATIONS

- 4.1 None

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 This report is not applicable to the well being of equalities groups and Equality Impact Assessment is not required.

6 RESOURCE IMPLICATIONS

- 6.1 Financial - None
6.2 Personnel - None
6.3 Other - None

7 BACKGROUND PAPERS

- 7.1 None

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EAST LOTHIAN COUNCIL – INTERNAL AUDIT RESIDENTIAL UNITS FOR YOUNG PEOPLE

1. EXECUTIVE SUMMARY

1.1 Introduction

As part of the Audit Plan for 2013/14 a review was undertaken of the IT arrangements in place at the Council's Residential Units for Young People. A summary of our main findings is outlined below.

1.2 Areas where Expected Controls were Met

- A Policy on the Acceptable Use of the Council's Information & IT Infrastructure (Acceptable Use Policy) is in place and provides guidance to all staff members using the corporate network.
- A separate PC/Internet Policy is in place, which provides guidance to the young people at the residential units with access to computers that are not part of the corporate network.
- Adequate arrangements are in place for monitoring the internet usage of young people at the residential units.
- Antivirus software has been installed on the computers used by the young people that are not part of the corporate network.

1.3 Areas with Scope for Improvement

- User access controls in place require review – staff members and aftercare clients can access the non-network computers with a generic login and password. *Risk – lack of an audit trail.*
- There was a failure to retain the weekly internet activity reports for both staff and young people as evidence of the monitoring carried out by the Administrator. *Risk – lack of evidence of checks carried out.*
- The Council's Acceptable Use Policy requires review – the existing policy fails to clearly outline the procedures that should be followed by users of non-network computers. *Risk – failure to provide clear guidance.*
- The existing arrangements for recording details of software installed and licences held require review. *Risk – failure to comply with legislation.*
- There was a lack of a detailed inventory of all IT assets held at the residential units. *Risk – loss or theft may occur and remain undetected.*
- The current arrangements for the destruction of IT hardware require review. *Risk – data held may not be properly erased.*

1.4 Summary

Our review of the IT arrangements operating at the Council's Residential Units for Young People identified a number of areas with scope for improvement. Detailed findings and recommendations are contained in our main Audit Report.

Mala Garden
Internal Audit Manager

August 2014

ACTION PLAN

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
3.1.2	<p>Management should ensure that the existing Policy in place for young people using the computers is reviewed and updated.</p> <p>Management should ensure that the updated policy is issued to all young people at the residential units.</p>	Low	Residential Services Manager	To be confirmed		
3.2.1	Management should ensure that all staff members and aftercare clients using the computers are set up with individual user accounts and passwords – under no circumstances should generic logins and passwords be used.	Medium	Residential Services Manager	To be confirmed		
3.3.2	<p>Management should ensure that internet activity reports and email alerts received by the Administrator are sent to an ELC email account.</p> <p>Management should ensure that a clear audit trail exists to evidence the monitoring arrangements in place – the weekly internet activity reports should be retained and held securely in line with the Council's existing IT arrangements.</p>	Medium	Residential Services Manager	To be confirmed		

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
3.3.2 (cont)	Management should ensure that a record is maintained of all restricted internet sites unblocked by the Administrators.					
3.3.3	Management should ensure that the activity reports of staff members, including the activity reports relating to the Administrators are reviewed by an independent person. Evidence of this check should be retained.	Medium	Residential Services Manager	To be confirmed		
3.4.1	Management should maintain a register of all software installed together with details of licences held.	Medium	Residential Services Manager	To be confirmed		
3.4.2	The IT Acceptable Use Policy should be reviewed to ensure that it clearly outlines the procedures that should be followed by users who are currently responsible for the administration of non-network computers.	Medium	Service Manager IT Infrastructure	To be confirmed		
3.5.1	Management should ensure that a detailed inventory is maintained of all IT assets held by the Unit.	Medium	Residential Services Manager	To be confirmed		

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
3.6.1	Management should ensure that all IT software/hardware is disposed of in accordance with the Council's IT Acceptable Use Policy.	Medium	Residential Services Manager	To be confirmed		
3.7.1	Management should ensure that the Council's IT division provides support and advice to local administrators with responsibility for non-network computers – reviews should be undertaken to ensure compliance with Council Policy.	Medium	Service Manager IT Infrastructure	To be confirmed		

Grading of Recommendations

In order to assist Management in using our reports, we categorise our recommendations according to their level of priority as follows:

Level	Definition
High	Recommendations which are fundamental to the system and upon which Management should take immediate action.
Medium	Recommendations which will improve the efficiency and effectiveness of the existing controls.
Low	Recommendations concerning minor issues that are not critical, but which may prevent attainment of best practice and/or operational efficiency.