Summary of IT Audit Final Reports Issued

Information Technology (IT) Change Management 2017-2018

1.   Background

Information Technology (IT) Change Management processes include the following activities in respect of planned or unplanned changes within the IT infrastructure and applications:

- Creating a request for change
- Review and prioritisation of the request for change
- Evaluation of the change to assess the impact, risk and benefit
- Approval of the change
- Implementation of a change
- Review and closure

Changes to IT infrastructure and applications are managed by the Information and Communications Service (ICS) in accordance with the IT Change Management process as set out in the Service Manager Guidance document. Requests for change are initiated by System Administrators within service areas and logged on the Hornbill Service Desk Management System.

2.1 Overview

ASSURANCE RATING - SUBSTANTIAL ASSURANCE	CORPORATE SIGNIFICANCE – HIGH

Assurance

Internal Audit can give substantial assurance to those charged with governance. The internal control environment within the areas reviewed is adequate and effective, and appropriate actions are being taken to manage risks.

Adequate governance arrangements are in place in respect of responsibilities for IT change management; processes have been established and defined; and changes require approval at the request and the post testing stages.

Based on the audit work undertaken it was determined that adequate standard procedures are in place for implementing IT changes efficiently and effectively therefore the potential risk of disruption to associated IT services and general service delivery is being managed.

Corporate Significance

The area reviewed has been rated as being of HIGH corporate significance, on the basis of:

- Service failures would have significant impact on customers
- Risk of serious reputational damage
- Direct link to identified strategic risks

2.2   Key Findings

We are pleased to report that the procedures in place incorporate the following examples of good practice:

- The roles and responsibilities in respect of Change Management have been discussed and agreed at the IT Service User Group.
- The Hornbill Service Manager User Guide covers procedures related to the key stages within the Change Management Process.
- All changes are logged on the SupportWorks Service Desk Management System, are assigned a change reference number and require authorisation by two of the three ICS Managers for them to proceed.
- For all changes an Impact Assessment and Backout Plan is documented before the change is authorised as part of the change request process.
- Once all the change activities have been completed as per the change schedule the Change Request is closed automatically. A notification email is sent to the Manager and to the requestor detailing the resolution summary.

However, from the work undertaken during the review, we have also identified the following area where there is scope for improvement to ensure that the system operates more effectively and efficiently:

- There are a number of documents in place that cover various aspects of Change Management however there is no formal Change Management Policy that consolidates the roles and responsibilities, authorisation requirements, stages in the process, documentation requirements etc. in a single document.

3.   Action Plan

Observation	Risk	Recommendation	Priority	Response/Agreed Action	Officer Responsible	Action Date
1. There are a number of documents in place that cover various aspects of Change Management however there is no formal Change Management Policy that consolidates the roles and responsibilities, authorisation requirements, stages in the process, documentation requirements etc. in a single document. .	A lack of formal Change Management Policy capturing roles, responsibilities and required implementation stages could result in inconsistencies and inadequate governance arrangements.	1. Consideration should be given to developing a Change Management Policy to consolidate the information found in the Infrastructure Policy, the policy aspects within the Hornbill Service Manager User Guide e.g. authorisation requirements, necessary stages to the completed before authorisation, documentation requirements, and also the roles and responsibilities for Change management as agreed at the ICT Service User Group.	Low	The recommendation has been considered and based on the current process and procedures in place it is not felt that an additional policy would be required to support this process.	N/A	N/A