

AUDIT TERMS OF REFERENCE

Topic:	NCH SX3 System IT Review
T o R Version:	1.1
Audit Manager:	Adrian Whitely
Auditor:	
Date:	18.7.2007
Background:	<p>Audit included in rolling programme of work, for completion in 2007/08. Links to other work:</p> <p>Job costing – weaknesses of existing system; addressing in new system.</p> <p>Procurement process – responsibilities and adherence to standards</p> <p>Follow-up of SX3 access control and other IT security issues.</p>
Objective:	To assure the Head of Finance and Audit Committee of NCH that there are proper controls in respect of data security, data processing integrity and user access.
Main Risks:	<p>Data security:</p> <ul style="list-style-type: none"> - Breaches of confidentiality - loss of business continuity; <p>Data processing integrity and access controls:</p> <ul style="list-style-type: none"> - Customer service problems - Misappropriations or misdealings
Scope:	Rents and Housing Management system used by NCH.
Approach:	<p>Review of the following:</p> <p>Operation of specific modules – allocation of responsibilities, control totals, job control communications, reconciliations; efficiency of processes.</p> <p>Interfaces – secure and effective controls.</p> <p>Data Protection Act issues – completeness and accuracy, access controls, retention and disposal; Subject Access Requests.</p> <p>Adequacy of SLA – assignment of responsibilities and resources; effective contractual arrangements.</p>

	Some items are omitted, which will be included in the follow up of SX3 access controls & other IT security.
Principal Auditee:	Steve Everson
Final Report to:	Head of Finance/Audit Committee
Timescale:	Report by early October 2007