# ICT audits in charities

## Key challenges, emerging risks, and a framework for success

Paul Sypko, Keith Collins and David Membrey

17 October 2017

adapta

processes, people and technology

# About Adapta…

- A specialist information systems consultancy
- We only work with membership organisations, charities, associations, trusts and others in the NfP sector
- We are completely supplier-independent
- Our consultants have held senior positions in a broad range of different organisations
- Our advice and guidance is based on practical experience gained over many years

# Our range of services

## Programme and project management

- Governance and decision-making
- Planning and initiation
- Monitoring and reporting progress
- Quality assurance
- Benefits realisation

## Information systems strategy

- Strategic planning for IS
- Systems, structures and IS management
- IS governance
- Information security review
- Digital strategies

## Software specialisms

- Accounting systems
- Information management
- CRM
- Fundraising and membership systems

## Systems selection

- Requirements analysis
- Supplier selection
- Commercial contract negotiation

## Other services

- Business case development
- Project reviews
- Process improvement
- Commercial relationship management

## Advice and support

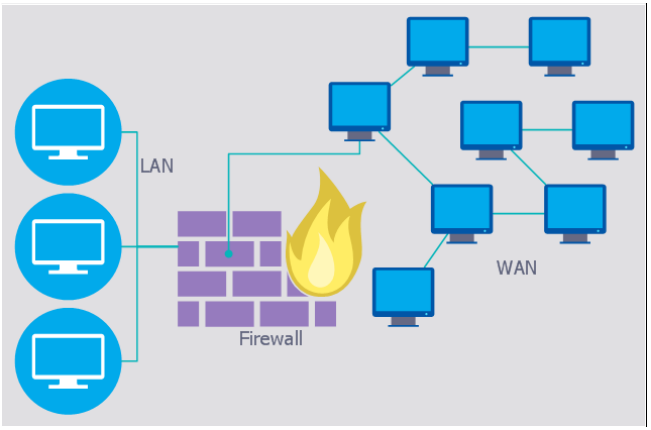
- Governance reviews
- Re-structures and re-organisations
- Recruitment help, job descriptions and selection
- Coaching and mentoring

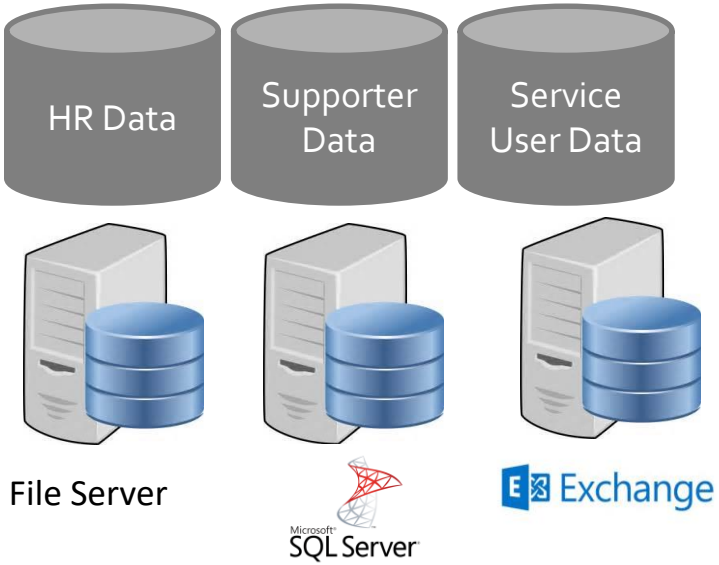
adapta

# Some of the organisations our consultants have helped…

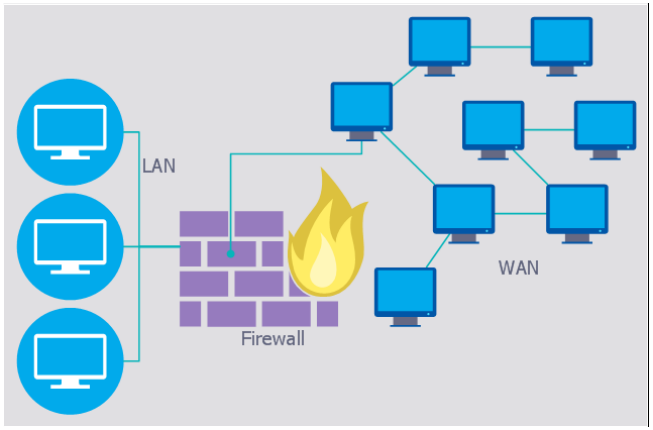
How should a charity go about auditing its own IT operation?

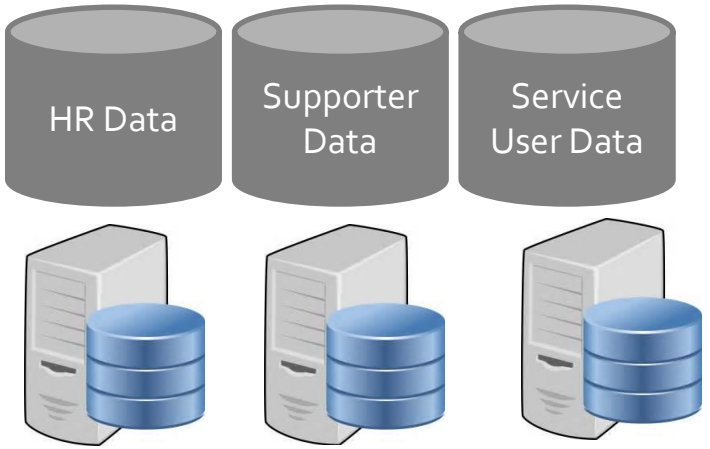
adapta


LAN
WAN
Firewall


HR Data
Supporter Data
Service User Data
File Server
Microsoft SQL Server
Exchange

adapta



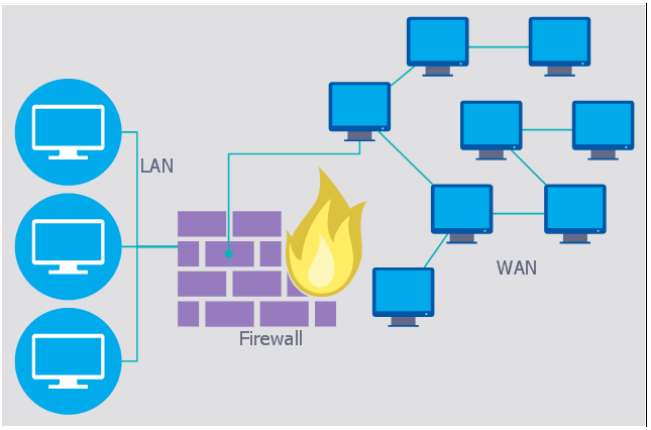



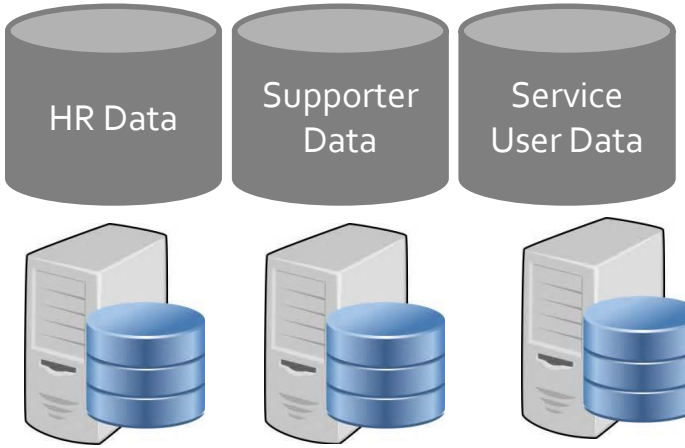

File Server

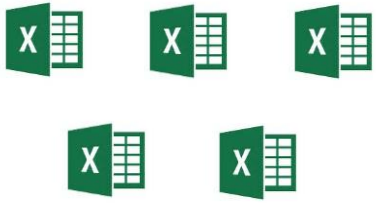
Microsoft SQL Server

Exchange

adapta



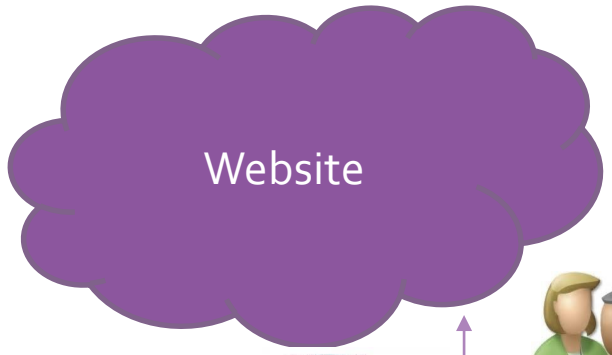



File Server

Microsoft SQL Server

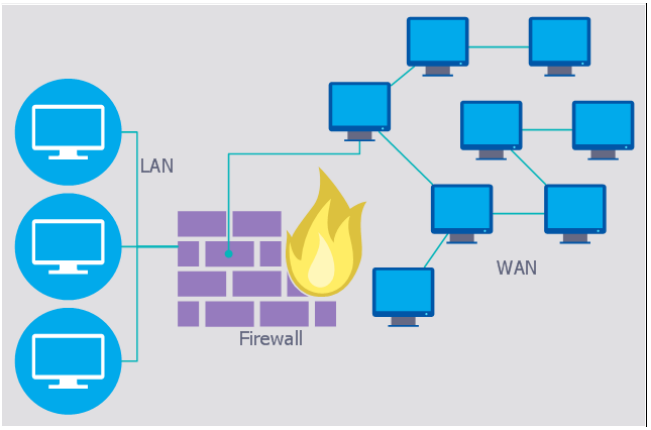
Exchange

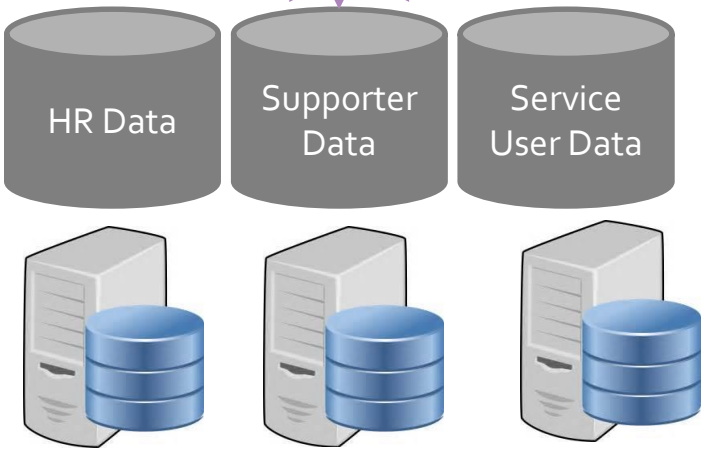
adapta

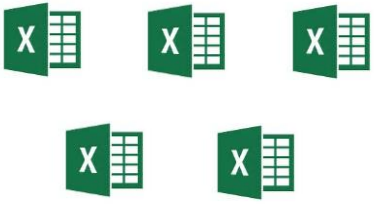


JustGiving

engaging NETWORKS



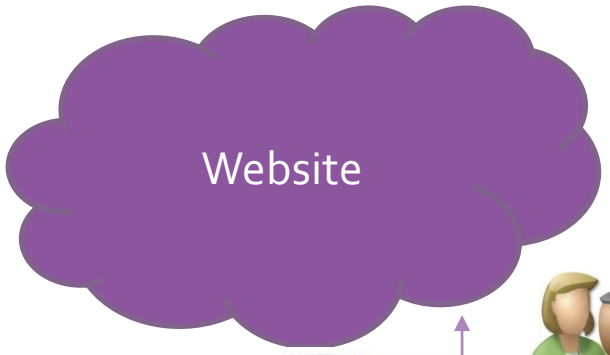



File Server

Microsoft SQL Server

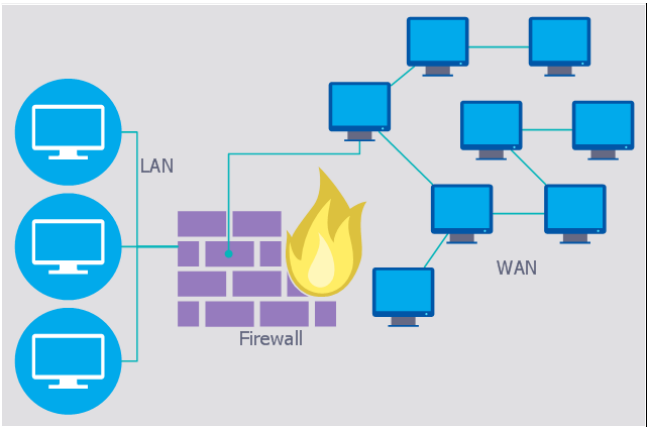
Exchange

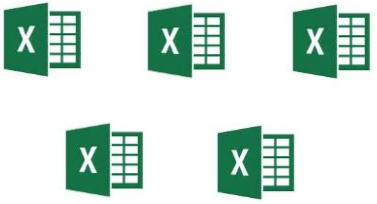
adapta



JustGiving

engaging NETWORKS

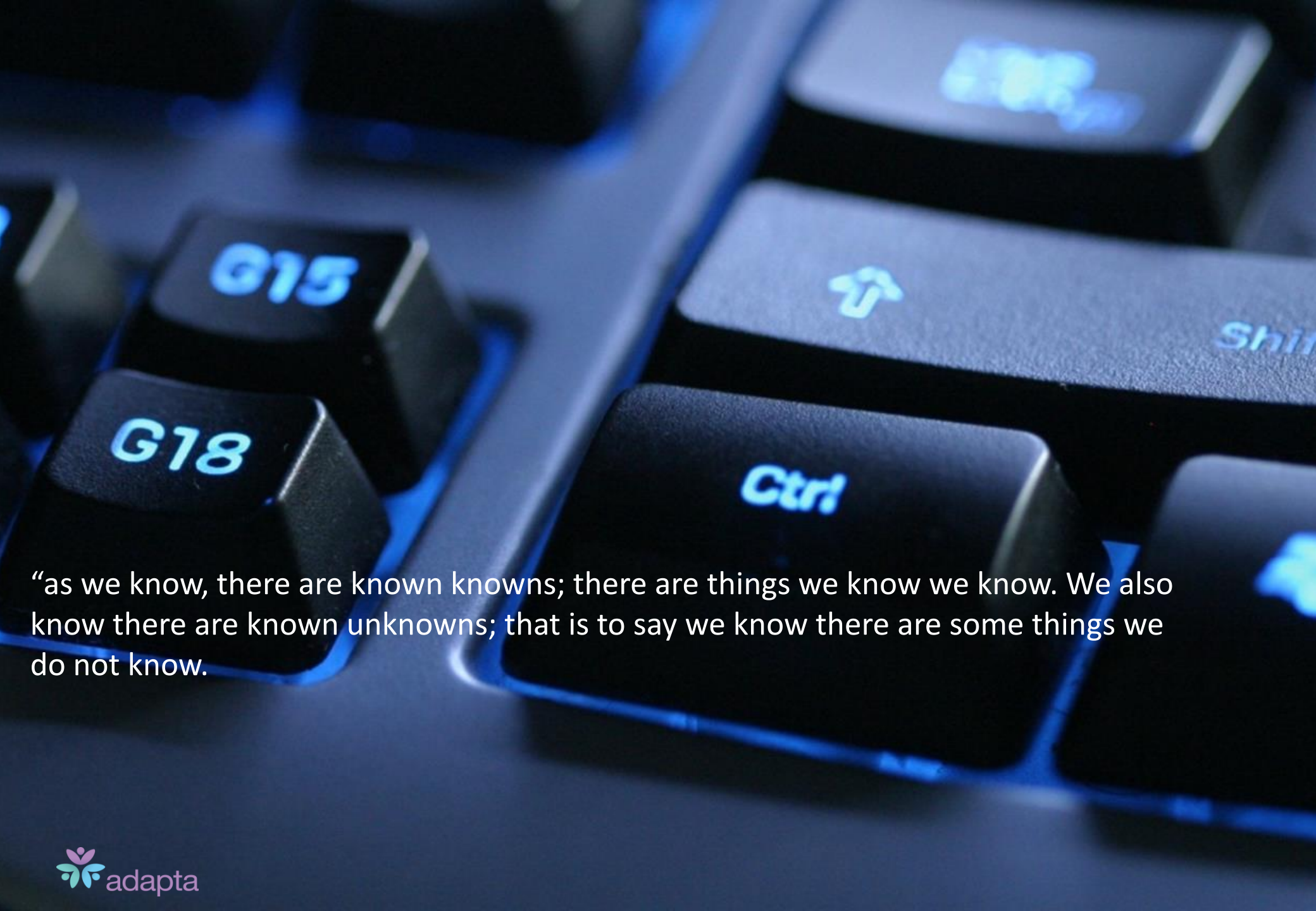




adapta

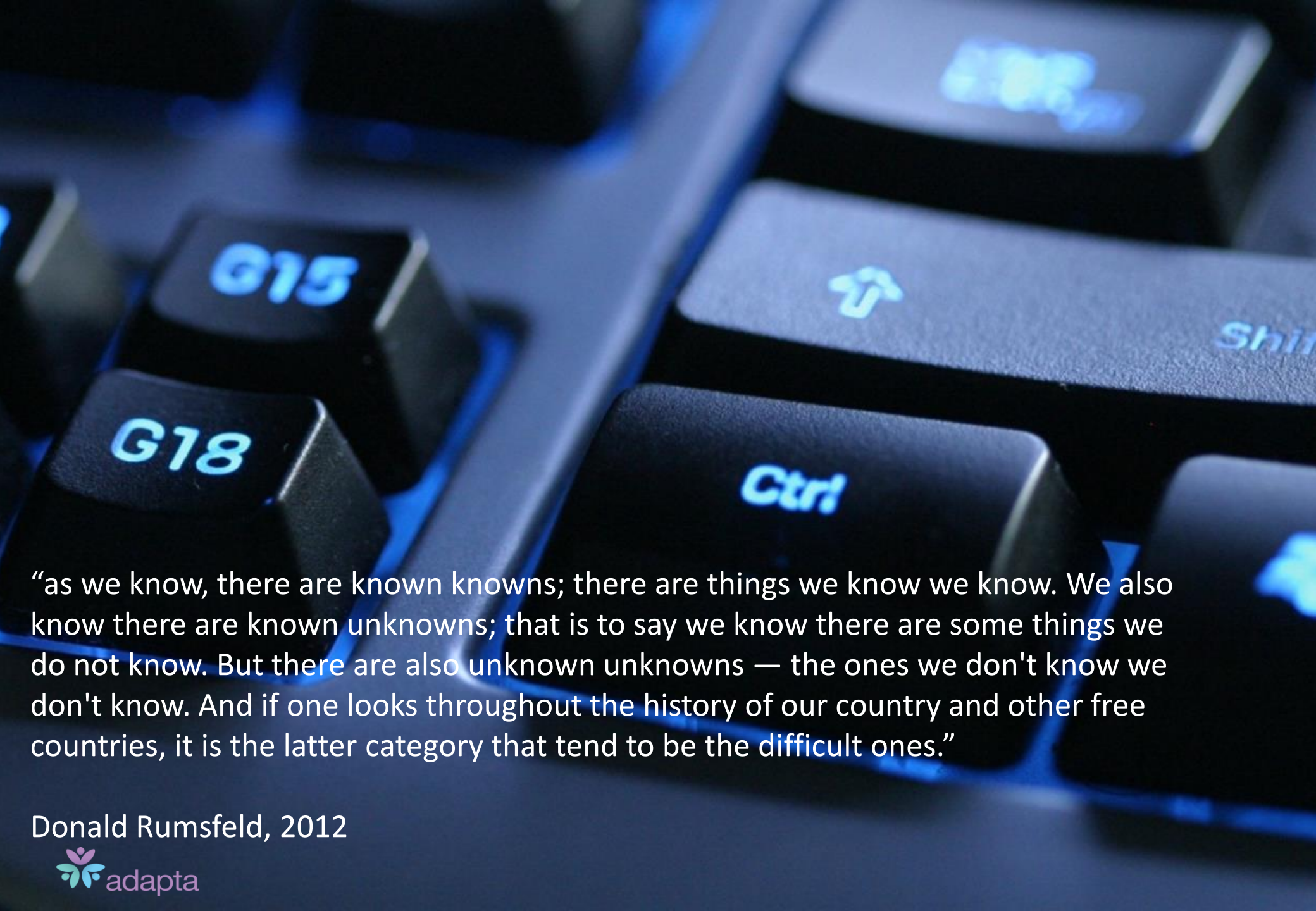
GDPR
Cyber Security
Flexible Working / BYOD
2FA

Cloud Computing
Data Democracy
Digital Transformation
Artificial Intelligence




“as we know, there are known knowns; there are things we know we know. We also know there are known unknowns; that is to say we know there are some things we do not know.

adapta




“as we know, there are known knowns; there are things we know we know. We also know there are known unknowns; that is to say we know there are some things we do not know. But there are also unknown unknowns — the ones we don't know we don't know. And if one looks throughout the history of our country and other free countries, it is the latter category that tend to be the difficult ones.”

Donald Rumsfeld, 2012

adapta

# What is an ICT audit?

## ICT Strategy Refresh

**What it is**

- ✓ Review of current strategy and status of projects
- ✓ Confirmation that the projects are still relevant and fit with organisational strategy

**What it's not**

- ✗ Complete re-write of IT strategy

## ICT Review

**What it is**

- ✓ Development of IT strategy to meet organisational strategy
- ✓ Design of a programme of work to deliver strategy including timescale and indicative cost

**What it's not**

- ✗ Detailed focus on specific projects and their status

## ICT Audit

**What it is**

- ✓ Focus on management controls
- ✓ Aligning IT with organisational strategy

**What it's not**

- ✗ Focus on sampling, testing and counting

adapta

# First steps….. the scope of the audit

- Check for **operational risks** or **strategic ones** as well? A bit of both?
- Is the **focus** technology, management or broader issues of alignment with the organisational strategy?
- Should it include **digital**, **marketing** and **communications**?
- What is the **geographical scope**?
- What are the governance and stakeholder considerations?

adapta

ICT Audit Framework
Strategy & Planning
Operational Controls & Security
Performance Management
Support Arrangements
Resourcing
Infrastructure & Equipment
Training
Project Management

adapta

# What is the minimum?

- All areas of the control framework are important
- It is weakened by removing any of them
- The risk management process will usually have identified the key high profile risks
- If you could only choose three areas which would they be?

- ICT strategy and planning
- Operational controls and security
- …

adapta

# What can/should be outsourced?

- Outsource when you need independence
- Outsource when you need skills or experience you do not have internally
- Outsource when you do not have time!

adapta

# What can/should be outsourced?

adapta

# A Cloud Audit Checklist

**Educate – what is ‘The Cloud’?**

**Learn – regulatory & compliance landscape**

**Benchmark – compare your compliance (GDPR)**

**Governance – agree organisational approach**

**Appoint – who can do what?**

**Secure – review IS security policies**

adapta

# A practical approach

- Talking to people
- Workshops
- Process mapping to identify data and information flows
- Identify control points

- IT alignment with organisational objectives
- Forward looking
- Cover key risk areas
- Think review as much as audit

adapta

# Discussion

adapta

adapta
processes, people and technology

# Thank you

This presentation will be available to download from the Adapta website
**www.adaptaconsulting.co.uk**

For further information, please contact us at hello@adaptaconsulting.co.uk

hello@adaptaconsulting.co.uk
www.adaptaconsulting.co.uk

Adapta Consulting, 5 St John's Lane, London, EC1M 4BH
020 7250 4788

# Other useful resources:

- http://www.charityitleaders.org.uk/
- https://charitiessecurityforum.org.uk/
- https://www.isaca.org (Information systems audit and control association)
- https://www.ncsc.gov.uk/index/guidance (National Cyber Security Centre)
- https://www.icaew.com/-/media/corporate/files/technical/audit-and-assurance/audit-insights/183-audit-insights-cyber-security-2016.ashx
- https://www.iso.org/isoiec-27001-information-security.html
- https://doi.org/10.6028/NIST.SP.800-63b (Digital identity guidelines, June 2017)

adapta