

ICL
Pathway

Internal Audit Plan : 2000

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Document Title: Internal Audit Plan : 2000

Document Type: Plan

Abstract: This document provides details of the ICL Pathway Internal Audit Plan for 2000.

Status: Issue

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0 Document control

0.1 Document history

Version	Date	Reason
0.1	10/12/99	Initial draft
0.2	18/01/00	Preliminary Plan plus manday estimates
1.0	28/01/00	Raised to Issue status – minus manday estimates
1.1	03/05/00	Quarterly update and plan revision for Q2 audits
1.2	01/06/00	Includes restructuring to Q2 & Q3 planned audits
1.3	05/07/00	Updated status of audits

0.2 Approval authorities (Internal Audit Committee)

Name	Position	Signature	Date
M. Bennett	Director Quality & Risk		
M. Stares	Managing Director		
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0.3 Associated documents

	Reference	Vers	Date	Title	Source
[1]	CR/FSP/006			Audit Trail Functional Specification	Pathway
[2]	IA/MAN/004			Horizon System Audit Manual (CSR)	Pathway
[3]	IA/MAN/002 003			Pathway Internal Audit Manual	Pathway

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1 Introduction

Schedule A03 and Requirement 697 establish a right of audit access to ICL Pathway by POCL, their external auditors or other agents operating on their behalf. This could entail ICL Pathway being subject to a continual programme of audits by external organisations and the potential for disruption in normal operations. Audits carried out by these organisations will have their own objectives and any benefit to ICL Pathway would be secondary.

The Internal Audit function in ICL Pathway has been established to meet two key objectives :

- a. To provide the interface between ICL Pathway and POCL in the implementation of the requirements of the Audit Trail Functional Specification [1].
- b. To work with POCL in Joint Audits as described in the Horizon System Audit Manual (CSR) [2].
- c. To provide an independent audit capability within ICL Pathway, as a service to management, and on which POCL Internal Audit can potentially place their reliance.

The ICL Pathway Internal Audit function is described in the Internal Audit Manual [3].

2 Scope

This document describes a series of planned audits to be executed during 2000 in support of the objectives identified above.

The document does not include any sponsor organised audit activity.

3 Audit Plan Content

The Plan contains the following information :

- a. Identification of audit subject Area/System/Department.
- b. Shared Reporting Indicator (SRI). [Y = shared; N = internal]
- c. Planned start date.
- d. Actual start date.
- e. Completion date. (Defined as date Report issued).
- f. Audit Report Reference

4 *Maintaining the Plan*

The Plan will be updated on a quarterly basis to reflect any changes brought about by sponsor request and to firm up on dates left deliberately vague at the beginning of the year.

The details of Actual Start, Completion Date and Report Reference will also be added.

5 *Audit Plan Rationale*

5.1 *Implementation 11Week Plan*

This is the 11 week review period preceding the re-commencement of NRO (24/01/00) during which the organisation and processes of Implementation were subject to a major internal review activity. The audit will provide an independent assessment of the outcome of the review activity for the Pathway management team.

Basis : Risk.

5.2 *Horizon System HelpDesk*

This area has not been subject to any previous audit. Will include site security audit.

Basis : ISO Coverage/Supplier Mgt/VFM/Risk/Security

5.3 *Technical Integration*

This area was not audited during the CSR+ Development audit. The Systems Director has requested that this area be looked at. Full E2E activity to be considered including live support.

Basis : Business Effectiveness.

5.4 *Quality & Risk Management*

This area has not been subject to any previous audit.

Basis : ISO Coverage

5.5 Customer Services Management Processes

Earlier audits of CS have identified significant amounts of detailed procedure but not higher level management processes, eg. escalation, management information, performance measures, supplier management. This audit aims to identify and assess process at this level.

Basis : ISO Coverage

5.6 Resource Management/Personnel

Pathway consumes a considerable amount of resource and there is a mix of permanent and contract staff. The audit will assess the degree to which the selection, allocation and management of resource, particularly contract, is managed in the best interests of Pathway and ICL. Personnel will also be considered since they have not been subject to any previous audit.

Basis : ISO Coverage/Supplier Mgt/VFM

5.7 Commercial & Financial

This area has not been subject to any previous audit.

Basis : ISO Coverage

5.8 CSR to CSR+ Migration

This area is identified on all Delivery Manager's risk registers as high risk. The audit will consider how this is being managed. It will consider all aspects of migration, not just technical.

Basis : Risk

5.9 Data Centres

These areas have not been subject to any previous audit. Will include site security audit.

Basis : ISO Coverage/Supplier Mgt/VFM/Risk/Security

5.10 SSC

This is a particularly sensitive area of Customer Services with unprecedented access to live systems for support purposes. Previous audits have identified potential control weaknesses which management declare have been addressed.

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The audit will confirm the current arrangements and assess the strength of the controls in place. Will include a site security audit.

Basis : ISO Coverage/Risk/Security

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5.11 PFI := T&M

The nature of the contract has changed from PFI to T&M. The audit will consider the readiness of Pathway's procedures, management controls and systems for this change.

Basis : Effectiveness/Risk

5.12 Supplier Management

This audit will draw together the findings of previous audits that have looked at individual supplier situations.

Basis : ISO Coverage/Supplier Mgt/VFM/Effectiveness

5.13 Business Development/Customer Requirements

Neither of these areas have been subject to previous audit. In addition there is the likelihood that new business opportunities will be emerging from the customer in the near future. The audit will consider the state of readiness for this and existing controls in place.

Basis : ISO Coverage/Effectiveness

5.14 Event Management

It is by no means clear that an effective regime for the identification, selection, monitoring and review of events exists.

Basis : Effectiveness

5.15 Release Management

During 1999 a new core business process, Release Management, was defined for Pathway. The audit will consider the deployment of this process and whether any benefit is accruing from its implementation.

Basis : Effectiveness

5.16 Joint Audit with POCL

POCL Internal Audit have notified us of their intention to review the process of extracting transaction based information from the Data WareHouse for use in Invoicing. This they plan to do in September 2000. This work will be conducted

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under the Joint Working Framework, described in the Internal Audit Manual and agreed with POCL as part of Acceptance.

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Audit Ref.	Subject Area/Product	SRI	Planned Start	Actual Start	Complete	Report Ref.	CAP Ref.
	Implementation 11 Week Plan	N	January	12/01/00	15/02/00	IA/REP/019	N/A
3/4/15	Planning Process (Programme Office)	N	January	13/01/00	11/02/00	IA/REP/020	IA/CAP/010
3/4/16	Horizon System HelpDesk	N	February	16/02/00	28/04/00	IA/REP/022	IA/CAP/014
3/4/13	Technical Integration	N	February	02/02/00	31/03/00	IA/REP/021	IA/CAP/011
3/4/17	Quality & Risk Management	N	March	16/02/00	12/04/00	IA/REP/023	IA/CAP/012
3/4/18	Customer Services Management Processes	N	March	03/04/00	20/04/00	IA/REP/025	IA/CAP/013
3/4/19	Resource Mgt/Personnel (Includes Supp Mgt for Resources)	N	May	06/06/00	09/06/00	IA/REP/027	IA/CAP/016
3/4/22	CSR+ Migration	N	June	19/06/00		IA/REP/016	IA/CAP/013
3/4/27	Data Centres	N	July	10/07/00		IA/REP/026	
3/4/14	Invoicing Process	N	July				
3/4/20	SSC	N	August				
3/4/21	Supplier Management	N	August				
3/4/26	Operations Services (Includes Supplier Management for OSD)	N	t.b.a.				
3/4/28	Invoicing/Data WareHouse [POCL Initiated]	Y	September				
3/4/23	Business Development/Customer Requirements	N	Q4				
3/4/24	Event Management	N	Q4				
3/4/25	Release Management	N	Q4				

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