



Contains Confidential or Exempt Information	NO
Title	<i>Summary of the findings from the Investigation into Internal Audit report 39/11 regarding a mismatch of 388 laptop records</i>
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For Consideration By	<i>Managing Director, Mike McGaughrin</i>
Date to be Considered	<i>15th April 2014</i>
Implementation Date if Not Called In	<i>Immediate</i>
Affected Wards	<i>All</i>
Keywords/Index	<i>Security, Laptops, ICO</i>

This paper provides a response to the issues raised by the Internal Audit team report 39/11 at the Audit and Performance Review Panel of the Royal Borough of Windsor and Maidenhead Council (RBWM) on 14th November 2013. It was commissioned for RBWM by the Managing Director and coordinated by the ICT Security Officer. It was prepared by the Head of Technology and Change Delivery.

In November 2011, Internal Audit published report 39/11. The report revealed that 388 of the 646 laptops list could not be matched to physical assets. A Management Action Plan was subsequently drawn up by RBWM management and decided to tolerate the concern.

On 14th November 2013, the RBWM Internal Audit team re-presented the findings of report 39/11.

Following the publication of the Internal Audit report in November 2013 an internal investigation took place to establish the historic facts, repeat the reconciliation activity, carry out a full stock take and identify any actions needed to improve the security and control of laptops.

In summary, the findings of the investigation are:

1. *The figure of 388 reported in the 2011 related to:*
 - a. *laptops that could not be matched to records, and*
 - b. *records where no laptop was found;*
2. *The records used in the 2011 audit were incomplete because:*
 - a. *laptop purchases were decentralised, through various cost centres, and*
 - b. *there were no formal processes in place to track laptops;*
3. *A full stock take of laptops was not carried out as part of the Audit review in 2011;*

As a consequence of these findings, a number of actions were identified, specifically:

4. *A repeat of the 2011 reconciliation exercise was carried out using the records available from 2011, plus current records. This included a full stock take. The exercise resulted in 251 mismatches between records and laptops, compared to the original figure of 388;*
5. *A review of incidents regarding the loss or theft of laptops and tablet computers was carried out. Other than those already on record, no other incidents were reported;*
6. *The policies and processes relating to the procurement, distribution and disposal of laptops and tablet computers were written from scratch and published in April 2014;*

The key conclusions to this investigation are that:

7. *The total number of assets purchased, disposed of and/or otherwise unaccounted for cannot be ascertained with certainty given the lack of a complete set of records;*
8. *Existing processes to manage laptops were either inexistent or poor.*

As a consequence the Council has reported this subject formally to the Information Commissioners Office.

Since carrying out this investigation the Council has made significant improvements, in particular a complete refresh of the policies, guidelines and processes relating to the procurement and tracking of laptops. With these actions the Council intends to rectify these past issues.

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