INTERNAL AUDIT DIVISION

REPORT 2018/099

Audit of information and communications technology governance and security in the Regional Service Centre in Entebbe

Control enhancements and process improvements are required to strengthen governance, operations and security of information and communications technology

19 October 2018
Assignment No. AT2018/615/04

Audit of information and communications technology governance and security in the Regional Service Centre in Entebbe

EXECUTIVE SUMMARY

The Office of Internal Oversight Services (OIOS) conducted an audit of information and communications technology (ICT) governance and security in the Regional Service Centre in Entebbe (RSCE). The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes established by RSCE for the provision of ICT services. The audit covered the period from February to May 2018 and included the risk areas relating to: (i) risk management and strategic planning; (ii) project management capacity; and (iii) the management of ICT support systems.

The audit showed that control enhancements and process improvements are required to strengthen governance, operations and security of ICT at RSCE.

OIOS made 11 recommendations. To address issues identified in the audit, RSCE needed to:

- Define and implement ICT initiatives in alignment with the ICT regional governance framework and the strategic priorities of the supported missions and update its service level agreements to include details on ICT related services provided, service description and location;
- Formalize its asset management structure;
- Define terms of reference for coordination and management of movement control and receiving and inspection of ICT assets in coordination with the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo;
- Establish a regional project management board to oversee, track and make decisions on regional ICT projects and mechanisms for providing business-case analysis capabilities to effectively manage the Regional Information and Communications Technology Service initiatives and projects;
- Define and undertake an assessment for the implementation of the business relationship management framework;
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- Conduct a comprehensive review of the roles assigned in Umoja and establish a mechanism for enforcement and periodic review of user access provisioning/de-provisioning and segregation of roles; and
- Establish a record management and archiving mechanism for ICT information, implement procedures for classifying information, and define a retention schedule for records and their disposal.

RSCE accepted the recommendations and has initiated action to implement them.

CONTENTS

Audit of information and communications technology governance and security in the Regional Service Centre in Entebbe

I.   BACKGROUND

1.   The Office of Internal Oversight Services (OIOS) conducted an audit of information and communications technology (ICT) governance and security in the Regional Service Centre in Entebbe (RSCE).

2.   RSCE was established in July 2010 by General Assembly resolution 64/269 as one of the components of the global field support strategy as a shared service centre for missions in Africa to capitalize on potential synergies and economies of scale for delivering better and more timely support and for reducing waste, duplication and bottlenecks in logistical, administrative and financial support services.

3.   RSCE is co-located in the premises of the United Nations Support Base in Entebbe (UNESB) and is one of many tenants. UNESB is owned by the United Nations Stabilization Mission in the Democratic Republic of the Congo (MONUSCO).

4.   RSCE provides shared services through a series of service level agreements to seven peacekeeping missions and seven special political missions located in Africa and since November 2016, payroll services for national staff and individual uniformed personnel in missions based in Africa. These services include transactional elements of human resources, finance, transportation, movement control, personnel and cargo transport, and ICT support.

5.   The Regional Information and Communications Technology Service (RICTS) was established by RSCE in 2013 with a mandate to provide effective, efficient and timely non-location-dependent ICT support services to client missions based on: (a) eliminating duplication of effort; (b) achieving economies of scale and scope; and (c) removing disparities of service across missions through standardization.

6.   The Information and Communications Technology Division (ICTD) of the Department of Field Support (DFS) provides global ICT technical strategy, policy and oversight for all peacekeeping missions. RICTS provides regional oversight as well as implementation coordination of the strategies and policies established by DFS/ICTD.

7.   The RSCE budget for 2017/18 amounted to $37.2 million and provided for 134 international staff, 297 national staff, and eight United Nations Volunteers. The RICTS budget for 2017/18 (included in the RSCE budget) was $2.9 million and provided for 13 international staff and nine national staff.

8.   Comments provided by RSCE are incorporated in italics.

II.   AUDIT OBJECTIVE, SCOPE AND METHODOLOGY

9.   The objective of the audit was to assess the adequacy and effectiveness of governance, risk management and control processes established by RSCE for the provision of ICT services.

10.   This audit was included in the 2018 risk-based work plan of OIOS due to the risk that weaknesses in provision of ICT services could adversely affect the operations of the supported missions.

11.   OIOS conducted this audit from February 2018 to May 2018. The audit covered the period from May 2013 to May 2018. Based on an activity-level risk assessment, the audit covered higher and medium risks areas in (i) risk management and strategic planning; (ii) project management capacity; and (iii) the management of ICT support systems.

12.   The audit methodology included: (a) interviews with key personnel; (b) reviews of relevant documentation; (c) analytical reviews of data; (d) testing the effectiveness of the governance arrangement; project management, business activities, and user access procedures; and (e) a site visit to the security control rooms.

13.   The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

III.   AUDIT RESULTS

A.   Risk management and strategic planning

The ICT governance framework needed to be strengthened

14.   The professional standards "Control Objectives for Information and Related Technology" (COBIT) recommends that the ICT organization should create a strategic plan that defines, in cooperation with relevant stakeholders, how ICT goals would contribute to the organization's strategic objectives and how ICT would support ICT-enabled programmes, ICT services and ICT assets. The ICT strategy should be complemented by an ICT governance framework that defines the distribution of the decision-making rights and responsibilities among different offices in the organization and establishes procedures and mechanisms for implementing and monitoring the strategic decisions.

15.   In the "ICTS regional governance framework for East Africa Missions" of July 2013, RICTS had documented the rationale and organizational framework for the regional governance of ICT services for all African missions, which also defined its role. OIOS noted the following gaps with the governance mechanisms for which control enhancements were needed:

(a)   RICTS had not implemented some of the envisioned roles for potential cost-savings, such as deploying capacity for regional project governance and development of business case analysis capabilities for the region.

(b)   The RICTS operational workplan did not reflect the strategic priorities of RSCE.

(c)   There was no regional ICT review committee incorporating the functional stakeholders, thereby limiting the effectiveness of the mandated oversight role of RICTS.

(d)   The RICTS staffing table was not formally defined, as such, the tasks and duties performed by staff members were not aligned with their job descriptions. For example, there were three posts in the RICTS staffing table for telecommunications officer. The incumbents did not perform those roles, but were instead assigned different roles of financial administrator, regional project management, and regional system implementation support respectively.

(e)   RSCE had service level agreements with the supported missions. However, the agreements lacked sufficient detail on the service description and location of where services were to be rendered to these missions and did not provide sufficient detail on the types of ICT services to be provided. The agreements

focused on functional support such as processing of education grant, regional training and check-in/check-out.

16.   An inadequately defined ICT governance framework may cause ineffective allocation and management of ICT resources and failure to support the Organization's objectives and priorities.

> **(1) RSCE should: (i) define and implement ICT initiatives in alignment with the ICT regional governance framework and the strategic priorities of the supported missions; (ii) formalize the RICTS staffing table and align roles to job descriptions; and (iii) update its service level agreements to include details on ICT related services provided, service description and location.**
>
> *RSCE accepted recommendation 1 and stated that: (i) the ICT regional governance framework is under review and will be updated in line with the management reforms; (ii) the RICTS staffing table is in accordance with the approved budget and the terms of reference for the review are under development; and (iii) the service level agreements are pending final approval from the Chief, RSCE, the Chief, RICTS and the Chiefs of Field Technology Sections in the missions.* Recommendation 1 remains open pending receipt of evidence of: (i) implementation of the ICT regional governance framework; (ii) finalization of the terms of reference for RICTS; and (iii) updating of service level agreements.

Need to strengthen ICT asset management procedures

17.   The ICT assets lifecycle should include planning, acquisition, maintenance and disposal of ICT assets over their useful life. Planning ICT asset acquisitions should also incorporate a lifecycle approach that allows for risk-based decisions on when to replace an ICT asset.

18.   OIOS review of the ICT equipment and assets managed by RSCE identified the following gaps:

(a)   RSCE's inventory was mixed with the inventories of four other supported missions as well as the inventories of the Regional Ombudsman, the Regional Procurement Office, and OIOS. Insufficient information was available on these assets to enable clear identification and valuation of assets belonging to each entity.

(b)   MONUSCO, as owners of UNESB, was responsible for regional movement control, receiving and inspection of equipment and assets in general. However, there were no clear terms of reference defining the required coordination mechanisms between MONUSCO and RSCE to facilitate effective movement control and the receiving and inspection of ICT assets. The risks arising from this gap were increased by the lack of a formal structure and oversight mechanism for managing RSCE assets.

> **(2) RSCE should formalize an asset management structure and ensure that its asset records have the required information to facilitate identification of the entity to which they belong.**
>
> *RSCE accepted recommendation 2 and stated that in its 2018/19 budget submission, the proposal to establish an Asset and Property Management Unit was approved, and efforts are underway to ensure its full staffing complement. RSCE further stated that during the 2017/18 period five staff members from RICTS were temporarily assigned to perform the asset functions for RSCE and have worked with client missions and United Nations Headquarters to ensure that all RSCE assets were recorded in the RSCE fund in Umoja with the appropriate information to support International Public Sector Accounting Standards financial accounting and reporting requirements for the fiscal year ended 30 June 2018.* Recommendation 2 remains open pending receipt of evidence of formalizing an asset management structure and the required information on ICT assets to facilitate identification of the entity to which they belong.
>
> **(3) RSCE, in coordination with MONUSCO, should define terms of reference for coordination and management of movement control and the receiving and inspection of ICT assets.**
>
> *RSCE accepted recommendation 3 and stated that it performs administrative functions for MONUSCO's UNESB and MONUSCO reciprocates by performing functions such as movement control and receiving and inspection of goods for RSCE. The division of roles will be further detailed in the operational level agreement to be revised with MONUSCO during the 2018/19 period.* Recommendation 3 remains open pending receipt of evidence that terms of reference for coordination and management of movement control and receiving and inspection of ICT assets have been defined.

19.   The useful life of various categories of assets is defined in the United Nations policy framework for the International Public-Sector Accounting Standards. RSCE considered assets that provide critical support for communications, security and data storage to be of high-risk. These were computer servers, network routers, server racks, network switches, satellite modems, network security systems, and data storage.

20.   As of February 2018, RSCE had a large number of high-risk assets in use (267 assets) and stock (192 assets) past their useful life. RSCE had not conducted a risk assessment to determine whether the assets will continue in use, or will be written off. The continued use of high-risk ICT assets beyond their useful life could lead to disruption and security breaches of critical ICT services. Since this issue is being addressed globally through a separate OIOS audit (Report 2018/039) on acquisition and management of ICT assets in DFS, OIOS did not make a recommendation in this area.

21.   In accordance with the ICTS regional governance framework for East Africa missions, RICTS conducted a cost-saving and cost-avoidance study in 2013/14 to reassess asset retention policies with the possibility of extending the life cycle of certain ICT assets (e.g., the mainstay 3.9m trailer-mounted very small aperture terminal dishes). OIOS noted that the four largest missions in the region had a combined total of 115 dishes and the reassessment of their life cycle from seven to twelve years resulted in an estimated cost saving of $3.2 million. However, RICTS had not extended the study to include other like assets that may benefit from similar extension of their current life expectancy. Inadequate asset management procedures for managing the life cycle of ICT assets could result in service disruption and breach of security.

22.   In view of the impending changes in the organization structure at United Nations Headquarters, the responsibility to establish a formal mechanism for re-classification of eligible information technology and

communication items with a view to extending their life cycle as appropriate to achieve cost savings, is pending review. Therefore, OIOS did not make a recommendation in this area.

Delays in disposal of written off assets

23.   According to ST/AI/2015/4 on management of property, items of tangible property that were surplus to operational requirements, unserviceable or obsolete should be promptly identified, written off and disposed of in accordance with Financial Regulations and Rules. In addition, the DFS directive on 'Property Management for the Financial Year 2017' required missions to set up a dedicated team to deal with the backlog in asset write-off and disposal.

24.   OIOS reviewed RSCE assets for the period July 2016 to February 2018 and observed that approximately 240 assets tagged for write-off were awaiting to be processed in Umoja for long periods. This also led to delays in approval by the local property survey board as the list of assets for disposal were not presented timely. Since this issue is being addressed globally through a separate OIOS audit (Report 2018/039) on acquisition and management of ICT assets in DFS, OIOS did not make a recommendation in this area.

B.   Project management capacity

Need to strengthen project management capacity

25.   ICT projects should be managed with a methodology that provides a structured and consistent approach for the development, review and approval of ICT initiatives.

26.   It was envisaged that a regional project management board will be created in RSCE to exercise oversight, track and enforce pan-regional ICTS projects centrally, and that regional missions will benefit from time efficiencies gained as they will have significantly less project management work load to deal with on top of already overstretched operational demands. However, there was no regional project management board established to oversee, track and make decisions on regional ICT projects.

27.   The Project Management and Analysis Unit (PMAU) in RSCE was setup to provide oversight and guidance for the execution of projects, in particular business-case analysis capabilities in the management of regional ICTS initiatives and projects. At the inception of RSCE, six cost-saving regional programmes/projects were identified for RSCE to manage. With the exception of the telephone billing project, the PMAU had not conducted any project management oversight for any of the projects across the region.

28.   The gaps in control regarding project management exposed RSCE and the supported missions to the risk of business/stakeholder expectations not being met, and lack of oversight and consistency in managing projects and reporting on their performance.

> **(4) RSCE should establish: (i) a regional project management board to oversee, track and make decisions on regional ICT projects; and (ii) mechanisms for providing business-case analysis capabilities to effectively manage regional ICTS initiatives and projects.**
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> *RSCE accepted recommendation 4 and stated that: (i) terms of reference for a Regional Technology and Innovation Board (to oversee, track and make decisions on regional ICT projects) had been developed and were pending approval from the Chief, RICTS before endorsement by the Chief, RSCE; and (ii) the Regional Project Management Unit in RICTS had the mandate and responsibility of providing project management and business analysis capabilities for effectively managing RICTS initiatives and projects.* Recommendation 4 remains open pending receipt of evidence of establishment of: (i) a Regional Project Management Board to oversee, track and make decisions on regional ICT projects; and (ii) mechanisms for providing business-case analysis capabilities to effectively manage regional ICTS initiatives and projects.

Need to define and implement business relationship management framework

29.   Business Relationship Management (BRM) is part of the ITIL (Information Technology Infrastructure Library) framework's service strategy phase. It deals with anticipating current and future customer needs. A successfully implemented BRM function will establish a joint ICT and business partnership that would continually create and shape demand for value-added ICT capabilities by attracting and stimulating the business need for them.

30.   DFS identified the need for a BRM function across the missions in 2017/18 to manage a growing demand for ICT business enablement capabilities. However, RSCE had not defined a plan for implementation or undertaken an assessment of the supplier capacity (service providers) and service demands (business requirements). An ineffective BRM process may delay the realization of the desired benefits from anticipating current and future customer needs.

> **(5) RSCE should define and undertake an assessment for the implementation of the business relationship management framework.**
>
> *RSCE accepted recommendation 5 and stated that to facilitate the implementation of a business relationship management approach and establish a framework, it was recognized that a comprehensive learning programme needed to be delivered to the focal points in the Field Technology Sections in the missions, as well as to the Chiefs and other managers of the Field Technology Sections. A "Technology and Innovation Review Committee" was being conceptualized, which would function as a formal body to facilitate collaboration and coordination between various mission stakeholders related to technology business solutions. The agenda for the regional ICT leadership conference included a United Nations mission-wide business relationship management framework and to develop a timeline for adoption of its principles and framework.* Recommendation 5 remains open pending receipt of evidence of defining and undertaking an assessment for the implementation of the BRM framework.

C.   Management of ICT support systems

Need to strengthen ICT security procedures and mechanisms

31.   Organizations should define information security policies and procedures and assign specific responsibilities for their operations, monitoring, and compliance.

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Need to strengthen user role and account management in Umoja

41.   Access to Umoja must be restricted to authorized staff members in accordance with their functional roles and responsibilities. Access should also be periodically reviewed and monitored for proper use.

42.   RSCE had dedicated security liaison officers responsible for providing, modifying and removing user access to Umoja based on users' roles and responsibilities. The Department of Management supported these officers through ongoing interactions, guidelines and training. However, OIOS noted the following gaps for which control enhancements were needed:

(a)   The organizational structure mapped in Umoja was not aligned with the approved budget (A/71/835) for RSCE (i.e., section/position names or organizational hierarchy). This needed to be streamlined to reflect the approved structure.

(b)   Gaps in the organizational structure in Umoja also caused the reporting lines for time and attendance to be incorrectly mapped. Staff members could only be assigned one primary time manager at any time in the organizational hierarchy. However, staff members were assigned multiple primary time managers, which was not in line with the organizational hierarchy and created confusion in functional reporting relationships;

(c)   There were instances of users having incompatible roles.

(d)   There were instances of staff retaining Umoja enterprise roles and functions associated with other duty stations because the provisioning or de-provisioning process had not been completed due to one of the following: (i) roles were assigned but the related finance workflow table or human resources workflow table were not configured/updated; and (ii) roles were removed, but related workflow tables were not configured/updated.

43.   The lack of monitoring and periodic review of assignment of roles and user access provisioning in Umoja may expose the Organization to risks of unauthorized actions and irregularities.

(10) RSCE should: (i) ensure that organizational management in Umoja reflects the approved organizational structure and all users are correctly mapped; and (ii) conduct a comprehensive review of roles assigned in Umoja and establish mechanisms to control user access provisioning/de-provisioning and segregation of roles.

RSCE accepted recommendation 10 and stated that: (i) the staffing changes as approved in the 2018/19 budget have been submitted to the Office of Programme Planning, Budget and Accounts for appropriate action in Umoja; and (ii) the Systems, Quality Management and Performance Reporting Unit exercises control over provisioning and de-provisioning of Umoja roles. RSCE further stated that the de-provisioning of roles is part of the check-out process and these are periodically reviewed and those not needed are de-provisioned. Recommendation 10 remains open pending receipt of evidence that organizational management in Umoja reflects the approved organizational structure and mechanisms have been established to control user access provisioning/de-provisioning and segregation of roles.

ICT record management and archiving needed to be strengthened

44.   The Secretary-General's bulletin ST/SGB/2007/5 on 'Record-keeping and the management of United Nations archives' provided the rules and procedures to be followed in the creation, management and disposition of records, electronic records, archives and non-current records of the United Nations. Also, the OICT technical procedure on the retention schedule for ICT records requires that ICT records are adequately protected and maintained according to their useful business life in accordance with United Nations applicable statutes, regulations and rules.

45.   RSCE had not implemented procedures for classifying information in accordance with its sensitivity and had not documented a retention schedule for its information. There was no procedure for migrating information held on the shared drives to a document management system and to update the information held in the document management system. There was no defined taxonomy to facilitate a systematic structure for the document management system.

46.   This condition was due to lack of established mechanisms for record management which may result in loss of business-critical knowledge and records.

(11) RSCE should: (i) establish a record management and archiving mechanism for ICT information, implement procedures for classifying information, and define a retention schedule for records and their disposal; and (ii) document a plan for the timely migration and update of information in the document management system.

RSCE accepted recommendation 11 and stated that the recommendation has been implemented. RSCE further stated that it is working to establish a record management and archiving mechanism for ICT information. RSCE provided documentation in the form of a standard operating procedure and status report on peacekeeping electronic document management framework to indicate that it had implemented part of the recommendation. However, the documentation provided did not demonstrate that migration and updating of information in the document management system was done in accordance with the approved structure and classification. Therefore, recommendation 11 remains open pending receipt of evidence showing that it has been fully implemented.

47.   The international ICT security management standard ISO/IEC 27001 recommends the documentation of a policy that should define the registration and de-registration of mobile devices, business requirements for allocation of mobile devices, and when it is appropriate to use it.

48.   There was a lack of harmonized guidelines, procedures and monitoring mechanisms for RCSE and the supported missions on commercial communication assets/equipment defining the eligibility and assignment of such devices. Furthermore, in cases of damage or loss, there was no consistent procedure across missions for recovery of costs, procedures for verification of incurred charges, and standardized guidance for data usage on mobile phones or roaming charges.

49.   Furthermore, there was no monitoring protocol with the supported missions for reconciliation of payments, especially for cash payers, as the supported missions did not consistently provide receipts for cash payments to record these transactions in the eBilling system.

50.   Gaps in regional telephone billing procedures may lead to inefficient use of resources, non-recovery of costs, and subject the Organization to financial and reputational risks. Since this issue is being addressed globally through a separate OIOS audit (Report 2018/072) on acquisition and management of ICT assets in OICT, OIOS did not make a recommendation in this area.

IV.   ACKNOWLEDGEMENT

51.   OIOS wishes to express its appreciation to the management and staff of RSCE for the assistance and cooperation extended to the auditors during this assignment.

(*Signed*) Eleanor T. Burns
Director, Internal Audit Division
Office of Internal Oversight Services

STATUS OF AUDIT RECOMMENDATIONS

Audit of information and communications technology governance and security in the Regional Service Centre in Entebbe

Rec. no.	Recommendation	Critical[1]/ Important[2]	C/ O[3]	Actions needed to close recommendation	Implementation date[4]
1	RSCE should: (i) define and implement ICT initiatives in alignment with the ICT regional governance framework and the strategic priorities of the supported missions; (ii) formalize the RICTS staffing table and align roles to job descriptions; and (iii) update its service level agreements to include details on ICT related services provided, service description and location.	Important	O	Receipt of evidence of: (i) implementation of the ICT regional governance framework; (ii) finalization of the terms of reference for RICTS; and (iii) updating of service level agreements.	30 June 2019
2	RSCE should formalize an asset management structure and ensure that its asset records have the required information to facilitate identification of the entity to which they belong.	Important	O	Receipt of evidence of formalizing an asset management structure and the required information on ICT assets to facilitate identification of the entity to which they belong.	30 June 2019
3	RSCE, in coordination with MONUSCO, should define terms of reference for coordination and management of movement control and the receiving and inspection of ICT assets.	Important	O	Receipt of evidence that terms of reference for coordination and management of movement control and receiving and inspection of ICT assets have been defined.	30 September 2019
4	RSCE should establish: (i) a regional project management board to oversee, track and make decisions on regional ICT projects; and (ii) mechanisms for providing business-case analysis capabilities to effectively manage regional ICTS initiatives and projects.	Important	O	Receipt of evidence of establishment of: (i) a Regional Project Management Board to oversee, track and make decisions on regional ICT projects; and (ii) mechanism for providing business-case analysis capabilities to effectively manage regional ICTS initiatives and projects.	30 June 2019
5	RSCE should define and undertake an assessment for the implementation of the business relationship management framework.	Important	O	Receipt of evidence of defining and undertaking an assessment for the implementation of the business relationship management framework.	30 September 2019

[1] Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

[2] Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

[3] C = closed, O = open

[4] Date provided by RSCE in response to recommendations.

STATUS OF AUDIT RECOMMENDATIONS

Audit of information and communications technology governance and security in the Regional Service Centre in Entebbe

Rec. no.	Recommendation	Critical[1]/ Important[2]	C/ O[3]	Actions needed to close recommendation	Implementation date[4]
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10	RSCE should: (i) ensure that organizational management in Umoja reflects the approved organizational structure to ensure that all users are correctly mapped; and (ii) conduct a comprehensive review of roles assigned in Umoja and establish mechanisms to control user access provisioning/de-provisioning and segregation of roles.	Important	O	Receipt of evidence that: organizational management in Umoja reflects the approved organizational structure; and mechanisms have been established to control user access provisioning/de-provisioning and segregation of roles.	30 September 2019
11	RSCE should: (i) establish a record management and archiving mechanism for ICT information, implement procedures for classifying information, and define a retention schedule for records and their disposal; and (ii) document a plan for the timely migration and update of information in the document management system.	Important	O	Receipt of evidence demonstrating full implementation of the recommendation.	30 September 2019

APPENDIX I

Management Response

United Nations
INTEROFFICE MEMORANDUM

Nations Unies
MEMORANDUM INTERIEUR

Immediate

TO: Mr. Gurpur Kumar, Deputy Director, Internal Audit Division, OIOS

DATE: SEP 2 7 2018

REFERENCE: 2018.UNHQ.AR-BOI.MEMO.111829.2

THROUGH:
S/C DE:

FROM: Lisa Buttenheim, Assistant Secretary-General
DE: for Field Support

SUBJECT: **Draft report on an audit of information and communications technology governance**
OBJET: **and security in the Regional Service Centre in Entebbe (Assignment No. AT2018/616/01)**

1. I refer to your memorandum, dated 10 September 2018, regarding the above-mentioned audit. We note that OIOS has taken into account our comments provided earlier. Please note that the RSCE does not have any further comments on the findings in the report. We have, however, updated Appendix I to reflect our comments and the individual responsible for the implementation of the recommendations with the deadline.

2. Thank you for the opportunity to comment on the draft report. We stand ready to provide any further information that may be required.

CC: Ms. Cynthia Avena-Castillo

Management Response

Audit of information and communications technology governance and security in the Regional Service Centre in Entebbe

Rec. no.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
1	RSCE should: (i) define and implement ICT initiatives in alignment with the ICT regional governance framework and the strategic priorities of the supported missions; (ii) formalize the RICTS staffing table and align roles to job descriptions; and (iii) update its service level agreements to include details on ICT related services provided, service description and location.	Important	Yes	Chief RSCE	Second quarter of 2019	The Regional Service Center Entebbe's (RSCE) comments are reflected in the report.
2	RSCE should formalize an asset management structure and ensure that its asset records have the required information to facilitate identification of the entity to which they belong.	Important	Yes	Chief RSCE	Second quarter of 2019	The RSCE's comments are reflected in the report.
3	RSCE, in coordination with MONUSCO, should define terms of reference for coordination and management of movement control and the receiving and inspection of ICT assets.	Important	Yes	Chief RSCE	Third quarter of 2019	The RSCE's comments are reflected in the report.
4	RSCE should establish: (i) a regional project management board to oversee, track and make decisions on regional ICT projects; and (ii) mechanisms for providing business-case analysis capabilities to effectively manage regional ICTS initiatives and projects.	Important	Yes	Chief RSCE	Second quarter of 2019	The RSCE's comments are reflected in the report.
5	RSCE should define and undertake an assessment for the implementation of the	Important	Yes	Chief RSCE	Third quarter of 2019	The RSCE's comments are reflected in the report.

[1] Critical recommendations address critical and/or pervasive deficiencies in governance, risk management or control processes, such that reasonable assurance cannot be provided with regard to the achievement of control and/or business objectives under review.

[2] Important recommendations address important (but not critical or pervasive) deficiencies in governance, risk management or control processes, such that reasonable assurance may be at risk regarding the achievement of control and/or business objectives under review.

Management Response

Audit of information and communications technology governance and security in the Regional Service Centre in Entebbe

Rec. no.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	business relationship management framework.					
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10	RSCE should: (i) ensure that organizational management in Umoja reflects the approved organizational structure to ensure that all users are correctly mapped; and (ii) conduct a comprehensive review of roles assigned in	Important	Yes	Chief RSCE	Third quarter of 2019	The RSCE's comments are reflected in the report.

Management Response

Audit of information and communications technology governance and security in the Regional Service Centre in Entebbe

Rec. no.	Recommendation	Critical[1]/ Important[2]	Accepted? (Yes/No)	Title of responsible individual	Implementation date	Client comments
	Umoja and establish mechanisms to control user access provisioning/de-provisioning and segregation of roles.					
11	RSCE should: (i) establish a record management and archiving mechanism for ICT information, implement procedures for classifying information, and define a retention schedule for records and their disposal; and (ii) document a plan for the timely migration and update of information in the document management system.	Important	Yes	Chief RSCE	Third quarter of 2019	The RSCE's comments are reflected in the report.

United Nations   **Nations Unies**

INTEROFFICE MEMORANDUM   MEMORANDUM INTERIEUR

TO:	Mr. Gurpur Kumar, Deputy Director, Internal Audit Division	DATE:	4 October 2018
A:	Office of Internal Oversight Services		

THROUGH: Olga de la Piedra, Director
S/C DE: Office of the Under-Secretary-General for Management

FROM: Mario Baez, Chief, Policy and Oversight Coordination Service
DE: Office of the Under-Secretary-General for Management

SUBJECT: **Draft report on an audit of information and communications technology governance and**
OBJET: **security in the Regional Service Centre in Entebbe (Assignment No. AT2018/616/01)**

1.   We refer to your memorandum dated 20 September 2018 regarding the above-mentioned subject and provide you with the comments from the Department of Management below.

3.   The procedures should be "aligned with guidance provided by OICT". See: https://iseek.un.org/system/files/oict_guideline_for_information_media_sanitization.pdf

DM-2018-00590
8-Oct-2018

4.   Elements of this recommendation will be performed in coordination with UNDSS. The failover mechanism must also be in compliance with OICT guidelines.

Recommendation 10

RSCE should: (i) ensure that organizational management in Umoja reflects the approved organizational structure to ensure that all users are correctly mapped; and (ii) conduct a comprehensive review of roles assigned in Umoja and establish mechanisms to control user access provisioning/de-provisioning and segregation of roles.

5.   The responsibility for user mapping is that of the user department, namely, RSCE and not Umoja.

6.   Thank you for providing us with the opportunity to comment on the detailed audit results.

cc: Ms. Beagle