



LHS

Configuration Management Horror Stories From An IT Auditor

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Themes

- The IT Audit role
- The CM Requirement
- The Stories
- Some Solutions?



Positioning

- IT Governance (IT management)
- IT Assurance (IT audit)



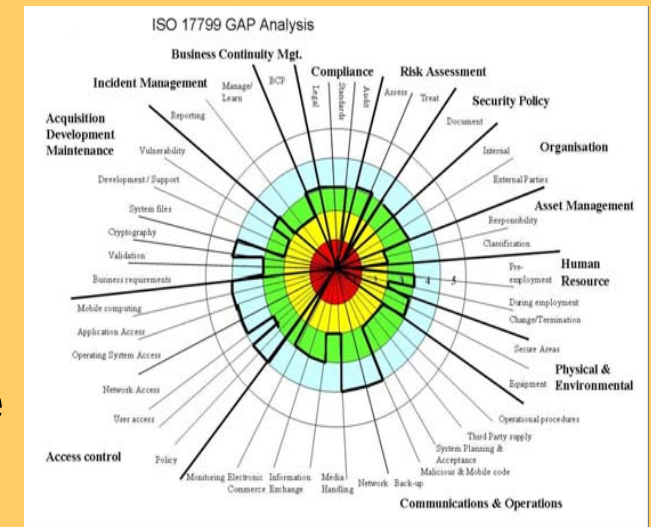
The Real Role of IT Audit

- Provide ***assurance*** that IT is well controlled, is adequately performing and is providing value for money
 - Conformance
 - Performance



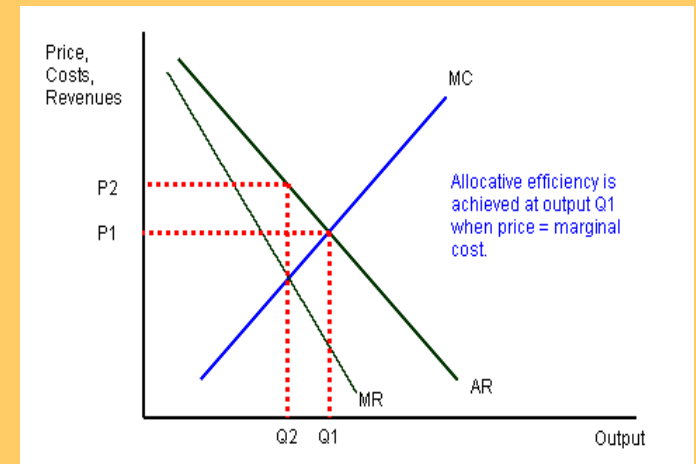
IT Conformance Concepts

- Confidentiality
 - Data, information and services are only available to those who should have them
- Integrity
 - Data and processing is complete, accurate and reliable
- Availability
 - Data, information and services are available at the time of need to those who should have them
- Compliance
 - All processing will comply with relevant statutory and regulatory requirements



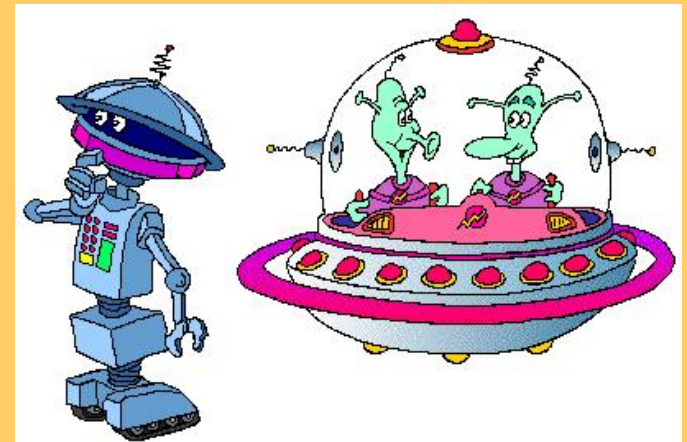
IT Performance Concepts

- Efficiency
 - Ratio of inputs to outputs
- Effectiveness
 - Doing the right thing correctly
- Economy
 - Ratio of costs to deliverables

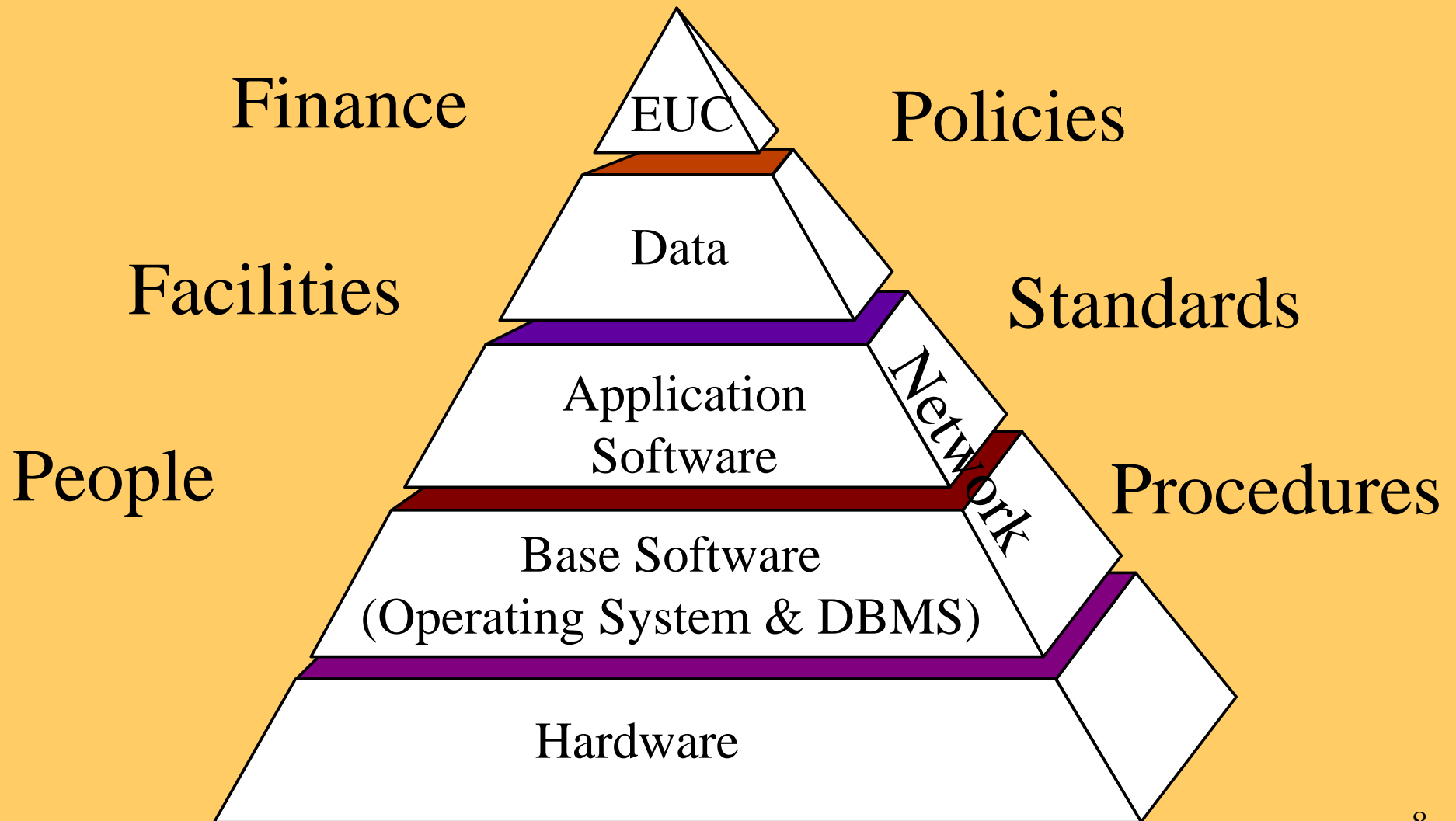


Co-active Auditing

- Audit & IT work together
- IT understand the risks (hopefully)
- Audit understand the controls (hopefully)
- Working together provides a synergy
- Problems are identified and IT propose any required solutions

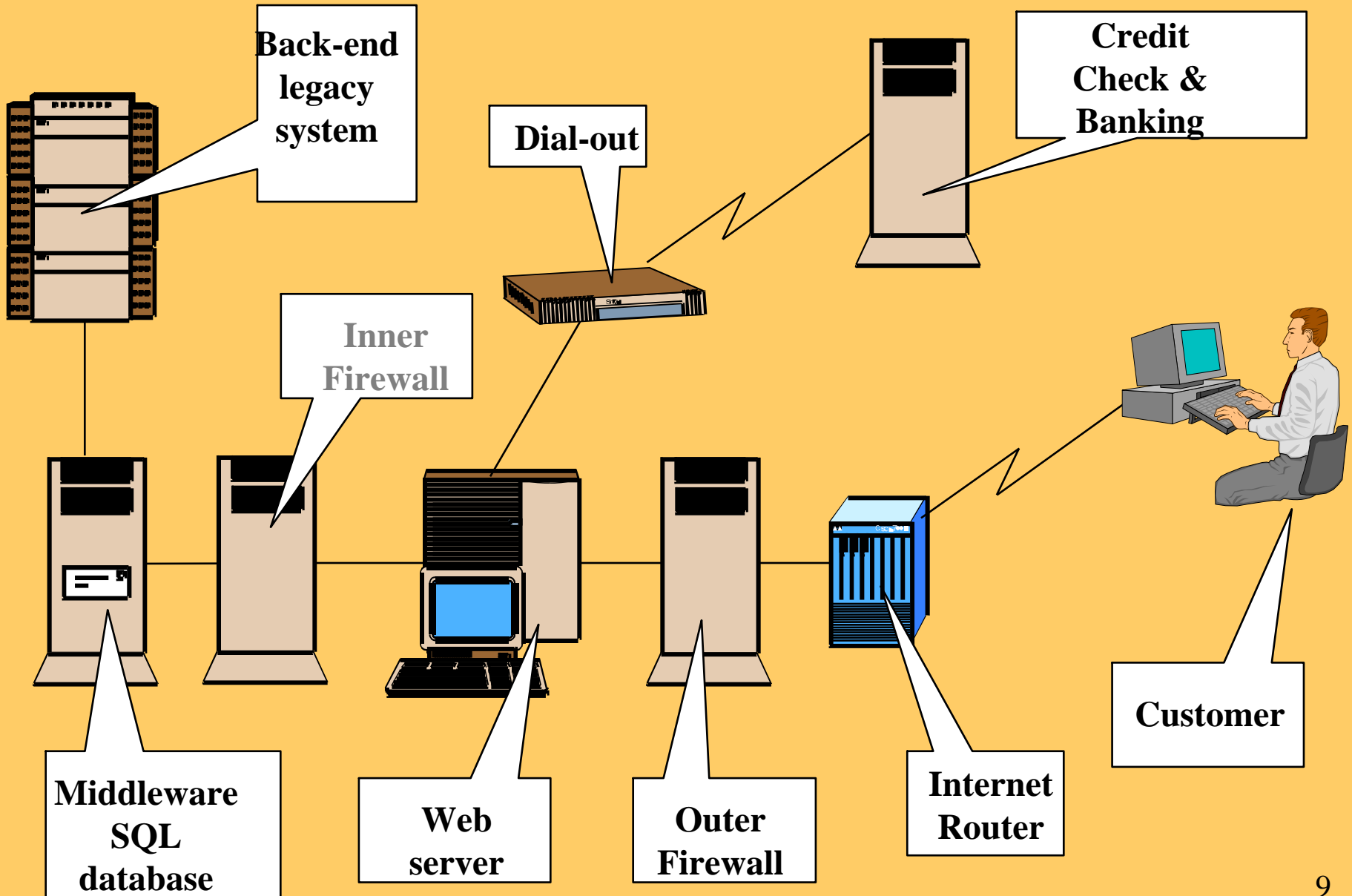


Simple IT Infrastructure



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Extended Infrastructure

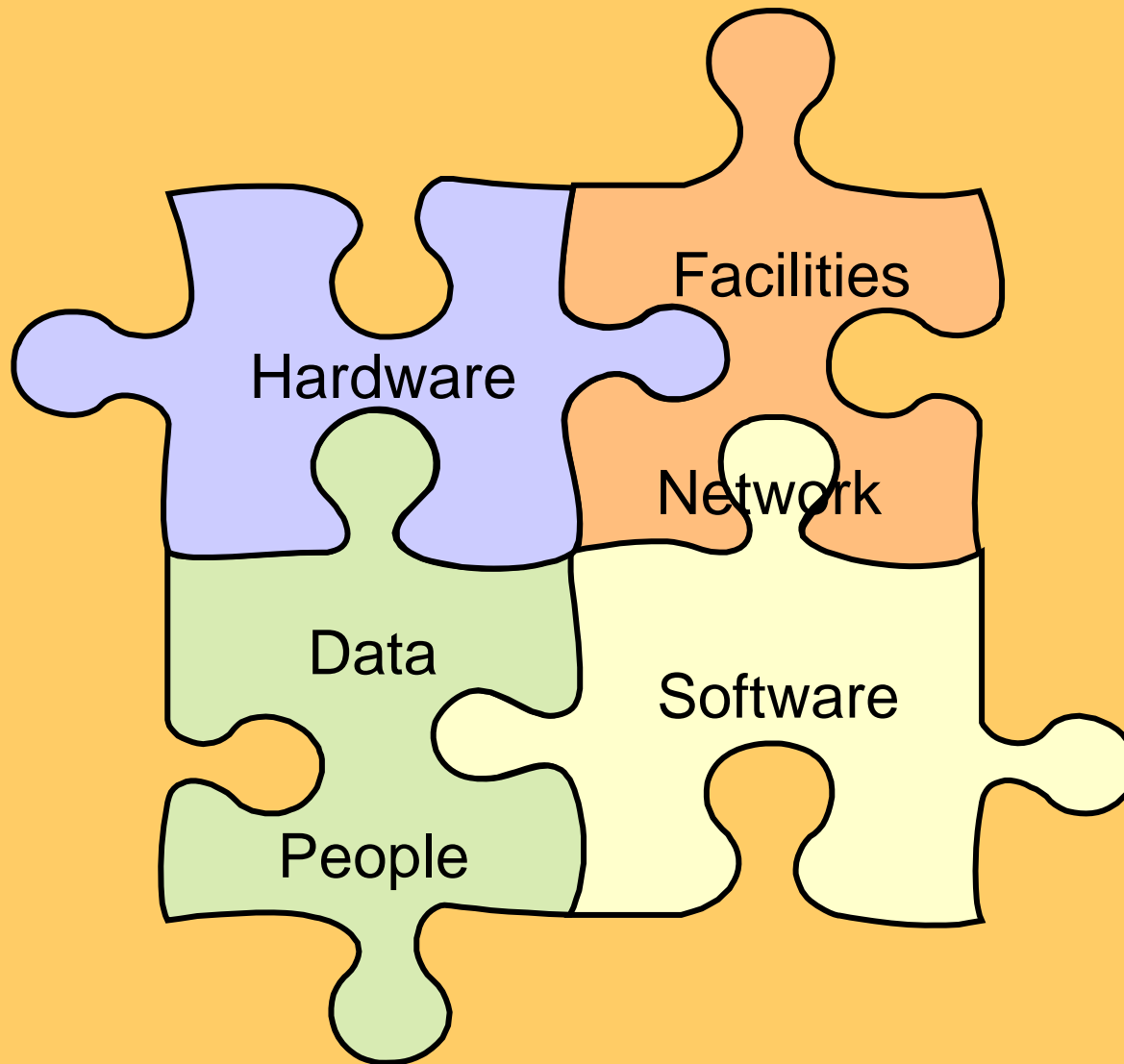


Configuration Management

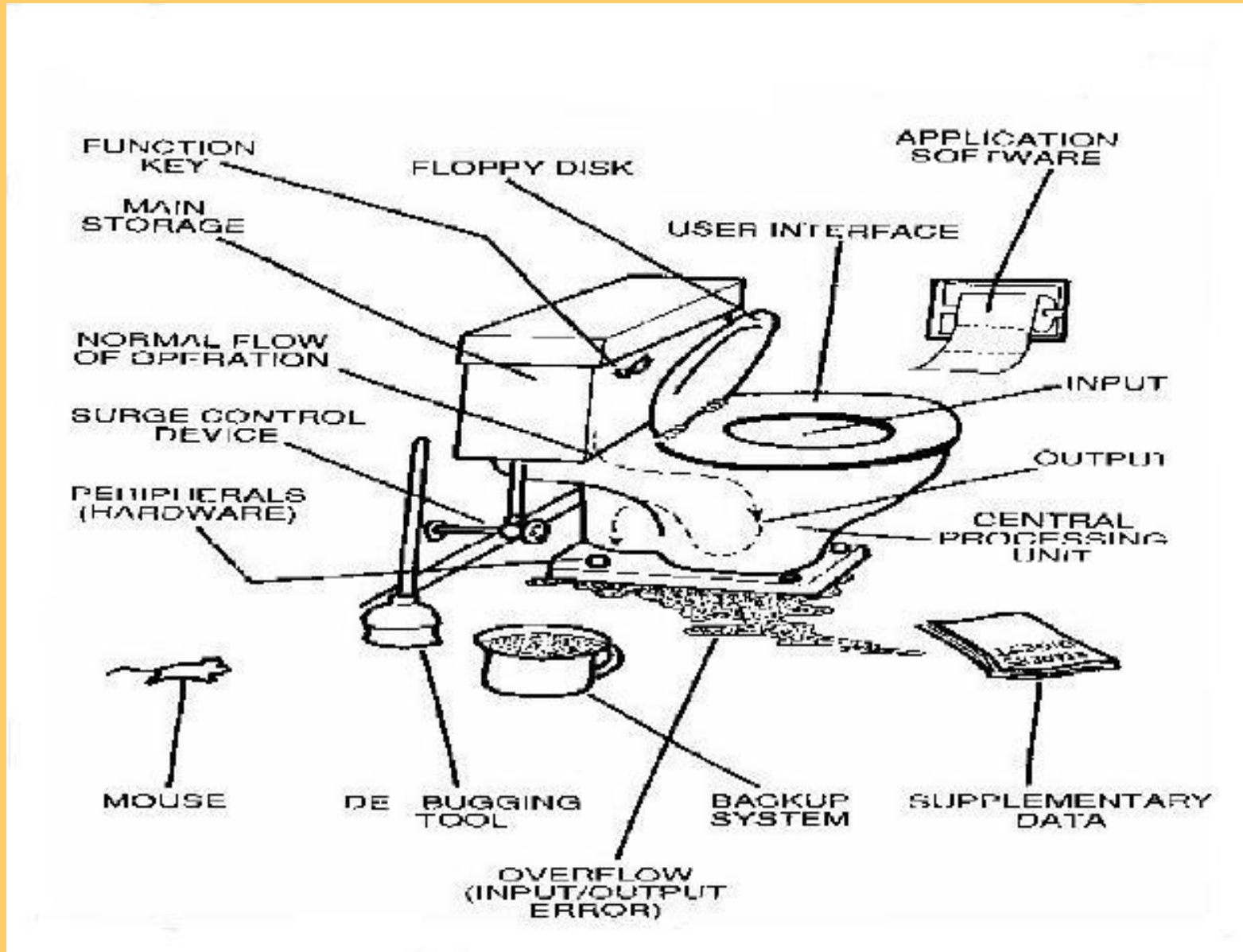
Configuration management is the detailed recording and updating of information that describes an enterprise's computer systems and networks, including all hardware and software components



Joined-up CM



In Reality



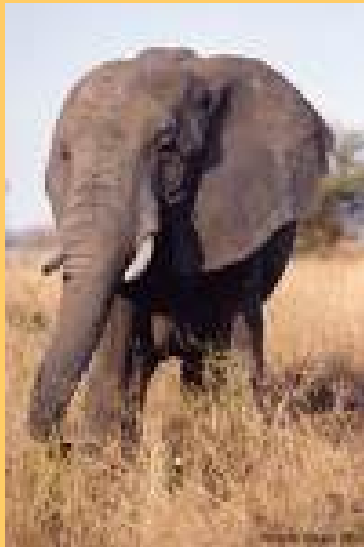
The Stories

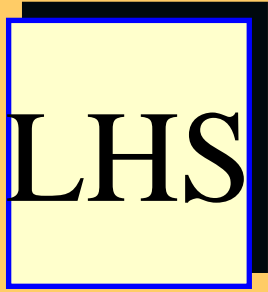
- Inadequate sizing
- The software licences that didn't add up
- The overworked server
- The disk space that kept disappearing
- The poor response times
- $1 \div 1 = ?$
- Non-scalability
- The QA team that disappeared



Inadequate Sizing

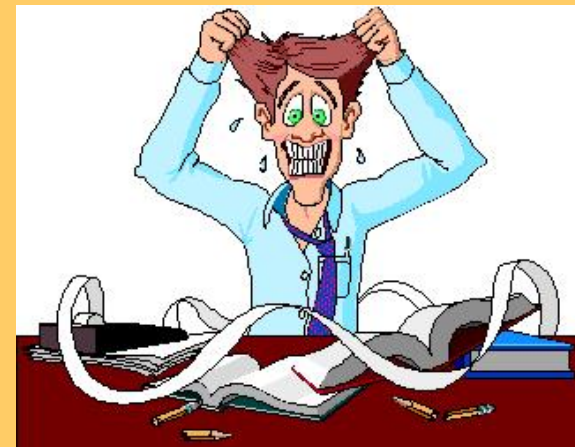
- New document management application
- Going to run on the current infrastructure
- Must socialise with existing applications





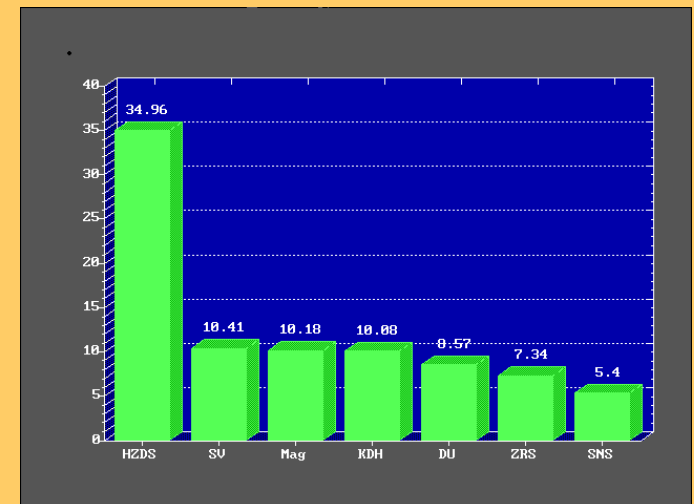
The Software Licences That Didn't Add Up

- Copyright, Designs & Patents Act
- Software must be paid for
- Licences <> Software <> Payments



The Overworked Server

- 450 servers in the farm
- One server appeared to be originating more transactions than was reasonable
- Server compromised?



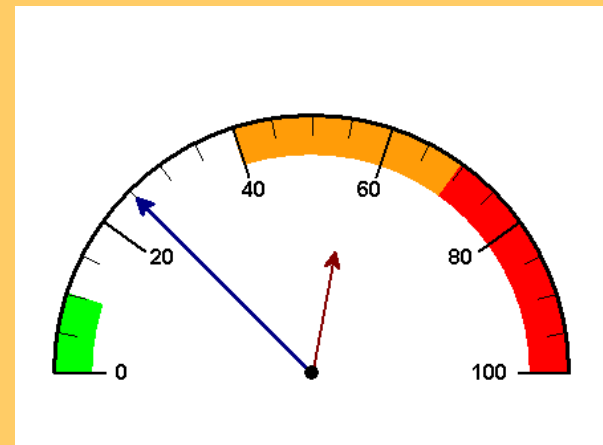
The Disk Space That Kept Disappearing

- Free disk space kept running out
- Company response was to ask users to delete unwanted files
- One night the system locked



The Poor Response Times

- SLA in place
- Server in London
- Honk Kong complained of response times not meeting the SLA



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$$1 \div 1 = ?$$

- Re-performing a calculation (using a spreadsheet) did not agree with the result produced by the application
- Closer examination of the application's calculation showed $1 \div 1 = .0999666$
- What was the cause?



Non-Scalability

- New store loyalty card
- Customers urged to register on-line
- Web site collapsed



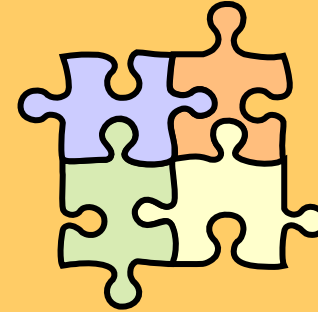
The QA Team That Disappeared

- Large development department
- Standard testing process
 - Unit
 - System
 - User
- 2 person QA team



Solutions?

- A detailed CMDB is essential



- Doing the sums is really important

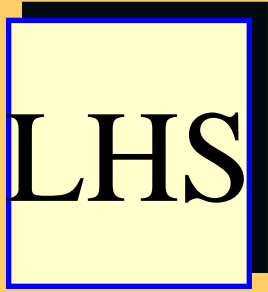


- Effective change management is crucial



To Be Avoided





Questions?

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