



**Report**  
**Staff Report**  
The Corporation of the City of Brampton  
**10/7/2024**

**Date:** 2024-09-20

**Subject:** **IT Asset Management Audit Report**

**Contact:** Claire Fang Mu, Director, Internal Audit

**Report number:** CAO's Office-2024-789

**RECOMMENDATIONS:**

1. That the report to the Audit Committee Meeting of October 7, 2024, re: **IT Asset Management Audit Report**, be received.

**OVERVIEW:**

- The audit was conducted to assess the City's IT asset management policy framework, processes, practices, and tools for identifying, documenting, tracking, and monitoring hardware assets throughout their lifecycles.
- The IT Division has established the technology infrastructure for managing IT assets and continues to integrate relevant systems with IT asset repository.
- The audit has been rated as "**Significant Improvement Required**" due to the absence of an IT asset management governance framework, gaps in access card reviews, absence of formal testing requirements for changes to IT assets, and inconsistencies in asset disposal practices.
- The details of the audit, including findings, recommendations, and proposed management action plans are provided in **Appendix 1**.

**BACKGROUND:**

The Information Technology (IT) Division, within the Corporate Support Services Department, is responsible for overseeing the IT asset lifecycle for the City of Brampton. This includes budgeting, procurement, deployment, maintenance, decommissioning, and disposal.

IT management advised the following: The division has enhanced its IT asset management capabilities through the implementation of a centralized Configuration Management Database (CMDB) and network device discovery tools. Since 2023, efforts have focused on integrating mobile device management data, licensing information, IT contracts and other systems. The asset purchasing process has also been automated

as part of an ongoing strategy to achieve a fully automated IT asset management system. The CMDB is intended to serve as the central source of accurate and comprehensive IT asset information for the City of Brampton.

The IT Asset Management audit is part of the 2024 Internal Audit Work Plan, approved at the Audit Committee meeting held on February 13, 2024.

### **Previous Audit**

A previous IT Asset Management audit conducted in 2020 focused solely on End User Computing—specifically laptops and desktops—and the computer refresh program. The scope of the current audit expanded greatly to include the entire IT asset management framework, infrastructure technologies and access control to locations housing IT assets.

### **Audit Objectives**

The IT asset management audit was conducted to assess the City's IT asset management policy framework, processes and practices, and tools for identifying, documenting, tracking, and monitoring hardware assets throughout their lifecycles.

The audit evaluated the completeness and accuracy of the IT asset inventory, the effectiveness of controls for identifying critical assets, and the IT change management process to ensure proper documentation and approval of changes to IT assets. It also assessed controls throughout the IT asset lifecycle, access to asset data, and the adequacy of IT asset management policies.

### **Audit Scope**

The audit period covered IT asset management activities from June 1, 2021, to June 30, 2024.

IT assets in scope included any information technology resources necessary for delivering IT services.

### **Scope Exclusions**

Mobile Phone Management and IT Software and Cloud Asset License and Subscription Management were not within the scope of the audit and will be addressed in future audit engagements.

## **CURRENT SITUATION:**

### **Key Strengths**

The Information Technology Division has established the technology infrastructure to manage IT assets. A key component of this infrastructure is the implementation of a

centralized IT asset data repository, known as the Configuration Management Database (CMDB). Automated tools that are integrated with the CMDB have been deployed to scan the network for network connected devices. The IT Division is actively working to enhance the automation of asset information collection from various data sources.

## **Audit Findings**

This audit identified **4 key findings** that require management's attention:

### **A. An IT Asset Management Governance Framework Has Not Yet Been Established**

We noted, in discussion with management, that there are currently no documented policies in place to govern IT asset management activities. Additionally, there are no standard operating procedures (SOPs) for managing infrastructure and network IT assets. Upon reviewing the existing IT asset management SOPs for end-user computer assets, we found that they are outdated, include obsolete information, and have not received formal approvals. As a result, we did not proceed with testing the suitability of, or compliance to policies and procedures.

### **B. The Data Centre Card Access Review Process Does Not Capture All Active Access Cards**

The current process for validating user card access at locations housing critical IT assets does not consistently capture the full list of active access cards. This gap may increase the risk of unauthorized access to data centers.

### **C. The Change Management Process Guide Does Not Include a Formal Testing Requirement**

The *Change Management Guide* does not specify formal testing requirements for changes to IT assets. Management indicated that formal testing will be incorporated into the release management process, which is still under development, and formalized testing procedures have not yet been fully established.

### **D. The IT Asset Disposal Process is Inconsistent**

Discrepancies were noted in the documentation and oversight of IT asset disposals.

The background, audit findings and recommendations are provided in **Appendix 1**. We have worked closely with management to develop actionable steps to enhance the overall process.

**CORPORATE IMPLICATIONS:****Financial Implications:**

There is no financial implication associated with this report.

**STRATEGIC FOCUS AREA:**

**Government & Leadership:** Focusing on service excellence with equity, innovation, efficiency, effectiveness, accountability, and transparency.

**CONCLUSION:**

Based on the findings, this audit has been rated as "**Significant Improvement Required.**" A primary reason for this rating is the absence of an established IT asset management governance framework, which is critical for ensuring that policies, processes, and responsibilities for IT assets are well-defined, managed, and aligned with the City of Brampton's goals. Additionally, gaps in the access card review process may pose potential security and operational risks, contributing to the higher rating. The pending implementation of release management may result in gaps in testing changes prior to their deployment into production, which could potentially affect service delivery.

We appreciate the cooperation and assistance of the management and staff of the Information Technology, Corporate Security, Purchasing and Finance teams during the audit.

**Authored by:**

Richard Gervais  
Senior Advisor, Internal Audit

**Reviewed by:**

Claire Fang Mu  
Director, Internal Audit

**Attachments:**

- Appendix 1 - IT Asset Management Audit Report