

Public Audit Report Central Electoral Commission Information Systems Control

29 December 2009 No IA-P-900-3-5
Vilnius

Summary

Audit started 2009-01-21
Audit concluded 2009-12-29

Full audit report in Lithuanian is available on the
National Audit Office internet site www.vkontrole.lt

The Central Electoral Commission (CEC) uses information technologies to assist the implementation of its primary activities. Central Electoral Commission Information System is used in organisation and implementation of elections and control of political parties.

Data on political parties, candidates and electors including personal data and sensitive personal data are accumulated and processed in the CEC Information System. The CEC Information System is also used for summing up and generalising elections and referendums results that are publicised on the internet site of the Central Electoral Commission <http://www.vrk.lt/en/>.

In auditors opinion strict control should be exercised over the management of the information systems to ensure confidentiality and accuracy of data processed in the CEC Information System and continuity of operation of the mentioned system.

Some CEC information system management processes are in line with best practice recommendations; however during the audit the following weaknesses in the area of information systems management and security were determined:

- no regulation for strategic planning and information systems risk assessment process;
- organisation structure to be improved because security agent functions are insufficiently defined, data managers are not appointed, Information Systems Management Committee structure established without following best practice recommendations relating to its composition;
- CEC Information system statutes and data protection statutes are not approved, business continuity plan is not developed;
- Insufficient control of personal data management and control of quality of services rendered by third parties etc.

During the audit it was determined that the Central Electoral Commission together with the Information Society Development Committee when implementing the Programme for Introduction of Internet Voting System did not appoint a manager of the future information system and carry out its cost-benefit analysis.

Having evaluated the application control of the CEC Information System auditors repeatedly stressed risks relating to absence of approved documents regulating to the use of the system and determined a few weaknesses relating to incident management and data input.

During the audit it was determined that CEC Information systems internal control maturity level can be defined as *Ad Hoc* process. In order to achieve a higher level of maturity it is

necessary to establish regulation for the information systems management and carry out its risk assessment. It is also necessary to approve information systems management policy documents (statutes and data protection statutes) and legalise CEC Information System, to develop staff competence in the area of information systems management, to carry out monitoring of external regulation.

Auditors also recommended to establish regulation for and operation of strategic and short-term planning process, to increase efficiency of information systems administration, to improve CEC Information systems business continuity, personal data management and third party services quality assurance processes, to strengthen control of CEC information system application.

The Central Electoral Commission developed audit report recommendations implementation plan that is attached in the annex to the Audit Report.