

SHARED RESOURCE SERVICE

Summary of Internal Audit Activity

2020 – 21 Year to date

Introduction

The purpose of this report is to:

- Advise of the progress to date with the current year's Audit Plan (2020 – 21);
- Provide details of the audits finalised in the period; and
- Raise any matters relevant to the Finance & Governance Board role.

Audit Plan 2020 - 21


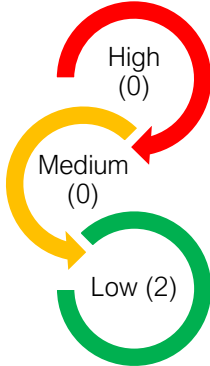
With regard to the 2020 – 21 internal audit plan then:

STAGE	NUMBER	%AGE
NOT ISSUED (NID)		
ISSUED (ISS)	3	33.34
FIELDWORK (FLD)	2	22.22
REPORTING (REP)		
COMPLETED (COM)	4	44.44

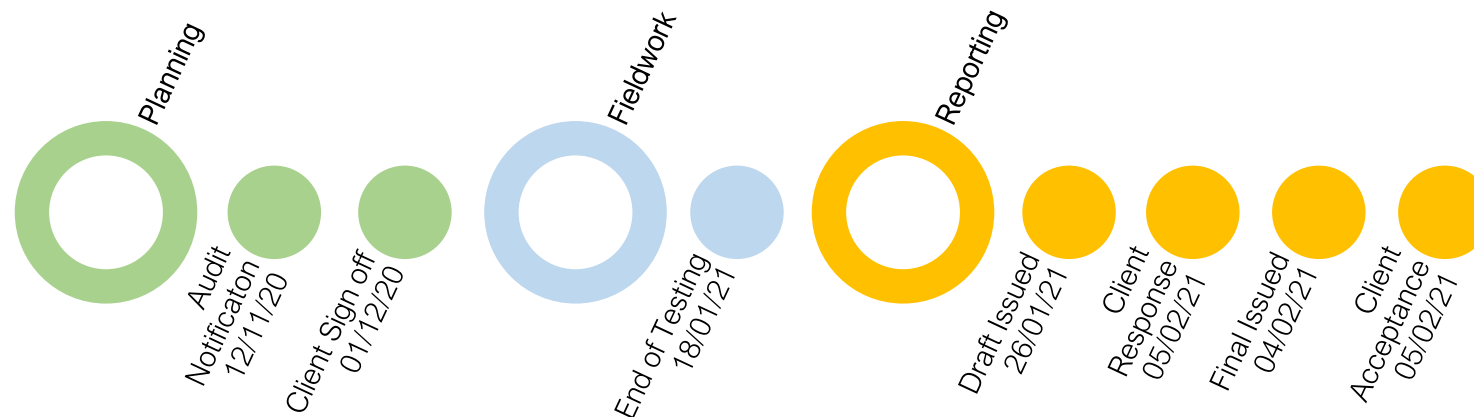
CODE	NARRATIVE
P	Planned
I	Issued
C	Completed

Ref	Stage	Type	Title	Quarter		
				P	I	C
SRS – 20001	COM	SYS	Business Management	3	3	4
SRS – 20002	ISS	FUP	CCTV / Control Room	4	4	
SRS – 20003	NID	FUP	Cybersecurity	4	4	
SRS – 20004	ISS	FUP	Enterprise Architecture Management	2	2	
SRS – 20005	COM	FUP	Firewall	4	4	4
SRS – 20007	NID	FUP	Software Asset Management	4	4	
SRS – 20008	COM	SPL	Risk Management	1	1	3
SRS – 20009	FLD	SYS	Information Security Management System	3	3	
SRS – 20010	COM	SYS	Data Centre	1	1	3

Audits Completed in the Period

Audit Title: SRS – 20001 Business Management	Audit Sponsor: Matt Lewis / Kathryn Beavan-Seymour	Final Report Issued: 04 February 2021
Assurance Opinion: 		Recommendations / Management Action(s) 

Audit Timeline: 85 days



ISS.1 – Order Dispatch

Priority: Low

Control Requirement:

All installations are arranged with the appropriate engineer and client in a timely manner, and this is reflected in the management system.

Issue:

Basis of a sample: 20 completed vFire requisition calls (all partners & SRS):

- 5 instances where no evidence existed to support delivery of the item to the customer.
- 1 instance of the serial number not being recorded on vFIRE.

Recommendation:

Appropriate records should be retained of all dispatches to customer/date etc. or a copy of the customer delivery record. In addition, all serial numbers should be recorded on vFIRE.

Management Response:

Delivery of items during COVID changed. As items could not be delivered directly to the individual, delivery report were not being completed. Items were being delivered to an agreed location for collection with e-mails being issued to the customer when goods have been delivered. Officers have been reminded of the need to issue the e-mail and include it as part of the call.

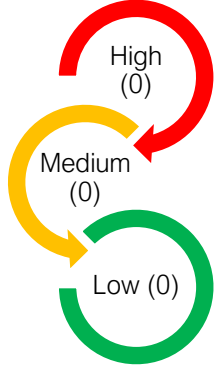
Although the serial number was not recorded in the call, the number is recorded on the stock sheets as a back-up.

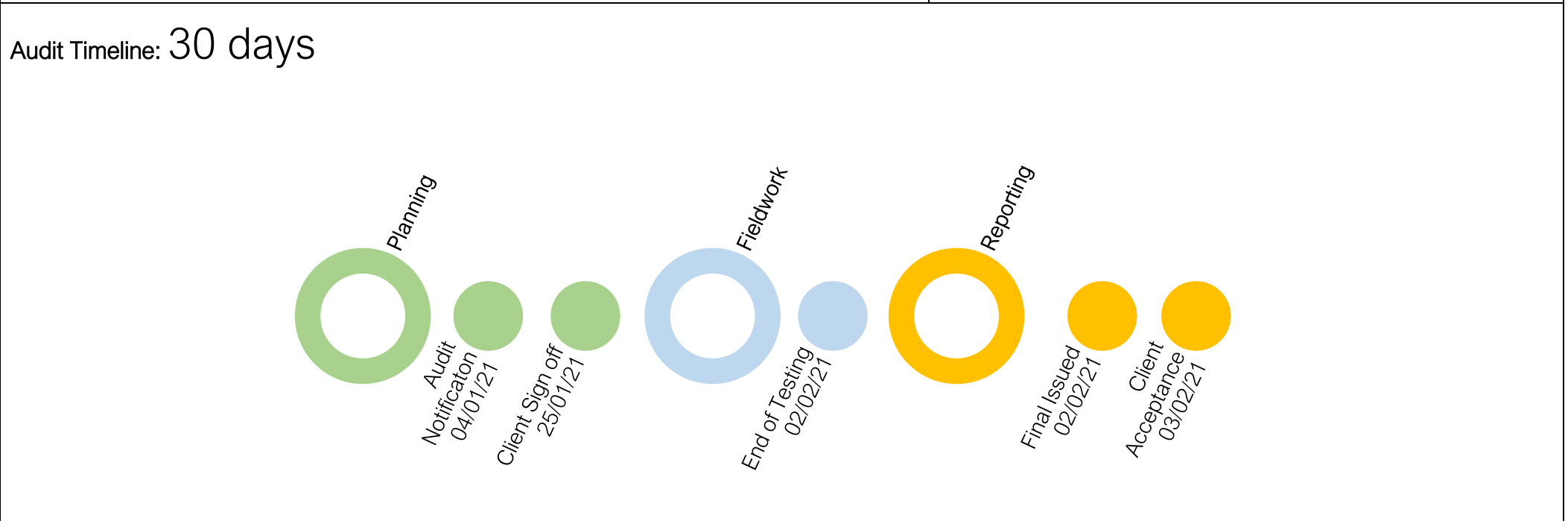
Annette Drew, Business Manager

February 28, 2021

ISS.2 – Access Cards		Priority: Medium
<p>Control Requirement: The issuing of access cards is suitably controlled.</p> <p>Issue: Basis of sample: 20 access cards in circulation:</p> <ul style="list-style-type: none"> ▪ 2 cards issued to NWIS operatives did not have evidence of the approval e-mail. 	<p>Recommendation: All documentation regarding the issuing of access cards should be retained together.</p>	<p>Management Response: 1 of the authorisation requests was March 2018 and would have been in the 17-18 Archive folder for Business Management. That was the information that was lost when we transferred over to OneWales. The other authorisation could not be located. Neither cards would have been produced without authorisation.</p> <p>Annette Drew, Business Manager February 28, 2021</p>

Audit Title: SRS – 20005 Firewall	Audit Sponsor: Matt Lewis / Kathryn Beavan-Seymour	Final Report Issued: 02 February 2021
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Assurance Opinion: <div style="display: flex; align-items: center; margin-top: 10px;"> <div style="border: 1px solid black; padding: 5px; margin-right: 10px;">FULL</div> <div style="display: flex; gap: 5px;"> <div style="background-color: #28a745; padding: 5px; font-weight: bold;">SUBSTANTIAL</div> <div style="background-color: #ffc107; padding: 5px; font-weight: bold;">MODERATE</div> <div style="background-color: #dc3545; padding: 5px; font-weight: bold;">LIMITED</div> <div style="background-color: #343a40; padding: 5px; font-weight: bold;">NONE</div> </div> </div>	Recommendations / Management Action(s) <div style="text-align: right; margin-top: 20px;">  <p>High (0) Medium (0) Low (0)</p> </div>
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Audit Title:
SRS – 20008 Risk Management

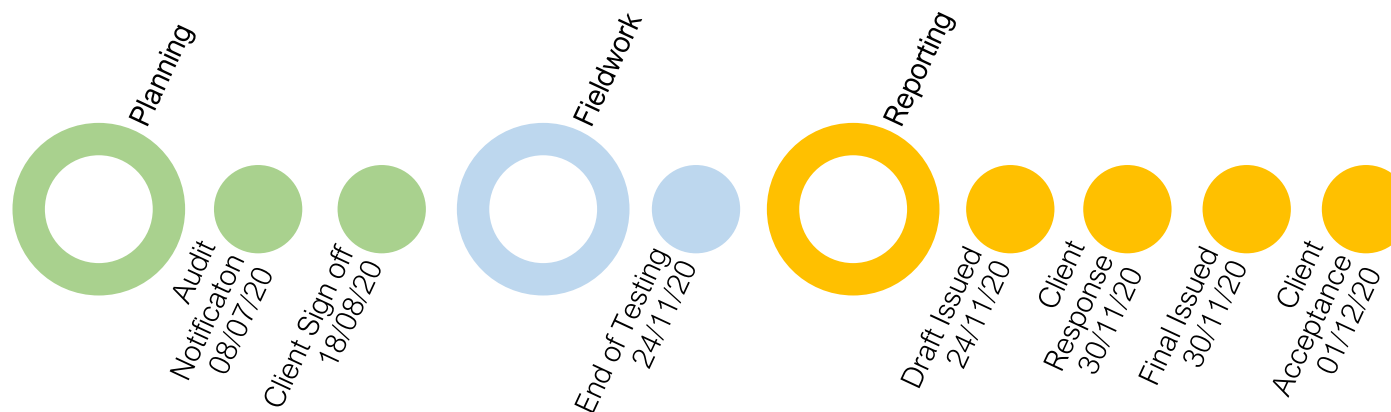
Audit Sponsor:
Matt Lewis / Kathryn Beavan-Seymour

Final Report Issued:
30 November 2020

This was a special audit, so there is no audit opinion. 9 observations were made and reported to Management for their consideration.

Scope Area	Controls	Observations
SCOPE, CONTEXT, CRITERIA	4	3
RISK ASSESSMENT - IDENTIFICATION	4	3
RISK TREATMENT	2	2
MONITORING & REVIEW	1	1
COMMUNICATION & CONSULTATION	2	0
RECORDING & REPORTING	1	0
Totals	14	9

Audit Timeline: 145 days



Key Points to Note

Following discussions with SRS Management they have indicated that the necessary resource will be provided to enable completion of the plan by year end. The Cybersecurity follow up is a significant audit and is at most risk on not being completed on time.

Audit Team

Name	Position	Telephone	Email
Peter Williams	Head of Audit	01495 742278	Peter.williams@torfaen.gov.uk
Michael Corcoran	Group Auditor	01495 742270	Mike.corcoran@torfaen.gov.uk
Arran Rosser	Senior Auditor	01495 742275	Arran.rosser@torfaen.gov.uk

Contact Information

Torfaen Internal Audit Service
Civic Centre, Pontypool NP4 6YB
Fax 01495 742439
mike.corcoran@torfaen.gov.uk

