**SHARED RESOURCE SERVICE**

**Summary of Internal Audit Activity**

**2023 – 24 Year to date**

**Introduction**

The purpose of this report is to:

* Advise of the progress to date with the current year’s Audit Plan (2023 – 24)
* Provide details of the audits finalised in the period; and
* Raise any matters relevant to the Finance & Governance Board role.

**Audit Plan 2023 - 24**

Internal audit plan progress overview:

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| **STAGE** | **NUMBER** | **%AGE** |
| NOT ISSUED **(NID)** | 8 | 66.66 |
| ISSUED **(ISS)** | 0 | 0.00 |
| FIELDWORK **(FLD)** | 2 | 16.67 |
| REPORTING **(REP)** | 0 | 0.00 |
| COMPLETED **(COM)** | 2 | 16.67 |

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| **CODE** | **NARRATIVE** |
| **P** | Planned |
| **I** | Issued |
| **C** | Completed |

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| **Ref** | **Stage** | **Type** | **Title** | **Quarter** |
|  |  |  |  | **P** | **I** | **C** |
| SRS – 23001 | NID | SYS | Active Directory | 4 |  |  |
| SRS – 23002 | NID | FUP | Application Support | 2 |  |  |
| SRS – 23003 | FLD | SYS | CCTV Control Centre | 1 | 1 |  |
| SRS – 23004 | NID | FUP | Change Management | 3 |  |  |
| ***SRS – 23005*** | ***COM*** | ***FUP*** | ***EdTech*** | ***1*** | ***1*** | ***1*** |
| SRS – 23006  | NID | FUP | Firewall | 4 |  |  |
| SRS – 23007 | NID | FUP | Identity and Access Management | 4 |  |  |
| SRS – 23008 | NID | SPL | IT Governance | 3 |  |  |
| ***SRS – 23009*** | ***COM*** | ***FUP*** | ***O365*** | ***1*** | ***1*** | ***1*** |
| SRS – 23010 | NID | SPL | HALO | 4 |  |  |
| SRS – 23011 | NID | SYS | SolarWinds | 2 |  |  |
| SRS – 23012 | FLD | SYS | Telephony (VOIP) | 1 | 1 |  |

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**Audits Completed in the Period**

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| **Audit Title:**SRS – 23009 O365 Email | **Audit Sponsor:**Matt Lewis / Kathryn Beavan-Seymour | **Final Report Issued:**04 May 2023 |
| **Assurance Opinion:**

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| FULL | SUBSTANTIAL | MODERATE | LIMITED | NONE |
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  | **Recommendations / Management Action(s)** |
| **Audit Timeline:** 15 days |
| ***Original issue:****no arrangements existed for the offsite backup of O365 email data outside the Microsoft Cloud****Risk:****loss of data.****Management action(s) taken:****Several meetings held between the SRS and suppliers resulting in the acquisition and implementation of a product (DRUVA) for all partners.**The two tenants in use have been synchronised and the product has been used already to support management in an investigation.**Audit testing confirmed that backup status reports are being produced which provide management with information regarding files missed and those backed up against the following categories; backed up successfully, backed up with errors, backing up, backup failed, and never backed up. The reasons for missed files could be wrongly configured file filters, file permissions, or files being open. These are identifiable from the log file if needed. Missed files are normally picked up on the next backup. Failed backups can be for various reasons e.g., a user’s mailbox being moved back on-prem so there was no O365 content.**The backup solution will be monitored, it is still being implemented and not handed over to BAU yet. A meeting with the supplier is imminent to discuss what the managed element of the package covers and what SRS will need to cover. Once clarified, daily reports of failed backups will go to the relevant support teams to check.* |

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| **Audit Title:**SRS – 23005 EdTech Digital Standards | **Audit Sponsor:**Matt Lewis / Kathryn Beavan-Seymour | **Final Report Issued:**01 Jun. 2023 |
| **Assurance Opinion:***Consultancy audit.*  | **Recommendations / Management Action(s)** |
| **Audit Timeline:** 50 days |

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| ISS.1 – G5 | Priority: Medium |
| ***Control Requirement:***Where there is a provider other than the local authority, support for VoIP solution should have clear lines of accountability.***Issue:***The issue was escalated as a risk to Strategic Board (April 2023) via inclusion on the risk register in Mar 2023 as "SRS046 schools VOIP", a very high risk owned by the Finance & Governance Board, that should be treated as it represents a safeguarding issue. It has also been presented to the Business & Collaboration Board, notifying them of the 5 options available.VOIP is still not provided under an SLA, the varied approach within LAs prevents a 'one school' approach as evidenced by those schools directly responsible for the associated costs seeking a reduced cost option solution, which probably don't meet EdTEch standards. The lack of a decision at Board level and the looming ISDN line switch off (Dec 2024) will increase the risk priority as time passes.  | ***Recommendation:***The necessary action/decisions are required to ensure compliance with the WG standard. | ***Management Response:***Agreed.SRS to meet Education directors (EdTech Leads), to explain the risk so that they fully understand it and reflect it in the appropriate risk register.The F&G Board will be asked to decide on the risk ownership.**Matt Lewis, Chief Operating Officer**June 30, 2023 |
| ISS.2 – G1 | Priority: Medium |
| ***Control Requirement:***Schools to have a VoIP system that is managed.***Issue:***The Agenda for Finance & Governance Board of 07 December 2021 evidences in section 6 of the audit update provided for item 5, that the matter was raised with them, and they were asked to note the current position.Although raised, the issue i.e., schools not using VOIP telephony and a lack of resilience, is still a reality with the associated risk.  | ***Recommendation:***The necessary action/decisions are required to ensure compliance with the WG standard. | ***Management Response:***Agreed.This work will be covered under a specific corporate project (funding to be agreed) if the F&G Board agree ownership of the risk outlined for standard G5.**Matt Lewis, Chief Operating Officer**December 31, 2023. |

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| ISS.3 – D3 | Priority: Medium |
| ***Control Requirement:***All structured cabling installations to be tested according to a documented testing regime.***Issue:***The infrastructure brief V3.1 was amended July 13, 2022 in respect of 3rd party systems and cabling with a new "testing" section added. It requires that Test certificates should be provided for every wired outlet installed upon each job completion to endorse the installation to the standards required. These would not however be kept by the SRS; it would be the partner or whoever was managing the project. It also requires that all results should be capable of being stored within the test equipment for future submission electronically as part of the warranty application.  | ***Recommendation:***The necessary action/decisions are required to ensure compliance with the WG standard. | ***Management Response:***Agreed.The standard D3 should be owned by the partner EdTech leads, it is they that need to obtain/receive assurance that all school structured cabling is regularly tested in accordance with the requirements of the standard. This issue will be picked up at the planned meeting with the EdTech leads.**Matt Lewis, Chief Operating Officer**June 30, 2023 |

**Key Points to Note**

* Nothing to note at present.

**Audit Team**

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