**SRS Audit Update**

**DATE: Finance and Governance Board, December 5th, 2023**

**SUBJECT: 2023-24 Audit Plan Update**

Report Submitted by: Matt Lewis (COO SRS)

Report Written by: Kath Beavan-Seymour (Deputy COO SRS)

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| **1.** | | **Area Affected** |
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| 1.1 | | County borough wide for Blaenau Gwent County Borough Council, Gwent Office of the Police and Crime Commissioner, Newport City Council, Monmouthshire County Council and Torfaen County Borough Council. |
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| **2.** | | **Purpose of Report** |
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| 2.1 | | To update on the progress of the audit plan 2023-24, open actions and exceptions. |
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| **3.** | **Current audit action position** | |
| 3.1 | Actions Update   * Local Authority Partners   There are a total of 6 open actions (which includes any new actions).   * Gwent Police   There are a total of 3 open actions (which includes any new actions). | |
| 3.2 | The current audit actions activity for open actions is shown in the table below.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | **Audit Name** | **Current Open Actions** | **Planned End Date** | **Owner** | **Partner** | **RAG status** | | **Identity and Access Management** | 3 | 31/01/24 | SRS | Local Authorities |  | | Update December 23  Work is continuing and on track, however this is subject to partners having sufficient standardised business processes and role profiles to make automating the process viable. Partners are aware of this and have current programmes of work to review.  Update September 23:  Work is continuing and on track, however this is subject to partners having sufficient standardised business processes and role profiles to make automating the process viable. Partners are aware of this and have current programmes of work to review.  Update June 23: At the point (March 22) the audit was completed it was anticipated that there would be a period of 1 year to complete the following actions in respect of the SLAM process (starters, leavers and movers)  ISS.2 – User Access Requests  ISS.3 – Account Removal / Adjustment  ISS.4 - Provisioning  ISS.5 – Modifications  However there were significant changes with the ITSM supplier that lead to the SRS tendering for a new system and the focus for the team needed to switch to the implementation of the new system which is due to go live in June 2023. The audit action dates for ISS.2, 3 & 4 have therefore been reprofiled for 31/01/24. This is before the follow up audit is planned in quarter 4, so isn’t anticipated to impact of the planned audit schedule providing the agreed prioritisation or resource at delivery group remains.  Please note: For ISS.5 partners will need to have sufficient standardised business processes and role profiles to make automating that process viable. Partners are aware of this and have current programmes of work to review. | | | | | | | **Telephony** | 3 | 31/01/24 | SRS | All |  | | |
| **4.** | **Audit plan changes** | |
| 4.1 | None reported currently. | |
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| **5.** | **Planned Audits – 2023-24** | |
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| 5.1 | The current audit plan status is shown in the table below.   |  |  |  |  | | --- | --- | --- | --- | | **Audits** | **Type of audit** | **Status** | **Update** | | Telephony (VOIP) | Full System | Complete | Full Assurance | | IT Governance | SPL | Fieldwork | In progress | | Active Directory | Full System | Planned for Q4 |  | | Firewall | Follow Up | Planned for Q4 |  | | Identity and Access Management | Follow Up | Planned for Q4 |  | | HALO | SPL | Planned for Q4 | Moved to Q3 | | SolarWinds | Full System | Fieldwork | Paused due to key staff unavailability, have commenced HALO and will recommence in Jan 24. | |  | | | | | EdTech | Follow Up | Complete | Risk for Local Authorities raised at F+G June 2023 | | Application Support | Follow Up | Complete | Full Assurance | | CCTV Control Centre | Full System | Complete | Full Assurance | | O365 | Follow Up | Complete | Full Assurance | | Change Management | Follow Up | Complete | Full Assurance | | |
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| **6.** | **Monitoring and Evaluation** | |
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| 6.1 | The audit process is monitored by the Deputy COO / Director of Operations. | |