**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)** | 3 | 25.00 |
| ISSUED **(ISS)** | 2 | 16.66 |
| FIELDWORK **(FLD)** | 1 | 8.34 |
| REPORTING **(REP)** | 0 | 0.00 |
| COMPLETED **(COM)** | 6 | 50.00 |

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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*** | ***COM*** | ***FUP*** | ***Application Integration Service*** | 2 | 1 | **1** |
| ***SRS – 23003*** | ***COM*** | ***SYS*** | ***CCTV Control Centre*** | 1 | 1 | **1** |
| ***SRS – 23004*** | ***COM*** | ***FUP*** | ***Change Management*** | 2 | 2 | **2** |
| ***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 | FLD | SPL | IT Governance | 3 | 2 |  |
| ***SRS – 23009*** | ***COM*** | ***FUP*** | ***O365*** | ***1*** | **1** | **1** |
| SRS – 23010 | ISS | SPL | HALO | 4 | 3 |  |
| SRS – 23011 | ISS | SYS | SolarWinds | 3 | 3 |  |
| ***SRS – 23012*** | ***COM*** | ***SYS*** | ***Telephony*** | 1 | 1 | 3 |

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**Audits Completed in the Period**

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| **Audit Title:**SRS – 23012 Telephony | **Audit Sponsor:**Matt Lewis / Kathryn Beavan-Seymour | **Final Report Issued:**26 Oct 2023 |
| **Assurance Opinion:**

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|  |  |  |  |  |
| FULL | SUBSTANTIAL | MODERATE | LIMITED | NONE |
|  |  |  |  |  |

  | **Recommendations / Management Action(s)** |
| **Audit Timeline:** 163 days |
| ISS.1 – Account Management | Priority: Medium |
| ***Control Requirement:***All Teams access is appropriately managed.***Issue:***Review of the Teams Administrator Group contained 44 individuals (43 permanent, 1 end date 26-06-2024). 2 of the 44 were leavers (Jay Dyer 09/06/23 and Mark Betts - 25/11/22). Their AD accounts had only been disabled, not deleted so they were not removed from the group. This is due to the current ineffective SLAM process preventing prompt removal. This issue is a known one and is expected to be addressed by the end of Jan 2024. The Global Reader role allows a user to read everything that a Global Administrator can, but not update anything, or do anything that did not need the compliance role. This group contained 1 individual (Matt Lewis).***Risk:***Inappropriate access. | ***Recommendation:***Management needs to ensure the SLAM process issue is addressed in accordance with set timeframes and that access to Teams "roles" is appropriate. | ***Management Response:***Agreed. There is an existing action from the IAM audit that is due to be completed by January 31, 2024. This will address the issue.***Responsible Officer:***Kathryn Beavan-Seymour ***Target Date:***January 31, 2024  |

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| --- | --- |
| ISS.1 – VOIP Solution | Priority: Medium |
| ***Control Requirement:***The VOIP solution chosen by a partner has been subject to the necessary planning and consideration.***Issue:***Partners had telephony solutions in place prior to joining the SRS. It is evident from the BGCBC scenario that planning, and consideration is not always timely i.e., AVAYA end of life in 2018 with an engagement request March 2023. There are schools with solutions coming to end of life that are not being considered or captured in a planning process either at a single or multiple school level e.g., Glanhowy Primary, West Mon.***Risk:***Failure to effectively use available resources to deliver economies. | ***Recommendation:***The planning process for telephony solutions needs to be improved, better understood, and explored on a collaborative basis to achieve the best use of available resource and maximum economies. | ***Management Response:***Agreed. The SRS does not have a mandate to provide telephony to all SLA schools or those on local solutions becoming end of life. We can offer schools which we currently provide telephony to, a costed migration path to Teams telephony. The SRS will refer this recommendation to partners at the next Business and Collaboration meeting. ***Responsible Officer:***Matt Lewis ***Target Date:***December 31, 2023 |
| ISS.3 – Strategic Direction | Priority: Medium |
| ***Control Requirement:***Each partner has a documented telephony strategy against which adherence (financial and key milestones) and delivery is monitored and reported.***Issue:***All partners are actively considering telephony although, primarily due to factors that have arisen e.g., removal of PSTN, product end of life, there is little evidence of it being captured in a documented strategy by partners.***Risk:***Failure to provide/adhere to a set strategic direction. | ***Recommendation:***Telephony is a fast-moving technology area which necessitates each partner maintaining a strategic direction against which adherence and delivery is monitored and reported. | ***Management Response:***Agreed. The SRS does not have a mandate to select the telephony solution for partners. We will refer the recommendation to the next Business and Collaboration meeting.***Responsible Officer:***Matt Lewis ***Target Date:***December 31, 2023 |

**Key Points to Note**

* Nothing that should affect completion of the plan by the year end.

**Audit Team**

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