

# SHARED RESOURCE SERVICE

## Summary of Internal Audit Activity

2020 – 21 Year to date

## Introduction

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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


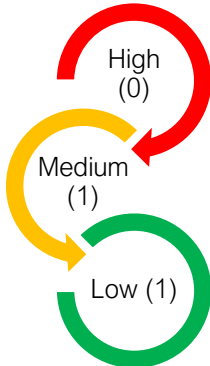
With regard to the 2020 – 21 internal audit plan then:

STAGE	NUMBER	%AGE
NOT ISSUED (NID)	4	44.44
ISSUED (ISS)	2	22.22
FIELDWORK (FLD)	1	11.11
REPORTING (REP)	1	11.11
COMPLETED (COM)	1	11.11

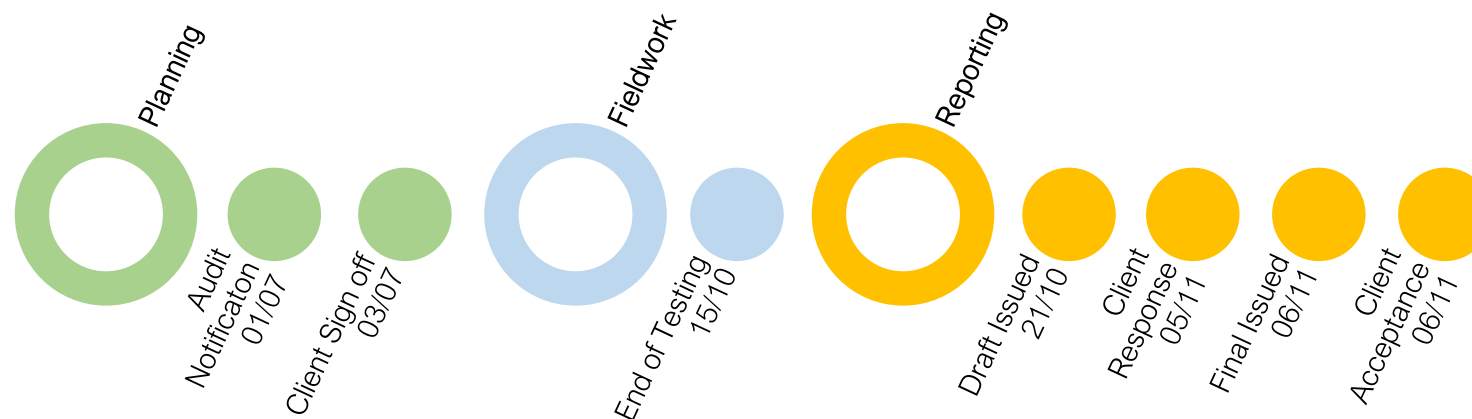
CODE	NARRATIVE
P	Planned
I	Issued
C	Completed

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

## Audits Completed in the Period

<b>Audit Title:</b> SRS – 20010 Data Centre	<b>Audit Sponsor:</b> Matt Lewis / Kathryn Beavan-Seymour	<b>Final Report Issued:</b> 06 November 2020
<b>Assurance Opinion:</b> 		<b>Recommendations / Management Action(s)</b> 

Audit Timeline: 128 days



ISS.1 – Access Cards

Priority: Low

**Issue:**  
The Net2 database did not exist at the time of the audit, as such it was not possible to confirm that the 3 individuals identified no longer employed but showing as having a "Live" access card (Duncan Abraham, Graeme Russell, Steve Jaynes) had been disabled.

**Recommendation:**  
Database availability should be maintained to ensure that access rights are kept up to date and can be evidenced.  
Access rights need to be amended when the need arises and periodically reviewed. Review of the current access list is recommended with removal of those employees who no longer need access.

**Management Response:**  
We are confident that the process for disabling access cards is operating effectively. A change of configuration for the Net2 system and its database as part of an upgrade will ensure in future the existence of a backup copy of the database. As part of the Net2 system upgrade a full 'clean-up' will be undertaken.  
**Jon Price**  
January 31, 2021

ISS.3 – Event Logs

Priority: Medium

<p><b>Issue:</b></p> <p>A centralised monitoring solution for the numerous event logs produced does not exist so there is no assurance available to confirm that logs containing sensitive data and personally identifiable information are sufficiently protected; system administrator activities are appropriately reviewed; and no unauthorised changes to log information are made.</p> <p>The Finance &amp; Governance Board own this control who whilst approving the production of a tender specification, have yet to approve the required financial resource.</p>	<p><b>Recommendation:</b></p> <p>A centralised monitoring solution is required, and once obtained/implemented work should be carried out to develop:</p> <ul style="list-style-type: none"> <li>▪ Appropriate documented procedures reflecting its operation.</li> <li>▪ A process for the review of the logs produced and the events within them.</li> </ul>	<p><b>Management Response:</b></p> <p>We are unable to address the risk until the Finance &amp; Governance Board approve the funding for a solution or conclude that they accept the risk. This report will inform them of the continued existence of the issue.</p> <p><b>Jon Price</b>        August 31, 2021</p>
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## Key Points to Note

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It is envisaged that the plan will be fully completed by the year end.

## Audit Team

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## Contact Information

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