

SHARED RESOURCE SERVICE

Summary of Internal Audit Activity

2022 – 23 Year to date

Introduction

The purpose of this report is to:

- Advise of the progress to date with the current year's Audit Plan (2022 – 23)
- Provide details of the audits finalised in the period; and
- Raise any matters relevant to the Finance & Governance Board role.

Audit Plan 2022 - 23


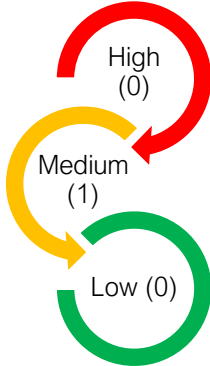
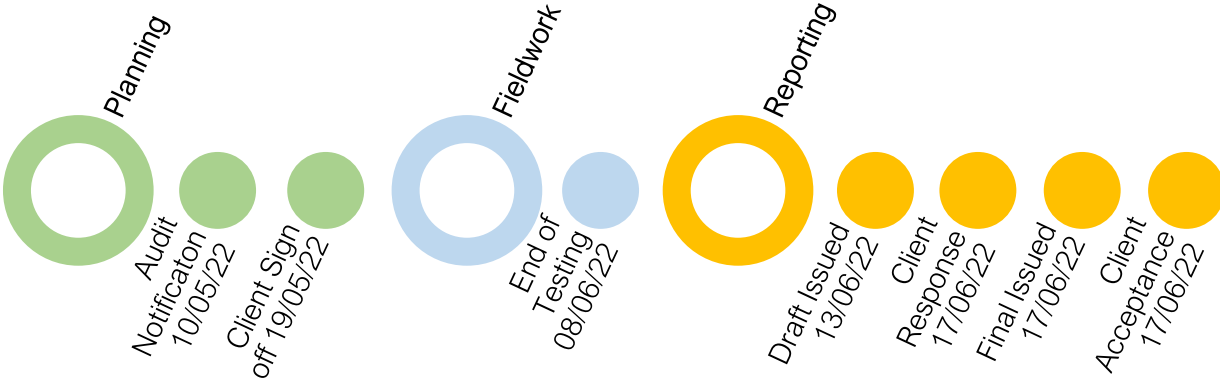
Internal audit plan progress overview:

STAGE	NUMBER	%AGE
NOT ISSUED (NID)	5	45.46
ISSUED (ISS)	2	18.18
FIELDWORK (FLD)	2	18.18
REPORTING (REP)	0	0.00
COMPLETED (COM)	2	18.18

CODE	NARRATIVE
P	Planned
I	Issued
C	Completed

Ref	Stage	Type	Title	Quarter		
				P	I	C
SRS – 22002	COM	SYS	Change Management	1	1	1
SRS – 22003	NID	SYS	SIEM/SCO	3		
SRS – 22004	NID	SYS	Firewall	3		
SRS – 22005	ISS	SYS	Virtualisation	3	3	
SRS – 22006	FLD	SYS	O365	1	1	
SRS – 22007	FLD	SPEC	Financial Regulations	2	2	
SRS – 22008	NID	SPEC	Data Centre – Vantage	3		
SRS – 22009	NID	FUP	ISMS	4		
SRS – 22010	ISS	FUP	IT Governance	4	3	
SRS – 22011	NID	FUP	ITSCM	4		
SRS – 22012	COM	FUP	Mobile Computing	4	3	3

Audits Completed in the Period

<p>Audit Title: SRS – 22002 Change Management</p>	<p>Audit Sponsor: Matt Lewis / Kathryn Beavan-Seymour</p>	<p>Final Report Issued: 17 June 2022</p>
<p>Assurance Opinion:</p> 		<p>Recommendations / Management Action(s)</p> 
<p>Audit Timeline: 38 days</p> 		

ISS.3 – SOP1_3 Communication Protocols

Priority: Low

Control Requirement:

Procedures exist to identify, assess, and approve genuine emergency changes.

A post-implementation review is conducted to validate that emergency procedures were properly followed and to determine the impact of the change.

Issue:

Basis of sample: 5 of the 55 emergency changes from a report, year prior to May 24, 2022

The change management policy/procedure doesn't reflect actual practice, it is stated that:

- if a change is unsuccessful, a Post Implementation Review (PIR) form will be completed and discussed at the next CAB to learn from the lessons highlighted when in fact a PIR is undertaken for each change. No PIR was conducted for 4 of the 5 sample changes (56555, 59721, 68087, 69439). In 3 instances the change was closed before the PIR was conducted. In 1 instance the change was closed by the requestor not the change manager.
- this type of Change will be progressed from Proposed to Approved/Rejected/Cancelled within 24 Hours of being logged. 7 instances of an impact assessment failing to be conducted within the required timeframe, but this is not reported to/measured by senior management.

The ASM software didn't always reflect the status of the change e.g., 69439 - it wasn't known whether the change proceeded or not as ASM had not updated by the relevant person(s) in the process.

Recommendation:

The change management policy/procedure needs to reflect actual process, the ASM system and management reporting requirements need to be reviewed/developed. Staff need to be reminded of the process and their responsibilities for changes.

Management Response:

Agreed.

The Change Request Completed button on the home page will be hidden, it is not required as the change closure is managed by task completion (17th June 2022). The correct method of closure of a Change Request will be included on the initial training guides and the refresher training session plan.

The management team will develop change specific dashboards to outline what status the change is at so this can be used on a regular basis by the Change Manager to monitor the life cycle of a change and export as a report to send to Senior Managers and Team leads (December 2022).

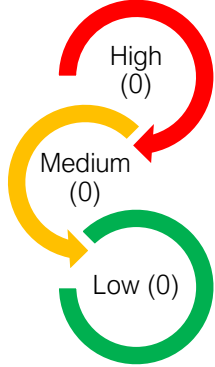
The wording in the Change Management Policy document will be amended to reflect that ALL changes will have a check in place to see if a PIR is required and that the change has been completed successfully. If the change has been deemed as unsuccessful then the PIR will be completed by the Change Manager and raised at CAB for transparency and if the change is a success, then no PIR will be completed, and the change will be closed (July 2022).

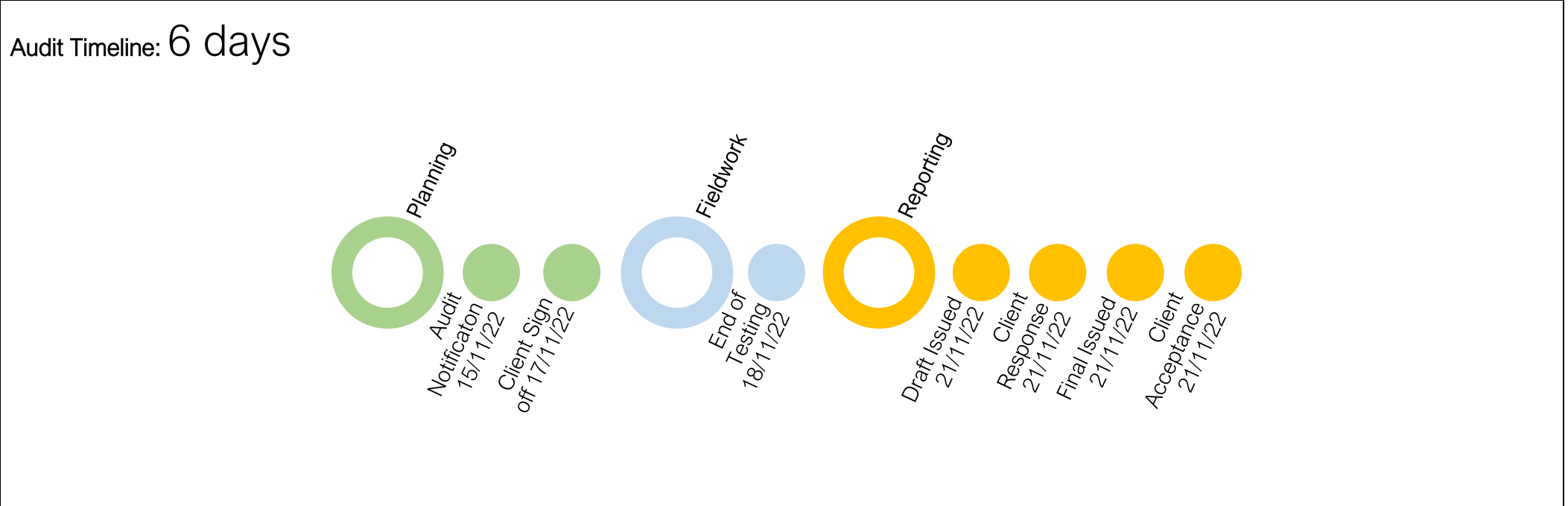
A Change Training plan will be put in place to compliment the Change Management user guides held on the SRS Portal, and these will be scheduled throughout the year. Staff will also be able to book one to one training if required outside of these sessions. This will be in place by July 2022 but will be subject to changes due to the Proactive Monitoring Solution Project.

Steve Hopes, Service Manager for Operations

August 31, 2022

Audit Title: SRS – 22012 Mobile Computing	Audit Sponsor: Matt Lewis / Kathryn Beavan-Seymour	Final Report Issued: 21 November 2022
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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: green; color: white; padding: 2px 10px;">SUBSTANTIAL</div> <div style="background-color: yellow; color: black; padding: 2px 10px;">MODERATE</div> <div style="background-color: red; color: white; padding: 2px 10px;">LIMITED</div> <div style="background-color: black; color: white; padding: 2px 10px;">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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Key Points to Note

- The 2022-23 plan was weighted to the second half of the year, factors have meant that it is particularly weighted to the last quarter which will require full client commitment in order that the plan is completed on time.
- The virtualisation audit that management requested be moved to quarter 3 has now commenced.
- The plan has been flexed to meet management requests.

Audit Team

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