**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)** | 1 | 8.33 |
| ISSUED **(ISS)** |  |  |
| FIELDWORK **(FLD)** | 4 | 33.33 |
| REPORTING **(REP)** |  |  |
| COMPLETED **(COM)** | 7 | 58.34 |

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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 | FLD | FUP | Firewall | 4 | 4 |  |
| SRS – 23007 | FLD | FUP | Identity and Access Management | 4 | 4 |  |
| **SRS – 23008** | **COM** | **SPL** | **IT Governance** | 3 | 2 |  |
| **SRS – 23009** | **COM** | **FUP** | **O365** | **1** | **1** | **1** |
| SRS – 23010 | FLD | SPL | HALO | 4 | 3 |  |
| SRS – 23011 | FLD | 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 – 23008 IT Governance | **Audit Sponsor:**Matt Lewis / Kathryn Beavan-Seymour | **Final Report Issued:**07 Feb 2024 |
| **Assurance Opinion:**

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

  | **Recommendations / Management Action(s)** |
| **Audit Timeline:** 142 days |
| ISS.1 – Information Security Roles and Responsibilities | Priority: Medium |
| **Control Requirement:**All information security roles and responsibilities are:* clearly identified, defined, documented (job descriptions) and allocated.
* agreed and approved.
* understood and adhered to by those to whom they apply.

**Issue:**Documented, approved, and agreed Partner Information Security responsibilities do not exist.An email following an IS event in April 2023, contained responsibilities apportioned to the SRS that had not been consulted on, considered by, or agreed with them.**Risk:**IS roles and responsibilities are not sufficiently documented, agreed, and understood by those with responsibility for ensuring they exist and are adhered to as part of an effective ISMS.Breaches not reported or addressed in an effective and timely manner. | **Recommendation:**The ISLB should ensure that the provider of the partner security function does so in accordance with a documented, agreed, and approved specification of the role and associated responsibilities such as an MoU, service specification or SLA, to provide full understanding in future by all parties and the proper and correct management of IS incidents/events. | **Management Response:**Agreed. This report will be taken as part of the audit slide deck for the next ISLB in April 2024.**Responsible Officer:**Lee Williams, Service Manager – Governance & Planning**Target Date:**April 11, 2024  |

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| --- | --- |
| ISS.2 – Information Security Incidents/Events | Priority: Medium |
| **Control Requirement:**A system allowing personnel to report information security events they observe or suspect in a prompt manner through appropriate channels exists: the reported incidents, breaches, other cyber-based events are noted, examined, and used to devise a strategy that prevents them repeating.**Issue:**An incident that occurred in April 2023 had the following elements of concern:* Local Authority SIRO's were verbally updated the day after the event, leading to contact with the SRS COO. It was not dealt with, as required by the ISLB ToR, only appearing on a cyber incident log slide in the Jan 2024 ISLB.
* The report was emailed to an individual not appropriately vetted or security cleared, creating a related breach, again not reported to, or addressed by the ISLB. Recall was attempted but the email had left the tenant.
* Prevention recommendations have only been made by the SRS.

**Risk:**Information security incidents/events incorrectly reported/not reported/not mitigated against or prevented from reoccurring.Current processes may not be adequate or effective.  | **Recommendation:**Those charged with IS governance i.e. the ISLB need to ensure that the incident/event process is:* documented and fit for purpose.
* communicated post agreement to all who are required to have a working understanding of it.
* covered in the training and awareness programme for staff and those with a defined role and responsibilities.
 | **Management Response:**Agreed. This report will be taken as part of the audit slide deck for the next ISLB in April 2024.**Responsible Officer:**Lee Williams, Service Manager – Governance & Planning**Target Date:**April 11, 2024 |

**Key Points to Note**

* The audits at fieldwork stage should complete around the same time.
* Nothing that should affect completion of the plan by the year end.

**Audit Team**

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