**SRS Audit Update**

**DATE: Finance and Governance Board, June 6th, 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 5 open actions (which includes any new actions).* Gwent Police

There are a total of 1 open action (which includes any new actions). Please note the IAM actions were previously reported for all partners, they have now been excluded from the count for GP as Sailpoint covers the SLAM process.* All SRS Partners

An action from a previous audit year is the development of the revised MOU. This work is ongoing as an action for Torfaen, this is progressing and being monitored by the Finance and Governance Board. This was removed as an Audit exception as it sits on the Risk Register. |
| 3.2 | The current audit actions activity for open actions is shown in the table below.

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| --- | --- | --- | --- | --- |
| **Audit Name**  | **Current Open Actions** | **Planned End Date**  | **Owner** | **RAG status** |
| **Identity and Access Management** | 4 | April 2023 | SRS |   |
| Update: 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 RequestsISS.3 – Account Removal / AdjustmentISS.4 - ProvisioningISS.5 – ModificationsHowever 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. |
| **Firewall** | 1 | September 2023 | 1 open action / SRS |  |

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| **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.

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| **Audits**  | **Type of audit** | **Status** | **Update** |
| Active Directory | Full System | Planned for Q4 |  |
| Application Support | Follow Up | Planned for Q2 |  |
| CCTV Control Centre | Full System | Fieldwork |  |
| Change Management | Follow Up | Planned for Q3 |  |
| EdTech | Follow Up | Complete | Risk update on main agenda for Local Authorities. |
| Firewall | Follow Up | Planned for Q4 |  |
| Identity and Access Management | Follow Up | Planned for Q4 |  |
| IT Governance | SPL | Planned for Q3 |  |
| O365 | Follow Up | Complete | Full Assurance |
| HALO | SPL | Planned for Q4 |  |
| SolarWinds | Full System | Planned for Q2 |  |
| Telephony (VOIP) | Full System | Fieldwork |  |

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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. |