**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)** | 5 | 41.66 |
| ISSUED **(ISS)** | 1 | 8.34 |
| FIELDWORK **(FLD)** | 1 | 8.34 |
| REPORTING **(REP)** | 0 | 0.00 |
| COMPLETED **(COM)** | 5 | 41.66 |

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

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**Audits Completed in the Period**

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| --- | --- | --- |
| **Audit Title:**SRS – 23002 Application Integration Service | **Audit Sponsor:**Matt Lewis / Kathryn Beavan-Seymour | **Final Report Issued:**26 Jun 2023 |
| **Assurance Opinion:**

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

  | **Recommendations / Management Action(s)** |
| **Audit Timeline:** 15 days |
| **Audit Title:**SRS – 23003 CCTV Control Centre | **Audit Sponsor:**Matt Lewis / Kathryn Beavan-Seymour | **Final Report Issued:**26 Jun 2023 |
| **Assurance Opinion:**

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

  | **Recommendations / Management Action(s)** |
| **Audit Timeline:** 46 days |

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| **The following matter for management attention was noted:**No Security Industry Association (SIA) License, (required by anyone who guards premises/property or people via CCTV), existed for an individual (previously control room supervisor) casually employed as a CCTV Operator who accessed the Control Room. Management stated that he was involved in a ‘skill transfer’, covering alarm monitoring, the staff training and inventory databases, he did not have access to CCTV equipment according to management. |

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| --- | --- | --- |
| **Audit Title:**SRS – 23004 Change Management | **Audit Sponsor:**Matt Lewis / Kathryn Beavan-Seymour | **Final Report Issued:**08 Aug 2023 |
| **Assurance Opinion:**

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

  | **Recommendations / Management Action(s)** |
| **Audit Timeline:** 18 days |

**Key Points to Note**

*SRS – 23012*

* Only 14 responses (BGCBC) to the audit questionnaire have been received, this will impact on the ability to meet the first audit objective. Time will be allowed whilst the remaining testing is carried out, after which a report will be produced.

**Audit Team**

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| --- | --- | --- | --- |
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