**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:

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| --- | --- | --- |
| **STAGE** | **NUMBER** | **%AGE** |
| NOT ISSUED **(NID)** | 3 | 25.00 |
| ISSUED **(ISS)** | 1 | 8.33 |
| FIELDWORK **(FLD)** | 1 | 8.33 |
| REPORTING **(REP)** | 0 | 0.00 |
| COMPLETED **(COM)** | 7 | 58.34 |

|  |  |
| --- | --- |
| **CODE** | **NARRATIVE** |
| **P** | Planned |
| **I** | Issued |
| **C** | Completed |

|  |  |
| --- | --- |
|  | As planned or better |
|  | Later than planned |

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|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **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 | FLD | SYS | Firewall | 3 | 3 |  |
| SRS – 22005 | COM | SYS | Virtualisation | 3 | 3 | 4 |
| SRS – 22006 | COM | SYS | O365 | 1 | 1 | 4 |
| SRS – 22007  | COM | SPEC | Financial Regulations | 2 | 2 | 3 |
| SRS – 22008 | ISS | SPEC | Data Centre – Vantage | 3 | 4 |  |
| SRS – 22009 | NID | FUP | ISMS | 4 |  |  |
| SRS – 22010 | COM | FUP | IT Governance | 4 | 3 | 3 |
| SRS – 22011 | COM | FUP | ITSCM | 4 | 3 | 4 |
| SRS – 22012 | COM | FUP | Mobile Computing | 4 | 3 | 3 |
| SRS – 22013 | NID | FUP | Performance Management | 4 |  |  |

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**Audits Completed in the Period**

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| --- | --- | --- |
| **Audit Title:**SRS – 22005 Virtualisation | **Audit Sponsor:**Matt Lewis / Kathryn Beavan-Seymour | **Final Report Issued:**23 February 2023 |
| **Assurance Opinion:**

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

 | **Recommendations / Management Action(s)** |
| **Audit Timeline:** 105 days |

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| **Audit Title:**SRS – 22006 O365 | **Audit Sponsor:**Matt Lewis / Kathryn Beavan-Seymour | **Final Report Issued:**23 January 2023 |
| **Assurance Opinion:**

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

 | **Recommendations / Management Action(s)** |
| **Audit Timeline:** 230 days |
| ISS.1 – Backup | Priority: Low |
| ***Control Requirement:***Email data is backed up regularly to an offsite location.***Issue:***Currently no arrangements exist for the “offsite” back up of data outside the Microsoft Cloud environment. Should Microsoft experience a disaster resulting in a loss of cloud data, it would not be possible to recover it.  | ***Recommendation:***Suitable data backup arrangements are in place in the event of a loss of data held in the Microsoft Cloud. | ***Management Response:***Agreed.Addressing the issue highlighted is a partner decision and the case for a backup solution has been made by the partner information security manager. We are preparing a tender for a backup solution following the agreement given at ISLB on Jan 12, 2023 for 4 of the partners. TCBC are creating a business case seeking support the proposal, and should they decide the same as the other partners then we can work to secure a solution for them although their timeline may be different.**Matt Lewis, Chief Operating Officer**March 31, 2024 |

|  |  |  |
| --- | --- | --- |
| **Audit Title:**SRS – 22011 IT Service continuity Management | **Audit Sponsor:**Matt Lewis / Kathryn Beavan-Seymour | **Final Report Issued:**02 February 2023 |
| **Assurance Opinion:**

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

 | **Recommendations / Management Action(s)** |
| **Audit Timeline:** 21 days |

**Key Points to Note**

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

**Audit Team**

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