**SRS Audit Update**

**DATE: Finance and Governance Board, June 4th, 2024**

**SUBJECT: 2024-25 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 2024-25, 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 10 new open actions for all partners and 2 which have transferred to the chair of ILSB.* Gwent Police

There are a total of 10 new open actions for all partners and 2 which have transferred to the chair of ILSB. |
| 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** | **Partner** | **Status** |
| **IS Governance** | 2 | April 2024 | Partners | All | These were reported to the chair of ISLB as agreed in April 2024. These actions are now with the chair of ISLB. |
| **Halo** | 1 (new) | June 2024 | SRS | All | On track |
| **Solarwinds** | 1 (new) | Sept 2024 | SRS | All | On track |
| **Active Directory** | 8 (new) | July 2024 | SRS | All | On track |

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| **4.** | **Audit plan changes** |
| 4.1 | None reported currently. |
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| **5.** | **Audit Year – 2023-24** |
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| 5.1 | The 23/24 audit plan closed as shown in the table below.

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| **Audits**  | **Type of audit** | **Status** | **Update** |
| Active Directory | System | Complete | Substantial Assurance |
| Firewall | Follow Up | Complete | Full Assurance |
| Identity and Access Management | Follow Up | Complete | Full Assurance |
| HALO | SPL | Complete | Full Assurance |
| SolarWinds | System | Complete | Substantial AssuranceThis audit was delayed due to key staff (SRS) unavailability. This was reported verbally to the previous F+G Board as service delivery was prioritised. |
|  |
| EdTech | Follow Up | Complete | Full Assurance, although risk for Local Authorities raised at F+G June 2023 |
| Application Support | Follow Up | Complete | Full Assurance |
| CCTV Control Centre | System | Complete | Full Assurance |
| O365 | Follow Up | Complete | Full Assurance |
| Change Management | Follow Up | Complete | Full Assurance |
| Telephony | System | Complete | Full Assurance |
| IT Governance | SPL | Complete | Substantial Assurance  |

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|  | The SRS would like to thank the Internal Audit team at Torfaen for the flexibility offered to support the changes required in the sequence of audits in 23/24. |
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| **6.** | **Audit Year – 2024-25** |
| 6.1 | The 24/25 audit plan is shown in the table below.

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| --- | --- | --- | --- |
| **Audits**  | **Type of audit** | **Planned Quarter** | **Update** |
| Active Directory | Follow Up | 3 |  |
| Application Integration Service | System | 2 |  |
| Business Management | System | 2 |  |
| Data Centre – GPA | System | 1 | In Progress.  |
| HALO | Follow Up | 3 |  |
| Information Security Management System | System | 1 | In Progress |
| IT Disposals | System | 4 |  |
| IT Service Continuity Management | System | 4 |  |
| Mobile Computing | System | 2 |  |
| Software Asset Management | System | 3 |  |
| Solarwinds | Follow Up | 3 |  |

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| **7.** | **Monitoring and Evaluation** |
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| 7.1 | The audit process is monitored by the Deputy COO / Director of Operations. |