



Audit Plan

2023-24

SRS Audit Update

DATE: Finance and Governance Board, Sept 5th, 2023

SUBJECT: 2023-24 Audit Plan Update

Report Submitted by: Matt Lewis (COO SRS)

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1. Area Affected

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.

2. Purpose of Report

2.1 To update on the progress of the audit plan 2023-24, open actions and exceptions.

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 actions (which includes any new actions).

- All SRS Partners

An action from a previous audit year was the development of the revised MOU. This previously sat as an Audit exception and in 23/24 removed and added to the Risk Register. This work has now concluded and is an agenda item for today's meeting.

3.2 The current audit actions activity for open actions is shown in the table below.

Audit Name	Current Open Actions	Planned End Date	Owner	Partner	RAG status
Identity and Access Management	4	31/01/24	SRS	Local Authorities	
<p>Update September 23: Work is continuing and on track, however this is subject to partners having sufficient standardised business processes and role profiles to make automating the process viable. Partners are aware of this and have current programmes of work to review.</p> <p>Update June 23: 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)</p> <p>ISS.2 – User Access Requests ISS.3 – Account Removal / Adjustment</p>					



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ISS.4 - Provisioning ISS.5 – Modifications However 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	30/09/23	SRS	All	

4. Audit plan changes

4.1 None reported currently.

5. **Planned Audits – 2023-24**

5.1 The current audit plan status is shown in the table below.

Audits	Type of audit	Status	Update
Telephony (VOIP)	Full System	Fieldwork	Only BGCBC responses received. Other LA's outstanding.
IT Governance	SPL	Fieldwork	Scope meeting scheduled
Active Directory	Full System	Planned for Q4	
Firewall	Follow Up	Planned for Q4	
Identity and Access Management	Follow Up	Planned for Q4	
HALO	SPL	Planned for Q4	
SolarWinds	Full System	Planned for Q3	
EdTech	Follow Up	Complete	Risk for Local Authorities raised at F+G June 2023
Application Support	Follow Up	Complete	Full Assurance
CCTV Control Centre	Full System	Complete	Full Assurance
O365	Follow Up	Complete	Full Assurance
Change Management	Follow Up	Complete	Full Assurance

6. Monitoring and Evaluation

6.1 The audit process is monitored by the Deputy COO / Director of Operations.