



SRS Audit Update

DATE: February 16th 2021

SUBJECT: 2020-21 Audit Plan Update

Report Submitted by: Matt Lewis (COO SRS)

Report Written by: Matt Lewis (COO SRS)

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 audit plan actions from prior to 2020-21 and the audit plan and actions from 2020-21.

3. Appendices Documents

- 3.1 Appendix one is the exception log that the SRS retains each time a Board decision is made, each time an action is completed and each time any occurrence occurs that delays an action.

4. Current audit action position

- 4.1 Of the 56 open actions which include any new actions, 43 have exception log statements.

In August 2019 with agreement of the Finance and Governance Board and after a recruitment exercise, the new schedule for the ITSCM (Business Continuity) audit was agreed, this accounts for 15 of the actions listed in the exceptions. There are also 13 actions listed as part of the Cyber Audit, 1 action in the Identity Access Management and 1 in the Applications audits that are reliant on the new timeline. [30 total]

There are 12 actions that are dependent on the agreement to purchase a SIEM/SOC solution. The risk was assessed at the Information Security Leadership Board and agreement made with the Senior Information Risk Owners to produce a specification and tender for the local authority partners (Gwent Police are part of a national monitoring system for Policing). This is due to go to tender in February 2021. [12 total]

The remaining exception is the development of the revised MOU. This work is progressing and being monitored by the Finance and Governance Board. [1 total]

The current audit actions activity is shown in the table below. For Gwent Police exception updates see appendix 1.

Audit Name	Total Actions	End Date	Status	SRS progress status	Audit overall status	GWP
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SRS Finance and Governance

2020

					against date	
Governance	3	April 2020	There is 1 remaining action in the exception log. This is in relation to the MOU and is scheduled to be discussed in the February 2021 board meeting.			
Apps Support and Maintenance	5	April 2020	There is 1 remaining action in the exception log. The remaining item is linked to the agreed changed dates for the ITSCM audit.			
Email	1	TBC	There is 1 open action remaining, which is overdue and appears in the exception log and is reliant on the implementation of a SOC/SIEM solution. Bridewell and SRS have completed the specification for a SOC/SIEM. This is scheduled to go out to tender in February 21.			
IT Service Continuity Management	19	March 2022	There are 15 open actions for future dates after the Finance and Governance Board agreed new schedule once decision made to recruit Business Continuity resources.			



Virtualisation	2	March 2021	<p>There are 2 open actions, both appear in the exception log and are reliant on the implementation of a SOC/SIEM solution</p> <p>Bridewell and SRS have completed the specification for a SOC/SIEM. This is scheduled to go out to tender in February 21.</p>			
Identity and Access Management	6	March 2021	<p>There are 2 open actions, both are in the exception log. 1 is reliant on the implementation of a SOC/SIEM solution.</p> <p>Bridewell and SRS have completed the specification for a SOC/SIEM. This is scheduled to go out to tender in February 21</p> <p>The remaining item is linked to the agreed changed dates for the ITSCM audit.</p>			
Cyber	42	March 2020	<p>There are 23 open actions, all appear in the exception log. All are linked to either the ITSCM audit for future dates or the implementation of the SIEM system.</p>			
Software Asset Management	8	April 21	<p>There are 7 open actions</p>			
Data Centre	2	August 21	<p>There are 2 open actions</p>			



Business Management	2	February 21	There are 2 open actions			
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5. Audit plan changes

5.1 The circumstances with COVID-19 has meant there has been agreed fluidity in the audit plan for 2020-21. There were no audits completed during Quarter 1. The following changes have been made:

Audit Name	Reason
Enterprise Architecture Follow Up	Delay in completing actions due to staff deployed to COVID response, in addition the Blaenau Gwent O365 migration was brought forward due to new ways of working due to the pandemic. Follow up audit has commenced.
ITSCM Follow Up	The business impact analysis has been delayed by approximately 14 weeks due to the staff being deployed to the COVID response, also a reduced capacity within the team due to injury. The member of staff has now returned to work. This isn't due to be audited during 20-21.
Software Asset Management Follow Up	The response to the actions has been delayed by approximately 18 weeks due to the staff being deployed to the COVID response and a current reduced capacity within the team. This audit is scheduled to commence in February 21.
CCTV Follow Up	The response to 1 action has been delayed by approximately 8 weeks due to the staff being deployed to the COVID response. Follow up audit has commenced.

6. Status of all 2020-21 Audits

6.1 The below table shows the status of each 2020-21 audit planned:

Audits	Type of audit	Status	Update
Business Management (Back Office)	Full	Complete	Substantial
Firewall	Follow Up	Complete	Full Assurance
Data Centre	Full	Complete	Full Assurance
Enterprise Architecture	Follow Up	In Progress	Field work commenced
Risk Management (Consultancy)	Full	Complete	Audit Opinion: The Risk Management Policy adopted and approved in July 2020 appears to be working effectively but regular monitoring should operate to ensure that it is fully embedded
Software Asset Management	Follow Up	Scheduled	Field work due to commence 24.02.21
CCTV / Control Centre	Follow Up	In Progress	Field work commenced



Cyber security	Follow Up	Scheduled	Field work due to commence 01.03.21
ISMS	Full	In progress	Field work

7. COVID-19 Delays

7.1 It is important for the Finance and Governance group to note that in the current circumstances it is difficult to foresee any continued impact due to COVID-19 and we will continue to report on impact.

8. Monitoring and Evaluation

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