



### SRS Audit Update

DATE: Finance + Governance Board, September 16th 2021

### SUBJECT: 2021-22 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 progress of the audit plan 2021-22, open actions and exceptions.

#### 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 Local Authority Partners

For Local Authority partners there are 28 open actions (which includes any new actions), 28 have exception log statements and 4 items that are flagged for management attention but also have exception log statements.

As reported previously, there are 6 open actions that are dependent on the agreement to purchase a SIEM/SOC solution. There are also 3 items flagged for management attention that will be resolved with the introduction of a SIEM/SOC. The risk was assessed at the Information Security Leadership Board (ISLB) and agreement made with the Senior Information Risk Owners to produce a specification and tender for the local authority partners (This doesn't apply to Gwent Police as they are part of a national monitoring system for Policing). This went out to tender in February 2021 and we are currently in the standstill period for the procurement, hoping to progress in mid-September. We are currently reporting these as Red, however anticipating that this will change once the system implementation begins.

##### Gwent Police

For Gwent Police there are 21 open actions (which includes any new actions), 14 have exception log statements and 1 item that is flagged for management attention but also has an exception log statement as it relates to a linked activity in the ITSCM audit.

##### All SRS Partners

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 12 of the actions listed in the exception report. There is also 1 action in the Identity Access Management that is reliant on the new timeline. These actions



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are classified as Amber as they are subject to a new timeline and there is a delay due to resources that has been previously reported to Finance and Governance board. An updated position is included within this paper.

The remaining exception is the development of the revised MOU. This work is an action for Torfaen and is progressing and being monitored by the Finance and Governance Board.

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

| Audit Name                              | Current Open Actions | End Date    | Status / Owner   | SRS progress status | Audit overall status against date |
|---|----------------------|-------------|--|---------------------|-----------------------------------|
| <b>Governance</b>                       | 1                    | April 2020  | 1 Exception logged / F+G board.<br><br>Update: Draft MOU received, awaiting sign off.                  |                     |                                   |
| <b>Email</b>                            | 1                    | TBC         | 1 Exception logged (SIEM/SOC) / LA Partners<br><br>Update: Tender currently in standstill period.      |                     |                                   |
| <b>IT Service Continuity Management</b> | 12                   | March 2023  | 12 Exceptions logged / SRS   |                     |                                   |
| <b>Virtualisation</b>                   | 2                    | TBC         | 2 Exceptions logged (SIEM/SOC) / LA Partners<br><br>Update: Tender currently in standstill period.     |                     |                                   |
| <b>Identity and Access Management</b>   | 2                    | March 2022  | 1 Exception logged (SIEM/SOC) / LA Partners<br><br>1 Exception logged (ITSCM) / SRS                    |                     |                                   |
| <b>Cyber Security</b>                   | 2                    | TBC         | 2 Exceptions logged (SIEM/SOC) / LA Partners<br><br>Update: Tender currently in standstill period.     |                     |                                   |
| <b>Data Centre</b>                      | 1                    | August 2021 | There is 1 open actions (SIEM/SOC) / LA Partners<br><br>Update: Tender currently in standstill period. |                     |                                   |



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|--------------------------------|---|---------------|--------------------------------|---|---|
|                                |   |               |                                |   |   |
| <b>Enterprise Architecture</b> | 2 | March 2022    | There are 2 open actions / SRS | ● | ● |
| <b>IT Disposal (new)</b>       | 5 | December 2021 | There are 5 open actions       | ● | ● |

### 5. Audit plan changes

5.1 The circumstances with COVID-19 has meant there has been agreed fluidity in the audit plan.

| Audit Name      | Reason   |
|-----------------|--|
| ITSCM Follow Up | <p>The business impact analysis has been delayed by approximately 17 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 and has completed a phased return.</p> <p>Update: There has been good progress against the revised timeline with 3 of the actions being closed since the last report. One of which was the Business Impact Analysis which was a major milestone.</p> |

The below table is the status of the actions for the ITSCM audit.

| Ref   | Description                             | Date (Agreed by F+G August 2019) | Revised Dates (Agreed by F+G May 2021) | Status   |
|-------|---|----------------------------------|--|--|
| Iss.1 | BCP Methodology                         | 31.12.2019                       | -                                      | Complete   |
| Iss.3 | BIA                                     | 31/12/2020                       | 30/06/2021                             | Complete   |
| Iss.4 | BC Risk Assessment                      | 30/06/2021                       | 31/10/2021                             | Initially reported 6 months following the BIA. However the Risk Management framework, risk assessment and Register has been completed and reviewed as part of the Risk Management audit. This will be reviewed and considered complete following collation and display of business dependencies at the end of the BIA. |
| Iss.5 | Business Recovery & Continuity Strategy | 30/06/2021                       | 31/10/2021                             | Originally stated up to 6 months following the database being completed.<br><br><b>Now completed:</b>  |



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|        |                                 |            |            |   |
|--------|---------------------------------|------------|------------|---|
|        |                                 |            |            | <ul style="list-style-type: none"> <li>• Risk Register (Audited 20/21)</li> <li>• Cyber Plan (Audited 20/21)</li> <li>• Major Incident Plan (Audited 20/21)</li> <li>• Refreshed the original SRS BC Plan</li> <li>• Communication Plan</li> <li>• DR Plan</li> </ul> <p><b>Outstanding</b><br/>ISS.7 - Roles and Responsibilities (although currently contained within existing revised plans)<br/>Recovery Plans for invocation decisions (existing BCM plan would be used today – this has been subject to a tabletop exercise carried out by Bridewell)</p> |
| Iss.6  | ITSCM Policy                    | 30/06/2021 | 31/10/2021 | Originally stated up to 6 months following the BIA database being completed. (existing BCM plan would be used today – this has been subject to a table top exercise by Bridewell)   |
| Iss.7  | ITSCM Roles & Responsibilities  | 30/06/2021 | 31/10/2021 | Originally stated up to 6 months following the database being completed. (Update in ISS.5)  |
| Iss.8  | BCM Charter                     | 31/10/2019 | -          | Complete  |
| Iss.9  | IT DR Plan                      | 30/06/2021 | 31/10/2021 | Originally stated up to 6 months following the BIA database being completed.<br><br>As an interim measure a DR plan has been written with Bridewell, this will be revisited following the completion of the BIA database.   |
| Iss.10 | External Agency                 | 30/06/2021 | 30/06/2021 | Complete  |
| Iss.11 | Recovery Testing Plan           | 31/12/2021 | 31/03/2022 | New target date March 2022 (in line with previous reported delay)   |
| Iss.12 | 3 <sup>rd</sup> Party Contracts | 30/06/2021 | 30/06/2021 | Complete  |



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|         |   |                                  |            |  |
|---------|---|----------------------------------|------------|--|
| Iss.13  | Invocation Decisions  | 30/06/2021                       | 31/10/2021 | New target date 31 Oct 21 (in line with previous reported delay)   |
| Iss.14  | Crisis Communication Plan   | 30/06/2021                       | 31/10/2021 | New target date 31 Oct 21 (in line with previous reported delay)   |
| Iss.15  | Commitment  | 30/06/2021                       | 30/06/2021 | On track – No exception logged as in place.  |
| Iss.16a | BCM Arrangements – Table-Top Exercise Conducted                         | 31/12/2021                       | 31/03/2022 | New target Date 31/03/2022 (in line with previous reported delay)  |
| Iss.16b | BCM Arrangements – Live Exercise Conducted                              | 31/12/2022                       | 31/12/2022 | On track   |
| Iss.17  | Maintenance – BC Arrangements   | 31/03/2022                       | 30/06/2022 | Always reported that this would follow ISS.16b. The live test.<br><br>Will be completed by June 2022 (3 month delay)                     |
| Iss.18  | Review  | Due for completion by March 2023 | 31/03/2023 | This is the adoption of business as usual activity and therefore an annual review point, the first of which is scheduled for March 2023. |
| Iss.19  | Senior Management Support – agreement of procedures for BC Arrangements | 30/06/2021                       | 30/06/2021 | Same as ISS.15 timeline BC Operation and Strategy Group in place.<br><br>On track – No exception logged as in place.                     |



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### 6. Status of all 2021-22 Audits

6.1 There are 10 audits planned in 2021-22. The below table shows the status of each planned audit:

| Audits                         | Type of audit | Status               | Update   |
|--------------------------------|---------------|----------------------|--|
| Ed Tech Standards              | Full System   | Field work commenced | In Progress  |
| IT Disposals                   | Follow Up     | Completed            | Moderate Assurance   |
| Application Support            | Full System   | Planned for Q3       | -  |
| IT Governance                  | Full System   | Planned for Q3       | Outstanding exception from previous audit for the F+G board - MOU. |
| IT Service Continuity          | Full System   | Planned for Q4       | -  |
| Identity and Access Management | Full System   | Planned for Q4       | -  |
| Business Management            | Follow Up     | Completed            | Full Assurance   |
| Data Centre                    | Follow Up     | Planned for Q4       | -  |
| Performance Management         | Full System   | Planned for Q3       | -  |
| Mobile Computing               | Full System   | Planned for Q3       | -  |

### 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.