



SRS Audit Update

DATE: August 18th 2020

SUBJECT: 2020-21 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 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 Torfaen audit plan document confirming the current position for the planned audits in 2020-21.

Appendix two 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 70 open actions which include any new actions, 42 have exception log statements. Appendix two shows the decisions made at other Boards and groups which have an impact on the date of the SRS completing their audit actions.
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The current audit actions activity is shown in the table below.

Audit Name	Total Actions	End Date	Status	SRS progress status	Audit overall status against date
Governance	3	April 2020	There is 1 remaining action in the exception log.	Green	Red
Apps Support and Maintenance	5	April 2020	There is 1 remaining action in the exception log.	Green	Yellow
Email	1	TBC	There is 1 open action remaining, which is overdue and appears in the exception log.	Green	Red
IT Service Continuity Management	19	March 2022	There are 15 open actions for future dates after the Finance and Governance Board agreed extensions due to decision delays on funding.	Yellow	Green
Firewall	7	November 2020	There is 1 open action for a future date.	Green	Green
Enterprise Architecture	7	September 2020	There are 5 open actions.	Yellow	Green
CCTV	8	March 2021	There are 8 open actions.	Yellow	Green
Performance Management	2	May 2020	There are 2 open actions for future dates.	Green	Green
Virtualisation	2	March 2021	There is 1 open action.	Green	Yellow
Identity and Access Management	6	March 2021	There are 5 open actions, 1 appears in the exception log.	Green	Yellow



Cyber	42	March 2020	There are 23 open actions, all appear in the exception log.		
Software Asset Management	8	April 21	There are 7 open actions		

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
Back Office Full	The audit was planned for Q1, however due to the pandemic this will be moved until Q3.
Firewall Follow Up	The audit was planned for Q1, however due to the pandemic this will be moved until later in the year.
Enterprise Architecture	Delay in completing actions due to staff deployed to COVID response, in addition the Blaenau Gwent O365 migration has been brought forward due to new ways of working due to the pandemic. Further update on progress will be provided at the November 2020 F+G board.
ITSCM	The business impact analysis has been delayed by approximately 8 weeks due to the staff being deployed to the COVID response. This isn't due to be audited during 20-21.
Software Asset Management	The response to the actions has been delayed by approximately 8 weeks due to the staff being deployed to the COVID response.
CCTV	The response to 1 action has been delayed by approximately 8 weeks due to the staff being deployed to the COVID response.



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	Opinion
Back Office	Full		
Firewall	Follow Up		
Data Centre	Full	In Progress	
Enterprise Architecture	Follow Up		
Risk Management	Full	In Progress	
Software Asset Management	Follow Up		
CCTV / Control Centre	Follow Up		
IT Governance	Full		
Cyber security	Follow Up		
ISMS	Full		

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 as the year progresses.

8. Monitoring and Evaluation

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