Audit Exception Dashboard

Audit Actions	Reference	Number	Local Authority Exception Description	Gwent Police Exception Description
Governance	OGS5	1	The MOU rewrite request was made by the Strategic Board, the request was allocated to the Finance and Governance Board for action and update. At the time of support services transfer, the MOU rewrite / refresh had not occurred. The COO is now working with Torfaen to complete this task. Next update due end of May 2021	The MOU rewrite request was made by the Strategic Board, the request was allocated to the Finance and Governance Board for action and update. At the time of support services transfer, the MOU rewrite / refresh had not occurred. The COO is now working with Torfaen to complete this task. Next update due end of May 2021
Email	ISS.4	1	A SIEM solution for managing security incidents is required to complete this action and was requested by the SRS to the Finance and Governance Board on June 25th. Minutes from the meeting show this was agreed to be actioned to go to ISLB on July 18th where the action has remained until January 2020 when the SRS requested it be progressed again. The SRS are currently looking into options for SIEM solutions. Bridewell and SRS have completed the specification for a SOC/SIEM. This went to tender in February 21 and an update is due to be presented to the F+G Board May 21.	Complete
IT Service Continuity Management	15 recommendations	15	Due to a delay in the approval of funding for the BCM roles and the BCM programme through the Finance and Governance Board all of the ITSCM recommendation dates have been pushed back. The Finance and Governance Board agreed these changes of dates at the August 20th Board meeting. The new dates are reflected in this document. This decision to delay has implications for a number of other audits that are highlighted within this document but were only changed when the dates arrived rather than when the delay occurred. The Business Impact Analysis is progressing and the next milestone delivery is due on the 30th June 2021. There is currently a reported 17 week delay due to the resource availabilty during the CoVID pandemic.	Due to a delay in the approval of funding for the BCM roles and the BCM programme through the Finance and Governance Board all of the ITSCM recommendation dates have been pushed back. The Finance and Governance Board agreed these changes of dates at the August 20th Board meeting. The new dates are reflected in this document. This decision to delay has implications for a number of other audits that are highlighted within this document but were only changed when the dates arrived rather than when the delay occurred. The Business Impact Analysis is progressing and the next milestone delivery is due on the 30th June 2021. There is currently a reported 17 week delay due to the resource availabilty during the CoVID pandemic.
Virtualisation	ISS.5	1	A SIEM solution for managing security incidents is required to complete this action and was requested by the SRS to the Finance and Governance Board on June 25th. Minutes from the meeting show this was agreed to be actioned to go to ISLB on July 18th where the action has remained until January 2020 when the SRS requested it be progressed again. The SRS are currently looking into options for SIEM solutions. Bridewell and SRS have completed the specification for a SOC/SIEM. This went to tender in February 21 and an update is due to be presented to the F+G Board May 21.	Complete
	ISS.8	1	A SIEM solution for managing security incidents is required to complete this action and was requested by the SRS to the Finance and Governance Board on June 25th. Minutes from the meeting show this was agreed to be actioned to go to ISLB on July 18th where the action has remained until January 2020 when the SRS requested it be progressed again. The SRS are currently looking into options for SIEM solutions. Bridewell and SRS have completed the specification for a SOC/SIEM. This went to tender in February 21 and an update is due to be presented to the F+G Board May 21.	Complete
Identity and Access Management	ISS.2	1	A SIEM solution for managing security incidents is required to complete this action and was requested by the SRS to the Finance and Governance Board on June 25th. Minutes from the meeting show this was agreed to be actioned to go to ISLB on July 18th where the action has remained until January 2020 when the SRS requested it be progressed again. The SRS are currently looking into options for SIEM solutions. Bridewell and SRS have completed the specification for a SOC/SIEM. This went to tender in February 21 and an update is due to be presented to the F+G Board May 21.	Complete
	ISS.4	1	FIAM Servers is a deliverable in the ITSCM audit. This will be tested as part of the live exercise which is scheduled for 31/12/2022	FIAM Servers is a deliverable in the ITSCM audit. This will be tested as part of the live exercise which is scheduled for 31/12/2022
Cyber security	ISS.11	MA	During the Follow Up audit this has been raised for Management attention. A SIEM solution for managing security incidents is required to complete this action and was requested by the SRS to the Finance and Governance Board on June 25th. Minutes from the meeting show this was agreed to be actioned to go to ISLB on July 18th where the action has remained until January 2020 when the SRS requested it be progressed again. The SRS are currently looking into options for SIEM solutions. Bridewell and SRS have completed the specification for a SOC/SIEM. This went to tender in February 21 and an update is due to be presented to the F+G Board May 21.	Complete.
	ISS.3 (previously ISS.1	1	A SIEM solution for managing security incidents is required to complete this action and was requested by the SRS to the Finance and Governance Board on June 25th. Minutes from the meeting show this was agreed to be actioned to go to ISLB on July 18th where the action has remained until January 2020 when the SRS requested it be progressed again. The SRS are currently looking into options for SIEM solutions. Bridewell and SRS have completed the specification for a SOC/SIEM. This went to tender in February 21 and an update is due to be presented to the F+G Board May 21.	Complete
	ISS.29	MA	During the Follow Up audit this has been raised for Management attention. A SIEM solution for managing security incidents is required to complete this action and was requested by the SRS to the Finance and Governance Board on June 25th. Minutes from the meeting show this was agreed to be actioned to go to ISLB on July 18th where the action has remained until January 2020 when the SRS requested it be progressed again. The SRS are currently looking into options for SIEM solutions. Bridewell and SRS have completed the specification for a SOC/SIEM. This went to tender in February 21 and an update is due to be presented to the F+G Board May 21.	Complete
	ISS.1 (previously ISS.3	1	A SIEM solution for managing security incidents is required to complete this action and was requested by the SRS to the Finance and Governance Board on June 25th. Minutes from the meeting show this was agreed to be actioned to go to ISLB on July 18th where the action has remained until January 2020 when the SRS requested it be progressed again. The SRS are currently looking into options for SIEM solutions. Bridewell and SRS have completed the specification for a SOC/SIEM. This went to tender in February 21 and an update is due to be presented to the F+G Board May 21.	Complete
	ISS.4	MA	During the Follow Up audit this has been raised for Management attention. A SIEM solution for managing security incidents is required to complete this action and was requested by the SRS to the Finance and Governance Board on June 25th. Minutes from the meeting show this was agreed to be actioned to go to ISLB on July 18th where the action has remained until January 2020 when the SRS requested it be progressed again. The SRS are currently looking into options for SIEM solutions. Bridewell and SRS have completed the specification for a SOC/SIEM. This went to tender in February 21 and an update is due to be presented to the F+G Board May 21.	Complete

	ISS.40	MA	During the Follow Up audit this has been raised for Management attention. Due to a delay in the approval of funding for the BCM roles and the BCM programme through the Finance and Governance Board all of the ITSCM recommendation dates have been pushed back. The Finance and Governance Board agreed these changes of dates at the August 20th Board meeting. That decision to delay has implications on this audit recommendation but was only changed when the dates arrived rather than when the delay occurred. Revised target end date 30/06/21	During the Follow Up audit this has been raised for Management attention. Due to a delay in the approval of funding for the BCM roles and the BCM programme through the Finance and Governance Board all of the ITSCM recommendation dates have been pushed back. The Finance and Governance Board agreed these changes of dates at the August 20th Board meeting. That decision to delay has implications on this audit recommendation but was only changed when the dates arrived rather than when the delay occurred. Revised target end date 30/06/21 Update from Bridewell, the following controls are in place: Cyber Security Incident Response Plan in place - reviewed and approved by Deliotte as part of NEP Security Controls. O365 users activity is monitored by BT/NMC (national monitoring centre), and on-prem monitoring is currently being connected/tested which will also be monitored by BT/NMC which includes checkpoint firewall logs. Data Centre is currently situated in Blaenavon, we are looking to relocate this to an alternative provider - Partner Security undertook physical security review of a potential supplier. GWP now undertake physical security assessments of all buildings - assessment written by Partner Security. During COVID pandemic we have undertaken a DR test by all staff moving from working on-prem to working from home - infrastructure was able to handle this change. During COVID increased Information Security awareness has been provided to all staff via Intranet by Partner Security.
Application Support	ISS.2	1	This is a deliverable of the Business Impact Analysis in the ITSCM audit. Due to a delay in the approval of funding for the BCM roles and the BCM programme through the Finance and Governance Board all of the ITSCM recommendation dates have been pushed back. The Finance and Governance Board agreed these changes of dates at the August 20th Board meeting. That decision to delay has implications on this audit recommendation but was only changed when the dates arrived rather than when the delay occurred. Revised target end date 30/06/21	This is a deliverable of the Business Impact Analysis in the ITSCM audit. Due to a delay in the approval of funding for the BCM roles and the BCM programme through the Finance and Governance Board all of the ITSCM recommendation dates have been pushed back. The Finance and Governance Board agreed these changes of dates at the August 20th Board meeting. That decision to delay has implications on this audit recommendation but was only changed when the dates arrived rather than when the delay occurred. Revised target end date 30/06/21