

Audit Exception Dashboard

Audit Actions	Reference	Number	Exception Description
IT Governance	OGS2	1	The Finance and Governance Board agreed that they do not want to implement the commissioning process. The SRS created the commissioning document as per the recommendation, however, partners are not going to complete them. Action classed as able to be removed.
	OGS5	1	The MOU rewrite request was made by the Strategic Board, the request was taken into the Finance and Governance Board a number of times 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.
IT Disposals	ISS.1	1	The SRS took papers to ISLB on July 30th and to the Finance and Governance Board on June 26th informing partners of the need to create their own asset disposal policies in light of GDPR requirements. This action has been delayed to deal with delays in this process so the SRS agreed a date change for this action which will fulfil the recommendation prior to the follow up. Action classed as able to be removed.
	ISS.3	1	The SRS took papers to ISLB on July 30th and to the Finance and Governance Board on June 26th informing partners of the need to create their own asset disposal policies in light of GDPR requirements. This action has been delayed to deal with delays in this process so the SRS agreed a date change for this action which will fulfil the recommendation prior to the follow up. Action classed as able to be removed.
	ISS.6	1	The SRS took papers to ISLB on July 30th and to the Finance and Governance Board on June 26th informing partners of the need to create their own asset disposal policies in light of GDPR requirements. This action has been delayed to deal with delays in this process so the SRS agreed a date change for this action which will fulfil the recommendation prior to the follow up. Action classed as able to be removed.
	ISS.7	1	The SRS took papers to ISLB on July 30th and to the Finance and Governance Board on June 26th informing partners of the need to create their own asset disposal policies in light of GDPR requirements. This action has been delayed to deal with delays in this process so the SRS agreed a date change for this action which will fulfil the recommendation prior to the follow up. Action classed as able to be removed.
Email	ISS.4	1	A SIEM solution for managing security incidents 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.
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 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.
Firewall	ISS.5	1	A SIEM solution for managing security incidents 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.
Mobile Computing	ISS.1	1	As ISLB has agreed that ISO27001 is no longer a requirement from an accreditation perspective, this recommendation is no longer valid. Action classed as able to be removed.
Supplier Management	ISS.4	1	This recommendation relates to a contract that was brought over to the SRS as part of the Blaenau Gwent transfer of people and services. The SRS took the contract on in good faith that a procurement process had been carried out, unfortunately this was not the case and there was no underpinning contract in place in Blaenau Gwent. The SRS does not feel this was their responsibility and our process mandates a contract. Action classed as able to be removed.
CCTV / Control Centre	ISS.3	1	Delayed due to COVID-19.
Performance Management	ISS.4	1	The Finance and Governance rejected the request at the June Board meeting to continue with the Gartner service, the benchmarking service was part of the Gartner provision.
	ISS.7	1	The Finance and Governance Board agreed that the SRS did not need a balanced scorecard therefore this risk was accepted by them.
Virtualisation	ISS.3	1	Of the seven recommendations received, one was not accepted by the SRS. This audit can never be 100% due to not accepting one of the recommendations. This is standard audit practice.
	ISS.5	1	A SIEM solution for managing security incidents 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.
	ISS.8	1	A SIEM solution for managing security incidents 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.
Identity and Access Management	ISS.14	1	Delayed but in progress (Date change approved by Operational Performance board due to need to recruit a security analyst and to commit to PSN.)
Cyber security	ISS.11	1	A SIEM solution for managing security incidents 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.
	ISS.14	1	Update from Bridewell. Date change required due to migration to Office 365. Completed in part, currently working with partners to fully implement as they move into O365. Blaenau Gwent now planned during Autumn 2020.

	ISS.15	1	A SIEM solution for managing security incidents 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.
	ISS.16	1	A SIEM solution for managing security incidents 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.
	ISS.17	1	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.
	ISS.19	1	A SIEM solution for managing security incidents 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.
	ISS.23	1	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.
	ISS.24	1	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.
	ISS.25	1	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.
	ISS.26	1	The SRS clearly stated in the final audit report, circulated to the Finance and Governance Board that SIRO's were responsible for this recommendation.
	ISS.27	1	The Finance and Governance rejected the request to register assets down to server disk level. This recommendation was therefore not accepted.
	ISS.28	1	A SIEM solution for managing security incidents 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.
	ISS.29	1	A SIEM solution for managing security incidents 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.
	ISS.30	1	A SIEM solution for managing security incidents 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.
	ISS.32	1	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.
	ISS.38	1	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.
	ISS.39	1	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.
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	ISS.40	1	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.
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	ISS.9	1	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.
	ISS.5	1	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.
Application Support	ISS.2	1	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.