

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 Feb 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 Feb 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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
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 was due on the 30th June 2021. There is currently a reported 14 week delay due to the resource availability during the CoVID pandemic (6th October 2021).	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 was due on the 30th June 2021. There is currently a reported 14 week delay due to the resource availability during the CoVID pandemic (6th October 2021).
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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
	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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
	ISS.4	1	FIDM Servers is a deliverable in the ITSCM audit. This action is on hold pending the completion of this work.	Update from Bridewell, the following controls are in place: Gwent Police now have SailPoint, which has recently been implemented – FISO will be auditing this quarterly starting March/April.
Cyber security	ISS.11	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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
	ISS.14	1	Update from Bridewell. Date change was required due to migration to Office 365. Completed in part, currently working with partners to fully implement.	Update from Bridewell, the following controls are in place: NEP will deliver encrypted email, and activity is monitored by BT/NMC and alerts reviewed/actioned by FISO. A RoPA is in place to record all data processing activity. BT/NMC is being tested for on-prem services and will report on suspicious activity. All laptops have encryption. a DPIA is completed for all new projects/software and is reviewed by DPO and FISO.
	ISS.15	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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
	ISS.16	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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
	ISS.17	1	Incident response plans tested in March 2020 by Partner Security as a Table-Top exercise, which included the review of systems and their priority of restore. Cyber Security Incident Response Plan (written by Partner Security) in place for all LAs - reviewed and approved by Deloitte as part of NEP Security Controls. During COVID increased Information Security awareness has been provided to all staff via Intranet by Partner Security. 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.	Update from Bridewell, the following controls are in place: Cyber Security Incident Response Plan in place - reviewed and approved by Deloitte as part of NEP Security Controls. 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. DR plan to be tested at end of DR project - March 2021

	ISS.19	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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
	ISS.23	1	Supplier Survey Questionnaires in place for all LAs (created by Partner Security) and sent to all new suppliers, the completed surveys reviewed by Partner Security. LAs have completed a RoPA (record of processing activity) which details systems and data processing activity. Business Continuity plans in place for all LAs. Disaster Recovery plan in place (written by Partner Security). Incident response plans tested in March 2020 by Partner Security which included the review of systems and their priority of restore. Table top exercise scheduled for May 2021. 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.	Update from Bridewell, the following controls are in place: Supplier Survey Questionnaires in place for GWP (created by FISO) and sent to all new suppliers, the completed surveys reviewed by FISO and DPO. GWP have catalogued as part of NEP program systems, data. GWP have a Business Continuity plan in place and systems are categorised within.
	ISS.24	1	LA's have their own Business Continuity plans in place. Disaster Recovery plan in place (written by Partner Security). Incident response plans tested in March 2020 by Partner Security which included the review of systems and their priority of restore. LAs have completed a RoPA (record of processing activity) which details systems and data processing activity. Table top exercise scheduled for May 2021. 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.	Update from Bridewell, the following controls are in place: Gwent Police has a Information Classification Policy, a data Owner Policy and a ROPA, all of which have been reviewed and approved by the Home Office and Deloitte as part of the NEP programme. Gwent Police also has a business continuity plan which categorises systems
	ISS.25	1	Incident reponse plans tested in March 2020 by Partner Security as a Table-Top exercise, which included the review of systems and their priority of restore. Next test scheduled for May 2021. 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.	Update from Bridewell, the following controls are in place: Business Continuity plan in place and systems are categorised within. DR project in progress. The FISO will conduct a DR test following completion of this project in March 2021.
	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.	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.	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 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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
	ISS.29	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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
	ISS.30	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 is scheduled to go out to tender in February 21.	During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place.
	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.	Update from Bridewell, the following controls are in place: DR project in progress, the FISO will conduct a DR test following completion of this project in March 2021.
	ISS.38	1	Supplier Survey Questionnaires in place for all LAs and sent to all new suppliers, the completed surveys reviewed by Partner Security. 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.	Update from Bridewell, the following controls are in place: Supplier Survey Questionnaires in place for GWP (created by FISO) and sent to all new suppliers, the completed surveys reviewed by FISO and DPO. 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.	Update from Bridewell, the following controls are in place: The critical national infrastructure for the Police cloud is defined nationally under the NEP programme.

	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 is scheduled to go out to tender in February 21.	Update from Bridewell, the following controls are in place: During 2019 Gwent Police subscribed to the National Monitoring Centre and therefore have a Security Operations Centre and SIEM in place. 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. All suspicious activity is reported to FIMs and FISO investigates all alerts. Regular internal scanning (through Nessus) is in place which scans Data Centre/assets
	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.	Update from Bridewell, the following controls are in place: Cyber Security Incident Response Plan in place - reviewed and approved by Deloitte 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.
	ISS.6	1	Incident response plans tested in March 2020 by Partner Security as a Table-Top exercise, which included the review of systems and their priority of restore. Next test scheduled for May 2021. 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.	Update from Bridewell, the following controls are in place: Business Continuity plan in place and systems are categorised within. DR project in progress, the FISO will conduct a DR test following completion of this project - March 2021.
	ISS.7	1	Update from Bridewell, the following controls are in place: Incident response plans tested in March 2020 by Partner Security as a Table-Top exercise, which included the review of systems and their priority of restore. Cyber Security Incident Response Plan (written by Partner Security) in place for all LAs - reviewed and approved by Deloitte as part of NEP Security Controls. During COVID increased Information Security awareness has been provided to all staff via Intranet by Partner Security. Information Security Policy in place (created by Partner Security) for MCC and BGCB (SRS write TCBC). Manual monitoring is currently in place for LAs. A technical spec has been written by Partner Security to assist with the procurement of a SIEM/SOC. internal nessus scans are in place for the LAs which scan network/assets as part of PCIDSS application. Next table-top scheduled for May 2021. 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.	Update from Bridewell, the following controls are in place: Cyber Security Incident Response Plan in place - reviewed and approved by Deloitte 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. Business Continuity plan in place and systems are categorised within. DR project in progress, the FISO will conduct a DR test following completion of this project. 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. Information Security Policy in place (created by Partner Security) reviewed by Deloitte as part of NEP security controls. Regular internal scanning (through Nessus) is in place which scans Data Centre/assets
	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.	Update from Bridewell, the following controls are in place: DR project in progress, the FISO will conduct a DR test following completion of this project, scheduled for March 2021.
	ISS.5	1	Incident response plans in place and tested in March 2020 & January 2021 as part of table top exercise - conducted by Partner Security. 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.	Update from Bridewell, the following controls are in place: Incident response plans in place and tested in March 2020 & January 2021 as part of table top exercise - conducted by Partner Security. 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	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.	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.