**SRS Audit Update**

**DATE: Finance and Governance Board, March 7th, 2023**

**SUBJECT: 2022-23 Audit Plan Update**

Report Submitted by: Matt Lewis (COO SRS)

Report Written by: Kath Beavan-Seymour (Deputy COO SRS)

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| **1.** | **Area Affected** |
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| 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. |
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| **2.** | **Purpose of Report** |
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| 2.1 | To update on the progress of the audit plan 2022-23, open actions and exceptions.  |
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| **3.** | **Appendices Documents** |
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| 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** |
| 4.14.24.34.44.5 | Local Authority PartnersFor Local Authority partners there are a total of 12 open actions (which includes any new actions).Actions linked to the implementation of SIEM/SOC. 7 actions have exception log statements and 3 items that are flagged for management attention. This is due to be audited in Q4 as part of the Cyber Security Audit.Gwent PoliceFor Gwent Police there are a total of 6 open actions (which includes any new actions), There are no exception log statements.All SRS PartnersThe 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. We will remove this as an Audit exception as it sits on the Risk Register.The current audit actions activity for open actions is shown in the table below.

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| **Audit Name**  | **Current Open Actions** | **End Date**  | **Status / Owner** | **SRS** **progress****status**  | **Audit overall status against date** |
| **Email (Original system audit)** | 1 | TBC  | 1 Exception logged (SIEM/SOC) / LA Partners |   |   |
| **Virtualisation** **(Original system audit)** | 2 | TBC  | 2 Exceptions logged (SIEM/SOC) / LA Partners. |   |  |
| **Identity and Access** **Management****(Original system audit)**  | 1 | TBC  | 1 Exception logged (SIEM/SOC) / LA Partners |   |   |
| **Cyber Security****(Original system audit)** | 2 | TBC | 2 Exceptions logged (SIEM/SOC) / LA Partners  |   |  |
| **Performance** | 1 | April 2023 | 1 open actions / SRSUpdate: This has been completed pending review during the follow up audit in Q4. |   |   |
| **Identity and Access Management – follow up** | 4 | April 2023 | 4 open actions / SRS |   |   |
| **Office 365** | 1 | March 2024 | Update: A new action for all partners for an offsite backup of data. This has been agreed by all partner SIRO’s and a solution procured.  |  |  |

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| **5.** | **Audit plan changes** |
| 5.1 | There has been agreed fluidity in the 22/23 audit plan. The changes are reflected in the planned audits table below. We are currently working with TCBC Internal Audit on the new audit plan for 2023/24. |

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| **6.** | **Planned Audits – 2022-23** |
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| 6.1 |

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| **Audits**  | **Type of audit** | **Status** | **Update** |
| Change Management | Full System | Complete | Substantial Assurance |
| Cybersecurity SIEM/SOC | Full System | Planned Q3 | Moved to Q4. |
| Firewall | Full System | Planned Q3 | Fieldwork in progress |
| Virtualisation | Full System | In Progress | Fieldwork in progress |
| O365 | Full System | Complete | Full Assurance |
| Financial Regulations | Consultancy | Complete | Requires review by F+G board |
| Data Centre  | Consultancy | Planned Q2 | Moved to Q4 due to delay in Education move. |
| ISMS | Follow up | Planned Q4 | Scheduled |
| IT Governance | Follow up | Complete | Full Assurance |
| Mobile Computing | Follow up | Complete | Full Assurance |
| Performance Management | Follow up | Planned Q3 | Moved to Q4. |
| IT Service Continuity | Follow up | Planned Q4 | Full Assurance |

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| **7.** | **Monitoring and Evaluation** |
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| 7.1 | The audit process is monitored by the Deputy COO / Director of Operations. |