



SRS Audit Update
DATE: May 18th 2021

SUBJECT: 2021-22 Audit Plan Update

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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 2020-21 and the audit plan and new plan for 2021-22.

3. Appendices Documents

- 3.1 Appendix 1 is the detailed progress of the ITSCM Audit.
3.2 Appendix 2 is the exception log that records slippage or the completion of actions.

4. Current audit action position

4.1 Local Authority Partners

For Local Authority partners there are 36 open actions (which includes new actions). 28 have exception log statements, 4 of which are categorized as for management attention.

There are 6 open actions that are dependent on the agreement to purchase a SIEM/SOC solution and these will be resolved with the introduction of a SIEM/SOC. The risk was assessed at the Information Security Leadership Board (ISLB) and agreement made with the Senior Information Risk Owners to produce a specification and tender for the local authority partners (This doesn't apply to Gwent Police as they are part of a national monitoring system for Policing). This went out to tender in February 2021 and the results are currently being collated and due to be reported to both the ISLB and Finance & Governance Board.

Gwent Police

For Gwent Police there are 27 open actions (which includes new actions). 19 have exception log statements, 1 of which are categorized as for management attention. 9 actions in the exception log are complete.

All SRS Partners

a) ITSCM (Business Continuity Management Audit)

In August 2019 with agreement of the Finance and Governance Board and after a recruitment exercise, the new implementation plan for the ITSCM (Business Continuity) audit was agreed.

This accounts for 15 of the actions listed in the exception report. There is also 1 action in the Identity Access Management and 1 in the Applications audits that are reliant on the



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delivery of the ITSCM completion. These actions are classified as Amber as they are subject to a new timeline and there is a delay due to resources that has been previously reported to Finance and Governance Board. The detailed of progress is provided at Appendix 1.

b) Memorandum of Understanding

The remaining exception is the development of the revised MOU. This work is an action for Torfaen CBC and is progressing and being monitored by the Finance and Governance Board.

The current audit actions activity for open actions is shown in the table below.

Audit Title	Current Open Actions	End Date	Status / Owner	SRS Management progress status	Audit overall status against date
Governance	1	April 2020	1 Exception logged / F+G board		
Apps Support and Maintenance	1	April 2020	1 Exception logged / SRS		
Email	1	TBC	1 Exception logged / LA Partners		
IT Service Continuity Management	15	March 2023	15 Exceptions logged / SRS		
Virtualisation	2	TBC	2 Exceptions logged / LA Partners		
Identity and Access Management	2	March 2022	1 Exception logged / LA Partners 1 Exception logged / SRS		
Cyber Security	3	March 2020	2 Exceptions logged / LA Partners		
Software Management	5	August 2021	There are 5 open actions / SRS		
Data Centre	2	August 2021	There are 2 open actions / SRS		
Business Management	2	February 21	There are 2 open actions / SRS		
Enterprise Architecture	2	March 2022	There are 2 open actions / SRS		



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5. Audit plan changes

- 5.1 The circumstances with COVID-19 has meant there has been agreed fluidity in the audit plan.

Audit Name	Reason
ITSCM Follow Up	The business impact analysis has been delayed by approximately 17 weeks due to the staff being deployed to the COVID response, also a reduced capacity within the team due to injury. The member of staff has now returned to work and has completed a phased return.

6. Status of all 2021-22 Audits

- 6.1 There are 10 audits planned in 2021-22. The below table shows the status of each planned audit:

Audits	Type of audit	Status	Update
Ed Tech Standards	Full System	Field work commenced	In Progress
IT Disposals	Follow Up	Field work commenced	In Progress
Application Support	Full System	Planned for Q3	-
IT Governance	Full System	Planned for Q2	Outstanding exception from previous audit for the F+G board - MOU. This needs to be resolved prior to July 2020.
IT Service Continuity	Full System	Planned for Q4	-
Identity and Access Management	Full System	Planned for Q4	-
Business Management	Follow Up	Planned for Q2	-
Data Centre	Follow Up	Planned for Q4	-
Performance Management	Full System	Planned for Q3	-
Mobile Computing	Full System	Planned for Q3	-



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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.

8. **Monitoring and Evaluation**

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



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Appendix 1

The below table is the detailed progress of the actions for the ITSCM audit.

Ref	Description	Date (Agreed by F+G August 2019)	Revised Dates	Status
Iss.1	BCP Methodology	31.12.2019		Complete
Iss.3	BIA	31/12/2020	30/06/2021	Gathering of the BIA was subject to delay (as reported to F+G) The BIA capture and analysis was completed at the end of April 2021. There has been a change in the system for capturing this information and have developed a model within ASM (Service Desk software) for this information to be displayed. The data entry is ongoing.
Iss.4	BC Risk Assessment	30/06/2021	31/10/2021	Initially reported 6 months following the BIA. However the Risk Management framework, risk assessment and Register has been completed and reviewed as part of the Risk Management audit. This will be reviewed and considered complete following collation and display of business dependencies at the end of the BIA.
Iss.5	Business Recovery & Continuity Strategy	30/06/2021	31/10/2021	Originally stated up to 6 months following the database being completed. Now completed: <ul style="list-style-type: none"> • Risk Register (Audited 20/21) • Cyber Plan (Audited 20/21) • Major Incident Plan (Audited 20/21)



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				<ul style="list-style-type: none"> • Refreshed the original SRS BC Plan • Communication Plan • DR Plan <p>Outstanding ISS.7 - Roles and Responsibilities (although currently contained within existing revised plans) Recovery Plans for invocation decisions (existing BCM plan would be used today – this has been subject to a tabletop exercise carried out by Bridewell)</p>
Iss.6	ITSCM Policy	30/06/2021	31/10/2021	Originally stated up to 6 months following the BIA database being completed. (existing BCM plan would be used today – this has been subject to a table top exercise by Bridewell)
Iss.7	ITSCM Roles & Responsibilities	30/06/2021	31/10/2021	Originally stated up to 6 months following the database being completed. (Update in ISS.5)
Iss.8	BCM Charter	31/10/2019	-	Completed
Iss.9	IT DR Plan	30/06/2021	31/10/2021	Originally stated up to 6 months following the BIA database being completed. As an interim measure a DR plan has been written with Bridewell, this will be revisited following the completion of the BIA database.
Iss.10	External Agency	30/06/2021	30/06/2021	This information is being captured into ASM, will be developing operating procedures for updating.
Iss.11	Recovery Testing Plan	31/12/2021	31/03/2022	New target date March 2022 (in line with previous reported delay)
Iss.12	3 rd Party Contracts	30/06/2021	30/06/2021	This information is being captured into ASM, will be developing operating procedures for updating.



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Iss.13	Invocation Decisions	30/06/2021	31/10/2021	New target date 31 Oct 21 (in line with previous reported delay)
Iss.14	Crisis Communication Plan	30/06/2021	31/10/2021	New target date 31 Oct 21 (in line with previous reported delay)
Iss.15	Commitment	30/06/2021	30/06/2021	On track – No exception logged as in place.
Iss.16a	BCM Arrangements – Table-Top Exercise Conducted	31/12/2021	31/03/2022	New target Date 31/03/2022 (in line with previous reported delay)
Iss.16b	BCM Arrangements – Live Exercise Conducted	31/12/2022	31/12/2022	On track
Iss.17	Maintenance – BC Arrangements	31/03/2022	30/06/2022	Always reported that this would follow ISS.16b. The live test. Will be completed by June 2022 (3 month delay)
Iss.18	Review	Due for completion by March 2023	31/03/2023	This is the adoption of business as usual activity and therefore an annual review point, the first of which is scheduled for March 2023.
Iss.19	Senior Management Support – agreement of procedures for BC Arrangements	30/06/2021	30/06/2021	Same as ISS.15 timeline BC Operation and Strategy Group in place. On track – No exception logged as in place.