



SRS Audit Update

DATE: Finance + Governance Board, February 15th, 2022

SUBJECT: 2021-22 Audit Plan Update

Report Submitted by: Matt Lewis (COO SRS)

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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 progress of the audit plan 2021-22, open actions and exceptions.

3. Appendices Documents

- 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

4.1 Local Authority Partners

For Local Authority partners there are 27 open actions (which includes any new actions), 17 have exception log statements and 3 items that are flagged for management attention but also have exception log statements.

As reported previously, there are 6 open actions that are dependent on the agreement to purchase a SIEM/SOC solution. There are also 3 items flagged for management attention that 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 final contract was awarded on November 25th 2021. We are currently reporting these as Red, as although the project commenced in December 2021, we are currently in the discovery phase and awaiting the milestone dates.

4.2

Gwent Police

For Gwent Police there are 17 open actions (which includes any new actions), 11 have exception log statements.

4.3

All SRS Partners

In August 2019 with agreement of the Finance and Governance Board and after a recruitment exercise, the new schedule for the ITSCM (Business Continuity) audit was agreed, this accounts for 9 of the actions listed in the exception report. There is also 1 action in the Identity Access Management that is reliant on the new timeline. These actions are classified as Amber as they are subject to a new timeline and there is a delay due to



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resources that has been previously reported to Finance and Governance board. The fieldwork has commenced on this Audit and the position due to be reported during the 21/22 audit plan cycle.

The 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.

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

Audit Name	Current Open Actions	End Date	Status / Owner	SRS progress status	Audit overall status against date
Email	1	TBC	1 Exception logged (SIEM/SOC) / LA Partners Update: Project commenced Dec 21. Currently in discovery phase.		
IT Service Continuity Management	9	March 2023	9 Exceptions logged / SRS Update: The field work has commenced on the ITSCM audit.		
Virtualisation	2	TBC	2 Exceptions logged (SIEM/SOC) / LA Partners Update: Project commenced Dec 21. Currently in discovery phase.		
Identity and Access Management	2	March 2022	1 Exception logged (SIEM/SOC) / LA Partners Update: Project commenced Dec 21. Currently in discovery phase. 1 Exception logged (ITSCM) / SRS Update: The field work has commenced on the ITSCM audit.		



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Cyber Security	2	TBC	2 Exceptions logged (SIEM/SOC) / LA Partners Update: Project commenced Dec 21. Currently in discovery phase.		
Data Centre	1	August 2021	There is 1 open actions (SIEM/SOC) / LA Partners Update: Project commenced Dec 21. Currently in discovery phase.		
Enterprise Architecture	2	March 2022	There are 2 open actions / SRS		
IT Disposal	0	December 2021	There are 0 open actions		
EdTech	4	August 2022	There are 4 open actions		
Governance (New)	1	August 2022	1 open action / SRS		
Performance (New)	3	April 2023	3 open actions / SRS		

5.

5.1 Audit plan changes

The circumstances with COVID-19 has meant there has been agreed fluidity in the audit plan during 2022/23.

Audit Name	Reason
ITSCM Follow Up	Previously reported. The ITSCM programme was delayed by approximately 17 weeks due to the staff being deployed to the COVID response and staff sickness. Update: The field work has now commenced on the audit.
Mobile Computing	There has been a delay in the SRS supplying evidence during the fieldwork phase. This is due to capacity pressures within the Information Security team who were engaged in other critical activity during December and January. The information has now been supplied to the IA team ahead of the completion of the audit.



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
			Complete. The audit concluded that <ul style="list-style-type: none"> ▪ The grant process was fully complied with, ▪ Findings relate only to SLA schools, as such no determination is possible or made in relation to non-SLA schools, their understanding and compliance with the standards. ▪ A significant number of the education digital standards are met by the SRS and those schools with whom an SLA operates.
Ed Tech Standards	Full System	Field work commenced	
IT Disposals	Follow Up	Completed	Complete. Moderate Assurance
Application Support	Full System	Planned for Q4	-
IT Governance	Full System	Completed	Complete. Full Assurance
IT Service Continuity	Full System	Fieldwork Commenced	In Progress
Identity and Access Management	Full System	Fieldwork Commenced	-
Business Management	Follow Up	Completed	Complete. Full Assurance
Data Centre	Follow Up	Completed	Complete. Full Assurance
Performance Management	Full System	Completed	Complete. Substantial Assurance
Mobile Computing	Full System	Fieldwork Commenced	In Progress



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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.
