



SRS Audit Update

DATE: Finance + Governance Board, May 17th, 2022

SUBJECT: 2021-22 Audit Plan Update

Report Submitted by: Matt Lewis (COO SRS)

Report Written by: Matt Lewis (COO SRS)

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. Also to introduce the agreed Audit Plan for 2022-23.

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 23 open actions (which includes any new actions), 7 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). The project to implement is now underway and should be live by September 2022.

4.2 Gwent Police

For Gwent Police there are 13 open actions (which includes any new actions), 1 has an exception log statements.

4.3 All SRS Partners

- 4.4 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.

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



Audit Plan

2021-22

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: Estimated go live – September 2022.		
Virtualisation	2	TBC	2 Exceptions logged (SIEM/SOC) / LA Partners Update: Estimated go live – September 2022.		
Identity and Access Management (Original system audit)	2	March 2022	1 Exception logged (SIEM/SOC) / LA Partners Update: Estimated go live – September 2022. 1 Exception logged (ITSCM) / SRS Update: This will be tested during the live BC test by the end of the year.		
Cyber Security	2	TBC	2 Exceptions logged (SIEM/SOC) / LA Partners Update: Estimated go live – September 2022.		
EdTech	4	August 2022	There are 4 open actions		
Governance	1	August 2022	1 open action / SRS		
Performance	3	April 2023	3 open actions / SRS		
Application Support (New)	2	July 2022	2 open actions / SRS		
Mobile Computing (New)	1	December 2022	1 open actions / SRS		
Identity and Access Management – follow up	5	April 2023	5 open actions / SRS		



Audit Plan

2021-22

(New)					
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5. Audit plan changes

- 5.1 The circumstances with COVID-19 meant there had been agreed fluidity in the audit plan during 2021/22. Currently it is difficult to predict any changes for the year ahead, we will use this section of the report to monitor and report any changes.



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	Completed	
IT Disposals	Follow Up	Completed	Moderate Assurance
Application Support	Full System	Completed	Substantial Assurance
IT Governance	Full System	Completed	Full Assurance
IT Service Continuity	Full System	Completed	Full Assurance
Identity and Access Management	Full System	Completed	Substantial Assurance
Business Management	Follow Up	Completed	Full Assurance
Data Centre	Follow Up	Completed	Full Assurance
Performance Management	Full System	Completed	Substantial Assurance
Mobile Computing	Full System	Completed	Substantial Assurance

7. **Planned Audits – 2022-23**

7.1

Audits	Type of audit	Status	Update
Change Management	Full System	Planned Q1	
Cybersecurity SIEM/SOC	Full System	Planned Q3	
Firewall	Full System	Planned Q3	
Virtualisation	Full System	Planned Q1	
O365	Full System	Planned Q1	
Financial Regulations	Consultancy	Planned Q2	
Data Centre	Consultancy	Planned Q2	
ISMS	Follow up	Planned Q4	
IT Governance	Follow up	Planned Q4	
Mobile Computing	Follow up	Planned Q4	
Performance Management	Follow up	Planned Q3	
IT Service Continuity	Follow up	Planned Q4	

8. **Acknowledgements**

8.1 The SRS would like to thank the internal audit team for their hard work and support in providing the flexibility required to ensure we could deliver the audit plan commitments during a challenging year. This has meant many of the audits moved into the latter quarters of the year allowing us to ensure the focus during the pandemic could remain on the emerging service delivery needs for our partners.



Audit Plan

2021-22

9. **Monitoring and Evaluation**

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