

AGENDA ITEM NO. 10

SRS F&G Meeting

DATE: Tuesday 17th November 2020

SUBJECT: Audit Update

Report Submitted by: Matt Lewis (COO SRS)

Report Written by: Matt Lewis (COO SRS)

10. Areas affected

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.

10.1 Purpose of Report

To update on the audit plan actions from prior to 2020-21 and the audit plan and actions from 2020-21.

10.2 Audits Completed Since Last Meeting

Since the last meeting the audit team have completed the full audit of the data centre. The assurance given from audit in relation to the data centre was FULL assurance.

The data centre audit document can be found in [appendix four](#).

10.3 SRS Audit Activity Update

[Appendix five](#) 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.

10.4 Current audit action position

Of the 62 open actions which include any new actions, 43 have exception log statements.

[Appendix five](#) shows the decisions made at other Boards and groups which have an impact on the date of the SRS completing their audit actions.

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

Audit Name	Total Actions	End Date	Status	SRS progress status	Audit overall status against date
Governance	3	April 2020	There is 1 remaining action in the exception log. Progress is scheduled to be discussed in the November 2020 board meeting.		
Apps Support and Maintenance	5	April 2020	There is 1 remaining action in the exception log.		
Email	1	TBC	There is 1 open action remaining, which is overdue and appears in the exception log.		
IT Service Continuity Management	19	March 2022	There are 15 open actions for future dates after the Finance and Governance Board agreed extensions due to decision delays on funding.		
Firewall	7	November 2020	Actions completed		
Enterprise Architecture	7	September 2020	There is 1 open action.		

CCTV	8	March 2021	There are 7 open actions.		
Virtualisation	2	March 2021	There are 2 open actions, both appear in the exception log.		
Identity and Access Management	6	March 2021	There are 2 open actions, 1 appears in the exception log.		
Cyber	42	March 2020	There are 23 open actions, all appear in the exception log. All are linked to either the ITSCM audit for future dates or the implementation of the SIEM system.		
Software Asset Management	8	April 21	There are 7 open actions		
Data Centre	2	August 21	There are 2 open actions		

10.5 Audit plan changes

The circumstances with COVID-19 has meant there has been agreed fluidity in the audit plan for 2020-21. There were no audits completed during Quarter 1. The following changes have been made:

Audit Name	Reason
Business Management (Back Office) Full	The audit was planned for Q1, however due to the pandemic this will be moved until Q3.
Firewall Follow Up	The audit was planned for Q1, however due to the pandemic this will be moved until Q4
Enterprise Architecture Follow Up	Delay in completing actions due to staff deployed to COVID response, in addition the Blaenau Gwent O365 migration has been brought forward due to new ways of working due to the pandemic. Follow up audit commenced.
ITSCM Follow Up	The business impact analysis has been delayed by approximately 14 weeks due to the staff being deployed to the COVID response, also a reduced capacity within the team due to injury. We are currently recruiting a temporary position to address. This isn't due to be audited during 20-21.
Software Asset Management Follow Up	The response to the actions has been delayed by approximately 14 weeks due to the staff being deployed to the COVID response and a current reduced capacity within the team. This audit is due in Q4.
CCTV Follow Up	The response to 1 action has been delayed by approximately 8 weeks due to the staff being deployed to the COVID response. This audit is due in Q4.

10.6 Status of 2020-21 Audits

The below table shows the status of each 2020-21 audit planned:

Audits	Type of audit	Status	Update
Business Management (Back Office)	Full	In progress	Planning
Firewall	Follow Up		
Data Centre	Full	Complete	Full Assurance
Enterprise Architecture	Follow Up	In Progress	Field work
Risk Management	Full	In Progress	Field work
Software Asset Management	Follow Up		
CCTV / Control Centre	Follow Up		
IT Governance	Full		
Cyber security	Follow Up		
ISMS	Full	In progress	Planning

10.7 COVID-19 Delays

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 as the year progresses.

10.8 Monitoring and Evaluation

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