



# Audit Plan

## 2022-23

### SRS Audit Update

DATE: Finance and Governance Board, December 9th, 2022

### SUBJECT: 2022-23 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 progress of the audit plan 2022-23, 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 12 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 new system has been procured, installed and configured. The planned onboarding is nearing completion for both corporate assets and education assets and the exceptions will be tested as part of the quarter 4 audit.

##### 4.2 Gwent Police

For Gwent Police there are 6 open actions (which includes any new actions), 1 has an exception log statement which was agreed to be reviewed once the live business continuity test is completed. The live test took place on 30th November 2022. The follow up audit is scheduled for quarter 4.

##### 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.



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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: To be tested in Q4 audit		
Virtualisation	2	TBC	2 Exceptions logged (SIEM/SOC) / LA Partners  Update: To be tested in Q4 audit		
Identity and Access Management (Original system audit)	2	March 2022	1 Exception logged (SIEM/SOC) / LA Partners  Update: To be tested in Q4 audit  1 Exception logged (ITSCM) / SRS  Update: Tested during the live BC test 30/11/22		
Cyber Security	2	TBC	2 Exceptions logged (SIEM/SOC) / LA Partners  Update: To be tested in Q4 audit		
Performance	1	April 2023	1 open actions / SRS		
Identity and Access Management – follow up	4	April 2023	4 open actions / SRS		

### 5. Audit plan changes

- 5.1 The circumstances with COVID-19 meant there was 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 if required

There is currently a pressure in the information security team due to staff sickness. We are reviewing internally and reprioritising work to meet service need. There are planned audits for quarter 4 for this team. We will continue to monitor and raise an exception should this become an issue.



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### 6. Planned Audits – 2022-23

6.1

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	Scheduled as planned
Virtualisation	Full System	In Progress	Fieldwork in progress
O365	Full System	In Progress	Fieldwork in progress. Small number of outstanding questions being reviewed.
Financial Regulations	Consultancy	In Progress	Fieldwork in progress
Data Centre	Consultancy	Planned Q2	Moved to Q3 due to delay in Education move.
ISMS	Follow up	Planned Q4	Scheduled as planned
IT Governance	Follow up	Planned Q4	Moved to Q3.
Mobile Computing	Follow up	Complete	Moved from Q4. Full Assurance
Performance Management	Follow up	Planned Q3	New system purchased. Moved to Q4.
IT Service Continuity	Follow up	Planned Q4	Scheduled as planned

### 7. Monitoring and Evaluation

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