

**REPORT FOR: GOVERNANCE, AUDIT,  
RISK MANAGEMENT  
AND STANDARDS  
COMMITTEE**

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**Date of Meeting:** 19 July 2016

**Subject:** **INFORMATION REPORT –  
BUSINESS CONTINUITY/IT  
DISASTER RECOVERY AND IT  
DATA CENTRE FOLLOW-UP**

**Responsible Officer:** Tom Whiting – Corporate Director  
Resources and Commercial

**Exempt:** No

**Wards affected:** All

**Enclosures:** Appendix 1 – Business Continuity/IT  
Disaster Recovery Follow Up  
Appendix 2 – IT Data Centre Follow Up  
Appendix 3 – IT Data Centre Lessons  
Learnt

## **Section 1 – Summary**

This report sets out the updated position of the red/amber and red assurance audit reviews that together were reported as a 'significant governance gap' in the 2014/15 Annual Governance Statement.

### **FOR INFORMATION**

## **Section 2 – Report**

### **Introduction**

- 2.1 As part of the 2014/15 annual Internal Audit Plan a review was undertaken on the Council's Business Continuity/IT Disaster Recovery arrangements (given a Red/Amber Assurance rating) and on the

Council's IT Data Centre concentrating on landlord risks (given a Red Assurance rating).

- 2.2 The combined impact of these two reviews were reflected in the Head of Internal Audit's overall audit opinion for the Council's control environment for 2014/15. They were also identified as a 'significant governance gap' in the Council's Annual Governance Statement 2014/15. It was noted that 'Whilst the likelihood of an IT disaster occurring is considered unlikely the impact could be significant given the control weaknesses identified.'

### **Business Continuity/IT Disaster Recovery Follow-up**

- 2.3 Follow-up of red and red/amber assurance reviews by Internal Audit would normally take place 3 months after the final report is issued. However in the case of the Business Continuity/IT Disaster Recovery review this was not considered appropriate given the implementation dates agreed for the agreed actions and the robust governance process introduced by management to oversee the implementation. A follow-up was undertaken by Internal Audit and the final memo issued on 15/04/16 (Appendix 1). A verbal update of this position was provided at the last GARMS meeting by the Head of Internal Audit.
- 2.4 The follow-up has provided a Green assurance rating with 56% of expected controls operating effectively, 42% substantially operating and 2% partially operating. Substantial progress has been made with implementing the recommendations, given the timescales of the agreed actions in the final audit report, which also reflects an increased level of co-operation and co-ordination between the Emergency Planning and Business Continuity (EP&BC) and the Transformation and Technology Services (TTS) teams.
- 2.5 There does, however remained a reasonable amount of work to complete which revolves around the progress of a couple of key actions that would contribute to a number of controls becoming fully operational - namely:-
- a. Completion of the 2015 Service Business Continuity (BC) Plan reviews
  - b. Reviewing the crossovers/ interdependencies between plans and testing of some key Service BC plans.
- 2.6 The level of implementation made to date is considered acceptable due to the change in the overall rating of the report, the timescales of the agreed actions and that most of the remaining weaknesses in control are either partly implemented or in progress.

### **IT Data Centre Follow-up**

- 2.7 Follow-up of the IT Data Centre review began at the end of January 2016 in line with the normal practice of being undertaken 3 months after the issue of the final report however the follow-up memo was only finalised on 28/06/16 (Appendix 2) due to some difficulty in obtaining all

the relevant information and evidence. Although a verbal update was provided at the last GARMS meeting by the Head of Internal Audit.

- 2.8 The follow-up has provided a Green assurance rating with 87% of the expected controls now operating effectively and a further 13% operating partially. The level of implementation made to date is considered acceptable.

### **Lessons Learnt**

- 2.9 At the last GARMS meeting officers were requested to provide details of lessons learnt in relation to the audit of the Data Centre. The management response to this request is attached to this report as Appendix 3 and a relevant officer will be attending the GARMS meeting to present the lessons learnt and answer any further questions.

## **Financial Implications**

- 3.1 There are no financial implications.

## **Equalities implications**

- 4.1 Was an Equality Impact Assessment carried out? No – Not applicable

## **Section 7 – Council Priorities**

- 5.1 Improving controls to mitigate risks in the Council's systems helps to ensure that system objectives are met which feed into the administration's priorities and the achievement of the Council's vision.

Name: Dawn Calvert



Chief Financial Officer

Date: 06/07/16

## **Contact Details and Background Papers**

**Contact:** Susan Dixon, Head of Internal Audit, 02084241420

**Background Papers:** None

If appropriate, does the report include the following considerations?

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| 1. | Consultation         | YES / NO |
| 2. | Corporate Priorities | YES / NO |