Memorandum

To: See circulation below

From: Brian Hubbard

Number: 0208 424 1247

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Business Continuity & IT Disaster Recovery – Follow Up

A review of the Business Continuity & IT Disaster Recovery was undertaken as part of the 2013/14 Internal Audit annual plan and a final report was issued on 22 June 2015 which contained 23 recommendations.

It was established that 12 of the 23 recommendations have been fully implemented and evidence was obtained to support this. Table 1 below details the number of recommendations which are partially implemented, planned and not yet implemented to date and highlights where these actions are overdue. There are a number of recommendations that remain substantially operating because one or more elements of the recommendation remain to be completed. The attached updated action plan shows the details of implementation for each recommendation.

The report issued on the 22 June 2015 was a **Red/ Amber** report and follow up has established that it is now a **Green** report 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 and reflects an increased level of co-operation and co-ordination between the EP&BC team and the Transformation and Technology Services (TTS) team.

The 42% of substantially operating controls indicates that, despite the follow up having established it is now a **Green** report, there remains a reasonable amount of work to complete. This revolves around progress with 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.

In addition a couple of factors have had an impact on the way the BC&ITDR arrangements can now operate. Since the review commenced the Council's resources have diminished and decisions have been made about the new IT contract that limit the level of provision that is made for disaster recovery (DR), to one DR priority one application, and to be able to operate the IT DR provision from another location (if required). Thus it is unlikely, in the short term, that the 2% of partially operating controls will be improved.

A more recent decision has been made, due to resource limitations, that Divisional Directors and Service Leads have been made responsible for ensuring that there is updating and annual testing of their Service BC plans where these cover DR priority three applications. It is not yet clear what implications this may have in terms of testing whether the plans work or identifying any inconsistencies/ gaps between the service BC plan provision and that available within the current DR provisions (for this level).

It has been assumed that the controls that were originally operating are still operating effectively during follow up and these have not been re-tested.

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 52% of weak controls have improved from their previous level of operation.

Table 1

Risk Ranking	Part Implemented or In Progress	Planned but not implemented to date	Not Implemented or planned
H	2.1; 4.3; 6.1; 7 .2 (2.2; 3.1; 4.2.a&b; 5.1 overdue but main part of recommendation complete)	7.1	
M	(4.4. overdue but main part of recommendation complete)		
L	2.3		

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