

2. Business Continuity Management Audit Report Executive Summary

Audit Objective

The objective of the audit is to provide assurance on the adequacy and effectiveness of controls over the arrangements for BCM and to contribute to the corporate objective of a 'Well run council'.

Assurance Opinion		Number of actions	
Satisfactory	Whilst there is a basically sound system of internal control there are weaknesses which put some of the objectives at risk or there is evidence that the level of non-compliance with some of the controls may put some of the objectives at risk	Priority	Number
		High	0
		Medium	10
		Low/Advisory	0
		Total	10

Audit Approach and Scope

The scope of the audit was to review the progress of implementation of the six BCM elements, to confirm the process to date follows the BCM Lifecycle and to assess whether all necessary steps have been taken in the elements completed so far and to identify what elements are yet to be implemented. A risk based approach to the audit has been applied so only the BC plans for those services identified as a priority service have been reviewed

A review of the Council's responsibilities under the Civil Contingency Act have been excluded from the scope of this audit.

Key controls tested	Assessment	Actions Raised
BCM Programme Management		No Business Continuity Policy in place Some BCM responsibilities not assigned BCM function not formally resourced Lack of BCM training
Understanding the organisation		No recurring Business Impact Assessment process in place Business Impact Assessments not reviewed and updated
Determining BCM Strategy		
Developing and implementing BCM response		Business Continuity Plans (BCPs) not reviewed and updated
Exercising, maintaining and reviewing BCM Arrangements		BCP's not tested BCP's not accessible in the event of an ICT failure
Embedding BCM in the organisations culture		Until remedial action has been agreed in respect of all the issues raised above, no opinion can be provided for this final stage of the BCM Lifecycle

Summary and next steps

At the time of the last audit (April 2018), a significant amount of work had already been undertaken to enable a robust and 'fit for purpose' business continuity management process to be implemented at the Council and a number of key documents had already been drafted following the Business Impact Analysis workshop held in January 2017. However, there was still work to be undertaken to complete the required set of policies and procedures to provide a comprehensive plan to ensure that the Council is able to maintain its key operations including a corporate business continuity plan supported by service plans. Since then, the Council has continued to develop these with work continuing 'at pace' in early 2020 ahead of the Covid19 pandemic. However, there is still work to be done to improve the Council's BCM framework.

This is a final report of the audit findings and incorporates the remedial action agreed with Corporate Manager Executive Support.

Remedial action has been agreed with management for all the findings identified.