

**Appendix 3 – TCBC Internal Audit Report  
Shared Resource Service IT Service Continuity Management**

<b>Area</b>	<b>Recommendation</b>	<b>Priority</b>	<b>Management Response</b>	<b>Responsible Party</b>	<b>Action Date</b>	<b>Update</b>
<b>BCP Methodology</b>	The SRS needs to: <ul style="list-style-type: none"> <li>adopt a formal BCP methodology (Appendix 2) covering the phases from Risk Assessment through to Testing &amp; Maintenance; and</li> <li>ensure that its partners BCP's have been produced using such a methodology.</li> </ul>	Medium	Draft BCM Statement was presented to SRS Senior Leadership Team in March 2018. The finalised version will be complete by July 2018.	Mike Doverman	31/07/18	As of 30.11.18 Business Continuity Implementation Plan presented to Finance and Governance Board September 2018 and also to Joint Audit Committee IT Lead on 28.11.18.
<b>Pre-Conditions</b>	The SLA between the SRS and each partner should clearly (and fully) specify the DR / BCM service.	Medium	The partners are responsible for agreeing the SLA, and signing off the additional information in relation to DR and what services sit under Platinum/Silver etc. BC/DR is not a core service so the recommendation is not accepted.	Not Accepted.	Not Accepted.	
<b>Business Impact Analysis</b>	A BIA for each partner should be carried out and used to compile the BC Plan, with the outcome of the BIA being reported on to appropriate officers.	Medium	Agreed. BIA's are to be carried out as part of the BCM Process.	Jayne Hemmings	31/07/19	

Area	Recommendation	Priority	Management Response	Responsible Party	Action Date	Update
<b>BC Risk Assessment</b>	In addition to receiving the partner Business Continuity risk assessments, the SRS needs to complete one for each of its business functions, identifying the likely risks that could disrupt its critical business processes performed at specific locations. The BC risk assessment should be used to shape the overall BCM program (providing a list of likely events and associated consequences to be addressed in a risk mitigation plan and BCM program).	Medium	Agreed. BC Risk Assessments will be carried out as part of the BCM process following on from the results of the BIA.	Jayne Hemmings	31/12/19	
<b>Business Recovery &amp; Continuity Strategy</b>	The SRS should develop effective and comprehensive business recovery and continuity strategies for each critical business process identified during the Business Impact Analysis. They should include the steps, people, and resources required to recover each critical business process (IT systems, application and data) and the key communication mechanisms and protocols.	Medium	Agreed. Business Recovery and Continuity Strategies will be developed following the Business Impact Analysis.	Jayne Hemmings	31/12/19	

Area	Recommendation	Priority	Management Response	Responsible Party	Action Date	Update
<b>IT Service Continuity Management (ITSCM) Policy</b>	As a goal of the initiation stage of the life cycle, the ITSCM policy should be defined and act as the formalised plan to influence and determine decisions, actions, and other matters regarding ITSCM. The plan should include: TOR; Scope; Business Requirements for DR; Essential Services covered by the plan with recovery priority ratings; Resource Allocation (people, etc.); Description of disaster detection and impact assessment up to plan invocation; Description of DR procedures; Guidelines on equipment salvage, clean and repair; and Insurance details. It should be tested following production.	Medium	Agreed.	Jayne Hemmings	31/12/19	
<b>ITSCM Roles &amp; Responsibilities</b>	All ITSCM roles and responsibilities should be: <ul style="list-style-type: none"> <li>• clearly documented via appropriate policies and procedures;</li> <li>• endorsed and communicated from a senior level to all relevant staff so that they understand them and that there is respect and commitment for the process;</li> <li>• Maintained as current.</li> </ul>	Medium	ITSCM Roles and Responsibilities will be included in the ITSCM Policy.	Mike Doverman	31/12/19	

Area	Recommendation	Priority	Management Response	Responsible Party	Action Date	Update
<b>BCM Charter</b>	As recommended by leading professional bodies (the Business Continuity Institute, Gartner) a formal BCM Charter should exist defining the BC and/or DR project and the governance structure. Its content should include Project definition, objectives, scope and milestones. In addition, it spell out the key responsibilities, sources of funding, the executive sponsors and their signatures.	Medium	Agreed. A BCM Charter will be compiled following completion of the BCM Process.	Mike Doverman	31/12/19	
<b>IT DR Plan</b>	As part of the adopted BCP Methodology, a current and comprehensive DR Plan should be produced. It should: <ul style="list-style-type: none"> <li>• utilise the priorities and recovery time objectives developed during the BIA along with the recovery strategies developed to restore hardware, applications and data in time to meet the business recovery needs; and</li> <li>• make reference to the responsibilities and procedures for the DR team members.</li> </ul>	Medium	Agreed. Updated DR Plan to be produced as part of the BCM Process.	Mike Doverman	31/12/19	

Area	Recommendation	Priority	Management Response	Responsible Party	Action Date	Update
<b>External Agency</b>	<p>As part of the BCM process, co-ordination with external agencies should be considered to ensure:</p> <ul style="list-style-type: none"> <li>• which external agencies need to be contacted following an event;</li> <li>• the thresholds that exist for mandatory notification, and the circumstances under which a voluntary notification should be made;</li> <li>• the areas of concern for each agency;</li> <li>• the BCM program requirements that exist from regulatory agencies and how compliance needs to be communicated;</li> <li>• if any continuity strategy needs to be reviewed and approved by an external agency;</li> <li>• who will interface with agency and how;</li> </ul>	Medium	Agreed. Co-ordination with external agencies will be considered as part of the BCM Process. It is expected that the information will be collected and retained as part of the new Service Desk arrangements.	Kevin Elson	31/12/19	
<b>Recovery Plan Testing</b>	<p>Following production of the DR plan(s), in accordance with good practice, they should be regularly tested for effectiveness, reviewed and assessed for appropriateness. A senior responsible owner needs to be appointed to manage disaster recovery and ensure that test results are reviewed by SRS management and the issues escalated and resolved with changes made to plans as appropriate.</p>	Medium	Agreed.	Jayne Hemmings in coordination with Jon Price and Bob Bickel	31/12/19	

Area	Recommendation	Priority	Management Response	Responsible Party	Action Date	Update
<b>3<sup>rd</sup> Party Contracts</b>	The SRS needs to ensure that it has knowledge of both partner, and its own contracts with third party suppliers relating to ITSCM and that they are capable of supporting targets agreed in any service level agreement (SLA). The knowledge should be listed in the configuration management database and linked to the recovery plan and associated SLAs.	Medium	Agreed. Details of 3 <sup>rd</sup> party suppliers will be obtained as part of the BCM Process and recorded in the new Service Desk.	Kevin Elson	31/12/19	
<b>Invocation Decision</b>	The incident manager is provided with all knowledge, information and up to date documentation in order to make informed recovery invocation decisions. Documented guidance including the criteria for making a decision to invoke Business and IT Service Continuity Plans exists, is appropriately communicated and adhered to.	Medium	Agreed. The “Core” Service Manager and the Service Desk Manager will be provided with the necessary guidance.	Jayne Hemmings	31/12/19	

Area	Recommendation	Priority	Management Response	Responsible Party	Action Date	Update
<b>Crisis Communication Plan</b>	A comprehensive and effective crisis communications plan/process (hard copy and electronic) that is integrated into the SRS wider emergency and civil contingency planning should exist, providing a framework to follow as soon as the crisis hits. The crisis communications plan / processes should be tested to ensure they work; people understand what they are required to do in the event of an emergency. The crisis communications plan and wider civil contingency plans should be updated with any learning or amendments resulting from the crisis.	Medium	Agreed. A Crisis Communication plan / process will be developed and documented.	Mike Doverman	31/12/19	
<b>Commitment</b>	SRS Management must ensure via a policy statement in the ITSCM Policy, that there is a commitment to the ITSCM process in terms of training, process review and testing to ensure that it fully supports the business.	Medium	The ITSCM policy will reflect commitment to the process by making reference to the use of the CPD process, agreeing process review and testing.	Mike Doverman	31/12/19	
<b>BCM Arrangements</b>	The BCM arrangements should be exercised at an appropriate frequency (minimum annually) following the completion of the BCM process in order to prove that they are workable.	Medium	Agreed. Following completion, it is anticipated that an initial table top exercise and 1 full live test will be carried out within 12-18 months.	Jayne Hemmings	31/12/19	

Area	Recommendation	Priority	Management Response	Responsible Party	Action Date	Update
<b>Maintenance</b>	A maintenance programme should exist and operates to ensure that plans are updated (using version control): if there is any change to the organisation, including restructures, or the methods for delivering critical activities; / if there is a change to the external environment; / following lessons learned from an incident or exercise; and / following staffing changes.	Medium	Agreed. A maintenance programme for all BC documents will be devised and all documents will be recorded through the version control process already in place as and when they are reviewed.	Jayne Hemmings	31/12/19	
<b>Review</b>	The BCM process being devised should include arrangements for its review (through formal audit or self-assessment) at appropriate regular intervals with the results documented.	Medium	Agreed.	Jayne Hemmings	31/12/19	
<b>Senior Management Report</b>	Senior Management (SRS and Partners) must ensure that there is continued visible support for the BCM program by: establishing a group responsible for BCM and managing governance, knowledge sharing, best practice coordination, consulting, and cross BU BCM activities; / creating a BCM system that each Partner must deploy; / ensuring appropriate funding for BCM activities; /communicating the importance of BCM and how it adds value; / participating in BC exercises, training sessions, and other EM events;	Medium	Agreed.	Mike Doverman	31/12/19	