

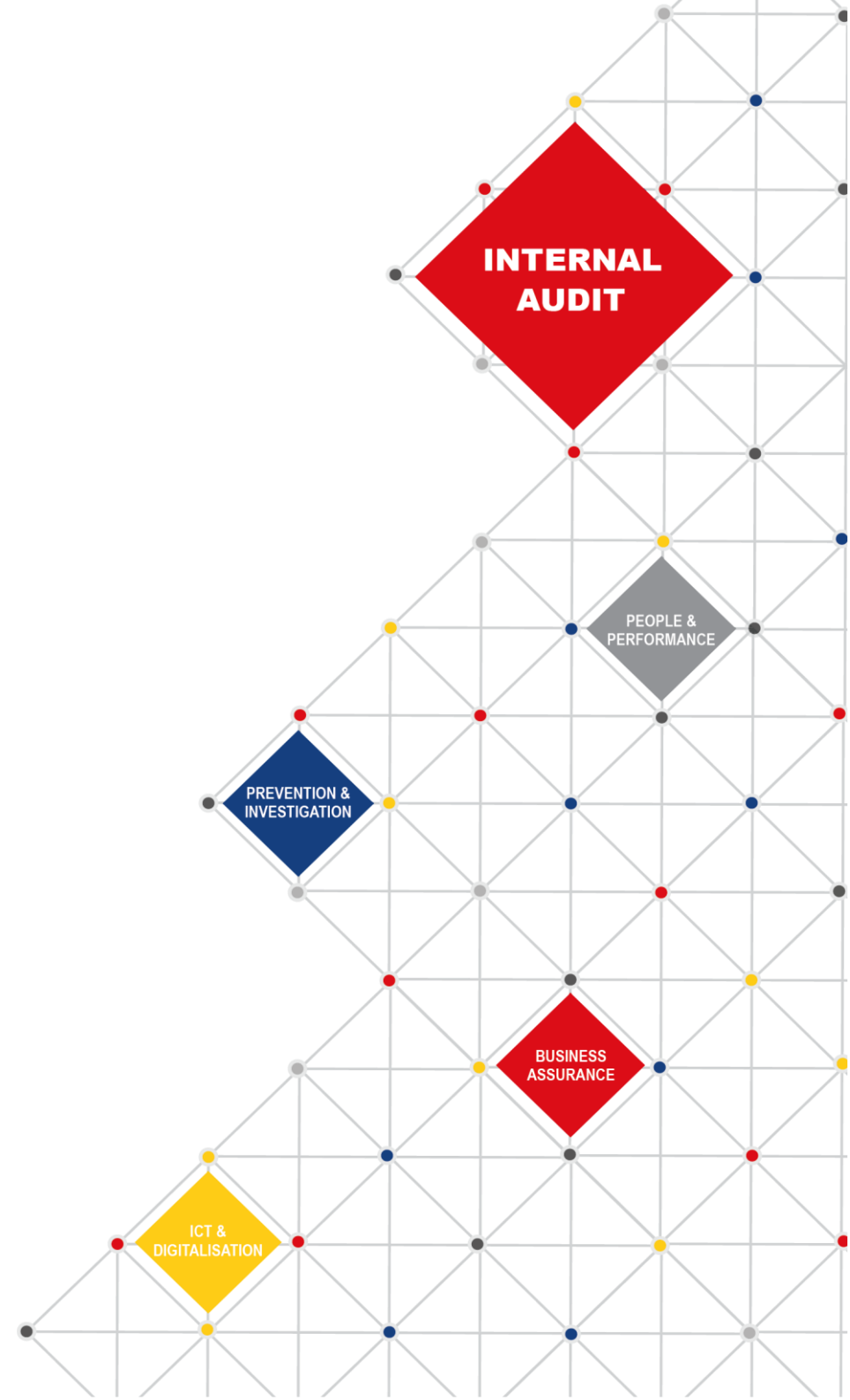
South Lakeland District Council

Assurance Review of Business Continuity

November 2018

FINAL

2018/19



Executive Summary

OVERALL ASSURANCE ASSESSMENT



OVERALL CONCLUSION

The Council has robust Business Continuity arrangements in place to prevent or minimise the time that the public are separated from critical services.

- Statutory requirements under the Civil Contingencies Act 2004 are being followed in this regard.
- Training plans and testing of Business Continuity arrangements were seen to be in compliance with those stated in the Council's Emergency Response Plan.
- Responses to recent incidents have proven successful, with essential services having been maintained throughout.

SCOPE

The review considered the Council's Business Continuity arrangements aimed at ensuring continuity of service following a business disruption incident. This review followed on from the review of ICT Disaster Recovery carried out in 2017/18.

ACTION POINTS

Urgent	Important	Routine	Operational
0	0	0	0

Management Action Plan - Priority 1, 2 and 3 Recommendations

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
No recommendations.							

PRIORITY GRADINGS

1	URGENT	Fundamental control issue on which action should be taken immediately.
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2	IMPORTANT	Control issue on which action should be taken at the earliest opportunity.
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3	ROUTINE	Control issue on which action should be taken.
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Operational Effectiveness Matters

Ref	Risk Area	Item	Management Comments
No Operational Effectiveness Matters were identified.			

ADVISORY NOTE

Operational Effectiveness Matters need to be considered as part of management review of procedures.

Detailed Findings

Introduction

1. This review was carried out in October 2018 as part of the planned internal audit work for 2018/19. Based on the work carried out an overall assessment of the overall adequacy of the arrangements to mitigate the key control risk areas is provided in the Executive Summary.

Background

2. Business continuity arrangements are standardised internationally by ISO 22301, issued in 2012 and replacing British Standard BS 25999. Related legal requirements are established in the Civil Contingencies Act 2004, which defines District Councils as Category 1 responders.

Materiality

3. The Council provides many services that are critical to the health and welfare of the public. It is, therefore, imperative that a proper business continuity plan is in place to prevent or minimise the time that the public are separated from such services.

Key Findings & Action Points

4. The key control and operational practice findings that need to be addressed in order to strengthen the control environment are set out in the Management and Operational Effectiveness Action Plans. Recommendations for improvements should be assessed for their full impact before they are implemented.

Scope and Limitations of the Review

5. The review considered the Council's Business Continuity arrangements aimed at ensuring continuity of service following a business disruption incident. This review followed on from the review of ICT Disaster Recovery carried out in 2017/18.
6. The definition of the type of review, the limitations and the responsibilities of management in regard to this review are set out in the Annual Plan.

Disclaimer

7. The matters raised in this report are only those that came to the attention of the auditor during the course of the internal audit review and are not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

Risk Area Assurance Assessments

8. The definitions of the assurance assessments are:

Substantial Assurance	There is a robust system of internal controls operating effectively to ensure that risks are managed and process objectives achieved.
Reasonable Assurance	The system of internal controls is generally adequate and operating effectively but some improvements are required to ensure that risks are managed and process objectives achieved.
Limited Assurance	The system of internal controls is generally inadequate or not operating effectively and significant improvements are required to ensure that risks are managed and process objectives achieved.
No Assurance	There is a fundamental breakdown or absence of core internal controls requiring immediate action.

Audit Contacts

9. For any queries or to discuss the content of this report, please contact either of the following:

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Audit Report Distribution

10. We would like to thank staff for their co-operation and assistance during the course of our work.

For Action:	Helen Smith, Financial Services Manager
For Information:	Shelagh McGregor, Assistant Director Resources (Section 151 Officer)

Release of Report

11. The table below sets out the history of this report.

Date draft report issued:	19 th October 2018
Date management responses received:	26 th October 2018
Date final report issued:	20 th November 2018