



Item No. 8

Meeting Date **Wednesday 6th March 2019**

Glasgow City Integration Joint Board Finance, Audit and Scrutiny Committee

Report By: Chief Internal Auditor to the Integration Joint Board

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AUDIT OF BUSINESS CONTINUITY

Purpose of Report:	To present to the IJB Finance, Audit and Scrutiny Committee the main findings of the following audit report that was issued recently: - Business Continuity
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Background/Engagement:	The review was undertaken as part of the agreed 2018/19 Internal Audit Plan.
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Recommendations:	The IJB Finance, Audit and Scrutiny Committee is asked to: a) note the content of the report.
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Relevance to Integration Joint Board Strategic Plan:

To provide assurance that the IJB has arrangements in place to gain assurance from the partner organisations on business continuity and disaster recovery arrangements in place.

Implications for Health and Social Care Partnership:

Reference to National Health & Wellbeing Outcome:	None
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Personnel:	None
Carers:	None
Provider Organisations:	None
Equalities:	None
Fairer Scotland Compliance:	None
Financial:	None
Legal:	None
Economic Impact:	None
Sustainability:	None
Sustainable Procurement and Article 19:	None
Risk Implications:	None
Implications for Glasgow City Council:	The internal auditors of the Council will continue to report to the Council on operational matters relating to Social Care services.
Implications for NHS Greater Glasgow & Clyde:	The internal auditors of the NHSGG&C will continue to report to the NHS Board on operational matters relating to NHS services.



Glasgow City Integration Joint Board

Business Continuity and Disaster Recovery

Final Report

Internal Audit
February 2019



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Glasgow City Integration Joint Board
Business Continuity and Disaster Recovery

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Glasgow City Integration Joint Board Business Continuity and Disaster Recovery

1. Introduction

- 1.1 As part of the agreed Internal Audit plan we have carried out a review of Business Continuity and Disaster Recovery arrangements within the Glasgow City Integration Joint Board (IJB).
- 1.2 Business continuity planning (BCP) is intended to achieve the minimum of disruption to the delivery of business critical systems from the effects of major failures or disasters. A BCP should provide a well-defined set of procedures to be followed to maintain business-critical delivery and to achieve recovery. A failure to develop effective BCPs could result in a haphazard approach being adopted should a BCP event occur. This could increase exposure to a range of operational, financial and reputational risks.
- 1.3 Disaster Recovery (DR) is closely linked to BCP and includes the controls in place to respond to an IT incident. It also considers aspects which will allow the smooth recovery of IT services should an unforeseen incident occur. When an incident occurs, it is essential that DR activities link with BCPs to allow organisations

to determine when BCPs should be implemented and determine the likely timescale for recovery.

- 1.4 The purpose of the audit was to ensure that the Glasgow City IJB has effective arrangements in place to gain assurance that the BCP and DR arrangements in place within the partner organisations (the Council (GCC) and NHS Greater Glasgow and Clyde (NHSGGC)) are adequate. The scope of the audit included:
- Ensuring that roles and responsibilities of officers and board members in relation to BCP and DR were documented and understood.
 - Reviewing and confirming the arrangements in place to provide assurances to the IJB that effective BCP and DR arrangements were in place, these are up to date and covered all necessary personnel, property, key systems and processes.
 - Ensuring that appropriate monitoring and reporting mechanisms are in place to provide the IJB with updates on any issues in relation to BCP and DR and, where appropriate, these are linked to the IJB Risk Register.

2. Audit Opinion

- 2.1 The IJB Board members do not have any formal responsibilities in terms of the BCP and DR arrangements within the partner organisations and there is no formal requirement for GCC and the NHSGCC to

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report to the IJB in relation to the arrangements in place. However, we have made one recommendation as an opportunity for improvement to increase the transparency of reporting in this area in line with good practice.

3. Main Findings

3.1 We recognise that there is no requirement for the IJB to have its own BCP and DR arrangements in place and it will rely on the BCP and DR processes adopted by the partner organisations to provide assurance over the resilience of the processes, systems, personnel and property which are relied upon to deliver the IJB Strategic Plan. We found that processes were in place to escalate any higher risk BCP or DR issues for inclusion in the Risk Registers that are reported quarterly to the IJB Finance and Audit Scrutiny Committee and there was evidence in place to show cases of BCP and DR risks being reported in line with the Risk Management arrangements in place. We were also advised that, when required, joint BC and DR arrangements are deployed by the partner organisations.

3.2 However, we also identified an opportunity for improvement. We found that IJB Board members do not have any formal responsibilities in terms of the BCP and DR arrangements within the partner organisations, and, in the event of an adverse BCP or DR event arising, responsibility would rest with the partner organisations

to implement corrective action to address any issues identified. However, there are currently no arrangements in place to provide the IJB with assurance that the BCP and DR arrangements within the partner organisations are operating as expected, and, although we recognise that there is no formal requirement for this to be in place, any failure of the BCP and DR arrangements may, in exceptional circumstances, have an impact on organisational reputation or the IJB's ability to deliver the strategic plan.

3.3 An action plan is provided at section four outlining our observation, risk and recommendation. We have made one recommendation for improvement. The priority of the recommendation is:

Priority	Definition	Total
High	Key controls absent, not being operated as designed or could be improved. Urgent attention required.	0
Medium	Less critically important controls absent, not being operated as designed or could be improved.	1
Low	Lower level controls absent, not being operated as designed or could be improved.	0

3.4 The audit has been undertaken in accordance with the Public Sector Internal Audit Standards.

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- 3.5 We would like to thank officers involved in this audit for their cooperation and assistance.
- 3.6 It is recommended that the Head of Audit and Inspection submits a further report to the IJB Finance and Audit Scrutiny Committee on the implementation of the action contained in the attached Action Plan.

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4. Action Plan

Title of the Audit: Glasgow City Integration Joint Board – Business Continuity and Disaster Recovery

No.	Observation and Risk	Recommendation	Priority	Management Response
<p>Key Control: Arrangements are in place to provide the IJB with assurance that BCP and DR plans are in place and are fit for purpose and cover all personnel, property, key systems and processes</p>				
<p align="center">1</p>	<p>IJB Board members do not have any formal responsibilities in terms of the BCP and DR arrangements within the partner organisations. In the event of an adverse BCP or DR event arising, responsibility would rest with the partner organisations to implement corrective action to address any issues identified.</p> <p>However, any failure of the BCP and DR arrangements in place may, in exceptional circumstances, have an impact on organisational reputation or the IJB's ability to deliver the strategic plan. There are currently no arrangements in place to provide the IJB with assurance that the BCP and DR arrangements within the partner organisations are operating as expected. Although the impact of such an event should be reflected through the other reporting arrangements in place (e.g. strategic plan update reports, the risk registers</p>	<p>Senior Management should give consideration to introducing a process to provide the IJB with an annual statement of assurance around the effectiveness of the BCP and DR arrangements in place within the partner organisations.</p>	<p align="center">Medium</p>	<p>Response:</p> <p>Accepted.</p> <p>Senior Management will give consideration to introducing a process to provide the IJB with an annual statement of assurance around the effectiveness of the BCP and DR arrangements in place within the partner organisations and submit this to the IJB.</p> <p>Officer Responsible for Implementation:</p> <p>Head of Business Development</p> <p>Timescale for Implementation:</p> <p>30th June 2019</p>

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	<p>and the performance reports), there are currently no formal arrangements in place to provide the IJB with assurance that the BCP and DR arrangements within the partner organisations are operating as expected.</p> <p>This increases the risk that the IJB are unaware of BCP and DR risks within the partner organisations which may have an impact on the IJB.</p>			
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