

Report to Audit Committee

Subject: Progress update – IT general controls audit

Date: 7 July 2020

Author: Director of Organisational Development and Democratic Services

Purpose

To formally report progress against the high priority actions contained in the IT general controls audit report.

Recommendation

THAT:

The Committee notes the progress in relation to the high priority actions contained in the IT general controls audit report.

1 Background

- 1.1 On 1 June 2020, the Committee considered the IT general controls audit report and was provided with a verbal update on progress already made in respect of the 3 high priority actions by the Director of Organisational Development and Democratic Services. The Committee noted this verbal update and requested a written report to this next meeting of the Committee.

2 Proposal

- 2.1 It is proposed that the Committee notes the following progress made in relation to the high priority actions contained in the IT general controls audit report.
- 2.2 Action 1: Management will ensure that the Business Continuity Management work is completed and links with the IT Disaster Recovery work, to include a review of the Business Impact Analysis (BIA) for each service area and the requirements for service recovery. As discussed, this

work is being undertaken outside of IT.

Management will make it more explicit in the Council's Business Continuity Plan what the Recovery Point Objectives (RPO) and Recovery Time Objectives (RTO) are to ensure that Management understand and accept these timescales. As discussed, this work is being undertaken outside of IT.

Implementation date: 30 September 2020

Progress: **In progress.** These are corporate actions which sit with the Health, Safety and Emergency Planning Officer. In response to the Covid-19 pandemic, in the first week of March 2020, a Business Impact Assessment (BIA) template was adopted and all service areas asked to complete it. The BIA incorporates recovery time objectives and actions. Cabinet will be asked to formally approve the Business Continuity Policy, BIA template and guidance on 2 July 2020. In view of the fact that Service areas predominantly focussed on the pandemic when completing the BIAs in March, Service Managers will be asked to review their BIAs in accordance with the Policy by September 2020 to ensure a full suite of plans covering all risk events are in place.

- 2.3 Management will follow up the presentation on RPO and RTO's with formal confirmation via email.

Implementation date: Immediate

Progress: **Completed.** Formal confirmation email sent.

- 2.4 Action 2: Management will ensure that the issues identified as part of the Public Sector Network (PSN) review are assigned action owners and that the actions are tracked through to completion.

Implementation date: 31 May 2020

Progress: **Completed.** This action was due to be completed by 31 May 2020, however was not progressed as expected due to the impact of Covid-19. IT resources were diverted to enable staff to work from home during lockdown. This was a significant and complex piece of work which had to be carried out in rapid time; it included purchasing new equipment, building and issuing desktops and laptops; rolling out softphones, telephone and video conferencing facilities, monitoring and advising remote working staff on appropriate on and off-line working to reduce pressure on IP addresses and increasing our bandwidth capacity. The PSN submission was completed and lodged on 23 June 2020.

- 2.5 Action 3: Management will identify the areas of the IT estate where patching is not routinely performed, monitor these areas and assess the

risks, for inclusion in the risk register.

Implementation date: 28 February 2020

Progress: **Completed.** The IT Research and Development and Operational Development Managers meet regularly now to discuss patching. Senior Leadership Team received a report detailing the patching situation in November and will receive regular update reports.

3 Alternative Options

- 3.1 Not to update the Audit Committee by way of formal report and to rely on the verbal update provided by the Director at the meeting on 1 June.

4 Financial Implications

- 4.1 There are no financial implications directly arising from this report.

5 Legal Implications

- 5.1 There are no legal implications directly arising from this report.

6 Equalities Implications

- 6.1 There are no equalities implications directly arising from this report.

7 Carbon Reduction/Environmental Sustainability Implications

- 7.1 There are no carbon reduction/environmental sustainability implications directly arising from this report.

8 Appendices

- 8.1 None.

9 Background Papers

- 9.1 IT General Controls Audit report.

Statutory Officer approval

Approved by: Chief Financial Officer
Date: 25 June 2020

**Report drafted by the Monitoring
Officer**