

Report for Information

Report to Audit Committee
22 March 2011

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Report of Audit Manager

Subject Review of Business Continuity Management

Purpose

To inform members of the result of the independent consultant's review of the council's business continuity arrangements.

Recommendations

That members are advised of the current assessment of business continuity arrangements.

Financial Consequences

The financial consequences of this report are none directly.

Strategic Priority and Outcome/Service Priorities

The report helps to achieve the strategic priority "One council:

- customer focus – putting customers at the heart of everything we do;
- continuous improvement of our services; and
- cost conscious – efficient and effective service delivery "

Contact Officers

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Background Documents

Report

Background

1. At the last Audit Committee meeting the director of regeneration and development presented a report on business continuity planning (BCP) in relation to the withdrawal of a major supplier.
2. During discussions a member asked whether there were procedures for democratic oversight of the council's business continuity plans. The director of regeneration and development stated that the plans were restricted operational documents which would not normally be overseen at member level.
3. The director of regeneration and development also stated that the corporate business continuity plan was being reviewed by a consultant from Zurich Management Services. Members resolved to ask the audit manager to present a report to the next meeting on the council's independent consultant's recommendations for improvements to the business continuity procedures.

Findings from the review

4. The review was based on the modules from BS25999, the British standard for business continuity management (BCM).
5. Each module contains more detailed areas which were assessed against a maximum weighted score.
6. A diagram summarising the results for each module is shown at **annex 1**.
7. The consultant's comments and recommendations for each module are as follows:

Module 1 – BCM programme management (score 69%)

8. "Overall, praise needs to be given for business continuity being progressed so far in the past few years (and continuing to be progressed). There are some areas where further progress can be made. I would define in pragmatic terms the upfront BCP policy and governance aspects, eg senior management ownership, expectations, work programme and outcomes from BCP."

Module 2 – Business impact analysis (score 23%)

9. "There are two main areas to improve the mission critical activity prioritisation and threat analysis. This is potentially the main missing ingredient of the business impact analysis. The two main items are:
 - The mission critical activity list needs to be developed to have a greater degree of prioritisation (too many A's?), to be widely understood and supported and to have greater rationale behind the priorities (why - impact over time) as well as the underlying process or system requirements. There should only be one list.

- A detailed threat analysis which includes key mitigation measures. Both of these measures will allow focus around the planning, and gain management support (they have to set these priorities).”

Module 3 - BCM strategies including resource identification (score 31%)

10. “There is no CONSISTENT "big picture" understanding of the main strategies for dealing with the main threats. Some of the threats have very specific strategies where as others are "embryonic". The Council should consider developing a simple corporate overview of the main threats and the preferred strategies. This would bring out in stark terms threats where the high level strategy has yet to be agreed formally or where no strategy currently exists.”

Module 4 - Business continuity plan (developing a BCM response) (score 73%)

11. “The overall remark is that there needs to be greater clarity around the key strategies in broad terms e.g. if this threat occurs then we will broadly do this. Specific remarks: (1) The pandemic plan could be enhanced with consideration of the key strategies e.g. redeployment, agency working etc. Also some of the mechanics of particular actions could be thought through eg how (briefings / contacting / particular tasks are often more difficult in reality). (2) Introduce the concept of plan owners, ie at least two or three managers should understand, own and support key plans. (3) Utility threat card or plan needs to be considered. (4) The status of each plan / strategy needs to be considered e.g. is it ready to go, etc.”

Module 5 - Crisis management planning (BCM Response) (score 70%)

12. “(1) Often a conflict between crisis management of an emergency and a business continuity event. There needs to be consistency between the two so it is "well drilled". Consider a quick win of either expanding the Emergency Plan (EP) to cover crisis management for a business continuity event or expand the elements of the BCP to incorporate elements of the EP. (2) Consider expanding the checklists for more detailed actions that must be undertaken in a BCP event.”

Module 6 – Exercising (score 79%)

13. “Good post crisis report. I would suggest that desk top scenario tests are undertaken to keep managers up to date with BCP.”

Module 7 – Maintenance (score 75%)

14. “The plan is currently under review. There is no formal review mechanism. The plan is reviewed following each crisis.”

Conclusion

15. The public protection officer is using the details within the consultant’s report to prioritise the work needed to improve our arrangements against the standard.



BCP Scorecard Summary

Site/Location:	Norwich City Council
Date:	23 November 2010

	Module Name	Max Score	Total Score	% Score
Assessment Module 1	BCM Programme management	3.0	2.1	69%
Assessment Module 2	Business Impact Analysis	5.0	1.1	23%
Assessment Module 3	BCM Resource Strategies	4.0	1.3	31%
Assessment Module 4	Business Continuity Plan	7.5	5.1	73%
Assessment Module 5	Crisis Management Planning	4.0	3.5	70%
Assessment Module 6	Exercising	3.0	2.4	79%
Assessment Module 7	Maintenance	3.0	2.3	75%
Total		29.5	17.7	60%

