

**2009/10 SAP Access and Security (incl. IT DR) Managed Audit**

**Recommendation R2:**

A Disaster Recovery Plan should be developed and approved. As a minimum, this should include;

- the identification and prioritisation of key IT systems
- the roles and responsibilities of relevant officers and third party suppliers
- a set of IT procedures which should be executed initially to react to crises/disaster
- escalation procedures
- salvage procedures that deal with retrieval of items from affected sites
- the recovery and reconfiguration of all IT and communication systems
- details of additional accounts where monies may be sourced to aid recovery efforts
- a schedule in respect of the testing of the plan

**Rationale for Recommendation:**

During 2009/10, there was no Disaster Recovery Plan. Recovery from the server failures in February 2010 gave highest priority to restoration of the IT infrastructure. Meetings and telephone conversations with Heads of Services and Directors were held to agree the recovery plan / priorities and time scales. No IT Disaster Recovery Strategy was found to be documented to describe the role and development of a Disaster Recovery Plan and to improve the recovery options of IT systems

**Detailed Tracking of recommendation by activity**

Recommendation	Current Position and Explanation for Slippage:	Target Dates:
<p>A Disaster Recovery Plan should be developed and approved. As a minimum, this should include:</p>	<p>A Disaster Recovery Plan (DRP) has been developed and approved by Information Assets Senior Management Team (IAMT).</p> <p>There are a number of areas that require further work as detailed below.</p>	<p>Complete</p>
<ul style="list-style-type: none"> <li>• the identification and prioritisation of key IT systems</li> </ul>	<p>Information Asset's assessment of Business critical locations, operations and/or systems should be informed by Business Continuity Plans (BCP). CMT approved BCP's should be used to define the agreed services and systems within Information Asset's DRP.</p> <p>Emergency Planning to work with Directorates on BCP's and those agreed BCP's should inform the Information Asset's DRP. A DRP to reflect BCP</p>	<p>Once the Business has agreed and approved Directorate BCP's</p>

Recommendation	Current Position and Explanation for Slippage:	Target Dates:
	<p>priorities as agreed by the Corporate Management Team (CMT). Information Assets will meet with Emergency Planning and work with them to drive this forward.</p> <p>A recovery matrix will be developed and included in the DRP with prioritisation and categorisation columns. This will be presented to CMT for agreement and sign off.</p> <p>Completion of this recommendation is reliant on the Business.</p>	
<ul style="list-style-type: none"> <li>the roles and responsibilities of relevant officers and third party suppliers</li> </ul>	<p>Engage Emergency Planning Team in development of Information Asset's DRP. Ensure that roles and responsibilities are clearly identified and agreed. Information Asset's to agree with Emergency Planning Team roles and responsibilities and update Information Asset's DRP with details of individuals to be contacted should DR be invoked.</p>	<p>March 2014</p>
<ul style="list-style-type: none"> <li>a set of IT procedures which should be executed initially to react to crises/disaster</li> </ul>	<p>Detailed operational DR procedures to be developed and included in the DRP. Decision tree to be developed by IAMT to enable a structured and clear response to a DR event.</p>	<p>December 2013</p>
<ul style="list-style-type: none"> <li>escalation procedures</li> </ul>	<p>Escalation procedures will be developed in-line with Information Asset's Structure and will be aligned with capabilities, knowledge and skill sets.</p> <p>Escalation processes with the Business will be developed in conjunction with Emergency Planning and will incorporate BCP's.</p>	<p>December 2013</p> <p>Once the Business has agreed and approved Directorate BCP's</p>
<ul style="list-style-type: none"> <li>salvage procedures that deal with retrieval of items from affected sites</li> </ul>	<p>Salvage process and procedures to be devised, working in partnership with ONI the co-location service provider, and included within DRP.</p> <p>The proposed procedure will be developed and included in the DRP.</p>	<p>March 2014</p>
<ul style="list-style-type: none"> <li>the recovery and reconfiguration of all IT and communication systems</li> </ul>	<p>Information Asset's DRP should detail the prioritisation of CBC's services and systems in-line with the agreed Corporate BCP. Categorisation of those services should be identified within Information Asset's DRP and the recovery order agreed with CMT.</p>	<p>Once the Business has agreed and approved Directorate BCP's</p>

Recommendation	Current Position and Explanation for Slippage:	Target Dates:
	<p>Business Continuity Plans should identify critical recovery time periods for their services before material losses. These time periods should be included in the recovery matrix of Information Asset's DRP. Recovery Time Objectives (RTO) to be developed and included within the DRP.</p> <p>Recovery matrix to be developed and included in DRP with prioritisation, categorisation columns. It shall also Include recovery time periods within Information Assets'. Signed off by IAMT.</p> <p>RTO's to be developed and included in Information Asset's DRP once recovery matrix is signed off and included.</p> <p>Completion of this recommendation is reliant on the Business.</p>	
<ul style="list-style-type: none"> <li>• details of additional accounts where monies may be sourced to aid recovery efforts</li> </ul>	<p>An agreed fund for DR should be identified and held available to support recovery of services in the event of an emergency. Secure confirmation from section 151 officer concerning source of funding.</p> <p>This recommendation is reliant on the Business</p>	<p>Once the Business has agreed additional funds</p>
<ul style="list-style-type: none"> <li>• a schedule in respect of the testing of the plan</li> </ul>	<p>An agreed DR test plan to be developed in-line with the Recovery Matrix and DR testing to be undertaken on an annual basis. DR Tests already underway, and will be performed as part of the incremental programme of DR capability enhancement.</p> <p>Back-up testing to be undertaken as part of annual DR test plan and included with the DRP. Back-up tests already underway, and will be performed as part of the incremental programme of DR capability enhancement</p> <p>Internal data centres to be moved to externally hosted sites which are in-line with SAS-70 and/or BS-25999</p>	<p>March 2014</p> <p>March 2014</p> <p>July 2014</p>