

Moray Council

Internal Audit Section

DEPARTMENT: Education, Communities & Organisational Development

SUBJECT: Business Continuity

REPORT REF: 22'008

Follow Up Audit Review

Risk Ratings for Recommendations					
High	Key controls absent, not being operated as designed or could be improved. Urgent attention required.	Medium	Less critically important controls absent, not being operated as designed or could be improved.	Low	Lower level controls absent, not being operated as designed or could be improved.
No.	Audit Recommendation	Priority	Accepted (Yes/ No)	Date of Completion	Status / Explanation
Key Control: The Council's Business Continuity Policy has been formally approved, is reviewed at regular intervals and is supported by procedures and guidelines for consistent application across the organisation.					
5.01	The Council's Business Continuity Policy should be reviewed and updated as required. Policies and procedures once implemented should be reviewed at regular, stated,	Medium	Yes	28/02/2022	Part implemented. The policy has been acknowledged as requiring updating. This needs to be done having regard to statutory obligations, critical functions of the Council, the response to the pandemic, and identified links with risk management and emergency planning. These matters are under consideration with CMT/SMT and the timescale for finalising the policy has been

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No.	Audit Recommendation	Priority	Accepted (Yes/ No)	Date of Completion	Status / Explanation	
	intervals.				extended to 31st October 2023. This will ensure the final approved version reflects up-to-date strategic priorities and makes best use of resources available to support this area of work.	
Key Control: Business Continuity Plans are in place for all critical service areas and these plans are fully tested and regularly reviewed.						
5.02	Current and finalised Business Continuity Plans, should be held covering all critical services identified by the organisation.	Medium	Yes	31/10/2022	Part implemented. Critical functions of the Council were affirmed during the pandemic. These have been reviewed in the context of impacts from potential power outages that threatened disruption over the winter period. This identified the specific plans that need to be updated as a priority and work on these is ongoing. Plans for other critical service areas will be updated dependent on assessed risk as work continues to align business continuity requirements with risk management practice. A programme of work will be developed for the 23/24 year with a revised implementation date for business plans covering all critical activities to be in place by 31st March 2024.	

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5.03	All Business Continuity Plans should be reviewed and tested on at least an annual basis, with outcomes analysed and documented, to ensure plans are capable of supporting an effective recovery position.	Medium	Yes	28/02/2023	Not implemented. The focus currently is on bringing the business continuity plans up-to-date; part of this process will involve discussions with relevant managers to ensure proposals are achievable in practice. Updating of plans will continue with a revised completion date of 31st March 2024 and formal testing of plans thereafter will be on an 'as and when' required basis.
Key Control: Business Continuity is embedded into the culture of the organisation with all relevant officers appropriately trained and sound central governance arrangements in place.					
5.04	A training programme should be developed to assist officers in the preparation and implementation of the business continuity management process.	Medium	Yes	30/06/2022	Implemented. Service Managers are being supported in the development of service risk registers and business continuity plans through briefing sessions held by the Business Continuity & Risk Management Officer appointed in June 2022.
5.05	The roles and responsibilities of the Business Continuity Officer as detailed within the Business	Medium	Yes	28/02/2022	Implemented. A Business Continuity and Risk Management Officer was appointed on a part-time basis in June 2022. The Officer is currently progressing the business continuity agenda and

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	Continuity Policy should be undertaken.				implementing the recommendations within this audit report.	