



Item No. 13

Meeting Date

Wednesday 8th December 2021

Glasgow City Integration Joint Board Finance, Audit and Scrutiny Committee

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Business Continuity and Category 1 Annual Assurance Statement 2021

Purpose of Report:

The purpose of this report is to provide assurance to the Glasgow City IJB Finance, Audit and Scrutiny Committee about the business continuity arrangements for the HSCP and the arrangements in place in respect of the IJB's duties as a Category 1 responder.

Background/Engagement:

An internal audit was carried out by Glasgow City Council in 2019 to "ensure that the IJB has effective arrangements in place to gain assurance that the business continuity planning and ICT disaster recovery arrangements in place within the partner organisations are adequate". In January 2021 the Scottish Parliament passed an amendment to the Civil Contingencies (Scotland) Act 2004 to give Category 1 responder status to Integration Authorities.

Recommendations:

The IJB Finance, Audit and Scrutiny Committee is asked to:

a) note the content of this report.

Relevance to Integration Joint Board Strategic Plan:

Failure by the Partnership to respond to or recover from a significant disruption to the continuity of services could impact on the IJB's ability to achieve its Strategic Priorities

Implications for Health and Social Care Partnership:

Reference to National Health & Wellbeing Outcome:

Having robust business continuity plans in place for services aligns with Outcome 9 (Resources are used

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	effectively and efficiently in the provision of health and care services).
Personnel:	N/A
Carers:	N/A
Provider Organisations:	N/A
Equalities:	N/A
Fairer Scotland Compliance:	N/A
Financial:	N/A
Legal:	Category 1 responders are required by the Civil Contingencies (Scotland) Act 2004 to maintain business continuity plans.
Economic Impact:	N/A
Sustainability:	N/A
Sustainable Procurement and Article 19:	N/A
Risk Implications:	The risk of disruption to services is already noted in the service level and IJB risk registers
Implications for Glasgow City Council:	N/A
Implications for NHS Greater Glasgow & Clyde:	N/A

1. Purpose

- 1.1. The purpose of this report is to provide an assurance to the Glasgow City IJB Finance, Audit and Scrutiny Committee about the business continuity arrangements for the HSCP and the arrangements in place in respect of the IJB's duties as a Category 1 responder.

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2. Background

- 2.1. An internal audit was carried out by Glasgow City Council in 2019 to “ensure that the IJB has effective arrangements in place to gain assurance that the business continuity planning (BCP) and ICT disaster recovery (DR) arrangements in place within the partner organisations are adequate”.
- 2.2. At its meeting on [24 April 2019](#) the IJB Finance, Audit and Scrutiny Committee agreed with the audit recommendation and approved the Senior Management Team proposal for the format of this report.
- 2.3. In January 2021 the Scottish Parliament passed an amendment to the Civil Contingencies (Scotland) Act 2004 to place Category 1 responder status on Integration Joint Boards. Category 1 responders have several duties, including maintaining business continuity plans for critical functions. The amendment to the Act came into effect on 18 March 2021.
- 2.4. At its meeting on [5 May 2021](#) the IJB considered a report detailing the duties of Category 1 responders and instructed the Chief Officer to carry out those duties on its behalf. The Board also instructed the Chief Officer to provide it with an annual assurance statement that arrangements are in place for these duties to be discharged.

3. Business Continuity Management Frameworks

- 3.1. Glasgow City Council has a Business Continuity Management Policy and Framework which applies to all Council services, including those delivered by the Partnership.
- 3.2. NHS Scotland has a Business Continuity Framework and Strategic Guidance which applies to all NHS services in Scotland, including those delivered by the Partnership.
- 3.3. The Council co-ordinates business continuity management activity via its Business Continuity Forum, which meets monthly. Representatives from all Council Family services, including the HSCP, attend this forum.
- 3.4. NHS GGC co-ordinates business continuity management activity with GGC HSCPs via its HSCP Resilience Group which meets quarterly. Representatives from all GGC HSCPs, local authorities and other Health Board services attend this group.
- 3.5. Glasgow City HSCP co-ordinates its business continuity management activity via its HSCP Business Continuity Forum, which meets quarterly and is chaired by the Head of Business Development. Representatives from all HSCP services attend this forum. The HSCP BC Forum receives updates from, and can escalate issues to, the partners’ groups detailed above.

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4. Business Impact Assessments

- 4.1. All functions within the HSCP are required to complete and annually review a Business Impact Assessment. This assessment allows managers to identify their most critical activities, the maximum amount of time that these functions can be disrupted without irrecoverable loss, the desired recovery time and the resources needed to deliver both critical and business-as-usual levels of service.
- 4.2. All Business Impact Assessments were reviewed by Business Development officers in 2021, and a peer review of all the HSCP's BIAs was carried out by the Council's Business Continuity Forum.

5. Business Continuity Plans

- 5.1. Business Continuity Plans are required to be in place for Partnership services, particularly those with the most critical functions (for example, 24/7 residential services and statutory functions).
- 5.2. The Partnership's business continuity management structures were stood up in March 2020 at the start of the COVID-19 pandemic and remain in place. Services have continually reviewed contingency plans throughout the pandemic to ensure they reflect the current circumstances and restrictions.
- 5.3. In addition to this all HSCP services have reviewed and updated their business continuity plans as part of the preparations for COP26 (see Section 8).

6. Testing & Exercising

- 6.1. Both frameworks require regular testing of business continuity plans. Testing can take the form of walk-throughs, desktop exercises or live exercises.
- 6.2. Both frameworks acknowledge that responding to a live incident is equivalent to testing business continuity plans. The Partnership has been in active business continuity response mode since late March 2020.
- 6.3. A desktop business continuity exercise for the HSCP's Older People Residential is scheduled to take place in December 2021.

7. Debriefs following significant incidents

- 7.1. Both frameworks require services to carry out full debriefs following significant disruptive incidents and any lessons learned incorporated into business continuity plans.
- 7.2. A debrief was carried out in June 2021 following a power outage in an HSCP Older People's Residential Unit that required its business continuity plan to be activated

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- 7.3. A debrief was carried out in September 2021 following the closure of a private care home that required the HSCP to implement its contingency plans for this type of event.
- 7.4. A debrief is scheduled to take place in December 2021 to review the planning and preparation for COP26 and the HSCP's response during this event.

8. COP26

- 8.1. A significant proportion of the HSCP BC Forum's business in 2021 has been planning and preparation for COP26 which took place in Glasgow from Sunday 31 October to Saturday 13 November.
- 8.2. To date, COP26 was the most complex security event to take place in Scotland and the level of planning carried out and resources deployed by all Category 1 responders reflected this.
- 8.3. Major road closures in Glasgow and the expected impact on travel across the Central Belt required considerable preparation and contingency planning to ensure the HSCP could continue to deliver services with the minimum of disruption. The HSCP adopted a risk-based approach to planning for COP26 in line with approach taken by NHS GGC, the Council and the COP26 delivery partners.
- 8.4. Membership of the HSCP BC Forum was expanded during 2021 to include additional managers from across social care, community health and primary care services most likely to be affected by COP26. The frequency that the forum met increased, to monthly and then weekly, as COP26 grew nearer.
- 8.5. NHS GGC stood up a COP26 Steering Group, chaired by the Director of Delivery & Resilience, to co-ordinate planning and preparation across the Health Board. Glasgow City HSCP was a member of this group. Sub-groups were activated to focus on specific areas of activity, and the HSCP BC Forum was incorporated into this structure. The NHS GGC Steering Group also increased frequency to weekly meetings as COP26 grew nearer.
- 8.6. Oversight of Council services' planning and preparation for COP26 was achieved via the existing GCC BC Forum. This forum benefitted from regular input from the COP26 Resilience/BAU Workstream Lead and officers from NRS (Neighbourhoods, Regeneration and Sustainability) who were able to share information about planned road closures and other planned restrictions which might impact delivery of services.
- 8.7. The HSCP was invited into the Glasgow City Co-ordination Centre that was established as part of the COP26 C3 arrangements (Command, Control, Co-ordinate). The HSCP had a duty officer in the GCCC for the duration of the event which enabled rapid sharing of information about unexpected disruptions which occurred and a route of escalation to multi-agency partners in the event of disruption that could not be managed locally.

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- 8.8. As noted above the HSCP will be carrying out a debrief following COP26 to identify what went well and where there are areas of improvement to be incorporated into business continuity plans and planning for future events in Glasgow (e.g. Cycling World Championships in 2023). COP26 debriefs are also being carried out by NHS GGC and the COP26 C3 structure and the HSCP will participate in these.

9. ICT Disaster Recovery

- 9.1. The Partnership's position in terms of ICT Disaster Recovery remains largely unchanged since the previous reports to this Committee on [4 September 2019](#) and [9 December 2020](#).
- 9.2. The project to replace Carefirst with cloud-based Eclipse is ongoing, and disaster recovery arrangements for Eclipse are part of the project plan. The first stage of Eclipse implementation is due to be complete in June 2022.
- 9.3. The upgrade to telephony services referred to in the 4 September 2019 report has now been completed, and disaster recovery arrangements are in place.

10. Category 1 duties

- 10.1. As detailed in the report to the IJB on [5 May 2021](#), there are several duties that the Civil Contingencies (Scotland) Act 2004 requires Category 1 responders to carry out:
- Assess risk of emergencies occurring and use this to inform contingency planning
 - Put in place emergency plans
 - Create business continuity plans
 - Maintain arrangements to warn, inform and advise the public in the event of an emergency
 - Share information and co-operate with other responders

As noted above the IJB instructed the Chief Officer to carry out these duties on its behalf.

- 10.2. As described in the [5 May 2021](#) report, these duties are carried out through the HSCP's business continuity arrangements (as above) and through membership of local and regional resilience partnership structures. The Glasgow City Chief Officer is represented on the Glasgow & East Dunbartonshire Local Resilience Partnership (GED LRP) and the GGC Chief Officers are represented on the West of Scotland Regional Resilience Partnership (WosRRP).
- 10.3. During 2021 the HSCP has participated in GED LRP reviews of Multi-agency Incident Response Guides (MAIRGs) for identified areas of risk across Glasgow City, including a MAIRG developed specifically for a COP26 related event on Monday 1 November.

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- 10.4. In addition to this, the HSCP worked closely with GED LRP partners in Police Scotland to develop specific contingency arrangements for delivery of community-based health and social care services in the areas affected by the event on 1 November.
- 10.5. During 2021 the HSCP participated in several multi-agency civil contingencies exercises to test emergency plans:
- An incident in a shopping centre
 - Adverse winter weather
 - An incident during the COP World Leaders' Summit
- 10.6. In 2021 the HSCP established an internal Civil Contingencies Group (CCG), chaired by the Assistant Chief Officer (Public Protection), to co-ordinate civil emergency planning in the Partnership and ensure ongoing compliance with the requirements of Category 1 responder status. This group meets quarterly and is attended by civil emergency leads from the 3 localities, Out of Hours services, Homelessness Services, and the resilience team in Business Development.
- 10.7. During 2021 the HSCP CCG has completed risk assessments for Emergency Rest Centres and reviewed civil emergency response plans in preparation for COP26. The CCG has also co-ordinated HSCP participation in multi-agency exercises (para 10.5) and delivered Emergency Rest Centre training to over 160 staff across the Partnership in 2021.

11. Recommendations

- 11.1. The IJB Finance, Audit and Scrutiny Committee is asked to:
- a) note the content of the report.

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