



Item No. 13

Meeting Date Wednesday 24th April 2019

Glasgow City Integration Joint Board Finance, Audit and Scrutiny Committee

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BUSINESS CONTINUITY AND DISASTER RECOVERY ARRANGEMENTS

Purpose of Report:	To inform the IJB Finance, Audit and Scrutiny Committee of the arrangements within the Partnership for Business Continuity and Disaster Recovery and to propose a process for providing annual assurance to the IJB about these arrangements.
Background/Engagement:	<p>The Civil Contingencies (Scotland) Act 2004 requires all Category 1 responders to have and maintain Business Continuity Plans to ensure that their critical functions can continue in the event of an emergency.</p> <p>Local Authorities and Health Boards are Category 1 responders, along with the Police, Fire and Rescue Services, Scottish Ambulance Service, SEPA and the coastguard.</p> <p>Glasgow City Council carried out an internal audit in early 2019 to “ensure that the IJB has effective arrangements in place to gain assurance that the BCP and DR arrangements in place within the partner organisations are adequate”. The audit recommended that a process for providing assurance to the IJB should be considered.</p>
Recommendations:	<p>The IJB Finance, Audit and Scrutiny Committee is asked to:</p> <ul style="list-style-type: none">a) note the content of the report; andb) consider the proposal noted within for an annual assurance 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 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 have business continuity plans in place for critical functions.
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
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Implications for NHS Greater Glasgow & Clyde:	N/A
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1. Purpose

- 1.1. The purpose of this report is to inform the IJB Finance, Audit and Scrutiny Committee of the arrangements within the Partnership for Business Continuity and Disaster Recovery and to propose a process for providing annual assurance to the IJB about these arrangements.

2. Background

- 2.1. The Civil Contingencies (Scotland) Act 2004 requires all Category 1 responders to have and maintain Business Continuity Plans to ensure that their critical functions can continue in the event of an emergency.
- 2.2. Local Authorities and Health Boards are Category 1 responders, along with the Police, Fire and Rescue Services, Scottish Ambulance Service, SEPA and the coastguard.
- 2.3. Glasgow City Council carried out an internal audit in early 2019 to “ensure that the IJB has effective arrangements in place to gain assurance that the BCP and DR arrangements in place within the partner organisations are adequate”. The audit recommended that a process for providing assurance to the IJB should be considered.

3. Business Continuity Management in the Partner Organisations

- 3.1. Business Continuity Management within the Partnership is an operational responsibility that lies with the partner bodies, with the IJB having no formal responsibilities in this regard.
- 3.2. Glasgow City Council resources within the Partnership are required to comply with its Business Continuity Policy and Framework. Similarly NHS Greater Glasgow & Clyde resources in the Partnership are required to comply with its Business Continuity Framework.
- 3.3. GCC requires an identified Business Continuity Champion in each of its services. The Head of Business Development assumes this role for the Partnership.
- 3.4. NHS GGC co-ordinates business continuity planning in the HSCPs across Greater Glasgow & Clyde through its HSCP Civil Contingencies Group. This group meets twice a year, is chaired by the NHS GGC Head of Civil Contingencies and is attended by officers from Local Authorities and HSCPs.

This group is attended by an officer from Business Development and a Resilience Officer from GCC.

4. Business Continuity Management in the HSCP

- 4.1. Business Continuity Management in the Partnership is co-ordinated through the HSCP Business Continuity Working Group which is chaired by the Head of Business Development.
- 4.2. This group is composed of Business Continuity Leads from each of the services within the Partnership. These leads have a responsibility to co-ordinate the business continuity activity within their service and also act as a point of contact for their service during a business continuity disruption.
- 4.3. As per the frameworks of the partner organisations, each service in the Partnership is required to undertake an annual Business Impact Assessment for each of its functions. This identifies the most critical activities in each function, the maximum time that they can be disrupted and the resources required to deliver them in an emergency and business-as-usual.
- 4.4. The impact assessment informs the Business Continuity Plan for each service. This details the actions a service is required to take both to keep the most critical functions running during a disruption, the resources needed to do this, and the actions needed to return to business-as-usual within acceptable timescales.
- 4.5. The frameworks for both partner organisations require testing and exercising of Business Continuity Plans to be carried out regularly. These tests can take the form of walkthroughs, desktop exercises or live exercises.
- 4.6. Desktop Exercises are regularly undertaken with services in the Partnership. These are co-ordinated and delivered by the Information Management and Resilience team in Business Development. Services are required to use the learning from these exercises to review and update their Business Continuity Plans.

5. Responding to a Business Continuity Disruption

- 5.1. The business continuity frameworks for both partner organisations state that disruption is managed as far as possible by local management using existing processes. Only if a disruption is unmanageable locally should a Business Continuity Plan be activated and the matter escalated.
- 5.2. In the event of a disruption that affects many functions or services within the Partnership, the Service Incident Management Team (SIMT) is activated to co-ordinate the response and manage resources in line with priorities. The SIMT consists of members of the Senior Management Team supported by relevant key officers from functions across the Partnership (e.g. Resilience, Communications, Business Support, IT).

- 5.3. In the event of a disruption that is affecting other parts of the partner organisations, the respective Corporate Management Teams would be activated to co-ordinate the response and the SIMT are required to liaise with the CMT(s) accordingly.
- 5.4. When a disruption has ended and business as usual has resumed, the frameworks require that a formal debrief is carried out to identify what went well, what didn't and what are the opportunities for improvement. As with testing and exercising, services are required to incorporate the lessons learned from debriefs into their Business Continuity Plans.

6. Disaster Recovery Arrangements within the HSCP

- 6.1. Disaster Recovery within the Partnership refers to the arrangements made by the partners' IT providers to recover and protect the IT infrastructure in the event of a disaster.
- 6.2. For the Council, the IT Provider CGI is contractually required to put appropriate disaster recovery arrangements in place aligned with the Business Continuity Plans of the Council's services, which includes services within the Partnership.
- 6.3. This includes the priority levels for ensuring individual systems and applications are restored in accordance with business need following a disruption as well as facilitating data back-up frequencies that align with business priorities and requirements.
- 6.4. Similarly the IT Contingency Plan of NHS GGC states that disaster recovery arrangements will be aligned to the Business Continuity Plans of the Health Board and its constitute functions.

7. Annual Assurance Statement

- 7.1. An internal audit was carried out by GCC in early 2019 to "ensure that the IJB has effective arrangements in place to gain assurance that the BCP and DR arrangements in place within the partner organisations are adequate". The final report of this audit was reported to the FASC at its meeting on 6 March 2019.
- 7.2. As noted above, the internal audit acknowledged that the Glasgow City IJB has no formal responsibilities in terms of the business continuity arrangements of the Partnership, however recommended consideration of an annual assurance statement to the IJB on the efficacy of the Partnership's business continuity arrangements as an opportunity for improvement.
- 7.3. In order to meet with this recommendation it is proposed that an annual statement of assurance be presented for the consideration by the FASC on behalf of the IJB.
- 7.4. This would take the form of an assurance statement from the Head of Business Development that the business continuity management frameworks of the partner bodies are being adhered to by:

- Confirming if the partner organisations continue to have robust Business Continuity frameworks in place
- Confirming if all HSCP functions have reviewed and updated their business impact assessments
- Confirming if all HSCP services have reviewed and updated their business continuity plans
- Confirming if an appropriate level of testing & exercising of HSCP business continuity plans has taken place
- Confirming, if significant disruptive incidents have occurred, that debriefs have taken place and lessons learned have been incorporated into the appropriate business continuity plan.

7.5. If agreed, it is proposed that the first Annual Assurance Statement is considered by the Committee at its meeting on 12 June 2019.

8. Recommendations

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

- a) note the content of the report; and
- b) consider the proposal for an annual assurance report.