



Item No. 14

Meeting Date Wednesday 9th December 2020

**Glasgow City
Integration Joint Board
Finance, Audit and Scrutiny Committee**

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BUSINESS CONTINUITY ANNUAL ASSURANCE STATEMENT 2020

Purpose of Report:

To provide an assurance statement to the Glasgow City IJB Finance, Audit and Scrutiny Committee about the business continuity arrangements for the HSCP.

Background/Engagement:

An internal audit was carried out by Glasgow City Council in early 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”. The audit acknowledged that the IJB has no formal responsibilities in terms of the business continuity arrangements of the Partnership, however recommended that an annual assurance statement to the IJB on the position of the Partnership’s business continuity arrangements should be considered.

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

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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
Implications for NHS Greater Glasgow & Clyde:	N/A

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1. Purpose

- 1.1. The purpose of this report is to provide an assurance statement to the Glasgow City IJB Finance, Audit and Scrutiny Committee about the business continuity arrangements for the HSCP.

2. Background

- 2.1. An internal audit was carried out by Glasgow City Council in early 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. The audit acknowledged that the IJB has no formal responsibilities in terms of the business continuity arrangements of the Partnership, however recommended that an annual assurance statement to the IJB on the position of the Partnership’s business continuity arrangements should be considered.
- 2.3. At its meeting on Wednesday 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:
- Confirmation that the partner organisations have Business Continuity frameworks in place
 - Position statement of all HSCP services in relation to reviewing and updating Business Impact Assessments
 - Position statement of all HSCP services in relation to reviewing and updating 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

3. Business Continuity Management Frameworks

- 3.1. Glasgow City Council has a Business Continuity Management (BCM) Policy and Framework in place. The current version was implemented in June 2017 and all Council Services are required to comply with it, including services within the Partnership.
- 3.2. NHS Scotland has a Business Continuity Framework and Strategic Guidance which applies to all NHS services in Scotland, including services within the Partnership.
- 3.3. Both frameworks follow the same principles of Business Continuity Management, which all services in the Partnership follow.
- 3.4. The Business Continuity Lifecycle is the annual sequence of business continuity management activities that services must carry out. The GCC BCM Lifecycle is shown in Illustration 1.

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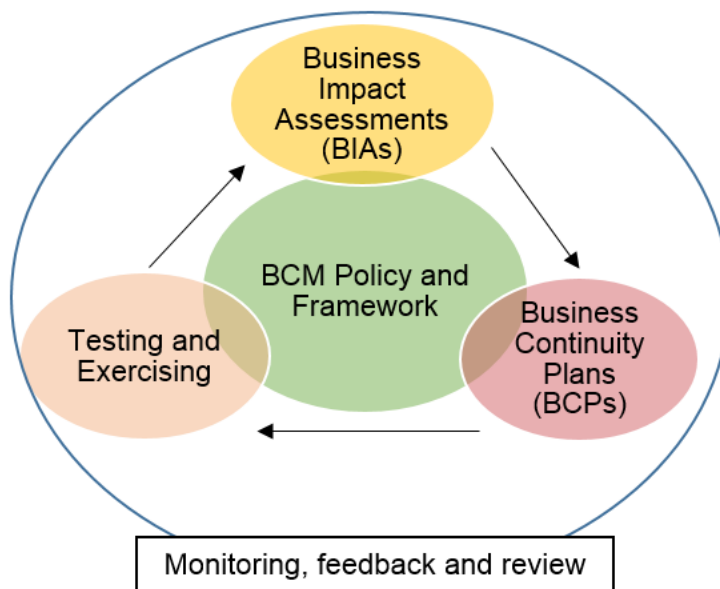


Illustration 1: Council BCM Lifecycle

source: Glasgow City Council Business Continuity Management Policy and Framework June 2017

- 3.5. Following the lifecycle is usually co-ordinated by the Business Continuity Working Group however due to impact of the COVID-19 pandemic the Partnership has been operating in business continuity mode since March, with the Executive Group repurposed as the Service Crisis Management Team in line with the partner's Business Continuity Management frameworks.

4. Business Impact Assessments

- 4.1. All functions within the HSCP are required to complete and annually review a Business Impact Assessment. This is the process where function and team managers identify their most critical activities, the maximum amount of time that these functions can be disrupted without some irrecoverable loss, the desired recovery time and their resource requirements to deliver both critical and business-as-usual levels of service.
- 4.2. All Business Impact Assessments were reviewed and updated in early 2020.

5. Business Continuity Plans

- 5.1. Business Continuity Plans are required to be in place for Partnership services, in particular those with the most critical functions (for example, 24/7 residential services and statutory functions).
- 5.2. When the Partnership entered into business continuity response mode in March 2020, all services carried out a significant review and update of business continuity plans with a focus on responding to the impact of COVID-19. Services have continually reviewed plans through the pandemic to ensure they reflected the changing circumstances. Recovery planning was built into this process from early June.

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- 5.3. A further in-depth review and update of business continuity plans was requested at the Senior Management Team meeting on 23 October 2020 in order to ensure preparation for the second wave of the pandemic and the concurrent increased pressure on service delivery during the winter. This review of plans was to cover the period up to December 2020.
- 5.4. A further review will be held in December 2020/January 2021 to cover the period to end of March 2021.

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. The Business Continuity Management frameworks of both partner organisations recognise 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. Planning for multi-agency business continuity exercises resumed in late September, and the Partnership is participating in planning for two upcoming exercises which will cover a significant power outage and a 'red warning' weather incident.

7. Debriefs following significant incidents

- 7.1. Both Business Continuity Frameworks require services to carry out full debriefs following significant disruptive incidents and any lessons learned incorporated into business continuity plans.
- 7.2. A 'stocktake' debrief on the response to COVID-19 took place throughout August and September, with all services participating. A verbal summary of the findings was presented to the SMT on 23 October 2020 and informed the next phase of reviewing business continuity plans (see para 5.3).

8. Disaster Recovery

- 8.1. Due to the impact of COVID-19, the Partnership's position in terms of ICT Disaster Recovery remains unchanged since the previous report to this Committee on [4 September 2020](#). The current status of ICT projects was reported to the IJB at its meeting on 25 November 2020.

9. Recommendations

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