



Item No. 14

Meeting Date Wednesday 12th June 2019

Glasgow City Integration Joint Board Finance, Audit and Scrutiny Committee

Report By: Allison Eccles, Head of Business Development

Contact: Steven Blair, Senior Officer (Business Development)

Tel: 0141 287 6752

BUSINESS CONTINUITY ANNUAL ASSURANCE STATEMENT

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 BCP and DR 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

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

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 BCP and 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 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.

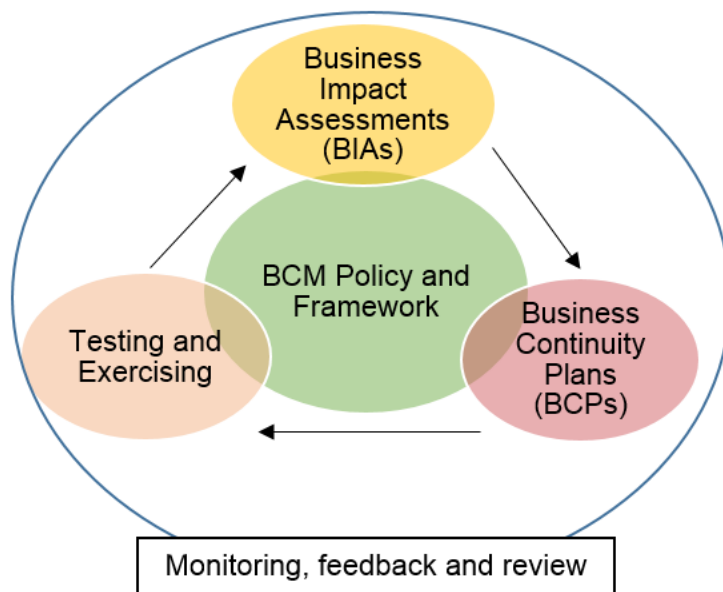


Illustration 1: Council BCM Lifecycle

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 the particular issues arising from the UK's exit from the European Union, an HSCP EU Exit Readiness Group is temporarily co-ordinating this work. This group is chaired by the Chief Officer Planning, Strategy & Operations with a remit is to co-ordinate the Partnership's response to the risks and impacts potentially arising from EU Exit.

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 have been completed by all Partnership services, and have all completed their annual review in 2019.

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. At time of writing all services are developing, reviewing and updating existing Business Continuity Plans. This exercise is being co-ordinated by the Heads of Planning in each locality and is making good progress. This stage of the lifecycle is expected to be completed by the end of June 2019.

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. In the past 12 months, desktop exercise tests have been carried out in the following services, led by Business Development:
- City-wide GP Practices (full workshop)
 - Business Continuity Service Leads
 - South locality senior management team
 - Children and Older Peoples' Residential Units (full workshop)
 - Care Services (Homecare, Community Alarms, EquipU, TaSS) (full workshop)
- 6.3. Full workshops, which also provided information on the frameworks and guidance to complete Business Continuity Plans, were delivered to the noted services above.
- 6.4. Following completion of the Business Continuity Plan review, testing of plans for selected functions will take place from Summer 2019 onwards.

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. In the past 12 months two full briefs were carried out, led by the Chief Officer Planning Strategy & Operations and supported by Business Development. The significant incidents were:
- 'Beast from the East'
 - Equal Pay Industrial Action
- 7.3. Both these debriefs led to action plans being developed and incorporated into contingency plans for these specific types of incident, and the desktop exercises were adapted to include an adverse weather scenario.

8. Recommendations

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