



Item No. 13

Meeting Date Wednesday 13th December 2023

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

Report By: Sharon Wearing, Chief Officer, Finance and Resources

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Business Continuity and Category 1 Annual Assurance Statement 2023

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 and recommended that a process be put in place to provide assurance to the IJB about business continuity arrangements in the HSCP.
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.

Governance Route:

The matters contained within this paper have been previously considered by the following group(s) as part of its development.

- HSCP Senior Management Team ☐
 Council Corporate Management Team ☐
 Health Board Corporate Management Team ☐
 Council Committee ☐
 Update requested by IJB ☐
 Other ☐
 Not Applicable ☒

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Recommendations:	The IJB Finance, Audit and Scrutiny Committee is asked to: a) note the content of this report.
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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).
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Personnel:	N/A
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Carers:	N/A
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Provider Organisations:	N/A
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Equalities:	N/A
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Fairer Scotland Compliance:	N/A
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Financial:	N/A
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Legal:	Category 1 responders are required by the Civil Contingencies (Scotland) Act 2004 to maintain business continuity plans.
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Economic Impact:	N/A
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Sustainability:	N/A
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Sustainable Procurement and Article 19:	N/A
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Risk Implications:	The risk of disruption to services is already noted in the service level and IJB risk registers. The risk of non-compliance with Category 1 responder statutory duties is noted in the IJB's risk register.
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.

2. Background

- 2.1. An internal audit was carried out by Glasgow City Council in 2019 and recommended that a process be put in place to provide assurance to the IJB about business continuity arrangements in the HSCP. At its meeting on [24 April 2019](#) the IJB Finance, Audit and Scrutiny Committee agreed with the recommendation and approved the proposed format of this report.
- 2.2. 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.
- 2.3. At its meeting on [5 May 2021](#) the IJB instructed the Chief Officer to carry out those duties on its behalf and to provide an annual assurance statement that appropriate 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.

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- 3.3. Glasgow City HSCP co-ordinates business continuity activity via a Business Continuity Forum, which meets quarterly and is chaired by the Head of Business Development supported by the Resilience Manager. Representatives from all HSCP services attend this forum.

4. Business Impact Assessments and Business Continuity Plans

- 4.1. Business Impact Assessments and Business Continuity Plans are required to be in place for HSCP services, particularly those with the most critical functions (e.g., statutory duties). These are required to be reviewed and updated at least annually.
- 4.2. All HSCP services have reviewed and updated their business impact assessments and business continuity plans in 2023. This activity was co-ordinated through the HSCP Business Continuity Forum

5. Testing & Exercising

- 5.1. Both frameworks require regular testing of business continuity plans.
- 5.2. Two desktop business continuity exercises were carried out in November 2023, with a range of services participating in these including Homelessness, Out of Hours Social Work, Older People Residential and Day Care, Alcohol & Drugs Recovery Services, SPHERE, Care at Home, Community Alarms, Business Administration, Prison Casework and Health and Social Care Connect.

6. Debriefs following significant incidents

- 6.1. Both frameworks require services to carry out full debriefs following significant disruptive incidents and any lessons learned incorporated into business continuity plans.
- 6.2. A debrief was carried out in October 2023 following a flooding incident at a locality Social Work office, which resulted in services being unable to use the building for 1 week.

7. ICT Disaster Recovery

- 7.1. Disaster Recovery (DR) focuses on planning for the repair, replacement or restoration of Information and Communication Technology (ICT) related services. DR for Glasgow City Council is provided by the Council's IT provider CGI, and for NHS GGC by its IT provider arrangements.
- 7.2. The Council's Strategic Innovation Team (SIT) has confirmed the Council's DR requirements with CGI which they are contracted to provide. The Partnership has provided its requirements in terms of system recovery for each of its Council hosted systems that support delivery of our most critical functions.

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- 7.3. CGI are contracted to run ICT services from the Data Vita data centre in Glasgow, the Waterton data centre in Wales and Pulsant data centre in Edinburgh. All sites have several features to reduce the likelihood of a disruptive incident causing extended downtime of critical systems, including alternative power supplies and spare capacity.
- 7.4. The Social Work case management system (Carefirst), Homelessness case management (i-World), Home Care and Community Alarms systems are resident in Data Vita, with back-up at Waterton. Telephony Services (including those used by Community Alarms) have been upgraded and are installed in Pulsant, with DR arrangements in place.
- 7.5. This arrangement for critical systems means that if one component of these systems fail, another is available and will automatically take over. In addition all systems managed by CGI have a backup strategy in place where tapes are stored off site to allow restoration of the system in the event of total failure.
- 7.6. The current position of NHS GGC systems used by the Partnership remains the same as previously reported to this Committee at its meeting on [4 September 2019](#) and is repeated below for reference.
- 7.7. The virtual desktop service, which enables staff to access systems across GCC and NHSGGC, is hosted in the Queen Elizabeth University Hospital and Westward House in Paisley. The service can be delivered from either location in the event of a failure, and there are additional measures in place to reduce downtime in the event of a disruption (for example, alternative power supplies and spare capacity)
- 7.8. The EMIS Web application databases (which provide access to patient information) are hosted in Leeds where there are back up measures in place to reduce downtime, however EMIS relies on a Scotland wide network connection, which is a single point of failure (i.e. there is no back-up to this network).
- 7.9. The physical networking hardware that connects GCC staff to NHS systems and vice versa (known as the Interconnect) is also a single point of failure. A failure of this could cause systems to be unusable by either partner with no back-up currently available.

8. UCI Cycling World Championships 2023

- 8.1. A significant amount of business continuity management activity in 2023 was planning and preparation for the UCI Cycling World Championships which took place in August, with many events taking place in Glasgow.

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- 8.2. The primary risk for the HSCP were the significant road closures in Glasgow and the expected impact on travel. These required considerable preparation and planning to ensure the HSCP continued to deliver services with the minimum of disruption.
- 8.3. The HSCP was part of the Glasgow City Co-ordination Centre that was established as part of the UCI C3 arrangements (Command, Control, Coordinate). The HSCP had an officer in the Co-ordination Centre for the duration of the event, which enabled rapid sharing of information about unexpected disruptions, and an escalation route to multi-agency partners (e.g. Police Scotland) in the event of disruption that could not be managed locally.
- 8.4. The HSCP carried out a debrief following the event to identify what went well and areas of improvement for planning for future events in Glasgow (e.g. Interpol global conference in Glasgow in November 2024).

9. Category 1 duties

- 9.1. As detailed in the report to the IJB on [5 May 2021](#), there are several duties that the Civil Contingencies (Scotland) Act 2004 requires of Category 1 responders. As noted above the IJB instructed the Chief Officer to carry out these duties on its behalf.
- 9.2. These duties are carried out through the HSCP's internal business continuity and civil emergency planning arrangements, and through joint working with other agencies via local and regional resilience partnership structures.
- 9.3. The Chief Officer is represented on the Glasgow & East Dunbartonshire Local Resilience Partnership (GED LRP) by the HSCP's Resilience Manager. Chief Officers across Greater Glasgow & Clyde are also represented on the West of Scotland Regional Resilience Partnership. The HSCP is also represented at the regional Care for People group.
- 9.4. During 2023 the HSCP continued to participate in the GED LRP's programme of reviewing Multi-agency Incident Response Guides (MAIRGs) for identified areas of risk across Glasgow City.
- 9.5. During 2023 the HSCP participated in the planning and delivery of multi-agency civil contingencies exercises to test emergency plans, including:
- Provan Gasworks
 - BAE Systems
 - Distilleries
 - Stadiums and major sporting/events venues
- 9.6. The HSCP has provided a Care for People response to several incidents in the city during 2023. These included significant incidents in the Petershill and Tollcross areas which resulted in the temporary evacuation of several residential properties which required emergency rest centres to be

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established. The HSCP worked with other Category 1 responders and partner agencies (e.g. housing associations) in response to these incidents.

10. Recommendations

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

- a) note the content of the report.