

JOINT INDEPENDENT AUDIT COMMITTEE
18th May 2023

SUBJECT	Business Continuity
REPORT BY	DCC Steve Cooper
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SUMMARY AND PURPOSE OF REPORT	
<ul style="list-style-type: none"> • The purpose of this report is to present to the Joint Independent Audit Committee an update on the Force Business Continuity Planning process. • To inform the Panel of the Force Critical Functions identified by Heads of Department. • To inform the Panel of the 2023/2024 Business Continuity Testing timetable, which identifies key areas of the business to be tested each quarter. This was approved at the Force Executive Board on 6th March 2023. • To provide an update on the Business Continuity Programme completed throughout 2022-23. 	
RECOMMENDATION	<p>It is recommended Joint Independent Audit Committee notes the updates and the progress made against the Force Business Continuity function and testing.</p> <p>That Joint Independent Audit Committee notes the list of Force Critical Functions (Appendix 1).</p> <p>That Joint Independent Audit Committee notes the testing timetable (Appendix 2).</p>

A. SUPPORTING INFORMATION

UPDATE

- The Force currently has Business Continuity Plans and Business Impact Analysis (BIAs) covering all aspects of its business.

TESTING

- The formal Force programme of testing Business Continuity Plans and Business Impact Analysis was agreed at the Force Executive Board in March 2023. Each area of the Force will be subjected to a table-top test conducted by the Force Business Continuity/Risk Manager together with the Head of the Department or appropriate deputy.
- Following testing, all Business Continuity Plans and Business Impact Analysis, are added to the Business Continuity shared drive for access by Heads of Department and appropriate named deputies.

TEST RESULTS

No issues were escalated during testing.

2023-2024 TESTING TIMETABLE

The testing timetable, attached at Appendix 2, prioritises the key Force Critical Functions for specific testing and then the capacity for individual Departments to identify contingency plans and innovative ways to recover essential services. This testing will be conducted by the Assurance Team together with appropriate staff from each Department.

The format of the testing will predominantly be desktop exercises. However, it is proposed that we will conduct a number of deeper live exercises in some of the Force's critical areas. This will be a scenario-based approach and full reports will be presented to the Organisational Risk, Standards, Learning and Integrity Board to ensure good practice is shared force-wide, and any risks are elevated to the appropriate risk registers.

Any learning from the testing regime will be fed directly to the Head of the Department and the Force Business Continuity Officer will work with appropriate individuals to ensure plans are updated and appropriate action is taken.

The testing cycle will ensure that the plans are robust, fit for purpose and provide confidence that the Force can provide effective resources to tackle critical incidents and still address vulnerable individual and community needs.

This testing timetable will take place alongside the testing scenarios undertaken by the Force Emergency Planning and Local Resilience Forum. Any learning will be shared through the Organisational Risk, Standards, Learning and Integrity Board.

Any learning or lessons learned regarding Business Continuity continues to be collated and inform future approaches and testing programme for each Department. The broader Force themes are also being identified to inform the overarching strategic Business Continuity approach.

B. FINANCIAL CONSIDERATIONS

There are no direct financial implications associated with business continuity management within the Force.

C. LEGAL AND HUMAN RIGHTS CONSIDERATIONS

The Civil Contingencies Act 2004 places a statutory duty on all Category 1 responders (which includes the police) to maintain plans to ensure they continue to perform their functions in the event of an emergency, so far as is reasonably practicable. An emergency is defined as an event that threatens serious damage to human welfare, the environment, or the security of a place in the United Kingdom. The qualification “so far as is reasonably practicable” means that in practice the Force is required to maintain plans for the continuity of its most critical functions to an acceptable level.

D. PERSONNEL, EQUAL OPPORTUNITIES AND DIVERSITY ISSUES

(including any impact or issues relating to Children and Young People)

Professional support for Business Continuity Management is provided by one FTE (full time equivalent) who also has the Risk portfolio and is based within Corporate Development.

General responsibility for business continuity management forms an integral part of the job descriptions of individuals managing critical functions within the Force.

E. REVIEW ARRANGEMENTS

The Committee are advised on progress related to business continuity as required.

F. RISK MANAGEMENT

Business continuity management is closely linked to the management of risk. Whilst the Force will maintain business continuity plans for its critical functions in order to meet its statutory obligations, an awareness and assessment of current risks will enable those plans to take account of changing circumstances and will therefore lead to better and more effective business continuity plans

G. PUBLIC ACCESS TO INFORMATION

Information in this report along with any supporting material is subject to the Freedom of Information Act 2000 and other legislation.

Appendix 1

Business Continuity Force Critical Functions

Definition of Critical Functions	Command	Department	Identified Critical Functions	Tested
<p>The Force has 9 Critical Functions which must be maintained:</p> <ul style="list-style-type: none"> • To maintain effective communications with the public • To receive and respond to Emergency Calls providing an appropriate response to immediate incidents prioritising those at greatest risk due to vulnerability • To continue to effectively investigate crime ensuring vulnerable individuals are quickly identified and receive a response appropriate to their needs • Maintain the ability to deal with: <ul style="list-style-type: none"> ➢ Major, Critical and Emergency Incidents ➢ Serious Crime ➢ Firearms Incidents ➢ Serious Public Order ➢ Fatal and Serious Road Traffic Collisions 	Chief Officer Team		<p>Maintain effective command of the force by developing and maintaining a command structure.</p> <p>Provide strategic command of Nottinghamshire Police and collaboration with internal and external strategic partners.</p> <p>Engage where appropriate with both National and Local agencies, including Strategic Coordination Group, Local Resilience Forum and OPCC</p> <p>Engage with Regional Forces re. collaboration</p> <p>Set policing strategy and prioritise the use of policing capability</p> <p>Set the strategy for return to normality following Critical Incident.</p>	Yes
	Local Policing	Contact Management	<p>Answering telephone calls – 999s (Immediate)</p> <p>Answering telephone calls – 101's (Immediate)</p> <p>Incident Creation (Immediate)</p> <p>Incident grading and incident grading (Dispatchers) (Immediate)</p> <p>Dispatching (Immediate)</p> <p>Control of incidents (dispatchers) and Control of Major incidents (Control Room Managers) (Immediate 24 hours)</p> <p>Answering telephone calls – 101s (Switchboard) (1 hour) Immediate</p> <p>Real Time Intelligence (Within 12 hours) (Immediate).</p>	Yes
	Local Policing	Custody	<p>Provide facilities for the reception and detention of arrested persons within Nottinghamshire.</p> <p>Provide facilities and enable effective processing of detained persons – including required pre charge processes (fingerprint, photo, DNA, drug testing, PNC update) and interview facilities.</p>	Yes
	Local Policing	Response	<p>Provides the 24/7 365 capability to respond to incidents graded “Urgent” or “Priority” by the Force Control Room (FCR) Protect life and Property.</p> <p>This includes responding to and management of critical/major and serious incidents under the direction of the Demand Management Inspector.</p>	Yes

Definition of Critical Functions	Command	Department	Identified Critical Functions	Tested
<ul style="list-style-type: none"> Ensure the health, safety & well-being of staff through the provision of effective training, equipment, support and governance to deal with operational challenges. To provide effective custody facilities and Critical Case Progression To deal effectively with all matters which impact upon community cohesion, or the credibility and reputation of the Force To provide effective command and control of incidents To maintain a cadre of Police Officers/Staff with specialist knowledge e.g., Firearms and Critical Incident Commanders. 			Provide sufficient numbers of trained PSU officers to meet spontaneous call out requirements.	
	Local Policing	Neighbourhoods	Deliver visible, accessible NP to all communities including the dealing of demand including immediate and urgent incidents as well as standard grade Provide Reassurance, visibility, and engagement with communities.	Yes
	Crime and Specialist Operations	Intelligence	Provide capability for Intelligence development to identify, research, report on open/closed source material Management of SPoC applications and out of hours (on call) cover.	Yes
	Crime and Specialist Operations	SOCTF	SOC investigation capability Provide a covert investigation capability, into serious crime for the Force Recovery of video and audio recordings from scenes and devices Copy, edit, enhance and reproduce video and audio recordings (including internally produced video interviews) Examination of seized mobile devices Examination of seized computer devices Provide a Surveillance function for the Force Management of various OCG's. Escalate where appropriate to EMSOU for additional resources.	Yes

Definition of Critical Functions	Command	Department	Identified Critical Functions	Tested
	Crime and Specialist Operations	Public Protection	Provide trained and equipped staff to conduct Child /Adult Protection investigations (CAIU and CSE investigations) - (Immediate) Maintain Force Investigative capability Provide trained and equipped staff to conduct Adults at risk investigations – which would include rape, serious sexual offences, offences against vulnerable adults and Domestic Abuse offences. Provide trained and equipped staff to conduct the management of Sex and Dangerous persons/offenders.	Yes
	Crime and Specialist Operations	Prosecutions	Critical case progression Remand File Preparation Shift working Case Assessment Officers Crown Court Files.	Yes
	Crime and Specialist Operations	Armed Policing (OSD)	Provide Armed Police Incident Response capability including specialist Armed Police Response capability (including. Baton Rounds/CS/Stun Grenades) Provide trained Strategic/Tactical/Operational firearms Commanders to authorise and command deployments Provide trained Firearms Tactical Advisor for Gold/Silver Commanders Provide trained and equipped Explosives Search Dog and handler at relevant incidents.	Yes
		Tactical Support Teams (OSD)	Provide trained and equipped officers to give expert advice on Police searches Provide trained and equipped officers to search in relation to missing people, serious crime, both defensive and offensive terrorist searches and CBRN Provide PSU level officers fully trained and equipped to respond immediately to the threat of serious disorder Provide fully trained officers who are able to respond to any CBRN incident.	Yes

		Operational Emergency Planning (OSD)	Provide planning support to operations within the Force in addition a contingency and response to emergencies and incidents within the Force.	Yes
		Serious Collision Investigation (OSD)	Provide dedicated Road Death SIOs. Provide specialist capability to attend and investigate major/serious injury/fatal RTC. Maintain Force Investigative capability.	Yes
	Corporate Services	Information Services	Access to FHQ for the Support and Maintenance of Force IT technologies and systems supporting the ACPO Critical Policing Functions (4 hours) (Immediate 24 hours).	Yes
	Deputy Chief Constable	Estates	Provision of emergency accommodation. Maintaining the emergency accommodation plan. Maintaining contractor liaison during emergency. Maintaining liaison with contractors and suppliers during an emergency. Site Management and Security.	Yes
	Deputy Chief Constable	Fleet	Support Emergency Planning and operation support with an emergency situation, including sourcing additional fleet when required Maintain, service, repair Notts Police vehicle fleet.	Yes
	Deputy Chief Constable	Professional Standards	Provide On Call Critical Incident Cover.	Yes
	Deputy Chief Constable	Corporate Communications	To maintain effective communications with the public, through a number of different communications platforms, including the force website and social media, and external news outlets (Immediate) Strategic communications management (Immediate) To ensure officers and staff, Partners and Stakeholders are kept up to date with information (Immediate).	Yes

	Deputy Chief Constable	People Services	<p>Provision of access to staffing databases</p> <p>Provide link and engage with Staff Associations /Unions, Duties Team and Occupational Health. Giving guidance and support to Senior Team and supporting staff and families as appropriate.</p>	Yes
	Deputy Chief Constable	Finance	<p>Payroll</p> <p>Requisitions/Cash availability.</p>	Yes
	Corporate Services	Archives and Exhibits	<p>Retrieval of all crime exhibit and evidential material for Forensic Examination.</p> <p>Retrieval of all crime exhibit and evidential material for Court.</p> <p>Maintenance and provision of walk-in freezers to ensure preservation of evidential items associated with serious crime.</p> <p>Ensure property/exhibits can be made readily available when required for court and criminal investigations.</p>	Yes

Business Continuity Testing Timetable 2023-2024

