

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	29th May 2019
Report of:	Deputy Chief Constable
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Agenda Item:	17

Business Continuity Report – Current Status and Future Plans

1. Purpose of the Report

- 1.1 To provide the Joint Audit and Scrutiny Panel (JASP) with an update on progress against the Business Continuity completion and testing timetable.
- 1.2 To provide reassurance to JASP that all Plans and Business Impact Areas (BIA's) have been tested, individual reports completed and matters escalated where appropriate.
- 1.3 To inform the Panel of further in-depth testing through 2019-20 together with the rational.

2. Recommendations

- 2.1 That the Panel notes the progress made against 2018 Business Continuity timetable.
- 2.2 That the Panel identify any subject area to be reported on, where additional and in depth detail can be explored allowing greater scrutiny.
- 2.3 Panel note areas chosen for 'Deep Dive' testing through 2019-20.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to the force's response to Business Continuity.
- 3.2 To provide the Panel with greater scrutiny opportunities.
- 3.3 To allow the Panel to shape the focus and priority areas of Business Continuity Testing.
- 3.4 To enable the Panel to note the details of the Business Continuity 'Deep Dive' testing, to be conducted in 2019-20. This provides greater reassurance that the

Force has appropriate and effective response plans in high risk, priority areas of the Force.

4. Summary of Key Points

Current Status

- 4.1 The force currently has Business Continuity Plans together with BIA's, in each critical area. This includes disciplines that have more than one function under their remit (Serious and Organised Crime includes, Serious Investigations, Offender management and DIEU – each have separate individually tested plans).
- 4.2 The testing programme proposed for 2018 has been completed. The only exceptions being Information Network Services (INS) and Chief Officer Team. INS is to be the subject of a regional exercise later in the year and also tested as part of the Internal Audit Plan, and the Chief Officer Team is a common thread running through all Departmental testing.
- 4.3 Outcomes through desktop testing have been identified and addressed appropriately either through Departmental intervention or escalated to the Force's Organisational Ethics Risk and Learning Board, of which a member of the JASP attends. (Terms of Reference Appendix 2).

Future Plans

- 4.4 A proposed 'Deep Dive' Testing programme has now been agreed with the Chief Officer Team to further explore, throughout 2019, key functional areas of the Force to provide greater assurance that plans and BIA's are practicable and appropriate to the Force's current and future risks. Any revision to plans, as a result of deeper dive testing, will incorporate new additions to the ISO Standard (ISO22330).
- 4.5 Outcomes from the deeper dive programme will be presented at the Organisational Ethics Risk and Learning Board, chaired by the DCC and actioned accordingly. The process will be repeated at the quarterly meetings.

5. Financial Implications and Budget Provision

- 5.1 If financial implications arise from recommendations raised from Business Continuity Testing, these implications are considered accordingly. Where an action cannot be delivered within budget provision, approval will be sought through the appropriate means.

6. Human Resources Implications

- 6.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

7. Equality Implications

- 7.1 There are no direct HR implications as a result of this report. HR implications resulting from specific actions will be managed on a case by case basis.

8. Risk Management

- 8.1 Some current actions involve the completion of formal reviews of specific business areas. It is possible that some or all of these reviews will identify and evaluate significant risks, which will then be incorporated into the Force's risk management process.

9. Policy Implications and links to the Police and Crime Plan Priorities

- 9.1 Any policy implications will be subject to current policy development process.

10. Changes in Legislation or other Legal Considerations

- 10.1 There are no direct legal implications as a result of this report.

11. Details of outcome of consultation

- 11.1 Following testing of a specific discipline/Department a full report is completed and actions agreed with the Head of the Department. This also includes a course of action to address the issue and who is accountable to take it forward. The Governance and planning team monitor and record updates where Force escalation is not appropriate. Where escalation arises this is considered at the Organisational Ethics Risk and Learning Board where action points are formally recorded.

12. Appendices

- 12.1 Appendix 1: Business Continuity Deep Dive Proposals
- 12.2 Appendix 2: Organisational Risk, Learning, Standards and Integrity Board terms of reference.

Appendix 1

Proposed Deep Dive Timetable 2019-20

Date	Purpose
<u>April 2019</u> - Contact Management	Essential for maintaining effective communication, responding to Emergency Calls and protection of the vulnerable by prioritising attendance at incidents. Contact Management is a vital element in ensuring an appropriate response is dispatched to address all major critical incidents including serious crime and threats to life. It is pivotal to service delivery as initial point of contact together with the effective Command and Control of incidents.
<u>July 2019</u> - Custody	Focus of recent HMICFRS Unannounced Custody Inspection. This visit highlighted serious Force challenges in the way in which it deals with detained and vulnerable individuals whilst in custody. The subsequent report questioned the Forces ability to provide 'effective custody facilities'. Although some issues raised are being challenged, the greater in depth testing would provide reassurance that agreed priorities are recognised and acted upon.
<u>October 2019</u> - Response Policing	The main resource that facilitates the Forces' service delivery. Provides the appropriate response to incidents, visible presence and reassurance to the public in the event of a major incident. Resources that are vital but the function is susceptible to loss of staff, IT, accommodation and partnership support.
<u>January 2020</u> - Archive and Exhibits	Underpins all aspects of Policing activity and vital to Critical Case Progression (Critical Function). The Department until recently has not been the subject of a Business Continuity Plan or testing (subject to Desk top test in December 2018). The area of Business still remains a potential Force risk. A deeper test would allow greater areas to be examined together with key dependencies both internal/external.

Terms of Reference:

Organisational Risk, Learning, Standards & Integrity Board

1. **Purpose:** To provide an organisation-wide forum for thematic leads and heads of departments to discuss key areas of learning and identify any emerging strategic opportunities and risks, whilst monitoring compliance with Force values and thereby the Force reputation and public trust and confidence.

2. **Objectives:**
 - Identification and provision of strategic governance to advance organisational wide learning and address potential blame culture.
 - Commitment to scrutiny, both internal and external, responding to feedback through organisational learning.
 - Provision of strategic leadership, direction and governance, ensuring our commitment to our Force Values specifically in relation to integrity and transparency across the organisation.
 - Identification and the appropriate management of organisational wide strategic, tactical and operational matters, which require change and improvement.
 - Identification and capture of emerging strategic risks, ensuring that controls are identified and appropriately applied.
 - Identification and capture of threats, trends, risks and issues associated with integrity, complaints and conduct and vetting and information security with appropriate mitigating action.

3. **Frequency:**
Quarterly

4. **Core membership:**
 - Deputy Chief Constable (Chair)
 - Assistant Chief Constable Operations
 - Assistant Chief Constable Business Change
 - Head of Professional Standards
 - Head of Public Protection
 - Representative from Regional Review Unit
 - Information Management Lead
 - Representative from Legal Services
 - Chief Superintendent Investigations and Intelligence
 - Chief Superintendent, Operations and Planning
 - Head of Corporate Development
 - Head of Corporate Communications
 - Head of Finance
 - Head of Human Resources
 - Head of EMCJS
 - Head of EMOpSS
 - Supt, Force Lead for Code of Ethics
 - Representative from Office of Police and Crime Commissioner
 - Risk and Business Continuity Officer

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If a core member is unable to attend, they must send someone to deputise who is able to provide information and make decisions on behalf of the core member.

Attendees should be vetted to management vetting level.

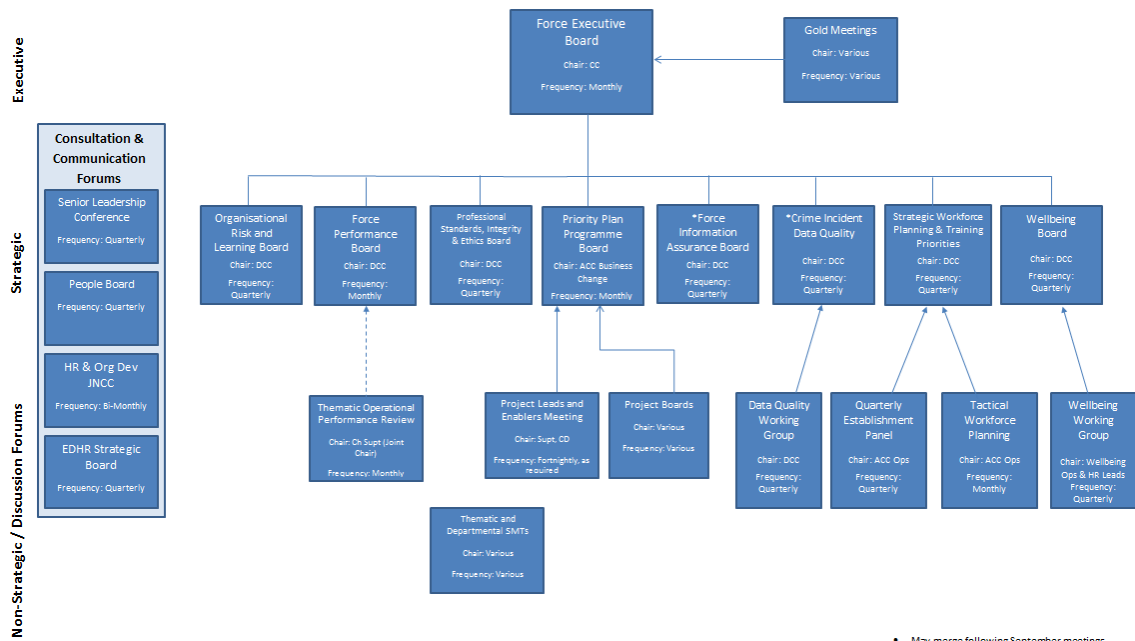
It may be appropriate to refer to specific Professional Standards cases including the discussion of sensitive and personal material prior to case conclusion. In this instance the DCC may hold a closed meeting following any other business.

A representative of the Police and Crime Commissioner will be invited to attend the meeting, but at the discretion of the DCC, and will not be invited to take part in any process that may compromise the PCC's role in conduct and complaint matters.

5. Administration:

Executive Support will record key actions and decisions.
All papers to be submitted within three working days of the meeting.

6. Governance of Force activity:



7. Key information sources (this list is not exhaustive):

- ACPO Integrity Model
- Serious Case Reviews, Serious Adult Reviews and Domestic Violence Homicide Review Recommendations
- EMSOU Regional Review Unit Recommendations
- Professional Standards data including Public Complaints and Misconduct matters and Vetting issues.
- Grievances
- Employment Tribunals
- FOI Requests
- Civil Claims
- External/Internal Inspection Recommendations, eg HMIC/Mazars

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- Learning from other Forces or agencies
- Business Continuity Tests
- Health and Safety and Environmental Policy
- On-going Force Gold Groups

8. Quality assurance review:

This meeting will undergo an annual review from the Governance and Planning Team to ensure it continues to add value for the Force.

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