

For Information	
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Report to:	Joint Audit & Scrutiny Panel
Date of Meeting:	May 2018
Report of:	DCC
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Agenda Item:	17

BUSINESS CONTINUITY MANAGEMENT REPORT (2017/18)

1. Purpose of the Report

- 1.1 The purpose of this report is to present to the Joint Audit and Scrutiny Panel with an update on the Force Business Continuity Planning process.
- 1.2 To inform the Panel that the Force Critical Functions have been revised in line with the current risk environment.
- 1.3 To inform the Board of the Force Critical Functions identified by individual Heads of Department.
- 1.4 To identify to the Panel the agreed Business Continuity Testing timetable, which identifies key areas of the business to be tested each quarter.
- 1.5 To identify progress made in testing the Force Departmental Business Continuity plans.

2. Recommendations

- 2.1 It is recommended that the Panel notes the new Business Continuity approach within the Force and receives assurance as to the effectiveness of those arrangements and future plans for improvement.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its obligations in regard to ensuring the Force is able to enact an appropriate response should a critical incident occur.
- 3.2 Improve governance arrangements to allow the Chief Officer Team, Office of Police and Crime Commissioner, Joint Audit and Scrutiny Panel and other external bodies, together with the public, to be provided with assurance that Business Continuity is being managed effectively within the Force.

4. Summary of Key Points

- 4.1 Each Departmental Head was tasked with identifying Critical Functions for their particular area together with the impact of their activity on service delivery and other Departments/external agencies.
- 4.2 They then completed a Business Impact Analysis (BIA's) which risk assessed the impact of their activities over time and consequences if the activity was to stop.
- 4.3 These were complimented by Business Continuity Plans for each Department identifying minimum resource requirements to maintain Critical functions in the case of loss of staff, premises, IT and key suppliers.
- 4.4 These BIA's and Plans were then assessed by the Force Risk and Business Continuity officers against the Force's eight Critical functions.
- 4.5 ACC Prior and DCC Barber, who were active throughout the process, gave direction and focus on what were the key Critical Force functions that must be maintained, by section, for the immediate 24 hours following a Critical incident (Appendix 1).
- 4.6 The proposed timetable (Appendix 2) identifies the key Critical Departments that supply the Force with these functions that provide essential business continuity in key critical areas.
- 4.7 The approach that is being implemented prioritises the identified key Critical Force functions for specific testing and then the capacity for individual Departments to identify contingency plans and innovative ways to recover essential services.
- 4.8 The testing is being conducted by the Governance and Planning Team together with appropriate staff from each Department.

To date five areas have been tested via table top exercises. These are –

- Contact Management,
- Custody (Nottinghamshire),
- Neighbourhood Policing,
- Corporate Communications,
- Vetting (part of Professional Standards).

The testing for both Neighbourhood Police and Response are to be re-assessed (Neighbourhood Policing repeated) following the implementation of the Force restructure on the 1st April 2018).

- 4.9 Further larger scale testing will also take place in conjunction with Force Emergency Planning and the Local Resilience Forum which will cut across Departmental and Organisational boundaries (Regional test planned for Cyber Attack Spring 2018).

- 4.10 Any learning from the testing regime have been fed directly to the Head of the Department and the Force Business Continuity Manager who work with the appropriate individual to ensure plans are updated and appropriate action is taken.
- 4.11 Any Force learning is directed to the Organisational Risk, Learning and Ethics Board in order that good practice is shared across the force.
- 4.12 The testing timetable will ensure 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.

5 Financial Implications and Budget Provision

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

6 Human Resources Implications

- 6.1 Professional support for Business Continuity Management is provided by one FTE (2 people – job share) who also have the Risk portfolio and are based within Corporate Development. The one post also has responsibility for developing the new Strategic Risk approach within the Force.
- 6.2 General responsibility for business continuity management forms an integral part of the job descriptions of individuals managing critical functions within the Force.

7 Equality Implications

- 7.1 There are no known equality implications associated with the implementation of business continuity management within the Force.

8 Risk Management

- 8.1 Business continuity management is closely linked to the management of risk. The Force is currently reviewing its approach to Strategic and Departmental Risk. Business Continuity has been identified as a key element of this and will allow the organisation to identify and appreciate a greater awareness and assessment of current and future risks. This will enable Force and Departmental plans to take account of changing circumstances leading to better and more effective business continuity plans.

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

- 9.1 There is no specific reference to business continuity management in the current Police and Crime Plan, although continuation of Critical Functions at a time of disruption is vital in achieving any priority.

10 Changes in Legislation or other Legal Considerations

10.1 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.

11 Details of outcome of consultation

11.1 Each departmental head has been consulted in relation to the identification of critical functions.

12. Appendices

12.1 Appendix 1: Business Continuity Force Critical Functions Priority Testing

12.2 Appendix 2: Proposed Business Continuity Testing Timetable

Appendix 1

Business Continuity Force Critical Functions

Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
<p>The Force has 8 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 	Senior Command Team		<p>Maintain effective command of the force by developing and maintaining a command structure</p> <p>Engage where appropriate with both National and Local agencies, including Strategic Coordination Group, LRF 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>	No
	Operations and Planning Command	Contact Management	<p>Answering telephone calls – 999's (Immediate)</p> <p>Answering telephone calls – 101's (Immediate)</p> <p>Incident Creation (Immediate)</p> <p>Incident grading (CSA's) 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>	Tested Regularly
	Operations and Planning Command	Response	Provides the 24/7 365 capability to respond to incidents graded "Urgent" or "Priority" by the Force Control Room (FCR) Protect life and Property. (50 Officers 7 Sergeants 3 Inspectors immediately)	No
	Operations and Planning Command	Neighbourhoods	Provide Reassurance, visibility and engagement with communities	No

Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
<ul style="list-style-type: none"> • 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 • 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 	Crime and Intelligence	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.	No
	Crime and Intelligence	Archives and Exhibits	Maintenance and provision of walk in freezers to ensure preservation of evidential items associated with serious crime. Ensure property/exhibits can be made readily available when required for court and criminal investigations.	No
	Crime and Intelligence	Complex Crime	Investigation of threat to life or firearms incidents Investigation of high risk Missings /Sudden Deaths Escalate where appropriate To EMSOU for additional resources	No
	Crime and Intelligence	Public Protection	Provide trained and equipped staff to conduct Child /Adult Protection investigations (CAIU and CSE investigations. (Immediate) Maintain Force Investigative capability	No
	EMOpSS	Armed Policing	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	No
	EMOpSS	Armed Policing	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	No

Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
		Tactical Support Teams	<p>Provide trained and equipped officers to give expert advice on Police searches</p> <p>Provide trained and equipped officers to search in relation to missing people, serious crime, both defensive and offensive terrorist searches and CBRN</p> <p>Provide PSU level officers fully trained and equipped to respond immediately to the threat of serious disorder</p> <p>Provide fully trained officers who are able to respond to any CBRN incident</p>	No
		Operational Emergency Planning	Provide planning support to operations within the Force in addition a contingency and response to emergencies and incidents within the Force. Also tasks units within EMOpSS	No
		Serious Collision Investigation	<p>Provide dedicated Road Death SIO's.</p> <p>Provide specialist capability to attend and investigate major/serious injury/fatal RTC</p> <p>Maintain Force Investigative capability</p>	No
	Custody	Detain prisoners	Provide facilities for the reception and detention of arrested persons within Nottinghamshire	No
		Processing Prisoners	Provide facilities and enable effective processing of detained persons – including required pre charge processes (fingerprint, photo, DNA, drug testing, PNC update) and interview facilities.	No
	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)	No
	Estates		<p>Provision of emergency accommodation</p> <p>Maintaining the emergency accommodation plan</p>	No
	Fleet		Support Emergency Planning and operation support with an Emergency situation, including sourcing additional fleet when required	No

Definition of Critical Functions	Department	Section	Identified Critical Functions	Tested
	Professional Standards		Provide On Call Critical Incident Cover	No
	Corporate Communications		<p>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)</p> <p>Strategic communications management (Immediate)</p> <p>To ensure officers and staff, Partners and Stakeholders are kept up to date with information (Immediate)</p>	No
	Human Resources		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	No

Proposed Business Continuity Testing Timetable

