

For Information	
Public/Non Public	Public
Report to:	Joint Audit and Scrutiny Panel (JASP)
Date of Meeting:	November 2018
Report of:	Andrew Burton
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Agenda Item:	11

Business Continuity Testing Update

1. Purpose of the Report

- 1.1 To provide the Joint Audit & Scrutiny Panel with an update on progress against the Business Continuity testing timetable (Business Continuity Testing Against Critical Functions Appendix 1)
- 1.2 To inform the Panel of the schedule of planned testing through Quarter 3 and 4 (Business Continuity Timetable Appendix 2).

2. Recommendations

- 2.1 That the Panel notes the progress made against Business Continuity testing timetable and takes note of forthcoming testing.
- 2.2 That the Panel identify any subject area to be reported on prior to each meeting, if appropriate, where additional and in depth detail can be explored allowing greater scrutiny.

3. Reasons for Recommendations

- 3.1 To enable the Panel to fulfil its scrutiny obligations with regard to Nottinghamshire Police and its response to Business Continuity.
- 3.2 To provide the Panel with greater scrutiny opportunities and to reach more informed decisions.
- 3.3 To provide the Panel with the opportunity to shape the focus and priority areas of Business Continuity Testing.

4. Summary of Key Points

Business Continuity Updates

- 4.1 Since the last Joint Audit and Scrutiny (JASP) meeting, ten business areas have been tested with accompanying Business Impact Area documents.

Further detail on the outcomes of these tests is detailed in Appendix 1.

Action points from each test exercise have been fully documented, agreed with the head of department, and progressed in the most appropriate manner.

- 4.2 Certain Departments cover more than one discipline. Where appropriate these plans were tested individually to ensure assurance could be demonstrated. For example Serious and Organised Crime now encompasses Serious Investigations; Fraud and Finance; and Offender Management/Substance Misuse - each discipline/plan was tested individually and a separate report produced.
- 4.3 Areas of Response and Neighbourhood Policing are to be revisited following the Force ADA process in September 2018. This is to allow the newly posted Superintendents to review their areas as the Force restructures around a City/County focus.
- 4.4 The testing of Contact Management compliments the continual internal testing regime of the Department. This is done primarily in the early hours through formal training conducted by Contact Management managers.

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 Action points from each test exercise have been fully documented, agreed with the head of department, and progressed in the most appropriate manner.

12. Appendices

- 12.1 Appendix 1: Business Continuity Testing Against Critical Functions
- 12.2 Appendix 2: Business Continuity Timetable

Appendix 1

Business Continuity Force Critical Functions

Force Critical Functions	Department	Section	Identified Critical Functions	Date Tested	Issues Raised
<p>To maintain effective communications with the public</p> <p>To receive and respond to Emergency Calls providing an appropriate response to immediate incidents prioritising those at greatest risk due to vulnerability</p>	<p>Operations and Planning Command</p>	<p>Contact Management</p>	<p>Answering telephone calls – 999’s (Immediate)</p>	5/6/2017	<p>Duties – more use to be made of DMS messages to update staff on change of shifts and location of work.</p> <p><i>Now being used - Dept. Issue</i></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>Fall-back Airwave Radios – NCR needs resilience in the event of additional radios being required.</p> <p><i>NCR now equipped with wall mounted safe and 12 hand held Airwave radios for use in the event of a systems failure - Dept. Issue</i></p> <p>Business Continuity Laptop_required for resilience</p> <p><i>Laptop installed at NCR and available for use – Dept. Issue.</i></p>
			<p>Answering telephone calls – 101s (Switchboard)</p> <p>(1 hour) Immediate</p> <p>Real Time Intelligence (Within 12 hours) (Immediate)</p>	26/9/2017	<p>New managers/staff should be made aware of guidance/protocols contained within Business Continuity Plan and guidance</p> <p><i>Issues covered on training days/induction – Dept. Issue</i></p>
				18/4/2018	<p>In the event of IT issues there is a reciprocal agreement with Derbyshire (principal) and other Force areas to receive calls and dispatch officers as appropriate. This needs to be tested practically</p> <p><i>Nottinghamshire Police taking the lead on liaising with Force areas, principally Derbyshire to conduct live trials to ensure effective tested Business Continuity plans are in place</i></p> <p>VISION as a Command and Control System is to be replaced and is therefore not currently being upgraded. This may have an impact on Business Continuity and could have a negative impact on how the Force effectively manages incidents</p>

Force Critical Functions	Department	Section	Identified Critical Functions	Date Tested	Issues Raised
					<p><i>Regular meetings held with the Forces Senior Team/Dept. Heads and suppliers of the new and current system to ensure continuity of service is maintained – Force Issue</i></p> <p><i>Discussed at Organisation Ethics, Risk & Learning Board 30th July 2018</i></p> <p>Potential issue raised to identify/and or train 4x4 drivers to help convey staff to the Control Room in particularly bad weather</p> <p><i>Reviewed in light of the impact of recent bad weather and not considered as a current issue. To be continually reviewed by the Department – Dept. Issue</i></p>
<p>To receive and respond to Emergency Calls providing an appropriate response to immediate incidents prioritising those at greatest risk due to vulnerability</p> <p>To continue to effectively investigate crime ensuring vulnerable individuals are quickly identified and receive a response appropriate to their needs</p> <p>Maintain the ability to deal with:</p> <ul style="list-style-type: none"> • Major, Critical and Emergency Incidents • Serious Crime • Firearms Incidents • Serious Public Order 	<p>Operations and Planning Command</p>	<p>Response</p>	<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. (50 Officers 7 Sergeants 3 Inspectors immediately)</p>	<p>To be tested in Quarter Four</p>	<p>To be tested in final quarter of year (quarter four)</p>

Force Critical Functions	Department	Section	Identified Critical Functions	Date Tested	Issues Raised
<ul style="list-style-type: none"> Fatal and Serious Road Traffic Collisions 					
<p>To receive and respond to Emergency Calls providing an appropriate response to immediate incidents prioritising those at greatest risk due to vulnerability</p> <p>To continue to effectively investigate crime ensuring vulnerable individuals are quickly identified and receive a response appropriate to their needs</p> <p>To deal effectively with all matters which impact upon community cohesion, or the credibility and reputation of the Force</p>	<p>Operations and Planning Command</p>	<p>Neighbourhoods</p>	<p>Provide Reassurance, visibility and engagement with communities</p>	<p>28/11/2017</p>	<p>Business Continuity Plan to be updated re change in personnel</p> <p><i>Plan updated re changes- Dept. Issue</i></p> <p>Needs to be a better link with Citizens in policing lead. This provides additional resilience in staffing and skills when required</p> <p><i>Lead contacted to identify available resources and skills levels – Dept. Issue</i></p> <p>To ensure that resilience is maintained there needs to be a greater appreciation regarding City/County boundaries to allow the movement of staff and functions following a major incident.</p> <p><i>New Neighbourhood lead to review relationship City/County to get greater understanding and clarity – Dept. lead</i></p> <p>There needs to be a review of the number of vehicles available to Neighbourhood policing following declaration of a mayor incident</p> <p><i>Force Transport lead to be contacted to ascertain what resilience the Force has in the event of a critical incident in line with other Force commitments – Dept. lead</i></p> <p>Criteria for Special Constables to have access to BlackBerrys needs to be clarified – this is particularly important during a Force Critical Incident</p> <p><i>Benefit of allocation BlackBerrys to special Constables to be evaluated against staffing requirements in the event of a critical incident. Definitive guidance to be produced. – Dept. together with Citizens in Policing lead</i></p>

Force Critical Functions	Department	Section	Identified Critical Functions	Date Tested	Issues Raised
<p>To continue to effectively investigate crime ensuring vulnerable individuals are quickly identified and receive a response appropriate to their needs</p> <p>To deal effectively with all matters which impact upon community cohesion, or the credibility and reputation of the Force</p>	Crime and Intelligence	Intelligence	<p>Provide capability for Intelligence development to identify, research, report on open/closed source material</p> <p>Management of SPoC applications and out of hours (on call) cover.</p>	14/5/2018	<p>A vital component to produce, analyse and disseminate Intelligence is NICHE. In the event of a system failure there needs to be an assurance that the Dept. is aware and fully informed and kept up to date with progress. There also must be an effective call out for issues relating to NICHE so that they can be quickly addressed</p> <p><i>Issue fed into IS Business Continuity lead to ensure above issues are recognised and acted upon – Dept. Issue</i></p> <p>To ensure in the event of a major incident and allow the Department to be more agile in its working it requires greater access to laptops and/or LENOVA's this would give the Department more resilience and be more responsive</p> <p><i>Issue to be identified as part of the Departments ADA for Force consideration and action where appropriate –Dept. Issue</i></p>
<p>To continue to effectively investigate crime ensuring vulnerable individuals are quickly identified and receive a response appropriate to their needs</p>	Crime and Intelligence	Archives and Exhibits	<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>	To be tested in Quarter Four	<i>To be tested in final quarter of year (quarter four)</i>
<p>To continue to effectively investigate crime ensuring vulnerable individuals are quickly identified and receive a response appropriate to their needs</p> <p>Maintain the ability to deal with:</p> <ul style="list-style-type: none"> Major, Critical and Emergency Incidents 	Crime and Intelligence	Serious and Organised crime	<p>Investigation of threat to life or firearms incidents</p> <p>Investigation of high risk Missings /Sudden Deaths</p> <p>Escalate where appropriate To EMSOU for additional resources</p>	24/7/2018	<p>Serious Organised Crime Investigations</p> <p>Update Business Continuity Plan and BIA to reflect change in staff, details and new head of Department (Dept. Action)</p> <p><i>Dept. Issue</i></p> <p>Force decision on what sort of capability does the Force want regarding specialist functions following a critical incident. This has an impact on equipment, staffing levels and training (Force decision)</p>

Force Critical Functions	Department	Section	Identified Critical Functions	Date Tested	Issues Raised
<ul style="list-style-type: none"> • Serious Crime • Firearms Incidents • Serious Public Order • Fatal and Serious Road Traffic Collisions 					<p><i>To be discussed at Organisation Ethics, Risk & Learning Board October 2018</i></p> <p>More formal agreements have to be established through Statutory Bodies i.e. SOC Board to ensure assistance would be forthcoming following a critical incident. If specialisms/capacity is not to be provided in Force then there has to be formal support identified from Regional Teams</p> <p><i>Dept. Issue</i></p> <p>Force decision on the real time intelligence capability of SOC due to not having dedicated Intelligence resources. A more effective working relationship has to be pursued if dedicated resources are not to be allocated</p> <p><i>Dept. Issue</i></p> <p>Succession planning especially in specialist skill areas needs to be reviewed and actioned where appropriate</p> <p><i>Issue to be addressed in ADR process</i></p> <p>Offender Management</p> <p>Update Business Continuity Plan and BIA to reflect change in staff, details and new head of Department(Dept.)</p> <p><i>Dept. Issue</i></p> <p>Review Force Critical functions required in first 24 hours to ensure functions not required immediately following critical incident (Force)</p> <p>Review with partners potential alternative accommodation to be used for joint partnership working and to adequately accommodate offenders (Dept.)</p> <p><i>Dept. Issue</i></p>

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					<p>Fraud & Finance</p> <p>Update Business Continuity Plan and BIA to reflect change in staff, details and new head of Department(Dept.)</p> <p><i>Dept. Issue</i></p> <p>Force decision required re capacity required regarding fraud plus financial investigation following a critical incident.(Force review Critical functions)</p> <p><i>To be discussed at Organisation Ethics, Risk & Learning Board October 2018</i></p> <p>The Force needs to review and evaluate the risk it believes Fraud is to the Force and this needs to be reflected in the staffing and prioritisation of fraud in the Tasking process. Fraud/financial considerations should be considered at the onset of any investigation.</p> <p><i>Issue to be addressed in ADR process</i></p> <p>Make-up of the section should be reviewed to incorporate staff attrition, make up of officer and Police staff to provide resilience and provision of adequate training. Potentially provide more staff to meet the demand and Risk (ADA process)</p> <p><i>Issue to be addressed in ADR process</i></p> <p>Skill set of Managers needs to be reviewed. Due to the skill set of investigation officers i.e. fraud it makes it difficult to adequately supervise individual teams (Dept. Action)</p> <p><i>Dept. Issue</i></p>
To continue to effectively investigate crime ensuring vulnerable individuals are quickly identified and receive a	Crime and Intelligence	Public Protection	Provide trained and equipped staff to conduct Child /Adult Protection investigations (CAIU and CSE investigations. (Immediate)	To be tested in Quarter Three	<i>To be tested in third quarter of year (quarter three)</i>

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response appropriate to their needs			Maintain Force Investigative capability		
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 	Operational Support	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	To be tested in Quarter Four	Force currently in transition as the Functions of EMOpss move from the Region to back in Force and locally delivered To be tested in final quarter of year (quarter four)
		Tactical Support Teams	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	To be tested in Quarter Four	Force currently in transition as the Functions of EMOpss move from the Region to back in Force and locally delivered To be tested in final quarter of year (quarter four)
		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	To be tested in Quarter Four	Force currently in transition as the Functions of EMOpss move from the Region to back in Force and locally delivered To be tested in final quarter of year (quarter four)

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		Serious Collision Investigation	Provide dedicated Road Death SIO's. Provide specialist capability to attend and investigate major/serious injury/fatal RTC Maintain Force Investigative capability	To be tested in Quarter Four	Force currently in transition as the Functions of EMOpss move from the Region to back in Force and locally delivered <i>To be tested in final quarter of year (quarter four)</i>
To provide effective custody facilities and critical case progression	Custody	Detain Prisoners Processing Prisoners	Provide facilities for the reception and detention of arrested persons within Nottinghamshire Provide facilities and enable effective processing of detained persons – including required pre charge processes (fingerprint, photo, DNA, drug testing, PNC update) and interview facilities.	2/5/2018	Needs to be a review of staffing levels as there is little resilience within the Department following reduction of staff in the event of major incidents/ sickness <i>Department to review shift pattern and staff numbers against critical functions in the event of loss of staff -Dept. Issue, to be raised at the regional Forum if appropriate - escalation</i> Transport for Custody staff was identified as a particular issue in the event of bad weather. <i>This was tested against previous instances and potential reduction in the numbers of detained persons required custody facilities – Dept. issue, to be monitored</i> There needs to be a formal process introduced whereby when there is an electronic custody failure, following restoration of systems, the custody system is updated <i>Issue to be addressed to ensure a more formal process is introduced and adopted – Dept. Issue</i> There needs to be a simplified and clear way to Call out facilities in the event of issues with premises. This is often convoluted and not easy. <i>Issue fed to Estates to ensure a simplified process is in place and Custody staff are fully aware –Dept. Issue</i>
To receive and respond to Emergency Calls providing an appropriate response to immediate incidents prioritising those at greatest risk due to vulnerability	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)	To be tested in Quarter Four	<i>Testing to incorporate a PEER Review to ensure the right knowledge and expertise is available</i>

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To provide effective command and control of incidents					
<p>Maintain the ability to deal with:</p> <ul style="list-style-type: none"> • Major, Critical and Emergency Incidents • Serious Crime • Firearms Incidents • Serious Public Order • Fatal and Serious Road Traffic Collisions <p>Ensure the health, safety & well-being of staff through the provision of effective training, equipment, support and governance to deal with operational challenges</p>	Estates		<p>Provision of emergency accommodation</p> <p>Maintaining the emergency accommodation plan</p>	2/6/2018	<p>Part of the Dept.'s critical functions is to provide emergency provision of Force wide accommodation.</p> <p>FHQ from previous Exercises does have 'Hook Up' points installed that allow portacabins to have access to systems and facilities provided on site.</p> <p>If the Force requires the potential for additional 'Hook Up' sites then due to the cost a feasibility study from the Dept. would inform the debate.</p> <p>Decision required whether the Force will support this initiative</p> <p><i>Discussed at Organisation Ethics, Risk & Learning Board 30th July 2018</i></p>
<p>Maintain the ability to deal with:</p> <ul style="list-style-type: none"> • Major, Critical and Emergency Incidents • Serious Crime • Firearms Incidents • Serious Public Order • Fatal and Serious Road Traffic 	Fleet	Finance	Support Emergency Planning and operation support with an Emergency situation, including sourcing additional fleet when required	10/4/2018	<p>There is an issue with access to Force hired vehicles across the County. Following a major incident the keys could only be sourced via the Fleet Manager. This would seriously disrupt transport and solely dependant on one individual</p> <p><i>Head of Fleet has submitted a Business to install key safes at various locations to allow auditable, secure ways that pool car keys can be accessed at any time of the day. In the interim Emergency Planning officers are being utilised to ensure greater access when required</i></p> <p><i>Discussed at Organisation Ethics, Risk & Learning Board</i></p>

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<p>Collisions</p> <p>Ensure the health, safety & well-being of staff through the provision of effective training, equipment, support and governance to deal with operational challenges</p>					<p><i>30th July 2018</i></p> <p>On Call system of Fleet Manager needs to be clarified. At present there is no on Call facility</p> <p><i>Head of Fleet to progress with line manager – Dept. Issue</i></p> <p>Update Business Continuity Plan to document new Head of Department and contact details</p> <p><i>Dept. Issue</i></p>
<p>To maintain effective communications with the public</p> <p>To deal effectively with all matters which impact upon community cohesion, or the credibility and reputation of the Force</p>	Professional Standards		Provide On Call Critical Incident Cover	<p>6/9/2017</p> <p>Further areas of Professional Standards to be tested in Quarter Four</p>	<p>Vetting Section Only – Focus on agency staff employed following a major incident</p> <p>Business Continuity Plan to be updated re change in personnel – Plan Owner.</p> <p><i>Dept. Issue</i></p>
<p>To maintain effective communications with the public</p> <p>To deal effectively with all matters which impact upon community cohesion, or the credibility and reputation of the Force</p>	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>	4/4/2018	<p>There needs to be a simple means by which staff can be contacted following a major incident. This particularly refers to staff who are not currently at work</p> <p><i>Issue to be reviewed again after current section review. Further test to be done later in the year – Dept. Issue</i></p>
<p>Ensure the health, safety & well-being of staff through the provision of effective training, equipment,</p>	People Services		Provide link and engage with Staff Associations /Unions, Duties Team and Occupational Health. Giving guidance and support to Senior Team and supporting staff	12/9/2018	Business Continuity/BIA Plans to be updated in line with staffing changes. Loss of activity i.e. RMU (Managed by the Department)

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support and governance to deal with operational challenges.			and families as appropriate		<p><i>Issue taken forward and completed – Dept. Issue</i></p> <p>MFSS Business Continuity Plan & BIA requires update to reflect recent changes in Department and include Nottinghamshire focus in line with other Forces (Managed by the Department)</p> <p><i>Issue to be addressed - Dept. Issue</i></p> <p>Currently Single dependant Health & Safety officer. Despite attempts made to fill the post it has not been successful. This is again being currently advertised and there are individuals identified in Force who could fulfil the role on a temporary basis for a short period (Currently being managed by the department – to be escalated if appropriate will be continually reviewed)</p> <p><i>Issue currently being addressed but to be escalated if position not filled – Dept. Issue</i></p>
<p>To maintain effective communications with the public</p> <p>Maintain the ability to deal with:</p> <ul style="list-style-type: none"> • Major, Critical and Emergency Incidents • Serious Crime • Firearms Incidents • Serious Public Order • Fatal and Serious Road Traffic Collisions <p>To deal effectively with all matters which impact upon community cohesion, or the credibility and reputation of the Force</p>	Senior Command		<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>	To be tested in Quarter Four	<p><i>To be tested in final quarter of year (quarter four)</i></p>

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Business Continuity Testing Timetable

