



## Audit and Risk Management Committee

**Date:** TUESDAY, 18 JANUARY 2022  
**Time:** 2.00 pm  
**Venue:** INFORMAL VIRTUAL PUBLIC MEETING (ACCESSIBLE REMOTELY)

### 11. DEEP DIVE RISK REVIEWS

**For Information**

- a) Deep Dive: CR01 Resilience (Town Clerk's) (Pages 3 - 14)  
Report of the Town Clerk.

Item received too late for circulation in conjunction with the Agenda.

**John Barradell**  
**Town Clerk and Chief Executive**

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<b>Committee</b>	<b>Dated:</b>
Audit and Risk Management Committee	18 <sup>th</sup> January 2022
<b>Subject:</b> Deep Dive: CR01 Resilience – Event or situation related to terrorism or another serious event/major incident	<b>Public</b>
<b>Report of:</b> The Town Clerk	<b>For Information</b>
<b>Report author:</b> Gary Locker, Head of Resilience	

## Summary

The strategic risk reflects issues for which the City of London Corporation has both primary responsibility and control. This review has focused on the preparedness of the City of London Corporation and its delivery departments to respond effectively to an emergency related to terrorism or other serious events / major incidents.

For clarity, the current definition of a ‘major incident’ is an event or situation requiring the implementation of special arrangements by one or more of the emergency services following an incident:

- Involving either directly or indirectly large numbers of people
- The rescue and transportation of a potentially large number of casualties
- The large-scale combined resources of Police, London Fire Brigade & London Ambulance Service
- The mobilisation and organisation of the emergency services and support services, for example a Local Authority to cater for the threat of death, serious injury or homelessness via set up of emergency rest centres and humanitarian support through volunteer local authority employee crisis support teams
- The handling of many media enquiries likely to be generated both from the public and news media
- Acts of terrorism

The legislation governing emergency preparedness and response, the Civil Contingencies Act 2004, along with Cabinet Office guidance within the Civil Protection framework, requires organisations tasked with the responsibility of planning for emergencies to plan for the generic ‘consequences’ of an event rather than the cause or source.

This review has also examined the effectiveness of our engagement with key partner agencies involved in responding to major incidents of this nature, as well as our work with the Square Mile businesses and residential communities. The risk is owned and managed by the Town Clerk.

### **Recommendation(s)**

Members are asked to note the report.

### **Main Report**

#### **Introduction**

1. This deep dive report on CR01 Resilience Risk has been prepared at the request of the Audit and Risk Management Committee. The risk has several components for the City of London Corporation resulting from its roles as an employer, a provider of local government services and as the Police Authority for the Square Mile. The risks from a policing perspective are managed by the Commissioner of Police. The remaining elements cover a range of operational areas including disaster recovery / business continuity, building management, employee and community safety. Under the Civil Contingencies Act 2004, the City of London Corporation (defined by the Act as a Category 1 responder) also has a responsibility to support its local businesses and residential communities during an emergency or in the aftermath of a major incident.

#### **Context**

2. The UK faces a serious and challenging threat from international terrorism. The UK threat level, determined by the Joint Threat Analysis Centre (JTAC) for international terrorism, is currently categorised as SEVERE, meaning an attack is highly likely. In the context of the City of London, the City of London Police has the lead responsibility for disrupting and preventing a terrorist attack as well as leading the initial response to an attack. They are supported in this task by the Metropolitan Police service, British Transport Police, security services and other partners, including the City of London Corporation. Further detail in respect of the terror related threat can be found in the CR24, Operational Security Risk Update.
3. The UK is still in the midst of an unprecedented response to the Covid-19 Pandemic whereby the processes, procedures, capabilities and resources of all responding organisations have been tested in full, to their limits in some cases. This has caused significant challenges for The City of London Corporation and its partner agencies. However, the Corporation has been able to maintain its critical services throughout and is continuing to do so with the response to new on and ongoing Covid variants. The initial City of London Corporation response to Covid-19 is currently the subject of a full review by Chamberlains Audit team.
4. The City of London Corporation must also plan to respond to a multitude of other foreseeable risks. The City of London Risk Register is a publicly available document on the City Corporation's website. The document highlights the most

impactful emergencies that could happen in the Square Mile or elsewhere in the UK. Using the National Risk Assessment and the Greater London Risk Register as the starting point, this assessment includes details of how likely they are to happen and the impacts if they do occur. This includes the impacts to people, their property, the environment and local businesses. The Local Risk Register is designed to inform the Square Mile community about the risks that could occur and how those risks could impact their daily activities. It is intended as a tool for driving better preparedness across the whole community. The City Risk Register is currently undergoing review as part of our statutory assurance process, supported by multi-agency partners of the City of London resilience forum. The revision is scheduled to be completed by Spring of this year, 2022. With publication of the most up to date version due shortly after completion, which will be available publicly on our website.

## **Statutory Requirements**

5. The Civil Contingencies Act 2004 places statutory duties upon the City of London Corporation to ensure that it is prepared to respond to emergencies and major incidents. Under this Act the City of London Corporation has several specific duties, which include:
  - Assessing the risk of emergencies occurring and use this information to inform contingency planning
  - Put in place emergency plans
  - Put in place business continuity management arrangements
  - Put in place arrangements to make information available to the public about civil protection matters and maintain arrangements to warn, inform and advise the public in the event of an emergency
  - Provide advice and assistance to businesses and voluntary organisations about business continuity management
  - Share Information with other local responders to enhance co-ordination
  - Co-operate with other local responders to enhance co-ordination and efficiency

## **Current Position**

6. The issues for the City of London Corporation to manage would include:
  - Dealing with damage to specific areas and buildings, for example Guildhall
  - Employee and community welfare
  - Public and business confidence

- Co-ordination of the services for the City of London Corporation
- Emerging Public Protest

## **Business Continuity Planning**

7. The organisation requires a comprehensive, yet simplified way to deliver business continuity for all departments across the Corporation. To this end, the Resilience Team have now procured a software system 'Clearview', after having previously trialled this system. It will help the Corporation better manage its business continuity processes across the whole organisation, making it easier to carry out business continuity processes and improve efficiency in conducting work in this area across departments. The intention is to have the system ready for departments to use by May this year, 2022. Which will include familiarisation and training to use the system, so that users are confident using the software and it can be utilised to its full potential.
8. The Critical Applications and Services list has been redefined based on new criteria and is covered by the Application Management Policy, which is due for review by the Strategic Resources Group. This will ensure that any new applications and services likely to be critical to the organisation are procured, architected and supported in such a way to allow them to be managed appropriately as Critical. It also allows the organisation to focus the correct resources to applications which are critical.
9. The IT Team are continuing on its journey along the Technology Roadmap; a key deliverable of this was the migration of servers, applications and services from on-premise and Agilisys' IaaS into Microsoft Azure and a significant increase in the use of cloud-based technology management and security tools.
10. Following the Azure migration and the separation from the Chamberlain's Department, IT are producing a new, IT-specific BCDR plan, due for completion at the end of Jan 2022. Alongside which, they will produce a rolling plan of resilience tests for critical services.

## **Developing Key Areas of Capacity, Resources, Capability & Partnership**

11. The City of London Corporation has plans in place to support employees following an incident, including the availability of a staff emergency number. The Resilience Team, in conjunction with Community and Children's Services department also have arrangements to care for the residential community should they become displaced by an incident; this is facilitated through the establishment of rest centres. Support is also available for the business community, for example, through the establishment of a business information centre, whereby briefings will be provided by Corporation service departments and the emergency services to businesses in the Square Mile severely affected by an incident that affected their premises.

12. Following the London Bridge attack, the City of London Police and City of London Corporation carried out a series of debriefs. A number of lessons have been identified and since implemented into the overall planning and resourcing of our survivor reception centre process. The City of London also adopts a process of providing post incident debriefs followed by an independent assurance debrief process. This followed Animal Rebellion and Extinction Rebellion protests that have been seen across Central London and the City for several years now, with an anticipation that these will continue in the future.
13. Despite the ongoing response to Covid-19 challenges and pressures faced by the global pandemic since early 2020, the focus has still been maintained for key areas of emergency planning and response, which include training for command structure leadership, staff and Corporation volunteers carrying out duties in the City emergency co-ordination centre, local authority liaison officer duties, and a strong crisis support team who have responded to support the survivor reception centre, which was set-up in the aftermath of the two terrorist related incidents at Fishmongers Hall in 2019 and London Bridge in 2017.
14. The City of London Corporation has a comprehensive emergency management plan that is regularly reviewed and exercised locally and is part of the wider Pan London exercise programme. The most recent test of this was 'Exercise Safer City', held over one day on the 9<sup>th</sup> November 2021. The theme for last year's exercise was a structural collapse giving the City an opportunity to exercise its capabilities and resources whilst still operating within the confines of our current Covid-19 response. The key element of this exercise for the City of London Corporation was to validate and test its command and control procedures, in particular, the strategic lead and the emergency coordination centre mechanisms.
15. The City of London Corporation previously recognised it had reduced capability in terms of appropriate and experienced staff at a senior level to act as strategic and tactical leads for a pre-planned City event, such as Banquets, the Lord Mayor Show or during a major incident impacting the City and developed a major incident awareness training package. The newly appointed Senior leadership team attended the first part of this training on 21<sup>st</sup> October 2021. The course content has been updated since this course was first delivered to City staff in previous years based against lessons learned, emerging threat and risk. The training now consists of 3 separate modules which include learning around initial introduction to the Civil Contingencies Act 2004, 'decision making', 'media awareness', and 'humanitarian assistance appreciation & support to the community'. The 2<sup>nd</sup> and 3<sup>rd</sup> modules are based on public inquiries and legal implications. Part of this training includes staff being placed into a mock courtroom environment, giving evidence at a public inquiry. These courses are supported by experts and professionals from the relevant fields. As a result of this training, there is now an increased capacity and capability of key staff within the City of London Corporation, with a cadre of strategic and tactical level trained senior staff. However, this capability reflects a risk that requires continued focus to ensure there are sufficient senior leaders trained to provide an appropriate response. The 'Role for Members during major incident' training is planned for delivery to appropriate members, post-election 2022.

16. The Resilience Team, through its crisis support team training, have an arrangement with First Aid Nursing Yeomanry (FANY), to deploy with City of London volunteers to an emergency centre in the City should one be required to support the local community. Several FANY managers and members have attended training facilitated by City of London Corporation. This features as part of the Resilience Team commitment to increasing its capability to respond to the community and its people as part of our commitment to increase humanitarian assistance capability.
17. The City of London Corporation's Head of Resilience chairs the local City of London Resilience Forum. This forum provides the mechanism for local partners and responders, as defined in the Civil Contingencies Act 2004, who have statutory duties, to meet for co-operation and information sharing between agencies. The Corporation invites several key local businesses identified by sector, as part of this partnership. Previous work with the business community conducted several thematic workshops designed to explore and understand the needs of the City business community in terms of preparation and response during a 'major incident', including key risks around terrorism and public order. The membership of business on the local forum means business receive first-hand and up to date information on growing trends and an opportunity to share learning and exchange information in the resilience network. The City of London are represented by the head of resilience and director of security and counter terrorism at the Central Sub Region Group and Local Authorities Panel, providing an opportunity for regular cross learning, assurance and reviews across resilience planning and response
18. The City of London Corporation Resilience team operate a 24/7 standby call out rota and have responded to several localised incidents in the last twelve months. This service guarantees a resilient capability resource on behalf of the City of London Corporation at any time throughout the year.
19. The City of London Corporation, Emergency Management Plan, is currently under review, taking into consideration lessons identified from previous events
20. The City of London Resilience Team are currently engaged in a Pan London Borough Assurance peer review process focussed on Grenfell tower fire action plan, resilience standards and winter preparedness. This review involves all London boroughs.

## **Conclusion**

The City of London has comprehensive plans that cover emergency response, business continuity and disaster recovery. These plans meet the requirements established by Central Government through the Cabinet Office and have been benchmarked against those of all London Local authorities. The Resilience Team along with key City of London Corporation departments, emergency services, voluntary agencies and City business' continually strive to maintain an awareness and overview of emerging threats, hazards and trends, to ensure a resilient City that can respond to major incidents that may impact locally, to provide support to wider London incidents and has the ability to engage in longer term recovery where required.



The unprecedented impact of the Covid-19 Global Pandemic has tested the full capabilities, resources, risks and services of local authorities nationally and worldwide. The City of London Corporation utilised its tried and tested major incident procedures as well as duties placed upon responders under the Civil Contingencies Act 2004. Command structures were implemented from Day 1 of the response using strategic, tactical and operational leads to plan and respond on a daily basis and when response transitioned to aspects of recovery, the organization flexed to ensure it could deliver this capability across its estate and community. For many staff of the City of London Corporation, this response continues. As well as delivering critical services and business as usual tasks and taking responsibility for the delivery of Covid-19 testing sites, and more recently, pop-up walk-in vaccination sites, across the City of London.

Learning from the City of London Corporation's initial response to Covid-19 in 2020 have been captured as part of an independent debrief, with actions tasked to the Resilience Team and specific departments to carry out in reaction to on-going and new variants of Covid as the response continues. This debrief has also now been linked with the on-going Chamberlain's audit of the initial Covid-19 response.

Emergency planning and response to major incidents & events, working in partnership across the City, London, UK and internationally ensures a continued learning process. Risks will continue to be evident but can be mitigated to a large extent by consistent training & exercising, whilst ensuring key people are in positions of command, control and leadership and by providing appropriate capabilities, support, and resources. The resilience arena is a cyclical process of planning, training, exercising, and evaluating. Always cognisant to the fact that risks remain a constant threat. However, with the right approach to emergency planning, we are making our best effort to reduce the impacts of risks that could materialise, putting ourselves in the best position to respond to any emerging threats, across the Corporation.

## **Appendices**

- CR01 Resilience Risk

**Gary Locker**  
**Head of Resilience**

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## CR01 Resilience Risk - Detailed risk register with Flight path

Report Author: Paul Dudley

Generated on: 11 January 2022

Rows are sorted by Risk Score

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date/Risk Approach	Flight path
CR01 Resilience Risk 20-Mar-2015 John Barradell	<b>Cause</b> - Lack of appropriate planning, leadership and coordination <b>Event</b> - Emergency situation related to terrorism or other serious event/major incident is not managed effectively <b>Effect</b> - Major disruption to City business, failure to support the community, assist in business recovery. Reputational damage to the City as a place to do business.	 Likelihood Impact	12	<ul style="list-style-type: none"> <li>Business Continuity training complete. Action plan now in place to implement key recommendations from the training and BIA process</li> <li>BECC Training session complete, process and call out still to be finalised . Cycle of training to continue - Current work postponed due to response to Covid 19</li> </ul>	 Likelihood Impact	12	Accept	

Action no, Title,	Action description	Latest Note	Action owner	Latest Note Date	Due Date
CR01L Business Continuity Management	Assurance process with Cabinet Office College Provide refresher and initial training for Col staff, this training intended to increase	The Clearview software Business Continuity product contract has now been signed 1/7/21 as a joint procurement with COLP/Clearview , the implementation of the system and integration of new elements and information into the Col IT system and education process is currently underway , full rollout across Col expected December 2021	Gary Locker	03-Dec-2021	01-June 2022

## APPENDIX 1

	knowledge to ensure BC plans are able to support the Col maintain its business during a major incident, provide an in depth independent oversight of the Col business impact analysis, identifying its most critical business areas				
CR01M Review of LALO Local authority liaison officer	process, training, call out process to strengthen the City capability and resilience in responding to major incident and complying with the wider London boroughs standardisation programme	<p>Training for this session complete process and call out still to be finalised</p> <p>LALO were involved in a City based partnership exercise February 2020, further exposure to training and exercise is intended but postponed due to response to COVID 19 Update -LALO training under London wide review</p> <p>Pan London standards process currently held due to Covid 19 response , Lalo training will be key to capability going forward Feb 2021 LALO training is a rolling programme delivered by London Resilience Group , resilience team ensure capability and numbers of LALO are appropriate for Col response and engage LALO in local/pan London exercise where appropriate</p>	Gary Locker	03-Dec-2021	31-Dec-2021
CR01N Standardisation procedures	to increase City capability and resilience in also supporting wider London boroughs during major incident response, Local Emergency Control Centres, Emergency centres as part of a wider humanitarian	Gold major incident awareness training day completed for new Col Chief Officers 21/10/21 module 1 included Media implications , Humanitarian aspects , Civil Contingencies Act & Command structure responsibilities . Module 2/3 to follow 2022 Legal Implications & Public Inquiries session	Gary Locker	03-Dec-2021	31-May-2022
CR01Q Rolling DR tests	Plan an annual calendar of IT DR tests, covering critical systems and services	<p>Now most of our technology and data is stored in a resilient cloud datacentre, our internet connection has become even more critical than before.</p> <p>This failed during a previous test, so work has taken place to resolve the previous issues.</p> <p>A resilience test was carried out of our primary and secondary Internet connection.in October 2021 and proved to failover successfully.</p>	Matt Gosden	03-Dec-2021	31-Mar-2022



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