



## Audit and Assurance Committee

|                        |                            |
|------------------------|----------------------------|
| <b>Date of Meeting</b> | 29 August 2023             |
| <b>Subject</b>         | Business Resilience Update |
| <b>Agenda No.</b>      | 7                          |
| <b>Paper No.</b>       | 23.6                       |
| <b>Prepared By</b>     | Business Resilience Team   |
| <b>Purpose</b>         | Note                       |

### 1. Background

- 1.1. The Business Resilience Team within Social Security Scotland are responsible for the implementation and maintenance of the business continuity management system in the organisation.
- 1.2. This paper is the first annual update to Audit and Assurance Committee with the purpose of providing the Committee with an annual summary of Business Resilience activity.

### 2. Business Resilience Readiness

- 1.3. The Business Resilience Team is currently comprised of:
  - 1x Business Resilience Lead (C1 TRS)
  - 2x Business Resilience Officers (B2)
  - 1x Business Resilience Coordinator (B1)
  - 1x Administrative Assistant (A3), shared with the wider unit.
- 1.4. Following a commission by the Business Resilience Lead, Internal Audit conducted advisory work on the Business Resilience function and presented their findings to the People and Places forum. Recommendations were adopted as appropriate, including an action to determine where the Business Resilience function should be situated within our organisation. This led to the Business Resilience function being relocated from Client Services Delivery to Organisational Strategy and Performance. This move to an area driving strategic activities allows sufficient prominence and sight across the organisation.
- 1.5. The Business Continuity Management System requires all teams and branches in the organisation to develop and maintain local business continuity plans to help support them in the event of a disruption. These plans are required to be



reviewed regularly, and exercised to test their robustness. Our review and exercising schedule has been fully established. Please see [Annex 1a](#) for the status of individual business continuity plans.

- 1.6. Social Security Scotland have a collaborative approach to the development of playbooks and walkthroughs with suppliers, and robust business continuity arrangements are in place. For further details on arrangements with suppliers, see [Annex 1b](#).
- 1.7. The Business Resilience Team regularly carry out horizon scanning activities, where upcoming potential threats are discussed and recorded. Where appropriate, contingency planning takes place for identified potential threats. Where strategic contingency planning is required, we work closely with partners such as the Protocol and Honours Team in Scottish Government to develop aligned plans. For more detail on recent and current contingency planning, please see [Annex 1c](#).

### 3. Incident Management

- 1.8. The Major Incident Framework has been used to support the management of these incidents across the organisation. A full review of the framework and incident management procedures is ongoing. For details of enhancements made to procedures so far, see [Annex 2a](#).
- 1.9. The Business Resilience Team capture data on all agency business continuity and major incidents. Incident management requires a significant amount of business resilience resource – from supporting at incident response meetings, conducting lessons-learned activity, and management of continuous improvement. A disruption summary for the year to date - and the last 12 months - can be found in [Annex 2b](#).

### 4. Governance

- 1.10. Following attendance at Agency Leadership Team and subsequent discussion with the Governance Team, it was decided that Business Resilience should report monthly below the line to ALT, annually in person to ET, annually in person to Audit and Assurance Committee, and on an ad-hoc basis to necessary forums as required.
- 1.11. In line with other areas of the organisation, we have recently adopted Power BI as a management information reporting tool. This will allow more streamlined reporting on relevant data to be shared efficiently with stakeholders.
- 1.12. Social Security Scotland Business Resilience team continue to work closely with partners such as Scottish Government to maintain effective working



relationships and to provide assurance that our business continuity and incident response processes are aligned.

- 1.13. As per the Business Continuity Institute good practice requirements, a formal review of the Business Continuity Management System was conducted in March 2023 by senior leaders within Client Services Delivery and the Business Resilience Lead. Minor actions were identified, and are being progressed by the People and Places forum.

## 5. Partnership Working

- 1.14. The Business Resilience team work closely with internal and external stakeholders to continue to provide assurance that Social Security Scotland's business continuity procedures are aligned with those of partners such as Scottish Government and Department for Work and Pensions (DWP).
- 1.15. The Business Resilience Lead was recently requested to join the Scottish Government Business Continuity Advisory Network, to contribute expertise and best practice with stakeholders.
- 1.16. Key activities from the last year involving partners/stakeholders can be found in [Annex 3](#).

## 6. Education and Awareness

- 1.17. Personal and professional development of the Business Resilience Team members continues, with both Business Resilience Officers recently successfully gaining accreditations from the Business Continuity Institute. This helps demonstrate the level of knowledge and understanding within the Business Resilience Team.
- 1.18. The Business Resilience Team continue to deliver or organise education and awareness pieces to various colleagues in Social Security Scotland, with the aim of increasing knowledge on business continuity and incident response.
- 1.19. Key education and awareness activities can be found in [Annex 4](#).

## 7. Conclusions

- 1.20. This is our first report on Business Resilience activities to the Audit and Assurance Committee, and we would welcome any comments on the content and format of this paper.

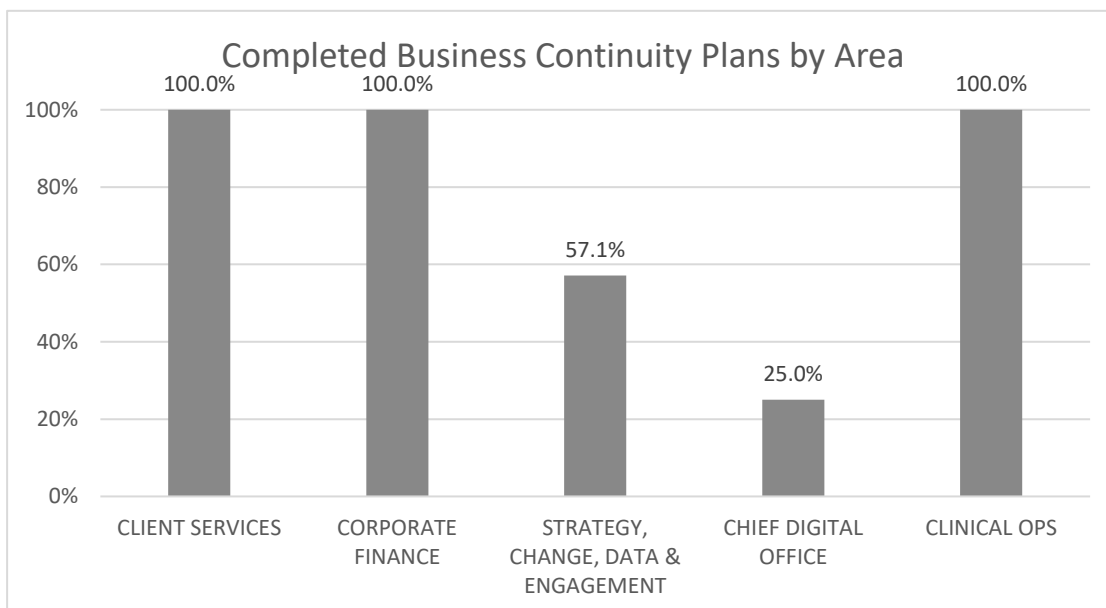
## ANNEX 1 – Business Continuity Readiness

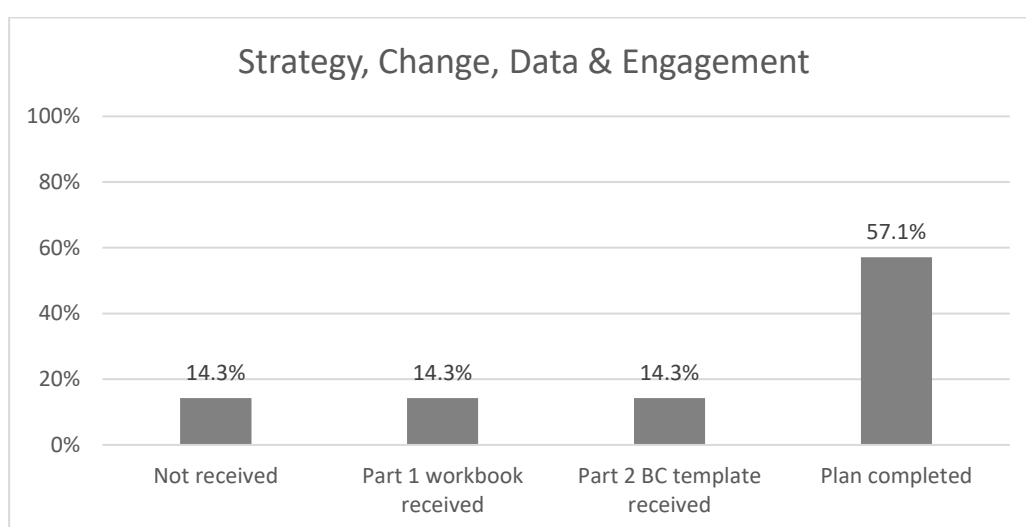
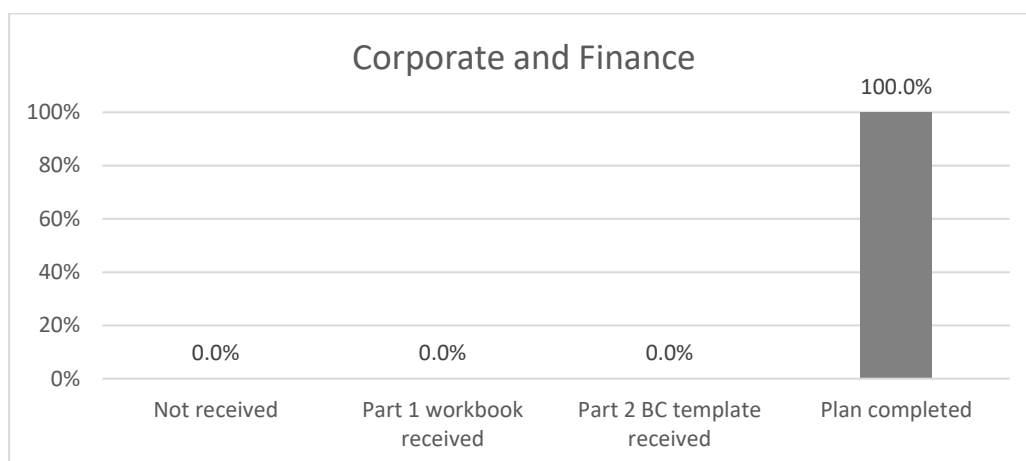
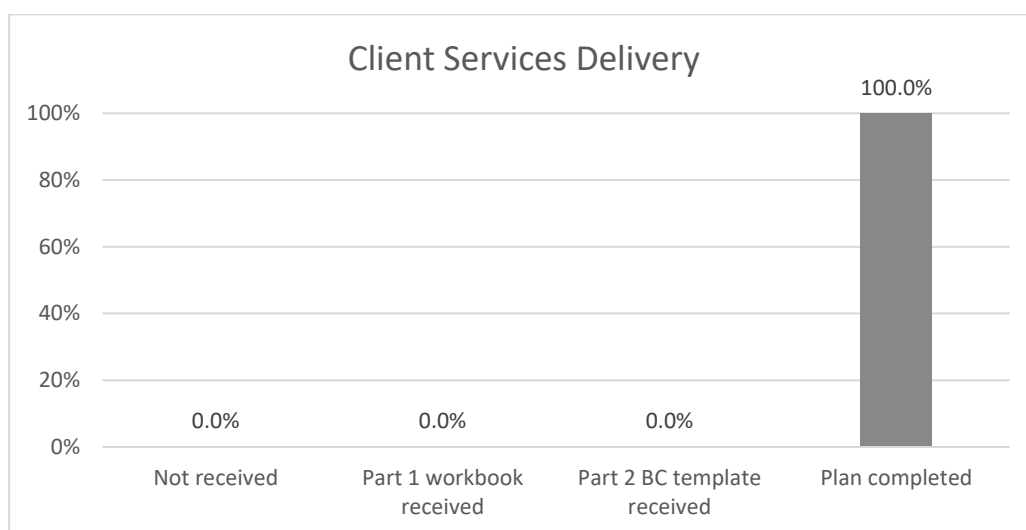
### 1a) Status of Agency Business Continuity Plans (all graphs to nearest decimal place).

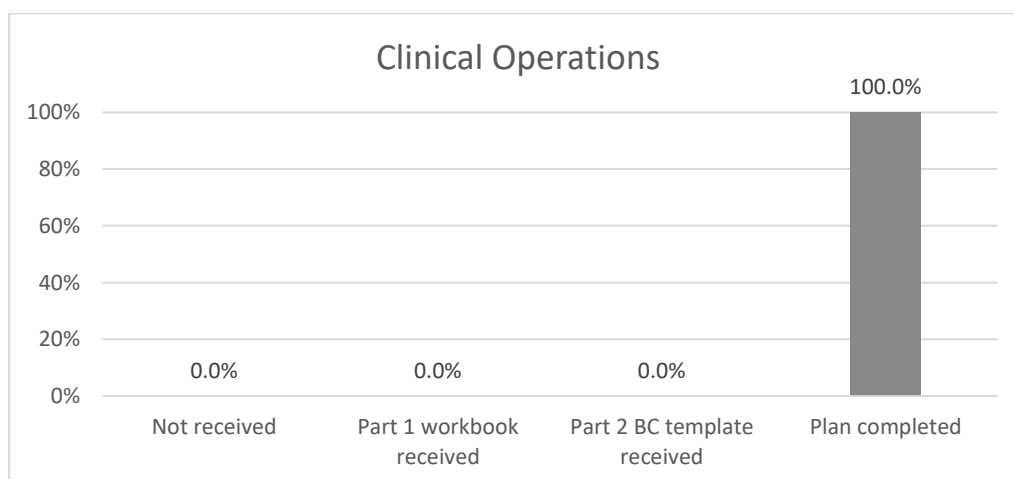
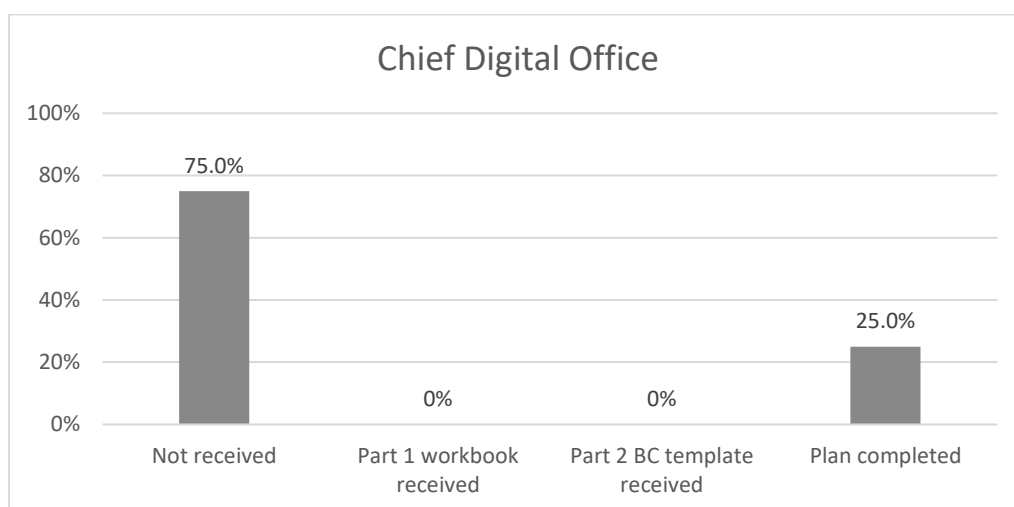
|  |                             |
|--|-----------------------------|
| Number of plans complete or in development | 38 (82% of plans required)  |
| Number of completed reviews                | 13 (33% of completed plans) |
| Number of plans exercised                  | 13 (33% of completed plans) |

Overall, 82% of all required business continuity plans are either completed or in development.

The following graphs show the status of plans by area (all graphs are to nearest decimal place).









A full breakdown of the status of the plans for each division follows:

| CLIENT SERVICES DELIVERY                                 | NOT RECEIVED        | PART 1 WORKBOOK RECEIVED | PART 2 BC TEMPLATE RECEIVED | PLAN COMPLETED |
|--|---------------------|--------------------------|-----------------------------|----------------|
| CHILD DISABILITY PAYMENT                                 |                     |                          |                             | ✓              |
| ADULT DISABILITY PAYMENT                                 |                     |                          |                             | ✓              |
| WINTER HEATING PAYMENT                                   | *EXCLUDED FROM DATA |                          |                             |                |
| LOW INCOME BENEFITS                                      |                     |                          |                             | ✓              |
| CASE TRANSFER  |                     |                          |                             | ✓              |
| MAILROOM   |                     |                          |                             | ✓              |
| BUSINESS SUPPORT   |                     |                          |                             | ✓              |
| LOCAL DELIVERY   |                     |                          |                             | ✓              |
| CLIENT EXPERIENCE  |                     |                          |                             | ✓              |
| QUALITY ASSURANCE & PERFORMANCE                          | *EXCLUDED FROM DATA |                          |                             |                |
| MAPPA & BEREAVEMENT SERVICES                             | *EXCLUDED FROM DATA |                          |                             |                |
| *Will be included in data following sufficient training. |                     |                          |                             |                |
|  |                     |                          |                             |                |
| CORPORATE AND FINANCE                                    | NOT RECEIVED        | PART 1 WORKBOOK RECEIVED | PART 2 BC TEMPLATE RECEIVED | PLAN COMPLETED |
| PLACE SERVICES   |                     |                          |                             | ✓              |
| HEALTH AND SAFETY  |                     |                          |                             | ✓              |
| PEOPLE ADVICE AND SUPPORT                                |                     |                          |                             | ✓              |
| HR/ORGANISATIONAL DESIGN                                 |                     |                          |                             | ✓              |
| BUSINESS SUPPORT TEAM                                    |                     |                          |                             | ✓              |
| ONBOARDING   |                     |                          |                             | ✓              |
| RESOURCING   |                     |                          |                             | ✓              |
| WORKFORCE PLANNING                                       |                     |                          |                             | ✓              |
| LEARNING AND LEADERSHIP                                  |                     |                          |                             | ✓              |



|  |                     |                                 |                                    |                       |
|--|---------------------|---------------------------------|------------------------------------|-----------------------|
| FINANCE PROJECT & CONTROLS                     |                     |                                 |                                    | ✓                     |
| CORPORATE FINANCE                              |                     |                                 |                                    | ✓                     |
| FERU   |                     |                                 |                                    | ✓                     |
| PROCUREMENT                                    |                     |                                 |                                    | ✓                     |
|  |                     |                                 |                                    |                       |
| <b>STRATEGY, CHANGE, DATA &amp; ENGAGEMENT</b> | <b>NOT RECEIVED</b> | <b>PART 1 WORKBOOK RECEIVED</b> | <b>PART 2 BC TEMPLATE RECEIVED</b> | <b>PLAN COMPLETED</b> |
|  |                     |                                 |                                    |                       |
| OPERATIONAL POLICY                             |                     |                                 |                                    | ✓                     |
| STRATEGY & CORPORATE SUPPORT                   |                     |                                 | ✓                                  |                       |
| COMMUNICATIONS & MARKETING                     | ✓                   |                                 |                                    |                       |
| NATIONAL ENGAGEMENT                            |                     |                                 |                                    | ✓                     |
| BUSINESS CHANGE MANAGEMENT                     |                     |                                 |                                    | ✓                     |
| ANALYSIS & INSIGHT                             |                     | ✓                               |                                    |                       |
| BUSINESS RESILIENCE                            |                     |                                 |                                    | ✓                     |
|  |                     |                                 |                                    |                       |
| <b>CHIEF DIGITAL OFFICE</b>                    | <b>NOT RECEIVED</b> | <b>PART 1 WORKBOOK RECEIVED</b> | <b>PART 2 BC TEMPLATE RECEIVED</b> | <b>PLAN COMPLETED</b> |
|  |                     |                                 |                                    |                       |
| BUSINESS MANAGEMENT UNIT                       |                     |                                 |                                    | ✓                     |
| TECH AND PLATFORMS                             | ✓                   |                                 |                                    |                       |
| CLOUD ENGINEERING                              | ✓                   |                                 |                                    |                       |
| SECURITY                                       | ✓                   |                                 |                                    |                       |
| ARCHITECTURE                                   | ✓                   |                                 |                                    |                       |
| SERVICE MANAGEMENT                             | ✓                   |                                 |                                    |                       |
| DATA PROTECTION & INFO GOVERNANCE              |                     |                                 |                                    | ✓                     |
| SERVICE DESK                                   | ✓                   |                                 |                                    |                       |
|  |                     |                                 |                                    |                       |
| <b>CLINICAL OPS</b>                            | <b>NOT RECEIVED</b> | <b>PART 1 WORKBOOK RECEIVED</b> | <b>PART 2 BC TEMPLATE RECEIVED</b> | <b>PLAN COMPLETED</b> |
|  |                     |                                 |                                    |                       |
| BUSINESS SUPPORT                               |                     |                                 |                                    | ✓                     |
| HEALTH SOCIAL CARE OPERATIONS                  |                     |                                 |                                    | ✓                     |
| GOVERNANCE                                     |                     |                                 |                                    | ✓                     |



## 1b) Supplier business continuity arrangements.

- 1.21. From a procurement perspective, suppliers are required to submit a Business Continuity Disaster Recovery plan for approval either before contract commencement, or in a defined period of time afterwards, depending on the perceived level of risk. These plans provide details on how invocation would impact on deliverables and good/services provided by related suppliers. As part of normal contract management processes, a schedule to cover business continuity arrangements is included post-award. Procurement proactively engage regularly with suppliers to seek and gain reassurance on resilience and business continuity within supply chains.
- 1.22. As part of their pre go-live governance activities, Release Management engage with Chief Digital Office to obtain assurance that: contingencies planned for go-live are fully approved, tested, and included in the implementation plan; plans for additional contingency scenarios identified through pre-mortem activities are tested and approved; supplier management arrangements are in place; disaster recovery plans are created/updated and a tabletop exercise undertaken if deemed appropriate.
- 1.23. Chief Digital Office have playbooks for key suppliers - such as Vodafone - including details of recovery time objectives, service level agreements, incident management processes and further contingency arrangements.

## 1c) Recent contingency planning 2022-2023.

| Contingency plan title | Status            |
|------------------------|-------------------|
| Industrial Action      | Completed         |
| Project Unicorn        | Completed         |
| Local power-outage     | Awaiting sign-off |
| National Power Outage  | In progress       |
| Severe weather         | Awaiting sign-off |

[Back to top section.](#)



## ANNEX 2 – Incident Management

### 2a) Improvements to incident management procedures 2022-2023.

|                    |  |
|--------------------|--|
| <b>Activity</b>    | Continuous improvement of incident management procedures   |
| <b>Description</b> | <ul style="list-style-type: none"><li>• Improvements to the incident response procedures have been made, such as the transfer of Responsible Officer duties to Place Services. This has proven to be very successful, resulting in a more streamlined process with a reduction of resources required.</li><li>• Enhancements to the post-incident processes have been made, taking guidance and direction from colleagues in the Programme and the Agency who have considerable experience in lessons learned activities and methods. This has helped improve engagement from incident response stakeholders.</li><li>• We have engaged with the Change and Continuous Improvement Team regarding the transfer of lessons-learned from our local tracker, to the agency-wide tracker. This will provide greater visibility and awareness of lessons identified and monitor the progress of actions.</li><li>• The Business Resilience team have formed an incident management working group to bring key stakeholders together to enable a joined-up and collaborative approach to incident responses within our buildings. Initial meetings have taken place, with the next meeting being held in August.</li><li>• Discovery sessions are underway with the Service Design Team to support with the continuous improvement of the incident management process.</li></ul> |

|                    |  |
|--------------------|--|
| <b>Activity</b>    | Crisis Management plan development   |
| <b>Description</b> | Work is underway on a crisis management plan to complement our major incident framework. This will outline how the organisation will respond if a crisis occurs – the definition of which is different to an incident - with the aim of minimising |

|  |  |
|--|--|
|  | <p>damage and restoring normal business operations as quickly as possible.</p> <p>This work will be included in ongoing discussions with Service Design. Business Resilience will work closely with communications colleagues on the crisis communications side of this project.</p> |
|--|--|

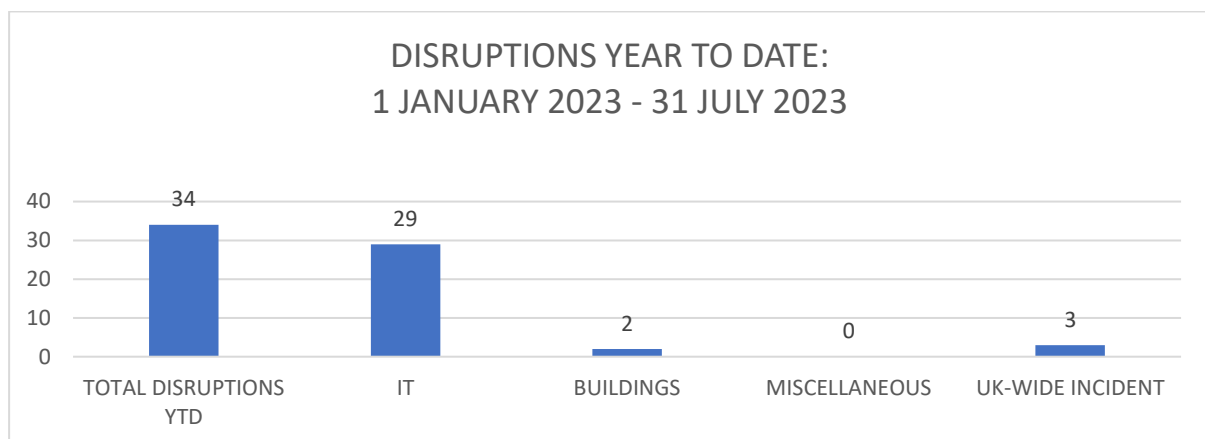
## 2b) Incident data.

### Data for 2023

From 1 January 2023 to 31 July 2023 there were a total of 34 disruptions. These fell into the categories of:

- IT-related
- Building-related
- UK-wide incident.

A breakdown of these disruptions is as follows:



### Data from the last 12 months

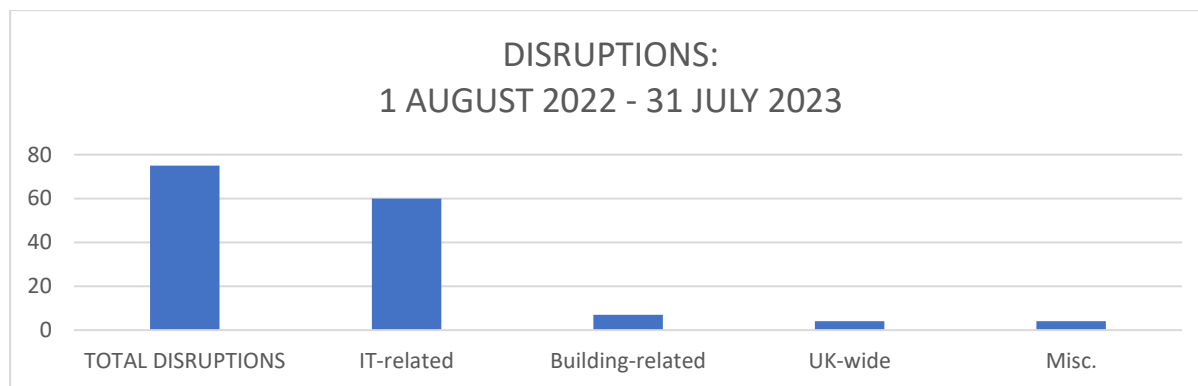
From 1 August 2022 to 31 July 2023 there were a total of 75 disruptions. These fell into the categories of:

- IT-related
- Building-related



- UK-wide incident
- Miscellaneous.

A breakdown of these disruptions is as follows:



[Back to top section.](#)



## ANNEX 3 – Partnership working.

### Key activities with internal or external partners/stakeholders 2022-2023.

|                    |  |
|--------------------|--|
| <b>Activity</b>    | Physical Security Exercise   |
| <b>Stakeholder</b> | Home Office Protective Security Consultant   |
| <b>Description</b> | <p>This physical security exercise involved several stakeholders from across our organisation, and also provided an overview of physical security and the upcoming Protect Duty legislation to the Executive Team.</p> <p>Protective Security has since had a Senior Responsible Owner assigned at executive level to address the key concerns identified.</p> |

|                    |   |
|--------------------|---|
| <b>Activity</b>    | Cyber Exercise  |
| <b>Stakeholder</b> | Scottish Government Cyber Co-ordination Centre  |
| <b>Description</b> | <p>This cyber exercise allowed the effectiveness of incident response procedures in the organisation to be tested. An internal debrief was conducted along with a formal report from Scottish Government.</p> <p>Planning has commenced for part 2 of the exercise, where agency-wide response will be exercised. This will require participation at executive team level as well as key incident response stakeholders.</p> <p>As a result of this exercise, the Business Resilience Team will work closely with the cyber, data governance, and corporate communications teams to align approaches to cyber and data loss/breach incidents.</p> |

|                    |   |
|--------------------|---|
| <b>Activity</b>    | National Power Outage Planning Exercise   |
| <b>Stakeholder</b> | Scottish Government Operation Yarrow team   |
| <b>Description</b> | The Business Resilience Lead has been involved with the Scottish Government Operation Yarrow planning team on the response to national power outages. |



|  |   |
|--|---|
|  | The Business Resilience Lead has since engaged with the Executive Team to share National Power Outage awareness information, and to seek backing to continue planning for this. |
|--|---|

[Back to top section.](#)

## ANNEX 4 – Education and awareness.

### Key education and awareness activities 2022-2023.

|                    |  |
|--------------------|--|
| <b>Activity</b>    | Business Continuity Awareness Week 2023  |
| <b>Audience</b>    | 91 colleagues across all roles and grades  |
| <b>Description</b> | <p>The Business Resilience Team hosted business continuity awareness sessions in-person and online, to celebrate Business Continuity Awareness Week 2023 (15-19 May).</p> <p>These sessions provided colleagues with an overview of business continuity and the Business Resilience Team, and some useful information on professional and personal resilience.</p> |

|                    |   |
|--------------------|---|
| <b>Activity</b>    | Loggist Training  |
| <b>Audience</b>    | Business Support Network  |
| <b>Description</b> | <p>This training upskilled business support colleagues in how to effectively capture information during incidents when supporting the Officer in Charge.</p> <p>This training was delivered by a subject matter expert from the West of Scotland Regional Resilience Partnership.</p> |

|                    |  |
|--------------------|--|
| <b>Activity</b>    | Business Continuity Network Meetings   |
| <b>Audience</b>    | Business Continuity Officers and Champions   |
| <b>Description</b> | <p>Organisation-wide network meetings for business continuity officers and champions began in July.</p> <p>These quarterly meetings will allow all those involved in business continuity in their areas to network, share best practice, and receive upskilling or refresher training.</p> <p>Colleagues were able to sign up to in-person or online sessions, and feedback from initial meetings has been adopted to help shape what the network meetings will look like.</p> |

[Back to top section.](#)



## Governance Tables – To be Completed by Authors

**An Impact Assessment** must be carried out during the development of all new Agency policies and services and when making significant changes to policies and services. The Corporate Assurance team should be involved from an early stage to provide guidance and advice relating to completing impact assessments.

[Impact Assessment Saltire Page](#)

Impact Assessment Queries: [Corporateassuranceteam@socialsecurity.gov.scot](mailto:Corporateassuranceteam@socialsecurity.gov.scot)

**Please complete the below table.**

| Type of Impact Assessment  | Required (Y/N) | If No - briefly state reason e.g. Not relevant/Not eligible – agreed with Deputy Director | If yes – briefly state progress to date, highlight any significant issues. |
|--|----------------|---|--|
| <a href="#">Business and Regulatory Impact Assessment (BRIA)</a>     | N              | Not relevant – update paper only  |  |
| <a href="#">Child Rights and Wellbeing Impact Assessment (CRWIA)</a> | N              | Not relevant – update paper only  |  |
| <a href="#">Data Protection Impact Assessment</a>                    | N              | Not relevant – update paper only  |  |
| <a href="#">Equality Impact Assessment (EQIA)</a>                    | N              | Not relevant – update paper only  |  |
| <a href="#">Fairer Scotland Duty assessment</a>                      | N              | Not relevant – update paper only  |  |
| <a href="#">Future proofing legislation</a>                          | N              | Not relevant – update paper only  |  |
| <a href="#">Human rights in policy making</a>                        | N              | Not relevant – update paper only  |  |
| <a href="#">Islands Communities Impact Assessment (ICIA)</a>         | N              | Not relevant – update paper only  |  |
| <a href="#">Strategic Environment Assessment (SEA)</a>               | N              | Not relevant – update paper only  |  |





**Before submitting please ensure that you detail how the paper contributes to the Corporate Plan Strategic Objectives below. These strategic considerations should be use to assist you with the content of your paper.**

| Strategic Objective  | Contribution  |
|--|---|
| Helping to deliver a social security system with dignity, fairness and respect.      | Not relevant.   |
| Supporting people in Scotland to access devolved benefits that they are entitled to. | Update paper demonstrates how business resilience is helping to ensure continued delivery of our prioritised activities through business continuity management, ensuring people in Scotland can access the benefits they are entitled to. |
| Running our service in a responsible way   | This update paper demonstrates how business resilience is helping to run our service in a responsible way through the use of business continuity management, ensuring continued delivery of our services to our clients.                  |

**State here any consultation undertaken in the agency**

| Strategic Involvement/ Consultation | Input |
|-------------------------------------|-------|
| Service Development                 | N/A   |
| Data                                | N/A   |
| Communications                      | N/A   |
| Business Support Network            | N/A   |
| Workforce Planning & People         | N/A   |
| Accommodation                       | N/A   |
| Finance                             | N/A   |
| Procurement                         | N/A   |
| Operations                          | N/A   |
| Health & Social Care                | N/A   |
| Local Delivery                      | N/A   |

**Please confirm the governance this paper/ information within this paper has been through already, and what the next steps are.**

**Paper/ Information within Paper Reviewed by**  
e.g. Executive Advisory Body, Non-Executive, Deputy Director for Finance and Corporate Services, etc.

**Next Steps after this Meeting**  
e.g. Agency Leadership Team, Executive Team, Executive Advisory Body, etc.