

## **Paper 3d: Assurance Approach - Stage 2 Development**

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### **1. Introduction**

Following endorsement by LAP on 18<sup>th</sup> April 2018, of the Sean Ruth review and recommended assurance framework, discussions have continued, on the appropriate means translating this into a meaningful process. This Paper explains the principles, anticipated timeframes and means by which stage 2 of this important project will be taken forward. Included is a description of an interim and longer-term approach which are intrinsically linked, and therefore some concurrent activity is necessary.

To support early initiation of stage 2 and ensure the work is developed mindful of the value in continuity, exploratory discussions have already been held with the two consultancies who have supported the standardization and assurance workstreams to date. To support the discussions, a project brief was produced, see Annex A.

### **Recommendations**

- **LAP endorse the interim and long-term approaches detailed in this Paper.**
- **LAP agrees to the injection of pace into this work through consultancies funded from the central resilience fund.**
- **LAP offers direction on the interim process to ensure it offers all chief executives assurance on the progress of Refreshed EP2020 implementation and individual and collective preparedness in advance of the formal process being available in 2019.**

### **2. Considerations for LAP**

For LAP to offer direction on the proposed approaches, consideration of the following questions and principles is important to ensure expectations of chief executives is met:

- This could be a purely sector-led improvement approach or if LAP agree, a blended approach with some external involvement?
- Any agreed process needs to be affordable, non-bureaucratic and deliverable.
- Everyone needs to sign up to the framework.
- Critical challenge from members is essential.
- Will all chief executives feel that an interim approach based on revised planning assumptions and progress reporting against refreshed EP2020 recommendations in September and October 2018 offer sufficient assurance to LAP and Leaders Committee prior to the roll out of a formal Standards based approach in 2019?
- Is there value in establishing a policy statement confirming what we can and what we can't do? Note: This could be associated to an organizational question set which chief executives could use to brief members and senior stakeholders in the expected response capabilities and preparedness.
- Commissioning of consultancies would be in line with City of London Corporation procurement policies.

### **3. Stage 2 Development Proposal**

#### Initial Work (June to July 2018)

- Determine Planning Assumptions/Response Expectations for London local authority preparedness, response and recovery.
- Produce an 'organizational question set' for Chief Executives for use as a one-stop reference guide to what is expected/needed.

### Interim Approach (August 2018 to March 2019)

Activity	2018/19									
	June	July	Aug	Sep	Oct	Nov	Dec	Jan	Mar	
Develop Planning Assumptions										
Produce Organizational Question Set										
Produce Interim Resilience Standards for London (REL)										
Local Authority Self-Assessment										
Sub-Regional Peer Challenge of interim REL assessments										
London-wide assessment of collective preparedness produced										
LAP consider London-wide assessment of collective preparedness										
Collective assessment presented to Leaders Committee										

- Produce interim 'Resilience Standards for London' through refinement of existing MSLs
- All Local Authorities conduct self-assessments in September 2018
- The new Local Authority Regional Support Team (Resilience) facilitates strategic level peer challenge via the newly established London Local Authority Sub-Regional Groups in October 2018.
- London-wide assessment of collective preparedness to be presented to LAP in January 2019.
- Agreed London-wide assessment of collective preparedness to London Councils Leaders Committee in March 2019.

### Long Term Approach (August 2018 to March 2020)

Activity	2018		2019							2020	
	Aug	Sep	Jan	Mar	May	Jul	Sep	Oct	Nov	Jan	Mar
Stakeholder Assurance Working Groups (SAWG) established											
SAWGs develop Resilience Standards, key lines of enquiry and guidance for judgements											
Long term approach piloted in selected boroughs											
Local Authority Self-Assessment of Standards											
Sub-Regional Peer Challenge of Standards											
London-wide assessment of collective preparedness produced											
LAP consider London-wide assessment of collective preparedness											
Collective assessment presented to Leaders Committee											

- Stakeholder Working Groups to be established involving, but not led by, relevant experts to build on planning assumptions and the interim approach to set Resilience Standards.
- The stakeholder groups will:
  - Assess learning from the interim approach
  - Develop Key lines of enquiry
  - Determine what a peer review team should look like, and the approach to matching the team to the authority.
  - Determine priority areas of activity for initial peer review – focused or broad brush.
  - Develop guidelines for undertaking assurance reviews based on the following judgements:
    - Developing
    - Established
    - Advanced
  - Undertake testing of key lines of enquiry – pilot in willing boroughs
  - Identify peer review teams through matching of needs.
  - Roll out finalised assurance approach to ensure:
    - Self-assessments and peer reviews conducted in September 2019
    - Sub-Regional strategic level peer challenge in October 2019
    - Status of London's collective preparedness signed off by LAP in January 2020
    - Status of London's collective preparedness presented to London Councils Leaders Committee in March 2020.

#### **4. Conclusion**

If endorsed, and subject to productive discussions with consultants required to fast-track this work (see consultants brief at Annex A), the timeframes included in this note will be incorporated into a comprehensive project plan for EP2020 implementation, with regular reporting to LAP IG and LAP.



## Annex A

### London Local Authorities Assurance Framework Development Project – Consultants Brief

#### PROJECT AIM

To deliver the means of addressing assurance related recommendations (2 and 23 to 27) detailed in 'Emergency Planning into the 2020's April 2018 – Refresh and the principles detailed in 'An assurance framework for London Local Government – Sean Ruth February 2018.

#### Project Objectives

1. Undertake a review of the current Local Authority planning capabilities and recommend any further capabilities that should be planned for against current risk assessments, EP 2020 and Pan-London frameworks with local authority roles.
2. Undertake research of current national and regional planning assumptions.
3. Propose London local authority planning assumptions for all capabilities detailed in the LAP Business Plan 2018 – 2020 and any further capabilities identified in objective 1.
4. Produce an aide memoire for chief executives containing key questions and considerations relevant to their organizations preparedness.
5. Undertake research of existing national, and regional resilience related standards to identify good practice and support the development of objective 6.
6. Develop a set of comprehensive measurable 'Resilience Standards for London' covering local and regional levels and include out-put based standards where appropriate to assess capacity and capability,
7. Develop a reporting tool for assurance to local Members and regional assurance to Leaders Committee.
8. Develop options for independent peer review.

Note: the above can separated into individual work packages if required.

#### GOVERNANCE

This project will report to the dedicated central resource supporting London Local Authority Chief Executives. Any reports including evidence and reference material gathered, plus recommendations, will be scrutinised and challenged by the London Local Authority Implementation Group, Local Authority Panel and London Councils Leaders Committee.

#### STAKEHOLDER ENGAGEMENT

The following list contains examples of people and organisations who may be able to contribute to this project:

- London Borough Emergency Planning Officers

- London Local Authority Panel Implementation Group (LAP IG)
  - LAP IG Minimum Standards for London Working Group
  - City of London Corporation Chief Executive
  - London Resilience Group
  - London Councils
  - Mark Sawyer, London Local Authority Chief Executive Liaison (Resilience)
  - Civil Contingencies Secretariat
  - Department for Communities and Local Government
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- Establishments and organisations such as the Emergency Planning College and NHS England.

The above list is not exhaustive, and it may be necessary to speak with additional or alternative organisations and specialists, as deemed appropriate.

Access to information and data, which may not be publicly available such as reports, minutes of meetings, reviews, evaluations and plans will be available via Mark Sawyer.

## **LITERATURE REVIEW**

The project requires the review of relevant and proportionate literature to support conclusions and recommendations. These should be documented in the final submission.

## **INFORMATION GATHERING**

Reasonable and timely access will be required to people and organisations in the form of interviews, meetings and discussion groups. Support will be available via the dedicated central resource and LAP IG.

## **DURATION OF THE PROJECT/REVIEW**

To be agreed.

## **START DATE AND END DATE**

To be agreed.