



Appendix 2g

South Lakeland District Council

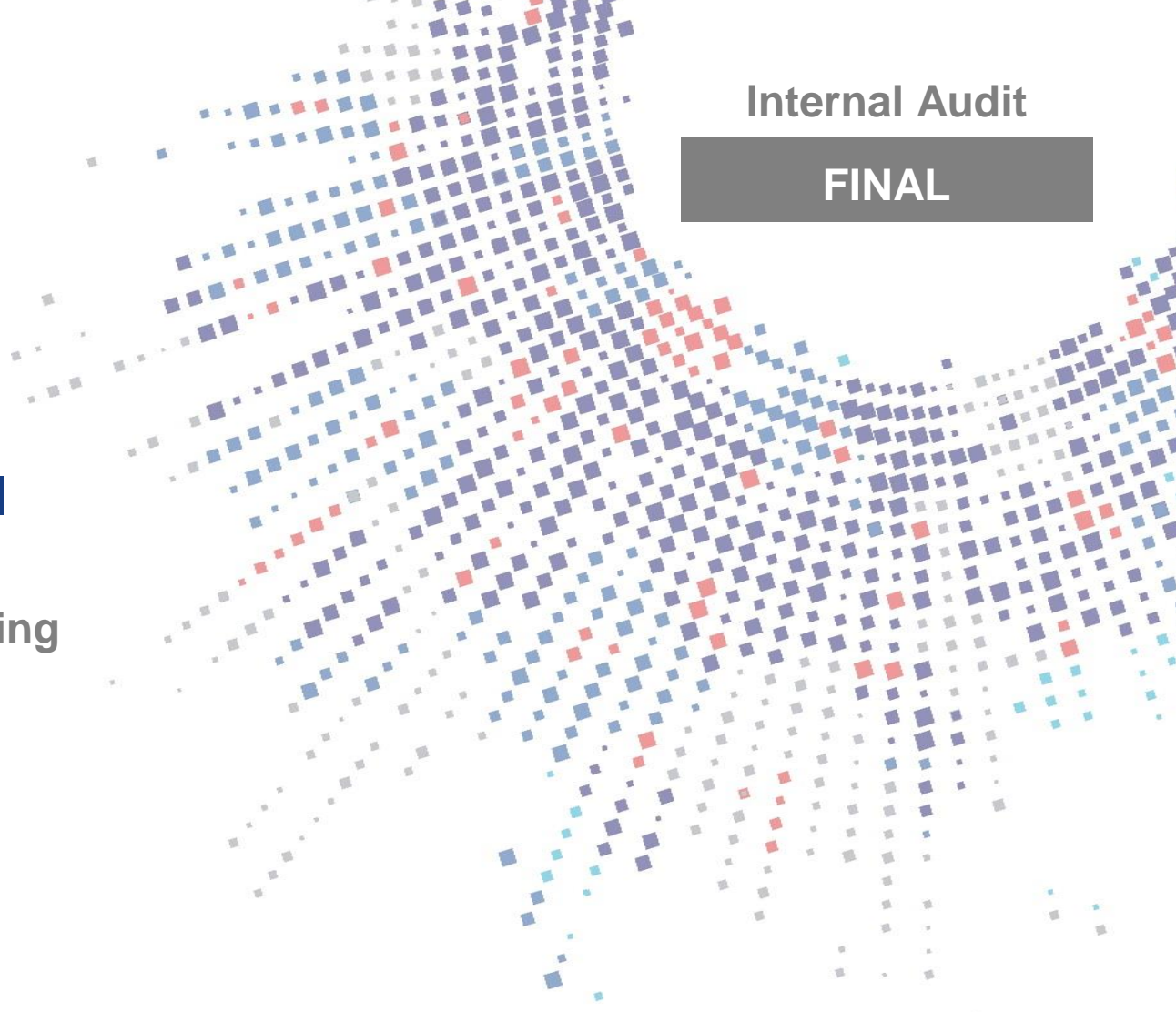
Appraisal Review of Emergency Planning

2019/20

September 2020

Internal Audit

FINAL



Executive Summary

OVERALL ASSURANCE ASSESSMENT



OVERALL CONCLUSION

The council has robust Emergency Planning arrangements in place to maintain a capability to plan for, and respond to, incidents or emergencies that could impact on their communities.

- Review of the South Lakeland District Council Corporate Emergency Response Plan should take place on an annual basis.
- Evidence of arrangements in place including roles and responsibilities, training, scenario testing, multi-agency working and lessons learned together with invocation of the Emergency Plan at relatively frequent intervals provides assurance that arrangements are robust and subject to continuous review.

SCOPE

The Council is a Category 1 emergency responder and plays a key role in the Cumbria Resilience Forum response to emergencies. The review considered the arrangements in place for emergency planning including responsibilities, training, scenario testing, multi-agency working and lessons learned.

ACTION POINTS

Urgent	Important	Routine	Operational
0	0	1	0

Management Action Plan - Priority 1, 2 and 3 Recommendations

Rec.	Risk Area	Finding	Recommendation	Priority	Management Comments	Implementation Timetable (dd/mm/yy)	Responsible Officer (Job Title)
1	Directed	The South Lakeland District Council Corporate Emergency Response Plan was provided for review. It is noted that the version provided (Version 1.2.2) is dated 1 st October 2019, reviewed for the annual maintenance review. The previous version (Version 1.2.1) is dated 1 st January 2018, again reviewed for the annual maintenance review. As the period between reviews exceeds twelve months, the Council should ensure that reviews take place on an annual basis. The plan states that South Lakeland District Council Corporate Emergency Response Plan is an operational document that is routinely monitored, reviewed and updated. The plan will be formally reviewed and updated annually or post activation as the result of either an exercise or an actual incident.	It be ensured that review of the South Lakeland District Council Corporate Emergency Response Plan takes place on an annual basis.	3	Accepted.	Implemented	Operational Lead Support Services

PRIORITY GRADINGS

1 URGENT Fundamental control issue on which action should be taken immediately.

2 IMPORTANT Control issue on which action should be taken at the earliest opportunity.

3 ROUTINE Control issue on which action should be taken.

Operational Effectiveness Matters

Ref	Risk Area	Item	Management Comments
No Operational Effectiveness Matters were identified.			

ADVISORY NOTE

Operational Effectiveness Matters need to be considered as part of management review of procedures.

Detailed Findings

Introduction

1. This review was carried out in March 2020 as part of the planned internal audit work for 2019/20. Based on the work carried out an overall assessment of the overall adequacy of the arrangements to mitigate the key control risk areas is provided in the Executive Summary.

Background

2. Emergency Preparedness, Resilience and Response (EPRR) is defined by a series of statutory responsibilities under the Civil Contingencies Act (2004) which require local authorities to maintain a robust capability to plan for, and respond to, incidents or emergencies that could impact on their communities.

Materiality

3. The Council needs to plan for, and respond to, a wide range of incidents and emergencies that could affect communities. These could be anything from extreme weather conditions to an outbreak of an infectious disease or a major transport accident. The Civil Contingencies Act (2004) requires local authorities to show that they can deal with such incidents while maintaining services.

Key Findings & Action Points

4. The key control and operational practice findings that need to be addressed in order to strengthen the control environment are set out in the Management and Operational Effectiveness Action Plans. Recommendations for improvements should be assessed for their full impact before they are implemented.

Scope and Limitations of the Review

5. The Council is a Category 1 emergency responder and plays a key role in the Cumbria Resilience Forum response to emergencies. The review considered the arrangements in place for emergency planning including responsibilities, training, scenario testing, multi-agency working and lessons learned.
6. The definition of the type of review, the limitations and the responsibilities of management in regard to this review are set out in the Annual Plan.

Disclaimer

7. The matters raised in this report are only those that came to the attention of the auditor during the course of the internal audit review and are not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

Risk Area Assurance Assessments

8. The definitions of the assurance assessments are:

Substantial Assurance	There is a robust system of internal controls operating effectively to ensure that risks are managed and process objectives achieved.
Reasonable Assurance	The system of internal controls is generally adequate and operating effectively but some improvements are required to ensure that risks are managed and process objectives achieved.
Limited Assurance	The system of internal controls is generally inadequate or not operating effectively and significant improvements are required to ensure that risks are managed and process objectives achieved.
No Assurance	There is a fundamental breakdown or absence of core internal controls requiring immediate action.

Audit Contacts

9. For any queries or to discuss the content of this report, please contact either of the following:

Lead Auditor:	Simon Butterfield simon.butterfield@ttaa.co.uk 07870 803173
Head of Internal Audit:	Peter Harrison peter.harrison@ttaa.co.uk 07970 376542

Audit Report Distribution

10. We would like to thank staff for their co-operation and assistance during the course of our work.

For Action:	John Davies, Case Management Officer
For Information:	David Sykes, Director of Strategy, Innovation and Resources Helen Smith, Finance Lead Specialist and Section 151 Officer

Release of Report

11. The table below sets out the history of this report.

Date draft report issued:	27 th April 2020
Date management responses received:	2 nd September 2020
Date final report issued:	2 nd September 2020
