

Report of Deputy Chief Executive

Report to Corporate Governance & Audit Committee

Date: 9th April 2014

Subject: Business continuity management arrangements for LCC's critical services.

Are specific electoral Wards affected? If relevant, name(s) of Ward(s):	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Are there implications for equality and diversity and cohesion and integration?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Is the decision eligible for Call-In?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Does the report contain confidential or exempt information? If relevant, Access to Information Procedure Rule number: Appendix number:	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Summary of main issues

1. Phase 1 of the Business Continuity Management (BCM) Programme is completed. This provides assurance that Leeds City Council *is* meeting its statutory duties required under the Civil Contingencies Act 2004 to have business continuity plans in place to be able to continue to deliver services assessed as being critical during an emergency or disruptive incident. Critical services are those that require recovering from disruption in less than 24 hours. This work was completed by the end of September 2013.
2. Phase 2 of the BCM Programme has been initiated. Currently being scoped, Phase 2 will develop and implement business continuity plans for what the Civil Contingencies Act 2004 describes as ordinary services i.e. functions that are important to the human welfare and security of the community and its environment but do *not* require recovery within 24 hours of a disruption occurring.

The Civil Contingencies Act 2004 requires that organisations delivering services on behalf of Leeds City Council can continue to deliver to the extent required in the event of an emergency. The assessment of commissioned service business continuity plans will commence as part of Phase 2.

Recommendations

3. The Committee to note that the level of assurance on the adequacy of business continuity management arrangements is good. This is demonstrated via the controls and compliance documented within this report.

4. The Committee to note this report for information and receive an annual update detailing progress and achievements in April 2015.

1 Purpose of this report

- 1.1 To provide assurance that the business continuity plans and arrangements in place for LCC's critical services are fit for purpose, up to date, embedded and being routinely complied with.
- 1.2 To provide assurance that LCC is compliant with the statutory duties detailed in the Civil Contingencies Act 2004.

2 Background information

- 2.1 The Civil Contingencies Act 2004 made it a statutory duty of all councils to have in place arrangements to be able to continue to deliver critical aspects of their day to day functions in the event of an emergency, if the impact on the community is to be kept to a minimum.
- 2.2 For LCC to maintain continued compliance with the statutory duty, a centrally managed Business Continuity Management (BCM) Programme is providing support to managers using good practice guidance aligned with the international standard ISO 22301.
- 2.3 Phase 1 of the BCM Programme was completed in 2013. Phase 1 was the identification and development of business continuity plans for LCC's most critical services i.e. services that require recovery within 24 hours of a disruption occurring. At the time of completion (September 2013) there were 67 services identified as most critical.
- 2.4 Scoping for Phase 2 of the BCM Programme has commenced. The scope of Phase 2 comprises of the functions that the Civil Contingencies Act 2004 describes as ordinary i.e. functions that are important to the human welfare and security of the community and its environment but do *not* require recovery within 24 hours of a disruption occurring.
- 2.5 The Act also requires an assessment on the resilience of organisations that the council relies upon to deliver many of its services. Confidence with the resilience of such services is essential particularly where they have been commissioned to provide services for vulnerable children and adults.
- 2.6 This report presents the current status of the BCM Programme and in doing so aims to provide assurance to the Corporate Governance & Audit Committee of the adequacy of the business continuity management arrangements currently in place, in development or planned.

3 Main issues

- 3.1 **Compliance with Civil Contingencies Act 2004.** The Act identifies local authorities as Category 1 responders. Category 1 responders are likely to be at the core response to most emergencies and as such are subject to the full range of civil protection duties in the Act.

The Act requires Category 1 responders to maintain plans to ensure that they can continue to perform their functions in the event of an emergency. This includes the critical aspects of their day to day functions as well as being able to continue to perform their ordinary functions that are important to the human welfare and security of the community and its environment.

Phase 1 of the BCM Programme identified and developed business continuity plans for the most critical services. Phase 2 of the BCM Programme will identify and develop business continuity plans for the ordinary services. Phase 2 will also identify, prioritise and commence assessment of commissioned service business continuity plans.

Completion of Phase 1 provides compliance with the Act in relation to 'critical aspects of day to day functions', whilst Phase 2 will provide an increasing level of resilience for 'ordinary functions' and (prioritised) commissioned services as roll-out progresses during 2014.

Alignment with ISO 22301. The BCM Toolkit comprises of templates and guidance published on InSite accessible to managers to aid development of business continuity plans and arrangements. The templates and guidance were originally developed using good practice guidance based on BS 25999, this standard has now been superseded by ISO 22301. The main change between BS25999 and ISO22301 is a greater emphasis on leadership and management commitment.

Templates and guidance have been revised in alignment with ISO 22301 and republished on InSite.

3.2 **BCM Programme Phase 1 progress.** Phase 1 is now complete. Business Continuity Plans for all services identified as being most critical i.e. services that require recovery within 24 hours of a disruption occurring, were completed by the end of September 2013. At the time there were 67 services identified as most critical. This has since risen to 72.

3.3 **BCM Programme Phase 2 progress.** Phase 2 is currently being scoped and focusses on services that the Civil Contingencies Act 2004 describes as ordinary i.e. functions that are important to the human welfare and security of the community and its environment but do *not* require recovery within 24 hours of a disruption occurring.

Each Directorate Resilience Group will have a key role in identifying the services which are to fall within the scope of Phase 2 with Directorate Leadership Teams providing final validation prior to work commencing.

The target date for completion of Phase 2 scoping is April 2014.

Commissioned service resilience. The Civil Contingencies Act 2004 requires Category 1 responders to 'ensure that those organisations delivering services on their behalf or capabilities which underpin service provision can deliver to the extent required in the event of an emergency'.

Business Continuity Plans *can* be requested during procurement exercises; however there have been some inconsistencies with the assessment of such plans. A process and template have been developed in order to bring consistency to the assessment process using the good practice guidance contained within ISO 22301.

The template has been piloted on 13 services commissioned by Adult Social Care for providers of accommodation based services for people with a learning disability. The completed assessment template is returned to the provider and is used to inform further development of the business continuity plan.

Phase 2 will include further assessment of commissioned service business continuity plans in Adult Social Care as well as extending the assessments to Children's Services and Public Health. Due to the volume of commissioned services, completion of the assessments will need to be prioritised to those organisations providing essential services for vulnerable adults and children.

An enhanced level of service for commissioned services will be provided during the lead-up to the Tour De France Grand Départ. Briefings to be delivered by the Emergency Planning Unit will provide the opportunity for commissioned services to consider the risk and potential impact of the Grand Départ and how they can plan to maintain services during and beyond the event.

Officers from the Emergency Planning Unit, Adult Social Care and Children's Services have recently attended Business Continuity Management Systems (BCMS) Lead Auditor training provided by the British Standards Institute. The course exam was passed with attendees achieving the BCMS Lead Auditor qualification. The training and qualification provides officers with the knowledge and competences required to complete assessments of business continuity plans *and* audits of provider organisations if required.

- 3.4 **Schools.** Work to adapt a School Emergency Plan Template and Guidance Document originally developed by Nottinghamshire County Council in 2009 has been completed with draft versions of both documents ready for consultation and approval.

The template and guidance have required reworking to include business continuity management in order to cover off the requirements for business continuity as per the Schools Financial Value Standards (SFVS) and include reference to the recently approved School Crisis Procedure. It is proposed that once the consultation and approval process is complete, the template and guidance will be rolled-out via a series of workshops to the Leeds Families of Schools and Bursar Network.

- 3.5 **Reviewing & maintaining plans.** The Civil Contingencies Act 2004 requires Category 1 responders to not only put plans in place, but ensure that they are reviewed and kept up to date. The Act says that plans should be reviewed when; staff turnover means that contact details will need updating, where new functions or new services are introduced, where restructuring has taken place and where suppliers and contractors change.

The BCM Programme ensures that plans are reviewed and maintained via an annual management review process. The process is centrally triggered and monitored to ensure that as a *minimum*, all plans are subject to an annual review.

All Business Continuity Plans are being maintained and the annual management review process is currently up to date as per schedule.

3.6 Exercising and testing. It is the responsibility of the directorate or service to exercise and test *their* plans.

Exercising and testing can take various forms, from a test of the key contact list to a desk-top walk-through or a live exercise.

Annually, there are a number of centrally co-ordinated exercises, often in partnership with other agencies. Such exercises provide the opportunity for council services playing a role in the exercise to test their local plans.

In February, an exercise took place to test arrangements for an emergency response during the Tour De France Grand Départ. This full day exercise involved managers from across all directorates and representatives from partner organisations.

3.7 Public awareness/warning & informing. The Civil Contingencies Act 2004 includes public awareness and warning and informing as two distinct legal duties for Category 1 responders – advising the public of risks before an emergency and keeping it informed in the event of an emergency.

The Emergency Planning Unit advises the public *before* an emergency via the issue of emergency specific information i.e. in relation to flooding and also through a programme of engagement days aiming to help build community resilience.

Engagement days include attendance at One Stop Centres and community events such as school fairs, galas and the annual Emergency Show at the West Yorkshire Fire and Rescue Headquarters. Attendance by Emergency Planning Officers provides the opportunity for the public to ask questions and receive information such as the Emergency Planning Information Brochure and ICE (in case of emergency) Cards.

During emergencies, the Emergency Planning Unit feed information through to the Press & Communications Team who in turn provides information to the public via the local media.

The Emergency Planning Officers also use Twitter to issue messages relating to events and incidents in the Leeds area.

A mailing list of managers and officers responsible for LCC's critical services is maintained. Emails are issued to warn of events and incidents which might impact on service delivery. The list is also used to assimilate information to inform a post incident review on the impact an event or incident might have had on critical services.

- 3.8 **Provision of advice & assistance to business & voluntary organisations.** The Civil Contingencies Act 2004 requires local authorities to provide advice and assistance to those undertaking commercial activities and voluntary organisations in relation to business continuity management.

Provision of advice and assistance is provided via the LCC Business Continuity Network. The BC Network has 600+ members from businesses and voluntary organisations in the Leeds area. The BC Network hosts a twice yearly network event in the Lord Mayors Banquet Suite, Civic Hall. Attended by around 150 members, the event provides the opportunity to hear presentations from key note speakers and business continuity/emergency planning practitioners as well as offering the opportunity to network with other members.

The next BC Network event will be a Tour De France Grand Départ specific event to be scheduled in April. By this time, detailed information will be available regarding road closures and the wider impact of the Grand Départ on Leeds and the surrounding area. The event will provide information for businesses and voluntary organisations to help them consider the risk and potential impact of the Grand Départ and help inform planning to maintain their business during the event.

All BC Network members are registered with Leeds Alert. Leeds Alert is a system used by the Emergency Planning Unit and West Yorkshire Police to provide warning and informing messages (via SMS text or email) and notification of BC Network Events to businesses and organisations in the Leeds area.

4 Corporate Considerations

4.1 Consultation and Engagement

- 4.1.1 External. The BCM Toolkit (original templates and guidance) was shared with the Emergency Planning College and Core Cities for peer review purposes.

Internal. The BCM Toolkit (original templates and guidance) was reviewed and approved by the Corporate Risk Management Group. More recently the Directorate Resilience Groups have provided feedback regarding the revised ISO 22301 template versions.

4.2 Equality and Diversity / Cohesion and Integration

- 4.2.1 All templates and guidance published on the LCC InSite Website have been assessed by the Equality & Diversity Team to check that due regard has been given and that Plain English requirements have been fulfilled.

4.3 Council policies and City Priorities

- 4.3.1 The LCC Business Continuity Policy sets out the requirements placed upon all directorates and services.
- 4.3.2 Business continuity is linked to the outcomes and priorities of the City Priority Plan and Best Council Plan.

4.4 Resources and value for money

4.4.1 No implications.

4.5 Legal Implications, Access to Information and Call In

4.5.1 The Civil Contingencies Act 2004 requires Category 1 responders (local authorities) to maintain plans to ensure that they can continue to perform their functions in the event of an emergency, so far as is reasonably practicable.

4.6 Risk Management

4.6.1 The Corporate Risk LCC2 Council Resilience is one of six 'standing risks' on the Corporate Risk Register "unlikely to ever go away" for which CLT requires quarterly assurances on how the risk is being mitigated and managed.

5 Conclusions

5.1 The information contained within this annual update report on business continuity management arrangements for LCC's critical services demonstrates that Leeds City Council has met or is working towards meeting its statutory duties required under the Civil Contingencies Act 2004. This is being achieved by having in place plans and processes for:

- the continuance and/or recovery of LCC's critical services in the event of an emergency or disruptive incident;
- the identification and development of plans for LCC's 'ordinary' services that are important to the human welfare and security of the community and its environment;
- the assessment of plans for commissioned services delivering key services for vulnerable children and adults;
- the development and roll-out of a School Emergency Plan Template and Guidance Document;
- the review and maintenance of plans;
- exercising and testing of plans;
- providing public awareness/warning and informing of events and disruptions;
- the provision of advice and assistance to business and voluntary organisations.

6 Recommendations

The Committee to note this report for information and receive an annual update detailing progress and achievements in April 2015.

7 Background documents¹

7.1 None.

¹ The background documents listed in this section are available to download from the Council's website, unless they contain confidential or exempt information. The list of background documents does not include published works.