

Report of Deputy Chief Executive

Report to Corporate Governance & Audit Committee

Date: 20th March 2015

Subject: Annual Business Continuity Report

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 Programme (completed September 2013) developed and implemented business continuity plans for all LCC services identified as being 'critical'. Critical services are those that if disrupted would have an impact on human welfare and security of the community and its environment and would require recovery within 24 hours of the disruption occurring.
2. Phase 2 is to develop and implement business continuity plans for all LCC services identified as 'ordinary'.

Ordinary services are those that if disrupted would have an impact on human welfare and security of the community and its environment but do *not* need to be recovered within 24 hours. Phase 2 is work in progress with a completion target date of September 2015.

The work completed in Phase 1 *and to be completed* in Phase 2 provides assurance that LCC is working towards meeting its statutory duties required under the Civil Contingencies Act 2004.

Recommendations

3. The Committee to note that the level of assurance on the adequacy of business continuity management arrangements currently implemented (Phase 1) is good. This is based on the controls and compliance with the requirements of the Civil Contingencies Act 2004 and documented within this report.

4. The Committee to note that Phase 2 development is *working towards* meeting the statutory duties required under the Civil Contingencies Act 2004 with completion of Phase 2 and *full* compliance with the Act expected by September 2015.

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 critical services in Phase 1 *are* compliant with the statutory duties detailed in the Civil Contingencies Act 2004 and that the ordinary services identified in Phase 2 are *working towards* achieving compliance with the Act by September 2015.

2 Background information

- 2.1 The Civil Contingencies Act 2004 made it a statutory duty of all councils to have in place plans and arrangements to be able to continue to deliver critical aspects of their day to day functions in the event of an emergency, to ensure that any impact on the community is kept to a minimum. Such arrangements also support operational interfaces between services where a 'joined-up' or corporate response to an emergency might be required.
- 2.2 In order for LCC to work towards compliance with the statutory duty, a centrally managed Business Continuity Management (BCM) Programme was initiated in 2012. The BCM Programme provides support to managers using the good practice guidance aligned with the international standard ISO 22301.
- 2.3 The BCM Programme comprises of two phases.
- 2.4 Phase 1. This phase was completed in 2013. The scope of Phase 1 was the development of business continuity plans for LCC's most critical services i.e. services that if disrupted would have an impact on human welfare and security of the community and its environment and would require recovery within 24 hours of a disruption occurring. There are currently 63 such services, all in compliance with the statutory duties of the Civil Contingencies Act 2004.

Phase 1 also saw the initiation of assessments completed on commissioned service provider business continuity plans. Confidence with the resilience of such service provider organisations is essential particularly where they are providing front line services for vulnerable children and adults.

Phase 2. This phase is currently *work in progress* and comprises LCC services which 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.

Scoping and initiation of Phase 2 commenced as Phase 1 was completed (September 2013). However, progress with Phase 2 was impacted as a result of the realignment of workload due to the Tour de France 'Grand Départ'.

There are currently 27 'ordinary' services identified as forming the scope of Phase 2 with development working towards achieving compliance with the Civil Contingencies Act 2004 by September 2015.

- 2.5 This report describes 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.

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 part of the core response to most emergencies and as such are subject to the full range of civil protection duties in the Act.
- 3.2 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 *or* when providing a response to an emergency.
- 3.3 Since the launch of the Civil Contingencies Act 2004, LCC has always developed and maintained Business Continuity Plans for its critical services; however this was prior to publication in 2012 of the BS ISO 22301:2012 'Business Continuity Management Systems – Requirements'. Since publication of the standard in 2012, work has progressed to develop Business Continuity Plans in alignment with the good practice guidance contained within ISO 22301 firstly through Phase 1 and currently Phase 2 of Business Continuity Programme. Alignment with ISO 22301 results in a more robust Business Continuity Plan.

Completion of Phase 1 and Phase 2 of the BCM Programme will provide compliance with the Act in relation to the 'critical' and 'ordinary' aspects of day to day functions.

- 3.4 **Alignment with the good practice guidance of ISO 22301.** The international standard specifies the requirements for setting-up and managing an effective business continuity management system. The LCC BCM Toolkit comprises of templates and guidance published on InSite which managers can access to support development of business continuity plans and arrangements. The Toolkit was developed using the good practice guidance from ISO 22301.

The LCC templates and guidance were also adapted for use by private sector organisations in planning for the Tour de France 'Grand Départ'.

- 3.5 **BCM Programme Phase 1.** Phase 1 was completed September 2013. Currently there are 63 business continuity plans in place for LCC's most critical services.

The focus for Phase 1 services going forward is ensuring that business continuity plans remain maintained/up to date. This is completed through a schedule of annual management reviews for each plan. An annual management review is a structured review of the plan by managers responsible for the service. Where significant change to the service has occurred; i.e. organisational change, a more

detailed review may be required. Reminders are centrally issued and progress through to completion is tracked and reported to Directorate Resilience Groups.

Testing and exercising of the plans is the responsibility of the managers from the individual services to plan and execute, though central support can be provided on request. For example a full morning's exercise was recently completed on Phase 1 plans for Citizens & Communities, Strategy & Resources and Legal Services. A range of scenarios were used to test and validate the effectiveness of the plans.

From time to time, opportunities arise for LCC services to test local plans through participation in multi-agency 'themed' testing i.e. Tour de France 'Grand Départ', Pandemic Influenza, Excess Deaths, Temporary Mortuary, Leeds Bradford International Airport etc.

Phase 1 also included development of a School Emergency Plan Template and Guidance Document. Originally produced by Nottinghamshire County Council in 2009, the template and guidance have been fully reworked to include business continuity requirements and the Leeds School Crisis Line. The template and guidance documents were handed-over for approval by Children's Services (February 2014) with final sign-off from Cllr Dowson (July 2014).

- 3.6 **BCM Programme Phase 2.** The scope of services for Phase 2 was identified by the Directorate Resilience Groups and currently totals 27 services (this figure may increase as further services are identified and included in the scope).

To date a total of 13 business impact analyses have been completed and the development of 7 business continuity plans is currently work in progress.

Although the number of services identified for inclusion in Phase 2 differs greatly across directorates, Children's Services have identified the most, owning 44% of all services identified for inclusion in Phase 2. It is reassuring that Children's Services are working towards increasing the resilience of their functions by expanding the number of services covered by business continuity arrangements.

The target completion date for Phase 2 is expected in September 2015 at which point LCC will be *fully* compliant with the statutory duties required under the Civil Contingencies Act 2004.

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'. Assurance is being sought through the assessment of commissioned service provider business continuity plans. An assessment template and process has been developed (aligned to the good practice guidance contained within ISO 22301). To date, a total of 40 assessments have been completed on 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 organisation including recommendations which can be used to inform further development of the business continuity plan. Where provider organisations implement the recommendations, subsequent assessments result in a strengthened business continuity plan.

In the lead-up to the Tour de France 'Grand Départ' two business continuity workshop events were held in the Lord Mayors Banqueting Suite, Civic Hall specifically for providers of Adult Social Care and Children's Services commissioned services. The focus of the event was to raise awareness of the potential impact that the 'Grand Départ' might have operationally for providers of commissioned services and how, by completing some continuity planning, the impact could be mitigated and/or managed. Both events were well attended and received with several commissioned service provider Tour de France 'Grand Départ' business continuity plans assessed in the lead up to the event.

3.7 Provision of advice & assistance to business & voluntary sector 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. This is provided via the LCC Business Continuity (BC) Network.

The BC Network currently has 862 members registered through Leeds Alert.

Leeds Alert is a system used by the Resilience & Emergencies Team and West Yorkshire Police to provide warning and informing messages to businesses and organisations in the Leeds area.

LCC host a twice yearly BC Network Event in the Lord Mayors Banquet Suite, Civic Hall. All those registered with Leeds Alert receive an invitation.

The programme for the most recent event (December 2014) included presentations covering Ebola, Firearms & Weapons Attack and Business Continuity: Best Practice from the Public & Private Sector. The event was very well attended.

A specific BC Network Event was organised for the Tour de France 'Grand Départ' and was also well attended.

3.8 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.

Email, text messaging and use of social media are all tools which are used by the Resilience & Emergencies Team to warn and inform the public of events and incidents in the Leeds area (Leeds Alert, @leedsemergency Twitter account)

During an emergency, the Resilience & Emergencies Team work closely with the Press & Communications Team in providing information to the public.

The Resilience & Emergencies Team manage the Emergency Control Centre (ECC) located at the Town Hall. The ECC plays a vital role as a communication hub during an incident or event, both for internal communication and external with other agencies, such as Police, Fire & Rescue, Yorkshire Ambulance Service and Environment Agency.

The Resilience & Emergencies Team also have an Emergency Control Vehicle which can be deployed to any location in the community where an emergency or event is occurring. The vehicle is equipped to form a mobile communication hub and control point, used by LCC staff and other agencies.

The Resilience & Emergencies Team also maintain information on the leeds.gov.uk website 'Preparing for Emergencies' pages.

4 Corporate Considerations

4.1 Consultation and Engagement

4.1.1 Internal. The services identified for inclusion in Phase 1 and 2 of the BCM Programme were identified and ratified by the Directorate Resilience Groups prior to any developmental work commencing.

4.1.2 External. LCC through the Resilience & Emergencies Team are fully engaged with the West Yorkshire Resilience Forum (WYRF) which through close working helps LCC to meet the statutory obligations as set out in the Civil Contingencies Act 2004.

The WYRF provides strategic leadership for the programme of work that the WYRF sub groups deliver and enables co-operation and sharing of information between responding organisations.

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 Best Council Plan and City ambitions.

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 key functions in the event of an emergency, so far as is reasonably practicable.
- 4.5.2 Many of the LCC services covered by business continuity plans have a duty of care or a regulatory requirement to provide their service. This extends to maintaining services during an emergency or disruptive incident.

4.6 Risk Management

- 4.6.1 The Corporate risks; LCC1 City Resilience and LCC2 Council Resilience are both 'standing' risks on the Corporate Risk Register 'unlikely to ever go away' for which CLT require quarterly assurances on how the risk is being mitigated and managed.
- 4.6.2 The West Yorkshire Community Risk Register provides an assessment of the risks agreed by the West Yorkshire Resilience Forum as a basis for supporting the preparation of emergency and business continuity plans.

5 Conclusions

- 5.1 The information contained within this annual update report on business continuity arrangements demonstrates that LCC through completion of Phase 1 is 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 Phase 1 'critical' services in the event of an emergency or disruptive incident;
 - the assessment of plans for providers of commissioned services delivering key or front line services for vulnerable children and adults;
 - the review and maintenance of plans;
 - exercising and testing of plans;
 - providing public awareness/warning & informing of events and disruptions; and,
 - the provision of advice and assistance to business and voluntary organisations.
- 5.2 Development of plans for the services forming Phase 2 is working towards meeting the statutory duties required under the Civil Contingencies Act 2004. Completion of Phase 2 and *full* compliance with the Act is expected by September 2015.

6 Recommendations

- 6.1 The Committee to note that Phase 1 *and* completion of Phase 2 in September 2015 will provide full compliance for LCC with the statutory duties required by the Civil Contingencies Act 2004.

6.2 The Committee to note this report for information and receive an update detailing progress with Phase 2 in September 2015.

7 Background documents¹

7.1 None.

¹ The background documents listed in this section are available for inspection on request for a period of four years following the date of the relevant meeting. Accordingly this list does not include documents containing exempt or confidential information, or any published works. Requests to inspect any background documents should be submitted to the report author.