
Report of Deputy Chief Executive

Report to Corporate Governance & Audit Committee

Date: 18th March 2016

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. The Civil Contingencies Act 2004 made it a statutory duty of all Category 1 responders (which includes local authorities) to have in place Business Continuity Plans and arrangements to be able to continue to deliver critical aspects of their day to day functions in the event of an emergency.
2. The purpose of this annual report is to provide the Corporate Governance & Audit Committee with assurance relating to the adequacy of business continuity management arrangements currently in place in LCC.

Recommendations

3. The Committee to consider the assurances provided by this report and note that the business continuity arrangements are fit for purpose, up to date, are routinely complied with, have been effectively communicated and are monitored.

1 Purpose of this report

- 1.1 To provide assurance to the Corporate Governance & Audit Committee of the adequacy of the business continuity management arrangements currently in place. The scope of the report includes:
- Maintenance of Business Continuity Plans (Annual Management Review)
 - Directorate Resilience Groups
 - The impact of Storm Eva on LCC's most critical services
 - Commissioned service provider assessments
 - Provision of advice and assistance to business and voluntary sector
 - Public awareness and warning and informing
 - Exercising
- 1.2 To provide assurance that LCC maintains compliance with the statutory duties contained within the Civil Contingencies Act 2004.

2 Background information

- 2.1 The Civil Contingencies Act 2004 made it a statutory duty of all Category 1 responders (which includes local authorities) to have in place Business Continuity Plans and arrangements to be able to continue to deliver critical aspects of their day to day functions in the event of an emergency. Business Continuity Plans have been in place in LCC since the publication of the Act, however in 2012 good practice guidance was published; ISO 22301 'Business Continuity Management System Requirements'.
- 2.2 In 2012, to coincide with the introduction of ISO 22301, a centrally managed Business Continuity Programme was initiated to review LCC's critical services, develop new and refresh existing Business Continuity Plans.
- 2.3 With the support of the Corporate Governance & Audit Committee and Corporate Leadership Team, the Business Continuity Programme was successfully delivered in September 2015. There are currently x83 Business Continuity Plans developed and implemented with each plan being subject to an annual management review in order to maintain currency.
- 2.4 New plans will be developed as further services and functions are identified as critical.

3 Main issues

- 3.1 Maintenance of Business Continuity Plans (Annual Management Review)
- 3.2 Once developed and implemented, Business Continuity Plans are subject to an annual management review which is triggered by the date that the plan was originally approved/published. The review (completed by the management team responsible for the Business Continuity Plan) provides the opportunity for

management to evaluate the continuing suitability, adequacy and effectiveness of the plan. Experience following a response to a disruptive incident should also inform the review, for example; was the plan activated, and if activated how effective was it? It is not necessary to review all elements of the plan at each review, and the review process may take place over a period of time.

- 3.3 Completion of the annual management review may result in the identification of changes to the scope of the plan, improvements required to enhance the plans effectiveness and updates to contact lists and changes to associated controls.
- 3.4 Of the x83 Business Continuity Plans implemented, x77 have completed an annual management review in the last 12 months with x6 services currently undertaking a review at the time that this report was produced.
- 3.5 The annual management review is coordinated and monitored centrally by the Resilience & Emergencies Team with reminders issued and outstanding reviews chased.
- 3.6 There are no concerns relating to the annual management review process and ongoing maintenance of Business Continuity Plans.
- 3.7 **Leeds School Emergency Plan.** As a result of recent bomb hoaxes at schools throughout England (including 6 in Leeds) plans are in place to review the Leeds School Emergency Plan and Guidance Document. The documentation includes sections for schools to complete their own emergency and business continuity plans. The review has been initiated by the Schools Inspector from West Yorkshire Fire & Rescue Service and includes all five West Yorkshire Local Authorities. The inspector has recognised that the LCC documentation is “far in front of other districts” and could positively contribute both to West Yorkshire Fire & Rescue Service and all of the West Yorkshire Local Authorities to achieve a co-ordinated and robust approach to emergency and business continuity planning. The initial review meeting is to be held 24 February 2016.
- 3.8 **Directorate Resilience Groups**
- 3.9 Each directorate has a Directorate Resilience Group to oversee and contribute to the implementation of business continuity and emergency planning arrangements. The aim of the Directorate Resilience Groups is to enhance the resilience and response of the directorate, organisation and city to disruptive events and emergencies. As a minimum, meetings are held every six months, unless otherwise requested i.e. after an incident, or to deliver a specific piece of work. The Directorate Resilience Groups report into their Directorate Leadership Team.
- 3.10 In relation to business continuity, each Directorate Resilience Group ensures that annual management reviews are completed for the Business Continuity Plans within their directorate. The Directorate Resilience Groups also have a role in identifying new service areas and functions that require development of Business Continuity Plans.
- 3.11 Currently all directorates have a fully functioning Directorate Resilience Group, meeting regularly with good levels of engagement, priority setting and identifying and progressing resilience issues.
- 3.12 **The impact of Storm Eva on LCC’s most critical services**

- 3.13 On Saturday 26 and Sunday 27 December 2015 Leeds experienced an unprecedented flooding event in various parts of the city resulting in a significant impact on residents and businesses in the areas affected.
- 3.14 The impact of Storm Eva on LCC's most critical services was fortunately minimal, with only one significant impact. The four examples which follow are the services which did activate their Business Continuity Plans (other critical services were affected to varying degrees but did not need to invoke plans):

Assisted Living Leeds (Adult Social Care). Prior to Storm Eva, Assisted Living Leeds were in the process of merging their two existing Business Continuity Plans (Leeds Community Equipment Store *and* Tele Care) into a single plan for Assisted Living Leeds. Although this work had not been completed by the time Storm Eva impacted the service, the existing plans were invoked and proved beneficial particularly in relocating the Tele Care service to its disaster recovery site at Cross Green. Due to flooding, communications essential to the operation of Tele Care failed. Around 16000 people are supported by Tele Care, however due to appropriately implemented business continuity planning arrangements no calls to the Tele Care service were missed during and following the flooding. Leeds Community Equipment Service was relocated to vacant premises at Roseville Enterprises and the efforts of staff and the salvage of equipment ensured as normal service as possible was maintained – there was no impact on hospital discharges over the Christmas period. A project team was quickly established to manage business continuity and site recovery and their work going forward will include completion of the Assisted Living Leeds Business Continuity Plan taking account of lessons to be learned from the incident.

Emergency Duty Team (Adult Social Care). The Emergency Duty Team activated their Business Continuity Plan during two periods of difficulty resulting from Storm Eva. In both cases this was in relation to staff shortages. The Business Continuity Plan was invoked and supported timely liaison between officers, management and partner agencies to provide Leeds with a continuing social care service out of hours.

ICT Services; Service & Infrastructure (Strategy & Resources). The flooding resulting from Storm Eva affected two Vodafone data centres located in Leeds and resulted in a loss of power to both. Eventually, the UPS batteries supporting the data centres failed, taking them off-line. This resulted in LCC (and many other agencies and partners in the city) losing all internet connectivity causing the loss of internet, website and email functionality. On 27.12.15 Business Continuity and ICT Disaster Recovery Plans were invoked and a decision made to fail-over services to Virgin Media. Services began to be restored during the afternoon of 28.12.15. From a positive note, the incident provided confidence in the ability of staff (and business continuity/disaster recovery arrangements) to be able to successfully recover from such a significant incident including fail-over of services to an alternative provider. The experience of Storm Eva will be used to inform a review of the Service & Infrastructure business continuity/disaster recovery arrangements.

ICT Services also supported Assisted Living Leeds with invoking their Business Continuity Plan to relocate Tele Care to Cross Green and reinstating the Leeds Community Equipment Service network and telephony systems to Roseville Road.

Cleaning & Guarding Services (Civic Enterprise Leeds). The service was involved with the response in the aftermath of Storm Eva with teams helping the clear-out/clean-up and relocation of Assisted Living Leeds and also at Thwaite

Mills. The impact of the response did put the service behind with business as usual workload; however workload was prioritised as per the Business Continuity Plan with resource diverted to complete critical work as usual.

- 3.15 A summary report of the impact of Storm Eva on LCC's most critical services has been produced.
- 3.16 The message from the experience of Storm Eva is the importance of continuing to maintain the annual management review of business continuity plans ensuring that plans are maintained up to date and at readiness to manage any unforeseen incident.
- 3.17 **Commissioned service provider assessments**
- 3.18 Since 2013, annual assessments on the quality of commissioned service provider Business Continuity Plans have been completed on behalf of Adult Social Care. The assessments are completed using the good practice guidance contained within ISO 22301 'Business Continuity Management System Requirements'. The assessments are documented and include comments and recommendations which are returned to the provider organisation. Each assessment is rated High (green), Medium (amber) and Low (red) relating to the level of confidence achieved. If the provider organisation implements the recommendations, then subsequent assessments will show an improved level of confidence rating. To date, x58 assessments have been completed covering x35 provider organisations for front line accommodation based services for people with learning disabilities, physical and sensory impairment, mental health and residential care and supported living services.
- 3.19 Those assessments completed year on year nearly all show an improvement in the quality of the Business Continuity Plans. This provides Adult Social Care with the confidence that our commissioned front line service providers are developing and maintaining continuity arrangements to be able to effectively manage emergency and disruptive incidents and maintain services.
- 3.20 Other directorates such as Children's Services and Public Health complete their own review of commissioned service provider business continuity arrangements in line with LCC procurement contract terms and conditions.
- 3.21 **Provision of advice and guidance to business and voluntary sector**
- 3.22 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 over x1000 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).
- 3.23 LCC host twice yearly BC Network Events in the Lord Mayors Banqueting Suite. All registered with Leeds Alert receive an invitation. The most recent BC Network Event was in December 2015 at which there were around 150 attendees. Topics covered by guest speakers included; Electricity Resilience (Northern Power Grid) ID Verification (North East Counter Terrorism Unit), Business Support (West Yorkshire Fire & Rescue Service) and Business Interruption (Portakabin Ltd).
- 3.24 An additional event in conjunction with the West Yorkshire Resilience Forum was held in January 2016 specifically relating to Cyber Resilience. This was a full day

event providing an introduction to cyber resilience and included a mix of presentations and discussion.

3.25 Leeds Alert/BC Network registrations continue to increase along with attendance at BC Network Events providing compliance with the provision of advice and guidance requirements of the Civil Contingencies Act 2004.

3.26 Another key forum for providing advice and guidance is through the Local Resilience Group meetings. The meetings bring together representation from partner organisations and provide a forum to facilitate communication and partnership working in order to enhance the resilience of Leeds and potentially the wider West Yorkshire Combined Authority area. Meetings are chaired by LCC and held 4 times per year. The membership is open and fluid and can include; West Yorkshire Police, West Yorkshire Fire & Rescue, British Transport Police, Public Health England, Leeds Community Healthcare, Leeds Teaching Hospitals Trust, Yorkshire Ambulance Service, North East Counter Terrorism Unit, Environment Agency, Leeds & Bradford International Airport, Network Rail, Yorkshire Water, Northern Powergrid and representatives from other organisations as required.

3.27 **Public awareness and warning and informing**

3.28 The Civil Contingencies Act 2004 includes public awareness and warning and informing as two distinct duties for Category 1 responders – advising the public of risks before an emergency and keeping it informed during an emergency. In order to comply with the requirements of the Civil Contingencies Act 2004, the Resilience & Emergencies Team have the following arrangements in place to warn and inform the public:

- A number of distribution groups established for email and text messaging and the Leeds Alert @leedsemergency Twitter account are all used to warn and inform the public of events and incidents in the Leeds area. The distribution groups and Twitter were used to communicate messages relating to flood warnings during Storm Eva.
- Information published on the leeds.gov.uk website 'Preparing for Emergencies' pages.
- The Resilience & Emergencies Team undertake a number of public engagement events during the course of the year, usually at One Stop Centres and Markets, and also at the Emergency Services Show and Safety Ranger events in conjunction with the West Yorkshire Fire & Rescue Service.

3.29 The Resilience & Emergencies Team also liaise with the Press & Communications Team during an incident to provide information to the public and the media following correct protocols.

3.30 **Exercising**

3.31 The individual managers owning the Business Continuity Plans are responsible for testing and exercising their own plans and arrangements. However, Directorate Resilience Groups also arrange exercises involving scenarios that encompass and test several service areas and functions. In the last 12 months such exercises have been held for:

- Citizens & Communities, Strategy & Resources and Legal Services with a multiple scenario including loss of access to buildings, shortage of staff and a cyber-attack causing loss of ICT.

- City Development specifically for Highways Network Management with a severe weather scenario (snow/high winds) and a leaking chlorine tanker involving a Police cordon/road closures.

- 3.32 An exercise is currently being designed to test the new Assisted Living Service Business Continuity Plan and arrangements, likely to focus on flooding as a scenario, including loss of premises and staff.
- 3.33 Recently a LCC Gold and Silver exercise was held to test the incident management structure in response to, and recovery from a major incident using a terrorist firearms attack scenario. As well as the primary aim of testing LCC Gold and Silver command, control and communication arrangements, both the response and recovery elements included opportunity for managers to consider how LCC's critical services might respond to as well as maintain services during such an incident.
- 3.34 Representatives from LCC attended a national Local Authority Cyber Attack exercise facilitated by the LGA (20.01.16). This provided a morning of presentations on cyber resilience and a three scenario exercise during the afternoon. A LCC Cyber Resilience Working Group has been established to take forward the learning from the exercise.
- 3.35 An emergency incident could require a multi-agency response involving Police, Fire & Rescue, NHS, and Environment Agency etc. In preparation for this a number of training events have been attended, such as Joint Decision Model/Shared Situational Awareness, and Joint Emergency Services Interoperability Principles (JESIP). Following on to test the multi-agency response there has been a number of exercises held (exercises Bremner, Tannery and Autumn) with planning currently underway for two further multi-agency exercises (exercise Leyland and Linus in February and March 2016). Although these exercises are focussed on emergency response, there are opportunities to consider business continuity arrangements, particularly for LCC services likely to be required to provide a response.
- 3.36 Playing into the exercises (both LCC and multi-agency) provide valuable learning in a safe environment, an opportunity to develop participants competency and awareness and identify areas for improvement including further development of Business Continuity Plans and arrangements.

4 Consultation and Engagement

- 4.1 There are no proposals contained within this report that have a significant impact on communities.
- 4.2 There are no proposals in relation to amendments required to policies comprising the Budget and Policy Framework.

5 Equality and Diversity / Cohesion and Integration

- 5.1 Delivery and on-going development and maintenance of the BC Programme takes account of any potential impacts for staff and/or customers who may have general or specific requirements - in particular those characteristics protected by the Equality Act 2012.

6 Council policies and the Best Council Plan

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

7 Resources and value for money

- 7.1 There are no financial or resource implications arising from this report.

8 Legal Implications, Access to Information and Call In

- 8.1 The Civil Contingencies Act 2004 requires Category 1 responders (which includes local authorities) to maintain Business Continuity Plans and arrangements to ensure that they can continue to perform their key services and functions in the event of an emergency, so far as is reasonably practicable.
- 8.2 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.

9 Risk Management

- 9.1 The corporate risks, LCC 1 City Resilience and LCC 2 Council Resilience are both 'standing' risks on the Corporate Risk Register 'unlikely to ever go away'. CLT require quarterly assurances on how these risks are being mitigated and managed.
- 9.2 The West Yorkshire Community Risk Register compiled and maintained by the West Yorkshire Resilience Forum informs the development of emergency and business continuity plans and arrangements.

10 Conclusions

- 10.1 The information contained within this Annual Business Continuity Report aims to demonstrate to the Corporate Governance & Audit Committee that: LCC continues to have arrangements that are up to date, fit for purpose, effectively communicated, routinely complied with and monitored and that the arrangements meet LCC's statutory duties as required by the Civil Contingencies Act 2004.

This is being achieved by:

- Implementation of Business Continuity Plans for LCC's most critical services and functions.
- Maintaining the currency of Business Continuity Plans through the annual management review cycle.
- Active engagement of Directorate Resilience Groups.
- Learning lessons from emergency incidents and disruptions.
- Rigorous assessment of commissioned service provider Business Continuity Plans.
- Hosting BC Network Events for the provision of advice and assistance to businesses and voluntary sector organisations.

- An established and growing warning and informing system in Leeds Alert.
- A rolling and developing cycle of public awareness initiatives.
- Engagement with and learning from exercises and training events.

11 Recommendations

11.1 The Committee to note this report for information.

12 Background documents¹

12.1 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.