

**Report of Director of Resources and Housing**

**Report to Corporate Governance & Audit Committee**

**Date: 7<sup>th</sup> April 2017**

**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 or disruptive incident.
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 the council.

**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.
- 1.2 To provide assurance that Leeds City Council (LCC) maintains compliance with the statutory duties contained within the Civil Contingencies Act 2004. The scope of the report includes current progress relating to:
- Risk awareness
  - Reviewing and maintaining Business Continuity Plans
  - Exercising and training
  - Directorate Resilience Groups
  - Supporting commissioned service providers
  - Provision of advice and assistance to business and voluntary sector
  - Public awareness and warning and informing
  - Collaborative arrangements

## **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 or disruptive incident. Business Continuity Plans have been developed in LCC since publication of the Act with a total of 79 Business Continuity Plans currently implemented for services identified as critical.
- 2.2 New Business Continuity Plans will be developed as further services and functions are identified and assessed as critical.

## **3 Main issues**

### **3.1 Risk awareness**

- 3.1.1 To inform maintenance of existing and development of new Business Continuity Plans it is important that a focus is kept on risks that could threaten the performance of LCC's critical services and functions. As risks change or new risks are identified, Business Continuity Plans may need updating with additional measures to mitigate the (new) risks.
- 3.1.2 The West Yorkshire Community Risk Register which is compiled and maintained by the West Yorkshire Local Resilience Forum (of which LCC is a member) provides a source of risks which is used to inform development of Business Continuity Plans.
- 3.1.3 The West Yorkshire Local Resilience Forum 'Risk & Capabilities Sub Group' also proactively horizon scans for emerging risks which are reported back through appropriate channels such as the Directorate Resilience Groups for action to be progressed. Liaison with LCC's Head of Business Planning & Risk takes place in relation to West Yorkshire Local Resilience Forum risk updates.

- 3.1.4 There are also more specific internal or business risks that could cause loss or disruption of critical services; again the Directorate Resilience Groups play a key role in identifying and planning to mitigate such risks.
- 3.1.5 The Corporate Risks, in particular 'City Resilience' and 'Council Resilience' are reviewed on a quarterly basis to ensure that controls and actions are updated. A new Corporate Risk 'Major Cyber Incident' has recently been approved by the Corporate Leadership Team and will be discussed with Directorate Resilience Groups to inform development of Business Continuity Plans.

### **3.2 Reviewing and maintaining Business Continuity Plans**

- 3.2.1 Business Continuity Plans are revised each time a change occurs to the service or function which impacts business continuity arrangements. For example, this might be as a result of organisational change, or a new telephony system both are currently being implemented in LCC, requiring all Business Continuity Plans to be revised. Change could also result from learning lessons from a response to a disruptive incident or findings from an exercise.
- 3.2.2 However, as a minimum, each Business Continuity Plan is subject to a rolling annual review. The review evaluates the continuing suitability, adequacy and effectiveness of the Business Continuity Plan and is centrally co-ordinated by the Resilience & Emergencies Team direct with the managers responsible for the service. Of the 79 Business Continuity Plans in place, 67 have completed an annual review with 12 currently work in progress.

There are no current concerns relating to the annual management review process and on-going maintenance of Business Continuity Plans.

### **3.3 Exercising and training**

- 3.3.1 The individual managers owning the Business Continuity Plans are responsible for testing and exercising their own plans and arrangements, however centrally provided support can be provided by the Resilience & Emergencies Team if required. A good example of recent testing and exercising is with Assisted Living Leeds in response to a request for support to test their revised Business Continuity Plan post Storm Eva revisions. During summer 2016, the Resilience & Emergencies Team along with colleagues from the Environment Agency supported the Assisted Living Leeds management team with the delivery of 3 scenario based desktop exercises and a walk-through of the plan (also attended by West Yorkshire Fire & Rescue). The exercises successfully identified further revisions which were used to inform final development of the Business Continuity Plan.
- 3.3.2 For some emergencies or disruptive incidents impacting a wide area a multi-agency response might be required involving Police, Fire & Rescue, NHS, and Environment Agency etc. Multi-agency training and exercising continues to be available through the West Yorkshire Local Resilience Forum to enhance joint working arrangements. Joint Emergency Services Interoperability Principles (JESIP) training continues to be offered to partners by West Yorkshire Police (next courses scheduled March 2016) with multi-agency exercises continuing to be delivered through the West Yorkshire Local Resilience Forum.

Recent multi-agency exercises include Exercise Tempest, a scenario relating to a wide area response to Flood Alerts and Warnings which was attended by officers from several LCC services.

### **3.4 Directorate Resilience Groups**

- 3.4.1 Each directorate has a Directorate Resilience Group to oversee and contribute to the implementation of business continuity and emergency planning arrangements and to work towards enhancing the resilience and response capabilities of the directorate, organisation and city.
- 3.4.2 Directorate Resilience Groups meet as a minimum every six months (some quarterly) and levels of ownership and engagement is good across all directorates.
- 3.4.3 As a result of revisions to LCC's organisational shape which will come into effect in April 2017, some Directorate Resilience Groups will need to be remodelled. For example due to Public Health merging with Adult Social Care and the creation of a new Communities & Environment directorate, existing Directorate Resilience Groups will need to be reconfigured. It is also proposed that a Central Functions Directorate Resilience Group is established.
- 3.4.4 The changes required have been raised at CLT to ensure that Directors are aware of and fully support the proposed changes. The changes are also currently being discussed at Directorate Resilience Group Meetings. The proposed Directorate Resilience Group structure is:
- Central Functions (including Resources, Legal and Civic Enterprise Leeds)
  - Communities & Environment (including Housing)
  - Adults & Health
  - Children & Families
  - City Development
- 3.4.5 The changes will (for some Directorate Resilience Groups) result in the need for new chairpersons and attendees to be identified and appointed. Directorate Resilience Groups and Business Continuity Plans will be further impacted by the number of senior staff leaving the organisation in 2016/17 on early leaver's initiative/retirement.
- The changes to Directorate Resilience Groups will be a phased implementation during 2017 to provide assurances that current directorate resilience and business continuity arrangements are maintained throughout any period of transition.
- 3.4.6 Besides supporting the review process for Business Continuity Plans, Directorate Resilience Groups also have ownership of their entries in the LCC Emergency Management Plan. The LCC Emergency Management Plan (formerly the Emergencies Handbook) was completely reviewed during 2016 as per the lessons to be learned from Storm Eva. The Directorate Resilience Groups took a key role in the review and are responsible for maintaining their entries in the plan.

- 3.4.7 Directorate Resilience Groups ensure that officers undertaking specific roles as documented in the Emergency Management Plan have the required skills, experience and abilities to be able to provide an effective response whether to an emergency or business continuity incident.

### **3.5 Supporting commissioned service providers**

- 3.5.1 In April 2017, the Resilience & Emergencies Team is to provide business continuity inputs into Adult Social Care Provider Forums. The forums are for providers of accommodation based services for people with mental health, physical sensory impairment and learning disabilities.
- 3.5.2 The inputs are aimed at providing good practice guidance/hints and tips to help providers develop new and/or improve their current organisational business continuity arrangements.
- 3.5.3 An additional input/workshop is to be delivered to officers from Adult Social Care Strategic Commissioning to help develop greater understanding of the business continuity process so that officers are better equipped to respond directly to any queries raised by provider organisations.

### **3.6 Provision of advice and assistance to business and voluntary sector**

- 3.6.1 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.
- 3.6.2 Key to provision of advice is the 'Leeds Alert/Business Continuity Network Events' organised by the Resilience & Emergencies Team. The network events are held twice yearly and offer those attending the event an opportunity to hear presentations from business continuity practitioners covering a wide range of topics to help build organisational resilience. The event continues to attract a high standard of presenters and as a result is well attended. Invitations to the event are issued to all organisations registered with Leeds Alert.
- 3.6.3 The Leeds Alert Warning & Informing System (maintained by the Resilience & Emergencies Team) provides messages to businesses and organisations warning of events and/or incidents that might impact the Leeds area. Events and/or incidents include severe weather, transport disruption, police cordons/road closures, protests/marches etc. The Leeds Alert messaging system keeps organisations well informed and helps them to plan and mitigate any impact on their business and/or operations. Registration to Leeds Alert currently stands at 1,202 persons from a range of small medium and large businesses.
- 3.6.4 A further forum providing advice and assistance is the Leeds Resilience Group. Quarterly meetings are attended by the council and a range of partners including West Yorkshire Police, West Yorkshire Fire & Rescue Service, Yorkshire Ambulance Service, NHS, Environment Agency, British Red Cross, Leeds Bradford International Airport, British Transport Police, Rail Track and representatives from the utility providers. The forum offers the opportunity to share progress and issues and supports closer working between partner organisations.

### **3.7 Public awareness and warning and informing**

3.7.1 The Civil Contingencies Act 2004 requires local authorities to advise the public of risks before an emergency, and keep the public informed during an emergency. The Resilience & Emergencies Team have the following arrangements in place to warn and inform the public:

- Leeds Alert Twitter account @leedsemergency . There are currently 6,399 followers.
- A range of information and guidance published on the leeds.gov.uk website 'Preparing for Emergencies' pages.
- The Resilience & Emergencies Team have a presence at a range of ad hoc public engagement events during the course of the year.

These have included One Stop Centres, Safety Ranger events for school children (year 6) in conjunction with the West Yorkshire Fire & Rescue Service and also an information stand at the annual Emergency Services Show.

3.7.2 The Resilience & Emergencies Team liaise with the Communications & Marketing Team during incidents to support them with the provision of information to the public and media following correct protocols. This support extends to out of hours.

Liaison with the Communications & Marketing Team provides a wider reach in pushing information out to the public via other reporting arrangements.

### **3.8 Collaborative arrangements**

3.8.1 *Externally*, the Civil Contingencies Act 2004 promotes collaborative working arrangements amongst Category 1 responders in order to fulfil their business continuity management duty. The benefits of collaborative working have been proven when disruptive incidents have a cross border impact such as in the event of severe weather. The West Yorkshire Local Resilience Forum leads on and develops collaborative arrangements with the other West Yorkshire local authorities and partner organisations whilst on a more local level the Leeds Resilience Group fulfils a very local role.

Wider regional collaborative working is co-ordinated through the Yorkshire and Humberside Regional Business Continuity Forum.

3.8.2 *Internally*, collaborative arrangements would be triggered during a response to a major business continuity incident by the invocation of the 'LCC Emergency Management Plan'. Internal incidents could be as a result of a significant disruption of ICT, industrial action or a power outage which would require the council to put in place arrangements to be able to respond to and recover from such an incident. Each Directorate Resilience Group has identified several officers to undertake the role of Directorate Liaison Officer who will co-ordinate resources in response to an incident or disruption. A response might require cross directorate collaboration. All Directorate Liaison Officers received additional training in December 2016.

LCC has identified Human Resources, ICT Services and Facilities Management as core responders who would be required to support a response to any internal incident. Officers from these teams with specialist skills and experience will be part of the Emergency Management Team.

## **4 Corporate Considerations**

### **4.1 Consultation and Engagement**

- 4.1.1 There are no proposals contained within this report that have a significant impact on communities.
- 4.1.2 Internal. The services identified as critical and requiring development of Business Continuity Plans were identified and ratified by the Directorate Resilience Groups prior to any developmental work commencing.
- 4.1.3 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.

### **4.2 Equality and Diversity / Cohesion and Integration**

- 4.2.1 The on-going development and maintenance of the business continuity 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 Equalities Act 2012.

### **4.3 Council policies and the Best Council Plan**

- 4.3.1 The LCC Business Continuity Policy sets out the business continuity 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 i.e. 'keeping the city safe' encourages investment and visitors and 'a strong economy and compassionate city' by looking after vulnerable people in an emergency through business continuity arrangements.

### **4.4 Resources and value for money**

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

### **4.5 Legal Implications, Access to Information and Call In**

- 4.5.1 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.
- 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 This report provides assurance on the arrangements within the council and partners across the city and region to manage business continuity risks. These arrangements are captured within the corporate risks on 'City Resilience' and 'Council Resilience' and reported quarterly to the Corporate Leadership Team and annually to the Executive Board.
- 4.6.2 In addition the West Yorkshire Community Risk Register compiled and maintained by the West Yorkshire Local Resilience Forum informs the development of emergency and business continuity plans and arrangements.

## **5 Conclusions**

5.1 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:

- Continued monitoring and identification of risks and the development of measures to mitigate the risks should they occur.
- Continued review and revision of Business Continuity Plans for LCC's most critical services and functions through the annual management review cycle.
- Participation in exercising and training both internally and externally with partner agencies.
- Maintaining directorate engagement with and ownership of business continuity arrangements through the Directorate Resilience Groups.
- Providing guidance and support to commissioned service providers in relation to business continuity.
- Provision of business continuity advice and assistance to businesses and the voluntary sector.
- Maintaining effective systems for public awareness and warning and informing.
- Development of new and enhancing existing collaborative working arrangements with partner organisations.

## **6 Recommendations**

6.1 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.

## **7 Background documents<sup>1</sup>**

7.1 None.

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<sup>1</sup> 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.