

Report of Director Resources & Housing

Report to Corporate Governance & Audit Committee

Date: 22nd March 2019

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 to be able to continue to deliver critical aspects of their day to day functions in the event of an emergency or disruptive incident. Category 1 responders are likely to be at the core of the response to most emergencies and along with Local Authorities includes Police, Fire & Rescue, NHS, Ambulance Service and Environment Agency etc.
2. The purpose of the annual report (published since 2013) is to provide the Corporate Governance & Audit Committee with assurances 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 a forward look at some of the developments and initiatives planned and proposed to ensure that the council's business continuity arrangements continue to maintain pace with changes to risk and business continuity good practice guidance.
- 1.3 To provide assurance that Leeds City Council (LCC) is meeting the regulations and non-statutory arrangements of the Civil Contingencies Act 2004.
- 1.4 The scope of the report includes progress relating to:
 - Risk awareness & horizon scanning
 - Reviewing and maintaining Business Continuity Plans
 - Exercising & testing of Business Continuity Plans and arrangements
 - Directorate Resilience Groups
 - Supporting commissioned service providers
 - Provision of advice and assistance to business and voluntary sectors
 - 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. Business Continuity Plans are documented procedures that guide organisations to respond, recover, resume and restore the continuity of prioritised services and functions in the event of an emergency or disruptive incident.
- 2.2 Leeds City Council initiated a Business Continuity Programme to coincide with the publication of BS ISO 22301:2012 'Business Continuity Management Systems – Requirements'. The programme was successfully completed in September 2015 and transferred into the business as usual activities of the Resilience & Emergencies Team.
- 2.3 There are currently 79 Business Continuity Plans owned and maintained by services and functions across the 5 LCC directorates.

3 Main issues

3.1 Risk awareness and horizon scanning

- 3.1.1 Risk awareness and analysis is essential to inform both council and city resilience. Identification of the risks (threats and hazards) that could impact the performance of LCC's prioritised services and functions informs development of mitigating arrangements which includes Business Continuity Plans.
- 3.1.2 It is important to have robust risk awareness and horizon scanning arrangements to identify new risks as well as learning from past experiences which include activation of Business Continuity Plans and outcomes from exercising/testing and learning from incidents both locally and nationally.
- 3.1.3 A recently introduced channel for horizon scanning and sharing information is the establishment of the West Yorkshire Resilience Forum Business Continuity Sub Group. The group meets quarterly and links in with the long established Yorkshire & Humber Business Continuity Forum. Together, the two forums enable sharing of risk and business continuity expertise from across the wider region.
- 3.1.4 There is a 'top-down' approach in the UK for managing risks. At the top is the National Risk Assessment which provides the evidence base of all risks which the UK faces. The National Risk Assessment is published by the Cabinet Office and revised and republished every three years. The National Risk Assessment is used by the West Yorkshire Resilience Forum to identify the risks specific to West Yorkshire. The risks identified are included in the West Yorkshire Community Risk Register which is publicly accessible from the West Yorkshire Police Website. The 2018 Annual Business Continuity Report noted that the review of the West Yorkshire Community Risk Register was work in progress. The review was completed and the risk register republished in September 2018. The key risks facing West Yorkshire are being developed into an interactive e-Book from which the public can access further information and advice on risk mitigation by simply clicking on a link which can be embedded in partner websites and electronic documentation.

To view the e-Book on your mobile telephone or other device, click the following link: bit.ly/wyrisks2019

When launched, the ease of accessibility to the e-Book and information within aims to help communities to improve their preparedness and resilience.

- 3.1.5 The LCC Corporate Risk Register contains two risks which have business continuity implications, 'City Resilience – Risk of significant disruption in Leeds' and 'Council Resilience – Risk of significant disruption to Council services'. The recent review of both risks includes consideration re the uncertainty relating to the terms of the UK's departure from the EU with the risks referencing LCC's current planning and preparedness arrangements for the implications of a potential no-deal EU Exit (BREXIT). The Risk Register additionally has "Major ICT Failure" as a risk, with detailed quarterly reporting against it.
- 3.1.6 Planning for a potential no-deal EU-Exit is focussing on recovery rather than response (though there are likely to be 'spikes' along the Brexit 'journey' where an urgent response will be required to address issues arising).

A series of risk workshops have been facilitated (Infrastructure & Supplies, Economic Development, and Community Impact) to help identify potential risks. The output from each workshop informs development of the 'Strategic City Recovery Plan' which will be reported separately to the Corporate Governance & Audit Committee.

- 3.1.7 The Corporate Risks are fully reviewed on a quarterly basis to include commentary regarding progress and issues. A detailed 'Annual Corporate Risk Management Report' is produced by LCC's Intelligence & Policy Service for the Executive Board's consideration. Assurance on the council's risk management arrangements are provided annually to the Committee.
- 3.1.8 The 2018 Annual Business Continuity Report noted the 11 recommendations from the 'Independent Peer Challenge: London Local Government's Collective Resilience Arrangements'. Although the recommendations were London focussed, where applicable, the 11 recommendations provided a self-assessment opportunity for LCC to measure against. The outcome of the assessment evidenced that LCC has developed a good standard of council resilience and organisational response with the peer challenge providing some new insights highlighting the need for clarity, simplification and some strengthening of current LCC plans and arrangements. The actions considered applicable to LCC along with actions and recommendations from other reports such as Kerlake are included in and progressed through the 'LCC Organisational Resilience Improvement Plan'.

3.2 Reviewing and maintaining Business Continuity Plans.

- 3.2.1 Business continuity is well embedded within LCC with 79 services currently identified as being critical or prioritised, each having a Business Continuity Plan implemented. Although the figure is the same as that reported in the 2018 Annual Business Continuity Report, there has been changes at directorate level, due to some closely related plans being combined and the development of some new plans. For instance Children & Families has seen a reduction from 23 to 21 plans and Resources & Housing a reduction from 25 to 23, whilst Communities & Environment has increased in number from 12 to 16 maintaining the 79.
- 3.2.2 Services and functions identified as critical are those that if disrupted would have an impact on human welfare, security, the environment, finance, legal or reputation and would require recovery within a specified timescale (usually within 24 hours or less). Criticality is assessed through completion of a Business Impact Analysis.
- 3.2.3 Each Business Continuity Plan contains arrangements for loss of staff, loss of buildings and premises, loss of information communication and technology, and loss of key suppliers and supplies. However, the content of each plan will differ due to the nature of the service or function and its specific requirements. Each plan also contains a comprehensive key contact list.
- 3.2.4 As a minimum each plan is subject to an Annual Review, however plans should be reviewed and revised each time a change to the service occurs. Common changes triggering a review of Business Continuity Plans include change of work

premises (buildings and accommodation), changes to key contacts list due to staff movers and leavers or changes to suppliers etc.

3.2.5 Due to the implications of a no-deal EU-Exit, all owners of Business Continuity Plans have been requested to review their plans for any potential impacts. The request has resulted in a number of plans being revised in preparation to mitigate the potential impact of a no-deal exit, however as no-deal implications become clearer beyond 29 March the number of plans being revised is likely to increase.

3.2.6 Besides the annual review, learning from recent events and incidents both local and national is used to inform the continual development of Business Continuity Plans. The heavy snow fall which occurred last February/March had managers revisiting their severe weather arrangements and the Salisbury 'novichok' nerve agent attack last March had managers giving greater consideration to loss of access to premises for a prolonged period. The nationwide O2 outage on the 6th December 2018 affecting mobile data and voice calls, our Digital Information Service (DIS) stayed in contact with O2 throughout the day for updates and followed the Major Incident Management internal process to inform staff across the council.

3.3 Exercising & testing of Business Continuity Plans and arrangements.

3.3.1 The Committee, in response to the 2018 Annual Business Continuity Report raised interest relating to the type and frequency of exercising, particularly multi-agency exercising. It can be reported that the previous 12 months have seen an increase in exercising, both internal to LCC (directorate and service specific) and external multi-agency exercising with West Yorkshire Resilience Forum partners. Although the multi-agency exercises had a focus on emergency response, many of the scenarios progressed into recovery with business continuity implications. A flavour of some of the exercises are noted in the following paragraphs.

3.3.2 In the spirit of 'resilience is everyone's business', managers and officers owning LCC's Business Continuity Plans are responsible for exercising and testing their own plans and arrangements. However, the Resilience & Emergencies Team can offer support in developing and delivering scenario-based table top exercises. In February 2019, an offer was extended to all 79 critical services for support with exercising plans. The exercise scenarios can be generic or more specific to the service, or a mix of both if required. Early expressions of interest received to date show a positive response for support covering a range of critical services and functions.

3.3.3 The Leeds Fuel Plan was reviewed, revised and exercised in August 2018, which proved good timing with concerns re fuel disruption being identified as a potential issue should a no-deal EU-Exit occur. There are a series of Designated Fuel Stations located across Leeds from where vehicles issued with a temporary vehicle logo/permit can draw fuel. Work is ongoing to identify vehicles which support delivery of LCC's critical services to be issued with the permits.

3.3.4 In September 2018 the 'Leeds Outbreak Plan' was exercised (Exercise Bevan). The aim of the city-wide health and social care exercise was to test and validate the processes, arrangements, roles and responsibilities outlined within the plan.

The scenario was an outbreak of diphtheria. If a health outbreak occurred in Leeds there would be significant business continuity issues, particularly relating to loss of staff whether directly affected by the outbreak or absent from work whilst caring for dependents. There were a number of learning points identified which were used to inform final development and subsequent sign-off and approval of the plan.

- 3.3.5 Multi-agency exercising continues to be scheduled through the West Yorkshire Resilience Forum delivering at least one multi-agency 'gold' exercise per year. The exercises test plans at West Yorkshire level and provide an opportunity in a safe environment to challenge decision making of senior representatives from partner organisations. During 2018, two multi-agency 'gold' exercises were held. The first had a scenario based around a flu pandemic, and the second was a recovery scenario following a major terrorist incident in Leeds city centre.

Both exercises had business continuity scenarios to address. The latter exercise provided the opportunity for an LCC Director to chair and direct the Recovery Coordination Group through the recovery process.

- 3.3.6 A regional EU-Exit exercise was hosted by LCC (17.01.19) bringing together resilience forum representatives from North, South and West Yorkshire plus the Humber to play through a series of scenarios over three phases; prior to, during and post a no-deal exit. Those attending shared concerns with potential implications of a no-deal EU-Exit as well as progress with planning and preparation.

- 3.3.7 During 2019 three exercises/workshops have been scheduled for businesses in Leeds to test their own emergency and business continuity plans and arrangements. Exercise 'Hana Hana' is being delivered April, May and July using a terrorist attack scenario. Early take-up for attendance at the exercises is excellent.

3.4 Directorate Resilience Groups

- 3.4.1 Each directorate has a Directorate Resilience Group (DRG). Chaired by a Chief Officer, the DRGs have a wide remit including providing assurance to the director that business continuity plans and emergency planning arrangements are being developed and maintained in line with the changing risk landscape.

- 3.4.2 The DRG's have a responsibility to ensure that the critical services within their directorate have been identified and have developed, implemented and are maintaining Business Continuity Plans including timely completion of annual reviews.

- 3.4.3 All 5 DRG's are performing as required. No issues to report.

3.5 Supporting commissioned service providers

- 3.5.1 Since 2013, the Resilience & Emergencies Team have been completing assessments of commissioned service provider Business Continuity Plans for Adult Social Care. Mainly for providers of accommodation based services for people with learning or mental health disabilities.

The assessments are rated red, amber or green depending on the level of confidence achieved based on the assessment criteria. The assessment includes documented feedback including recommendations which, if implemented will result in an improved rating on subsequent assessments. Since 2013, a total of 91 assessments have been completed on 54 organisations.

- 3.5.2 Generic templates have been developed for external organisations to use. The templates include Business Impact Analysis and Business Continuity Plan and include guidance to aid completion. Completed versions of both templates (using a fictitious organisation) are also available to help users understand the type of content expected to be included in such documents.

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 The Leeds Alert system is key to the provision of warning and informing advice to businesses and is a proven tool for getting messages out quickly for any serious incident or emergency. A joint initiative between LCC and West Yorkshire Police, Leeds Alert currently has in the region of 1,400 persons registered from businesses in Leeds. The system is used to send messages (email or text) warning and informing of events or incidents that might impact the Leeds area and therefore day to day business operations. It is periodically refreshed and there are ongoing efforts to increase the number of sign ups.

Such events include notification of accidents, emergencies, demonstrations/protests which might cause congestion or road closures, forwarding Met Office Severe Weather Warnings and Environment Agency - Flood Alerts. The aim is for the person receiving the message to cascade the message within their business or organisation. The Leeds Alert register is refreshed periodically and there are ongoing efforts to expand its reach.

- 3.6.3 Those registered to receive Leeds Alert Messages are automatically invited to attend the twice yearly Leeds Alert Network Events. The events offer those present an opportunity to hear business continuity practitioners and professional speakers deliver a range of presentations relating to business continuity and other broader resilience topics.

The most recent Leeds Alert Event was held in December 2018 and included presentations on dealing with extreme weather, communication in a crisis, drug and alcohol misuse in Leeds, operation Servator and an update on the counter terrorism 'protect & prepare' campaign. Attendance was around 160 persons representing approx. 140 businesses and organisations in the Leeds area.

In addition to the two Leeds Alert Network Events, additional events focussing on specific topics are also held throughout the year. Additional events in 2018 have included counter terrorism and event safety management.

- 3.6.4 The Leeds Resilience Group continue to meet twice yearly and are attended by key officers within the council and from a range of partners.

The group continues to provide the opportunity for partners to receive information relating to developments, events and incidents and to share learning and challenges facing the organisations and encouraging closer working and collaboration. The membership continues to expand, with representatives from the Leeds Universities attending meetings in 2018. An EU-Exit focussed meeting has been scheduled for March.

- 3.6.5 The West Yorkshire Resilience Forum, Voluntary Organisations and Faith Sub Group continues to bring together expertise and experience from a diverse range of groups. Quarterly meetings continue to be an arena for the groups to understand each other's response capabilities and how they can work together to support a response to an emergency. The meetings are also an opportunity to cascade information out to the groups, for example the recent meeting (February) was an opportunity to share preparedness in the event of a no-deal EU-Exit.

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 and during an emergency. LCC have a number of arrangements in place to warn and inform the public:

- Registration to the Leeds Alert Twitter account @leedsemergency is open to the both businesses and the public and currently has in the region of 8000 followers. The account is used for the issue of warning and informing messages or to promote partner organisation campaigns.
- Other accounts which can be used during an emergency include:
 - @LeedsCC_News account which directs press and media to authentic statements and official announcements made by the lead authority or LCC relating to the emergency. This is also used as one of the key accounts (as it is monitored 24/7) to offer signposting to members of the public.
 - The @LeedsCC_Help account is used primarily for signposting to the public and responding to enquiries.
- The Resilience & Emergencies Team has a range of information and guidance published on the leeds.gov.uk website 'Preparing for Emergencies' pages. The pages include information on business continuity contained within the 'Planning for Emergencies' brochure. The pages were fully reviewed and revised during 2018.
- The Resilience & Emergencies Team will be continuing to support the Emergency Services Show held at West Yorkshire Fire & Rescue Service College at Birkinshaw held each July. The show attracts large numbers of families to this annual outdoor event. The Resilience & Emergencies Team take along the Emergency Coordination Vehicle as a focal point for the display with staff answering questions and handing out information leaflets to the public. The

2018 event attracted in the region of 5000 visitors throughout the course of the day.

- 3.7.2 During emergencies and incidents, there are tried and tested arrangements for liaison between the council's Communication & Marketing Team and Resilience & Emergencies Team regarding the provision of information to the public and media (3.7.1 above). This support extends to 24/7 out of hours coverage with both teams operating an on call rota.
- 3.7.3 For public information relating to planned sporting and cultural events, various departments in LCC working closely with the Event Safety Advisory Group provide advanced notification to residents and businesses advising them of any road closures, diversions, potential for delays and disruption in the locality and surrounding areas. This has worked effectively for events such as the Tour de Yorkshire and the World Triathlon. Letters to residents and businesses on and around the route have been issued in relation to this year's Triathlon event.

3.8 Collaborative arrangements

- 3.8.1 The Civil Contingencies Act 2004 promotes collaborative working arrangements between Category 1 responders in order to fulfil the emergency planning and business continuity requirements of the Act.
- 3.8.2 The West Yorkshire Resilience Forum leads on and develops collaborative arrangements with the other West Yorkshire local authorities and partner organisations. The West Yorkshire Resilience Forum co-ordinates closer working and collaboration through 'strategic', 'management' and 'sub group' meetings, including since 2018 a Business Continuity Sub Group. There are links to the wider Yorkshire & Humberside Regional Business Continuity Forum.

The Leeds Resilience Group (3.6.4 above) fulfils arrangements at a local level.

- 3.8.3 The LCC 'Emergency Management Plan' drives collaboration both internally between LCC services, and also externally with partner organisations where a multi-agency response is required.

The LCC 'Emergency Management Plan' includes arrangements for a major emergency of any type including business continuity and was fully reviewed and revised post Storm Eva.

- 3.8.4 An emergency incident, whether internal or external, is likely to have business continuity implications. The Emergency Management Plan includes a section on 'Recovery' which is led by the Local Authority and is the process of restoring and rebuilding the business and/or community following an emergency.
- 3.8.5 Key elements of the LCC 'Emergency Management Plan' have been included in a 'mini-guide' which is issued to council staff most likely to be providing a response to an emergency and is designed to be carried on the person in a wallet or bag etc.

An event has recently been held to launch the 'mini-guide'. The event held in January 2019 was entitled 'Providing an effective response to and recovery from a major emergency in Leeds'. The event was attended by 94 managers and officers

from across all directorates and focussed on a range of subjects (including business continuity).

The aim of the event was to provide those attending with a greater understanding of what a response to a major emergency in Leeds would look like and concluded with an exercise.

3.8.6 Previous emergencies have identified a need for greater collaboration with councillors during the response and recovery phases of an emergency. Not in an operational responding role, but a leadership and communication role:-

- ensuring the council is meeting its obligations under the CCA 2004,
- providing a focal point for the local area during an emergency, and
- helping to increase community resilience and supporting communities' emergency responses through the period of recovery.

It has been proposed by colleagues in Governance & Scrutiny Support to hold a briefing event for Councillors. The event (date tbc though likely to be May) will focus on the Local Government Association publication 'A councillor's guide to civil emergencies'. Click on the link to view the guidance:

<https://www.local.gov.uk/councillors-guide-civil-emergencies>

4.0 Consultation and Engagement

4.1 There are no proposals contained within this report that have a significant impact on communities.

4.2 Internal. The services or functions assessed as prioritised activities and requiring development of Business Continuity Plans were identified and agreed by the Directorate Resilience Groups prior to any developmental work commencing. There has been a Scrutiny Working Group of Members looking at our plans for Resilience and Emergencies, with a report due at the next meeting.

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

5.0 Equality and Diversity / Cohesion and Integration

5.1 The on-going development and maintenance of Business Continuity Plans and arrangements takes account of any potential impacts for staff and customers who may have general or specific requirements – in particular those characteristics protected by the Equalities Act 2012.

6.0 Council policies and the Best Council Plan

6.1 The LCC Business Continuity Policy sets out the business continuity requirements placed upon each directorate and their services.

6.2 Effective business continuity management contributes to the delivery of the outcomes and priorities set out in the Best Council Plan e.g. our 'Best City' strong economy and compassionate city ambitions by looking after vulnerable people in an emergency and a safe city encouraging investment; to our 'Best Council' efficient and enterprising ambition by maintaining critical services in the event of an incident.

7.0 Resources and value for money

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

8.0 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.

9.0 Risk Management

9.1 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 council's corporate risks on 'City Resilience' and 'Council Resilience' and reported quarterly to the Corporate Leadership Team and annually to the Executive Board.

9.2 In addition, 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.

10.0 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:

- Continued monitoring and identification of risks and development of measures to mitigate the risks should they occur.
- Continued review and revision of Business Continuity Plans for LCC's prioritised services and functions through the annual 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.
- Providing 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 enhanced existing collaborative working arrangements with partner organisations

11.0 Recommendations

11.1 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.

12.0 Background documents¹

12.1 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.