



Leicester
City Council

Minutes of the Meeting of the
AUDIT AND RISK COMMITTEE

Held: THURSDAY, 14 NOVEMBER 2013 at 5.00pm

Councillor Westley – Chair

Councillor Alfonso
Councillor Desai
Councillor Dr. Moore

Councillor Dr. Chowdhury
Councillor Grant
Councillor Naylor

* * * * *

42. BRIEFING SESSION PRIOR TO MAIN MEETING - FRAUD: REVENUES AND BENEFITS PROCESS INCLUDING PROSECUTIONS

The Investigations Manager and Principal Solicitor (Regulatory & Property) for Leicester City Council delivered a presentation on fraud awareness to the Audit & Risk Committee Members, a copy of which is attached to the minutes for information.

43. APOLOGIES FOR ABSENCE

Apologies were received from Councillor Meghani.

44. DECLARATIONS OF INTEREST

Members were asked to declare any interests they may have in the business on the agenda.

Councillor Grant declared an interest that he was a school governor at Overdale Infant School.

In accordance with the Council's Code of Conduct, the interest was not considered so significant that it was likely to prejudice Councillor Grant's judgement of the public interest. Councillor Grant was not therefore required to withdraw from the meeting during consideration and discussion on the items.

45. MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting of the Audit and Risk Committee held on 24th October 2013 had been circulated, and Members were asked to confirm them

as a correct record.

RESOLVED:

that the minutes of the meeting of the Audit and Risk Committee held on 24th October 2013 be approved as a correct record.

46. EXTERNAL AUDITOR'S ANNUAL AUDIT LETTER 2012-13

Neil Bellamy, External Auditor, gave details of the Annual Audit Letter, which summarised the external audit of Leicester City Council for the financial year 2012/13.

The letter reported that KPMG as the Council's external auditor:

- Had issued an unqualified value for money (VFM) conclusion for 2012/13 on 27th September 2013;
- Were satisfied that Leicester City Council had proper arrangements for securing financial resilience and challenging how the Council secures economy, efficiency and effectiveness.

The External Auditor said that to arrive at their conclusion, they looked at the Council's financial governance, financial planning and financial control processes, as well as how the Council were prioritising resources and improving efficiency and productivity.

He referred to the certification of grants and returns, and said the grants work was still ongoing. The fee would be confirmed through a report on the Certification of Grants and Returns 2012/13 which would be issued in February 2014. He added the final fee was the same as the planned fee communicated to the Audit and Risk Committee in August 2012.

The Director of Finance informed the Audit and Risk Committee that Neil had come to the end of a seven-year cycle of auditing the Council, and that it was his last meeting. She thanked Neil from everyone for his work over past years.

RESOLVED:

1. that the report be noted.

Neil Bellamy and Adrian Benselin, KPMG, left the meeting at this point.

47. INDEPENDENT REVIEW OF BCM ARRANGEMENTS AT LCC

The Director of Finance submitted a report to advise the Audit and Risk Committee of the conclusions and recommendations arising from a twelve-week project looking at the effectiveness and embeddedness of the Council's Business Continuity Management (BCM). The Head of Internal Audit and Risk Management presented the report.

The Head of Internal Audit and Risk Management informed Members the project, run between 3rd June and 24th August 2013, was carried out by a De Montfort University post-graduate student, who had looked at Business

Continuity Plans across the Council.

The Head of Internal Audit and Risk Management said the Council's BCM had to be consistent with International Standard ISO22301. He said a pro-forma Business Continuity Plan was produced for business areas to use in 2011, accompanied by training sessions for officers. A self-certification process was introduced in 2012 for Directors to ensure each of their service areas had an effective plan in place. A summary in the form of a graph of gap analysis results which highlighted where each plan had scored against the standard was circulated to those present at the meeting.

Interviews were undertaken with the Chief Operating Officer, Divisional Directors and Heads of Service and/or key team members named within the activities business continuity plans. The plans showing as red on the graph reflected that the actions the officers questioned said would happen within their business areas in the event of a significant disruption, were not accurately reflected within the plans submitted to Risk Management and Insurance Services. The Head of Internal Audit and Risk Management said the results were disappointing, as people responding to an emergency would be relying on the plans to recover the service. He added that updated proforma would be sent out with further instruction on how to complete the document.

The project report concluded with eight recommendations summarised in the report, and to support the process and the actions that the Risk Management and Insurance Services team would take, which included delivering three additional Business Continuity training sessions in 2014.

Members said it had been reported to Committee in the past that the Business Continuity Plans for services were fine and asked why they had those reports. They asked if Directors had been falsely reporting or falsely reported to. They said it was serious that the Business Continuity Plan in Social Care Children's Services had failed to attain the required level, given what had been reported recently in other cities, and the protection of vulnerable children was at risk. They recommended that a system be put in place to bring everything up to standard, as self-certification had been proven as something Members could not trust. They added Directors should be made to explain before Committee why their plans were not up to date if they were not so by January 2014. Members said a proposal should be put to the city mayor for additional resources to be made available for Internal Audit and Risk Management to assist in bringing the plans around the Council up to standard.

The Head of Internal Audit and Risk Management said he had spoken to the majority of the Heads of Service with failed plans, and said they thought their plans were up to standard. He said the project was a useful exercise to find out what was wrong with the plans. He added the plans should be brought up to standard by the end of December 2013, and an update would be brought to the next meeting of the Audit and Risk Committee, and copies of the pro-forma, Corporate Plan and slides from the training session would be attached to the minutes of the meeting. The Chair asked the next meeting to commence at 5.30pm to enable all Committee Members to attend.

Members asked if the plans were tested. The Head of Internal Audit and Risk Management said Housing had asked for their plan to be tested, and they would do so in the New Year. He added there would be two De Montfort University post-graduates in Risk Management and Insurance Services who would be available to test the plans in 2014.

The Head of Internal Audit and Risk Management said that the Business Continuity Management Plan was stored in different locations and in different formats, including electronic and hard copy, and via secure internet access.

RESOLVED:

1. that the report be received and the recommendations agreed as laid out in the report.

48. ANNUAL REPORT ON THE NATIONAL FRAUD INITIATIVE

The Director of Finance submitted a report to update the Audit and Risk Committee on progress made on the National Fraud Initiative (NFI) 2012/13, and to advise them about the NFI 2013/14 Data Matching exercise for Council Tax Single Person Discount fraud. The report was presented by the Investigations Manager, Revenues and Benefits.

Members were informed that participation in the NFI was mandatory under the Audit Commission Act 1998, Part 2(A), and the data matching exercise had produced 2,739 cases to be looked through, which were shared with the relevant sections and considered for investigation. The Investigations Manager added that people could appeal overpayment decisions where they felt it was due to official errors by the authority.

RESOLVED:

that the report be noted.

49. PRIVATE SESSION

RESOLVED:

“that the press and public be excluded during consideration of the following reports in accordance with the provisions of Section 100A(4) of the Local Government Act 1972, as amended, because they involve the likely disclosure of 'exempt' information, as defined in the Paragraphs detailed below of Part 1 of Schedule 12A of the Act, and taking all the circumstances into account, it is considered that the public interest in maintaining the information as exempt outweighs the public interest in disclosing the information.”

Paragraph 3

Information relating to the financial or business affairs of any particular person (INCLUDING THE authority holding that information)

B1) INTERNAL AUDIT UPDATE REPORT: FIRST AND SECOND QUARTERS 2013-14

50. INTERNAL AUDIT UPDATE REPORT: FIRST AND SECOND QUARTERS 2013-14

The Director of Finance submitted a report which summarised Internal Audit's work completed the first and second quarters of 2013-14 and was presented by the Audit Manager.

The report provided the Committee with an overview of:

- audit work planned and completed
- significant issues identified by audit work
- management progress in implementing agreed recommendations.

Members were informed that the plan was responsive and flexible due to changing risks, and that 77% of the work planned had been completed within the period. Charts in the report showed a general trend to higher levels of audit assurance during the period.

The Audit Manager outlined three particular audit reports issued during the period, two of which had conclusions of little or no assurance and one that gave partial assurance but was of concern for other reasons, and these were discussed with the Audit and Risk Committee Members. He said Internal Audit would be monitoring the implementation of recommendations made and would report back in due course.

The Chair thanked officers for the update and asked the Committee to note the report.

RESOLVED:

1. that the report be received.
2. that the key issues identified be noted
3. that the progress made in implementing the recommendations in the three specific audit reports be brought to a future meeting of the Audit and Risk Committee.

51. CLOSE OF MEETING

The meeting closed at 7.28pm.

Minute Item 42

Leicester City Council

Fraud Awareness Audit and Risk Committee

Stuart Limb – Investigations Manager
November 2013

Sarah Khawaja – Principal Lawyer

1

Points to cover

- Revenues & Benefits Investigation Team
- What is Fraud?
- Key issues for the Team
- Referrals & Investigation Process
- Sanctions & Prosecution Policy
- Emerging areas for the Team
- Case Studies

2

R & B Investigation Team

- Headed by Investigations Manager and team of 12
- Investigate cases of suspected fraud
- Housing Benefit / Council Tax Benefit
- Council Tax Discount Single Person Discount
- Tenancy Fraud
- Insurance Fraud

3

What is Fraud ?

- The Fraud Act 2006 defines fraud as....

“to make gain or cause loss by false representation, failing to disclose information or abuse of position”.

- Fraud is a criminal offence, therefore requires a Criminal Investigation

4

Key issues for Investigations Team

- Criminal Investigations into suspected Fraud
- Qualifications
 - ✓ Accredited Counter Fraud Specialist
 - ✓ Accredited Counter Fraud Manager

5

Key Legislation

- Criminal Procedures Investigation Act 1996
- Regulation of Investigatory Powers Act 2000
- Human Rights Act 1998
- Data Protection Act 1998
- Police And Criminal Evidence Act 1984
- Fraud Act 2006
- Proceeds of Crime Act 2002
- Public Sector Housing Fraud Act 2013

6

The desire to tackle Fraud

“Leicester City Council is totally committed to both maintaining a zero tolerance towards fraud and corruption and to the prevention, deterrence, detection and the investigation of all forms of fraud and corruption affecting its activities”

Source: LCC Anti-fraud and Corruption Policy

7

Referrals & Allegations

- Referrals are both reactive and proactive
- Police, Public, staff or other Local Authorities
- Proactive from data matching exercises
- National Fraud Initiative every two years
- Joint Working with the Department of Work and Pensions

8

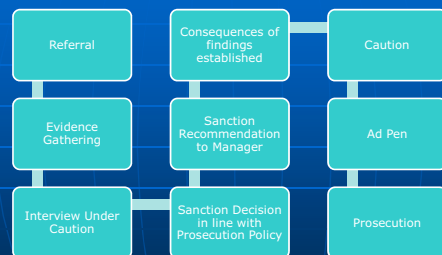
The role and the aim of the Investigator

The investigator has a code of conduct to follow.

- The Investigator will ensure that all anti-fraud work correctly identifies the guilty parties whilst protecting the innocent and minimise loss to the public purse.

9

Investigation Process



10

Prosecution Policy

Some of the guidance used:

- Value of o/p and the duration
- Physical & mental condition
- Was the offence premeditated
- Failure in inv/admin/delays
- Voluntary disclosure
- Previous fraud
- Social factors
- Legal Services Recommendation

11

Sanctions & Prosecutions

Caution:

- This is a “formal warning”.
- Given by Investigation Manager.
- Recorded with Department of Work and Pensions.
- There must be an admission during IUC.
- May be appropriate if the value of the o/p below £2000 but we can caution if there is no overpayment.
- If the caution is refused

‘PROSECUTION’

12

Sanctions & Prosecutions

Administrative Penalty:

- This is similar to a 'fine'
- Recorded with the Department of Work and Pension
- Recovery of overpayment + 30 % or 50% of overpayment
- May be appropriate if the value of the overpayment is below £2000 and the period exceeds 4 weeks
- If the Administrative Penalty is refused

'PROSECUTION'

13

Sanctions & Prosecutions

Prosecution:

- If a Caution is offered but refused by the claimant.
- If an Ad Pen is offered but refused by the claimant.
- The overpayment must be 4 weeks or more.
- The value of the overpayment normally more than £2000.
- Reminder - A prosecution is not to seek recovery of benefit

14

Performance Stats 2012/2013

- 221 Sanctions
- Uncovered £925,785.00 of Fraud
- Top ten performance since 2006

15

Fraud is Fraud

Team of qualified and experienced officers who investigate the crime of Fraud.



16

New areas for the team

- Insurance Team
 - ✓ 1st case referred resulted in prosecution
 - ✓ More cases referred and ongoing
- Tenancy Fraud
 - ✓ Produced draft prosecution policy
 - ✓ Fraud as opposed to Tenancy irregularities
 - ✓ Improving declarations and Tenancy Agreements

17

Single Fraud Investigation Service

- Department of Work and Pension led
- 2014/2015 phased implementation
- LA Staff may transfer to DWP
- May leave some council's open to fraud
- LCC to review Revenues & Benefits and Corporate Fraud before April 2014.

18

Case Study 1

- Allegation received from Inland Revenue, claimant has bank account that generated annual interest of £780.
- IUC- admits having £120,000 in Bank account and stated money was for charity
- Overpayment of £15,000.
- Prosecuted and found guilty
- Fined £14,000
- Costs of £2,000

19

Case Study 2

- Claimant came in to Revenues & Benefits stating his daughter had gone abroad.
- He failed to declare that she had returned to the UK few months later.
- Enquires with the employer and Credit search undertaken.
- Claimant IUC'd and admitted he failed to disclose return of daughter.
- O/p £1400
- Claimant offered and accepted a caution.

20

Case Study 3

- Claimant stated he had started work in January 2008.
- However provided Bank statements from November 2007, which showed credits from an employment agency.
- Stated credits were wages of a friend who did not have a bank account.
- Enquires with the employment agency confirmed were the wages of the claimant.
- When shown the evidence the claimant stated he was only working temporary hence he failed to tell us earlier.
- O/p £500, offered and accepted Ad Pen.

21

Case Study 4

- Claimant and Partner claimed neither was working.
- Partner was a policeman.
- Joint Working/Investigation carried out with DWP
- Partner denied any involvement in benefit claim.
- Hand writing analysis undertaken. Confirmed partner completed benefit forms and signed for HB cheques.
- Total overpayment was over £77,000
- Partner found guilty at Crown Court and sent to prison for 8 months.
- Dismissed from the Police.

22

Any Questions?



23

Business Continuity

Management at Leicester City Council.

*Tony Edeson, Head of Internal Audit and
Risk Management*



Civil Emergency or Business Continuity?

- ✦ Differentiation between a civil emergency and one that affects the business (but both may hit at the same time and a civil emergency may lead to a BCM Incident).
- ✦ The skills required to manage one are similar to the other.





Why changes were made in 2010

- ✦ Differences and similarities unclear to some, leading to confusion
- ✦ Previous LCC position of having Senior Managers allocated to one or other function untenable with reducing numbers of Senior Managers and establishment of 24/7 on call rota
- ✦ Many Senior Managers allocated to EM roles are key to the continuity of their business services and vice-versa
- ✦ Out of Hours Incidents reported to security staff have led to confusion in the past over who to call out or contact as they are unsure if an incident is an Emergency Management or Business Continuity Management issue
- ✦ All of the above may lead to loss of valuable time when responding to either an Emergency Management or Business Continuity Management incident and may lead to the 'wrong' people being mobilised



How LCC Deal with Incidents Reports now

- ✦ One call out/stand by list – all on one list; fewer times on stand by; four options if called:-
- ✦ Is the incident City wide and not involving Council staff or buildings? Emergency Management Team
- ✦ If City wide and involving Council staff or buildings – EMT and they will call BCM Team
- ✦ If the incident is 'significant' affects only Council buildings or staff and /or service users – BCM Team who will call EM Team to support if necessary
- ✦ If insignificant, BAU – pass to normal 24 hour response teams.



Complementary disciplines

- ✦ EM and BC are very small units within LCC and need to work closely together for the benefit of the council and communities we serve
- ✦ Festivals and Events Unit is also a key element in this package of cooperation



So what is Business Continuity Management?

Business Continuity Management is not just about having a plan.

By planning ahead, instead of waiting for something to happen, and involving key/all staff, services can get back to normal business in the quickest possible time.

A crisis is not the best time for consensus management!



When disaster strikes.....

Think *impact* upon:

- ❖ People
- ❖ Assets (e.g. buildings, vehicles)
- ❖ ICT – systems or telecoms
- ❖ Suppliers



The Corporate BCP

- ✦ A cohesive plan to allow the Corporate BCM Team to assist in recovering Critical Services, prepared to a common standard;
- ✦ Keeps business critical functions running in a crisis;
- ✦ How we support the Emergency Management team with city emergencies;
- ✦ In a nutshell, the way we draw together the response of the whole organisation to a disruption.



Individual Business Area Plans

- ✦ Every Head of Service at LCC has to have an individual BCP for their service;
- ✦ Every June, each Operational Director confirms (in writing) to the City Mayor and the COO that these plans exist; have been reviewed and updated; and have been tested if appropriate;
- ✦ There are pro-formas produced by the RMIS team for 'Head Office' functions; schools; and the wider business community.



LCC Plans Cover.....

- ✦ Key activities
- ✦ People and skills
- ✦ Alternative locations
- ✦ Equipment (e.g. computers, phones, furniture, contingency items)
- ✦ IT systems & data; other records
- ✦ Suppliers, service partners, outsourced services
- ✦ Procedures for running the service
- ✦ Actions for first 48hrs/the next week/time to full recovery
- ✦ Actions/Decisions Log





PROTECTED – LCC USE ONLY

LEICESTER CITY COUNCIL

CORPORATE BUSINESS

CONTINUITY AND CRISIS

MANAGEMENT PLAN

CONTENTS

IF THIS IS AN EMERGENCY INCIDENT GO STRAIGHT TO PAGE 7

1. Introduction	3
2. Purpose-Why we plan for Business Continuity	4
3. Objectives of Business Continuity Management	5
4. The Corporate Business Continuity Plan	5
4.1. Document Owner and Maintainer	5
4.2. Purpose	5
4.3. Roles and Responsibilities	5
4.4. Contact details	6
4.5. Objectives	6
4.6. Trigger Events	6
4.7. Plan Invocation	7
4.8. Role of City Mayor and his Team	7
4.9. Incident Management	8
4.10. Business Continuity and Recovery	9
4.11. Lessons Learned	10
5. Appendices	
5.1. Appendix 1 – Roles of Senior Officers	11
5.2. Appendix 2 – BCM Team Members and Contact Details	12
5.3. Appendix 3 – LCC Business Critical Activities	13
5.4. Appendix 4 - Building Closure Guidance	15
5.5. Appendix 5 - Communications Protocol and Strategy	16
5.6. Appendix 6 – HR Strategy for BCM	20
5.7. Appendix 7 – Working in Disaster Mode	21
5.8. Appendix 8 – LCC’s 24/7 Services and Numbers	23
5.9. Appendix 9 - Glossary of Terms and Further Information	24

1. Introduction

Business Continuity Management is no longer an optional activity. Too many people still do not understand what Business Continuity Management is really about. They regard it as an operational response to large-scale incidents, usually involving significant asset loss. Business Continuity does not subsume Crisis Management, nor is it subordinate to Crisis Management; they are complementary activities.

The Council has a responsibility to assist with handling incidents and emergencies that affect the wider City of Leicester through its Emergency Management Unit (external) and business continuity is about the smooth running of the Council itself (internal). The Council's Emergency Management team's Major Incident Plan divides major incidents into three tiers:

- **Tier 1** – Business Continuity;
- **Tier 2** – Multi Service area response to an internal major incident; and
- **Tier 3** – Multi Service Area response to an external major incident.

Whilst the principles within this document could be used in any of the above scenarios, it is primarily concerned with Tier 1 and Tier 2 events. An internal business continuity issue may escalate to a level where the emergency services are required and, therefore, constitute a major incident as defined by the Civil Contingencies Act. Also, an external major incident may soon develop into a business continuity issue for the Council, depending upon the resources it must commit under its Statutory Duty as a Category 1 Responder.

Business Continuity and Crisis Management are about finding strategic solutions to the loss of one or more of seven significant resources:

- Customers or service users;
- Key Suppliers;
- Staff;
- Facilities;
- Technology;
- Cash-flow; and,
- Goodwill (and Reputation).

Being properly prepared to deal with unexpected interruption to any of these resources is at the heart of any business continuity or crisis management strategy. Business Continuity Management is the only real methodology that delivers such resilience across the entire range of business activity.

The Council's Business Continuity Management is cross-functional by its nature and needs to be consistent with both the International Standard ISO22301 and the British Standard (BS25999 – which ISO22301 replaced in November 2012) to ensure that its Business Continuity responsibilities within the Civil Contingencies Act (2004) (CCA) are being met. BS25999 and ISO22301 deal with incidents mainly at tactical level whereas PAS200 (which may become an ISO in due course) looks at strategic incident management. Business Continuity Management is essential, therefore, for the following key reasons:

- **Statutory Duty** – The CCA requires the Council, as a Category 1 responder, to be able to exercise its functions in the event of an emergency as far as reasonably practicable; and,
- **Commercial 'best practice'** - By planning now rather than waiting for an event to happen, the Council can get back to normal business in the shortest possible time.

A key part of Business Continuity Management is the Business Continuity Plan (BCP). Where disruption affects critical business activities the consequences can be severe and may include substantial financial loss, an inability to achieve desired levels of service, embarrassment and/or loss of credibility within the Community. The benefit of having a business continuity/recovery plan that can be implemented with the minimum of fuss and delays, significantly reduces the levels of disruption the Council suffers and ensures rapid resumption of 'normal service' to the public.

This Corporate BCP outlines the actions required by the Council's Business Continuity Management Team – high level officers that respond to events that affect the Council's critical activities only. This means that each Division should have their own individual plans for each of their service delivery units – probably one for each Head of Service's area if appropriate. Each of these plans should be based on a similar format and be aligned to the corporate template which can be found on the Risk Management and Insurance Services (RMIS) Intranet pages. Responsibility for managing responses to events that do not affect critical activities will sit with Divisional Directors, their Heads of Service and individual managers or response teams within their Division.

Directors should ensure that their Divisional plans are realistic and easy to use during a crisis. As such, Business Continuity Management planning should form part of their overall risk management. Guidance and support will be available from the Head of Internal Audit and Risk Management. Positive assurance from each Director that these plans have been reviewed and remain fit for purpose will be required by the Chief Operating Officer on an annual basis.

Plan managers should also consider having an 'Emergency Pack' on site or easily accessible. The Risk Management and Insurance Services Intranet pages detail what a typical Emergency Pack might contain.

2. Purpose – Why we plan for Business Continuity

Simply, Business Continuity Management is about working out how to deliver your service in the event of a disaster – typically after fires, floods or pandemic illnesses. However, it is not limited to just those types of incident. Any event that has the potential for interruption of service should be considered, including loss of key suppliers, loss of critical infrastructure or the result of thefts or vandalism. Remember also that, for business continuity purposes, it is the damage and impact of the incident that is important, not the cause.

Without business continuity management, a disaster would result in:

- Failures within your supply chain;
- Loss of reputation/goodwill;
- Human Resource issues;
- Health and Safety liabilities; and,
- Higher Insurance premiums.

Therefore, the purpose of the Corporate Business Continuity Plan (see section 4 below) is to ensure that the Council's critical activities are re-instated as soon as possible after any incident, ensuring unbroken levels of front-line service, whilst full restoration is planned for and implemented. To be successful Business Continuity has to become part of the culture of the Council.

3. Objectives of Business Continuity Management

Business Continuity Management is about identifying those parts of your Division or Service Area that you cannot afford to lose – such as information, premises, staff – and planning how to maintain these should an incident occur. Any incident, large or small, whether it is natural, accidental or deliberate, can cause major disruption to your service area(s). By planning now, rather than waiting for it to happen, you will be able to get back to business in the quickest possible time.

4. The Corporate Business Continuity Plan

4.1 – Document Owner and Maintainer

The Corporate Business Continuity Management Team collectively ‘own’ the plan and are responsible for reviewing, amending and maintaining it at regular intervals. The Head of Internal Audit and Risk Management holds the ‘master’ copy and will facilitate these reviews. Each team member will be issued with secure access to a copy of the plan that is held in a secure area on the Council’s Internet site. It is the responsibility of all BCM Team members to inform the Head of Internal Audit and Risk Management of any changes which could affect the plan or their roles and responsibilities within it.

4.2 - Purpose

The Council’s Corporate Business Continuity Plan:-

- Supports the continuation of the Council’s Business Critical Activities following a serious incident or disaster;
- Supports the processes required to recover from that incident or disaster;
- Identifies who should manage those processes; the authority needed; and, key tasks that they will have to perform;
- Explains the inter-dependencies between teams;
- Defines the interface those teams have with Council staff; those in the care of the Council; partner organisations; and, the wider community of Leicester;
- Enables the contribution required from the Council by the Emergency Management Unit when a Civil Emergency situation is declared.

The Corporate Plan is now closely aligned with the Emergency Management Unit’s Major Incident Plan. When the Council’s Business Continuity Management Policy and Strategy were approved by the Strategic Management Board in November 2010 and Cabinet in January 2011, it was agreed that all senior officers should be involved in Business Continuity/Emergency Management – see Appendix 1 – Roles of Senior Officers. This group of senior officers is now referred to as the ‘Incident Response Team’. These roles and responsibilities were subsequently confirmed (again – as they have been annually since 2010/11) by SMB/Executive in December 2012/January 2013.

4.3 – Roles and Responsibilities

The Council has adopted a three tier approach to Business Continuity and Emergency Management with the levels being:

Gold (Strategic) is effectively the Council’s Strategic response group and is often referred to as the Crisis Management Group. They establish the framework within which the Silver and Bronze teams work in responding to and recovering from incidents.

Silver (Tactical) consists of relevant Divisional Directors and Heads of Service and is often referred to as the Resilience Planning group. They provide overall management of the response.

Bronze (Operational) consists of nominated Heads of Service and Senior Officers and are referred to as the Service Management Teams. This is the level at which the management of 'hands on' work is undertaken at the incident site or impacted area.

It is essential for Gold, Silver and Bronze levels to have access to robust working communications to ensure the proper co-ordination of the plan.

4.4 – Contact details

Appendix 2 shows the Corporate Business Continuity Management Team members and their contact details.

4.5 – Objectives

The objectives of the Corporate BCP are to:-

- Provide clear, effective guidance upon the activation procedure for the plan;
- Provide Divisions and key staff with guidance on their roles and responsibilities during an incident;
- Mobilise the organisational structure required to manage the recovery;
- List the immediate actions to be taken;
- List the short and medium term measures necessary to recover essential systems;
- Develop the long term recovery actions required.

4.6 – Trigger Events

It is not possible to predict or prevent all serious incidents. Business Continuity systems exist to enable the Council to deal with disruptions which might otherwise impair its ability to function. They assist in two main ways ensuring the Council can:-

1. Continue to operate and run key services in adverse conditions

These events will usually be classified as operational incidents and will be handled by management locally (e.g. temporary restrictions on access to buildings) or challenging circumstances which stop short of mobilisation of the Corporate Team (e.g. winter weather responses). These are events that should be anticipated and planned for as part of the Divisional business continuity process and plans.

2. Respond quickly and effectively in the event of serious incidents

These will be incidents of concern to the 'body corporate' and will trigger the Corporate Plan in whole or in part. **THESE ARE CORPORATE BUSINESS CONTINUITY EVENTS.** The triggers include:

- Threat to life or wellbeing of significant numbers of staff, or key employees, or those in the Council's care;
- Multiple deaths or injuries to staff or those in the Council's care;
- Loss of strategic leadership (Directors, City Mayor, Members);
- Insufficient staff to sustain an identified Business Critical Activity;
- Key individuals unavailable (single critical knowledge source);
- When a Business Critical Activity becomes inaccessible or degraded to the point where service provision is becoming impossible;
- Loss of key assets (e.g. premises, vehicles);

- Significant ICT failure (central ICT, telecoms, critical business systems);
- Failure of a key supplier;
- Serious breach of regulatory or statutory duties;
- Potential for significant financial loss (causing unplanned cuts or fundamental change in revenue strategy, or loss of stakeholder confidence);
- City-wide, regional or national emergency which impacts on the Council's ability to deliver essential services or support the Emergency Management Unit's Major Incident Plan;
- Major disruption to essential Council functions, caused by any means including flood, fuel crisis, pandemic or terrorist attack.

4.7 – Plan Invocation

Any serious incident can trigger the Corporate Plan and the most likely causes are set out in section 4.6 above. Some incidents are clearly business continuity events from the outset, but others are less certain. Incidents can escalate and may do so with differing speed and intensity. A localised operational incident (for example a small fire) can intensify or spread rapidly, whereas something like an incremental staff absence during a flu pandemic would more likely develop and spread much more slowly.

A situation needs to be monitored so that the point at which it moves from a serious operational issue to a matter of council-wide concern may be determined and appropriate action taken.

In all circumstances early consideration should be given to contacting the Head of Internal Audit and Risk Management and/or the Chief Operating Officer.

Any member of the Corporate Business Continuity Management Team has the authority to invoke the plan. Whichever member of the Team is contacted from the initial call should consider which other Team members to contact and then decide whether or not the incident warrants full activation of the Corporate Business Continuity Management Team. It may be that this decision can only be made once other Team members representing the affected Divisions have been spoken to or a site visit has taken place. In these circumstances the plan should be triggered and the Team be mobilised - they may be stood down as soon as the position becomes clearer. Delays in mobilising the team could have a major impact on the effectiveness of your response.

If the initial call does not come from the LRF Resilience Partnership Duty Officer, the on-call Strategic Director or Tactical Head of Service they should be contacted immediately and briefed. Contact details are held by B Block Security – 0116 252 8899.

4.8 – Role of City Mayor and his Team

The management of the response to a Business Continuity Incident has to be a senior officer role. Once the Corporate Business Continuity Plan has been triggered, the Corporate Business Continuity Management Team has operational control of the situation and is authorised to take all decisions necessary. The Chief Operating Officer and the City Mayor should be advised of any activation of the Corporate Plan and be fully briefed at the earliest practicable opportunity. As a general rule, the contact with the City Mayor (or his Deputy) should be prior to any formal release of statements to the press/media – see also Appendix 5 – Communications Protocol and Strategy.

4.9 – Incident Management

This section details what will be required to manage the initial phase of an incident and the individual responsible for each task. Also covered in this section are the arrangements for communicating with staff, wider stakeholders and the media.

Incident Management is the method for dealing, at the premises, with immediate physical effects of an actual or threatened disaster, for example a fire or flood. An incident may become disastrous if it:

- Leaves premises unusable for more than a predetermined acceptable length of time; and/or
- Prevents some or all of a business unit's essential operations being carried out.

The key, primary objectives of Incident Management are to:

- Prevent injury;
- Provide shelter;
- Evacuate premises, if necessary;
- Prevent the incident escalating into a disastrous event;
- Reduce and control its effects; and
- Ensure salvage and repairs are started at the earliest opportunity.

Incident Management does not replace the Emergency Services. If there is a threat of fire, or if fire has broken out, the Fire Service must be called and the response team must work with or around them as the Fire Service permits.

Depending upon the location and type of incident, the Business Continuity Management Team should co-ordinate their response from the Control Room in Wellington House or a Room in the Town Hall. Hard copies of this plan are held at both of these sites. Should the City Centre be inaccessible then relocation to the LRF Office at Romulus Court or another suitable location will be agreed with the Council's Emergency Management Unit who will be managing the City Centre recovery. Each site offers appropriate resource access to allow the Incident Response Team to initiate effective incident management activities with minimal delay. There will normally be an 'Emergency Pack' on site or easily accessible.

Normally, the member of the Corporate Business Continuity Management Team responsible for the affected service area will manage the response to the incident (the Incident Management Lead) and take responsibility for key tasks. In the absence of the nominated individual for the affected service area, the Business Continuity Management Team Chair will nominate a suitable deputy. Decisions taken at the beginning of an incident are crucial. If those decisions are inappropriate, a minor incident can escalate into a major emergency. The Incident Management Lead may be confronted by an extremely complex situation requiring them to make a series of rapid decisions in a short period of time.

The Incident Management Lead will identify and delegate responsibility for handling tasks in the initial phase which may include:

- Site evacuation;
- Building Closure – see Appendix 4 for guidance;
- Alerting the Emergency Services, if appropriate, or establishing contact if the Emergency Services are already on site (it may be appropriate to invite them to share the control room facilities to engender a spirit of co-operation);
- Mobilisation of safety, first-aid or evacuation assistance teams;

- Locating and accounting for those who were on site or in the immediate vicinity;
- If there are security implications, liaison with the Corporate Security Team;
- Contacting the Team Leaders, or their Deputies, of the recovery teams (Bronze) to brief them on the situation and advise whether they should invoke their individual Divisional Continuity Plans;
- Contacting the Council's insurers via the Insurance and Claims Manager/Head of Internal Audit and Risk Management;
- Nomination of a Loggist and opening of a 'log of events' for the duration of the initial stages of the incident;
- Locate the Gold team away from the Control Room (if in Wellington House the adjacent meeting room should be used); establish a means of keeping them informed of decisions made and of the incident management response – suggest at least hourly situation reports; remind the Gold lead of their 'check and challenge' responsibilities;
- Ensure that Gold team establish a Communications Team – see Appendix 5 for further guidance;
- Remind all staff that they must not speak to the press, radio or television and that all enquiries should be referred to the Gold/Communications Team who will ensure that the City Mayor is briefed (and involved as appropriate).

The actions of the Incident Response team must be co-ordinated to prevent confusion and conflicting decisions. They should maintain contact with each other at all times, with the Incident Management Lead and/or deputy acting as a focus to co-ordinate actions.

The Incident Management Lead should work closely with premises managers, emergency services, salvage engineers and should ensure that every one on both the incident management team, 'Gold' team and the recovery teams:

- Knows what their job in the incident is;
- Has had relevant training for the tasks they are expected to carry out;
- Has a clear plan and procedures to follow;
- Knows where to access any relevant support and resources needed for them to fulfil their role;
- Is able to do the job properly and provide evidence that the job was completed satisfactorily if needs be.

The key support areas within the Council that the Incident Management Lead is likely to need support from, Premises; ICT; Logistics; HR for example – have strategies, plans and contact details available and can be accessed by the Corporate Business Continuity Management Team. Remember that the activation of the Corporate Plan can be cancelled at any time if the situation does not prove to be a disaster.

4.10 – Business Continuity and Recovery

As the response to the incident develops at some point this will stop being an incident management situation and develop into business continuity and recovery. An incident can last from a few minutes to several hours or even days. The recovery phase may last from a few days to several months and ends when normal operations restart.

The Corporate Business Continuity Management Team will continue to direct the continuity and recovery operations. There may be elements of the response that become business continuity and recovery at differing times or can be both business continuity, recovery and incident response e.g. the Communications Team may be required to continue to issue updates on the management of the incident and, at the

same time, begin to alert staff and service users to changes in service delivery that will be necessary in the days or weeks ahead.

The Incident Management Lead should ensure that recovery staff are detailed to deal with any damage that may have occurred to premises and check that the recovery is proceeding as expected at regular intervals - taking any necessary action to resolve any unforeseen problems that may be delaying the recovery. Until 'business as usual' resumes, the recovery teams should continue to report to the Incident Management Lead.

It is important that there are regular, continuing City Mayor/member/employee/service user/general public communications and safety briefings all the way through to 'business as usual' being restored.

4.11 – Lessons Learned

A key element of a BCM incident is a 'de-brief' session to collect feedback from all parties involved in the incident. This should be arranged as soon as practicable. It is important that this happens soon after the event to ensure that people's recollections are clear. It may be that (in the event that recovery goes on for a considerable time) you will need to have two (or more) de-briefs – one for each phase. At these sessions it is important that all contribute and that a list of lessons learned is drawn up and any amendments necessary to these procedures are implemented quickly – one never knows how soon it may be before the next incident!

5. APPENDICES

5.1 - Appendix 1 – Roles of Senior Officers

	Business Continuity Management Trained	Emergency Management Trained
Chief Operating Officer		
Andy Keeling*	✓	✓
Strategic Management Board		
Frank Jordan*		✓
Rachel Dickinson*		✓
Deb Watson*		✓
Miranda Cannon*	✓	
Alison Greenhill*	✓	
Kamal Adatia*	✓	
Chris Taylor	✓	
Stephanie Holloway	✓	
Divisional Directors / Heads of Service		
Ann Branson*	✓	✓
Neil Gamble		✓
John Stevens*	✓	
Adrian Russell*	✓	✓
Liz Blyth*	✓	✓
Ruth Lake*	✓	
Andrew L Smith*	✓	
Nick Haycock	✓	
Steve Charlesworth*	✓	
Jill Craig*	✓	
John Doyle*	✓	
Margaret Libreri*	✓	
Trevor Pringle*	✓	
Tracie Rees*	✓	
Andy Smith*	✓	
Caroline Jackson	✓	
Alison Moss	✓	
Martin Clewlow		✓
Suki Supria	✓	

*- Denotes member of the 'on-call' Incident Response Team

5.2 - Appendix 2 – BCM Team Members and Contact Details – STRICTLY PRIVATE AND CONFIDENTIAL/RESTRICTED ACCESS

CONFIDENTIAL

5.3 - Appendix 3 – Business Critical Activities (last reviewed and updated October 2012)

Business Critical Activities, which are those areas of a service that need to be back up and running within 24/48 hours, and are listed by Division.

Adult Social Care

- 6 Services identified

Children's Social Care and Safeguarding

- 3 Services identified

City Barrister and Head of Standards

- 3 Services identified

Delivery, Communications and Political Governance

- 2 Services identified

Environmental and Enforcement Services

- 1 Service identified

Finance

- 3 Services identified

Housing

- 3 Services identified

Human Resources and Workforce Development

- 1 Service identified

Information and Customer Access

- 3 Services identified

Learning Services

- 1 Service identified

Planning, Transportation and Economic Development

- 9 Services identified

Property

- 8 Services identified

Young People's Services

- 3 Services identified

5.4 - Appendix 4 – Building Closure – General Guidance

Immediately

- Evacuate the building, and/or prevent staff and public from entering.
- Call appropriate emergency services if necessary, if not already attending.
- Inform your Head of Service and, if appropriate, Divisional Director.
- Depending on the incident, shut off utility supplies to the building (e.g. power off if there are burst pipes)
- Secure the building. It may be necessary for extra security officers to be onsite.

As soon as possible

- Relocate critical staff, and send non-critical staff home. If you need breathing space to organise it, send them to a muster point meantime.
- Contact ICT to get telephones re-routed if necessary.
- Inform the Head of Internal Audit and Risk Management (Business Continuity purposes) and the Insurance Manager (insurance implications).
- Let council colleagues know about any temporary arrangements - Insite, email broadcast, officers and/or notices at site, Switchboard.
- If a public facing service is involved, let service users know about temporary arrangements - Customer Services, Switchboard, www.Leicester.gov.uk, officers and/or notices at site.

As situation develops

- Keep in touch with Emergency Services, utilities or other appropriate people so you know when the building is back in use.
- Update council colleagues and public.

Remember

- **Ask for help** if you need it – via your own line management or from the Head of Internal Audit and Risk Management if that is not possible – and ask early rather than waiting for an incident to become more serious.
- **Note** what happens and when, and the actions you take.
- **Contact** the council's press office if there is media involvement.

CONTACT NUMBERS

Security	0116 252 8899 (24hr emergency no)
Head of Internal Audit and Risk Management	0116 252 7465
Insurance Manager	0116 252 7485
Health & Safety	0116 252 8098
Press Office	0116 252 6081
ICT	0116 252 8888
Switchboard	0116 254 9922 (external), 29 6030 (internal)

External

National Grid	01926 654234
Western Power	0800 0568090 (Emergency/Power Cut line)
Western Power	xxx xxx xxx (Control Room – not for issue to the Public , LRF use only)

5.5 - Appendix 5 – Communication Protocol and Strategy - RESTRICTED

This Protocol sits alongside the Council's standard Media Protocol (which applies to everyday business situations) and will apply in disaster situations where a direct and sensitive message, combined with a proactive approach, is essential.

1. Purpose

To establish a robust process for the rapid, accurate, and consistent dissemination of key messages in relation to a Disaster Incident that could or does trigger the Corporate Business Continuity Plan:

- In advance of an emerging situation where relevant e.g. flu pandemic;
- During the Incident; and,
- During the recovery phases.

The importance of effective communications cannot be stressed enough. During an incident the Council (and its Corporate Business Continuity Team) needs to consider when and how they communicate with:

- Staff;
- Members;
- Customers;
- Suppliers and service partners;
- Public;
- Media; and,
- Other interested parties (e.g. stakeholders, industry groups, regulatory bodies).

In a crisis situation, it may not be possible to communicate through usual channels. Some communications may be directed centrally (e.g. the media) but others may be available to, and the responsibility of, individual teams. In these latter cases it is extremely important that the Incident Response Lead ensures a high level of co-ordination exists. Any information given out locally will be picked up by the Media so needs to be consistent with messages emanating from the central Incident Response team.

If mobile telephones or radios are to be used they should be tested throughout the premises/area to identify any 'black spots'. ICT may be able to provide a coverage map for our service provider.

If our incident is part of a wider emergency, consideration should be given to having mobile telephones registered under the Access Overload Control (ACCOLC) Scheme which provides for priority access by registered cell phones if the network becomes overloaded in an emergency. **This can only be authorised by Police Gold Command level.**

This section looks, principally, at staff communications. The main methods are outlined in Section 4 below. Consider which might be most appropriate, both during and outside of working hours.

NB. The practices outlined in this Protocol and Strategy, along with the decisions taken by the Corporate Business Continuity Management Team managing the Incident, are final.

2. Critical Timings

The communication of adequate, accurate information is vital to keep employees, users and suppliers informed and to prevent unwanted escalation and inaccurate assumptions by the media. Specific members of the Incident Response Team (or teams if the incident is both a City-wide emergency and an internal business continuity incident) will be

responsible for various aspects relating to the communications as set out in Section 5 (the critical part of the Protocol).

It is not possible to be descriptive as to when and how often statements will need to be released and to whom, as this will be dictated by the nature and size of each incident. The Council's response needs to be flexible and be capable of providing a response when the need arises – which may be several times within the first hour.

3. Strategy

In any challenging situation triggering the Corporate Business Continuity Plan, it is vital that **ALL** communication is controlled and channelled via one outlet and that messages support the course of action implemented by those managing the situation. In a serious situation an initial meeting might be appropriate – and may already be in train to manage the incident - to allow the facts to be drawn out more fully, to structure the messages and to decide how they will be delivered. It also establishes a shared understanding of the situation.

The overall responsibility for information content is the Gold Team Leader (or in their absence the nominated Deputy). However, in a crisis situation, if neither are available or contactable then the officer nominated as Incident Management Lead for the incident and the lead Communications Team member may assume final authority for information content. In agreeing the content of any message, it is essential that a member of the Communications Team is involved and it is that team member who should be responsible for release of the agreed messages. This is because the Communications team have access to all of the necessary channels referred to below.

NO OTHER OFFICER is permitted to authorise or to release information about the incident or to display messages on the Council's internal and external information channels. Where there is a City-wide Emergency that includes the activation of the internal Corporate Business Continuity Plan, the Gold/Communications Team will liaise with the Emergency Resilience Manager on content and release of all internal communications in line with Local Resilience Forum requirement. **This is vital as there are clearly situations where the emergency has a serious impact both internally and externally.**

Within this Strategy it is important that the 'leadership' role of the City Mayor is acknowledged. It is expected that the City Mayor (and his Deputy or other members of his Executive team, as appropriate) will act as the spokesperson for the Council and will 'front up' all external communications activity (and depending upon the severity of the incident, internal too), which will principally be via the media.

4. Summary of Responsibilities (also see 3 above)

4.1 Key responsibilities for All Staff and Management:

- Managers and team leaders should ensure they can contact their staff out of hours;
- Team members should ensure they can contact their manager out of hours;
- All staff should keep their contact details up to date on MyView and other contact lists in use;
- Telephone cascades are one of the most common and effective methods to notify teams. Key points to note are:
 - Cascades are suitable for teams of up to 40 people;
 - A senior manager should call all their direct reports;
 - Those direct reports, their managers/supervisors, should call their direct reports;
 - No one person should, ideally, make more than five/six calls;
 - If a person is unavailable, the caller should move on to the next name;

- If a key caller is unavailable to make the calls, the preceding manager should make their calls or should appoint a person from the list to do this;
- The last person to receive the call should inform the senior manager that the cascade has been completed.

4.2 Specific responsibilities for BCM/Incident Response Teams:

Actions	Incident type			
	Council Incident	BCP	City-wide emergency which triggers BCP	City-wide emergency
Draft message	Corporate BCM Team; Communications Team.		Resilience Manager; Corporate BCM Team Leader; Communications Team.	Resilience Manager / Emergency Controller OR Media Cell; Communications Team.
Consultation with	City Mayor		City Mayor	Head of Marketing and Communications; City Mayor; Other responding agencies - LRF etc.
Approve (content & distribution)	Corporate BCM Team		Corporate BCM Team in consultation with Resilience Manager.	Resilience Manager / Controller OR LRF Strategic Co-ordinating Group.
Post on Insite, Facebook, Twitter and leicester.gov.uk,	Communications Team, with technical support by Web Team as necessary		Communications Team, with technical support by Web Team as necessary	Communications Team, with technical support by Web Team as necessary
Trigger Telephone Cascade	Corporate BCM Team		Corporate BCM Team	Major Emergency Plan will have been invoked
Release of Notices, Instructions and Guidance	Corporate BCM Team		Corporate BCM Team	Resilience Manager
Release of Press Statements	Corporate BCM Team via Communications Team		Corporate BCM Team and Head of Marketing and Communications	Head of Marketing and Communications / Media Cell OR Strategic LRF co-ordination group
Identify, train & maintain Media Panel	Head of Marketing and Communications		Head of Marketing and Communications	Head of Marketing and Communications

5. Channels

The Incident Management Lead, in consultation with the Communications Team lead, will decide on the most suitable selection of channels to **repeat and reinforce** key messages. These messages will be appropriate to the target audience.

Channels include but are not limited to:

- Social Media – principally Twitter and You Tube;
- Insite and Schools' Extranet - internal to Council and Children's Services staff;
- www.leicester.gov.uk – Council's website available to the public;
- Broadcast E-mail Messages - to all the Council's e-mail users;
- Letters to staff, service users, pupils or suppliers;
- The Telephone Cascade System;
- Customer Services Responses;
- Notices at Sites;
- Pamphlets, Instructions, Guidance associated with the incident; and,
- Broadcast media – radio, TV etc. The BBC have a duty to 'inform and warn' and should be a primary channel for basic information – 'Leicester City Council are telling staff to contact.....etc'.

6. Media Spokesperson

The Spokesperson is the **ONLY** individual authorised to make comment to the media, so the appropriate person is chosen by the Gold Team for rapid and authoritative comment and must be readily available to do so and have the appropriate training and experience to undertake this role. This is likely to be the City/Deputy Mayor, with appropriate Senior Officer support.

A media protocol will need to be established as a matter of urgency given the specifics of each situation. No statements should be made until this has happened and the relevant officers have assumed responsibility as above.

5.6 - Appendix 6 – Human Resources Strategy for Business Continuity Management

This section outlines guidance for Recovery Teams and managers on the main staffing issues likely to arise following a disaster situation affecting the Council.

It also includes details of the way in which the HR Strategy will be communicated to staff:

- Staff not involved in business-critical activities will be assigned to support specialist staff in business critical activities in order for them to deliver those business-critical services. Where staff are re-assigned in this manner, they will be required to act as non-specialist support staff only;
- Re-assignment and relocation is provided for in current Terms and Conditions;
- Health and Safety advisers to provide on-the-spot training for "standard" safety matters e.g. basic manual handling;
- For those diverted to work with vulnerable people, unsupervised working is to be avoided. Those without CRB checks must be replaced within 7 days of the incident at the latest;
- "Full" first-aiders are to be identified from the payroll database and will be assigned as required; and,
- Non-business critical staff may be required to stay at home but it is the joint responsibility of the manager and employee to communicate over the arrangements for their return to work.

PLACE OF WORK

Existing employees whose contractual role/duties do not normally cover the work in question may be asked to carry out other roles. In the exceptional circumstances of a BCM incident, the underlying principle is that if someone has an acceptable level of training or skills and knowledge to carry out the basic task, it should be reasonable to expect them to do it. Those who volunteer should be provided with adequate basic training to enable them to carry out the task safely and effectively. If employees from other areas of the authority volunteer to cover business critical service delivery areas they will have to meet basic requirements of the role e.g. checks or qualifications. If these cannot be met, then the situation will have to be subject to a risk assessment agreed by a senior manager.

Although employees may currently work from one location or within a particular service, they may be required to work elsewhere or in another service to help deal with staff shortages. Re-assignments and relocation is provided for in current Terms and Conditions.

Managers should consult the individuals concerned, as soon as a temporary re-assignment appears likely. Employees being temporarily re-assigned into another location or service would be provided with adequate information, instruction and training relevant to the activities they are being asked to undertake.

Managers should take into account the (in) experience of the re-assigned employee and what instruction, training and support has been provided. In the event that mistakes are made, managers need to act reasonably in the difficult circumstances presented.

If the post the employee being re-assigned to is at a higher grade the normal rules for honoraria should be applied (i.e. the additional duties have to be undertaken for at least a month before the employee receives an honorarium).

If employees incur additional costs (e.g. additional mileage, job doesn't already involve regular changes in work location) this should be claimed and reimbursed using normal expenses claim arrangements.

5.7 - Appendix 7 - Working in Disaster Mode

Situations that trigger business continuity plans are by their nature unusual events. Some staff will have specific responsibilities for managing an incident, but for many people it will be a case of doing your ordinary job but in extraordinary circumstances.

Some general differences

- Team working is more essential than ever - it is not a time for the individual. Decisions made in good faith at a stressful time should be respected;
- Communication may come through different routes;
- You may be working from a different location;
- There may be different people in your team, e.g. staff from other areas or former employees/retirees helping out;
- Members of your team could be temporarily reassigned to non-specialist roles in critical services especially if you are a designated 'buddy team' for a critical service;
- You may be covering work within your area that is usually done by another team member;
- Circumstances, facilities and location may be less than ideal;
- You may need a degree of self-sufficiency, at least in the initial stages, e.g. ICT and Property will first look to assist the most critical services; and,
- If you are a designated critical service, ask for help if you need it, via your business continuity contact or line manager. Ask early rather than waiting for the situation to become more serious.

Handling the incident

Management roles

The Corporate Business Continuity Plan includes teams responsible for co-ordinating the recovery of critical services within their functional area - Recovery Teams - and for overall management of the incident - Corporate Business Continuity Management Team.

The following paragraphs are primarily for the Corporate Business Continuity Management Team and Recovery Teams, but much is good practice for any service affected:-

- A pragmatic approach to problem-solving and rapid decision-making will be required;
- It is vital to keep the Business Continuity Management team apprised of what is happening so that the response can be co-ordinated effectively, according to the priorities of the whole council not just of certain areas;
- The Corporate Business Continuity Management Team should ensure it is in a position to take the operational and strategic decisions necessary to implement suitable actions and is empowered to act to restore operations in a timely manner;
- The most senior management will still be in a pivotal role – taking on board information from a group of senior direct reports, but potentially different individuals to usual and deciding and taking action on it accordingly; and,
- Other levels of management may be given responsibilities over and above what they usually have and must be prepared to apply them.

On a general note, incident management capability develops through the business continuity planning process; participation in exercises; and, experience of live disasters.

Communications - key to success

- Keep it clear and simple;
- Make sure all those who need to know are advised of changes to the situation. There is no need to update everybody, all the time;
- Disseminate information in a structured way. Where you have to contact people outside usual reporting lines, notify those within the chain asap;

- Information to the press and external bodies must be channelled through one person, as agreed or nominated by the Corporate Business Continuity Management Gold/Communication Team. This will normally be the City Mayor or his Deputy; and,
- Where there is a city-wide emergency, the Corporate Business Continuity Management Team should stay in touch with the Council's Emergency Controller who will also be the conduit for communications with other responders (999 services etc.)

Team Working

- Decide key aims and display them clearly. Create a similar display of issues to avoid as they evolve;
- Designate key roles:-
 - Leadership is crucial – Leader can set the tone for the whole response, and decisions are final, taking all opinion into account;
 - Team Assistant - convenes meetings, coordinates information distribution, contacts other teams, arranges domestic matters;
 - Loggist - ensures decisions, actions, communications in and out are recorded;
- Write out and display every strand of work. Identify an individual responsible for managing each one. Add items as the situation evolves;
- Record expenditure as directed below. Usually a special budget code will be set up to capture costs related to the incident; and,
- Record all actions, directions, instructions, and messages in the Log.

Financial matters

The Corporate Business Continuity Management Team and Recovery Teams must take appropriate action to restore operations in a cost conscious way. The Corporate Business Continuity Management Gold Team will:-

- Set capital and revenue financial expenditure limits at the outset and notify them to Recovery Teams;
- Set procurement criteria for all acquisitions and coordinate contractual engagement proposals with the Procurement team (either within the Division or centrally or both);
- Agree with the Chief Financial Officer exactly how expenditure will be recorded; and,
- Specify any delegated authority given to individuals or teams, and notify teams of these special arrangements.

5.8 - Appendix 8 – Leicester City Council’s 24/7/365 Services and Numbers

Council House Emergency Repairs – 0116 254 9439

Operates from 8pm to 8.30am

This line will deal with any emergency damage within our Council house estate. This will only cover emergency repairs needed until a full repair can take place.

Council Emergency Helpline – 0116 254 4344

This line will deal with any emergency affecting or caused by:

- Highway network
- Street lights
- Flooding
- Trees
- Alarms/noise pollution
- Dangerous Building Structures
- Sewer Blockages
- Council Buildings Issues

Council Environmental Team – 0116 252 7000

Council ICT Operations Team – 0116 252 7609

Available for help and support Monday to Friday 0730 – 2359 and Saturday and Sunday 0700 – 2000.

Council Security Team at NWC B Block - 0116 252 8899

The 254 4344 line diverts here when the call centre closes, as does the Environmental team’s 252 7000 when they end their duty (early hours of the morning).

Social Care and Health Emergency Team – 0116 255 1606

This team will respond to cases that cannot wait until the next working day.

Public Health Team – 0844 225 4524, Option 1, Option 2

This line is available Normal Office Hours. Out of Hours the following number should be used, which will connect you to the EMAS Control Room, please mention Public Health and they will connect you to the on-call PH Officer - **0115 967 5099**

Local Resilience Forum – Duty Officer on Call

This officer holds wider contact details for LCC and the Resilience Forum Partners. They can be contacted on pager: **07659 170195** with the following mobile number as a secondary point of contact: **07786 198283**

5.9 – Appendix 9 - Glossary of Terms and Further Information

Business Continuity Management – A *management* process that helps manage the risks to the smooth running of an organisation or delivery of a service, ensuring that it can operate to the extent required in the event of a disruption.

Business Continuity Management Lifecycle – A series of business continuity activities which collectively covers all aspects and phases of a Business Continuity Management programme.

Business Continuity Plan – A documented set of procedures and information intended to deliver continuity of critical activities in the event of a disruption.

Business Continuity Management Standard (BS25999) – A code of practice that establishes the process, principles and terminology of Business Continuity Management.

Civil Contingencies Act 2004 – The Civil Contingencies Act 2004 establishes a single framework for civil protection at the local level, establishing a clear set of roles and responsibilities for local responders.

Critical Activity – An activity the continuity of which an organisation needs to ensure in order to meet its business objectives.

Exercise – A simulation to validate a plan, rehearse key staff or test systems and procedures.

Exercise Programme – Planned series of exercises to validate plans and train and develop staff competencies.

Incident – An event that causes disruption to the organisation.

Invocation – Act of declaring that an organisation's Business Continuity Plan needs to be put into effect in order to continue delivery of key products or services.

Local Resilience Forum – A process for bringing together all the Category 1 and 2 responders within a local Police area for the purpose of facilitating co-operation in fulfilment of their duties under the Civil Contingencies Act.

Recovery Time Objective – Identifies the time by which critical activities and/or their dependencies must be recovered.

Risk – Risk measures the significance of a potential event in terms of likelihood and impact.

Risk Assessment – This is structured and auditable process used to identify significant, potential, future events, assess their likelihood and impact and then combines these to provide an overall assessment of risk, as a basis for further decisions and action.

Succession Planning – A process designed to ensure the continued effective performance of an organisation by making provision for the development and replacement of key people over time.

Stakeholders – Those with a vested interest in the Council's achievements – staff, members, service users and the general public.

FURTHER INFORMATION

Business Continuity Institute: www.thebci.org

The Business Continuity Institute's site promotes business continuity management and provides guides and good practice advice. The Business Continuity Institute's mission is to promote the art and science of business continuity management.

UK Resilience: www.ukresilience.info

A government site providing emergency planning guidance and information on a wide variety of emergencies and crises that can affect the UK.

Home Office: www.homeoffice.gov.uk

A government site with information on the threat, what to do in the event of a major emergency and what the government is doing, plus reports and guidance.

MI5: www.mi5.gov.uk

The Security Service, or MI5, is responsible for countering threats to the UK's national security and economic wellbeing. A key part of its work is to provide practical security advice on how organisations and businesses can protect against terrorism and other threats. A wide range of advice, together with descriptions of the current threats, is available on its website.

Foreign & Commonwealth Office: www.fco.gov.uk

This site offers up-to-date advice and practical information to British citizens travelling or resident overseas.

London Prepared: www.londonprepared.gov.uk

A government run site for the London resilience Team to help Londoners prepare for and cope with emergencies and disasters. The site includes practical advice; checklists and templates on risk assessment, business continuity and emergency response. Despite its title the content is helpful for any major City, such as Leicester.

EMMA



EasyGuide Business Continuity – Operational Unit Plan Template

1. Introduction

This template is to assist directors, service managers and team leaders in planning how to run their service when faced with disruption, however it is caused.

Brief instructions are in the template (note – when you have completed your plan, these, and all other instructions in red should be deleted to reduce the length of the document), but bear in mind these are general points.

By planning ahead, services can get back to normal business in the quickest possible time.

The plan is designed for completion at business unit level but can be completed for a wider service area if appropriate.

The Risk Management and Insurance Services team are available for support and guidance. They also provide training on Business Continuity Management (booked centrally through Myview) which is essential for all staff with responsibility for producing, or being a key staff member named within a plan.

2. Contents of Template

The template draws together the resources, data and procedures which a business unit needs to enable it to run in a crisis. When completed it should contain:

- Key people & their contact numbers (staff, suppliers, service users)
- Business unit locations (current, recovery site, area for staff to go where they await recovery site availability)
- ICT/procedures for running service, equipment, technology, records etc needed
- Actions necessary in first 24/48hrs, and the next week
- Disaster recovery agreements
- Log for decisions & actions (sample)

3. Instructions For Completion

As with any template, the sections and notes are for guidance only and will be applicable to some services more than others. The aim is to help you think about certain situations and requirements, especially from an external (to your service) perspective, in case another Head of Service or Senior Manager has to recover your service in the absence of you/your key staff.

The following should be considered when completing the plan:

- The activities your service areas provide, and establish which are the most essential – what would be your priority areas for recovery. These are the activities you should look to getting up and running first.
- Write plans to reflect the recovery phases, keeping them brief as possible. Make them understandable and useable by staff that may not be familiar with your service as key people may not be available at the time of the crisis.

Phase 1	First 24 hours	Essential urgent tasks. Temporary arrangements to provide the most essential parts of service. Critical staff required on site.
Phase 2	Days 2-7 (first week)	Start restoring the most essential parts of service. Ensure temporary working practices introduced in first 24 hours are robust and fit for purpose.
Phase 3	Weeks 2-4 (first month)	Plan and begin restoring remaining parts of the service.
Phase 4	Until 'business as usual'	Restoring full service and return to normal working. Hold de-brief to learn from management of the incident.

- In phases 1&2, decide on the minimum requirements to get essential activities running at a minimum acceptable level.
- There are many *causes* of disruption, but it is neither sensible nor practical to have a large number of separate plans. A BCP should keep your service running whatever the cause of the interruption. However, you may wish to append to your plan specific plans for events that are common to your work area. For example, *if you are in an area susceptible to flooding, then you may wish to have a flood plan as an appendix to your main BCP and/or provide details of where it can be found electronically (file location and name).*
- The main impacts of interruptions on businesses fall broadly into the following categories – 'The Four Ps'. Planning for these will enable you to deal with most incidents.

Loss of People *Could be* - high staff absence, total staff loss (e.g. strike), key individual(s) unavailable

Loss of Premises or other key assets e.g. vehicles *Could be* - loss of facilities (e.g. power cut), temporarily unable to access building, or destruction of building

Loss of Plant *Could be* – loss of ICT systems, loss of network, loss of hard/software, loss of telephones

Loss of key Partner *Could be* – temporary (e.g. dispute, disruption to supplier’s business) or permanent (e.g. supplier goes out of business)

- This is not an exhaustive list as there could be other impacts and causes of interruptions.
- Key actions and decisions should be logged. A sample log is included at the end of this template

4. When there is significant or widespread disruption

Consider what, **YOU**, as responsible manager need to do. If there is significant or widespread disruption, the Council’s resources will be strained and they will be directed toward the Business-Critical Activities.

This means that corporate critical functions like ICT, Transport and Property may be able to give you only very limited support. Ensure that you discuss and agree the level of support you require from these other areas, and from external suppliers, and determine where your service sits in **their** contingency plans.

5. Additional actions

While completing the plan, you may be aware of actions you need to take now to be ready to operate in a crisis; e.g. simple points like keeping copies of key hard copy documents offsite, or detailed work like documenting procedures.

Keep a separate list of points to action, and put into the plan what you have available at the current time. Make sure you test any assumptions made. It is worth contacting key internal and external suppliers to ensure that what they have promised or contracted to supply, can in fact be delivered in the timeframe you require.

6. Final points

Keep the completed plan secure – in electronic versions only, if possible and practical, and keep a copy of this plan offsite. If issued to staff, do so in ‘soft’ copy or on an LCC encrypted USB. It includes procedures which may be confidential, and contains personal contact information.

Ensure that staff know where it is, it is kept up to date and that all staff are aware of their role in the recovery process.

IF YOU ARE A BUSINESS CRITICAL ACTIVITY AS DEFINED WITHIN THE CORPORATE BUSINESS CONTINUITY PLAN, THIS PLAN AND EVERY UPDATE MUST BE SENT TO RMIS UPON COMPLETION.

**BUSINESS CONTINUITY
OPERATIONAL UNIT PLAN**

**[INSERT NAME OF TEAM / SERVICE OR
BUSINESS UNIT HERE]**

Revision History

Version	Prepared/revised by	Date

BUSINESS CONTINUITY PLAN
[INSERT NAME OF BUSINESS UNIT] - OPERATIONAL DETAILS

1 SERVICE

Outline briefly the role of your team/business unit provides, listing the main services it provides, with the most essential parts first.

2 BUSINESS UNIT RECOVERY TEAM

Head of Service (Tactical):

Deputy (Tactical):

Divisional Director (Strategic):

Team Leader (Operational):

Team Members (Operational):

Only list here the staff you would need to call in the first hour of an incident or whom you would want to respond to an incident in person

Name	Phone		Role
	Office	Home &/or Mobile	
First call out (critical staff)			
Standby staff			

In this and all subsequent tables, please delete any unused rows or add more if needed.

3 BUSINESS UNIT – LOCATION

3.1 Usual business location(s):

Insert address(es)

3.2 Alternative locations

*Enter details of alternative locations which could be used as a base during the course of the recovery period. If possible your alternative sites should be located away from the immediate vicinity of the usual premises – often in a serious incident there may well be an area of the immediate vicinity cordoned off. You also need to consider a short term 'holding' site to allow staff to move away from the affected area whilst the Emergency Services decide how long your work area will be inaccessible. **Ensure these locations are discussed and agreed by Property Services.***

Alternative location

Address of an alternative temporary location including postcode

Telephone:

Second alternative location

Address of second alternative temporary location including postcode

Short Term Location

Address of short term location including postcode

3.3 Physical base

[If your service can be delivered without a physical base, please indicate how it would operate e.g. home-based worker]

4 PROCEDURES/PROCESS MAPS FOR MOST ESSENTIAL ACTIVITIES

List links here as to where your basic normal procedures, instructions, guidelines, maps or flowcharts etc. that are required in order to deliver this activity are held. If not held electronically, attach as an appendix, or note here where hard copies are located and where backups are kept.

5 ACTIONS & TASKS FOR THE TEAM

Insert brief narrative in numbered tasks and explain actions. Insert additional rows where needed and delete any unused rows when completed. Make sure that if you place an action here that involves contact with a third party or Council service, that the name and number for that party/service is included within the 'key contacts' section within this plan at Section 7 below.

Main actions to take in the event of each of the following:

- 5.1 Loss of staff
- 5.2 Loss or unavailability of premises (or other key asset)
- 5.3 ICT failure (loss of systems, loss of telecoms)
- 5.4 Loss of key supplier/partners

5.1 Loss or unavailability of staff

See Instruction 4 (page 2).

PHASE 1 - ACTIONS TO BE TAKEN IN FIRST 48 HOURS		
Action	Person Responsible	Complete
1		
2		
3		
etc		

PHASE 2 - ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK		
Action	Person Responsible	Complete
1		
2		
3		
etc		

5.2 Loss or unavailability of premises

See Instruction 4 (page 2). Think what you will do if Property cannot help immediately, what arrangements you can make to access locations you need and get the equipment etc that is necessary. Include here the actions to let staff and service users/customers know where you are moving to and how they may contact you.

PHASE 1 - ACTIONS TO BE TAKEN IN FIRST 48 HOURS		
Action	Person Responsible	Complete
1		
2		
3		
etc		

PHASE 2 - ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK		
Action	Person Responsible	Complete
1		

2			
3			
etc			

5.3 ICT failure (system, network, telecoms)

*See Instruction 4 (page 2). Think what you will do if ICT cannot help immediately. E.g. consider work on standalone PCs/laptop or manual working. Consider how many staff have access to mobiles/blackberry devices etc. **When completing this section, ensure this is discussed/agreed with relevant ICT staff.***

PHASE 1 - ACTIONS TO BE TAKEN IN FIRST 48 HOURS			
Action		Person Responsible	Complete
1			
2			
3			
etc			

PHASE 2 - ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK			
Action		Person Responsible	Complete
1			
2			
3			
etc			

5.4 Loss of key supplier or service partner

PHASE 1 - ACTIONS TO BE TAKEN IN FIRST 48 HOURS			
Action		Person Responsible	Complete
1			
2			
3			
etc			

PHASE 2 - ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK			
Action		Person Responsible	Complete
1			
2			
3			
etc			

6 KEY RESOURCE REQUIREMENTS

Complete the following with details for minimum numbers, facilities, and resources to maintain essential activities over the initial 2-3 weeks.

6.1 Staff

Normal number of people and skills required

6.2 Computer Facilities

Minimum computer, printer, and scanning facilities needed

6.3 Other Equipment

Minimum numbers and types of equipment needed

6.4 ICT systems and Electronic Records

ICT systems and data required

6.5 Paper Based Records

Files and information required. Include their location – on or off-site

6.6 Stationery

Minimum volumes and types

6.7 Other Requirements

Details of any other items

6.8 Furniture

Minimum numbers & types of basic furniture for equipment & staff identified above

7 MAIN ORGANISATIONS & PEOPLE TO INFORM

List the main people and organisations who need to know when your service is disrupted. Include teams & services within the council (e.g. Emergency Management Health and Safety, Property Services, ICT as well as Risk Management and Insurance), and outside bodies like service users or suppliers.

Council			
Other teams/Dept.	Person to contact	Telephone	Email & fax

Outside bodies			
Organisation (Name & address)	Person to contact	Telephone	Email & fax

8 EXTERNAL DISASTER RECOVERY AGREEMENTS

For e.g. equipment, software, or data. Include contact name, and reference

Specify	Supplier Details	Scope

LOG OF TEAM DECISIONS, ACTIONS, CONTACT & OTHER EVENTS

A log of events is to be maintained by the **BUSINESS UNIT RECOVERY TEAM LEADER**

Name _____			
Business Unit _____			
Date	Occurrence	Action Taken	Comments



