



Leicester
City Council

WARDS AFFECTED
All

FORWARD TIMETABLE OF CONSULTATION AND MEETING

Strategic Management Board	1 April 2014
Operational Board	9 April 2014
Audit and Risk Committee	15 April 2014

Business Critical Activities' Business Continuity Plans – Final Update

Report of the Director of Finance

1. Purpose of Report

- 1.1. To advise the Boards/Committee of the progress made by the business in updating their critical activity business continuity plans. This follows reports on the review of our critical activity business continuity plans by De Montfort University (DMU) presented here in November 2013 and the interim update on progress made to rectify this adverse position provided in January 2014.

2. Recommendations (or OPTIONS)

- 2.1. The Boards/Committee are recommended to:-

- Note, accept and address the findings of this report as they affect their Service Areas;
- All Directors to note the revised process that is to be introduced to ensure your plans remain current and 'fit for purpose' (paragraph 4.6 below);
- All Directors to thank their staff involved in this process for their co-operation and completion of revised plans where necessary;
- Raise any issues or questions with the report author or the Director of Finance.

3. Summary

- 3.1. Following presentation to this Board/Committee in November 2013 of a report on the Council's Business Continuity plans covering its identified critical activities (work carried out by DMU) which highlighted significant 'gaps' in the Council's Business Continuity planning, a deadline was set for the necessary remedial work to be carried out by the business areas reviewed that failed to reach the agreed standard.
- 3.2. An update report was provided in January 2014 to SMB and the Audit and Risk Committee (verbal) by the Head of Internal Audit and Risk Management. At this time a further deadline was set for the plans covering the critical activities not reviewed by DMU to be submitted for assessment to RMIS.
- 3.3. This report summarises the present position and the Board will note that all plans have been submitted and 'marked'. The Council now has no critical activity plan which failed to achieve the required score. Appendix 1 summarises the scoring of the plans.

4. Report

- 4.1. The Council's BCM arrangements, including its Corporate Plan and several of its Critical Activity plans, were subjected to an independent review by a DMU post-Graduate student during Q3 2013. Of 30 plans reviewed, DMU found that only six achieved alignment with the relevant standard (a 'realistic' pass mark of 70% was set) and also contained a suitable recovery plan therein. The remaining 24 plans failed to achieve the 'pass mark' for alignment with the standard, although four of these did actually have current content – it was just that key elements were missing and one further plan, whilst achieving compliance with the standard, did so with content that was out of date.
- 4.2. Following presentation of the DMU report to Strategic Management Board on 12 November 2013; the Operational Board on 6 November 2013; and, the Audit and Risk Committee on 14 November 2013; a deadline of the 31 December 2013 for Directors, responsible for those service reviewed, to produce effective and up to date plans was set and met.
- 4.3. Along with those 'failed' plans there were also ten critical activity plans that had either not been sent automatically to RMIS or were not reviewed by DMU in 2013. These latter plans were requested from the responsible Directors by the 28 February 2014.
- 4.4. RMIS have now had all of the plans returned and have assessed these against the requirements of the standard, the results of which are shown in Appendix 1. Although all plans attained the required 'pass mark' of 70%, few scored in excess of 90% and none achieved a 'perfect' 100%. Despite these scores suggesting that staff with responsibility for business continuity in the business need training, it is disappointing to report that the BCM training sessions arranged specifically for this reason, had to be cancelled in both February and March due to insufficient attendees booking the course (and the session in January only had 11 of the 20 available spaces filled).

- 4.5. Directors should also remain aware that this score is an assessment of completion of a plan in line with a business continuity management standard. It does not guarantee that the plan will work perfectly if called into action during an incident – but it will make our response to any such incident better managed. Part of the guidance given in the RMIS BCM Training is that Directors, via their Senior Management Teams, are those best placed to assess the operational effectiveness of the plan, as that team will consist of those staff (with the knowledge of the service area; its staff; and its service users) best set to make that call. RMIS remain available to support teams in that role by providing scenarios or facilitating more detailed testing of the business area's plans.
- 4.6. To try to avoid plans being held on the secure Internet Business Continuity pages becoming out of date, it is proposed to change the methodology used in the past to update plans. In the last two years each Director has self-certified that their plans are up to date and fit for purpose and that, where necessary (for the critical activities) those plans have been sent to RMIS. Clearly this wasn't working so, going forward, each year RMIS will obtain a current plan for each of the Critical Activities after the conclusion of the self-certification process – which will remain each June. As the new plan pro-forma has a version control mechanism with a date the plan was updated this should be relatively easy to do. All critical activity plan owners, therefore, need to be aware that from December 2014 and March 2015 their plans must be updated and re-submitted to RMIS (and that this will continue each year thereafter).

5. FINANCIAL AND LEGAL IMPLICATIONS

5.1. Financial Implications

5.1.1 'Rigorous BCP arrangements are essential to ensure the Council can be confident of recovering effectively from a major incident and with as little additional or abortive expense as possible'. Colin Sharpe, Head of Finance – 37 4081.

5.2. Legal Implications

5.2.1 'Rigorous BCM arrangements are essential to ensure the Council can be confident of ensuring it has proper cover for its legal liabilities'. Kamal Adatia, City Barrister – 37 1401

6. Other Implications

OTHER IMPLICATIONS	YES/ NO	Paragraph/References Within Supporting information
Risk Management	Yes	All of the paper.
Climate Change	No	
Equal Opportunities	No	
Policy	Yes	All of the paper.
Sustainable and Environmental	No	
Crime and Disorder	No	
Human Rights Act	No	
Elderly/People on Low Income	No	
Corporate Parenting	No	
Health Inequalities Impact	No	

7. Report Author

7.1. Tony Edeson, Head of Internal Audit and Risk Management – 37 1621