



Leicester  
City Council

**WARDS AFFECTED**  
Type in Ward

## **FORWARD TIMETABLE OF CONSULTATION AND MEETING**

**Audit and Risk Committee - Comment**

**2 December 2015**

**Executive - Decision**

**10 December 2015**

**Audit and Risk Committee - Note**

**10 February 2016**

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### **Corporate Business Continuity Management Policy and Strategy 2016**

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#### **Report of the Director of Finance**

##### **1. Purpose of Report**

- 1.1. To advise the Committee of the support and agreement of the Corporate Management Team for the latest update to the Business Continuity Management Policy Statement and Business Continuity Management Strategy as contained in this report.

##### **2. Recommendations**

- 2.1. The Committee is recommended to:-

- Note that Corporate Management Team approved the 2016 Corporate Business Continuity Management Policy Statement and Strategy at Appendix 1;
- Note that the Executive will be asked to agree the Policy and Strategy in December;
- Note that this Committee will be advised of the completion of this process in February.

##### **3. Summary**

- 3.1. The Council's first Business Continuity Management Policy and Strategy was approved by Strategic Management Board on the 23 November 2010 and subsequently by Cabinet on 17 January 2011. Every year since then, the Policy and Strategy has been updated and approved by all Directors and the Executive.
- 3.2. Since that first Policy and Strategy in 2011, progress has been made improving and strengthening business continuity management arrangements culminating in a complete refresh and re-write of the Corporate Business Continuity Plan in 2012. This plan was reviewed and updated during 2013 to reflect the changes brought about by the new standard ISO22301, effective 1 November 2012. The Council's Corporate Plan and its Strategy were also independently reviewed by a post-graduate student from De Montfort University (DMU) in 2013.
- 3.3. The challenge remains to integrate business continuity management into the Council's culture, its everyday business operations and those of its contractors and partners. We are

now positioned where we have a revised and updated Corporate Business Continuity Plan (CBCP), which has been developed within an overall framework for contingency planning. This should now influence business continuity thinking in the organisation, by defining what our critical activities are and that, for those activities, a business continuity plan exists. An annual self-certification process was introduced in June 2012, whereby Directors confirm their plans had been reviewed, tested and, if appropriate, updated on an annual basis. Every critical activity plan is reviewed annually by RMIS and held securely on the BCM secure Internet site, along with the CBCP.

- 3.4. The Council continues with no full time resource corporately for Business Continuity and the activity of the Risk Management and Insurance Services team is targeted at the following key activities:-
- Continuing development of BCM at the Council to better align with current accepted best practice, Standards (ISO22301) and requirements of the Civil Contingencies Act (2004) – including a revised pro-forma being issued for staff and schools to use;
  - Ensuring that up to date, tested plans exist for all areas. Primary focus has to be the critical activities, followed by review of the remainder of the Council's activities, those deemed 'non-critical' which will continue to be reviewed and dealt with by Divisions; and,
  - Continued delivery of a specific business continuity based training programme for Senior Managers, management and their staff.

It is this latter point where the support of members and directors is most needed.

#### **4. Report**

- 4.1. A Business Continuity Management (BCM) system emphasises the importance of:
- Understanding the business needs and the necessity for establishing a BCM policy and strategy;
  - Implementing and operating controls and measures for managing the Council's overall capability to manage disruptive incidents;
  - Monitoring and reviewing the performance and effectiveness of BCM; and,
  - Continual improvement based on objective measurement.
- 4.2. The Council's BCM needs to be consistent with the International Standard (ISO22301) and ensure that its business continuity responsibilities within the Civil Contingencies Act (2004) are being met. Following work done during the last few years, the Council has a definitive base from which to build further toward alignment with the principles of the Standard.
- 4.3. In September 2011 the Cabinet Office and the British Standards Institute produced 'PAS200:2011 Crisis Management – Guidance and Good Practice' to help businesses cope with unexpected emergencies like employee deaths, corporate espionage or other natural disasters. The Council introduced a Sudden Unexpected Incident Guide (SUIG) in January 2012 as it recognised that crisis scenarios often do not need a full business continuity response. The SUIG, along with its Corporate Business Continuity Plan, allows the Council to identify the capabilities needed to develop and maintain an effective crisis response aligning to this guidance. It is disappointing that many staff still do not know of the existence of the SUIG.

- 4.4. The benefits of having a clear, unambiguous and appropriately resourced Business Continuity and Crisis Management policy and programme include:
- **Resilience** - Proactively improves resilience when faced with the disruption to the Council's ability to achieve its key objectives;
  - **Reputation** - Helps protect and enhance the Council's reputation;
  - **Business improvement** – Gives a clear understanding of the entire organization which can identify opportunities for improvement;
  - **Compliance** - Demonstrates that applicable laws and regulations are being observed;
  - **Cost Savings** - Creates opportunities to reduce the cost of business continuity management and may reduce insurance premiums;
  - **Delivery** - Provides a rehearsed method of restoring the Council's ability to supply critical services to an agreed level and timeframe following a disruption;
  - **Management** - Delivers a proven capability for managing disruptions.
- 4.5. Business Continuity Management is cross-functional by its nature. A lead BCM manager (here at Leicester City Council it is the Head of Internal Audit and Risk Management) has a policy setting, governance, quality assurance, programme management and facilitator role with, at a secondary level, individual plans to ensure continuity of the business being owned by the areas of the organisation that need to protect their service delivery.
- 4.6. In order to apply an appropriate Business Continuity strategy the Council has to identify its critical activities, resources, duties, obligations; identify its threats and risks and set its overall risk appetite – hence the facilitation role sits comfortably within Risk Management and Insurance Services (RMIS). Poorly managed incidents also leave the Council and its officers exposed to insurance claims, a function also managed within the RMIS team.
- 4.7. Work continues on achieving a cohesive incident response structure, integrated with the Emergency Management team, with close co-ordination between Business Continuity and Emergency Management teams remaining a key piece of the 2016 strategy. The Council's Head of Internal Audit and Risk Management remains Chair of the Leicestershire Multi-Agency Business Continuity Group (formerly known as the Local Resilience Forum (LRF) Business Continuity Practitioners Group, which was a sub group of the LRF General Working Group).
- 4.8. The BCM programme needs to be managed in a continuous cycle of improvement if it is to be effective. This means that formal and regular exercise, maintenance, audit and self-assessment of the BCM **culture** are essential. This ideal would be more easily realised if all of the appropriate staff within each Division attended the BCM awareness training delivered by RMIS. This needs properly formalising and managing and remains a key activity within 2016.
- 4.9. As this is now the fifth update to the original strategy and policy, changes are few and minor. There have been no changes to the policy statement and only minor changes to the following sections of the strategy:
- Section 5, second paragraph – the references to 'Gold', 'Silver' and 'Bronze' have been amended to include references to 'Strategic', 'Tactical' and 'Operational' which better reflects the language now used in the updated standard and by our partners. All such references within the rest of the plan have also been changed.

## 5. **FINANCIAL, LEGAL AND OTHER 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**

<b>OTHER IMPLICATIONS</b>	<b>YES/ NO</b>	<b>Paragraph/References Within Supporting information</b>
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**

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