

Leicester
City Council

Business Continuity Management Policy Statement and Strategy 2018

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Leicester City Council

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Business Continuity Management

Policy Statement and Strategy 2018

Business Continuity Management Policy Statement

Disruptive events occur and may be unexpected. It might be an external event such as severe weather, utility failure, terrorist attack or pandemic flu, or an internal incident such as ICT failure, loss of a major supplier or loss of key building. Such events are usually to be low likelihood, but high impact events which we need to plan for, hence the creation of this Policy setting the direction for Business Continuity Management (BCM) at Leicester City Council (LCC).

The BCM Process, including planning, will limit the impact of an incident, therefore, will act favourably with all our stakeholders, including insurers. By planning *now* rather than waiting for it to happen, we can get back to normal business in the quickest possible time. This is essential to those who rely on council's services and it helps our community retain its confidence in the council and save the organisation from reputational damage. Planning ahead means firefighting is kept to a minimum, there is more support for staff handling the situation and reduced potential for financial loss.

In a disruptive situation, it will not be possible to run **all** council services as normal. Whilst all services are important, priority for recovery will be given to those which have been established to be the most essential, the business-critical activities – those that the Board has agreed must be back up and running within 24 hours, where resources will be directed first. It is unrealistic to expect the entire service, critical or not, to be recovered immediately. In this case, the essential parts of the service is to be restored followed by the non-essential elements when possible – reasonable and practicable action is taken.

This enables the council to fulfil our duties under the Civil Contingencies Act 2004. Services should have Business Continuity Plans (BCP's) in place and its arrangements to align (but not fully comply) with the principles of the International Standard for Business Continuity, ISO22301. All services are to have a plan in place, regardless of whether it is critical or not.

For best practice, by the council aligning to the ISO22301 programme, it will help determine the council's critical assets, processes and where to deploy resources in an incident. Central to the work are preparations to mitigate the impact of disruptive events and recover faster from them.

All services and all staff have responsibilities for ensuring the council continues to operate through any crisis. The BCM Strategy and Policy sets the framework for our BCM programme. **The below is an overview of how LCC are to meet their BCM arrangements:**

- A high level Business Continuity Strategic Plan is collectively created – the Corporate BCP, which is revised and maintained annually. Each senior manager will contribute to an annual review of the Corporate BCP with the assistance of the Manager, Risk Management;
- Business Continuity Planning will be based upon the BS 25999/ISO22301 BCM Standards;
- The council is committed to ensuring robust and effective BCM as a key mechanism to restore and deliver continuity of key services in the event of a disruption or emergency;
- Business critical services is to be agreed by Corporate Management Team;
- A response team to be nominated and all staff must be made aware of the plans that affect their service delivery areas and their role following invocation;
- Each service delivery within the council is owned by a respective manager ensures that their part of the overall BCP meets a minimum acceptable standard of service delivery for critical processes which can be referred to post incident/occurrence for implementation;
- Training provided to staff regarding BCM and Planning;
- The council will implement a programme of BCP testing exercises and learning is reflected in plans.

Andy Keeling
Chief Operating Officer

Sir Peter Soulsby
City Mayor

Business Continuity Management Strategy

1. DEFINITION

Business Continuity Management (BCM) can be defined as:

'A holistic management process that identifies potential threats to an organisation and the impacts to business operations that those threats, if realised, might cause, and which provides a framework for building organisational resilience with the capability for an effective response that safeguards the interests of its key stakeholders, reputation, brand and value creating activities.'

BS 25999 Business continuity management – Part 1: Code of Practice - British Standards Institute

BCM is about the council preparing for a disaster, incident or event that could affect the delivery of services. The aim being that at all times key elements of a service are maintained at an emergency level and brought back up to an acceptable level as soon as possible. Although the immediate response to a disruption is a key component, business continuity is also concerned with maintenance and recovery of business functions following such a disruption.

BCM is not simply about writing a plan, or even a set of plans. It is a comprehensive management process that systematically analyses the organisation, determines criticality of services, identifies threats, and builds capabilities to respond to them. It should become our 'culture - the way we do things'.

2. SCOPE

BCM is a cross-functional, organisation-wide activity; consequently, the arrangements in this strategy apply to:

- All services within the council;
- Every staff member;
- All resources and business processes;
- Suppliers, service partners and outsourced services;
- Other relevant stakeholders.

This Strategy applies to all parts of the council as all service areas play a key role in maintaining service delivery. Importantly, the requirement to plan applies to all services, particularly those identified as critical through the council's business continuity methodology as agreed by the Corporate Management Team.

Business Continuity should apply to outsourced contracts. This is covered in more detail in section 12. The aim is to ensure that business continuity standards are in place so that the service provider is able to deliver acceptable standards of service following a disruption to the organisation or the supplying company.

3. REQUIREMENTS AND STANDARDS

In addition to making sound business sense for any organisation, the Civil Contingencies Act 2004 places a statutory duty upon the council, as a Category 1 responder, Leicester City Council (LCC) is to:

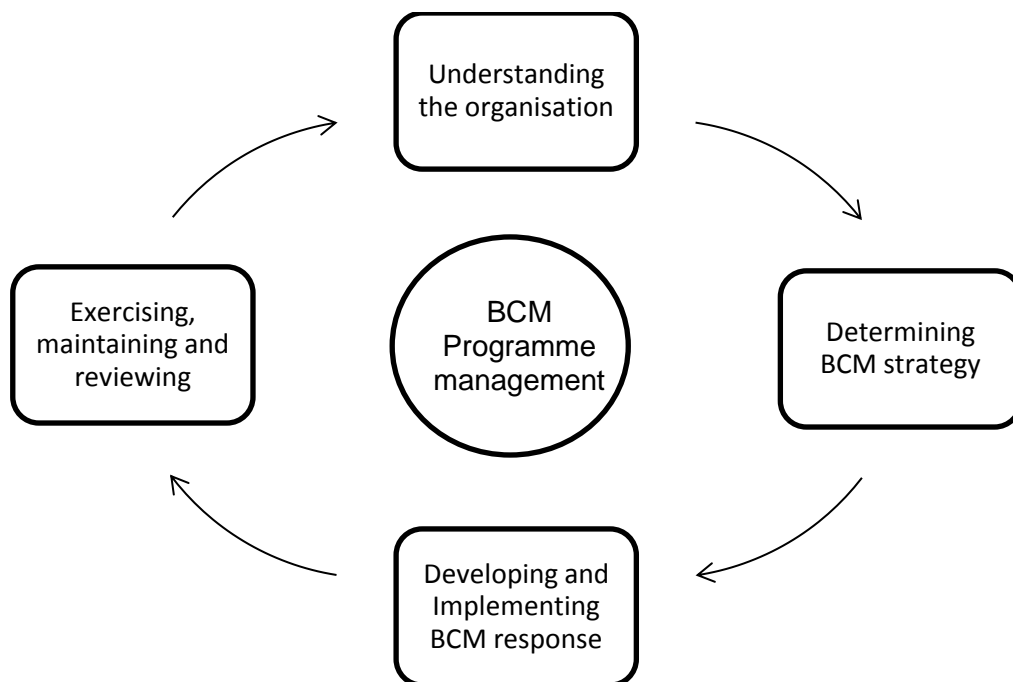
- Maintain plans to ensure that it can continue to exercise its functions in the event of an emergency so far as is reasonably practicable;
- Assess both internal and external risks – achieved through compliant risk assessment in line with the Risk Management Strategy and Policy;
- Have a clear procedure for invoking BCP's;
- Exercise plans and arrange training to those who implement them;
- Review plans and keep them up to date;
- Ensure arrangements to warn, inform and advise the public relating to an emergency are in place;
- Co-operate with other Category 1 responders during and after incident;
- To advise and assist local businesses and organisations with their BCM arrangements.

BCM arrangements are effective only if specifically built for the organisation. The council's programme is aligned with the principles of BS25999/ISO22301, the International Standard, and also to PAS200, a recent standard for Crisis Management. It is reinforced by reference to the Business Continuity Institute's Good Practice Guidelines.

4. METHODOLOGY

The ultimate aim is to embed BCM within the council's culture. Training and education is an ongoing task but awareness and capability is also a product of the structures put in place and the way we manage our programme. **Key stages in such a programme are:**

Embedding BCM in the organisation's culture



BCM programme management involves:

- Assigning responsibilities for implementing and maintaining the BCM programme within the council;
- Implementing business continuity in the council – including the design, build and implementation of the programme;
- The ongoing management of business continuity – including regular review and updates of business continuity arrangements and plans.

Understanding our organisation:

This stage involves the use of business impact analysis and risk assessments to identify critical deliverables, evaluate priorities and assess risks to service delivery (see below). This step involves intelligent, in-depth information-gathering.

- **Business Impact Analysis (BIA)** – identifying the critical processes and functions and assessing the impacts on the council if these were disrupted or lost. BIA is the crucial first stage in implementing BCM, and helps measure the impact of disruptions on the organisation;
- **Risk assessment** – once those critical processes and functions have been identified, a risk assessment can be conducted to identify the potential threats to these processes.

Determining an appropriate Business Continuity Strategy:

Making decisions based on analysis of data gathered. Setting recovery time objectives for services and determining resources required. The identification of alternative strategies to mitigate loss, and assessment of their potential effectiveness in maintaining the council's ability to deliver critical service functions.

The council's approach to determining BCM Strategies will involve:

- Implementing appropriate measures to reduce the likelihood of incidents occurring and/or reduce the potential effects of those incidents;
- Taking account of mitigation measures in place;
- Providing continuity for critical services during/following an incident;
- Take into account of services that have not been identified as critical.

Developing and implementing a BCM response:

The Corporate Business Continuity Plan (CBCP) and service areas BCP pulls together the organisation's response to a disruption and enables resumption of business units according to agreed corporate priorities and provides strategies for use by response teams. The BCP ensures that following actions are considered for:

- The immediate response to the incident;
- The interim solutions or maintaining an emergency level of service;
- Reinstating full services.

Exercising, maintaining and reviewing:

Testing plans helps to ensure they are in pace with organisational change and can be audited against defined standards. Ensuring that the business continuity plan is fit for purpose, kept up to date and quality assured. **An exercise programme will enable the council to:**

- Demonstrate the extent to which strategies and plans are complete, current and accurate; and
- Identify opportunities for involvement/improvement

Lessons Learnt

It is imperative that a debrief is held after an incident with the involvement of relevant parties, be it internal or external for example, it should include those who are involved in the planning of how to deal with an incident affecting that service area and in the recovery from the incident. Lessons learnt should be taken on board and relevant actions taken by the assignee and reflected in their service area BCP's, as well as relevant procedures and guidance.

5. INVOKING THE CORPORATE BUSINESS CONTINUITY PLAN (CBCP)

The CBCP is a high level response plan which is accessible to all 'on call senior officers'. This plan will not allow recovery of individual services but guides them to allow for the recovery of affected services, with the use of the service area's own plans. The CBCP may be invoked by any member of the council's Corporate Incident Response Team as defined within the plan itself. Effectively, the CBCP covers the Council's 'Strategic' (Gold) and 'Tactical' (Silver) level responses with individual service area plans covering the 'Operational' (Bronze) level.

The CBCP is triggered by serious situations such as:

- Serious danger to lives and/or the welfare of council staff, Members, visitors or service users;
- Major disruption of council services or interruption of any of its business-critical activities (listed in the CBCP);
- Serious loss or damage to key assets;
- Serious impact on the council's financial status or political stability; or

- Emergency situations in Leicester, or the wider Local Resilience Forum area (Leicester, Leicestershire and Rutland).

6. SPECIFIC ROLES IN THE CORPORATE BUSINESS CONTINUITY PLAN (CBCP)

Once the CBCP has been triggered, the Strategic (Gold) and Tactical (Silver) teams have control of the situation and are authorised to take all decisions necessary. The Strategic (Gold) Team have overall control by overseeing, directing and authorising the work of the Tactical (Silver) Team who are managing the response and deciding, and monitoring, the actions for the Operational (Bronze) team(s) to implement.

The CBCP sets out this process in more detail. The following teams are subject to change as the BCM Programme develops, but currently are as follows:

Incident Response Team:

- Comprises principally of those Directors and Senior Heads of Service who have responsibility for a defined Business Critical Activity;
- Manages and directs the council's response to a serious incident affecting council services or assets;
- Comprises of the Strategic (Gold) and Tactical (Silver) teams;
 - **Strategic (Gold) Team** will act as a 'check and challenge' function and leads on communications (internal and external), workforce-related matters and directs non critical services;
 - **Tactical (Silver) Team** will manage the Operational (Bronze) Recovery teams and keeps the Strategic (Gold) team informed of developments.

Recovery Teams:

- Comprises principally of Heads of Service and their senior managers;
- Collective responsibility for resumption of critical services within their divisions by means of their own individual BCPs;
- Will be directed by and report back to the CBCP 'Tactical' (Silver) team.

7. MAINTENANCE OF THE CBCP

Ensuring that the plan reflects ongoing changes within the business is crucial. This involves revising the document and amending to reflect updates, testing the updated plan, informing and updating the on call team/authorised personnel. The Manager, Risk Management is responsible for this maintenance task. Annually, the Manager, Risk Management will ensure that the CBCP undergoes a formal/complete review which may lead to major revisions and to confirm the incorporation of changes required via the on call team/directors.

8. BUSINESS CRITICAL SERVICES

Annually, the Manager, Risk Management circulates a reminder to business critical services plan owners requesting a thorough update of the plan is due for submissions to RMS. The Manager, Risk Manager facilitates this process. Although, changes should be made to their BCP's as and when new staff join or leave, to reflect office moves, procedures change, a thorough review is expected annually, usually by the year financial end.

Each department is responsible for keeping its contact lists up to date and issuing off site documentation to new members of staff in their service areas BCPs'. These revisions will need to then be distributed to all authorised personnel, who exchange their old plans for the newly revised plans.

9. LOCATING BCP's

BCP's should be saved electronically and onto a memory stick. Holding paper copies is acceptable but be cautious of such a method as the plan will contain confidential information. Ensure staff within teams are aware who have access to their service area BCP. This will ensure smoother and faster recovery from an incident.

10. BUSINESS CONTINUITY SELF CERTIFICATION

Annually, all Directors will self-certify that BCP's are in place for all their services where the Manager, Risk Manager will facilitate the process and reports to Corporate Management Team.

11. PRINCIPLES, RESPONSIBILITIES AND MINIMUM STANDARDS

Appendix 1 details the roles and responsibilities of those involved in BCM, it's planning and implementation.

12. BUSINESS CONTINUITY AND PROCUREMENT

Contracts for goods and/or services deemed critical to business continuity should include a requirement for each nominated supplier to give an assurance and evidence that robust BCP arrangements are in place covering the goods and/or services provided. When procuring critical goods and/or services, the need for further business continuity requirements in the specification and/or evaluation criteria must be considered.

13. BCM IN THE COMMUNITY

The council will participate in appropriate practitioner groups and work with partner agencies and schools to promote BCM in the community and will advise and assist local organisations with their BCM arrangements.

14. MULTI-AGENCY BUSINESS CONTINUITY GROUP

The Manager, Risk Management will continue to chair this group which involves partner agencies such as emergency services, utilities, voluntary organisations. These meetings highlight how partner agencies respond to an incident and its business continuity implications.

15. VALUE OF BCM

The wider value of BCM is acknowledged as being 'no longer for high impact, low probability physical events' and is 'becoming an essential enabler of organisational resilience as part of business as usual' (**BCI Good Practice Guidelines 2013**). Effective BCM delivers a number of tangible and intangible benefits to individual services and to the council as a whole, including:

- Develops a clearer understanding of how the council operates in a disruptive situation;
- Meeting stakeholder needs. Having arrangements in place to fulfil your obligations and being more confident about the decisions you make in a crisis;
- Protects the council, ensuring that it can help others in an emergency (facilitated by the BCP)
- Keep businesses trading when they would otherwise have probably failed due to an incident. This shows customers and suppliers you are serious about the resilience of the business, helping to significantly reduce the impact and cost of disruptions.
- Providing assurance and protection to your staff.
- Company's reputation increases, having competitive advantage.
- Insurance premium discounts, reduced excesses and opening doors to new insurance markets. Allowing what otherwise would be unacceptable risks to be insured.

Appendix 1: ROLES AND RESPONSIBILITIES

City Mayor / Executive	<ul style="list-style-type: none"> • Approve the council's Business Continuity Strategy and Policy Statement annually.
Audit and Risk Committee	<ul style="list-style-type: none"> • Ensure that the Business Continuity Strategy is produced, approved by the Executive and updated regularly; • Monitor effectiveness of Business Continuity Management (BCM) arrangements via reports from the Manager, Risk Management
Chief Operating Officer / BCM Champion	<ul style="list-style-type: none"> • During an incident, lead the Council's 'Strategic' (Gold) Incident response.
Strategic and Operational Directors	<ul style="list-style-type: none"> • Ensure the BCM policy, strategy and development plan is enforced and resourced appropriately; • Participate as required in management teams within the Corporate Business Continuity Plan (CBCP); • Ensure appropriate levels of staff sit on the 'Strategic' (Gold) and 'Tactical' (Silver) Recovery teams within the CBCP; • Ensure each of their Service Areas has an effective and current BCP in place which is reviewed each year; • Annually self-certify that effective plans exist for all their services, that these plans remain current and 'fit for purpose'; and that any testing of those plans has been carried out (with the assistance and support of RMS, if required); • Identify staff for training; • Embed BCM culture into the ethos of operational management
Corporate Management Team	<ul style="list-style-type: none"> • Approve the BC Strategy and Policy annually and ensure implementation
Manager, Risk Management	<ul style="list-style-type: none"> • Overall responsibility for co-ordinating the BCM programme; • During an incident, co-ordinate the council's BCM incident response(s), supporting the COO as 'Strategic' lead; • Following an incident, facilitate the 'lessons learned' session(s); • Produce the Corporate BCM framework and key strategies; • Make available best practice tools (e.g. templates); • Identify training needs and arrange delivery; • Support and advise service areas; • Facilitate the self cert process • Facilitate testing and exercising of the council's BCPs when requested by Directors/their teams; • Quality control – review BCM arrangements for services; • Lead on the council's statutory duty to promote BCM in the community.
All Heads of Service / Managers	<ul style="list-style-type: none"> • Lead Business Continuity arrangements within their area; • Attend training commensurate with their role; • Identify staff from their teams that have a role to play in any recovery for suitable training; • Prepare a recovery plan covering all service delivery functions (priority for critical functions), update at least annually; and, • Implement the agreed arrangements in the event of a disruption.
All Staff	<ul style="list-style-type: none"> • Familiarisation with business continuity arrangements within their area; • Attend training commensurate with their role; • Engage with testing and exercising; • Respond positively during a crisis situation.