

## **Appendix 2 - Leicester City Council's Business Continuity Management Strategy and Policy Statement - 2016**

### **Policy Statement - 2016**

This Policy sets the direction for Business Continuity Management at Leicester City Council. Disruptive events do occur and are usually unexpected. It might be an external event such as severe weather, utility failure or pandemic flu, or an internal incident such as ICT failure, loss of a major supplier or loss of a key building.

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 the Council's services and it helps our community retain its confidence in us. Planning ahead means there is less muddling through, 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 in the usual way. Whilst all services are important, priority for recovery will be given to those which have been determined to be the most essential, the business-critical activities – those that the Board has agreed must be back up and running within 24 hours, and this is where resources will be directed first.

This enables us to fulfil our duties under the Civil Contingencies Act 2004. The Council has had plans in place for some time and its arrangements align (but not fully comply) with the principles of the International Standard for Business Continuity, ISO22301.

By the Council following the ISO22301 programme, it will improve understanding of our critical assets and processes. Central to the work are preparations to mitigate the impact of disruptive events and recover faster from them. This can be as valuable as a plan or document.

All services and all staff have responsibilities for making sure the Council continues to operate through any crisis. The Business Continuity Strategy outlines these within the overall framework for our approach.

**Andy Keeling**  
**Chief Operating Officer**

**Sir Peter Soulsby**  
**City Mayor**

# **Leicester City Council's Business Continuity Management Strategy 2016**

## **1. Definition**

Business Continuity Management (BCM) is not simply about writing a plan, or even a set of plans. It should be a comprehensive management process that systematically analyses the organisation, identifies threats, and builds capabilities to respond to them. It should become our 'culture'.

Although the immediate response to a disruption is a key component, business continuity is more concerned with maintenance and recovery of business functions following such a disruption.

## **2. Scope**

Business Continuity Management (BCM) is a cross-functional, organisation-wide activity; accordingly the arrangements in this strategy apply to:

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

## **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, 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 business continuity plans;
- Exercise plans and arrange training to those who implement them;
- Review plans and keep them up to date; and
- To advise and assist local businesses and organisations with their BCM arrangements.

Business Continuity Management arrangements are effective only if specifically built for the organisation. The Council's programme is aligned with the principles of 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 Business Continuity Management 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:

- **Understanding our organisation:** Intelligent, in-depth information-gathering. Understanding activities, dependencies (internal & external) and the impact of disruption on each service. Often this will be captured in a formal Business Impact Analysis. Threats are risk assessed at this stage;
- **Determining appropriate Business Continuity Strategy:** Making decisions based on analysis of data gathered. Setting recovery time objectives for services and determining resources required;
- **Developing and implementing a response:** The Business Continuity Plan which pulls together the organisation's response to a disruption and enables resumption of business units according to agreed corporate priorities. Provides strategies for use by response teams; and,
- **Exercising, maintaining and reviewing:** Testing plans, ensuring they keep pace with organisational change and are audited against defined standards.

#### 5. Invoking the Business Continuity Plan

The Corporate Business Continuity Plan (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).

The CBCP may be invoked by any member of the Council's Corporate Business Continuity Management Team as defined within the plan itself. The CBCP is not a plan that will allow recovery of affected services, but guides the efforts of Senior Managers to allow them to be able to recover affected services using the service area's own plans. Effectively, the CBCP covers the Council's 'Strategic' (Gold) and 'Tactical' (Silver) level responses with individual service area plans covering the 'Operational' (Bronze) level.

## **6. Business Continuity Management (BCM) in the community**

The Council will participate in appropriate practitioner groups and work with partner agencies to promote BCM in the community and will advise and assist local organisations with their BCM arrangements. In certain circumstances this may be chargeable.

## **7. Principles, Responsibilities and Minimum standards**

### ***Executive***

- Approve the Business Continuity Strategy.

### ***Audit and Risk Committee***

- Ensure that the Business Continuity Strategy is produced, approved by the Executive and updated regularly; and,
- Monitor effectiveness of Business Continuity Management (BCM) arrangements via reports from the Head of Internal Audit and Risk Management.

### ***Strategic and Operational Directors***

- 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' and 'Tactical' 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 of RMIS, if required);
- Identify staff for training; and,
- Embed BCM culture into the ethos of operational management

### ***Chief Operating Officer/BCM Champion***

- During an incident, lead the Council's 'Strategic' BCM response.

### ***Head of Internal Audit and Risk Management***

- Overall responsibility for co-ordinating the BCM programme;
- During an incident, co-ordinate the Council's BCM 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 testing and exercising of the Council's BCPs when requested by Directors/their teams;
- Quality control – review BCM arrangements for services; and,
- Lead on the Council's statutory duty to promote BCM in the community.

### ***All Heads of Service/Managers***

- 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***

- Familiarisation with business continuity arrangements within their area;
- Attend training commensurate with their role;
- Engage with testing and exercising; and,
- Respond positively during a crisis situation.

## **8. Specific Roles in the Corporate Business Continuity Plan (CBCP)**

Once the CBCP has been triggered, the Strategic/Gold and Tactical/Silver teams have operational 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 Business Continuity Management Programme develops, but currently are as follows:

### ***Business Continuity Management Team***

- Comprised 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.
- Within the Group will be Strategic/Gold and Tactical/Silver teams. The 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. The Tactical/Silver team will manage the Operational/Bronze (Recovery) teams and keeps the Strategic/Gold team informed of developments.

### ***Recovery Teams***

- Comprised 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' team.

## **9. Value of Business Continuity Management (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). The key benefits of embedding Business Continuity in your business are:

- Having arrangements in place to fulfil your obligations AND being more confident about the decisions you make in a crisis.
- Keeps businesses trading when they would have 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.
- Companies reputation increases, having competitive advantage.
- Insurance premium discounts, reduced excesses and doors opening to new insurance markets
- Allowing what would otherwise be unacceptable risks to be insured.