

# Leicestershire County Council Business Continuity Management Policy Document

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**Prepared by:** Linda Sparrow

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## Document Control

### Control Details

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### Document Amendment Record

Issue	Amendment Detail	Reviewer	Date	Approved
Ver 2.0	Annual review of document	Julie Goddard	September 2013	John Sinnott
Ver 3.0	Annual review of document	Julie Goddard	September 2014	John Sinnott
Ver 4.1	Annual review of document	Ian Smith	September 2015	John Sinnott
Ver 5.0	Annual review of document	Ian Smith	September 2016	John Sinnott
Ver 6.0	Annual review of document	Linda Sparrow	September 2017	

### Full Review

Annually in September, or on significant change affecting the Council's Business Continuity approach. **Next full review due September 2018**

# 1. Introduction

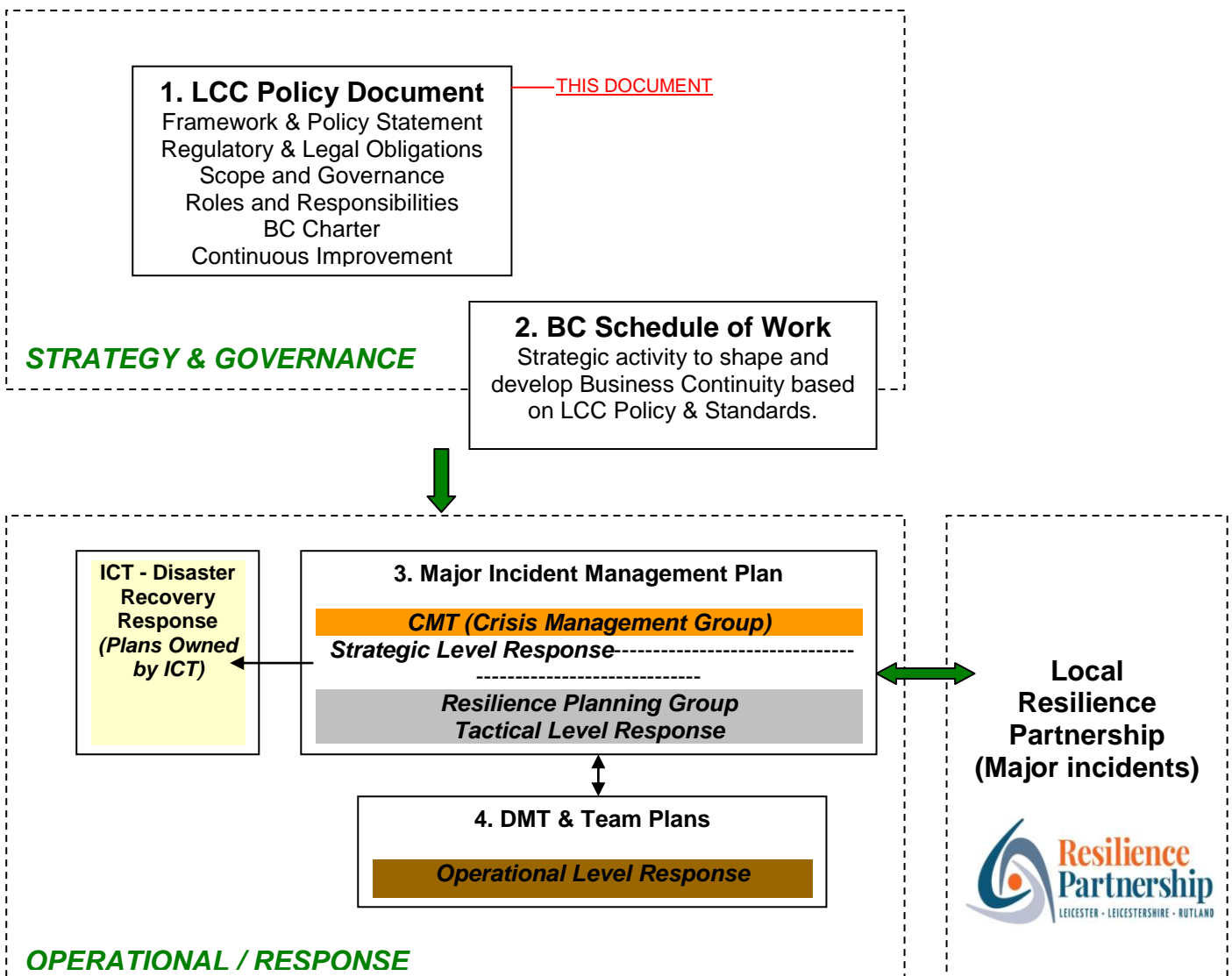
This policy relates to the governance of Business Continuity, and hence describes the Business Continuity framework and strategy for Leicestershire County Council.

The document outlines the principles and approach which will be applied to ensure that the Council meets its regulatory and statutory obligations, as well as its commitment to continue provision of critical services during an incident, as far as possible.

# 2. LCC BC Framework

The diagram below provides an overview of the strategic and operational documents related to Business Continuity. Each document includes details of the associated processes.

Copies of all documents are available from the [Business Continuity Team](#) on request.



### 3. Policy Statement

The Council's Business Continuity Policy provides the framework which enables the County Council to comply with the Business Continuity requirements laid out in the Civil Contingencies Act of 2004. This is achieved by implementing and executing a Business Continuity Management System that aligns with the International Standard for Business Continuity (ISO22301).

#### **Principles which the County Council will apply in relation to Business Continuity**

- Business Continuity Management arrangements must be in place to ensure that Leicestershire County Council can continue to deliver its critical services to key service users and stakeholders in the event of a disruption.
  - Where necessary, this will include engagement & coordination with the Local Resilience Forum.
- Senior Management shall demonstrate leadership and commitment to Business Continuity by ensuring policies and objectives are established which are compatible with the strategic direction of the Council, and which conform to key elements of the International Standard for Business Continuity (ISO22301). This includes its statutory and regulatory requirements.
- Senior Management will support and empower all relevant managers in developing and maintaining Business Continuity plans, including establishing roles, responsibilities and competencies. This will include the integration of Business Continuity into the Council's wider business processes.
- All levels of management shall ensure that resources required for Business Continuity are, as far as possible, available.
- All staff within Leicestershire County Council will be made aware of the Council's general Business Continuity arrangements.
- The Business Continuity approach will be developed and maintained in line with the Council's risk profile and risk appetite, as defined by Senior Management.
- Each business function and/or service within Leicestershire County Council will ensure that clear lines of responsibility exist at all times. The lead officer for that business/service area will ensure that Business Continuity plans are current and capable of maintaining at least the minimum acceptable standard of service delivery for each business function and/or service in times of a disruption.
- The Council's central supporting departments will provide professional support to enhance resilience of critical activities and resources that support front-line business functions and services.
- Each department will carry out an annual review of its Business Continuity plans.
  - The Business Continuity Team will manage the review process and provide support where necessary.
- Each business/service area will exercise some element of its Business Continuity plan at least once a year and make modifications where necessary. The style of the exercises will vary, and may increase in difficulty and complexity as Business Continuity planning for the Council matures.
  - The Business Continuity Team will co-ordinate exercises and, where appropriate, the Resilience Planning Group will monitor the exercises, and will also be subject to exercises themselves.
- Contracts with 3<sup>rd</sup> party suppliers who provide critical and priority services will include a requirement for Business Continuity processes to be in place and exercised to the satisfaction of Leicestershire County Council.
- Where Business Continuity documentation includes confidential details, the sensitivity of the

information must be respected by all those who access and use the information and in accordance with the Council's [Information and Data Governance Policy](#).

- Such information must not be forwarded on, or communicated out, without the express consent of the document owner.
  - Key BC documentation is stored securely on Resilience Direct, with access being granted to relevant managers, as appropriate.
- Formal invocation, escalation and notification processes are in place, and include post-incident activity to ensure lessons learned are applied to the Council's Business Continuity approach and planning.
  - The Business Continuity team will be the custodians and facilitators of Business Continuity for the County Council.
    - Their primary objective will be to ensure this Policy is implemented and executed as written.
    - Any non-compliance issues will be raised to the appropriate levels of management for discussion and suitable action.

## 4. Regulatory and Legal Obligations

According to the Civil Contingencies Act (2004), the County Council is classed as a 'Category 1 Responder' during a major incident. This means that the Council is part of a core responder group which includes the emergency services, health bodies (e.g. NHS) and the Environment Agency.

Category 1 responders have a civil protection duty and a legal requirement to implement an appropriate response to a major incident.

Responsibilities for Category 1 responders are summarised as follows:-

- a) Assess the risk of emergencies occurring and use this to inform contingency planning.
- b) Put in place emergency plans.
- c) Establish, and maintain, arrangements to:
  - o make information available to the public about civil protection matters
  - o warn, inform and advise the public in the event of an emergency.
- d) Share information with other responders to enhance coordination and efficiency.
- e) Establish Business Continuity arrangements.
- f) Provide advice to local businesses and voluntary organisations about Business Continuity Management.

The Resilience Partnership Team and the County Council's Business Continuity team work together to ensure the responsibilities encompassed within the Civil Contingencies Act (2004) are covered using a coordinated approach.

The link between the Resilience Partnership Emergency Management Team and the LCC Business Continuity function is described in more detail in [Section 6 Resilience Partnership and Local Resilience Forum – Objectives and Relationships](#).

A full copy of the Civil Contingencies Act (2004) is available on request from the [Business Continuity Team](#).

## 5. Scope and Governance

### Scope

The scope of Business Continuity within the Council covers internal and/or corporate incidents affecting back office processes and those events which impact the wider community and which may require a co-ordinated multi-agency response. The latter will involve planning for, and working with, the Resilience Partnership ([see Section 6](#)), to ensure all efforts are controlled and managed for the greater good of the public and communities.

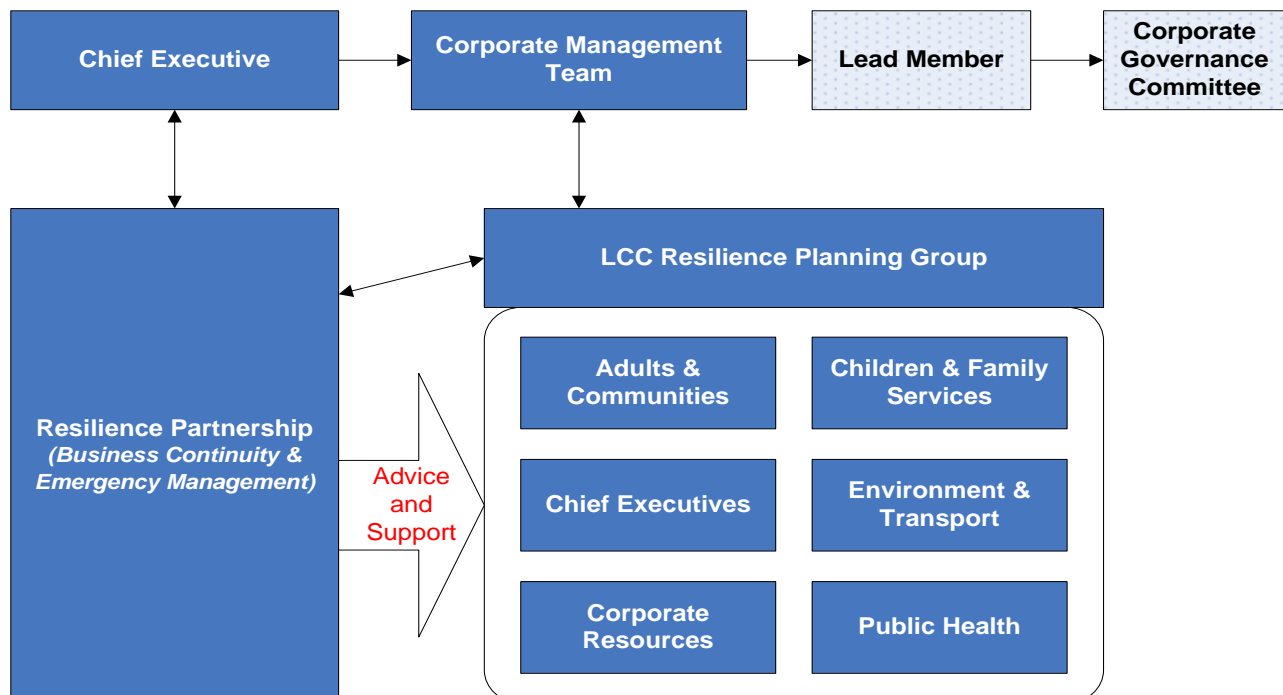
In both of the above contexts, the types of events dealt with by Business Continuity include, but are not restricted to:

- Building issues – fire, flood, explosion etc
- Utility / main service failures, i.e. loss of water, power or gas
- Computer failure or unable to access computer based information
- Staff issues – loss of key skills and experience (including industrial action)
- Issues in local neighbourhood impacting your site
- Environmental issues, including weather and human / animal disease
- Road and transport disruption
- Impact of supplier failure
- Other unanticipated events leading to any of the above impacts

In terms of the association with risk, Business Continuity should be linked to the County Council's Risk Register and 'risk appetite', i.e. the level of risk which the Council is prepared to carry, mitigate against, transfer, etc.

### Governance

#### Business Continuity Structure – Governance Diagram





## Governance Definition

The Chief Executive and the Corporate Management Team (CMT) are the owners of Business Continuity for the County Council. In line with the International Standard for Business Continuity (ISO22301), this means that they have responsibility for:

- The establishment of Business Continuity requirements which take into consideration the organisation's "mission, goals, internal and external obligations, legal requirements and regulatory responsibilities".
- Ensuring Business Continuity policies and objectives are in line with the organisation's strategic direction and risk appetite.
- The integration of Business Continuity into the organisation's regular business processes.
- Monitoring that Business Continuity achieves its intended outcomes.
- Ensuring all relevant management roles demonstrate their leadership and commitment as Business Continuity applies to their areas of responsibility.
- The definition of criteria for accepting risks and acceptable levels of risk.
- Identifying risks or issues not adequately addressed in previous risk assessments.
- Active engagement in exercising and testing of the Council's Business Continuity capability.
- Supporting opportunities for improvement, including monitoring the results of exercising and testing, and follow up to incidents.

Whilst the Chief Executive and CMT may discharge the above responsibilities via the Council's Resilience Planning Group and Resilience & BC Manager, they do retain responsibility for the overall direction of the Council's Business Continuity capability. In this respect, they should be aware of the following, demonstrable, evidence which may be required should an internal or external audit be carried out:

- Performance evaluation
- Effectiveness
- Measurable documented evidence
- Legal & regulatory obligations

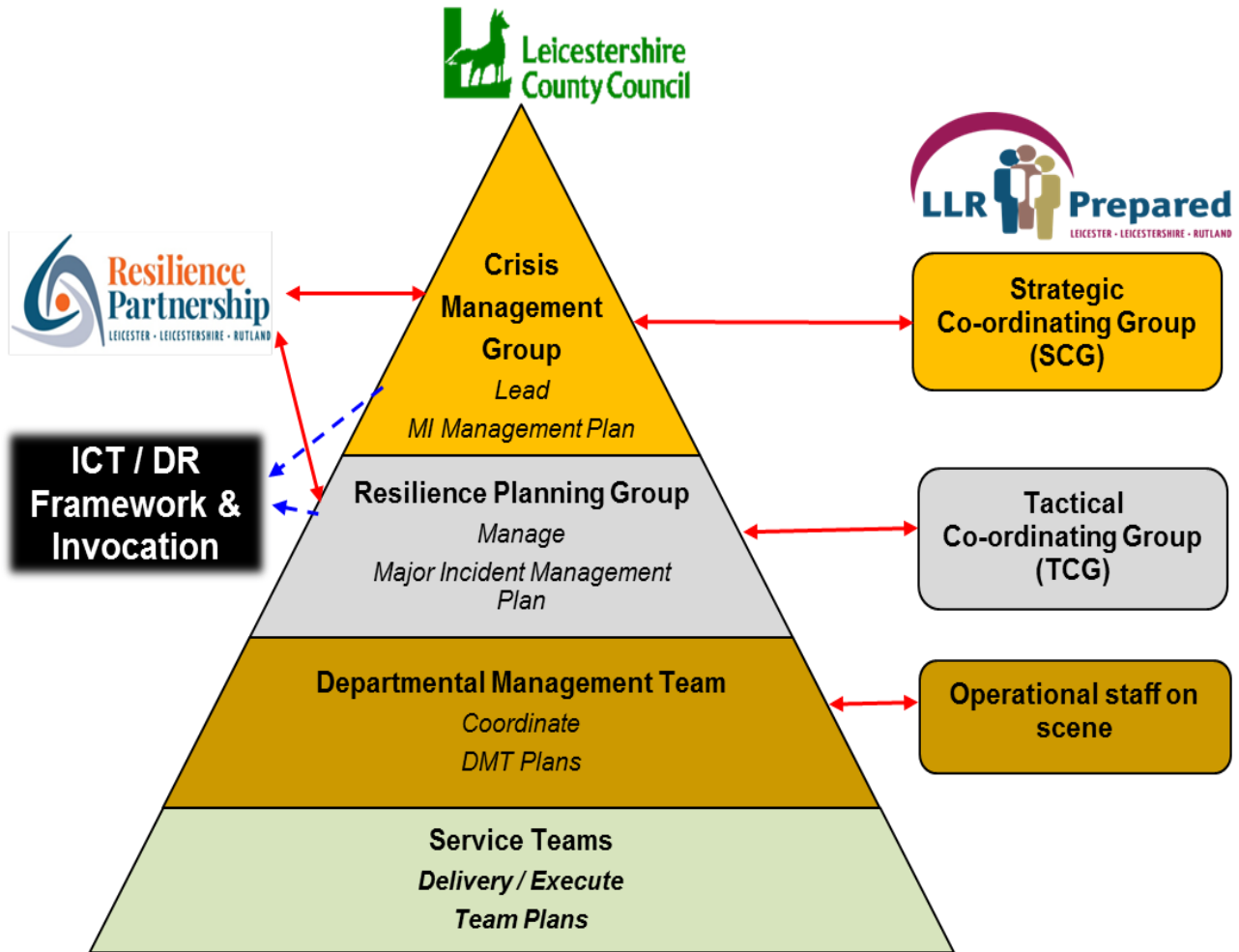
## **Chief Executive and Corporate Management Team**

In addition to their governance responsibilities during 'peace-time', the Chief Executive and Corporate Management Team (CMT) have a role to play during an actual incident. Details of their role are described in [Section 7 Roles and Responsibilities](#).

During an incident, the Chief Executive and CMT are considered to be at 'Strategic' level and assume the role of the 'Crisis Management Group'. As such, the Chief Executive and CMT have ultimate responsibility for managing and directing serious incidents.

It must be noted that, under normal circumstances, only severe incidents are escalated to 'Strategic' level of command, and indeed, many events are managed at lower levels of the Council. However, the Chief Executive and CMT should be kept informed of activity in less severe incidents, most particularly because all incidents have the potential to escalate to a worse position, and hence CMT involvement may be required.

The diagram below shows the context of the Chief Executive /CMT role within the incident response procedure.



## 6. LL&R Resilience Partnership & LLR Prepared

### Objectives and Relationships

The LL&R Resilience Partnership (*Emergency Management*) provides Emergency Planning resource to all 10 local authorities within Leicester, Leicestershire & Rutland, and is hosted by Leicestershire County Council.

The main objective of the Resilience Partnership Emergency Management team is to ensure that the local authorities within the partnership meet their responsibilities under the Civil Contingencies Act 2004.

This is achieved by:

- Developing contingency plans to ensure that local authorities can respond effectively to support the Emergency Services in the event of a major incident.
- Providing the relevant training & exercising opportunities.
- Representing local authorities within the multi-agency environment, i.e. 'LLR Prepared'
  - **Note: 'LLR Prepared' is the branding name for the Local Resilience Forum**

In order to fulfil these obligations, roles have been specifically assigned to the Resilience Partnership Emergency Management team; [see Section 7 Roles and Responsibilities](#).

Further details of the Resilience Partnership Agreement and Terms of Reference are available from the [Business Continuity Team](#).

## 7. Roles and Responsibilities

### County Council - Management

#### Overall BC Responsibility

##### **Head of Service for Resilience**

- Line Manager for the LL&R LRF Resilience Partnership Coordinator & escalation point for LCC Resilience & Business Continuity Manager.
- Report to the Chief Executive on all Business Continuity and Emergency Management (BC&EM) matters.
- Chair the Resilience Planning Group.
- Responsible for driving forward development of Business Continuity and Emergency Management within the Council and strengthening/enforcing the BCM governance structure.
- Represent LCC within the Local Resilience Forum (LRF) governance structure.
- Co-ordinate LCC resources (departments and service areas) to support LRF planning activity via the Resilience Partnership Co-ordinator.
- Oversee Emergency Management support provided by the LRF and the Resilience Partnership functions.
- Report annually to CMT on the status of BCM within the Council.
- Manage the Emergency Management Service Level Agreements between the Council and the LL&R LRF, and the Council and the Resilience Partnership. (note: two separate agreements)
- Bring to the attention of CMT any capability shortfalls which could mean that the Council would be unable to recover critical services within the expected timescales.
- Provide a Business Continuity operational response to support the On Call Senior Manager, the Resilience Planning Group and the Crisis Management Group, as required.

##### **Resilience & Business Continuity Manager**

- Promote ownership and responsibilities for Business Continuity at all levels of the Council.
- Co-ordinate an annual review of Business Continuity Management (BCM) to ensure governance, strategy and capability remain fit for purpose, and are in line with the Council's risk strategy.
- Co-ordinate an effective approach to Business Continuity across the Council, including the development of pragmatic and realistic plans (including cross-dependencies).
- Work with the Commissioning Support Unit and Contract Managers to ensure 3<sup>rd</sup> party suppliers' and key partners' contingency arrangements meet LCC standards for business critical services.
- Will make arrangements to ensure that ESPO has in place policies and procedures to comply with the requirements identified by the Management Committee as being essential to the effective delivery and management of their Business Continuity response.
- Develop and execute an annual training & exercise programme.
- Represent the interest of the County Council in Resilience Partnership & Local Resilience Forum activity.
- Respond to and support the Council during an incident, including providing 'early warning' alerts where there is a potential for disruption (*with the Resilience Partnership Emergency Management if appropriate*).
- Track and monitor BCM performance, providing regular reporting on progress.
- Co-operate with internal and external audit and/or strategy queries with BCM implications.
- Execute effective Business Continuity awareness campaigns, both internally and externally.
- Deputise for the Head of Service for contingency, where appropriate.

## **Strategic Level**

### **Chief Executive**

- Owner & governance lead for Business Continuity for the County Council, [see Section 5 Scope and Governance](#).
- Lead the CMT in direction of the Council's strategy for Business Continuity.
- Lead the CMT in the recovery strategy for the Council during an incident (Strategic Level response)

### **Corporate Management Team (CMT)**

This team comprises the Chief Executive, together with Chief Officers/Directors of the 6 Council departments, i.e. Adults & Communities, Chief Executive's, Children & Family Services, Corporate Resources, Environment & Transport and Public Health.

- Ensure that the governance, policy, strategy and work programme for Business Continuity Management (BCM) are executed and resourced appropriately for the benefit of all areas of the Council, [see Section 5 Scope and Governance](#).
- Report on the status of the Council's Business Continuity arrangements to the Cabinet and/or the Corporate Governance Committee, as appropriate.
- Establish the Crisis Management Group, which will form the Council's senior decision making team (Strategic Level Response), in an emergency or disruptive incident.
- Chief Officer of each department to act as departmental spokesperson during a disruptive event.
  - This role may be delegated, but only in the absence of the Chief Officer.

## **Tactical Level**

### **Resilience Planning Group**

This team comprises of Assistant Directors of the 6 Council departments, i.e. Adults & Communities, Chief Executive's, Children & Family Services, Corporate Resources, Environment & Transport and Public Health, together with representatives from Business Continuity, Emergency Management, Human Resources, Communications/Media, I&T Services and Property/Facilities Management.

- Implement the strategic direction as set by the CMT.
- Responsible for the Tactical level incident response end to end - for their own teams, as well as the greater good of the council.
- Audit and review all Business Continuity arrangements/emergency plans.
- Promote the importance of Business Continuity and responsibilities of management within each department.
- Ensure Business Continuity arrangements are embedded within each department.
- Ensure appropriate governance for resilience projects, including resource.
- Authorise and review completed Business Continuity and emergency plans.
- Oversee and review the Business Continuity exercise programme.
- Authorise Business Continuity and emergency plans to be referred to the CMT for approval.
- Attend regular scheduled meetings, and convene on an extraordinary basis where the operational situation demands.
- Provide Corporate Resources support to critical services response during an incident.
- Ensure contribution to LRF aligns with LCC requirements/needs.
- Invoke an appropriate Business Continuity response within departments to actual or perceived incidents as agreed with the On Call Senior Manager.

### **On Call Senior Manager**

- To be the first point of contact for any actual or perceived incident 24/7/365.
- To confirm that the Council's operational response is appropriate and to notify the Resilience Planning Group's representative/s of the affected departments if required.

- Where an elevated response is required, to notify the Business Continuity Team of the need to convene a tactical and/or strategic level response.
- To lead the Council's initial response to an actual or perceived incident.

### **Operational Level**

#### **Departmental Management Teams (DMT) (one per department)**

- Ownership for Business Continuity for their department, including planning and incident response.
- Continually review the impact of government policy and internal change programmes on their departmental Business Continuity arrangements and any supporting documents.
- Review, at least annually, those service areas within the department deemed to be business-critical and for whom formal Business Continuity arrangements should be in place.
- Encourage awareness of Business Continuity within their departments through induction programmes and by considering Business Continuity during appropriate management/team meetings and staff events.
- Ensure resource is available for Business Continuity planning and incident response.
- Take part in Business Continuity training & exercises, to rehearse DMT plans and response.
- Co-ordinate and manage departmental resources to ensure critical services are maintained during an emergency or disruptive incident (Operational Level response).
- Contribute appropriate resources to any multi-agency response, as determined by the LRF and associated Crisis Management Group.

#### **Operational Teams**

- Follow the DMT lead on Business Continuity in both Business Continuity planning and incident response.
- With support from the Business Continuity Team, compile & maintain Business Continuity plans which are realistic and pragmatic.
- Take part in exercises and training as requested by the Business Continuity Team and DMT.
- Suggest & implement ideas for improvement to Business Continuity planning for their areas.
- Work collaboratively across the department with all colleagues, and work across the County with other departments where internal dependencies exist.
- Identify where 3<sup>rd</sup> party supplier & partner dependencies exist, and work with the Council's Business Continuity Team to ensure their Business Continuity arrangements are in line with the needs of the critical services.
- During an incident, execute team Business Continuity plans and escalate any priorities and issues to the DMT as appropriate. (Operational Level response)
- Participate in, and contribute to, post-incident activity, including reviewing and updating plans.

## **County Council – Leader & Member Representation**

### Leader of the County Council

- Support the Chief Executive in his responsibilities as owner & governance lead for Business Continuity for the County Council; [see Section 5 Scope and Governance](#).
- Determine, in liaison with the Chief Executive, which other Elected Members, if any, should be part of the Crisis Management arrangements.
- Act as a point of reference for the Chief Executive (or his nominee) in the case of urgent decisions being required as provided for in the scheme of delegation.
- Respond to the news media.
- Assist with visits of VIPs.

### Cabinet Members

- Support the Leader of the Council, the Chief Executive & the CMT in discharging their responsibilities for Business Continuity – including peace time governance and strategy, and during a live incident when the Crisis Management Group is invoked.
- Keep other Elected Members informed of action being undertaken.
- Assist with visit of VIPs.

### Elected Members

As community representatives, individual members of the area concerned must be kept fully informed of the situation through the Leader of the Council (or his nominee) or the Incident Management Team.

The wider membership of the Council should also be kept informed of developments. This can be done through the Members' News in Brief.

Elected Members should:

- Support the Leader of the Council, the Chief Executive & the CMT in discharging their responsibilities for Business Continuity – including peace time governance and strategy, and during a live incident when the Crisis Management Group is invoked.
- Provide local or specialised knowledge.
- Ensure 'LLR Prepared' (i.e. the Local Resilience Forum) is made aware of local issues.
- Communicate with constituents.
- Assist constituents, for example, by sign-posting to assistance from the Council and other sources.
- Assist with visits of VIPs, as required.

## **LL&R Resilience Partnership Emergency Management Team & LLR Prepared**

Responsibilities will include ensuring that members of the LL&R Resilience Partnership implement their own effective emergency planning arrangements; in addition they must ensure members undertake planning for an incident affecting a wider geographical area.

- Ensure key Emergency Management services are provided to the County Council in accordance with the Resilience Partnership Memorandum of Understanding.
- Ensure the Council's suite of mandatory, externally-facing plans and procedures are complete and up-to-date.
- Take responsibility for providing support and development to staff who may be called upon to support the response to a major emergency.
- Provide 24/7 Duty Officer cover.
- Provide regular updates/briefings.
- Support the provision and maintenance of an Emergency Control Centre in the event of an external civil emergency.
- Liaise with the County's On Call Senior Manager and other officers as appropriate.

### LLR Prepared

'LLR Prepared' is the branding name for the Local Resilience Forum. The role of 'LLR Prepared' is to oversee the effective delivery of those duties under the Civil Contingencies Act (2004) that require a multi-agency response to an emergency situation. In particular, ensure that LLR Prepared delivers:

- A compilation of agreed risk profiles for the area, through a Community Risk Register.
- A systematic, planned and co-ordinated approach to encourage responder bodies, according to their functions, to address all aspects of policy in relation to:
  - Risk
  - Planning for emergencies
  - Planning for, and promoting, Business Continuity
  - Publishing information about risk assessments and plans
  - Arrangements to warn and inform the public
  - Support for the preparation, by some or all of its members, of multi-agency plans, protocols and agreements
  - Co-ordination of multi-agency exercises and other training events

## 8. Leicestershire County Council - Commitment

### Business Continuity Charter for all Managers

**This Charter summarises the responsibilities all Leicestershire County Council Managers have for Business Continuity within their team**

#### Definition of Business Continuity

**Protection of service users, critical services, staff, brand and reputation, and statutory, regulatory & fiscal obligations using best practice standards in Business Continuity, risk and resilience.**

Take Business Continuity ownership for your team

Be aware of our responsibilities to our service users

Identify & document your business critical services and priorities, including those underpinned or provided by suppliers and partners.

Be aware of 'Duty of Care' to your staff

Identify key roles and responsibilities (& back-ups)

Ensure communication for your team is documented and tested.

Identify and document your ICT Disaster Recovery needs

Maintain your Business Continuity documents regularly

Rehearse your plan and take part in tests, exercises and workshops

During an incident, ensure your plan is executed as effectively as possible



## 9. Continuous Improvement

It is vital that the Council’s Business Continuity arrangements remain representative of business needs, especially in the face of the high level of transformation which the Council is currently experiencing. In addition, it is important that the Council’s Business Continuity arrangements are maintained to current best practice standards, and, where possible, seeks to exceed them in quality.

The County Council’s Business Continuity approach includes a tracking and monitoring process for ensuring that all plans are reviewed, updated and tested at least annually. This process needs to incorporate the above factors, and hence lead to continuous improvement.

As well as the tracking and monitoring process, continuous improvement opportunities can come from a number of other sources:-

- Post Incident lessons learned, i.e. to improve response and planning
- Post exercise actions to make plans as realistic and pragmatic as possible
- ‘Horizon-scanning’, i.e. monitoring emerging risks and threats, proactively anticipating impacts, and updating plans accordingly

Evidence of progress should also be reported, both for audit purposes and from a motivational perspective, i.e. to recognise achievement by Council staff and management.



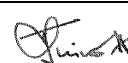
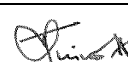
### Business Continuity Schedule of Work

All key Business Continuity activities are captured in detail on a ‘Business Continuity Schedule of Work’. It is, effectively, a Business Continuity project plan which includes timelines, owners and a RAG status to indicate progress. The objective of the schedule is to manage the implementation of the requirements of this Business Continuity Policy.

It is the responsibility of the Resilience & Business Continuity Manager to create, maintain and report from the schedule on a regular basis. By its nature, this is a method for ensuring continuous improvement is built into the Council’s Business Continuity capability.

[Section 2 – LCC Framework Diagram](#) shows how the schedule fits into the Business Continuity structure, and an up-to-date copy of the document is available on request from the [Business Continuity Team](#).

## 10. Sign Off

Title	Print Name	Signature	Date
Chief Executive	John Sinnott		21/10/2013
Chief Executive	John Sinnott		12/01/2015
Chief Executive	John Sinnott		01/11/2015
Chief Executive	John Sinnott		17/11/2016
Chief Executive	John Sinnott		

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