Report to	Cabinet	Item
	25 June 2014	
Report of	Executive head of business relationship management	**6**
Subject	Business continuity management	

Purpose

To consider the business continuity management policy and framework

Recommendation

To approve the business continuity management policy and framework

Corporate and service priorities

The report helps to meet the corporate priority "Value for money services".

Financial implications

There are no direct financial implications from this report.

Ward/s: All wards

Cabinet member: Councillor Waters- Deputy Leader and resources

Contact officers

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Background documents

None

Report

Background

1. The Civil Contingencies Act 2004 specifies duties which must be carried out by local authorities in order to contribute to an integrated emergency response to major incidents. One section of these duties is that local authorities must have adequate measures in place to maintain essential services and subsequently recover from the effects of any significant disruption to normal working. This process of increasing local authority resilience is known as Business Continuity Management (BCM).

2. BCM is a management led process that helps identify and prepare for potential disruptions to the smooth running of the council's objectives. BCM is not a one-off project, it is an ongoing area of work, the principles of which should be embedded into the core of the organisation.

3. The short-term objective of BCM is to ensure that during disruption critical services may continue uninterrupted. The longer-term objective of BCM is to ensure that the authority can resume normal services as quickly as possible in the aftermath of any disruption/ emergency event. BCM follows a simple process:

   - **Mitigation of existing risks** – Management and reduction of existing risks in order to prevent potential disruptions as best as possible

   - **Readiness** – All measures which are in place to alert the Authority to a business disruption as quickly as possible, and have them ready to effectively respond to it

   - **Response** – The immediate management of the emergency or crisis situation to maintain all of the Authority's critical functions

   - **Recovery** – All remaining steps required to return all areas of the Authority to a normal level of operation

Policy and framework

4. The document at Appendix 1 sets out the council's policy and framework

5. The policy and framework sets out six clear steps in the BCM lifecycle which will form the basis for implementation.

Implementation of the policy and framework

6. The policy and framework will be implemented through a steering group chaired by the executive head of business relationship management. The key first steps will be to

   i. programme management

   ii. understand the organisation

   iii. determine the strategy

   iv. develop and implement a response

      v.   exercise and maintain – keeping the plan up to date and reviewed.

      vi.   embed into culture, monitor, raise awareness with staff.

These steps will be followed to ensure that the policy and framework is implemented and maintained.

7. Cabinet approval for the policy and framework will ensure that there is a mandate for its implementation.

Integrated impact assessment

Norwich City Council

Report author to complete

Committee:	Cabinet
Committee date:	25 June 2014
Head of service:	Anton Bull
Report subject:	Business continuity management
Date assessed:	9 June 2014
Description:	Business continuity management

	Impact			
Economic (please add an 'x' as appropriate)	**Neutral**	**Positive**	**Negative**	**Comments**
Finance (value for money)	☐	☒	☐	The policy and framework aims to create an environment where service interruption is minimised
Other departments and services e.g. office facilities, customer contact	☐	☒	☐	The process will identify action points for development, mitigation and contingencies across all service areas to develop greater resilience
ICT services	☐	☒	☐	The process will identify business applications that support our critical activities and inform the Disaster Recovery Plan
Economic development	☒	☐	☐	
Financial inclusion	☒	☐	☐	
Social (please add an 'x' as appropriate)	**Neutral**	**Positive**	**Negative**	**Comments**
Safeguarding children and adults	☒	☐	☐	
S17 crime and disorder act 1998	☒	☐	☐	
Human Rights Act 1998	☒	☐	☐	
Health and well being	☒	☐	☐	

	Impact			
Equality and diversity (please add an 'x' as appropriate)	**Neutral**	**Positive**	**Negative**	**Comments**
Relations between groups (cohesion)	☒	☐	☐	
Eliminating discrimination & harassment	☒	☐	☐	
Advancing equality of opportunity	☒	☐	☐	
Environmental (please add an 'x' as appropriate)	**Neutral**	**Positive**	**Negative**	**Comments**
Transportation	☒	☐	☐	
Natural and built environment	☒	☐	☐	
Waste minimisation & resource use	☒	☐	☐	
Pollution	☒	☐	☐	
Sustainable procurement	☒	☐	☐	
Energy and climate change	☒	☐	☐	
(Please add an 'x' as appropriate)	**Neutral**	**Positive**	**Negative**	**Comments**

	Impact			
Risk management	☐	☒	☐	The policy aims to reduce the risks associated with interruptions to service and where those risks cannot be eliminated to have in place plans to effectively manage the response and ensure recovery of our critical activities.

Recommendations from impact assessment
Positive
The BCM programme management will ensure compliance with our duties under the Civil Contingencies Act 2004. It will enable the council to develop strategies to support its critical activities, improve awareness of business continuity and risk management amongst staff (and members), and minimise the chance of service disruption. Our organisational reputation will potentially be enhanced by a prompt, considered and professional response to any major service disruption.
Negative
Neutral

Issues

Business Continuity Management

Policy and Framework

Document Owner: Emergency Planning Manager

Version: Draft v.2

Date: 6 March 2014

Foreword

Many of the services Norwich City Council provide are vital to our residents and communities. We need to ensure we are able to continue to provide essential services, whatever disruption or emergency might affect the council.

This document outlines the council's vision and the framework adopted for effective Business Continuity Management and improving our resilience to ensure we are able to continue to provide business critical functions and essential services.

It is the intention of the council to meet its statutory obligations as a Category 1 Responder under the Civil Contingencies Act 2004 and also to continue to develop and improve this approach as part of its wider corporate commitment to social responsibility. By developing and maintaining effective Business Continuity Management the normal operations of the council are less likely to be disrupted following the occurrence of a significant incident.

All services have a role and every member of staff has a responsibility to make sure the council can continue to service our communities. In the event of a disruption, Norwich City Council will aim to continue to provide high levels of service to members of the public and users of our services.

Laura McGillivray   Brenda Arthur
Chief Executive   Leader of the Council

1. **Background**

The Civil Contingencies Act 2004 specifies duties which must be carried out by local authorities in order to contribute to an integrated emergency response to major incidents. One section of these duties is that local authorities must have adequate measures in place to maintain essential services and subsequently recover from the effects of any significant disruption to normal working. This process of increasing local authority resilience is known as **Business Continuity Management (BCM).**

BCM is a management led process that helps identify and prepare for potential disruptions to the smooth running of the council's objectives. BCM is not a one off project, it is an ongoing area of work, the principles of which should be embedded into the core of the organisation.

The short-term objective of BCM is to ensure that during disruption critical services may continue uninterrupted. The longer-term objective of BCM is to ensure that the authority can resume normal services as quickly as possible in the aftermath of any disruption/ emergency event. BCM follows a simple process:

- **Mitigation of existing risks** – Management and reduction of existing risks in order to prevent potential disruptions as best as possible
- **Readiness** – All measures which are in place to alert the Authority to a business disruption as quickly as possible, and have them ready to effectively respond to it
- **Response** – The immediate management of the emergency or crisis situation to maintain all of the Authority's critical functions
- **Recovery** – All remaining steps required to return all areas of the Authority to a normal level of operation

The Civil Contingencies Act 2004 and its accompanying guidance highlights that local authorities should not only undertake and develop business continuity plans, but should maintain regulatory compliance by undertaking the following:

- Risk assessment through the understanding of each service area (Business Impact Assessment)
- Identifying mitigation measures and linking into the corporate risk register
- Reviewing and maintaining business continuity plans
- Identifying core management recovery and operational teams
- Training of key staff (especially those with business continuity roles)
- Maintaining a contacts directory of key staff
- Exercising of business continuity plans

2. **Policy Statement**

2.1.   The council is committed to ensuring robust and effective Business Continuity Management (BCM) as a key mechanism to restore and

deliver continuity of key services in the event of a disruption or emergency.

2.2.   The council's BCM arrangements will meet the statutory requirements within the Civil Contingencies Act 2004 and will follow best practice guidelines.

2.3.   The council will determine its main critical activities and identify the main threats at a corporate level. This analysis will be conducted every two years and will determine the scope around which business continuity planning will be undertaken.

2.4.   The Corporate Leadership Team will have overall strategic responsibility for BCM and will ensure implementation of the main strategies.

2.5.   Contracts for services deemed critical to the Council will include a requirement for each nominated supplier to provide a business continuity plan for evaluation. Every tender will include business continuity as an element of the tender evaluation model.

2.6.   All council staff will be made aware of the plans that affect their service delivery areas and their role following invocation of any business continuity plan.

3. **Objectives**

- To ensure the council can continue to deliver its services in the event of a situation disrupting 'business as usual' where reasonably practicable.

- To identify and prioritise functions and responsibilities which are essential to the council.

- To identify the potential areas of vulnerability in council services in order to determine overall priorities for recovery of functions if disruption takes place.

- To identify and implement contingency arrangements to respond to serious disruption, allocating accommodation/resources and priorities for action to recover critical functions and prepare for return to normal working as quickly as possible.

- To describe the communication strategy to ensure information is disseminated effectively during a service disruption.

- To ensure all service areas are involved in the preparation of Business Continuity Plans, ensuring an effective and consistent response.

- To develop a process to review and update the plans.

- To carry out regular tests of plans to validate and develop the arrangements.

4. **Delivering the Framework**

There are six steps that make up the BCM lifecycle as set out in the Business Continuity Management Standard:
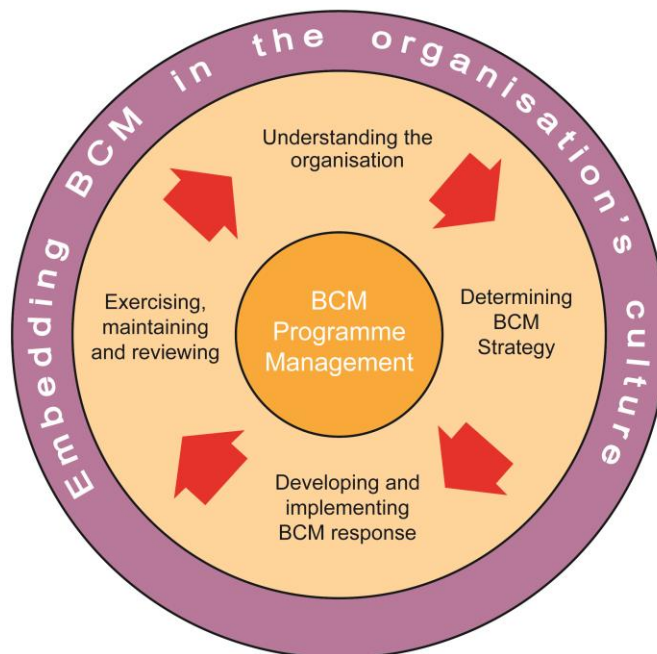
Step One: BCM Programme Management

Effective programme management will ensure that BCM capability is established and maintained within the authority. The Business Continuity Management Policy and Framework forms part of the council's compliance with the Civil Contingencies Act 2004 and follows best practice guidance.

The Corporate Leadership Team will:

- Have overall strategic responsibility for BCM
- Promote and embed principles throughout the organisation
- Receive progress reports from the Business Continuity Steering Group

Step Two: Understanding the Organisation

The aim of this element of the BCM lifecycle is to assist the understanding of the organisation through the identification of its key products and services and the critical activities and resources that support them. Each service area will complete a Business Impact Analysis (BIA) to identify critical activities and the resources required to deliver those activities.

Functions which have a direct impact on public safety will be the highest priority within the BCM work ('critical activities') and all reasonable risk mitigation efforts will be made to minimise any disruption to these functions. It is also assumed that any endangerment of public safety on the part of the authority would, by consequence, have a damaging impact upon reputation and possibly finances of the authority.

Step Three: Determining BCM Strategy

Identifying strategies and plans to ensure the maintenance of critical activities that underpin the functions and services of the council. The BCM strategies should seek to build on the detailed analysis and objectives defined in the BIA process and support the council's objectives, obligations and statutory duties in a cost effective manner.

Services provided by the authority could be disrupted by a range of incidents. It is important to ensure that the risks that could adversely affect the organisation and its facilities are identified, evaluated and that appropriate control measures are put in place to mitigate the risks. For example:

- Loss of Premises (including denial of access to contents);
- Loss of Key Infrastructure (Telecoms, IT, Water, Power, Fuel);
- Loss of Key Staff;
- Supplier Failure, failure of supply chain.

Step Four: Developing and Implementing a BCM Response

Developing appropriate plans and procedures to effectively manage and respond to any disruption to ensure service continuity and recovery of critical activities and the management of an incident. The work will be carried out across two levels:
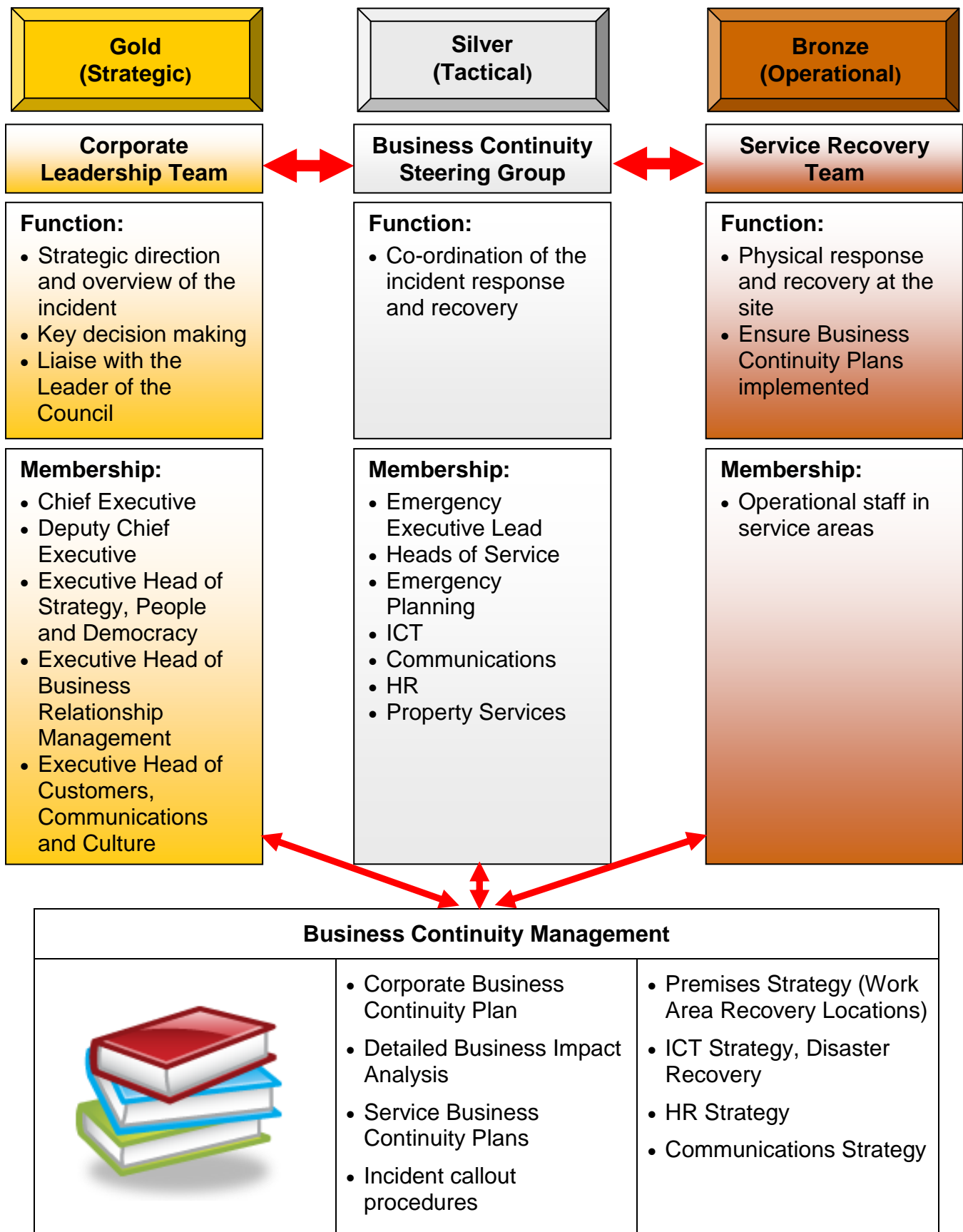
Corporate:

- There will be one overarching Corporate Business Continuity Plan covering the full range of functions and services (with reference to the BIA's / Service BC Plans)
- The Business Continuity Steering Group will undertake a proactive role and will meet as appropriate (at a minimum quarterly) to implement BCM, discuss any significant developments, identify training needs, analyse incidents and near misses and add any learning points to the overall project objectives.
- This group will also have a reactive responsibility during a significant business disruption to handle tactical decisions in order to maintain and restore the Council's critical services.

Service Area:

- All functions will be assessed through the BIA process across all services
- A Business Impact Analysis / Service BC Plan has been developed to score functions fairly across all service areas against a set of clear impact descriptors. This process will be undertaken every two years.
- Heads of Service will be responsible for service level risk mitigation actions, subject to financial constraints that result in the need for a corporate decision on expenditure (e.g. additional capital expenditure).

BCM Management Structure

Gold (Strategic)	Silver (Tactical)	Bronze (Operational)
Corporate Leadership Team	**Business Continuity Steering Group**	**Service Recovery Team**

Corporate Leadership Team

Function:
- Strategic direction and overview of the incident
- Key decision making
- Liaise with the Leader of the Council

Membership:
- Chief Executive
- Deputy Chief Executive
- Executive Head of Strategy, People and Democracy
- Executive Head of Business Relationship Management
- Executive Head of Customers, Communications and Culture

Business Continuity Steering Group

Function:
- Co-ordination of the incident response and recovery

Membership:
- Emergency Executive Lead
- Heads of Service
- Emergency Planning
- ICT
- Communications
- HR
- Property Services

Service Recovery Team

Function:
- Physical response and recovery at the site
- Ensure Business Continuity Plans implemented

Membership:
- Operational staff in service areas

Business Continuity Management

- Corporate Business Continuity Plan
- Detailed Business Impact Analysis
- Service Business Continuity Plans
- Incident callout procedures

- Premises Strategy (Work Area Recovery Locations)
- ICT Strategy, Disaster Recovery
- HR Strategy
- Communications Strategy

Step Five: Exercising, Maintaining and Reviewing BCM Arrangements

BCM arrangements are validated by exercise, reviewed regularly and kept up to date. The plans will be controlled circulation documents (copies will be provided on encrypted memory sticks) and will be reviewed regularly:

- The Corporate Business Continuity Plan will be reviewed annually by consultation with all members of the Business Continuity Steering Group or sooner following any significant structural re-organisation
- A Business Impact Analysis review will take place every two years and the Service Business Continuity Plan updated accordingly
- The Corporate Business Continuity Plan will be exercised periodically as determined by the Business Continuity Steering Group
- Service Business Continuity Plans will be exercised annually (these can be in the form of a team discussion exercise)
- All plan tests will be followed by a debrief session in order to capture any learning points and future actions for plan development

Step Six: Embedding BCM in the Organisation's Culture

In order to be successful, BCM has to become part of the way that an organisation is managed. At each stage of the BCM process opportunities exist to introduce and enhance an organisation's BCM culture. All staff need to be aware of the importance of BCM and the role they are expected to play.

BCM will be embedded into the authority through a variety of methods, including the following:

- Regular inclusion of BC on CLT agendas
- Business Continuity Steering Group
- Awareness raising sessions for staff
- BC related articles within internal staff magazine or intranet as appropriate

5. **Benefits**

- Minimise chance of service disruption to critical functions - fewer surprises.
- Minimise impact on community if services are disrupted. Compliance with 2004 Civil Contingencies Act.
- Structured and co-ordinated recovery to any severe service disruptions.
- Improved awareness of business continuity and risk management amongst staff.
- Morale and confidence in the organisational culture is improved and professional status enhanced.
- Builds confidence amongst partners and stakeholders.
- Organisational reputation and public confidence are protected and potentially enhanced by a prompt, considered and professional response.
- Risk of litigation and corporate liability are reduced.

6. **Key Outcomes**

- Clear direction/focus in terms of work effort for BCM
- Clearly defined reporting/BCM structure
- Identify which critical functions are corporate and the Corporate Leadership Team consider to be the most important using risk management process

7. **Evaluation**

Assurance on the effectiveness of BCM can be gained from a variety of different sources including:

- Internal audit reviews
- External audit
- Management assessment
- Exercises
- Peer reviews
- Debriefs from incidents and 'near miss' incidents
- Risk register assessment and reporting
- Monitoring