



# **LEICESTER CITY COUNCIL**

## **CORPORATE BUSINESS CONTINUITY AND CRISIS MANAGEMENT PLAN**

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## 1. Introduction

Business Continuity Management is no longer an optional activity. Too many people still do not understand what Business Continuity Management is really about. They regard it as an operational response to large-scale incidents, usually involving significant asset loss. Business Continuity does not subsume Crisis Management, nor is it subordinate to Crisis Management; they are complementary activities.

The Council has a responsibility to assist with handling incidents and emergencies that affect the wider City of Leicester through its Emergency Management Unit (external) and business continuity is about the smooth running of the Council itself (internal). The Council's Emergency Management team's Major Incident Plan divides major incidents into three tiers:

- **Tier 1** – Business Continuity;
- **Tier 2** – Multi Service area response to an internal major incident; and
- **Tier 3** – Multi Service Area response to an external major incident.

Whilst the principles within this document could be used in any of the above scenarios, it is primarily concerned with Tier 1 and Tier 2 events. An internal business continuity issue may escalate to a level where the emergency services are required and, therefore, constitute a major incident as defined by the Civil Contingencies Act. Also, an external major incident may soon develop into a business continuity issue for the Council, depending upon the resources it must commit under its Statutory Duty as a Category 1 Responder.

Business Continuity and Crisis Management are about finding strategic solutions to the loss of one or more of seven significant resources:

- Customers or service users;
- Key Suppliers;
- Staff;
- Facilities;
- Technology;
- Cash-flow; and,
- Goodwill (and Reputation).

Being properly prepared to deal with unexpected interruption to any of these resources is at the heart of any business continuity or crisis management strategy. Business Continuity Management is the only real methodology that delivers such resilience across the entire range of business activity.

The Council's Business Continuity Management is cross-functional by its nature and needs to be consistent with both the International Standard ISO22301 and the British Standard (BS25999 – which ISO22301 replaced in November 2012) to ensure that its Business Continuity responsibilities within the Civil Contingencies Act (2004) (CCA) are being met. BS25999 and ISO22301 deal with incidents mainly at a tactical level whereas PAS200 (which may become an ISO in due course) looks at strategic incident management. Business Continuity Management is essential, therefore, for the following key reasons:

- **Statutory Duty** – The CCA requires the Council, as a Category 1 responder, to be able to exercise its functions in the event of an emergency as far as reasonably practicable; and,
- **Commercial 'best practice'** - By planning now rather than waiting for an event to happen, the Council can get back to normal business in the shortest possible time.

A key part of Business Continuity Management is the Business Continuity Plan (BCP). Where disruption affects critical business activities the consequences can be severe and may include substantial financial loss, an inability to achieve desired levels of service, embarrassment and/or loss of credibility within the Community. The benefit of having a business continuity/recovery plan that can be implemented with the minimum of fuss and delays, significantly reduces the levels of disruption the Council suffers and ensures rapid resumption of 'normal service' to the public.

**This Corporate BCP outlines the actions required by the Council's Business Continuity Management Team – high level officers that respond to events that affect the Council's critical activities only. This means that each Division should have their own individual plans for each of their service delivery units – probably one for each Head of Service's area if appropriate. Each of these plans should be based on a similar format and be aligned to the corporate template which can be found on the Risk Management and Insurance Services (RMIS) Intranet pages. Responsibility for managing responses to events that do not affect critical activities will sit with Divisional Directors, their Heads of Service and individual managers or response teams within their Division.**

**Directors should ensure that their Divisional plans are realistic and easy to use during a crisis. As such, Business Continuity Management planning should form part of their overall risk management. Guidance and support will be available from the Head of Internal Audit and Risk Management. Positive assurance from each Director that these plans have been reviewed and remain fit for purpose will be required by the Chief Operating Officer and the City Mayor on an annual basis.**

Plan managers should also consider having an 'Emergency Pack' on site or easily accessible. The Risk Management and Insurance Services Intranet pages detail what a typical Emergency Pack might contain.

## **2. Purpose – Why we plan for Business Continuity**

Simply, Business Continuity Management is about working out how to deliver your service in the event of a disaster – typically after fires, floods or pandemic illnesses. However, it is not limited to just those types of incident. Any event that has the potential for interruption of service should be considered, including loss of key suppliers, loss of critical infrastructure or the result of thefts or vandalism. Remember also that, for business continuity purposes, it is the damage and impact of the incident that is important, not the cause.

Without business continuity management, a disaster would result in:

- Failures within your supply chain;
- Loss of reputation/goodwill;
- Human Resource issues;
- Health and Safety liabilities; and,
- Higher Insurance premiums.

Therefore, the purpose of the Corporate Business Continuity Plan (see section 4 below) is to ensure that the Council's critical activities are re-instated as soon as possible after any incident, ensuring unbroken levels of front-line service, whilst full restoration is planned for and implemented. To be successful Business Continuity has to become part of the culture of the Council.

### **3. Objectives of Business Continuity Management**

Business Continuity Management is about identifying those parts of your Division or Service Area that you cannot afford to lose – such as information, premises, staff – and planning how to maintain these should an incident occur. Any incident, large or small, whether it is natural, accidental or deliberate, can cause major disruption to your service area(s). By planning now, rather than waiting for it to happen, you will be able to get back to ‘business as usual’ in the quickest possible time.

### **4. The Corporate Business Continuity Plan**

#### **4.1 – Document Owner and Maintainer**

The Corporate Business Continuity Management Team collectively ‘own’ the plan and are responsible for reviewing, amending and maintaining it at regular intervals. The Head of Internal Audit and Risk Management holds the ‘master’ copy and will facilitate these reviews. Each team member will be issued with secure access to a copy of the plan that is held in a secure area on the Council’s Internet site. It is the responsibility of all BCM Team members to inform the Head of Internal Audit and Risk Management of any changes which could affect the plan or their roles and responsibilities within it.

#### **4.2 - Purpose**

The Council’s Corporate Business Continuity Plan:-

- Supports the continuation of the Council’s Business Critical Activities following a serious incident or disaster;
- Supports the processes required to recover from that incident or disaster;
- Identifies who should manage those processes; the authority needed; and, key tasks that they will have to perform;
- Explains the inter-dependencies between teams;
- Defines the interface those teams have with Council staff; those in the care of the Council; partner organisations; and, the wider community of Leicester;
- Enables the contribution required from the Council by the Emergency Management Unit when a Civil Emergency situation is declared.

The Corporate Plan is now closely aligned with the Emergency Management Unit’s Major Incident Plan. When the Council’s Business Continuity Management Policy and Strategy were approved by the Strategic Management Board in November 2010 and Cabinet in January 2011, it was agreed that all senior officers should be involved in Business Continuity/Emergency Management – see 5.1 Appendix 1 – Roles of Senior Officers. This group of senior officers is now referred to as the ‘Incident Response Team’. These roles and responsibilities were subsequently confirmed (again – as they have been annually since 2010/11) by SMB/Executive in December 2012/January 2013.

#### **4.3 – Roles and Responsibilities**

The Council has adopted a three tier approach to Business Continuity and Emergency Management with the levels being:

**Gold (Strategic)** is effectively the Council’s Strategic response group and is often referred to as the Crisis Management Group. They establish the framework within which the Silver and Bronze teams work in responding to and recovering from incidents.

**Silver (Tactical)** consists of relevant Divisional Directors and Heads of Service and is often referred to as the Resilience Planning group. They provide overall management of the response – see 5.2 Appendix 2.

**Bronze (Operational)** consists of Heads of Service and Senior Officers identified within individual area's own BCPs and are referred to as the Service Management Teams. This is the level at which the management of 'hands on' work is undertaken at the incident site or impacted area.

It is essential for Gold, Silver and Bronze levels to have access to robust working communications to ensure the proper co-ordination of the plan.

#### **4.4 – Contact details**

5.2 - Appendix 2 shows the Corporate Business Continuity Management Team members and their contact details.

#### **4.5 – Objectives**

The objectives of the Corporate BCP are to:-

- Provide clear, effective guidance upon the activation procedure for the plan;
- Provide Divisions and key staff with guidance on their roles and responsibilities during an incident;
- Mobilise the organisational structure required to manage the recovery;
- List the immediate actions to be taken;
- List the short and medium term measures necessary to recover essential systems;
- Develop the long term recovery actions required.

#### **4.6 – Trigger Events**

It is not possible to predict or prevent all serious incidents. Business Continuity systems exist to enable the Council to deal with disruptions which might otherwise impair its ability to function. They assist in two main ways ensuring the Council can:-

##### **1. Continue to operate and run key services in adverse conditions**

These events will usually be classified as operational incidents and will be handled by management locally (e.g. temporary restrictions on access to buildings) or challenging circumstances which stop short of mobilisation of the Corporate Team (e.g. winter weather responses). These are events that should be anticipated and planned for as part of the Divisional business continuity process and plans.

##### **2. Respond quickly and effectively in the event of serious incidents**

These will be incidents of concern to the 'body corporate' and will trigger the Corporate Plan in whole or in part. **THESE ARE CORPORATE BUSINESS CONTINUITY EVENTS.** The triggers include:

- Threat to life or wellbeing of significant numbers of staff, or key employees, or those in the Council's care;
- Multiple deaths or injuries to staff or those in the Council's care;
- Loss of strategic leadership (Directors, City Mayor, Members);
- Insufficient staff to sustain an identified Business Critical Activity;
- Key individuals unavailable (single critical knowledge source);
- When a Business Critical Activity becomes inaccessible or degraded to the point where service provision is becoming impossible;

- Loss of key assets (e.g. premises, vehicles);
- Significant ICT failure (central ICT, telecoms, critical business systems);
- Failure of a key supplier;
- Serious breach of regulatory or statutory duties;
- Potential for significant financial loss (causing unplanned cuts or fundamental change in revenue strategy, or loss of stakeholder confidence);
- City-wide, regional or national emergency which impacts on the Council's ability to deliver essential services or support the Emergency Management Unit's Major Incident Plan;
- Major disruption to essential Council functions, caused by any means including flood, fuel crisis, pandemic or terrorist attack.

#### **4.7 – Plan Invocation**

Any serious incident can trigger the Corporate Plan and the most likely causes are set out in section 4.6 above. Some incidents are clearly business continuity events from the outset, but others are less certain. Incidents can escalate and may do so with differing speed and intensity. A localised operational incident (for example a small fire) can intensify or spread rapidly, whereas something like an incremental staff absence during a flu pandemic would more likely develop and spread much more slowly.

A situation needs to be monitored so that the point at which it moves from a serious operational issue to a matter of council-wide concern may be determined and appropriate action taken.

**In all circumstances early consideration should be given to contacting the Head of Internal Audit and Risk Management and/or the Chief Operating Officer.**

**Any member of the Corporate Business Continuity Management Team has the authority to invoke the plan.** Whichever member of the Team is contacted from the initial call should consider which other Team members to contact and then decide whether or not the incident warrants full activation of the Corporate Business Continuity Management Team. It may be that this decision can only be made once other Team members representing the affected Divisions have been spoken to or a site visit has taken place. In these circumstances the plan should be triggered and the Team be mobilised - they may be stood down as soon as the position becomes clearer. Delays in mobilising the team could have a major impact on the effectiveness of your response.

If the initial call does not come from the LRF Resilience Partnership Duty Officer, the on-call Strategic Director or Tactical Head of Service they should be contacted immediately and briefed. Contact details are held by B Block Security – 0116 252 8899.

#### **4.8 – Role of City Mayor and his Team**

The management of the response to a Business Continuity Incident has to be a senior officer role. Once the Corporate Business Continuity Plan has been triggered, the Corporate Business Continuity Management Team has operational control of the situation and is authorised to take all decisions necessary. The Chief Operating Officer and the City Mayor should be advised of any activation of the Corporate Plan and be fully briefed at the earliest practicable opportunity. As a general rule, the contact with the City Mayor (or his Deputy) should be prior to any formal release of statements to the press/media – see also Appendix 5 – Communications Protocol and Strategy.

## **4.9 – Incident Management**

This section details what will be required to manage the initial phase of an incident and the individual responsible for each task. Also covered in this section are the arrangements for communicating with staff, wider stakeholders and the media.

Incident Management is the method for dealing, at the premises, with immediate physical effects of an actual or threatened disaster, for example a fire or flood. An incident may become disastrous if it:

- Leaves premises unusable for more than a predetermined acceptable length of time; and/or
- Prevents some or all of a business unit's essential operations being carried out.

The key, primary objectives of Incident Management are to:

- Prevent injury;
- Provide shelter;
- Evacuate premises, if necessary;
- Prevent the incident escalating into a disastrous event;
- Reduce and control its effects; and
- Ensure salvage and repairs are started at the earliest opportunity.

**Incident Management does not replace the Emergency Services. If there is a threat of fire, or if fire has broken out, the Fire Service must be called and the response team must work with or around them as the Fire Service permits.**

Depending upon the location and type of incident, the Business Continuity Management Team should co-ordinate their response from the Control Room in or a Room in . Hard copies of this plan are held at both of these sites. Should the City Centre be inaccessible then relocation to or another suitable location will be agreed with the Council's Emergency Management Unit who will be managing the City Centre recovery. Each site offers appropriate resource access to allow the Incident Response Team to initiate effective incident management activities with minimal delay. There will normally be an 'Emergency Pack' on site or easily accessible.

Normally, the member of the Corporate Business Continuity Management Team responsible for the affected service area will manage the response to the incident (the Incident Management Lead) and take responsibility for key tasks. In the absence of the nominated individual for the affected service area, the Business Continuity Management Team Chair will nominate a suitable deputy. Decisions taken at the beginning of an incident are crucial. If those decisions are inappropriate, a minor incident can escalate into a major emergency. The Incident Management Lead may be confronted by an extremely complex situation requiring them to make a series of rapid decisions in a short period of time.

The Incident Management Lead will identify and delegate responsibility for handling tasks in the initial phase which may include:

- Site evacuation;
- Building Closure – see Appendix 4 for guidance;
- Alerting the Emergency Services, if appropriate, or establishing contact if the Emergency Services are already on site (it may be appropriate to invite them to share the control room facilities to engender a spirit of co-operation);

- Mobilisation of safety, first-aid or evacuation assistance teams;
- Locating and accounting for those who were on site or in the immediate vicinity;
- If there are security implications, liaison with the Corporate Security Team;
- Contacting the Team Leaders, or their Deputies, of the recovery teams (Bronze) to brief them on the situation and advise whether they should invoke their individual Divisional Continuity Plans;
- Contacting the Council's insurers via the Insurance and Claims Manager/Head of Internal Audit and Risk Management;
- Nomination of a Loggist and opening of a 'log of events' for the duration of the initial stages of the incident;
- Locate the Gold team away from the Control Room (if in the adjacent meeting room should be used); establish a means of keeping them informed of decisions made and of the incident management response – suggest at least hourly situation reports; remind the Gold lead of their 'check and challenge' responsibilities;
- Ensure that Gold team establish a Communications Team – see Appendix 5 for further guidance;
- Remind all staff that they must not speak to the press, radio or television and that all enquiries should be referred to the Gold/Communications Team who will ensure that the City Mayor is briefed (and involved as appropriate).

The actions of the Incident Response team must be co-ordinated to prevent confusion and conflicting decisions. They should maintain contact with each other at all times, with the Incident Management Lead and/or deputy acting as a focus to co-ordinate actions.

The Incident Management Lead should work closely with premises managers, emergency services, salvage engineers and should ensure that every one on both the incident management team, 'Gold' team and the recovery teams:

- Knows what their job in the incident is;
- Has had relevant training for the tasks they are expected to carry out;
- Has a clear plan and procedures to follow;
- Knows where to access any relevant support and resources needed for them to fulfil their role;
- Is able to do the job properly and provide evidence that the job was completed satisfactorily if needs be.

The key support areas within the Council that the Incident Management Lead is likely to need support from, Premises; ICT; Logistics; HR for example – have strategies, plans and contact details available and can be accessed by the Corporate Business Continuity Management Team. Remember that the activation of the Corporate Plan can be cancelled at any time if the situation does not prove to be a disaster.

#### **4.10 – Business Continuity and Recovery**

As the response to the incident develops at some point this will stop being an incident management situation and develop into business continuity and recovery. An incident can last from a few minutes to several hours or even days. The recovery phase may last from a few days to several months and ends when normal operations restart.

The Corporate Business Continuity Management Team will continue to direct the continuity and recovery operations. There may be elements of the response that become business continuity and recovery at differing times or can be both business continuity, recovery and incident response e.g. the Communications Team may be required to continue to issue updates on the management of the incident and, at the

same time, begin to alert staff and service users to changes in service delivery that will be necessary in the days or weeks ahead.

The Incident Management Lead should ensure that recovery staff are detailed to deal with any damage that may have occurred to premises and check that the recovery is proceeding as expected at regular intervals - taking any necessary action to resolve any unforeseen problems that may be delaying the recovery. Until 'business as usual' resumes, the recovery teams should continue to report to the Incident Management Lead.

It is important that there are regular, continuing City Mayor/member/employee/service user/general public communications and safety briefings all the way through to 'business as usual' being restored.

#### **4.11 – Lessons Learned**

A key element of a BCM incident is a 'de-brief' session to collect feedback from all parties involved in the incident. This should be arranged as soon as practicable. It is important that this happens soon after the event to ensure that people's recollections are clear. It may be that (in the event that recovery goes on for a considerable time) you will need to have two (or more) de-briefs – one for each phase. At these sessions it is important that all contribute and that a list of lessons learned is drawn up and any amendments necessary to these procedures are implemented quickly – one never knows how soon it may be before the next incident!

## 5. APPENDICES

### 5.1 - Appendix 1 – Roles of Senior Officers

	Business Continuity Management Trained	Emergency Management Trained
<b>Chief Operating Officer</b>		
Andy Keeling*	✓	✓
<b>Strategic Management Board</b>		
Frank Jordan*		✓
Rachel Dickinson*		✓
Deb Watson*		✓
Miranda Cannon*	✓	
Alison Greenhill*	✓	
Kamal Adatia*	✓	
Stephanie Holloway	✓	
<b>Divisional Directors / Heads of Service</b>		
Ann Branson*	✓	✓
Neil Gamble		✓
John Stevens*	✓	
Adrian Russell*	✓	✓
Liz Blyth*	✓	✓
Ruth Lake*	✓	
Andrew L Smith*	✓	
Steve Charlesworth*	✓	
Jill Craig*	✓	
John Doyle*	✓	
Margaret Libreri*	✓	
Trevor Pringle*	✓	
Tracie Rees*	✓	
Andy Smith*	✓	
Caroline Jackson	✓	
Alison Moss	✓	
Martin Clewlow		✓
Suki Supria	✓	

\*- Denotes member of the 'on-call' Incident Response Team

5.2 - Appendix 2 -BUSINESS CONTINUITY CONTACTS –

Plan Manager – Tony Edeson Office 0116 Home – Blackberry			Chair - Andy Keeling Office 0116 Home – i-Phone –			<b>B Block Security</b> 0116 252 7182 / Or (24 hr emergency no.) 0116 252 8899/		<b>Emergency Management</b> Duty Officer 2 <sup>nd</sup> point of call	
<b>Corporate BCM Team</b>									
<b>Adult Social Care</b> Tracie Rees	<b>Children's and Learning Services</b> Trevor Pringle	<b>Planning, Transport &amp; Economic Dev.</b> Andrew L Smith	<b>Financial Services</b> Steve Charlesworth	<b>Housing</b> Ann Branson	<b>Information and Customer Access</b> Jill Craig	<b>Property</b>	<b>Environmental Services</b> Adrian Russell (temp)	<b>Legal</b> Kamal Addatia	<b>Del, Comms and Political Governance</b> Alison Moss
<b>Office 0116 252</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 252</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 252</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 252</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 252 ( )</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 252</b> <b>Home</b> <b>Blackberry 3</b>	<b>Office 0116 252</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 252</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 252 ( )</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 252</b> <b>Home</b> <b>Mobile</b>
<b>Deputy</b> Ruth Lake	<b>Deputy</b> Cathy Dobb	<b>Deputy</b> Jan Dudgeon	<b>Deputy</b> Caroline Jackson	<b>Deputy</b> Suki Supria	<b>Deputy</b> John Doyle	<b>Deputy</b>		<b>Children's Services - Social Care</b> Andy Smith	
<b>Office 0116 252</b> <b>Home</b> <b>Mobile</b>	<b>Office 0116 252</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 ( )</b> <b>Home</b> <b>Mobile</b>	<b>Office 0116 252</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 252</b> <b>Home</b> <b>Mobile</b>	<b>Office 0116 252</b> <b>Home</b> <b>Blackberry</b>	<b>Office 0116 252</b> <b>Home</b> <b>Mobile 1</b>		<b>Office 0116 252</b> <b>Home</b> <b>Mobile - work</b>	
<b>'Gold' Team</b>									
<b>Andy Keeling</b>		<b>Deputy: Miranda Cannon (Alison Greenhill if absent)</b>		Alison Greenhill – Finance O: 0116 B – M-			Stephanie Holloway – HR O: 0116 H: B:		
<b>Office 0116</b> <b>Home</b> iPhone	<b>Office 0116 252</b> <b>Home</b> <b>Mobile</b>		Communications O: 0116 H: B:						

February 2013

### **5.3 - Appendix 3 – Business Critical Activities (last reviewed and updated May 2013)**

Business Critical Activities, which are those areas of a service that need to be back up and running within 24/48 hours, and are listed by Division.

#### **Adult Social Care**

- Community Care Services – (Adult Placement Scheme, Day Services, Residential Care)
- Assessment and Care Provision (Single Point of Contact; Re-ablement; Locality services; Adult Mental Health; Equipment and Adaptations; Safeguarding Adults; AMHP service)
- Older Persons' Care (residential including Collection of Benefits (residents' moneys))
- Social Care delivered by external providers (Service Contracting and Procurement Unit)
- Vulnerable Care in the Community (Homecare and Leicester Care Emergency Call System)
- Meals on Wheels (Production)

#### **Children's Social Care and Safeguarding**

- Residential Homes - Children
- Emergency Duty Team (Duty and Assessment Services)
- Commissioning
- Fostering and Adoption
- Fieldwork (Duty & Assessment Services (DAS); Child Care Social Work; 16+; Unaccompanied Asylum Seeking Children (UASC))

#### **City Barrister and Head of Standards**

- Emergency Legal Advice
- Coronial Services
- Registration Services

#### **Delivery, Communications and Political Governance**

- Communications
- Emergency Management

#### **Environmental and Enforcement Services**

- Bereavement Services (Crematoria, Cemeteries)

#### **Finance**

- Risk Management and Insurance Services (includes BCM; Insurance and Claims)
- Treasury Cash Management
- Revenues and Benefits (includes Council Tax & Business Rates; Housing Benefits & Council Tax Benefits)
- Payroll

#### **Housing**

- Boiler Houses
- Housing Business Recovery Team (Out of Hours Telephone Cover; Emergency Housing; Repairs and Repairs Call Centre)
- Temporary Accommodation (Hostels)

#### **Information and Customer Access**

- Customer Service Line/Switchboard
- Council Web Site
- RMS (Aggresso)

## **Learning Services**

- Psychology and Counselling

## **Planning, Transportation and Economic Development**

- City Centre Security (CCTV)
- CCTV Surveillance (Blackbird Road)
- Flood Management and Drainage
- Passenger Transport Services
- St Margaret's Bus Station
- Schools and Catering (Meals on Wheels) Transport
- Passenger Transport Fleet (vehicles, and maintenance)
- Urban Traffic Control
- Winter service operations (Highways)

## **Property**

- Leycroft Road Fuel Bunker
- Premises & Facilities Management:
  - access to buildings (CLABs)
  - alternative property accommodation
  - building maintenance/emergency repairs and breakdowns
  - emergency waste collection
  - emergency cleaning
  - onsite security (whole council)
  - planning supervision/CDM

## **Young People's Services**

- Pupil Referral Units
- Schools
- Youth Offending Service

## 5.4 - Appendix 4 – Building Closure – General Guidance

### Immediately

- Evacuate the building, and/or prevent staff and public from entering.
- Call appropriate emergency services if necessary, if not already attending.
- Inform your Head of Service and, if appropriate, Divisional Director.
- Depending on the incident, shut off utility supplies to the building (e.g. power off if there are burst pipes)
- Secure the building. It may be necessary for extra security officers to be onsite.

### As soon as possible

- Relocate critical staff, and send non-critical staff home. If you need breathing space to organise it, send them to a muster point meantime.
- Contact ICT to get telephones re-routed if necessary.
- Inform the Head of Internal Audit and Risk Management (Business Continuity purposes) and the Insurance Manager (insurance implications).
- Let council colleagues know about any temporary arrangements - Insite, email broadcast, officers and/or notices at site, Switchboard.
- If a public facing service is involved, let service users know about temporary arrangements - Customer Services, Switchboard, [www.Leicester.gov.uk](http://www.Leicester.gov.uk), officers and/or notices at site.

### As situation develops

- Keep in touch with Emergency Services, utilities or other appropriate people so you know when the building is back in use.
- Update council colleagues and public.

### Remember

- **Ask for help** if you need it – via your own line management or from the Head of Internal Audit and Risk Management if that is not possible – and ask early rather than waiting for an incident to become more serious.
- **Note** what happens and when, and the actions you take.
- **Contact** the council's press office if there is media involvement.

### CONTACT NUMBERS

Security	0116 252 8899 (24hr emergency no)
Head of Internal Audit and Risk Management	0116 252
Insurance Manager	0116 252
Health & Safety	0116 252
Press Office	0116 252
ICT	0116 252
Switchboard	0116 254 9922 (external), 29 6030 (internal)

### External

National Grid	
Western Power	0800 0568090 (Emergency/Power Cut line)
Western Power	

## 5.5 - Appendix 5 – Communication Protocol and Strategy - RESTRICTED

This Protocol sits alongside the Council's standard Media Protocol (which applies to everyday business situations) and will apply in disaster situations where a direct and sensitive message, combined with a proactive approach, is essential.

### 1. Purpose

To establish a robust process for the rapid, accurate, and consistent dissemination of key messages in relation to a Disaster Incident that could or does trigger the Corporate Business Continuity Plan:

- In advance of an emerging situation where relevant e.g. flu pandemic;
- During the Incident; and,
- During the recovery phases.

The importance of effective communications cannot be stressed enough. During an incident the Council (and its Corporate Business Continuity Team) needs to consider when and how they communicate with:

- Staff;
- Members;
- Customers;
- Suppliers and service partners;
- Public;
- Media; and,
- Other interested parties (e.g. stakeholders, industry groups, regulatory bodies).

In a crisis situation, it may not be possible to communicate through usual channels. Some communications may be directed centrally (e.g. the media) but others may be available to, and the responsibility of, individual teams. In these latter cases it is extremely important that the Incident Response Lead ensures a high level of co-ordination exists. Any information given out locally will be picked up by the Media so needs to be consistent with messages emanating from the central Incident Response team.

If mobile telephones or radios are to be used they should be tested throughout the premises/area to identify any 'black spots'. ICT may be able to provide a coverage map for our service provider.

If our incident is part of a wider emergency, consideration should be given to having mobile telephones registered under the Access Overload Control (ACCOLC) Scheme which provides for priority access by registered cell phones if the network becomes overloaded in an emergency. **This can only be authorised by Police Gold Command level.**

This section looks, principally, at staff communications. The main methods are outlined in Section 4 below. Consider which might be most appropriate, both during and outside of working hours.

NB. The practices outlined in this Protocol and Strategy, along with the decisions taken by the Corporate Business Continuity Management Team managing the Incident, are final.

### 2. Critical Timings

The communication of adequate, accurate information is vital to keep employees, users and suppliers informed and to prevent unwanted escalation and inaccurate assumptions by the media. Specific members of the Incident Response Team (or teams if the incident is both a City-wide emergency and an internal business continuity incident) will be

responsible for various aspects relating to the communications as set out in Section 5 (the critical part of the Protocol).

It is not possible to be descriptive as to when and how often statements will need to be released and to whom, as this will be dictated by the nature and size of each incident. The Council's response needs to be flexible and be capable of providing a response when the need arises – which may be several times within the first hour.

### 3. Strategy

In any challenging situation triggering the Corporate Business Continuity Plan, it is vital that **ALL** communication is controlled and channelled via one outlet and that messages support the course of action implemented by those managing the situation. In a serious situation an initial meeting might be appropriate – and may already be in train to manage the incident - to allow the facts to be drawn out more fully, to structure the messages and to decide how they will be delivered. It also establishes a shared understanding of the situation.

The overall responsibility for information content is the Gold Team Leader (or in their absence the nominated Deputy). However, in a crisis situation, if neither are available or contactable then the officer nominated as Incident Management Lead for the incident and the lead Communications Team member may assume final authority for information content. In agreeing the content of any message, it is essential that a member of the Communications Team is involved and it is that team member who should be responsible for release of the agreed messages. This is because the Communications team have access to all of the necessary channels referred to below.

**NO OTHER OFFICER** is permitted to authorise or to release information about the incident or to display messages on the Council's internal and external information channels. Where there is a City-wide Emergency that includes the activation of the internal Corporate Business Continuity Plan, the Gold/Communications Team will liaise with the Emergency Resilience Manager on content and release of all internal communications in line with Local Resilience Forum requirement. **This is vital as there are clearly situations where the emergency has a serious impact both internally and externally.**

**Within this Strategy it is important that the 'leadership' role of the City Mayor is acknowledged. It is expected that the City Mayor (and his Deputy or other members of his Executive team, as appropriate) will act as the spokesperson for the Council and will 'front up' all external communications activity (and depending upon the severity of the incident, internal too), which will principally be via the media.**

### 4. Summary of Responsibilities (also see 3 above)

#### 4.1 Key responsibilities for All Staff and Management:

- Managers and team leaders should ensure they can contact their staff out of hours;
- Team members should ensure they can contact their manager out of hours;
- All staff should keep their contact details up to date on MyView and other contact lists in use;
- Telephone cascades are one of the most common and effective methods to notify teams. Key points to note are:
  - Cascades are suitable for teams of up to 40 people;
  - A senior manager should call all their direct reports;
  - Those direct reports, their managers/supervisors, should call their direct reports;
  - No one person should, ideally, make more than five/six calls;
  - If a person is unavailable, the caller should move on to the next name;

- If a key caller is unavailable to make the calls, the preceding manager should make their calls or should appoint a person from the list to do this;
- The last person to receive the call should inform the senior manager that the cascade has been completed.

#### 4.2 Specific responsibilities for BCM/Incident Response Teams:

Actions	Incident type			
	Council Incident	BCP	City-wide emergency which triggers BCP	City-wide emergency
Draft message	Corporate BCM Team; Communications Team.		Resilience Manager; Corporate BCM Team Leader; Communications Team.	Resilience Manager / Emergency Controller OR Media Cell; Communications Team.
Consultation with	City Mayor		City Mayor	Head of Marketing and Communications; City Mayor; Other responding agencies - LRF etc.
Approve (content & distribution)	Corporate BCM Team		Corporate BCM Team in consultation with Resilience Manager.	Resilience Manager / Controller OR LRF Strategic Co-ordinating Group.
Post on Insite, Facebook, Twitter and leicester.gov.uk,	Communications Team, with technical support by Web Team as necessary		Communications Team, with technical support by Web Team as necessary	Communications Team, with technical support by Web Team as necessary
Trigger Telephone Cascade	Corporate BCM Team		Corporate BCM Team	Major Emergency Plan will have been invoked
Release of Notices, Instructions and Guidance	Corporate BCM Team		Corporate BCM Team	Resilience Manager
Release of Press Statements	Corporate BCM Team via Communications Team		Corporate BCM Team and Head of Marketing and Communications	Head of Marketing and Communications / Media Cell OR Strategic LRF co-ordination group
Identify, train & maintain Media Panel	Head of Marketing and Communications		Head of Marketing and Communications	Head of Marketing and Communications

## 5. Contacts for Decisions & implementation

Corporate BCM Team	Press/ Communications Team	Emergency Management
<b>Chair/Gold Lead</b> Andy Keeling	<b>Head of Marketing and Communications</b>	<b>Resilience Manager</b>
<b>BCM Deputy</b> Steve Charlesworth	<b>Media</b> <b>Senior PR and Media Officer</b>	<b>Deputy</b>
<b>Gold Deputy</b> Miranda Cannon	<b>Website/Social media</b> <b>Senior Digital Media Officer</b>	
<b>Gold Deputy</b> Alison Greenhill	<b>Internal (Insite/All staff e-mails etc)</b> <b>Senior Communications Officers</b>	
<b>Corporate BC Plan Manager</b> Tony Edeson		

## 6. Channels

The Incident Management Lead, in consultation with the Communications Team lead, will decide on the most suitable selection of channels to **repeat and reinforce** key messages. These messages will be appropriate to the target audience.

Channels include but are not limited to:

- Social Media – principally Twitter and You Tube;
- Insite and Schools' Extranet - internal to Council and Children's Services staff;
- www.leicester.gov.uk – Council's website available to the public;
- Broadcast E-mail Messages - to all the Council's e-mail users;
- Letters to staff, service users, pupils or suppliers;
- The Telephone Cascade System;
- Customer Services Responses;
- Notices at Sites;
- Pamphlets, Instructions, Guidance associated with the incident; and,
- Broadcast media – radio, TV etc. The BBC have a duty to 'inform and warn' and should be a primary channel for basic information – 'Leicester City Council are telling staff to contact.....etc'.

## 7. Media Spokesperson

The Spokesperson is the **ONLY** individual authorised to make comment to the media, so the appropriate person is chosen by the Gold Team for rapid and authoritative comment and must be readily available to do so and have the appropriate training and experience to undertake this role. This is likely to be the City/Deputy Mayor, with appropriate Senior Officer support.

A media protocol will need to be established as a matter of urgency given the specifics of each situation. No statements should be made until this has happened and the relevant officers have assumed responsibility as above.

## 5.6 - Appendix 6 – Human Resources Strategy for Business Continuity Management

This section outlines guidance for Recovery Teams and managers on the main staffing issues likely to arise following a disaster situation affecting the Council.

It also includes details of the way in which the HR Strategy will be communicated to staff:

- Staff not involved in business-critical activities will be assigned to support specialist staff in business critical activities in order for them to deliver those business-critical services. Where staff are re-assigned in this manner, they will be required to act as non-specialist support staff only;
- Re-assignment and relocation is provided for in current Terms and Conditions;
- Health and Safety advisers to provide on-the-spot training for “standard” safety matters e.g. basic manual handling;
- For those diverted to work with vulnerable people, unsupervised working is to be avoided. Those without CRB checks must be replaced within 7 days of the incident at the latest;
- “Full” first-aiders are to be identified from the payroll database and will be assigned as required; and,
- Non-business critical staff may be required to stay at home but it is the joint responsibility of the manager and employee to communicate over the arrangements for their return to work.

### PLACE OF WORK

Existing employees whose contractual role/duties do not normally cover the work in question may be asked to carry out other roles. In the exceptional circumstances of a BCM incident, the underlying principle is that if someone has an acceptable level of training or skills and knowledge to carry out the basic task, it should be reasonable to expect them to do it. Those who volunteer should be provided with adequate basic training to enable them to carry out the task safely and effectively. If employees from other areas of the authority volunteer to cover business critical service delivery areas they will have to meet basic requirements of the role e.g. checks or qualifications. If these cannot be met, then the situation will have to be subject to a risk assessment agreed by a senior manager.

Although employees may currently work from one location or within a particular service, they may be required to work elsewhere or in another service to help deal with staff shortages. Re-assignments and relocation is provided for in current Terms and Conditions.

Managers should consult the individuals concerned, as soon as a temporary re-assignment appears likely. Employees being temporarily re-assigned into another location or service would be provided with adequate information, instruction and training relevant to the activities they are being asked to undertake.

Managers should take into account the (in) experience of the re-assigned employee and what instruction, training and support has been provided. In the event that mistakes are made, managers need to act reasonably in the difficult circumstances presented.

If the post the employee being re-assigned to is at a higher grade the normal rules for honoraria should be applied (i.e. the additional duties have to be undertaken for at least a month before the employee receives an honorarium).

If employees incur additional costs (e.g. additional mileage, job doesn't already involve regular changes in work location) this should be claimed and reimbursed using normal expenses claim arrangements.

## 5.7 - Appendix 7 - Working in Disaster Mode

Situations that trigger business continuity plans are by their nature unusual events. Some staff will have specific responsibilities for managing an incident, but for many people it will be a case of doing your ordinary job but in extraordinary circumstances.

### **Some general differences**

- Team working is more essential than ever - it is not a time for the individual. Decisions made in good faith at a stressful time should be respected;
- Communication may come through different routes;
- You may be working from a different location;
- There may be different people in your team, e.g. staff from other areas or former employees/retirees helping out;
- Members of your team could be temporarily reassigned to non-specialist roles in critical services especially if you are a designated 'buddy team' for a critical service;
- You may be covering work within your area that is usually done by another team member;
- Circumstances, facilities and location may be less than ideal;
- You may need a degree of self-sufficiency, at least in the initial stages, e.g. ICT and Property will first look to assist the most critical services; and,
- If you are a designated critical service, ask for help if you need it, via your business continuity contact or line manager. Ask early rather than waiting for the situation to become more serious.

### **Handling the incident**

#### ***Management roles***

The Corporate Business Continuity Plan includes teams responsible for co-ordinating the recovery of critical services within their functional area - Recovery Teams - and for overall management of the incident - Corporate Business Continuity Management Team.

The following paragraphs are primarily for the Corporate Business Continuity Management Team and Recovery Teams, but much is good practice for any service affected:-

- A pragmatic approach to problem-solving and rapid decision-making will be required;
- It is vital to keep the Business Continuity Management team apprised of what is happening so that the response can be co-ordinated effectively, according to the priorities of the whole council not just of certain areas;
- The Corporate Business Continuity Management Team should ensure it is in a position to take the operational and strategic decisions necessary to implement suitable actions and is empowered to act to restore operations in a timely manner;
- The most senior management will still be in a pivotal role – taking on board information from a group of senior direct reports, but potentially different individuals to usual and deciding and taking action on it accordingly; and,
- Other levels of management may be given responsibilities over and above what they usually have and must be prepared to apply them.

On a general note, incident management capability develops through the business continuity planning process; participation in exercises; and, experience of live disasters.

#### ***Communications - key to success***

- Keep it clear and simple;
- Make sure all those who need to know are advised of changes to the situation. There is no need to update everybody, all the time;
- Disseminate information in a structured way. Where you have to contact people outside usual reporting lines, notify those within the chain asap;

- Information to the press and external bodies must be channelled through one person, as agreed or nominated by the Corporate Business Continuity Management Gold/Communication Team. This will normally be the City Mayor or his Deputy; and,
- Where there is a city-wide emergency, the Corporate Business Continuity Management Team should stay in touch with the Council's Emergency Controller who will also be the conduit for communications with other responders (999 services etc.)

### ***Team Working***

- Decide key aims and display them clearly. Create a similar display of issues to avoid as they evolve;
- Designate key roles:-
  - Leadership is crucial – Leader can set the tone for the whole response, and decisions are final, taking all opinion into account;
  - Team Assistant - convenes meetings, coordinates information distribution, contacts other teams, arranges domestic matters;
  - Loggist - ensures decisions, actions, communications in and out are recorded;
- Write out and display every strand of work. Identify an individual responsible for managing each one. Add items as the situation evolves;
- Record expenditure as directed below. Usually a special budget code will be set up to capture costs related to the incident; and,
- Record all actions, directions, instructions, and messages in the Log.

### ***Financial matters***

The Corporate Business Continuity Management Team and Recovery Teams must take appropriate action to restore operations in a cost conscious way. The Corporate Business Continuity Management Gold Team will:-

- Set capital and revenue financial expenditure limits at the outset and notify them to Recovery Teams;
- Set procurement criteria for all acquisitions and coordinate contractual engagement proposals with the Procurement team (either within the Division or centrally or both);
- Agree with the Chief Financial Officer exactly how expenditure will be recorded; and,
- Specify any delegated authority given to individuals or teams, and notify teams of these special arrangements.

## **5.8 - Appendix 8 – Leicester City Council’s 24/7/365 Services and Numbers**

### **Council House Emergency Repairs – 0116 254 9439**

Operates from 8pm to 8.30am

This line will deal with any emergency damage within our Council house estate. This will only cover emergency repairs needed until a full repair can take place.

### **Council Emergency Helpline – 0116 254 4344**

This line will deal with any emergency affecting or caused by:

- Highway network
- Street lights
- Flooding
- Trees
- Alarms/noise pollution
- Dangerous Building Structures
- Sewer Blockages
- Council Buildings Issues

### **Council Environmental Team – 0116 252 7000**

### **Council ICT Operations Team – 0116 252**

Available for help and support Monday to Friday 0730 – 2359 and Saturday and Sunday 0700 – 2000.

### **Council Security Team at NWC B Block - 0116 252 8899**

The 254 4344 line diverts here when the call centre closes, as does the Environmental team’s 252 7000 when they end their duty (early hours of the morning).

### **Social Care and Health Emergency Team – 0116 255 1606**

This team will respond to cases that cannot wait until the next working day.

### **Public Health Team – 0844 225 4524, Option 1, Option 2**

This line is available Normal Office Hours. Out of Hours the following number should be used, which will connect you to the EMAS Control Room, please mention Public Health and they will connect you to the on-call PH Officer - **0115 967 5099**

### **Local Resilience Forum – Duty Officer on Call**

This officer holds wider contact details for LCC and the Resilience Forum Partners. They can be contacted on \_\_\_\_\_ with the following mobile number as a secondary point of contact:

## 5.9 – Appendix 9 - Glossary of Terms and Further Information

**Business Continuity Management** – A *management* process that helps manage the risks to the smooth running of an organisation or delivery of a service, ensuring that it can operate to the extent required in the event of a disruption.

**Business Continuity Management Lifecycle** – A series of business continuity activities which collectively covers all aspects and phases of a Business Continuity Management programme.

**Business Continuity Plan** – A documented set of procedures and information intended to deliver continuity of critical activities in the event of a disruption.

**Business Continuity Management Standard (BS25999)** – A code of practice that establishes the process, principles and terminology of Business Continuity Management.

**Civil Contingencies Act 2004** – The Civil Contingencies Act 2004 establishes a single framework for civil protection at the local level, establishing a clear set of roles and responsibilities for local responders.

**Critical Activity** – An activity the continuity of which an organisation needs to ensure in order to meet its business objectives.

**Exercise** – A simulation to validate a plan, rehearse key staff or test systems and procedures.

**Exercise Programme** – Planned series of exercises to validate plans and train and develop staff competencies.

**Incident** – An event that causes disruption to the organisation.

**Invocation** – Act of declaring that an organisation's Business Continuity Plan needs to be put into effect in order to continue delivery of key products or services.

**Local Resilience Forum** – A process for bringing together all the Category 1 and 2 responders within a local Police area for the purpose of facilitating co-operation in fulfilment of their duties under the Civil Contingencies Act.

**Recovery Time Objective** – Identifies the time by which critical activities and/or their dependencies must be recovered.

**Risk** – Risk measures the significance of a potential event in terms of likelihood and impact.

**Risk Assessment** – This is structured and auditable process used to identify significant, potential, future events, assess their likelihood and impact and then combines these to provide an overall assessment of risk, as a basis for further decisions and action.

**Succession Planning** – A process designed to ensure the continued effective performance of an organisation by making provision for the development and replacement of key people over time.

**Stakeholders** – Those with a vested interest in the Council's achievements – staff, members, service users and the general public.

### FURTHER INFORMATION

**Business Continuity Institute:** [www.thebci.org](http://www.thebci.org)

The Business Continuity Institute's site promotes business continuity management and provides guides and good practice advice. The Business Continuity Institute's mission is to promote the art and science of business continuity management.

**UK Resilience:** [www.ukresilience.info](http://www.ukresilience.info)

A government site providing emergency planning guidance and information on a wide variety of emergencies and crises that can affect the UK.

**Home Office:** [www.homeoffice.gov.uk](http://www.homeoffice.gov.uk)

A government site with information on the threat, what to do in the event of a major emergency and what the government is doing, plus reports and guidance.

**MI5:** [www.mi5.gov.uk](http://www.mi5.gov.uk)

The Security Service, or MI5, is responsible for countering threats to the UK's national security and economic wellbeing. A key part of its work is to provide practical security advice on how organisations and businesses can protect against terrorism and other threats. A wide range of advice, together with descriptions of the current threats, is available on its website.

**Foreign & Commonwealth Office:** [www.fco.gov.uk](http://www.fco.gov.uk)

This site offers up-to-date advice and practical information to British citizens travelling or resident overseas.

**London Prepared:** [www.londonprepared.gov.uk](http://www.londonprepared.gov.uk)

A government run site for the London resilience Team to help Londoners prepare for and cope with emergencies and disasters. The site includes practical advice; checklists and templates on risk assessment, business continuity and emergency response. Despite its title the content is helpful for any major City, such as Leicester.

EMMA