Combined Assurance

Status Report
Business Continuity Management &
Emergency Response & Recovery

Date: May 2013

Contents

Introduction

This is the first combined assurance report which provides an opinion on the effectiveness of the Council's Business Continuity Management (BCM) and Emergency Response and Recovery arrangements.

This report provides a record of assurances against the Councils ability to fulfil its key duties as a *'Category 1 responder'.* These being:

- That suitable arrangements are in place to ensure the most critical services can continue to function at an acceptable level during an emergency or other incident or disruption affecting only the Council – **Business Continuity Management arrangements.**

- That the Council and its key services are prepared and able to respond to and recover from emergencies affecting the wider communities of Lincolnshire – **Emergency Planning and Preparedness**.

Our aim is to give senior management and the Audit Committee an insight on assurances across all critical activities.

The Key Messages section provides an overview of these assurances with more detail provided within the appendices.

Scope – Business Continuity Management

We gathered information on our:

- **Command & Control systems** – our management capability to respond to internal & external incidents or emergencies.
- **Critical services** – those services whose disruption or failure could result in significant damage to our reputation, financial loss or impact on people.
- **ICT management activities & applications** – the measures in place to ensure the resilience of key ICT systems & applications.
- **Key suppliers, partners & providers** – the organisations that provide or support our critical services.
- **Corporate support functions** – the essential Council functions that would support an internal or external response.

Scope – Emergency Response & Recovery

We gathered information on our:

- Capability and capacity to meet the **duties within the Civil Contingencies Act** and other **hazard-related legislation.**
- Capability and capacity to undertake the specific roles of a **local authority as 'lead responder'.** (at corporate, service and Emergency Planning Unit levels) as per relevant guidance.
- Compliance with associated **Contingency Planning Regulations** (2005) and self-assessment against the Cabinet Office **'expectations and indicators of good practice'.**
- **Emergency response and recovery** arrangements and ability to effectively co-operate with other responders as part of a co-ordinated multi-agency response to emergencies.

Methodology

We have developed a combined assurance model using information provided by Council Management, Business Continuity Management (BCM) and Emergency Planning teams, as shown below:
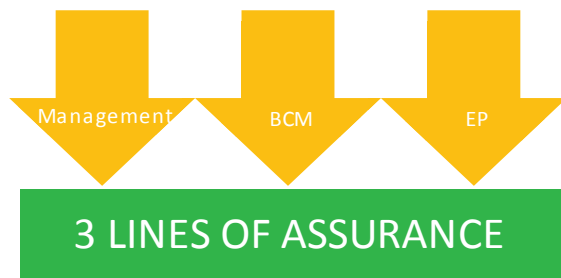
We've also used the internal audit of critical services and the Corporate BCM function.

Our approach includes a critical review or assessment on the level of confidence the Board can have in the Council's BCM and Emergency Planning arrangements and its ability to recover from an internal incident or external emergency. We did this by:

➢ Speaking to senior and operational managers who have day to day responsibility for managing and controlling their service activities.
➢ Outcomes from EP and BCM exercising, learning lessons from incidents/near misses.
➢ Reviewing and assessing key partner, supplier or provider BCM arrangements.
➢ An assessment of the management arrangements for the continuity or recovery prioritisation of key ICT applications during a disruption.
➢ Support provided by the Internal Communications team and Corporate Property.

➢ Where an emergency response role is provided across a range of services (e.g. welfare of survivors/evacuee's), we examined preparedness across the range of provider services.
➢ We used a Red (low), Amber (medium) and Green (high) rating to help us assess the level of assurance confidence in place.
➢ The overall assurance opinion is based on the assessment and judgment of senior management. The BCM team has helped co-ordinate these and provided some challenge but as accountability rests with the manager, we used their overall assurance opinion.

Key Messages

**Business Continuity Management Response**

Overall, responses from managers show a medium to high level of confidence in the resilience of critical services and support activities. These are represented by Directorate or activity in the table below. These opinions are supported by the current level of maturity of the Council's Business Continuity Management (BCM) programme and more emphasis being placed on exercising 'critical' service Business Continuity Plans (BCP) during 2012 and 2013.

Exercising is an on-going process and will be essential for assessing the progress of critical service BCM arrangements particularly with areas identified below as Amber. Once a review of Public Health's BCPs is complete, work on aligning these with the Council's BCM arrangements will take place followed by a programme of exercising.

Existing procedures to identify and assess the Council's most essential suppliers, partners and providers currently provide a medium level of confidence. However recently updated guidance and support from the BCM team should improve this assessment. This support is also being provided to Corporate Support Functions.

An assessment of the External Command & Control response provided by the Lincolnshire Resilience Forum and the Internal response by the Corporate Incident Management Team have yet to be obtained.

The ICT outage in late 2010 emphasised the importance of ICT services and applications to the Council and its critical services. As part of the 2012/13 internal audit plan, an external audit of the Disaster Recovery arrangements in place for the Council's ICT systems and applications was undertaken in early 2013. This was to ensure that adequate arrangements were in place to recover from a disruption to or failure of these systems and applications. At this time no assurance opinion has been provided.
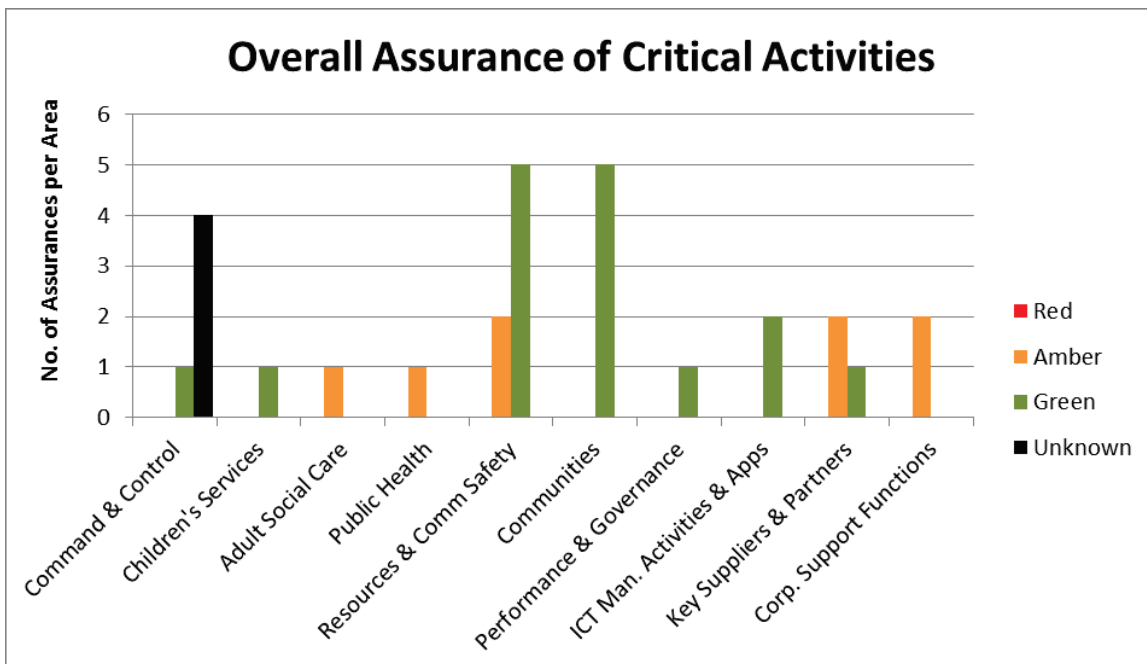
Emergency Response & Recovery

In any 'emergency' (as defined by Civil Contingencies Act) the County Council has lead responsibilities that include the welfare of victims, evacuees, and of responders, provision of emergency shelter (with Districts) the co-ordination of the voluntary sector, a community leadership role and lead for all recovery efforts.

Whilst the lead roles and responsibilities for the county council as a 'category one' responder has not changed, the way in which we deliver these responsibilities continues to evolve through a reducing resource-based capacity and, increasingly, will includes services commissioned or procured through third party providers. There have been a significant number of training and exercising opportunities and real-time small-scale emergencies that demonstrate our ability to provide co-ordinated responses, with the additional operational duties as Lead Local Flood Authority (LLFA) being tested through local flooding in the summer of 2012 and again throughout December.

In particular, we have strengthened our command and control processes and made progress on comprehensive recovery planning. Our arrangements to co-ordinate the voluntary sector through a 'memorandum of understanding' with local and national bodies is held as good practice, and the County Council and Fire & Rescue Service have been the driving force behind the regeneration of the Local Resilience Forum (LRF) into an effective and high performing resilience partnership (including the creation of a joint emergency management service managed by EPU). EPU continues to deliver a facilitative service to the 7 Districts via a funded service level agreement.

The overall assessment is that we retain the capabilities and capacity (including effective mutual aid arrangements) to respond to emergencies and deliver those lead roles and responsibilities ascribed to local authorities, with the exception of mass evacuation due to limitations in emergency shelter infrastructure. This assurance exercise has identified a number of priorities going forward including;

i) Importance of retaining organisational resilience and the capacity to commit services to respond to wider-area and prolonged emergencies.
ii) Determining how best to promote emergency preparedness to contracted care providers;
iii) Building/strengthening the resilience of the most vulnerable adults/children in receipt of care services to the main and 'enduring' community risks facing Lincolnshire
iv) Enhancement of multi-agency co-ordination of crisis management and emergency response phases for those vulnerable adults/children in receipt of care services
v) To formally agree (in negotiation with adult & children's services, districts and the voluntary sector) the processes, roles and responsibilities in providing emergency evacuation shelter, welfare support and accommodation
vi) Better co-ordination of emergency preparedness and business continuity management within the council, and improve the performance of our duty to 'promote business continuity' to local businesses and voluntary sector.

Next Steps

Business Continuity Management

Business Continuity Management (BCM) is a holistic and continuous process that ensures critical services can still be provided to an acceptable level during a disruption or major incident. To ensure the Council's BCM arrangements remain effective, fit for purpose and able to meet the changing business needs of the organisation, the following will be done:

- Critical service area Business Continuity Plans (BCP) will be regularly reviewed by the plan owners and the BCM team on an annual basis to ensure they are kept up to date and reliable.
- The BCM arrangements of key suppliers, service providers and partners will be sufficiently evidenced and continually assessed throughout the contract term.
- BCPs will be exercised at least annually to validate BCM arrangements and ensure that they are fit for purpose and meet business needs.
- Lessons identified following BCM exercises or incidents are recorded and BCPs are updated accordingly.
- BCM will be promoted on an on-going basis to critical and less critical service areas using a variety of mediums and methods.
- The BCM Strategy will be kept up to date to ensure it reflects the most current position of the BCM programme.
- Supply chain resilience will be promoted throughout the Council and particularly within its most critical services.

Emergency Response & Recovery

This assurance exercise has identified a number of priorities going forward including;

- Determining how best to promote emergency preparedness to contracted care providers;
- Building/strengthening the resilience of the most vulnerable adults/children in receipt of care services to the main and 'enduring' community risks facing Lincolnshire
- Enhancement of multi-agency co-ordination of crisis management and emergency response phases for those vulnerable adults/children in receipt of care services
- To formally agree (in negotiation with adult & children's services, districts and the voluntary sector) the processes, roles and responsibilities in providing emergency evacuation shelter, welfare support and accommodation
- The creation of an LCC 'Resilience Group', bringing together EP, BCM, Fire Safety and Public Health EP with Adults & Children's Services to address the above points in the most effective and efficient way, through an agreed work programme
- Better co-ordination of emergency preparedness and business continuity management within the council, and improve the performance of our duty to 'promote business continuity' to local businesses and voluntary sector.
- Develop operational/service level training and awareness (e.g. computer based training)
- Complete recovery planning (and test) – includes develop an emergency procurement framework

Command & Control Systems

Business Continuity Management Response

The Corporate Business Continuity Plan (BCP) is rated as Amber as it has recently been reviewed and updated but has not been formally exercised since March 2010. In saying this, the Corporate response has been activated on a number of occasions recently including fuel disruptions, severe weather, industrial action and it was also exercised during exercise Watermark in mid 2011.

An exercise of the Corporate BCP is planned for later in 2013. This will provide the opportunity to assess whether recent developments of the plan are effective and fit for purpose.

Emergency Response & Recovery (lead business recovery & local community recovery & leadership roles)

The creation of *strategic* (Gold) and *tactical* (Silver) cadres of nominated senior officers, together with a '24/7' duty rota administered by EPU, ensures the organisation provides a coherent, more resilient response to emergencies and major events. Command support is provided by EPU (includes facilitating access to legal and financial advice) with assistance from Business Support, and a principle of 'early identification' of emergencies and engagement of LCC strategic leads in multi-agency 'precautionary' Gold's has been established. Head of Service (EPU) provides 'senior advisor' role to LCC command cadre during emergencies or incidents of note.

The LRF training & development strategy provides regular training and exercising opportunities, and a number of 'new' cadre members have been supported through EPU briefings. It is regular good practice for LCC 'Golds' to receive pre-briefings on the major events in the county (Olympics, Airshow, Xmas Market). The county emergency centre remains the primary site for partnership responses, reflecting investment by LCC in facilities, connectivity and communications support.

LCC EPU continues to provide effective secretariat support arrangements for multi-agency strategic and tactical co-ordination on behalf of the Local Resilience Forum. It also provides generic secretariat (Head of Service role) services for the partnership and is responsible for information sharing protocols and freedom of information requests, *etc.* It is also responsible, in consultation with partners, for the activation of emergency response & recovery processes in the county. Through the SLA with Districts, the service also seeks to co-ordinate and standardise response across local authorities in the county.

In May 2013, the Local Resilience Forum's Exercise Georgiana will test the co-ordination of a multi-agency emergency response to a major transport accident, one of the higher enduring risks to the county. This will provide the next opportunity to test the Council's corporate response processes, search and rescue, humanitarian assistance and welfare, and the provision of temporary mortuary facilities.

Testing of LCC's lead responsibility for recovery and the design and delivery of *operational* (Bronze) level training for critical service areas, are priorities for 2013.

On a smaller scale, and for less prolonged wide-area 'incidents', the Joint Emergency Management Service (run by County Council) has proved to be effective in co-ordinating multi-agency threat assessments and integrated responses.

LCC retains a specific 'shore-based command' responsibility under the National Contingency Plan for Marine Pollution and Offshore Installations. This is currently met by Head of Service, EPU as nominated 'County Oil Pollution Officer'. The County Council is also responsible for all 'off-site' planning for Control of Major Hazards (COMAH) sites and for Pipeline Safety.

Business Continuity 'Critical Services' & Emergency Response & Recovery 'Lead Roles & Responsibility Areas

Business Continuity Management

The Workforce Change programme in 2011 initiated many changes with service provision which had significant implications for the way Business Continuity Management (BCM) was provided across critical service areas. A process of re-engagement with existing and new senior management is on-going. This process has proved essential due to the restructuring of service areas and the managers responsible for these areas. A process of exercising BCM arrangements / plans is on-going which will validate the arrangements and ensure that they meet current business requirements.

The information within the following sections shows the assurances currently established and the level of confidence in the effectiveness of the BCM arrangements currently in place. My general opinion of the resilience of the critical service areas is Green. This opinion comes from knowledge of the service areas, their management teams and their responses during exercises and previous incidents or disruptions.

The majority of services exercised in the last year have been given 'Substantial' assurance. Actions from these exercises have been recorded and their completion will be kept up to date by the BCM team. Exercising provides more confidence in the resilience of services and ensures, to some degree, that their BCM competence and capability remains effective, fit for purpose and up to date. The following sections will provide more detail on how resilient the critical service areas are and any measures to improve this.

Emergency Response & Recovery

In any 'emergency' (as defined by Civil Contingencies Act) the County Council has lead responsibilities that include, the welfare of victims, evacuees, and of responders, the co-ordination of the voluntary sector, a community leadership role, and will lead all recovery efforts.

Whilst the lead roles and responsibilities for the county council as a 'category one' responder has not changed, the way in which we deliver these responsibilities continues to evolve and, increasingly, includes services commissioned through third party providers and the voluntary sector.

There have been a significant number of training and exercising opportunities and real-time emergencies that demonstrated our ability to provide co-ordinated responses, with the additional response duties as Lead Local Flood Authority (LLFA) being tested through local flooding in the summer of 2012 and again throughout December.

There have been a significant number of training and exercising opportunities and real-time emergencies that demonstrated our ability to provide co-ordinated responses, with the additional response duties as Lead Local Flood Authority (LLFA) being tested through local flooding in the summer of 2012 and again throughout December.

The overall assessment is that we retain the capabilities and capacity (including effective mutual aid arrangements) to respond to emergencies and deliver those lead roles and responsibilities ascribed to local authorities. In particular, we have strengthened our command and control processes and made progress on comprehensive recovery planning. Our arrangements to co-ordinate the voluntary sector through a 'memorandum of understanding' with local and national bodies is held as good practice (see WAO report), and we have led the LRF in its 'capabilities' emergency planning to meet the most enduring risks to the county through the creation of a joint emergency management service.

However, we need to develop work with members post elections to better understand our 'community leadership' role, including communication during emergencies and improve accessibility to elected members training. Building community resilience remains a strong theme for HM Govt, the LRF and LCC alike, and we need to improve on our current record of engaging communities in local emergency planning.

Although members of EPU undertook a series of secondments to critical service areas in early 2012 a key challenge, which is partly met by this combined audit, is to ensure all cadre members and EPU maintain 'organisational awareness' in order to deliver a coherent and corporate response to major emergencies. Further discussions to strengthen the emergency planning and business continuity advice and guidance, and the inspection / quality assurance processes for commissioned services would be useful.

Children's Services

Business Continuity Management   (Green)

The Directorate's 'Critical' services are:

- Lincoln Secure Unit
- Emergency Duty Team
- Screening of referrals
- Protection of children - section 47 enquiries and children subject to child protection plans
- Residential provision (Children)

Following Workforce Change, there have been a number of changes to Children's Service senior management roles & responsibilities. During 2012 the BCM team engaged with the new management team to re-emphasise Business Continuity Management (BCM) roles and responsibilities.

During an independent audit in 2011 covering Corporate and service area BCM arrangements, a number of areas were identified where improvements were required with the Children's Services Business Continuity Plan (BCP). Working with the Children's Services Assistant Director, a single Directorate BCP was created covering the Directorate's critical services. All the actions from a desk-top exercise undertaken in February 2012 have been completed and an opinion of Substantial would now be given.

Recognising the considerable reliance the Council has with suppliers, providers and partners providing or supporting our critical services, significant progress has been achieved with the Children's Services Commissioning team to ensure the effectiveness of its key suppliers, providers and partners BCM arrangements. The BCM team is also working with a Children's Services working group to develop a BCP template for Children's Centres. This will put contingencies in place to assist a Centre when dealing with a disruption or incident affecting its premises or service.

Areas for further work

- More promotion of BCM and the Directorate's BCP is needed due to changes to Heads of Service and managers of critical services. This will be done by the BCM team during another exercise in 2013.

Emergency Response & Recovery (provision of welfare support, humanitarian assistance, shelter & accommodation for victims, survivors and evacuees)

Effective command & control systems in place (via SMT) and access (via EDT in emergencies) to ICS information systems re 'cared for' children & young persons, children with disabilities, safeguarding issues, *etc.*

Given the limitations to local mass evacuation infrastructure, EPU currently exploring access to academy status school premises and (potentially) specialist children's centres, for emergency evacuation and shelter.

As with Adult Services (see next section) opportunities exist to determine how best to i) promote business continuity and emergency preparedness to contracted care providers, and ii) build/strengthen the resilience of the most vulnerable adults/children to the 'enduring' community risks in Lincolnshire.

EPU also needs to continue work with both Children's & Adult Services to enhance multi-agency co-ordination of crisis management and emergency response phases for those vulnerable adults/children in receipt of care services (whether in residential setting, foster placement or 'at home').

Adult Social Care

Business Continuity Management   (Amber)

The Directorate's 'Critical' services are:

- Assessment & Care Management of Physical Disability/Older People
- Assessment & Care Management of Learning Disability
- Community Supported Living (Home support & day services Learning Disability)
- Hospital Social Work
- Adult Safeguarding
- Emergency Duty Team (Adults)
- Brokerage
- Lincolnshire Assessment & Reablement Service (LARS)
- Community mental health teams

The Business Continuity Plan (BCP) was exercised on the 18th of March 2013 and the outcome was 'Substantial' assurance.

In mid-2012 the Adult Social Care (ASC) Commissioning and Operations divisions were brought together and a new Directorate management team created. It was also agreed that the best approach for Business Continuity Management (BCM) within the new ASC structure was to have a single BCP covering its critical services. A single BCP has been developed from the previous BCM work done and covers the Directorate's critical services.

Elements of the BCP were tested during an actual disruption to services in late 2012. The contingencies within the plan provided an effective response to the incident. ASC have also developed a Winter Escalation Plan to ensure it can respond effectively to any winter pressures.

Areas for further work

- Recently updated BCM guidance and procedures for key suppliers, service providers and partners needs to be shared with ASC. The BCM team will liaise with ASC Commissioning to ensure this is done.

Emergency Response & Recovery (provision of welfare support, humanitarian assistance, shelter & accommodation for victims, survivors and evacuees)

Regular experience of 'winter pressures' planning provides continuing assurance of capabilities and processes to work with providers and health colleagues to identify alternative emergency accommodation and shelter. AS have also developed an effective 'intelligent' database identifying spare capacity within residential settings that will aid emergency responses in event of evacuation, etc.

Identifying vulnerable persons and accessing critical information can be achieved through the Emergency Duty Team (EDT) on a 24/7 basis, with a delegated manager call-out system providing operational command during emergencies.

On-going pre-planning for coastal flooding (mass evacuation and shelter planning) and implementing agreed actions from a recent review of multi-agency responses to incidents at Care Homes enhances internal emergency planning, and will offer resilience support to providers at risk from flooding or other hazards, including evacuation planning and specialist transport provision. This joint work with Adult Services and FRS has generated grant community resilience funding from DEFRA, and has the potential to be extended to supporting key providers of Home Care.

Adult & Children's Services;

The processes, roles and responsibilities in providing emergency evacuation shelter, welfare support and accommodation for both local, small-scale incidents and emergencies (including mass evacuation) need to be formally negotiated by EPU with both adult & children's services, districts and the voluntary sector.

Mutual training opportunities have been discussed, including need to refresh EP awareness of current care provision, special needs and safeguarding issues.

Public Health

Business Continuity Management   (Amber)

The Directorate's 'Critical' Services are:

- Community Infection Prevention and Control

From 1 April 2013 Public Health responsibilities moved from Primary Care Trusts to Local Authorities. As such a formal review of existing Public Health Business Continuity Plans (BCP) will be undertaken to assure alignment with the County Council, this will involve a review of the Public Health critical services list. Following this, a programme of exercising BCP's will be developed.

Areas for further work

- Review of existing Business Continuity plans and critical services in line with the Director of Public Health's new statutory responsibilities.

Emergency Response & Recovery (provision of management of health hazards during emergencies – community engagement)
The Local Health Resilience Partnership (LHRP) provides the strategic forum for local organisations to facilitate health sector preparedness and planning for emergencies at the Lincolnshire LRF level. This group is co-chaired by the Director of Public Health (DPH) and the Director of Operations and Delivery for the NHS CB Area Team. Through this group assurance will be given to the DPH for Emergency Planning Resilience and Response (EPRR) within the Health Community.

The Public Health Emergency Planning Team will work with the Joint Emergency Management Service to ensure the Public Health view is considered in all aspects of Emergency Planning.

Resources & Community Safety

Registration and Celebratory Services - Business Continuity Management   (Amber)

The service area's 'Critical' services are:

- Deaths registration
- Registration service

The service area Business Continuity Plan (BCP) will be exercised on the 15th of April 2013.

The key risks to the service relate to the ability to meet its statutory obligations in relation to:

- Births and deaths
- Marriages and civil partnerships
- Ceremonial events

Registration and Celebratory Services has comprehensive Business Continuity Management arrangements for these services which are regularly updated. Risk management is a standing agenda item for the management team and lessons learned from operational activity feed into the risk register and service area BCP.

Areas for further work

- A key risk for the service is ensuring that HM Coroners have sufficient and appropriate support in place to enable the investigation of deaths. The Coroners Service is currently developing a BCP for the services it provides and Registration and Celebratory Services will work with them to review and update this plan.

Registration and Celebratory Services - Emergency Response & Recovery (provision of 'excess death' planning and provision of emergency mortuary for mass fatalities)

Service tested during Swine Flu responses (2010) and currently engaged in development of temporary mortuary in Leicestershire (to be tested during Ex Georgiana). Service provides communication link to HM Coroners (now regular attendees at LRF) and with EPU during emergencies.

Service request for familiarization with CEC and review of response role will be achieved through Ex Georgiana. The capacity & resilience of HM Coroners Officers in Lincolnshire identified as the biggest challenge for mass fatality planning.

Resources & Community Safety (continued)

Emergency Planning Unit (EPU) - Business Continuity Planning   (Green)

The service area's 'Critical' service is:

- Response to incidents - the activation of an initial response by the Lincolnshire Resilience Forum (LRF) and LCC to an emergency as defined by the Civil Contingencies Act (CCA)

A service area BCP is regularly reviewed and maintained. BCM arrangements are also tested through formal exercises and incidents. Alternative premises, flexible ways of working and alternative Emergency Centre options enable the team to respond to external emergencies whilst supporting LCC and the LRF. The EPU provides a 24/7 'duty rota' system, activated via Fire & Rescue Control, which supports LCC, Districts and partners during initial emergency responses.

A significant risk to the service provided by the EPU would be resourcing a prolonged and wide-area emergency affecting the county. This has been reduced to a degree by mutual aid agreements with neighbouring Councils, the command support arrangements with Business Support and the 'critical mass' for emergency planners provided by the Joint Emergency Management Service (JEMS).

Fire & Rescue - Business Continuity Management   (Amber)

The service area's 'Critical' services are:

- Control mobilising
- Local response capability
- Critical service support
- National response capability

Business Continuity Management (BCM) in Lincolnshire Fire & Rescue (LFR) is conducted in accordance with the British Standard for BCM. LFR focuses its contingency planning on its key risks and most probable disruptions. The resilience of its 'mobilising' system is a top priority. From 'Fire Control' receiving '999' calls to alerting crews at stations and managing the incident.

Ensuring key suppliers are resilient is also a key focus for LFR. Following the termination of the AssetCo Emergency Ltd contract in March 2012, a risk register of critical suppliers was created. LFR has worked with high risk suppliers such as Bristol Uniforms Ltd, Interspiro Ltd and Lindum Plant Ltd, seeking BCM assurances. LFR's BCM processes were peer reviewed in Jan 2011. While a number of areas were identified for improvement the report concluded that BCM provision in the Service was well developed. (South East Fire Improvement Partnership report dated 7 Feb 2011)

Areas for further work

- Work is on-going with Council IT and Mouchel to improve service resilience and to provide a solid provision / maintenance of ICT.

Resources & Community Safety (continued)

Fire & Rescue - Emergency Response & Recovery

Lincolnshire Fire & Rescue Service is a separate Category One responder and is not included directly in this audit process, but has been actively and regularly tested as an emergency responder during significant exercise and real-time emergencies in the county, including Ex Watermark (2011) and on-going flooding in summer and December 2012. FRS is also a contributor to the Care Home Review and planning for coastal flooding at local and national. Their senior officers do not contribute directly to LCC command & control systems due to their separate Cat 1 status, but often provide the first point of contact for activation of emergency responses.

Legal Services Lincolnshire - Business Continuity Management   (Green)

The service area's 'Critical' services are:

- Child protection provided with legal advice
- Adult protection provided with legal advice

The Business Continuity Plan (BCP) was exercised in November 2012 and the outcome was 'Substantial' assurance.

The provision of legal advice to Child and Adult protection services is provided by Legal Services Lincolnshire (LSL) and must be available 24/7.To ensure this, processes are in place to ensure that lawyers are contactable 24/7. The LSL BCP is reviewed on a quarterly basis and exercised to ensure that all changes to internal processes are reflected and incorporated in the plan. This is in line with the Lexcel Legal Quality Standard, that the BCP is exercised at least on an annual basis.

A recent exercise highlighted a few areas where contingencies or alternative procedures were needed. These resulted in:

- Hard copies of key documents and templates are kept to allow files to be progressed should there be a failure of the electronic Case and Time management system.
- A communications plan has been developed to ensure that all clients are kept up to date should there be problems with service delivery which affect them.
- Contingencies are in place to ensure that legal cases can continue to be processed with HM Court Services in emergency situations.

Business Support - Business Continuity Management   (Green)

The service area's 'Critical' services are:

- Maintenance of information databases & associated systems
- Telephones and other Communications
- Data Security/loss of or damage to records
- Support to Children's and Adults Safeguarding

The Business Continuity Plan (BCP) was exercised in December 2012 and the outcome was 'Substantial' assurance.

Resources & Community Safety (continued)

The Business Support service provides generic administration and support functions across many of the Council's services especially critical ones such as Children's and Adults Social Care, Highways & Transportation and Fire & Rescue. The service also supports the Council's external response to an emergency affecting the community through the provision of administration and incident logging staff. The Business Support BCP is regularly reviewed to ensure it is fit for purpose. Multi-functional teams, the ability to move staff around the county as required and the on-going up skilling of staff enables the service to react to the needs of the services it supports.

Areas for further work

- Business Support's future BCM arrangements will be further developed to have locality focused 'operational' plans that will sit under the service area 'over-arching' plan.

Business Support - Emergency Response & Recovery (provision of command and administrative support during emergencies)

The recent development of business support services during emergency response & recovery provides cadre commanders and EPU with additional administrative support (*e.g.* loggists and minute-takers) within the CEC (only) through a 24/7 rotating team of 6 x BS staff pre-trained in relevant roles. This arrangement complements the development of command cadres, the emergency planning 'critical mass' provided by the Joint Emergency Management Service and strengthening of mutual aid, in attempts to improve our resilience to prolonged emergencies, as experienced during the 2007 floods.

Youth Offending Service - Business Continuity Management   (Green)

The service area's 'Critical' services are:

- Providing services to youth, magistrates and Crown court
- Provide contacts and interventions to young people assessed of being high risk of harm to the community and / or high risk of vulnerability

The Business Continuity Plan (BCP) was exercised in September 2012 and the outcome was 'Substantial' assurance.

The Youth Offending Service (YOS) Business Continuity arrangements were exercised in September 2012 and other than a couple of minor actions were found to be fit for purpose. Two areas of significance were:

- The reliance on other key internal and external partners
- The need for the YOS management team to familiarise themselves with other LCC service area and key external partner BCM arrangements and to share YOS BCM arrangements as required

A new case recording system will bring a number of improvements to the service provided by the YOS including accessibility to client information.

Areas for further work

- Recent legislative changes will require the YOS to work closely with Children's Services in supporting its client group. These changes will require both services to ensure the linkages are identified and any necessary BCM arrangements put in place.

Resources & Community Safety (continued)

Safer Communities - Business Continuity Management   (Green)

The service area's 'Critical' services are:

- Response to outbreak of disease in livestock
- Response to consumer complaints and alerts from other agencies in respect of safety of goods and services

The Business Continuity Plan (BCP) was exercised in December 2012 and the outcome was 'Substantial' assurance.

The Safer Communities BCP is regularly reviewed and in addition to the exercise in December, BCM arrangements are also tested during multi-agency exercises with key partners. The service area experienced a substantial reduction in staff after Core Offer. A major incident such as an animal disease outbreak would mean that other services would temporarily need to be ceased or reduced during the incident.

Areas for further work

- A recent joint exercise with some key partners highlighted a problem with partner agencies communicating with each other. This is currently being resolved.

Safer Communities - Emergency Response & Recovery (provision of animal disease/welfare responses, fuel shortage & recovery planning, community engagement, investigation & enforcement re food and environmental protection)

Animal disease response roles were tested during Ex Watermark (joint planning recognised by RSPCA 'footprint' awards in 2011), and the service was involved in recent fuel dispute planning in 2012. Key role under current development with EPU includes supporting recovery planning through advice on 'rogue traders' and insurance claims. Advice is currently being developed with the EPU. Support to members in their 'community leadership' role during emergencies and public disorder can include community impact assessments (with Police). Emergency response service includes (developing) access to CCTV systems access.

Service provides 24/7 rota system for staff (10 staff) and can access regional and national 'trading standards' mutual aid (informal agreements) if required. Data sharing during emergencies can be achieved via a number of 'super users'.

Finance & Procurement Lincolnshire - Emergency Response & Recovery (appeals fund management, emergency expenditure & cost recovery)

LCC Finance will provide lead financial planning & recovery co-ordination during emergencies on behalf of the LRF and work with districts re cost recovery via Belwyn Scheme.

Procurement Lincolnshire also developing support to LRF through development of a local procurement framework for emergencies (including quality assurance and engagement with local community-based companies such as Lindum & Gelders to assist with recovery, clearance and reoccupation of sites. HOS also assisting national procurement via Govt Procurement Service (GPS) and ProFive (local authority services). Scenario testing of framework to be arranged between services.

Communities

Customer Operations - Business Continuity Management   (Green)

'The service area's 'Critical' services are:

- The CSC Contact Handling Service

The Business Continuity Plan (BCP) was 'live' exercised in 27th of February 2013. An assurance opinion has yet to be given. This exercise involved the Customer Service Centre (CSC) 'Highways' team, which is one of its most critical.

The CSC has comprehensive and robust Business Continuity Management (BCM) arrangements in place for the support it provides to key Council services and external customers. These are regularly updated and have been tested through exercises and real incidents. Two significant risks to the operation of the CSC exist:

- The loss or disruption to the CSC premises itself through flooding for example
- The loss or disruption of IT and telephony

Within the CSC's BCP, alternative options exist for the temporary relocation of key advisers. Advisers and non-operational staff can also work flexibly to provide key services. The main telephony network is supported by a backup system and a 24/7 telephony support service provided by Mouchel. Plans are also in place for the CSC to transfer from the existing telephony system (Hipath) to the Avaya Aura Contact Centre solutions in March 2013.

Areas for further work

- Complete the action plan from the live exercise in February.
- Update the CSC BCP.
- Plan a larger exercise for the summer of 2013.

Customer Operations - Emergency Response & Recovery (provision of community engagement, help-lines, and single non-emergency phone system – warning & informing)

The Customer Services Centre (CSC) 'out of hours' team is one of its most critical during emergencies and will be tested during a live exercise by the end of March 2013. Two significant business continuity risks to the operation of the CSC exist; loss of premises and ICT (particularly telephony service).

Service has provided the LRF with an effective single non-emergency contact system during recent flooding events and is currently examining caller-mapping systems to support the provision of 'real-time intelligence' and development of a 'common operating picture' during emergencies.

Communities (continued)

Technical Services Partnership - Business Continuity Management   (Green)

The service area's 'Critical' services are:

- Bridge Maintenance & Provision – Cross Keys bridge (Sutton Bridge)
- Structures (bridges, culverts)

The Business Continuity Plan (BCP) was exercised in January 2012 and the outcome was 'Substantial' assurance. The exercise involved the four service areas within Highways & Transportation as they are closely linked and rely heavily on each other.

The Technical Services Partnership (TSP) BCP is regularly reviewed, maintained and tested through formal exercises and incidents.

Despite this overall substantial assurance, the most significant risks currently exist with the Cross Keys Bridge at Sutton Bridge. The swing bridge is an essential route on the A17 in and out of the county, which when open provides access for shipping to Wisbech Harbour. The bridge is operated 24/7 by a limited number of specialist staff. An operational manual has recently been produced which will enable other staff to operate the bridge if the normal operators are unavailable for any reason. This manual will be tested in 2013 to ensure it is fit for purpose.

Areas for further work

- A new specialist mechanical & electrical term maintenance contract will also be in place by mid-2013. This will improve the availability and flexibility of the bridge operations team and ensure a stand-in operator is available if required.

Transportation - Business Continuity Management   (Green)

The service area's 'Critical' services are:

- Operation of demand responsive transport services
- Allocation of passengers to services, issue of travel passes, management of contracts and Risk Assessment of passenger needs

The Business Continuity Plan (BCP) was exercised in January 2012 and the outcome was 'Substantial' assurance. The exercise involved the four service areas within Highways & Transportation as they are closely linked and rely heavily on each other.

The Transportation BCP is regularly reviewed, maintained and tested through formal exercises. The service provides statutory and discretionary transport services for schools and social care passengers. The most significant risks to this service are:

- The booking and scheduling of demand responsive transport services (CallConnect) by the Matrix team based at the Customer Services Centre (CSC)
- The reliance on 'approved' transport operators

Communities (continued)

Contingencies are in place within the CSC BCP to ensure this service would continue to be provided if the Matrix team was disrupted for any reason. Operators are required to have Business Continuity arrangements in place for these services and the loss or disruption of an operator can also be covered by other operators from the approved list.

Areas for further work

- Recently updated BCM guidance and procedures for key suppliers, service providers and partners needs to be shared with Transportation. The BCM team will liaise with Highways & Transportation Commissioning to ensure this is done.

Transportation - Emergency Response & Recovery (provision of transport and specialist transport during evacuation)

The most obvious contingency challenge would be the impact of a wide-area evacuation on statutory and discretionary transport services, which provides transport for schools and social care passengers, rely on 'approved' transport operators. Service has engaged with local planning for mass evacuation and, in particular, the sourcing of mutual aid and specialist transport from neighbouring counties. On a smaller scale, the loss or disruption of an operator can be covered by other operators from the approved list.

EPU has access to the approved list for local emergencies outside 'office hours', but the two services have identified a training need to engage Transport services within the command support & operational response arrangements for larger, more prolonged emergencies.

Highways Divisions - Business Continuity Management   (Green)

The service area's 'Critical' services are:

- 24 hours emergency service
- Winter maintenance service

The Business Continuity Plan (BCP) was exercised in January 2012 and the outcome was 'Substantial' assurance. The exercise involved the four service areas within Highways & Transportation as they are closely linked and rely heavily on each other.

The Highways Divisions BCP is regularly reviewed, maintained and tested regularly through formal exercises and incidents.

An entirely new function for the County Council, under the Flood and Water Management Act 2010, is the lead role and operational responsibility for local flood risk. This will require staff and resources from Highways Divisions and its Alliance partners to be deployed in response to flooding across the County. A recent Exercise 'Loret' provided the opportunity for Highways staff to increase their knowledge and understanding of the LCC Area Flood Response Plan (AFRP) and practice their role and responsibilities in response to a flood and drainage incident. Mutual aid agreements also exist between Alliance partners for the provision of on-site and off-site management, response and administrative arrangements.

Communities (continued)

This new role is currently being managed with existing Highway Divisions resources but as further sections of the Act are implemented which will establish the County Council as Sustainable Urban Drainage Systems (SuDS) approving and adopting body, additional resources will be required.

Areas for further work

- Recently updated BCM guidance and procedures for key suppliers, service providers and partners needs to be shared with Highways Divisions. The BCM team will liaise with Highways & Transportation Commissioning to ensure this is done.

Highways Divisions - Emergency Response & Recovery (highways and transport, inspection of infrastructure; provision of severe weather & flooding responses, traffic management support in case of cordons or evacuation)

Consistently high performing services during severe weather events and pre-planning (including the recent prolonged cold snaps and localised flooding). Services also developing the traffic management strategy for coastal flooding (including signage). CEC IT infrastructure enhanced through creation of a 'snow cell' (linking CCTV and Highways cameras) following de-briefs and feedback.

New 'lead local flood authority' responsibilities include operational response to, and investigation of, local flood risk. Mutual aid agreements exist between Alliance partners for the provision of response arrangements. A recent Exercise 'Loret' provided the opportunity for Highways staff to increase their knowledge and understanding of the LCC Area Flood Response Plan (AFRP) and practice their role and responsibilities in response to a flood and drainage incident. Divisions now participate in the EA's partner teleconferences to discuss flood guidance statements and pending flood warnings, although more work is required to clarify responsibilities vis-à-vis EA and IDB's.

Highways Client Services - Business Continuity Management   (Green)

The service area's 'Critical' services are:

- 24 hours emergency service (out of normal working hours)
- Winter maintenance service

The Business Continuity Plan (BCP) was exercised in January 2012 and the outcome was 'Substantial' assurance. The exercise involved the four service areas within Highways & Transportation as they are closely linked and rely heavily on each other.

The Highways Client Services (HCS) BCP is regularly reviewed and maintained in collaboration with its Alliance Partners. HCS is fully engaged with the Joint Emergency Management Service (JEMS) in developing and reviewing county wide emergency plans. The Highways out of hours emergency team is located within City Hall and has tested all its procedures including relocation to the Emergency Centre at Fire & Rescue where duplicate systems are in place. The most significant risk continues to be the reliance on other key internal and external partners. The HCS management team robustly manages its external partners and monitors their BCM arrangements as part of this process.

Areas for further work

- Recently updated BCM guidance and procedures for key suppliers, service providers and partners needs to be shared with HCS. The BCM team will liaise with Highways & Transportation Commissioning to ensure this is done.

Communities (continued)

Highways Client Services - Emergency Response & Recovery

See 'Highways Divisions - Emergency Response & Recovery' section above. Emergency response work is co-ordinated across these two areas.

Environmental Management - Emergency Response & Recovery (provision of pollution clean-up and waste management)

Environmental Services are establishing an 'officers working group' to discuss waste management for recovery. LCC disposal role & temporary storage (using limited existing non hazardous waste landfill). Only hazardous waste landfill currently in Mansfield – development of a 'regional' facility possible. The removal and disposal of hazardous material during Ex Georgiana.

Economic Regeneration - Emergency Response & Recovery (promotion of business continuity, remediation/reoccupation of sites, recovery)

EPU needs to make better use of staff within Economic Regeneration with existing experience and responsibilities in liaising with local businesses in meeting the local authority duty to 'promote business continuity'. Early engagement with the agricultural/horticultural sector (to strengthen the resilience of food processing to floods in particular, and recovery planning, has been positive but the initial momentum stalled and will need to be reinvigorated.

Performance & Governance

Information, Management & Technology - Business Continuity Management   (Green)

'The service area's 'Critical' services are:

- ICT Incident & Change Management
- Support of LCC Connects & District Council websites
- Administration and support of social care systems
- Administration and support of Fire and Rescue systems

Good arrangements exist within the IMT team in relation to Business Continuity Management (BCM).

A desktop exercise in relation to BCM was undertaken on the 25th of March 2013, facilitated by the BCM team, which assessed the team's arrangements as ' Substantial Assurance'.

Information, Management & Technology - Emergency Response & Recovery
 (Provision of GIS mapping and development of 'common operating picture', IT support to CEC)

Continuing investment and a maintenance budget ensures the CEC remains the primary location for multi-agency co-ordination during emergencies. EPU currently negotiating 24/7 support arrangements for the CEC with LCC IT, and working together to better articulate partner 'user requirements' in respect of information / data management (in particular, the creation of a 'common operating picture' in emergencies). This latter includes current work to present a grant bid to DEFRA.

Performance & Governance (continued)

Communications & Media team - Emergency Response & Recovery (provision of warning & informing for the public – and members briefings)

Coastal communications campaign has been exemplary in demonstrating an ability to identify target audiences, using lessons from previous campaigns, and delivering a effective education to support community resilience and self-help during emergencies. Good arrangements exist with external partners re lead roles (*e.g.* Police, EA, Health, *etc*.) depending on nature of emergency, although 'out of hours' capacity is limited for LCC communications team with resilience being tested during summer flooding.

The LRF has identified a need to develop a more dynamic approach to social media (including direct access to websites and Twitter, *etc.*) and clarify the provision of communications/media advice to strategic coordination groups during emergencies.

EPU HOS retains capability to provide regular 'members' briefings and updates during emergencies (also see below).

Democratic Services - Emergency Response & Recovery (provision of co-ordination between officers and members, community leadership role)

The provision of member briefings during short-term, or localised emergencies can be provided by EPU and/or communications team (see Summer floods 2012).

However, during more prolonged, wide-area emergencies, democratic services can assist to ensure communications flow is maintained and regularly updated through email account system, members briefing processes (non emergency).

Further co-ordination during prolonged emergencies (or recovery) could be provided through Scrutiny processes, in particular; Flood Risk & Environment Scrutiny & Community Scrutiny Committees.

ICT Management Activities & Applications

During the last twelve months, a number of internal and external audits have been undertaken, in addition to the Council's assessments for meeting Government security and BCM standards. The actions from these audits are reviewed monthly at a joint review meeting with the IT service delivery partner and progress tracked.

All occurrences of significant system downtime are recorded as 'Priority One' incidents and a full report and review is undertaken jointly by the Council and the Service Delivery partner.

As part of the Next Generation Platform programme of work, further changes to IT service delivery are being evaluated to improve BCM provision and extend the out of hours support and level of support given.

Work continues to be undertaken to remove any single points of failure within the IT infrastructure and provide for a resilient IT service which minimised system downtime.

The biggest risk faced at present is the reliance on a single data centre on the County Offices campus. A feasibility study into the alternatives available has been undertaken and budget secured. The Council continues to evaluate the options; meanwhile front-line systems resilience is being improved and provision for failover systems with minimal downtime are being pursued.

Key Suppliers, Partners & Providers

Significant progress has been made with assessing the effectiveness of the Council's most essential supplier, service provider and partner Business Continuity Management (BCM) arrangements.

With the substantial reliance on suppliers, service providers and partners in providing or supporting our critical services, the BCM team has been supporting Directorate Commissioning teams and Procurement Lincolnshire to ensure the necessary supplier assessment work is being undertaken. This has involved identifying key suppliers, providers and partners, ensuring contract terms & conditions are in place for BCM, assessing the effectiveness of the supplier's BCM arrangements and ensuring the processes and reporting mechanisms are in place for the continual assessment of these arrangements.

This work is on-going within Directorates however substantial progress has been made and recently updated supply chain resilience guidance and procedures will be shared across all Directorates.

Adult Social Care is currently reviewing its commissioning systems and this will include updating its BCM assessment process. A number of actions to mitigate the current risks are being undertaken including:

1) Winter pressure and resilience planning with Health Partners
2) An incentivised hospital discharge scheme with Home Care providers, now in place (Dec 2012 - March 2013.)
3) Effective utilisation of Intermediate Care Beds
4) On-going contract management and collaboration with providers

The key areas currently being reinforced in respect of BCM are residential/nursing care and the community support framework (CSF). In respect of residential care a Working Group has been established to develop a new Framework Agreement which will come into force in April 2013. The agreement will require providers to comply with new BCM terms and conditions in order to ensure a continuity of care to our vulnerable service users. Similarly, a review of the CSF will report by 31st March 2013 with one of the stated aims being to achieve greater resilience in the market.

Mouchel currently provide a number of support services to the Council including ICT and Property Services support which are essential to most of the Council's most critical services. Mouchel updated their BCM and Disaster Recover plans in 2011 after a major ICT outage in late 2010. A more detailed assessment of ICT resilience and preparedness can be found in the previous page 'ICT Management Activities & Applications' and also the external audit of the Council's ICT Disaster Recovery arrangements.

Corporate Support Functions

Corporate support teams provide the Council's critical services with essential support and assistance on a daily basis and also during internal disruptions and external emergencies.

The Corporate communications team play a vital role in keeping our staff, managers and elected members informed during internal incidents or disruptions. They are also involved during our response to external emergencies through the Lincolnshire Resilience Forum (LRF) Warning & Informing group. This was most recently tested during exercise Watermark in 2011.

In late 2010 a major ICT outage meant the Council's main method of communicating internally and with partners and customers was unavailable for a significant time. Since then the Corporate communications team has developed an internal emergency communications plan. This provides alternative methods of communication when the primary system is disrupted or unavailable.

The Council has a large property portfolio and working with partners such as District Councils, Health, Mouchel and potentially an external disaster recovery provider, the Corporate Property Services team anticipate that services generally would not be disrupted for an extended period during a premises related incident.

The needs of the business during an incident affecting a Council premise would be assessed and the best solution for providing alternative accommodation would be implemented as quickly as possible. Critical services, Children's Centres, Residential homes, schools etc. are also encouraged to have mutual aid agreements in place providing options for temporary relocations if required.