

North Lanarkshire Council Report

ENVIRONMENT & TRANSPORTATION COMMITTEE

approval noting

Ref: AM/PB

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RESILIENCE PLANNING & BUSINESS CONTINUITY UPDATE

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Executive Summary

The report provides details of the new guidance documents that have been made available to all Services, following approval by the Corporate Management Team, which will allow a more consistent approach towards effective Business Continuity Planning across all Service areas. This in turn will increase the resilience of the Council and allow continuation of critical services in the event of a major incident.

Recommendations

It is recommended that the Environment & Transportation Committee:

1. Note the contents of this report; and
2. Endorse and approve the Business Continuity Guidance document.

The Plan for North Lanarkshire

Priority All priorities

Ambition statement All ambition statements

1. Background

- 1.1 The Civil Contingencies Act 2004 and the Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005 define local authorities as Category 1 Responders and as such we are required to fulfil the statutory obligations in respect of contingency planning and business continuity.
- 1.2 Following an internal audit report in November 2018, although it was noted that there had been significant progress in improving the Council's overall Business Continuity arrangements, a number of additional actions were still identified as being required to further improve the Council's overall resilience through effective Business Continuity Planning (BCP).

2. Report

- 2.1 A key recommendation from the internal audit report was the introduction of corporate guidance relevant to Business Continuity. The purpose of this would be to:
 - Allow a more consistent approach towards BCP across all Council Services;
 - Ensure that all Plans are regularly reviewed, updated and tested;
 - Ensure that failure of critical IT infrastructure/ systems are part of BCP; and
 - Ensure that periodic assurance is provided by all Senior Managers that appropriate and robust BCP is in place to cover all service areas.
- 2.2 In response to the above, the Resilience Development Team has now produced a standard Business Continuity Guidance document. A copy of the document is attached as Appendix 1 to this report.
- 2.3 The document provides specific guidance on key areas of BCP together with standard templates which will assist all Services in delivering an improved and standardised approach towards BCP.
- 2.4 Included within the guidance is an annual assurance return which all Heads of Service will be required to complete on a yearly basis. This reflects a further key recommendation of the internal audit report and will confirm that effective Business Continuity management is in place across all Service areas. These returns will also be referred to in the annual BCP reporting to both CMT and the Environment and Transportation Committee to provide assurance that the Council's Business Continuity arrangements are such that will allow the Council to respond effectively in the event of any major incident.
- 2.5 Also included within the guidance document is a summary of the Council's ongoing preparation to develop specific Business Continuity arrangements relevant to Power Resilience. Further discussions have been undertaken with other emergency services with regard to this issue and further detailed guidance is being developed and will be delivered to Committee at a later date.
- 2.6 At the same time as the guidance document has been developed, work has already been undertaken to update and improve BCP across all Council Services. This has been coordinated by the Resilience Development Team through assistance from the Business Continuity Champions within each Service area. The consequence of this is that a revised Corporate Business Continuity Plan is now in place: <http://connect/CHttpHandler.ashx?id=44828&p=0> and this is further supported with detailed BCP's at each Service level.

- 2.7 In addition to the above, there has also been a review of the entire suite of Resilience documents to reflect the recent changes within the Council. This includes an updated Corporate Resilience Plan, Rest Centre Information Guide and Emergency Out of Hours directory.
- 2.8 Following approval of the updated Resilience Planning and Business Continuity arrangements by the CMT, information on the new guidance and the new Resilience documents was issued to all senior officers and updated on the Council's intranet system: <http://connect/index.aspx?articleid=20534>.
- 2.9 To allow all Services to test their own revised Business Continuity arrangements and the new Corporate documents, two Resilience Response Awareness Sessions were organised for the 4th and 12th June 2019 and were well attended by senior officers across all Services within the Council.

3. Equality and Diversity

3.1 Fairer Scotland Duty

3.1.1 There is no requirement for any assessment.

3.2 Equality Impact Assessment

3.2.1 There is no requirement for any assessment.

4. Implications

4.1 Financial Impact

4.1.1 There are no financial impacts associated with this report.

4.2 HR/Policy/Legislative Impact

4.2.1 Delivery of effective Business Continuity Planning is essential in fulfilling the Council's statutory obligations. Adoption of these guidance notes will assist in that regard.

4.3 Environmental Impact

4.3.1 There are no environmental impacts associated with this report.

4.4 Risk Impact

4.4.1 Delivery of effective BCP will assist in mitigating the Resilience Planning risk currently highlighted within the Council's corporate risk register.

5. Measures of success

5.1 Effective Business Continuity Planning will ensure the delivery of critical services in the event of a major incident.

6. Supporting documents

6.1 Appendix 1 – Business Continuity Guidance Notes

A handwritten signature in blue ink, appearing to read "Andrew McPherson". The signature is fluid and cursive, with the first name "Andrew" written in a larger, more prominent script than the last name "McPherson".

Andrew McPherson
Head of Regulatory Services and Waste Solutions



BUSINESS CONTINUITY AND DISASTER RECOVERY

GUIDANCE NOTES

**LIVE
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1. Background

In 2004, following crises in the preceding years, the UK government passed the Civil Contingencies Act 2004 (The Act) which provides the legislation for civil protection in the UK.

The Act was separated into two distinct parts: Part 1 focuses on local arrangements for civil protection, establishing a statutory framework of roles and responsibilities for local responders. Part 2 focused on emergency powers, establishing a modern framework for the use of special legislative measures that might be necessary to deal with the effects of the most serious emergency.

The Act requires that businesses need to have continuity planning measures in place in order to survive and continue to thrive whilst working towards keeping the incident as minimal as possible.

In accordance with the Act, North Lanarkshire Council has a duty to make relevant provisions and this forms an important part of the Council's Resilience Development functions. The responsibility for this function lies within the remit of the Head of Regulatory Services and Waste Solutions. The Council's Resilience Development Unit is responsible for co-ordinating the Council's Resilience Development activities on behalf of the Corporate Management Team (CMT) and is supported in this respect by the Corporate Resilience Management Team (CRMT). The day to day management and monitoring of the Council's overall Resilience is undertaken by the Resilience Development Coordinator and Resilience Planning Officer. Contact details for both are provided below:

Name	Designation	Contact Details
Aileen McMan	Resilience Development Coordinator	07939 280153
Teresa Murphy	Resilience Development Officer	07939 280152

Although the Resilience Development Unit have responsibility for the coordination of all activities across the Council area, it is the responsibility of each Service area to detail their specific Business Continuity and Disaster Recovery arrangements which would be enacted, as appropriate, to mitigate the impact of an emergency, complying with the following timescales:-

0-24 hours

1-3 days

4-7 days

7+ days.

This guidance document provides users with information on what requirements are placed on individual services to ensure that appropriate arrangements are in place which will allow the delivery of critical services in the event of a major incident.

2. Business Continuity Champions

In order to manage this process Business Continuity Champions (BCC) have been identified by Services as follows:

Service	Name	Contact Details
Chief Executive	Paul Donnelly	donnelpaul@northlan.gov.uk
Children and Families	Alan Henry	henryal@northlan.gov.uk
Enterprise and Communities	Paul Bannister	bannisterp@northlan.gov.uk
	David Shaw	shawd@northlan.gov.uk
Health and Social Care	Raymond Taylor	taylorr@northlan.gov.uk

3. Corporate Business Continuity Plan

3.1 Overview

The Corporate Business Continuity Plan is an overview document which summarises the business continuity arrangements across all service areas of the Council into a single document. This is a constantly changing document which is updated on a regular basis to reflect changes in arrangements across the Council which could impact on the Council's Resilience arrangements. A copy of the most up to date plan can be found at <http://connect/index.aspx?articleid=20534>

3.2 Preparation of Corporate Business Continuity Plan (BCP)

On at least an annual basis, each Business Continuity Champion (BCC) will convene a meeting which includes a representative from every Function within their Service. Prior to the meeting each attendee should receive a copy of the last BCP together with the appropriate Guidance Notes. The purpose of these meetings will be to review the current Corporate Plan to ensure that it accurately

reflects each individual Service's own arrangements and that they are properly allocated into the relevant response timescales.

It should be advised that the BCP is a Corporate Document and in order to maintain continuity across the Services, the templates contained within the documents should not be changed. An example of the format which should be followed for the corporate plan is provided below and a blank template can be accessed at <http://connect/index.aspx?articleid=20534>

On completion, each function rep shall forward their completed document to their BC Champion, who in turn will compile a collated document for their Service and pass to the Resilience Development Co-ordinator to prepare the updated Corporate Business Continuity Plan. As detailed above, this review should be undertaken on at least an annual basis; but where there has been a change within any Service area that requires a change to their Business Continuity arrangements, then details of this change should be forwarded to the Resilience Development Co-Ordinator as soon as possible.

Table 1 – Template Example for Corporate Business Continuity Plan

Critical Activity	Why Critical	Dependencies	Hazards	Generic Response
CHIEF EXECUTIVE'S 0-24hrs				
Registration of Births, Deaths and Marriages	Statutory requirement for informants to register events; Lack of mortuary provision in event of numbers of death registrations; Registration requirements before interment/cremation	Appointment of additional temporary support personnel; Extension of working hours and working week; Requirements of Registrar General	Absence of personnel; Loss of administrative support systems	NRS authorisation to extend statutory requirements of registration by delaying registrations; Working off-line using templates to record registrations; Employ former personnel in temporary capacity

4. Disaster Recovery Plan (DRP)

- 4.1 As detailed above, although there will be an overarching Business Continuity Plan for the Council, there is still a requirement on each individual service and function of the Council to have detailed arrangements on how that individual service or function will maintain their critical services in the event of a significant incident. This is known as the Disaster Recovery Plan (DRP) for the Service and consists of two key documents – Annexes A and B.
- 4.2 The Annex A document reflects the critical services contained with the Corporate Business Continuity Plan, but provides further detailed information to the Service about how it will maintain critical services. Similar to the Corporate BCP a standard template has been designed to provide assistance as to what level of information should be included for each Service. An example is provided below and a blank template can be accessed at <http://connect/index.aspx?articleid=20534>. As a general principle, the template should include sufficient information and links to all statutory guidance and guidance notes that would enable someone new within your Service to access all the information necessary to maintain a critical service. It should also cover the arrangements that would be put in place in the event of a complete loss of critical IT infrastructure.
- 4.3 Review of each Service's Annex A documentation should be undertaken on at least an annual basis or whenever there has been a significant service change that could impact on business continuity arrangements – whichever is most frequent.

Table 2 – Annex A Template Example

Trading Standards Annex A					
Critical Activity	Mutual Aid (internal)	Alternative Supplier (s)	Staff Training	Mutual Aid (external)	Response Procedures
Timescale 1-3 days					
Animal health – response to disease outbreak	Liaison with Palacerigg staff for assistance with transportation of the portable Anthrax burner, as appropriate. No other suitably knowledgeable staff available in Council.	Disinfectant supplies stored in Kildonan Street. Product https://www.downland.co.uk/product/total-farm-disinfectant/ Supplier McCaskie Agriculture Unit 8, East Faulds Road, Caldwellside Industrial Est, Lanark ML11 7SR 01555 662755		Assistance to be sought from adjacent TS authorities. SLC contacts Helen O'Neill and Jacqueline Murray. 01698 455221 Liaison with APHA and WoSRRP contacts.	http://connect/index.aspx?articleid=19971 Hard copies of procedural forms to be maintained in TS Assistant Manager's office Staff contacts: Rastislav Kolesar - Animal Health Officer 07903 333011 KolesarR@northlan.gov.uk Eamonn McCarron - TS Assistant Manager McCarronE@northlan.gov.uk 01698 274244 07939280540 Teresa Murphy - Resilience Development Officer MurphyTe@northlan.gov.uk 07939 280152
Animal health – response to disease outbreak in the event of loss of ICT					As above, invoking the Protective Services ICT Contingency Plan as appropriate. http://connect/index.aspx?articleid=19971 The purpose of the ICT contingency plan is to ensure that in event of an IT failure , critical business services are resumed with minimal disruption and that <ul style="list-style-type: none"> • Each type of risk is identified • Mitigations implemented • Responsibilities are understood Normal business can be resumed in a controlled manner within acceptable timescales

4.4 In addition to the information available to maintain critical services, it is also essential that Services have contingency arrangements in place should there be a complete loss of a critical building or staff cannot attend a specified location in the event of a severe weather incident. This information would be retained on the Annex B document. The type of information to be included will include full contact details of all affected staff and the alternative working locations that would be available to ensure continued delivery of the critical service. It is important that all relevant managers ensure they have a hard copy and consider a process to ensure it is updated regularly. However, due to the data being retained

within such a document arrangements should be in place to ensure that all GDPR requirements are being complied with. An example of an Annex B document is contained at the following link <http://connect/index.aspx?articleid=20534>. Managers could also consider alternative methods on how to communicate with staff in the event of such an incident e.g. use of 'Yammer' etc.

4.5 Further guidance relevant to adverse weather can be obtained on the intranet at: <http://connect/CHttpHandler.ashx?id=4467&p=0>

5. ICT Disaster Recovery Plan

5.1 The ICT Disaster Recovery Plan details the planned response to a catastrophic failure of ICT systems, typically relating to loss of functionality, connectivity and/or access to from the Council's data centres. These data centres have their own Business Continuity plan. The recovery plan has been set out in a timeline format that is designed to be easy to use from commencement of a significant disruption through to its resolution.

5.2 This recovery plan provides the guidance and support to ICT management and staff in making decisions to facilitate recovery from

disruption that significantly impacts the Council's ICT services. It details the recovery actions required of the various teams likely to be involved. This plan does not deal with individual component-level failure which is addressed in a variety of documents in use across ICT.

5.3 This plan does not specify actions for the Administrative areas of North Lanarkshire Council, but is limited to the ICT services only. Actions required of other Services and Divisions should be documented in their own Business Continuity Plans.

6. Power Resilience ('Black Start')

- 6.1 Black Start is the name for the recovery process following a (complete or partial) shutdown of the National Grid. The potential consequences will be significant and wide ranging and the term Power Resilience is the phrase being used to more accurately describe the arrangements required in the preparing and planning for such an event.
- 6.2 Full power restoration could take up to seven days and the timeframe to a full power cut is likely to be less than 2 minutes, meaning there will be no preparation time.
- 6.3 A 'Black Start' event is currently assessed as very high risk on the National Risk Assessment with medium likelihood and significant impacts. Due to the significant impacts, the Scottish Government has requested that all local authorities specifically plan for this event as conventional business continuity plans will not allow for management of such a large scale emergency.
- 6.4 Planning for such an event is at a very early stage both at a National and local authority level. However, steps have already been undertaken by the Council to provide appropriate power resilience at the Council's Civic Centre which will allow this building to become self-sufficient for a period of 7 days. This will be the key building in the event of any 'Black Start' event and the Resilience Development Unit is now developing guidance which will outline the Council's response to such an event and how critical services shall be maintained. Further information relevant to this will be shared through the Council's Business Continuity Champions and this section of the guidance will be updated to reflect the ongoing work within this area.

7. Testing and Review

- 7.1 An integral part of any Business Continuity arrangement is to ensure that elements of the plan are regularly tested and reviewed. As a minimum it is recommended that at least one area of each service area’s plan is tested through a table top exercise. A record of this review should be retained by the individual Service. A copy of the review template can be accessed at the following link: <http://connect/index.aspx?articleid=20534>
- 7.2 As a guide, a summary of the minimum level of testing and review within each function area of each Service is enclosed in Table 3 below:

Table 3 – Minimum Testing and Reviewing Requirements

Subject	Minimum Frequency
Review of Corporate Business Continuity Planning submission.	Annually
Review of Annex A Documentation	Annually
Review of Annex B Documentation	Annually
Internal Desktop Review of One Critical Service Area	Annually

- 7.3 To compliment the internal testing and reviews being undertaken above, corporate exercises will also be arranged through the Resilience Development Unit. These will be on at least a six monthly basis and will be based on table top exercises and disaster simulation testing. Full details of these events will be circulated to all relevant managers as and when the exercises are developed.

8. Governance

- 8.1 As part of the overall governance arrangements associated with Business Continuity there will be a requirement on the Head of Regulatory Services and Waste Solutions to provide an update to both the Council’s Corporate Management Team and Environment and Transportation Committee on the Council’s approach towards Business Continuity and Resilience Planning. This will be to provide assurance that all measures contained within this guidance are being applied appropriately and consistently across all areas of the Council and that the Council is complying with its statutory obligations.
- 8.2 To facilitate this reporting, each Head of Service will be required to submit a Business Continuity Assurance Return to the Resilience Development Unit on an annual basis. All Heads of Service shall be notified in advance of the date for return of the Assurance document and a copy of the template can be obtained at the link below: <http://connect/index.aspx?articleid=20534>

This information is available in a range of languages and formats, including large print, braille, audio, electronic and accessible formats.

If you, or anyone you know would like to receive this document in another format; other languages, large print, braille, audio or electronic.

Please contact:

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e. contingencyplanning@northlan.gov.uk

MANDARIN

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URDU

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