



**Audit & Governance Committee**  
22 January 2018

**Business Continuity**

**Purpose of the report:**

To outline the Council's assurance process for business continuity plans in and information on the robustness of these plans based on any practical testing

**Recommendations:**

It is recommended that the Audit & Governance Committee note and discuss the contents of the report and consider the appropriate timescale for future reporting.

**Introduction:**

1. Surrey County Council has the duty to provide various services to the communities of Surrey and other partner organisations. Many of these duties are set by legislation and other duties come from common law. Many have a direct impact on the health and quality of life of the residents of Surrey.
2. The Civil Contingencies Act 2004 places a duty on Surrey County Council to ensure critical services are resilient in order to respond to disruptive events.
3. The purpose of this policy is to ensure the following objectives are met:
  - That Surrey County Council has a planning process in place that encompasses anticipation, assessment, prevention and preparation, so that we are ready to deal with rapid increased demands for services caused by emergencies.
  - That Surrey County Council responds to these increased acute demands for service efficiently and effectively,

- That Surrey County Council will have a business continuity process in place to enable critical services to be maintained in the face of a serious and / or widespread disruptive incident, including disruption to services during an emergency,
  - That Surrey County Council will have in place business recovery plans to ensure a rapid return to normal or a new normal.
  - That Surrey County Council maintains a training and exercising programme for staff to ensure effective implementation of these procedures.
4. The routine member scrutiny of the duties of outlined above is through the Corporate Service Select Committee. This report is submitted to the Audit and Governance Committee to outline the business continuity arrangements to the members of this committee.
  5. Surrey Fire and Rescue Service (SFRS) is a category one responder in its own right under the Civil Contingencies Act 2004 and have specific arrangements in place for business continuity management. SFRS is accredited to the business continuity standard ISO22301 and is audited annually by the British Standard Institute which provides its assurance on the robustness of its plans.

<h3><b>Business Continuity Management</b></h3>
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6. The Surrey County Council Resilience Policy outlines the business continuity processes the Council has in place to enable critical services to be maintained in the face of a serious and / or widespread disruptive incident, including disruption to services during an emergency.
7. This policy is regularly reviewed and signed off by the Strategic Director Environment & Infrastructure.
8. The Surrey County Council Corporate Incident Management Plan is maintained by the Emergency Management Team and explains how the Council will respond to a business continuity incident.
9. The Corporate Incident Management Plan details the roles and responsibilities for all staff and identifies the priority of the council's services. Appendix A contains the agreed list for your reference.
10. Each Service completes a Business Impact Analysis (BIA) to identify their critical activities these are then categorised 1 being the least critical and 5 as the most critical. The level of criticality of an activity is dependent on the impact of the loss of the activity and how quickly the activity needs to restart. The BIA then looks at the staff and equipment requirements to carry out these activities.
11. The service Business Continuity Plan (BCP) details how a service will respond to an incident and how they will continue to provide their critical activities.

12. The Councils business continuity management system has been designed to align to the business continuity standard ISO22301. It was decided that accreditation to the standard for the council was cost prohibitive.
13. The Emergency Management Team is currently working with colleagues in East Sussex and Brighton & Hove to explore how best to manage Orbis services business continuity.

### **Assurance Process**

14. Each Service is required to ensure their service BIA and BCPs are fit for purpose. Priority 1 services should review their arrangements at least on a 6 monthly basis and Priority 2 and 3 services should review their arrangements at least annually. The service BIAs and BCPs should also be checked to ensure the arrangements are still effective prior to known disruptions e.g. planned IT outages, service restructures and scheduled sporting events and after business continuity exercises, any significant incidents or changes that have had a large impact on the service e.g. an alteration to the service risk profile.
15. Any services with category 5 (recovery required within 1 hour) and 4 (recovery required within 12 hours) critical activities should ensure the key contact details included in the BCP relevant for these activities are tested on a 6 monthly basis, or following a significant change to the service e.g. a restructure.
16. Any services with category 5 or 4 critical activities should ensure they are validated on an annual basis.
17. The head of service is responsible for ensuring that service BCPs are up to date. Each service nominates a Council Risk & Resilience Forum representative who normally undertakes this work on behalf of the service head.
18. The Council Risk and Resilience Forum (CRRF) is chaired by the Emergency Management Team and meets quarterly to review business continuity arrangements and review the status of services plans.
19. The status of service plans are taken to the Statutory Responsibilities Network every six months to give strategic oversight to the status of service BIAs and BCPs.
20. Business Continuity is assessed as part of the Councils Audit programme. The last audit was in January 2015 and the actions following the audit have been completed.

### **Testing & Exercising**

21. The service status table Appendix 2 show the dates of the exercises that have been undertaken by services. Additionally 2 of the CRRF meetings are used as workshops to help review service BCPs.

22. The Corporate Incident Management Plan has been used to respond to the recent move to critical and data breach incidents. There have been debriefs following these incidents and the learning has been fed into the next review of the plan

### Financial and value for money implications

23. The current Emergency Management Team (EMT) budget is set out below.

	2016/17 £000	2017/18 £000	2018/19 £000	2019/20 £000
<b>Funding:</b>				
<b>Contribution and contract income</b>	-42	-63	-84	-106
<b>Total funding</b>	<b>-42</b>	<b>-63</b>	<b>-84</b>	<b>-106</b>
<b>Expenditure:</b>				
<b>Employment</b>	487	496	504	512
<b>Non employment</b>	57	57	58	59
<b>Total expenditure</b>	544	553	562	571
<b>Net budget</b>	<b>502</b>	<b>489</b>	<b>477</b>	<b>465</b>

24. The Emergency Management Team budget covers 3 main areas,

- Business Continuity Planning
- Emergency Planning and Response
- Planning for Major Planned Events

25. In line with the Corporate Policy there is an expectation that services will identify resources within service plans and budgets to support their Service Level Business Continuity arrangements.

### Equalities and Diversity Implications

26. Service disruption and emergencies tend to impact harder on disadvantaged groups within our communities who in turn may rely more heavily on Council provided services – effective Emergency Preparedness and Business Continuity Planning is therefore essential to their continued wellbeing. Compliance with the requirements of the Civil Contingencies Act 2004 will assist disadvantaged groups.

### Risk Management Implications

27. Business Continuity arrangements address some of the operational risks identified through the risk management process. Where risk management is concerned with minimizing the probability of and destruction caused by negative events. Business Continuity, as the name implies, must cope with interruptions at the operational level. Recognizing that there are inherent imperfections in systems, people, facilities and general operational

functions. The essence of Business Continuity Management System is to negate or reduce the impacts of potential service disruption on the critical services of the organization.

- 28. Focusing upon incident-specific, site-specific analysis of potential causes of interruptions, risk managers seek to preclude incidents from occurring. If elimination of the risk is not possible, then through the Business Continuity arrangements, the focus moves to minimizing the results of the negative event and protecting the delivery of services deemed as critical to residents and our communities.

**Next steps:**

Continue to work with East Sussex & Brighton & Hove City Council to ensure that Orbis services have the appropriate business continuity plans in place and that they are validated through testing and exercising.

Continue to work with SCC services to ensure their plans are regularly updated and exercised.

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**Sources/background papers:**

- All background papers used in the writing of the report (eg previous reports/minutes, letters, legislation), should be listed, as required by the Local Government (Access to Information) Act 1985.
- A copy of any background papers which have not previously been published should be supplied to Democratic Services with your draft report.

## Appendix 1 Service Priority List

Priority One Services	
Adult Social Care and Public Health	Adult Social Care Mental Health Service Delivery
Children's, Schools and Families	Children's and Safeguarding Service
Deputy Chief Executive's Office	Communications Customer Services Information Management & Technology Property Services
Environment & Infrastructure	Emergency Management Team Highways Surrey Fire & Rescue Service Travel & Transport Group
Legal, Democratic & Cultural Services	Coroner Registration and Nationality Service

Priority Two Services	
Children's, Schools and Families	Schools and Learning Services for Young People
Communities	Trading Standards
Deputy Chief Executive's Office	Business Operations HR & Organisational Development
Legal, Democratic & Cultural Services	Community Learning & Skills Legal Services

Priority Three Services	
Adult Social Care and Public Health	Public Health
Children's, Schools and Families	Family Services Resources (Children's, Schools and Families)
Communities	Community Safety Team and Community Partnership Team Directorate Support
Deputy Chief Executive's Office	Finance Policy and Performance Procurement and Commissioning
Environment & Infrastructure	Environment - Countryside Group Environment - Place & Sustainability Environment - Planning and Development Group E&I Directorate Programme Group Waste Operations & Development Group
Legal, Democratic & Cultural Services	Democratic Services Heritage Library Services Surrey Arts

Appendix 2 Service Business Continuity Status

	Service Area	BIA Due	BCP Due	BCP Training/Exercise
Priority Area 1	IMT	15.04.17	15.04.17	12.11.15
	Property	25.10.18	25.10.18	
	Emergency Management	25.07.18	25.07.18	16.06.17
	Strategic Transport	02.11.18	02.11.18	
	Highways	30.11.18	08.11.18	
	Registration & Nationality	19.10.18	19.10.18	
	Coroner	02.11.17	02.11.17	
	Fire & Rescue	01.10.18	01.10.18	
	Communications	14.12.18	14.12.18	Feb-16
	Children & Safeguarding	01.05.18	01.05.18	16.06.16
	Adult Social Care	13.03.17	30.08.18	14.03.17
	Mental Health	30.10.18	20.10.17	17.05.16
	Customer Services	22.07.18	22.07.18	14.09.16
	Service Delivery	31.08.18	31.08.18	26.06.17
Priority Area 2	Trading Standards	01.04.17	01.04.17	
	Business Operations	11.10.18	11.10.18	
	HR & OD	06.10.18	06.10.18	
	Services for Young People	25.10.17	25.10.17	
	Legal Services	10.10.17	10.10.17	10.10.17
	Schools & Learning	31.08.17	31.08.17	
	Communtiy Learning and Skills	19.10.17	19.10.17	
Priority Area 3	Support Services Customer and Communities	21.10.17	n/a	
	Strategy & Performance	18.07.18	18.07.18	
	Library Services	20.11.17	20.11.17	
	Democratic Services	29.09.17	29.09.17	Jun-16
	Surrey Heritage	01.11.18	01.11.18	14.11.17
	Surrey Arts	15.11.17	15.11.17	
	Community Safety/Partnership	15.11.17	15.11.17	
	Waste Group	02.11.18	02.11.18	
	Countryside Group	02.11.18	02.11.18	
	Planning Group	02.11.18	02.11.18	
	Public Health	20.04.18	20.04.18	09.10.17
	Procurement	13.10.18	13.10.18	14.11.17
	Finance	09.06.18	09.06.18	
Family Services	24.03.18	24.03.18		

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