

**LINCOLNSHIRE POLICE AUTHORITY
AUDIT, RISK AND GOVERNANCE COMMITTEE
19 NOVEMBER 2009**

SUBJECT BUSINESS CONTINUITY SCRUTINY	
REPORT BY	SCRUTINY PANEL
CONTACT OFFICER	HOWARD HUNT DEPUTY CHIEF EXECUTIVE TELEPHONE: (01522) 558022
SUMMARY AND PURPOSE OF REPORT	
To present the scrutiny panel's report and recommendations regarding Business Continuity management and planning in the Force and the Authority.	
RECOMMENDATIONS	<p>Recommendation 1: It is recommended that the Force embeds a corporate, consistent and centrally led approach to BCM throughout the Force. <i>(para 3.3, pg 10)</i></p> <p>Recommendation 2: It is recommended that the Emergency Planning Officer be located in Strategic Development. <i>(para 3.6, pg 10)</i></p> <p>Recommendation 3: It is recommended that following formal approval of the new BC policy, the Force adopt a project management approach to managing the work necessary to deliver the project's objectives. <i>(para 3.12, pg 11)</i></p> <p>Recommendation 4: It is recommended the Force forms a business continuity management board to oversee the implementation of BC arrangements within the Force. <i>(para 3.14, pg 12)</i></p> <p>Recommendation 5: It is recommended that the Force assures itself that the oversight, ownership and management of risks relating to BC which appear on the Force risk register are properly aligned with the role of the proposed Business Continuity Management Board to ensure clarity and eliminate duplication. <i>(para 3.22, pg 12)</i></p> <p>Recommendation 6: It is recommended the Force introduces force-wide business continuity plans that address generic loss likely to impact the organisation as a whole e.g. ICT, utilities, people and estate in addition to divisional/departmental BCPs. <i>(para 3.26, pg 14)</i></p> <p>Recommendation 7: It is recommended the Force a) maps and defines its critical functions, b) defines the desired and minimum acceptable levels of service for these functions, c) conducts business impact analyses to understand the risks to these functions, the likelihood of disruption occurring and the consequences and d) prioritises the continuity and</p>

recovery of these functions. This work should then inform both Force-wide and departmental/divisional BCPs. This approach should be clearly outlined in policy and co-ordinated and led by the BC Management Board. *(para 3.29, pg 14)*

Recommendation 8: The Business Continuity Management Board review and approve departmental/divisional BCPs to ensure consistency with the above methodology and that interdependencies between parts of the Force have been properly assessed and accounted for. *(para 3.30, pg 15)*

Recommendation 9: It is recommended that the ICT and FCCC disaster recovery projects be overseen by the Business Continuity Management Board, that a clear remit and timeline prioritise this work and that any mitigation requiring capital investment be appropriately prioritised within the Capital Programme. *(para 3.36, pg 16)*

Recommendation 10: It is recommended that the Force procurement process for business critical service contracts (such as ICT support) include an assessment of the contractors' own business continuity arrangements to enable the Force to satisfy itself that contractors would be able to deliver in the event of their own operations being compromised. *(para 3.37, pg 16)*

Recommendation 11: It is recommended that the Force seek to formalise any agreements with other forces or agencies for the provision of mutual aid where this forms part of the Force's business continuity planning. Formalising these agreements should be prioritised in line with the business impact analysis referred to elsewhere in this report, i.e. focussing on the areas of greatest risk and impact first. *(para 3.38, pg 17)*

Recommendation 12: It is recommended that the Force ensure any formal protocols/agreements for mutual aid be properly documented in the relevant business continuity plans. *(para 3.39, pg 17)*

Recommendation 13: It is recommended Force business continuity plans include recovery strategies for the first 90 days following an incident which aim to return functions to preferred service levels. This should be co-ordinated by the BC Management Board. *(para 3.43, pg 18)*

Recommendation 14: It is recommended that BCM responsibilities be reflected in relevant job descriptions of police officers and staff in management and leadership roles. *(para 4.6, pg 19)*

Recommendation 15: It is recommended that the Force develop and implement a Force-wide Business Continuity training and awareness raising strategy, overseen by the Business Continuity Management Board. *(para 4.8, pg 20)*

Recommendation 16: It is recommended that the Force develop co-ordinated testing and maintenance strategies for business continuity plans, monitored by the Business

Continuity Management Board. Testing should comprise live and table-top testing proportionate to the criticality of the functions individual plans cater for. *(para 5.3, pg 21)*

Recommendation 17: It is recommended the Force gives due consideration to the long term personnel resources required to deliver the objectives it is setting itself for BCM and the appropriateness of current arrangements. *(para 6.3, pg 22)*

Recommendation 18: It is recommended the Force consider expediting the disaster recovery project for the FCCC and ICT provision and that resultant recommendations requiring capital outlay be accurately factored into the capital programme and prioritised appropriately following further consultation with the Authority. *(para 6.5, pg 22)*

Recommendation 19: It is recommended that the Force continues to attend the regional business continuity forum and that they give thought to wider opportunities for collaboration once BCM internally is more robust. *(para 7.3, pg 23)*

Recommendation 20: It is recommended that the Force considers whether its generic business continuity planning offers sufficient robustness to deal with large scale redeployment or abstractions to either major incidents within Lincolnshire or to other Forces. *(para 8.8, pg 24)*

Recommendation 21: It is recommended that the disaster recovery project for ICT and FCCC gives due consideration to the following:- ICT power supply back-up, detailed ICT disaster recovery plans, increased server resilience via dual-siting, options for increasing FCCC resilience, and that the Force provide the Authority with a detailed action plan and timeline for this work, providing recommendations to the Authority on any changes to the existing capital programme. *(para 9.9, pg 27)*

Recommendation 22: It is recommended that the Force agrees with the Authority appropriate prioritisation of its provision of key services (accommodation, utility supplies, telephony and ICT) to the Authority within its critical functions and BCPs. *(para 10.2, pg 28)*

Recommendation 23: It is recommended that the Audit, Risk and Governance Committee consider whether the lack of business continuity and disaster recovery plans should feature on the Authority's risk registers. *(para 10.3, pg 28)*

Recommendation 24: It is recommended the Authority a) maps and defines its critical functions, b) defines the desired and minimum acceptable levels of service for these functions, c) conducts business impact analyses to understand the risks to these functions, the likelihood of disruption occurring and the consequences d) prioritises the continuity and recovery of these functions e) considers and agrees appropriate control measures and f) implements a

	<p>BCM policy and BCP, ensuring Officers and Members are appropriately trained, subject to an agreed timeline and resourcing. <i>(para 10.4, pg 28)</i></p> <p>Recommendation 25: It is recommended the Force provides the Audit, Risk and Governance Committee with on-going progress updates against the recommendations outlined in this report. <i>(para 11.2, pg 29)</i></p> <p>Recommendation 26: It is recommended this scrutiny panel conducts a formal review of the Force's progress with the recommendations and the implementing of its BCM policy no later than November 2010. <i>(para 11.2, pg 29)</i></p>
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A. SUPPORTING INFORMATION

1.0 Introduction

- 1.1 Scrutiny work comprises detailed evidence based assessment of particular services or issues of local concern that can be developed or improved.
- 1.2 On 21 May 2009, the Scrutiny and Audit Committee agreed to carry out a scrutiny into Business Continuity.
- 1.3 The Panel explored the following areas relating to Business Continuity:
- The Force's current and in-development business continuity management processes including planning, governance, risk management, business/disaster recovery strategy and allocation of responsibilities.
 - The Force's arrangements for staff awareness and training.
 - The Force's arrangements for maintaining, reviewing and updating business continuity plans and their testing.
 - Identify best practice (other Forces, NPIA, ACPO, British Standards Institute)
 - Consider opportunities for collaboration, both regionally with other Police Forces and locally with Local Area Agreement (LAA) partners and the formalisation of these through agreed protocols.
 - Consider the Business Continuity Planning requirements of the Authority given the Authority's dependency on the Force for key services (e.g. ICT, telephony) and accommodation.
- 1.4 The Business Continuity Scrutiny Report is attached at **Appendix A**.
- 1.5 The Scrutiny Panel comprised: Mrs Angela Crowe (Panel Lead), Mr John Atter and Mr Paul Przyszlak, with support from Howard Hunt (Deputy Chief Executive) and Ginny Mason (Research and Performance Officer).

Methodology

- 1.6 In addition to literature review, the Panel interviewed Force officers and staff during August and September 2009. The panel are grateful for the participation of all those interviewed. They particularly wish to acknowledge interviewees' openness and honesty in answering questions and sharing knowledge which contributed greatly to the panel's learning of the issues and the conclusions drawn in this report. A full list of those interviewed is to be found at appendix 6 of the attached report.

- 1.7 The Panel was mindful that this scrutiny was conducted at a time when considerable development work is underway in the form of a new policy and the introduction of a new approach to business continuity management within the Force. The Panel therefore sees the timing of this scrutiny as an opportunity to inform and add value to the policy's continuing development and its implementation, whilst also learning from existing arrangements.

2.0 Recommendations

- 2.1 The Panel's recommendations are listed at pages 1 - 3 of this report. The background and rationale for these are contained in the full report at Appendix A.

3.0 Conclusion

- 3.1 Whilst recognising the challenges the Force faces in embedding robust BCM, the Panel has concluded that both an acceptance of the need and a will to do so are very much in evidence. The recommendations of the Panel inevitably reflect where the Force is in developing robust and effective BCM and the Panel hopes that these recommendations will be both constructive and timely.
- 3.2 The size of the task ahead should not be underestimated. However the panel has no doubt that if the Force meets its objectives outlined in its new Business Continuity policy it will not only be better prepared to continue and recover its functions when it is adversely impacted upon, but also act as an exemplar to other Forces. The Panel looks forward to monitoring the Force's progress.

4.0 Force Comments

- 4.1 The Authority has received detailed feedback from the Force, which has been reflected in some changes of terminology and approach in the final report. Both the Authority and the Force have confidence in the Force's proposed way forward.

B. FINANCIAL CONSIDERATIONS

Some of the Panel's recommendations have financial implications and these are detailed within the Scrutiny report at appendix A.

C. LEGAL AND HUMAN RIGHTS CONSIDERATIONS

The need for compliance with the Civil Contingencies Act 2004 is covered in the Scrutiny report.

D. PERSONNEL, EQUAL OPPORTUNITIES AND DIVERSITY ISSUES

None specific.

E. REVIEW ARRANGEMENTS

The Committee will determine the review date.

F. RISK MANAGEMENT

The risks associated to the Authority and the Force with regard to Business Continuity are highlighted throughout the Scrutiny report.

G. LIST OF BACKGROUND PAPERS

See Appendix 3 of the Scrutiny report.