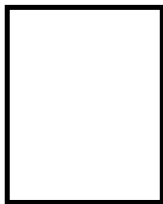
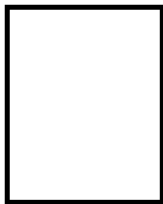
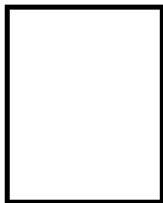
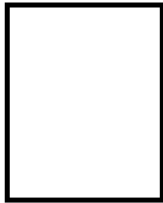
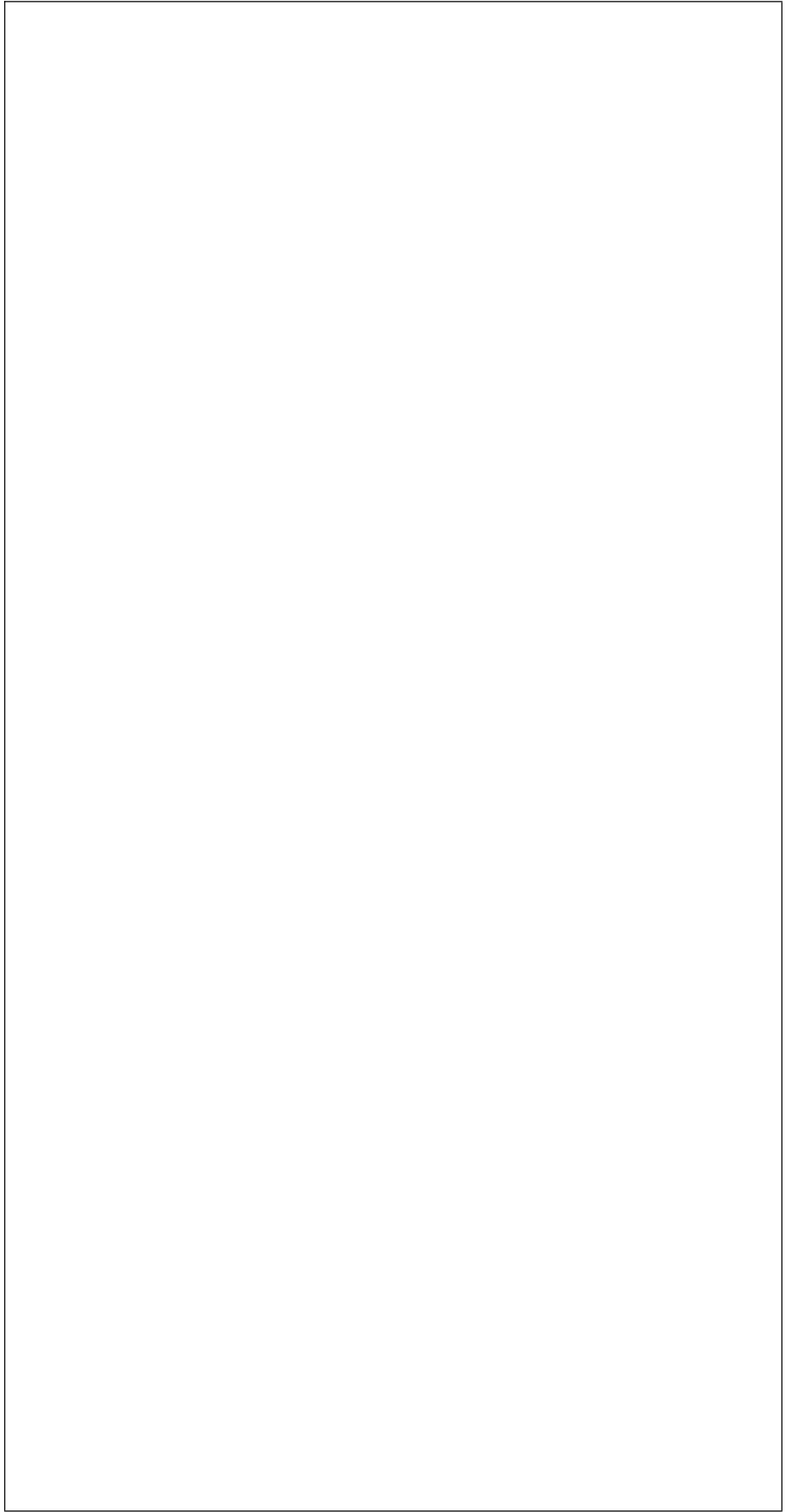
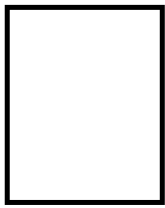
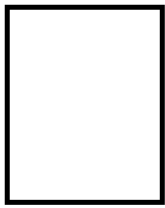
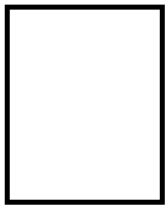
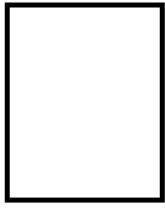
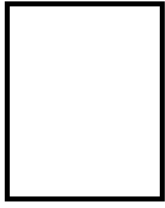


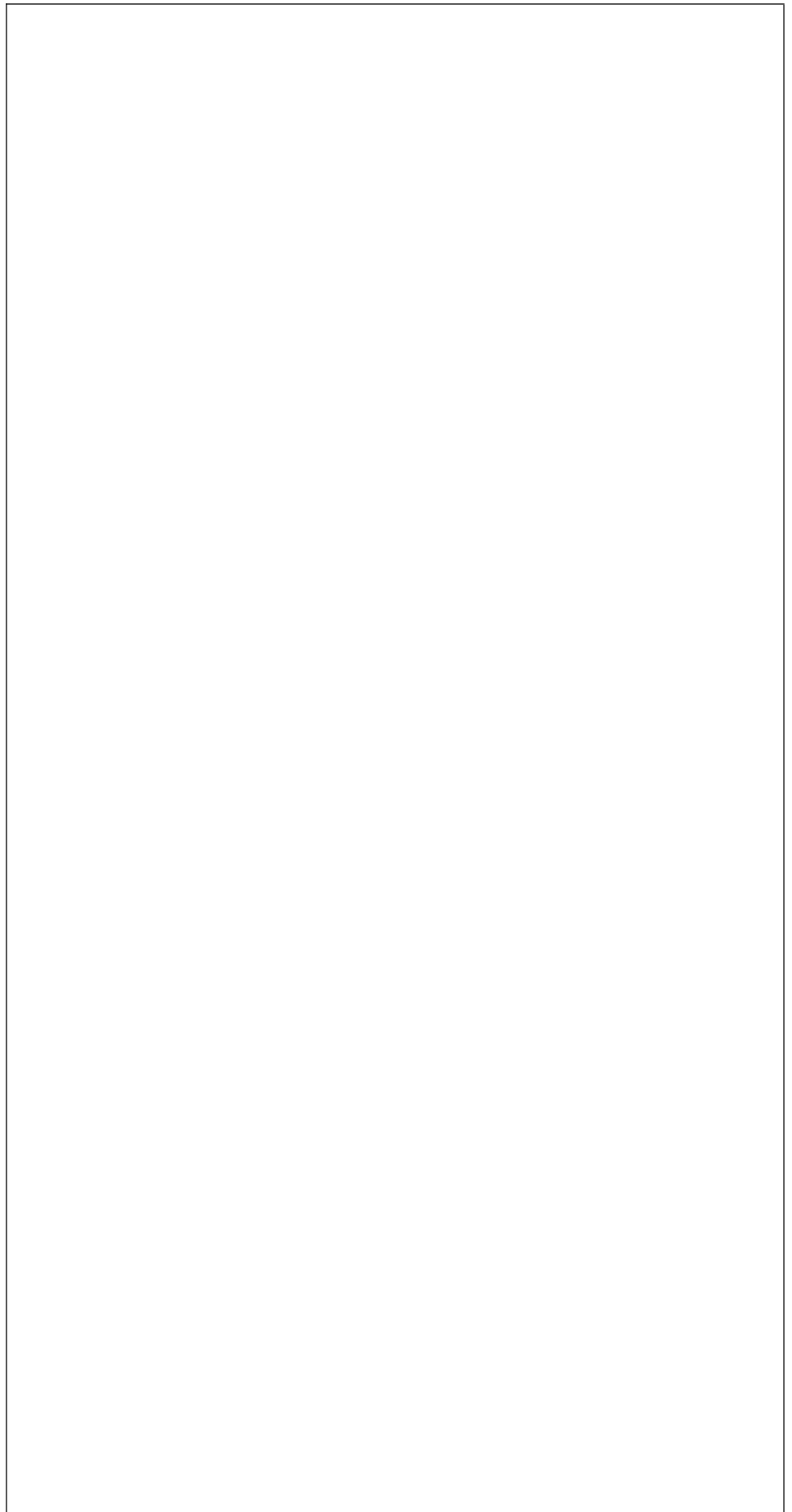
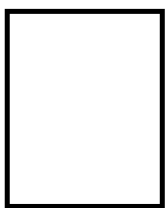
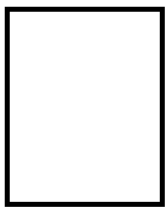
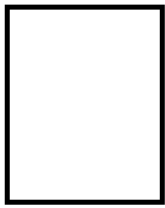
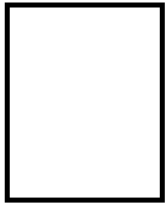
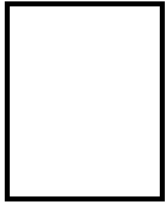
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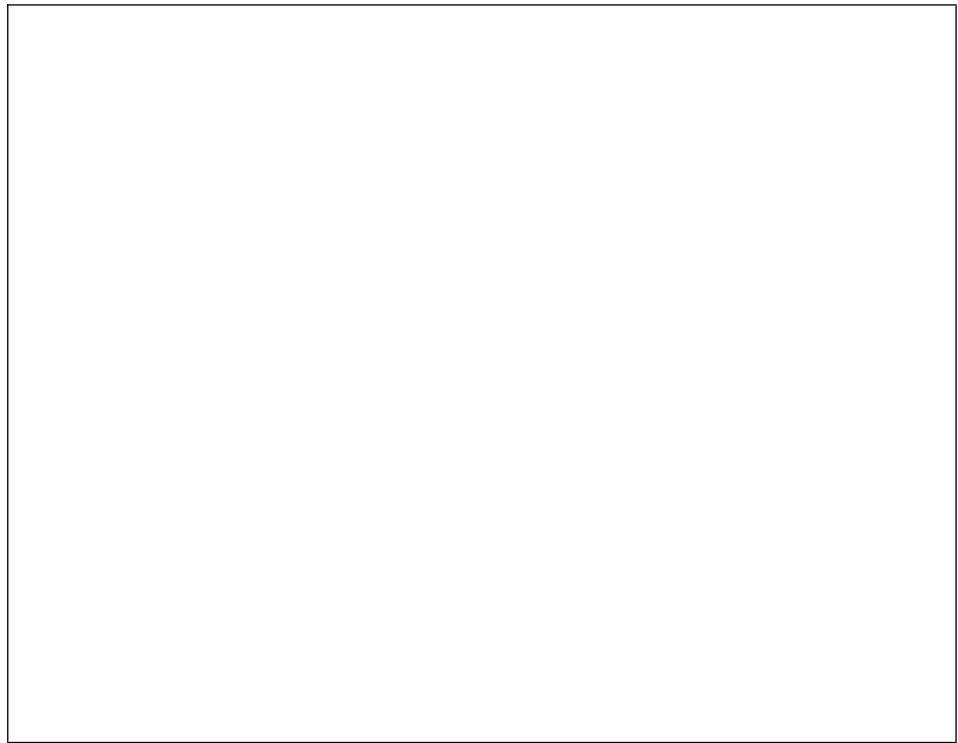
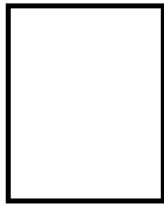
**FROM:** Director of Policy & Communications

**DATE:** 15<sup>th</sup> January 2013









**PORTFOLIOS AFFECTED:** All

**WARDS AFFECTED:** All

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**TITLE OF REPORT:** Update from the Strategic Risk & Resilience Forum

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1. PURPOSE

To provide Members with details of the work activity being managed by the Strategic Risk & Resilience Forum in its task of ensuring the effective implementation and co-ordination of risk management, emergency planning, business continuity, governance and events management strategies.

2. RECOMMENDATIONS

Members are recommended to note the current position and confirm their support for the Council's approach to Risk & Resilience issues.

3. KEY ISSUES

The Strategic Risk & Resilience Forum has identified key activities necessary to ensure the Council's robustness and is actively monitoring progress in such key areas. Update reports on all work areas will be provided by the Strategic Risk & Resilience Forum to both the Chief Executive's Strategy Group and the Audit Committee on a regular basis.

It is important to recognise that all of the following areas require, and are

undertaking, continuous re-assessment of the Council's position against the changing economic, political and legal landscape.

A brief overview of the legal requirements for each area is set out in **Appendix A** and the structure of the Strategic Risk & Resilience Forum is in **Appendix B**.

The table below shows the RAG (Red, Amber, Green) rating for each work area and following is a brief explanation in support of this.

	Lead Officer	Planning / Programme	Training	Exercising
<b>Risk Management</b>	Liz Hall	Amber	Green	N/A
<b>Business Continuity</b>	Liz Hall	Amber	Amber	Amber
<b>Emergency Planning</b>	Tom Stannard /Sarah Riley	Green	Amber	Amber
<b>Information Governance</b>	Mike Zammit	Amber	Amber	N/A
<b>Events</b>	Brian Bailey	Amber	Per Event	Per Event

### **Risk Management**

The programme of risk management approved by the Chief Executive's Strategy Group in April 2011 and the Audit Committee in June 2011 has continued to be embedded across the Council. The Risk Management Strategy was reviewed and updated earlier this year and approved by Audit Committee in September.

A training programme for lead officers and Heads of Service has been delivered during the year to support departments in reviewing and updating their risks. These are being recorded on the new risk register format which allows for more accurate monitoring and reporting to take place. When these registers are complete the risks will be reviewed and challenged to ensure the details are adequate and there is consistency across directorates for common risks.

Risk reports have been developed to monitor the high risks identified by each department and this information has been provided to Directors as part of the PAM challenge process.

In addition, in April 2012 the Partnership Governance Framework was rolled out. This formalises the identification and management of risks associated with the strategic partnerships the Council is involved with. By 31 March 2013 Departments should have completed the Governance Checklist which is to be completed in respect of each of the partnership identified,

Completion of all the above will resolve the outstanding 'amber' RAG rating for Risk Management which should then be reported as 'green'.

The annual review of the corporate risk register by the members of the Strategic Risk and Resilience Forum took place in March 2012. This was to ensure that we had the appropriate corporate risks aligned to business objectives going forward into 2012/13. The revised risk register was approved by Chief Executive Strategy Group in March and Audit Committee in April 2012.

### **Business Continuity**

Work has been ongoing to complete the implementation of the Business Continuity Management Programme across the Council. The process included the production of a new Business Continuity Strategy as the previous programmes of business continuity management within the Council fell considerably short of the legal requirements.

Departments have been completing their departmental business continuity plans and to date 10 are complete and have been agreed by SMT/DMT's and 2 are still in draft format. Once all the final plans are received they will be signed of as Council Policy. This has included a methodical risk assessment approach undertaken by the completion of the Business Impact Analysis process, which identifies the key business risks and threats. This information will be used to build and develop a relevant, meaningful and practical corporate business continuity plan to ensure the Council can deliver its most critical of services during emergencies and other business disruptions.

To date the Council has focussed on identifying its most critical services, the activities that support these services, and the vulnerabilities and minimum resource levels to maintain such services through a disruptive incident. Darwin Leisure Centre has been identified as alternative accommodation to enable the core critical services to be delivered and maintain business continuity.

Plans for the most critical services containing this information and other contingency measures are due to be completed by December 2012 with plans for the less critical services being completed during 2013. The Draft Corporate Business Continuity Plan is planned to be finalised and approved by the end of January 2013. This will then see the RAG rating for business continuity planning turn 'green'.

An exercise to test the draft corporate plan was carried out in November 2012. This was facilitated by Zurich Municipal as part of the risk management support they provide to the Council. Their report on the results has been received. This noted that the Council is well prepared to respond and to maintain a basic level of service.

The purpose of the exercise was to review the Council's business continuity arrangements by working through a scenario that would cause a major disruption to 'business as usual'. In doing this a number of areas for improvement were highlighted.

Actions to be taken forward following the exercise include:

- Understanding the role and response of partners, and how they could support the Council;
- Considering the logistics of responding to a major disruption; for example how many staff are needed and when; or how would a service work around not having access to IT;
- Reviewing aspects of internal and external communications during any emergency. For example having access to contact numbers, diverting telephones and making use of social media.

The findings will be used to inform the final Corporate Business Continuity Plan.

The exercise was attended by Chief Officers, Heads of Services and key staff. In addition to this, a programme of business continuity training for key staff and heads of service has been completed. Training for all remaining staff will be completed by the end of March 2013 to ensure all the staff are aware of the contingency arrangements so that Departments are all able to fulfil their responsibility for business continuity arrangements and are able to comply with the requirements of the Council's Business Continuity Strategy.

Completion of the staff training will see the RAG rating for training and exercising for business continuity turn to 'green'.

In March 2013 Zurich Municipal will be carrying out a strategic review of the Council's business continuity arrangements. The results will be reported to the Audit Committee.

Although departments should maintain their plans on an ongoing basis a continual annual cycle of risk assessment review, plan revision, training and exercising must be deployed and monitored to ensure business continuity arrangements are up-to-date, accurate and meaningful. This should ensure that business continuity maintains its 'green' RAG rating on an ongoing basis, barring newly identified requirements from Central government or lessons identified through emergency incidents.

### **Emergency Planning**

Emergency Planning is a well established function across the Council and policies, plans and procedures are detailed and in place to manage both the preparations for, and responses to, emergencies. All plans are actively monitored and reviewed regularly with key training and exercising taking place.

A small number of plans do remain outstanding, or are newly identified, but the vast majority are complete. The few that are still being worked on have work plans associated with them and therefore the RAG rating for this is 'green'.

Emergency planning training is shown as 'amber'; however, following the flooding de-brief where recommendations and actions were recognised, along with winter preparedness the majority of the Functional Plans will have been reviewed and staff training/awareness undertaken. A number of departments have already completed this review and training; however, some are still to report back that this has been completed.

Following the Corporate Emergency Planning exercise in December 2011 a report was drawn together to ensure any useful points would influence the ongoing emergency planning and preparedness work, which functional coordinators are encouraged to adopt and are monitored along with the recent flood debrief recommendations.

The Civil Contingencies Team has responded to numerous emergencies and incidents since 1<sup>st</sup> April 2012, including the summer flooding in June/July and September. In total more than 18 incidents have been responded to so far with 6 of these having a larger impact on resources both in the short and longer terms.

In addition, a considerable number of public events have been assessed by the Civil Contingencies Team and 4 of these, being higher risk events, have required considerable pre-planning work. An example of this would be the preparations required for the Olympics and Torch Relay along with various protests and potential fuel strikes.

Lessons identified from such incidents and events are monitored through the Strategic Risk and Resilience Forum. Previously identified, was the need for a backup location for the Emergency Control Centre to be established outside of Blackburn town centre to ensure resilience is achieved, this is waiting to be confirmed.

This year has presented an unprecedented number of high risk events, incidents and emergencies which is having repercussions on existing scheduled work. To hinder this further, for nearly twelve months the Team has been one member of staff short due to long term sickness, along with the Head of Civil Contingencies leaving the Authority in September; it has meant that this has further impacted on scheduled work. We aim to complete recruitment to this vacancy in January.

Activity surrounding emergency planning, incidents, training and exercises is reported to the Executive Member for Resources.

### **Information Governance**

During the year to date a number of Councils and other organisations have received large financial penalties from the Information Commissioner following breaches in information security.

The Council is monitoring and reporting key information risks against the Data Protection Act, Freedom of Information Act and IT Security requirements on a continuous basis and is taking a number of actions to ensure information is managed securely. Using examples of highly regarded practice in other organisations the Council is developing a proactive approach in its information management strategies including reviewing the Information Governance and IT Security Policies and implementing a new e-training package and compliance systems to ensure training is undertaken and understood.

Once completed the current 'amber' RAG rating will improve to 'green'.

### **Events**



The Council and emergency services partners are testing updated procedures for liaison with events organisers running public events within the borough and once completed the 'amber' rating will improve to 'green'. The Council and its partners are seeking to ensure that events are successful, whilst retaining appropriate safety measures.

The multi-agency Event Safety Advisory Group provides advice and guidance to event organisers to assist them in planning and running their event in line with long established guidance from the Health & Safety Executive.

This process ensures that event organisers have a single point of contact when undertaking consultations with the Council, Capita and the emergency services and that a single clear message is provided back to them.

Various events managed by the Group have taken place during the year. These include the Olympic Torch relay, the Race for Life, various bonfires and fairs and the recent procession in support of Gaza.

#### 4. RATIONALE

The Council recognises that the effective management of risk and resilience workstreams assists the Council through the implementation of mitigating measures to combat business and community risks, whilst at the same time being prepared to respond to disruptive incidents or emergencies.

#### 5. POLICY IMPLICATIONS

There are no policy implications arising from this report.

#### 6. FINANCIAL IMPLICATIONS

There are no financial implications arising from this report.

#### 7. LEGAL IMPLICATIONS

There are no legal implications arising from this report.

#### 8. RESOURCE IMPLICATIONS

There are no direct resource implications arising from this report.

#### 9. CONSULTATIONS

All departments are involved in the continuous monitoring of risk and resilience activities through the Strategic Risk & Resilience Forum and its sub-groups.

CONTACT OFFICER: Tom Stannard  
DATE: 7 January 2013  
BACKGROUND PAPERS: None

## Appendix A: Brief Legal Requirements for Risk & Resilience

<p><b>Emergency Planning</b></p>	<p>The chief requirement of the Act in regard to emergency planning is to maintain plans to ensure that, if an emergency occurs or is likely to occur, each [local authority] can deliver its functions so far as necessary or desirable for the purpose of preventing the emergency, reducing, controlling or mitigating its effects, or taking other action in connection with it. Risk assessment is a key statutory duty supporting this work.</p> <p><b><i>(Emergency Preparedness – Guidance on the Civil Contingencies Act 2004, page 48)</i></b></p>
<p><b>Business Continuity</b></p>	<p>The Act requires [local authorities] to maintain plans to ensure that they can continue to perform their functions in the event of an emergency, so far as is reasonably practicable. This duty relates to all the functions of a [local authority], not just its civil protection functions.</p> <p><b><i>(Emergency Preparedness – Guidance on the Civil Contingencies Act 2004, page 75)</i></b></p>
<p><b>Risk Management</b></p>	<p>The [local authority] shall be responsible for ensuring that the financial management of the body is adequate and effective and that the body has a sound system of internal control which facilitates the effective exercise of that body’s functions and which includes the arrangements for the management of risk.</p> <p><b><i>(Accounts &amp; Audit Regulations 2003, page 2)</i></b></p>
<p><b>Events Safety</b></p>	<p>Co-ordination of events management within the area aims to help those who organise events so that the events run safely. The event organiser, whether an individual, collective or local authority, has prime responsibility for protecting the health, safety and welfare of everyone working at, or attending, the event.</p> <p><b><i>(Health &amp; Safety Executive (HSE): Event Safety Guide)</i></b></p>
<p><b>Governance</b></p>	<p>The Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for and used economically and effectively. It also has a duty to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.</p> <p>The Council is responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions, which includes arrangements for the management of risk.</p> <p><b><i>(Local Government Act 2003 &amp; Accounts &amp; Audit Regulations 2003)</i></b></p>

**Appendix B: Structure of the Strategic Risk & Resilience Forum**

