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| POLICE & CRIME COMMISSIONER FOR LEICESTERSHIRE **PAPER MARKED**  G |
| JOINT AUDIT, RISK &ASSURANCE PANEL |

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| Report of | CHIEF CONSTABLE |
| Subject | BUSINESS CONTINUITY |
| Date | TUESDAY 08 MARCH 2016 – 12:30pm |
| Author | LAURA SAUNDERS – RISK AND BUSINESS CONTINUITY ADVISOR |

**Purpose of report**

1. This report provides JARAP with information about the business continuity arrangements for Leicestershire Police. Specifically, how assurance is gained that suppliers have appropriate business continuity arrangements and the provisions in place to ensure the smooth transition between suppliers.

**Recommendation**

1. The panel is asked to discuss the contents of this report and note the current state of business continuity arrangements.

**Summary**

1. Leicestershire Police has a Risk and Business Continuity Advisor who supports the Head of Procurement to gain assurance that business continuity arrangements are in place with suppliers of key services.
2. Not all of the goods and services provided are procured by Leicestershire Police. Some contracts are negotiated at a national level, such as uniform supply. Others are subject to a regional procurement process, such as internal audit.
3. The Head of Procurement provides the Risk and Business Continuity Advisor with a forward plan of procurement activity that requires specific business continuity scrutiny. This enables pre planned work to test business continuity arrangements and identify any issues.
4. Examples are provided of how business continuity has been considered in the procurement and transition of suppliers for the key services of employee assistance and payroll.

**Business continuity assurance**

1. For the supply of key services, business continuity is considered at an early stage during the procurement process, with suppliers being asked to provide a copy of their business continuity plan. Depending on the nature of the contract, this plan may be tested as part of the tendering process.
2. Before the commencement of a new contract, procurement oversee the transition between suppliers to ensure that there will be no business interruption in key services.
3. Contract review meetings are undertaken during the course of the contract where the supplier is asked about any business continuity incidents and subsequent changes to their business continuity arrangements. They are also asked to provide evidence that tabletop exercises have been completed.

**Transition to a new employee assistance provider**

1. The employee assistance provider transferred from Care First to CiC in 2012. CiC provide support and guidance to employees both on the telephone and in person. They also undertake annual appraisals with those in specialist posts such as armed police officers.
2. Before the commencement of the contract with CiC timescales were put in place for key activities. These activities, which were overseen by the Procurement and Human Resources Departments included; new literature and promotion of service to employees, the availability of the new contact telephone numbers and the availability and breadth of skills of counsellors.
3. This preparatory work ensured that there was a smooth transition to CiC for the delivery of this service, with no adverse impacts experienced by Leicestershire Police and employees.

**Procurement of a payroll provider**

1. In 2015, a tendering process was undertaken for the payroll provider contract.

Kier, formerly Mouchel, who were ultimately successful were invited to attend Leicestershire Police in the final stages of the tendering process. They were asked to bring along their business continuity plan and also their business continuity single point of contact.

1. On arrival at Leicestershire Police the Kier representatives were provided with an envelope that set out a live business continuity exercise. The scenario, which is provided at Appendix A, consisted of a rising tide incident involving a loss of staff, premises and power supply. The Leicestershire Police Risk and Business Continuity Advisor observed the representatives during the one hour exercise session.
2. The representatives were required to present their response to the scenario to the interview panel. The Leicestershire Police Risk and Business Continuity Advisor provided feedback to the panel about the steps that had been undertaken by the representatives.
3. This provided assurance to the panel that in the event of a business continuity incident Kier did have appropriate business continuity arrangements to ensure continuity in the delivery of this key service. Following the scenario Kier provided feedback that although they have had to provide their business continuity plans for previous tendering processes, the plans had never been put to the test in this way to ensure adequacy.

**Implications**

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| *Financial* As per report.  *Equality impact* As per report.  *assessment* | |
| *Risks and impact* | As per report. |
| *Link to Police and*  *Crime Plan* | As per report. |

**Appendices**

Appendix A: Payroll provider business continuity briefing and exercise scenario.

**Persons to contact**

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**Appendix A**

**Payroll provider business continuity exercise**

**Briefing Paper**

You will be provided with an envelope that contains a scenario. You are the first to respond, no assumptions should be made about any actions that may have been undertaken already.

We would like you to consider how this scenario may impact upon your ability to maintain your functions, with particular attention to the service provided to Leicestershire Police.

Beneath the scenario there are a number of prompts.

In 1 hour you will be asked to present your response to this scenario, you may wish to use these prompts as a point of reference.

The Leicestershire Police Risk and Business Continuity Advisor will be present as an observer.

**Injects**

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| Scenario | It is Monday morning – 9:00am.  It is one week before payday for five of the eight payrolls for Leicestershire/Derbyshire Police.  Only 50% of your staff involved in this activity have arrived at the Lincolnshire office this morning.  The Midlands is experiencing significant flooding due to rainfall. |
| Prompts | What actions will you undertake?  What further considerations do you have? |

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| Scenario | It is Tuesday (the following morning) – 9:00am.  There has been heavy rainfall overnight; the whole of the UK is experiencing severe flooding.  Only 25% of your staff involved in the aforementioned payroll activity have arrived at the Lincolnshire office this morning. This is because of travel difficulties due to the flooding.  As a result of the weather conditions the Lincolnshire building has encountered a complete power failure.  It is not known when power will be restored. |
| Prompts | What actions will you undertake?  What further considerations do you have? |