

FALKIRK COUNCIL

Subject: BUSINESS CONTINUITY MANAGEMENT POLICY
Meeting: EXECUTIVE
Date: 20 OCTOBER 2015
Author: DIRECTOR OF DEVELOPMENT SERVICES

1. PURPOSE

- 1.1 The purpose of the report is to outline and present for approval, a policy to address the issue of Business Continuity Management.

2. BACKGROUND

- 2.1 In terms of the Civil Contingencies Act 2004, the council has an obligation to make arrangements for maintaining business continuity. Specifically the Council must maintain plans for ensuring, so far as reasonably practicable, that if an emergency occurs the Council is able to perform its functions.
- 2.2 To support this obligation, the Council requires an effective and agreed business continuity management policy. The aim of the policy is to describe how the Council intends to mitigate the effects of an incident that has the potential to cause a severe disruption to a provided service or services, or functional area or areas.
- 2.3 The Council undertakes activities and services that must continue to be performed, or rapidly and efficiently resumed at a time of disruption or emergency. Planning for this eventuality will mitigate the effects or impacts on our communities, people, Council establishments and the Council's strategic objectives. Business continuity planning is sound business practice and forms part of the Council's commitment to effective risk management and corporate governance.
- 2.4 The objectives are to: -
- reduce the likelihood of a disruption occurring that effects the services provided by the Council
 - prioritise and protect those people most severely impacted
 - protect the Council by taking action to avoid financial loss, lessen reputational damage, enhance the Council's ability to recover from a disruptive event and meet its legislative requirements.

3. RECOMMENDATION

- 3.1 The attached Business Continuity Management Policy has been prepared and agreed by Council Services and the Falkirk Community Trust. Members are asked to approve.**

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Director of Development Services

Date: 7th October, 2015

Contact officer: Malcolm Wilson, 1000

LIST OF BACKGROUND PAPERS

NIL

FALKIRK COUNCIL



Business Continuity Management Policy

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BUSINESS CONTINUITY MANAGEMENT POLICY

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1.0 POLICY STATEMENT

Business Continuity Management (BCM) is the system which helps to ensure the smooth running of an organisation or delivery of a service in the event of a disruption. The source of that disruption may be an internal threat such as loss of key staff or a technological systems failure, or it might be an external threat such as weather or utility related incident, or the business failure of one of our key suppliers. BCM provides a framework for improving our resilience to interruption so that key business systems, processes and systems can be recovered while at the same time ensuring we can continue business critical functions and deliver essential services to those most in need in our community.

The Civil Contingencies Act 2004 requires Falkirk Council to ensure that it has prepared (as far as is reasonably practicable), to provide critical activities and an emergency response during any emergency or disruptive event. The Council has the primary responsibility to meet the obligations of the Act, the role of Falkirk Community Trust is to provide support and assistance to the Council in meeting its responsibilities.

In addition to the Civil Contingencies Act, "BC ISO 22302:2012 Societal security – Business Continuity Management Systems – Requirements", provides guidance and recommendations on establishing the process, principles and terminology of Business Continuity Management (BCM), providing a basis for understanding, developing and implementing business continuity within an organisation and to provide confidence in business-to-business and business-to-customer dealings. Falkirk Council will use this standard as a basis for developing its business continuity arrangements. Therefore each of our service areas will need to:

- **Identify their vulnerabilities and where they are exposed.**
- **Reduce their exposure.**
- **Be prepared by having alternative arrangements in place.**

This Business Continuity Management Policy provides the framework for Business Continuity Plans to be developed, implemented, tested and reviewed and has been approved by Falkirk Council Corporate Risk Management Group, Corporate Management Team and Members.

Whilst we believe all our work is essential to our corporate objectives, if a disruption does affect Falkirk Council we need to be able to prioritise the order in which we maintain and recover our services and use our resources in order to continue to deliver those critical activities.

Chief Executive
Many Pitcaithly OBE

Leader of Council

2.0 INTRODUCTION

- 2.1** The Civil Contingencies Act 2004 requires Falkirk Council to ensure that it has prepared (so far as is reasonably practicable), to provide critical activities and an emergency response during any emergency or disruptive event.
- 2.2** Falkirk Council's Business Continuity Management Policy shall be implemented in all service areas and locations where Falkirk Council has an office or employees.
- 2.3** The aim of the policy is to describe how Falkirk Council intends to mitigate the effect of any incident that causes a severe disruption to a provided service, or functional area.
- 2.4** Assumptions used to support Falkirk Council's planning process include the following elements:
- Emergencies or threatened emergencies can adversely impact the council's ability to continue to support critical activities and provide support to the operations of clients and external agencies.
 - When a business continuity event is declared, the council functional area will implement a predetermined plan using trained and equipped personnel.
 - Council resources located outside the area affected by the emergency or threat will be available as necessary to continue critical activities.
 - Available staff members may be rendered unavailable by a disaster or its aftermath, or may be otherwise unable to participate in the recovery.
 - Procedures are sufficiently detailed so someone other than the person primarily responsible for the work can follow them. The procedures must also be stored in a format(s) that makes them easily accessible to others.
 - A disruption to service may require service users, clients and local agencies to function with limited automated support and some degradation of service, until full recovery is made.

3.0 SCOPE

- 3.1** This policy covers the services and functions of Falkirk Council and Falkirk Community Trust (see Policy Statement).
- 3.2** The council undertakes activities and services that must be performed, or rapidly and efficiently resumed, in an emergency. While the impact of an emergency cannot be accurately predicted, planning for operations under such conditions can mitigate the effect or impact of the emergency on our communities, people,

office locations and strategic objectives. To that end, the council is committed to developing, testing and reviewing Business Continuity Plans (BCP).

3.3 Business Continuity Planning is a good business practice and forms part of the fundamental objectives of this organisation as part of its risk management and corporate governance regime.

3.4 The Council's Business Continuity Management Policy objectives are to:

- Reduce the likelihood of a disruption occurring that affects the services provided by the council, through a risk management process.
- Minimise the impact of that interruption, should a disruption occur.
- Where a disruption occurs, prioritise and protect those people affected most severely.
- Protect the council by taking action to:-

Avoid financial losses.

Protect or reduce damage to the reputation and image of the council and its officers.

Enhance its ability to quickly recover following a disruption to normal operating conditions.

Meet legislative and regulatory requirements.

3.5 The following three generic examples of scenarios are suggested as likely to trigger BCP activation, however this list is not exhaustive:

Scenario 1 Accommodation Affected: Under this type of scenario, the accommodation (any premises) is closed indefinitely for normal business activities, but the cause of the disruption has not affected surrounding locations, utilities, or the transportation network. The most likely causes of such disruption are fire; system/mechanical failure; loss of utilities such as electricity, telephone or water; or explosion (regardless of cause) that produces no significant damage to any other locations or systems used by the service. Service assets located at or adjacent to the location may be damaged or destroyed. Senior management, technical and supporting personnel working at the location may be lost, injured, or not accounted for.

Scenario 2 Accommodation and Surrounding Area Affected: Under this scenario the accommodation as well as supporting locations are closed short term for normal business activities as a result of widespread utility failure; massive explosion (whether or not originating at the normal place of work); civil disturbance; or credible threats of actions that would preclude access or use of the normal place of work and surrounding areas. Under this scenario there could be uncertainty regarding whether additional events (such as secondary explosions, or utility failures) could occur.

During this type of event, the accommodations immediate **areas** surrounding it are inaccessible.

Scenario 3 Supporting Resources Affected: Under this scenario, the accommodation is left unharmed, but supporting resources are inoperable. These may include loss of staff, loss of IT, storage locations, maintenance locations, critical suppliers or other systems. This type of event could be the result of an illness, natural disaster, workplace violence, cyber attack or other event.

4.0 ROLES AND RESPONSIBILITIES

4.1 Chief Executive

The Chief Executive has overall responsibility for ensuring that the management of business continuity is incorporated in the council's processes and structure.

4.2 Corporate Management Team (CMT) will:

- Ensure that all services comply with this policy.
- Act to ensure/monitor the overall strategic direction of Business Continuity Management (BCM) across the council.
- Ensure that the Business Continuity Management Policy and any development plan is enforced and resourced appropriately for the benefit of all parts of the council.

4.3 A Member of the Corporate Risk Management Group (CRMG) will:

- Undertake leadership and sponsorship of the Business Continuity Management Policy under the direction of a Corporate Director.
- Act as a point of tactical leadership in support of the Emergency Planning Unit.
- Either make decisions regarding assessments and recommendations provided by the sponsor or refer upwards to CMT for decision.
- Obtain updates and assurances from Services on the status of plans and tests (e.g. similar to H&S Annual Statement of Assurance and RAG status).

4.4 Emergency Planning Unit will:

- Work in partnership with service and corporate representatives on BCM issues.
- Support those services in exercising BCP's at both Corporate and Service levels.
- Manage, monitor and report on the progress of the Business Continuity Management Policy and any associated action plans.

- In collaboration with other Category 1 Responders as defined by the Civil Contingencies Act, make arrangements to promote business continuity awareness, advice and assistance to the commercial and voluntary sector within the council area.
- Ensure that where appropriate, sections of BCP's are published and accessible to the public.
- Make arrangements to support services in undertaking risk and business impact analysis.

4.5 Chief Officers are responsible for:

- Undertaking of a Business Impact Analysis (BIA) of/for their area of responsibility (example of BIA and Guidance on Completion - *Appendix A*).
- Preparing a Service BCP for their area.
- Ensuring that arrangements are made to test, maintain and review service recovery plans that are their responsibility.
- Allocate business continuity objectives to managers in the service.
- Nominate one manager/staff member who will have specific responsibility for the management of business continuity in their service area.
- Allocate sufficient resources to the nominated BCM co-ordinators for development, training, testing and maintenance of business continuity plans.
- Ensure that service business continuity arrangements are regularly reviewed.
- Report on service continuity performance as required.

4.6 Service BCM Co-ordinators

Each Service is responsible for producing its own business continuity and service recovery plans. The co-ordinator will therefore:-

- Manage and co-ordinate the business continuity activities of the service to comply with the Corporate Business Continuity Policy.
- Ensure that written BCP's are produced and kept current.
- Ensure that the completed plans are tested annually.
- Report to the Chief Officer on the status of plans.

5.0 BUSINESS CONTINUITY PLANS

Each Service will develop, implement and maintain BCP's to ensure that the following points are achieved:

- Development of procedures and information, maintained in readiness for use in an incident to enable the council to continue to deliver its critical activities at an acceptable pre-defined level. A critical activity is defined as the actions needed to deliver key products and services in order to meet the most important and time sensitive objectives. Service areas will prioritise and group their critical activities against the following criteria;

Priority 1 Disruption to these activities might have an impact on our ability to deliver an emergency response on behalf of the council or may result in serious damage to human welfare.

Priority 2 Disruption to these activities might have an impact resulting in impact or breakdown of local community services, damage to the environment, loss of income to the council or loss or reputation for the council.

Priority 3 Activities that do not fall into either of the first two categories.

- Regular review of the continuity requirements and plans to ensure that they reflect the needs of the service area.
- Each service should assure itself that its key suppliers or partners which support a critical activity have effective BCM arrangements in place.
- The service area and council must review and test its BCP's at least annually or at more regular intervals dependent on the level of risk or if there has been significant change in the infrastructure of a service. Testing must take place either annually or biennially depending on the type of plan.

6.0 IMPLEMENTATION FRAMEWORK

The delivery of business continuity management in the service areas will be based on a principle of central support for a local delivery. Because of the scale of BCM, each service will be responsible for producing its own plans. Each service will have a nominated business continuity co-ordinator. They will identify those within their services who will undertake a business impact analysis and prepare the service recovery plan.

The Business Continuity Management Policy is applicable to all council services, contractors and personnel.

The Business Continuity Management Policy covers all locations, systems and buildings operated or maintained by the council. The BCP supports the performance of critical activities from alternate locations (due to the primary location becoming unusable, for long or short periods of time) and also provides

for continuity of management and decision making, in the event that senior management or technical personnel are unavailable.

The BCP will be distributed to all Chief Officers within the council for dissemination throughout their service areas.

7.0 COMMUNICATION AND AWARENESS

- 7.1** The Business Continuity Management Policy and any other supporting information will be placed in an appropriate place on the council's intranet site and will be actively promoted by Chief Officers to new employees as part of the induction process and existing staff.
- 7.2** Promoting business continuity awareness throughout the organisation will primarily be achieved through testing and maintenance activities and normal internal communication channels.

8.0 TRAINING, TESTING AND MAINTENANCE

- 8.1** It will be obligatory for all service areas and their staff to take part in regular training and exercising as required. Organising such training or test is the responsibility of Chief Officers or their delegated representative in co-ordination with the Emergency Planning Unit. The training will take place at a time when its effect on council customers or clients is minimal.

Appropriate training will be provided to personnel with identified specific responsibilities.

All exercises and training shall be appropriately debriefed and improvements, where identified, be implemented in a timely fashion.

8.2 Testing Plans

To make the plans effective, regular testing is required. The results of the tests will be reported along with any actions for improvement.

8.3 Maintenance

To keep the plans up-to-date and current, alterations may be necessary when procedural changes to service operations occur or when new threats arise; therefore the maintenance of the plans is an ongoing process and is the responsibility of the relevant Service/Department.

9.0 REVIEW PROCESS

- 9.1** The BCP's will be completed as soon as possible and have a detailed review annually to ensure that information on service functions, contacts and telephone information are kept up to date and stored so that they may be accessed in alignment with the ethos of this policy. In addition a programme of exercising and testing will be developed.

- 9.2** Any lessons learned from training, exercising or indeed invocation will be incorporated into the rolling annual review process.
- 9.3** Risk Management, including BCP and Health & Safety should be an agenda item for all meetings.

10.0 AUDIT AND GOVERNANCE

BCM arrangements form part of Falkirk Council's overall internal control environment, which are subject to annual review by the internal audit department.

Our ref: BC15/MW/ML
Date: 1/10/14

BUSINESS IMPACT ANALYSIS WORKSHOP

The intention of this sheet is to focus on breaking down the functions of your service area and to identify who or what may be affected by the loss of that function.

1. Using the table below provide a high-level overview of your business processes which your area or department provides. Provide a brief description of each business process and identify using the chart overleaf which areas would be impacted upon in the event that the service / function was lost or delayed.
2. Identify the most inappropriate time to lose this business process. This could be a particular day of the week, month, year, or specific point in the business process cycle.

[illegible]

CONSEQUENCE TABLE

Consequence if service lost or delayed to the people Council are providing their services to and / or the Council itself in terms of its legal responsibilities; responsibility for its own staff; financial and contractual position; and reputation. For each of the following areas rate the consequence of loss of service either High, Medium, or Low.

	(3) HIGH	(2) MEDIUM	(1) LOW
Impact on Service User	Serious Health & Welfare Threat / fatalities or serious disabling affects / Significant hardships	Minor Health & Welfare Threat / minor injuries/ High level of service user complaints / Some hardships	Isolated health & welfare threat / Isolated hardships / Isolated complaints
Breach of Statutory Duty	Government intervention / Enforcing Authority potential prosecution / Focused Public actions	Government warnings or scrutiny / Enforcing Authority Prohibition / Random Public Actions	Enforcing Authority improvement notice or warning / Isolated Public Actions
Impact on Staff	Serious Health & Welfare Threat / fatalities or serious disabling affects / Significant hardships	Minor Health & Welfare Threat / minor injuries / Some hardships	Isolated hardships
Financial Impact	Very significant impact on budgets / funding streams / Revenue or capital receipts	Noticeable impact on budgets / funding	Low level financial effect
Contractual Breach	Major claims potential against the Council	Significant claims potential against the Council	Minor claims potential against the Council
Adverse Media	National media interest - headlines	Local media interest – headlines	Isolated media interest

Sheet completed by:.....

Designation:

Date:.....