

Anytown Council

BUSINESS CONTINUITY MANAGEMENT

A MANAGER'S TOOLKIT

**A guide to Business Continuity Management in
Anytown Council**

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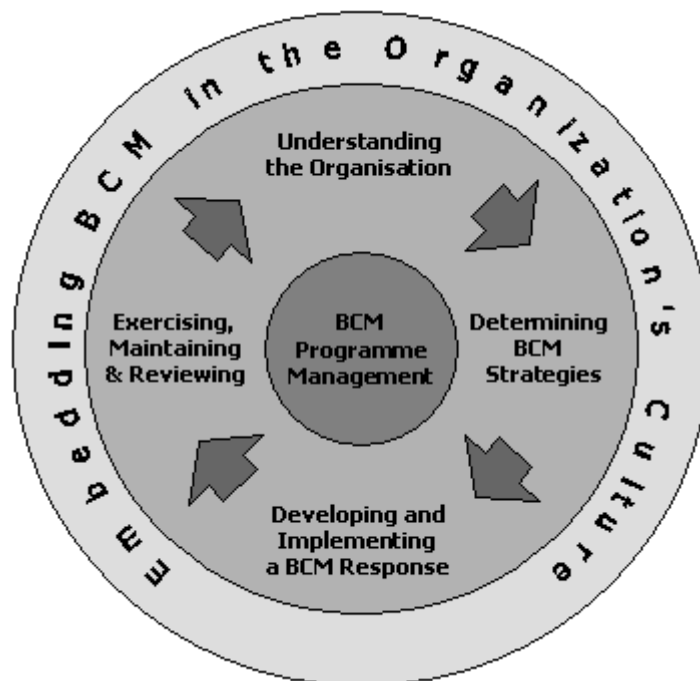
INTRODUCTION

This guide has been written to assist staff at all levels in Anytown Council to understand their role in incorporating Business Continuity Management into the workplace.

The Need for Business Continuity Management

In 2004 Civil Contingencies Act was introduced to ensure that the UK has in place a comprehensive framework in place for civil protection. A vital component of this framework is Business Continuity Management (BCM) which has to be developed for all frontline public sector organisations, known as Category 1 Responders. We must establish BCM within Anytown Council so that we will become more resilient and as a result be better placed to deliver our key services to the community at the time of major disruptions.

Business Continuity Management (BCM) is a planned process aimed at managing the many and varied, know and unknown, operational risks inherent in the day-to-day activities involved in delivering services. The main purpose of the process is to ensure continuity of service delivery following an unexpected disruption to normal working. The following diagram, taken from the British Standards Institution's BCM Code of Practice (BS25999-1) shows that BCM is a continuous process that exists within the organisation's culture.



BS25999-1 (2006)

There are 5 key stages we must follow to successfully introduce BCM into our authority:

BUSINESS CONTINUITY MANAGEMENT – THE FIVE KEY STAGES

Stage 1

Responsibility: Elected Members & Chief Officers

Programme Management

Initiate BCM

Stage 2

Responsibility: Strategic Directors, Senior Managers and Operational/Service Leaders

Understanding the Organisation

Business impact analysis

Risk assessment

Stage 3

Responsibility: Strategic Directors, Senior Managers, Operational/Service Leaders and Risk and Continuity Planning

Determining BCM Strategies

Selecting options for continuity

Stage 4

Responsibility: Strategic Directors, Senior Managers,
Operational/Service Leaders and Risk and Continuity Planning

Developing & Implementing a BCM Response

Implementation
planning

Implement stand-by
arrangements

Develop business
continuity plans

Implement risk
reduction measures

Develop procedures

Education, awareness and training

Stage 5

Responsibility: All staff

Exercising, Maintaining & Reviewing

Test and Exercise
Plans

Keeping the plan up to
date

Self assessment and audit of plans

The Lifecycle

Stage 1 –Programme Management

Stage 1 - Elected Members and Chief Officers accepted and supported the principle of Business Continuity Management (BCM). The process needs continuing support from elected members and Chief Officers to ensure that BCM is integrated with other policies.

BCM Champion and BCM Manager appointed for the authority. BCM Policy statement approved and published

Stage 2 – Understanding the Organisation

Before starting to develop Business Continuity Plans, (BCPs) the first task for the authority is to determine which services are key and must be maintained at the time of an unplanned disruption. A clear understanding is required as to how these services are delivered and what resources, internal and external, are used. Services are determined as key if their interruption, for any reason, impacts upon:

- the community,
- the authorities stakeholders
- and/or the authority itself.

Consideration must be given to how impacts change over time.

Having identified the key services, their supporting critical activities and what resources are used to deliver the services then a risk assessment is made of the threats to the activities, processes and resources. Single points of failure are identified at this stage. These may be people, processes, technology, information, premises or suppliers/partners.

This stage is achieved through the completion of three related tasks.

- Task One - Business Impact Analysis
- Task Two - Risk Assessment
- Task Three - Assessing Resource Requirements

Stage 3 – Determining BCM Strategies

At this stage appropriate continuity strategies will have to be determined which will define how the continuity of service delivery is to be maintained for key services in the event of serious disruption. The strategies chosen will be aimed at positively reducing disruptive risks to key services as well as to facilitate an effective recovery should an unplanned disruption occur.

This stage is achieved through the completion of two related tasks

- Task Four – Identification and evaluation of risk reduction and mitigation measures.
- Task Five – Identification of continuity options for maintaining or recovering key services.

Stage 4 – Developing and Implementing a BCM Response

This stage will establish a work programme by which business continuity will be achieved: the theory turned into practice. This will include the Service Unit

continuity plans and procedures, leading to Departmental Business Continuity Plans and ultimately a Corporate Business Continuity Plan. Training, education and awareness programmes are an integral part of this stage.

Stage 5 – Exercising, Maintaining and Reviewing

The final stage of the lifecycle ensures that the arrangements continue to be tested, reviewed and maintained on an on-going basis.

REQUIREMENTS AND TASKS

Clearly define the business process for each key service i.e. what is provided to whom, how, when, where and why.

- Identify the range of different impacts – on all stakeholders – of not providing the service
- determine the extent, or severity, of each impact;
- understand how these impacts change as the length of disruption increases
- determine how quickly the service needs to be re-instated
- determine the minimum acceptable level to which the service must be re-instated, (this level may change over time, ie 50% restored in 24hrs, 100% in 7 days)
- quantify the resources that will be required to enable the service to be re-instated within the timescales to the service level specified.

Task One – Impact Analysis – See Form A

The Business Impact Analysis explores and analyses the impacts on all stakeholders of a disruption or interruption to the delivery of a given service.

Task Two – The Risk Assessment – See Form B

Risk Assessment seeks to identify and quantify the level of risk facing the delivery of a given service. The outcome of the risk assessment will determine whether the organisation should:-

- accept the specific risk, and ‘live with it’; or
- accept the specific risk, but ‘manage’ it; or
- accept the risk but develop plans to deal with it if it occurs, or
- take proactive measures to reduce the risk

In BCM there are FOUR risk scenarios that require assessment:

- Damage or denial of access to premises
- Loss or damage to IT systems/voice networks / hardware/ software /data
- Non-availability of key staff

- Loss or damage to other resources

Other resources include transport, partners, contractors, key suppliers, key products, utilities, etc.

The level of risk for each of these scenarios is a function of the LIKELIHOOD that an adverse event will occur, and the IMPACT on stakeholders if the event actually occurs. (**See appendix 1 for Impact Matrix**)

Continuity measures must be applied where the impact is high but the likelihood is low. There may be circumstances where continuity solutions are also required where the impact is high and the likelihood is high and risk mitigation measures cannot be easily applied or if applied fail to lower the impact level.

The list of key services, their restoration timescales and service levels must be signed off by the strategic directors and senior management before the next task is undertaken

Task Three – Assessing Resource Requirements - See Form C

Assessing the core requirements quantifies the resources that will be required to enable the service to be re-instated within the timescale and to the service level specified.

Task Four – Identification and Evaluation of risk mitigation / reduction options – See Form D

Where appropriate risk mitigation measures are applied. Particular attention must be given to 'single points of failure'.

Where risk mitigation measures cannot be applied quickly then the risks identified must be included in the Departmental Risk Registers.

Task Five – Identification and Evaluation of continuity / recovery options – See Form E

Where the disruption of a service would have a serious impact and risk mitigation techniques cannot be employed then continuity plans must be developed. This is informed by work already done in the Business Impact Analysis and the Risk Assessment. However before the plan can be developed an appropriate response must be chosen which enables key services to be maintained

- within agreed timescales and
- to agreed service levels

during and following a disruption. The choice made will take account of the resilience and countermeasure options already present within the authority.

The five tasks need to be documented, to capture the outcomes from these processes and also to provide a sound basis for future audit.

Risk mitigation and continuity options must be signed off by the strategic directors and senior management before the development of business continuity plans begins.

Business Continuity Plans

When all five tasks have been completed then the Business Continuity Plans (BCPs) to support the key services can be written. There is a standard template for the authority that should be used in all cases. Plans are owned by the Departments and Services and are subject to annual review as part of the normal business planning process within the authority.

Anytown council has developed a standard template for business continuity plans **(see appendix 2)** An example of a BC Plan is shown in appendix 4

**ANYTOWN COUNCIL – BUSINESS CONTINUITY MANAGEMENT
BUSINESS IMPACT ANALYSIS**

List in order of priority the directorate **key** services and the implications in the long and short term if they were disrupted. **Where possible** identify any significant cost implications.

Department..... **Section/Service**

Priority	Key Service	Statutory Yes/No	Impact / Implications (e.g. stakeholders / vulnerable groups)
1, to be restored within 0-24 hours			
2, to be restored within 3 days			
3, to be restored within 14 days			

**ANYTOWN COUNCIL – BUSINESS CONTINUITY MANAGEMENT
RISK ANALYSIS (AGAINST 4 RISK SCENARIOS)**

Department

Section/Service

Key Services		DAMAGE/DENIAL OF ACCESS TO PREMISES			LOSS/DAMAGE TO IT SYSTEMS - DATA			NON AVAILABILITY OF KEY STAFF			LOSS / DAMAGE TO OTHER RESOURCES		
		L L'hood	I Impact	Risk Score	L L'hood	I Impact	Risk Score	L L'hood	I Impact	Risk Score	L L'hood	I Impact	Risk Score
Priority 1	0 – 24 hours												

Other resources include office equipment, plant & machinery, transport, partners, contractors, key suppliers, key products, utilities, etc.

**ANYTOWN COUNCIL – BUSINESS CONTINUITY MANAGEMENT
TEMPLATE FOR ASSESSING RESOURCE REQUIREMENTS**

Department..... Section/Service

	Resource Required		
Key Service	0-24 hours	Within 3 days	Within 14 days
Activities that support Key Service			
People and skills required			
Computing and telecoms required			
Software applications required			
Information required			
Non ICT equipment required			
Accommodation required			
Key suppliers / partners			
Other dependencies			
Other comments			

**ANYTOWN COUNCIL – BUSINESS CONTINUITY MANAGEMENT
MITIGATION MEASURES**

Department

Section / Service

Key Services Priority 2 – Restored within 3 days	Impact Analysis Score	Risk Mitigation Measures

**ANYTOWN COUNCIL – BUSINESS CONTINUITY MANAGEMENT
CONTINUITY / RECOVERY OPTIONS**

Department

Section / Service

Key Services Priority 3 – Restored within 14 days	Continuity / Recovery Option

**ANYTOWN COUNCIL – BUSINESS CONTINUITY PLANNING
THE RISK ANALYSIS PROCESS**

In BCM there are FOUR risk scenarios that require assessment:

- Damage or denial of access to premises – e.g. industrial action / fire / flooding
- Loss or damage to IT systems / voice networks / hardware / software / data – e.g. power supplies / virus
- Non-availability of key staff – e.g. pandemic flu, industrial action
- Loss or damage to other resources – e.g. fuel, key supplier

The level of risk for each of these scenarios is a function of the LIKELIHOOD that an adverse event will occur, and the IMPACT on stakeholders if the event actually occurs.

RISK = Likelihood (L) x Impact (I)

Impact Matrix



Key: Likelihood: 5 = Very High; 4 = High; 3 = Significant; 2 = Low; 1 = Very Low;

Impact: 5 = Catastrophic; 4 = Serious; 3 = Acceptable; 2 = Marginal; 1 = Negligible

**ANYTOWN COUNCIL – BUSINESS CONTINUITY PLANNING
RISK CRITERIA FOR LIKELIHOOD**

FACTOR	SCORE	THREATS – DESCRIPTION	INDICATORS
Very High	5	More than 90% chance of occurrence	Regular occurrence Circumstances frequently encountered – daily / weekly
High	4	More than 75% chance of occurrence	Likely to happen within 12 months
Significant	3	40% - 74% chance of occurrence	Likely to happen at some point within the next 1-2 years Circumstances occasionally encountered (few times a year)
Low	2	10% - 40% chance of occurrence	Only likely to happen 3 or more years
Very Low	E	Less than 10% chance of occurrence	Has happened rarely

RISK CRITERIA FOR IMPACT

FACTOR	SCORE	INDICATORS
Catastrophic 0 – 24 hrs	5	Complete loss of Key Service which could lead to fatalities, vulnerable people being without essential services, e.g. Home Care,
Serious 3 days	4	Complete loss of Key Service, no loss of life, which could lead to the immediate 0-24 hr response being unsupported, e.g. Registration
Marginal 14 days	3	Complete loss of Key Service, non life threatening, but if not resumed within timescale impacts on community health, e.g. refuse collection
Acceptable 28 days	2	Complete loss of Key Service, non life threatening
Negligible 28 days +	1	

Appendix 2

BUSINESS CONTINUITY PLAN TEMPLATE

Plan overview including ownership

- Introduction
- Purpose (Aim) of plan
- Scope
- Objectives
- Assumptions
- Plan ownership

:

Example

Roles & responsibilities

- BCM staff
- Business Unit Manager
- BCM Team member

Notifications, invocation & escalation rules

- Notification process and/or flowchart
- Invocation process and/or flowchart
- Escalation process and/or flowchart

BCM team structure and command centre details

- BCM team membership
- Location and contact details of BCM command centre(s)
- Map of command centre location(s)
- Command centre resource requirements
- Location and contents of 'battle box'



Example

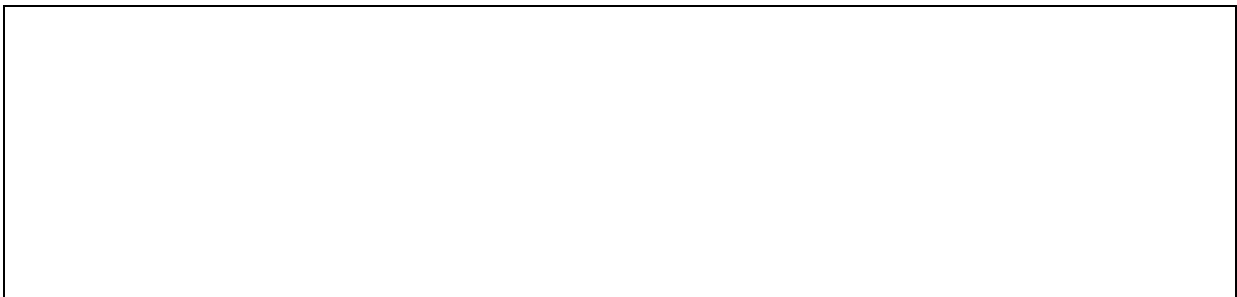
Contacts, internal & external

- Internal
- External
- Subject experts



Task checklists & aide-mémoires

- Mandatory tasks
- Discretionary tasks
- Task completion tracking process



Critical activities recovery plans

- Schedule of critical activities including recovery times and levels.
- Recovery plans for critical activities
- Recovery site location(s)

Recovery resource requirements

Example

- People
- Information / data
- IT
- Telecommunications
- Specialist equipment
- Accommodation
- Office Equipment
- Furniture
- Stationary etc.

:

Supporting Information, (if not included where it is located)

- Personnel records
- Handling injuries and fatalities
- Staff welfare and counselling
- Communicating with staff
- Handling the media and PR
- Health and Safety
- Emergency services liaison
- Finance
- Legal advice
- Communicating with suppliers and intermediaries
- Supplier agreements
- Insurance

Form templates

- Meetings agenda
- Decision and action log
- Task list status report
- Telephone log
- Action or task worksheets

Example

Version Date.....

**ANYTOWN COUNCIL – BUSINESS CONTINUITY MANAGEMENT
BUSINESS IMPACT ANALYSIS**

List in order of priority the directorate **key** services and the implications in the long and short term if they were disrupted. **Where possible** identify any significant cost implications.

Department..... **Section/Service**

Priority	Key Service	Statutory Yes/No	Impact / Implications (e.g. stakeholders / vulnerable groups)
1, to be restored within 0-24 hours	Inspection of Dangerous Structures	Yes	Emergency service partners unable to enter damaged buildings. Disruption to community due to delays in removing cordons. Safety of public. Reputation of authority.
2, to be restored within 3 days			
3, to be restored within 14 days			

**ANYTOWN COUNCIL – BUSINESS CONTINUITY MANAGEMENT
RISK ANALYSIS (AGAINST 4 RISK SCENARIOS)**

Department

Section/Service

Key Services		DAMAGE/DENIAL OF ACCESS TO PREMISES			LOSS/DAMAGE TO IT SYSTEMS - DATA			NON AVAILABILITY OF KEY STAFF			LOSS / DAMAGE TO OTHER RESOURCES		
		High	Med	Low	High	Med	Low	High	Med	Low	High	Med	Low
Priority 1	0 – 24 hours												
1	<i>Inspection of Dangerous Structures</i>			X			X	X				X	

Example

Other resources include office equipment, plant & machinery, transport, partners, contractors, key suppliers, key products, utilities, etc.

**ANYTOWN COUNCIL – BUSINESS CONTINUITY MANAGEMENT
TEMPLATE FOR ASSESSING RESOURCE REQUIREMENTS**

Department..... Section/Service

	Resource Required		
	0 - 24 hours	Within 3 days	Within 14 days
Key Service <i>Inspection of Dangerous Structures</i>			
Activities that support Key Service			
People and skills required	<i>2 qualified surveyors</i>		
Computing and telecoms required	<i>2 mobile phones</i>		<i>PC and fixed phone line with DDI number associated</i>
Software applications required			
Information required			
Non ICT equipment required	<i>Transport, PPE</i>		
Accommodation required			<i>1 Administrator position</i>
Key suppliers / partners			
Other dependencies			
Other comments			

BUSINESS CONTINUITY PLAN – INSPECTION OF DANGEROUS STRUCTURES

Version 1:0 22/1/07

Plan overview including ownership

Business Continuity Plan - Inspection of Dangerous Structures

The aim of the plan is enable the inspection of dangerous structures by Anytown Council building surveyors to be resumed following an event that disrupts the service. Inspection of dangerous structures is a statutory duty of the authority and is frequently carried out in conjunction with emergency service partners.

Within 24 hours of a disruption the authority must have 2 surveyors capable of carrying out dangerous structure surveys on demand.

This plan assumes that the emergency service partners have not been affected by the disruption.

This plan is owned by the Head of the Planning Section of the Infrastructure Department

Roles & responsibilities

The Business Unit Manager, or their deputy, is responsible for assessing the effects of a disruption and the impact on the capability of the unit to deliver the key service. If appropriate the Business Unit Manager, or their deputy, will invoke this plan in order to restore the service to the agreed service level and within the agreed timescale. The Business Unit Manager, or their deputy with assembled their BCM team to implement the plan.

BCM Team members	Position	Contact	Deputy	Contact
Department BCM Co-ordinator:				
Deputy Dept. BCM Co-ordinator				
Anytown Council BCM Manager:		J		
Deputy Council BCM Manager				

Notifications, invocation & escalation rules

Major Disruption that affects the whole of Anytown Council. eg. Denial of access to Anytown head office complex

Chief Executive, or nominated deputy, to invoke corporate plan and assemble corporate BCM Team.

Disruption that affects one department of Anytown Council eg. Loss of key staff in Social Work & Health

Head of Department, or deputy, to invoke the plan, assemble department BCM Team and inform BCM Manager or deputy

If disruption proves to be wider than department then the Head of Department, or deputy escalates to BCM Manager

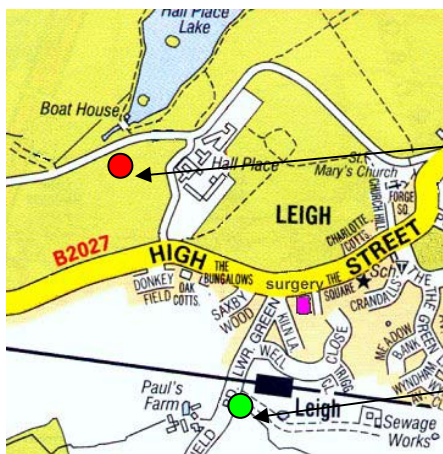
Disruption that affects one business unit eg. Vehicles unavailable for waste collection.

Business Unit Manager, or deputy, to invoke plan, assemble BCM Team and inform Department BCM Co-ordinator

If disruption proves to be wider than business unit then the Business Unit Manager, or deputy escalates to Head of Department

Command Centre details

If required the BCM team will assemble at..... If this location is not available the alternative location for the command centre is Contact details of Command Centres:



Example

Command Centre Location: Hall Road depot

Alternative : Police station

Telephone, internet access, battle box

Battle box contains:

Contacts, internal & external

- Internal
- External
- Subject experts

Task checklists & aide-mémoires

- Mandatory tasks
- Discretionary tasks
- Task completion tracking process – record all actions taken, together with times, on the Action/Task worksheet

Critical activities recovery plans

- Schedule of critical activities including recovery times and levels.
- Recovery plans for critical activities
- Recovery site location(s)

Minimum of 2 building surveyors to be available within 24 hours operating from home if unable to operate out of normal office location or recovery location.

Recovery location is room, inbuilding.

In the event of no staff available then mutual aid arrangements are in place withcouncils. Contact details are listed above.

Mutual aid plan is as follows:

Recovery resource requirements

Example

- :
- People
 - Information / data
 - IT
 - Telecommunications
 - Specialist equipment
 - Accommodation
 - Office Equipment
 - Furniture
 - Stationary etc

The following supporting information not included in the plan is located as shown

- Personnel records } - HR Department
- Handling injuries and fatalities } - HR Department
- Staff welfare and counselling } - HR Department
- Health and Safety } - HR Department
- Communicating with staff } - Corporate Communications
- Handling the media and PR } - Corporate Communications
- Emergency services liaison } - Emergency Management dept.
- Finance } - Corporate Finance dept
- Insurance Policies } - Corporate Finance dept
- Legal advice } - Legal Services
- Communicating with suppliers and intermediaries } - Purchasing dept
- Supplier agreements } - Purchasing dept

Form templates

- Meetings agenda
- Decision and action log
- Task list status report
- Telephone log
- Action or task worksheets

Version 1:0 22/1/07