

Borough Council of
**King's Lynn &
West Norfolk**



Business Continuity Management

Policy Statement and Strategy

November 2011

Title Business Continuity Management – Policy & Strategy
Date of Publication: Cabinet
Council
Published by Borough Council of King's Lynn & West Norfolk
Edition 1.0 First Published January 2009
2.0 Second edition November 2011
© 2011 Borough Council of King's Lynn & West Norfolk

Links to other documents:

This is a strategic document which makes reference to and runs in conjunction with the suite of Business Continuity Management documents within the Council.

Business Continuity Management

Policy & Strategy

1.	Introduction	4
2.	Background	4
3.	Relationships to other plans / arrangements	5
3.1	Civil Emergency	5
3.2	Critical Incident Team	5
3.3	Invocation Process and Incident Checklist	5
3.4	Business Continuity Threat Plans	5
3.5	Critical Activity Bronze Level BC Team Plans	5
3.6	Departmental Specific Bronze Level BC Plans	5
3.7	Overview of BCM documents	6
4.	Updates to the Policy, Strategy and plans	6
4.1	Responsibilities and timetable for updates	6
4.2	Shared Services / changes to delivery arrangements	6
4.3	Documentation storage and update protocol	6
5.	Business Continuity Management – Policy Statement	7
6.	Business Continuity Management – Strategy	8
6.1	Introduction	8
6.2	Scope	8
6.3	Definition of Business Continuity Management (BCM)	8
6.4	Statutory Requirements	9
6.5	Benefits of Business Continuity Management	9
7.	Delivering the Strategy	10
7.1	Methodology	10
7.2	Step 1 – Understanding the organisation	11
7.3	Step 2 – Determining BCM strategy	11
7.4	Step 3 – Developing and implementing a BCM Response	11
7.5	Step 4 – Exercising, maintaining and reviewing	12
7.6	Embedding BCM in the organisation’s culture	12
8.	Progress to date	12
	Appendix A: Overview of documents that constitute BCM	13
	Appendix B: Documentation Storage & Archiving Protocol	14

1. Introduction

The Business Continuity Policy Statement set out in this document outlines the Council's vision for Business Continuity Management. It is vital that we are able to continue to provide essential services to the residents and businesses of West Norfolk, whatever disruption or emergency might affect the Council.

All services have a role, and every member of staff has a responsibility to make sure the Council can continue to service our communities whatever the disruption. The Policy Statement in Section 5 demonstrates that the Council is committed to ensuring that robust and effective Business Continuity Management is in place as a key mechanism to restore and deliver continuity of key services in the event of a disruption or emergency.

Section 6 contains the Council's strategy for achieving the stated policy and outlines how this document – together with other documents such as the Invocation Process and Incident Checklist, Threat Plans and Team Business Continuity Plans – fit together to form the overall Business Continuity Management programme.

Section 7 outlines the methodology that has been undertaken to develop business continuity in the Council since the adoption of the previous plan in 2009 and Section 8 updates progress to date.

Cllr Nick Daubney
Leader of the Council
November 2011

Ray Harding
Chief Executive
November 2011

2. Background

The Business Continuity Management policy and strategy set the framework for the Business Continuity Management (BCM) Programme.

The policy and strategy indicate the authority's clear buy-in to the implementation of the BCM programme and makes a public statement of intent, endorsed by the Leader and Chief Executive.

The main elements and purpose of this BCM policy and strategy are to:

- Assign accountability for BCM
- Demonstrate strategic support for BCM
- Identify key roles & responsibilities
- Gain assurance that the BCM programme is aligned with the organisational strategic objectives
- Set the framework for compliance with all aspects of the Civil Contingencies Act 2004

3. Relationships to other plans / arrangements

3.1 Civil Emergency

If the incident causing serious disruption to services is defined as a 'borough-wide emergency', the Borough Emergency Response & Recovery Plan may be invoked. The aim of the Borough Emergency Response & Recovery Plan is to enable management of the emergency situation affecting the wider environment and would include a multi-agency response. Dependant on the severity and scale of the incident or emergency, the corporate Critical Incident Team process and / or Business Continuity Plan(s) could also be activated if the civil emergency affected Council services.

3.2 Critical Incident Team

The Borough Council has a corporate Critical Incident Team (CIT) and related process. The Critical Incident Team will usually be the first point of contact for an incident of a critical nature. The full CIT process is documented at Appendix B of the Invocation Process and Incident Checklist document.

3.3 Invocation Process and Incident Checklist

This document outlines the process within which the decision may be taken to invoke the Business Continuity Plan(s) and includes an outline of the Gold/Silver/Bronze Internal Management Structure and an example BC Incident Log. It is designed to demonstrate how accountability will be assigned for BCM within the Council and provides a checklist for use by those involved in any BC incident.

3.4 Business Continuity Threat Plans

The Council undertook a Business Impact Analysis (BIA) in 2008 which identified the four main threats to the continuation of the Council's services and activities.

3.5 Critical Activity Bronze Level BC Team Plans

In addition to identifying the main overall threats to the Council's operations, the BIA undertaken identified those frontline / support / crisis services that were considered critical to restore and deliver in the event of a disruption or emergency. These are termed 'Critical Activities' and identification in this way means that if / when an interruption happens, the response will focus resources – people, space, time and money – to these services. Detailed plans are therefore in place to ensure that in the event of an emergency or disruption, these services are restored and delivered within a maximum of 24 hours.

3.6 Departmental Specific Bronze Level BC Plans

Departments within the Council have BC plans specific to their operations (outside of the Critical Activities mentioned above). In the event of an emergency or disruption, services that are not a Critical Activity would be prioritised for restoration according to priority given by the Gold command structure.

3.7 Overview of BCM documents

An overview diagram of the suite of documents that form the Council's Business Continuity Management arrangements (including detail on the agreed Threats and Critical Activities) is shown at Appendix A.

4. Updates to the Policy, Strategy and plans

4.1 Responsibilities and timetable for updates

The Deputy Chief Executive is the Officer responsible for Business Continuity within the Council. Management Team has set up a small BC Corporate Officer Group who will assist the Deputy Chief Executive in maintaining, reviewing and testing the suite of documentation which form the Council's Business Continuity Management arrangements.

The BC Corporate Officer Group (BC COG) will review the following Business Continuity documents on an annual basis and report to Management Team on the preparedness accordingly of:

- BCM Policy and Strategy
- BCM Invocation Process and Incident Checklist
- agreed Threats
- agreed Critical Activities

The BC COG will also

- ensure that the agreed Critical Activities are kept under review and any proposed changes reported to Management Team as appropriate, outside of this timetable
- regularly assess risks to the Council to establish where new plans are required

Maintenance of and updates to BC plans for agreed Critical Activities and any Departmental Specific BC Plans (e.g. Public Open Space) are the responsibility of the relevant Service Manager.

4.2 Shared Services / changes to delivery arrangements

The Deputy Chief Executive (DCE) will be made aware of any potential shared service arrangements as well as any other changes to the way the Council delivers its services. Business Continuity Management arrangements will be considered by the relevant Officers at the time that contracts / activities are put in place for alternative delivery. The BC COG will assist the DCE to ensure that consideration due to new ways of service delivery is undertaken.

4.3 Documentation storage and update protocol

A protocol has been established for the storage of BCM documentation and for the archiving of superseded versions. This is shown at Appendix B.

5. Business Continuity Management – Policy Statement

1. The Council is committed to ensuring robust and effective Business Continuity Management as a key mechanism to restore and deliver continuity of key services in the event of a disruption or emergency.
2. The Council's Business Continuity Management (BCM) arrangements will meet the statutory requirements within the Civil Contingencies Act 2004 and will be based upon the following standards:
 - BS 25999 Business continuity management – Part 1:Code of Practice
 - BS7799 Information Security Management System.
 - Recognised standards of corporate governance.
3. At a corporate level the Council will determine its main Critical Activities and identify the main threats. This analysis will be undertaken annually and will determine the scope around which business continuity planning will be undertaken.
4. Each service delivery process within the Council is owned by a respective Executive Director who will ensure that they understand and support the main BCM strategies; and are in a position to ensure implementation of the main strategies.
5. The Executive Director of Environmental Health and Housing will provide professional support and advice to facilitate the Council's business continuity analysis and planning.
6. Each Executive Director will contribute to an annual review of the BCM documentation, via the Council's Management Team monitoring the review process, challenging the results and providing support where necessary.
7. Contracts for goods and/or services deemed critical to the Borough Council of King's Lynn and West Norfolk Council business continuity will aim to include a requirement for each nominated supplier to provide, for evaluation, a business continuity plan covering the goods and/or services provided. Every tender for business continuity critical goods and/or services will include business continuity as an element of the tender evaluation model.
8. All Council staff will be made aware of the plans that affect their service delivery areas and their role following invocation of any Business Continuity plan(s).
9. The Council will implement a programme of BCM testing exercises.

Cllr Nick Daubney
Leader of the Council
November 2011

Ray Harding
Chief Executive
November 2011

6. Business Continuity Management – Strategy

6.1 Introduction

This Business Continuity Strategy provides the framework within which the Borough Council of Kings Lynn and West Norfolk complies with the business continuity requirements of the Civil Contingencies Act 2004 and which is consistent with corporate governance best practice.

Business Continuity plans will ensure that the Council can continue to deliver a minimum level of service in its critical functions following a significant incident.

The Deputy Chief Executive will provide the focal point for the production, coordination, validation and review of the Council's business continuity activity. Industry best practice guidelines, produced by the British Standards Institute (BS 25999) have been used in the formulation of this strategy.

Corporate business continuity is closely linked to corporate risk management and this strategy should be read in conjunction with the Council's Risk Management Strategy.

The basic principles¹ of the Business Continuity Strategy have been accepted by the Council's Management Team (MT).

6.2 Scope

This strategy applies to all parts of the Council. The requirement to plan applies to activities identified as 'Critical' through the Council's Business Impact Analysis and agreed by Management Team. This allows planning to be focused on the key Critical Activities of the Council in the event of an emergency or disruption.

Business Continuity Planning includes the management of outsourced contracts, and requires those responsible for negotiating and managing them to ensure appropriate business continuity standards are included in contracts so that the service provider is able to deliver acceptable standards of service following a disruption to the Council or the supplying company.

6.3 Definition of Business Continuity Management (BCM)

Business Continuity Management (BCM) can be defined as²:

'A holistic management process that identifies potential threats to an organisation and the impacts to business operations that those threats, if realised, might cause, and which provides a framework for building organisational resilience with the capability for an effective response that safeguards the interests of its key stakeholders, reputation, brand and value creating activities.'

¹ BS25999 Part 1: Code of Practice and BS7799 Information Security Management

² BS25999 Business Continuity Management – Part 1: Code of Practice British Standards Institute

BCM is therefore about the Council preparing for a disaster, incident or event that could affect the delivery of services. The aim being that at all times key elements of service are maintained at an emergency level and brought back up to an acceptable level as soon as possible.

6.4 Statutory Requirements

The Civil Contingencies Act 2004 requires the Council to:

- a. Maintain plans to ensure that they can continue to exercise critical functions in the event of an emergency as far as reasonably practicable
- b. Include exercises within Business Continuity arrangements, to ensure the approach is effective, and arrangements for the provision of training to those involved
- c. Review its BC arrangements and keep them up to date
- d. Have regard to assessment of both internal and external risks when developing and reviewing its BC arrangements
- e. Have a clear procedure for invoking BC plans
- f. Put in place arrangements to make information available to the public about civil protection matters and maintain arrangements to warn, inform and advise the public in the event of an emergency
- g. Provide advice and assistance to businesses and voluntary organisations about business continuity management

6.5 Benefits of Business Continuity Management

Effective Business Continuity Management delivers a number of tangible and intangible benefits to individual services and to the Council as a whole, including:

- a. Develops a clearer understanding of priorities (business impact analysis)
- b. Protects the organisation, ensuring that it can help others in an emergency (facilitated by the BC Policy and Strategy, Invocation Process and Incident Checklist, appropriate BC Team Plans)
- c. Protects the reputation of the organisation
- d. Provides great confidence of arrangements and resilience to key threats
- e. Facilitates legislative compliance and good corporate governance (implementation of BC management arrangements)

7. Delivering the Strategy

7.1 Methodology

The process being used within the Council is based on the BCM model outlined in BS 25999 Business continuity management – Part 1: Code of practice published by the British Standards Institute, shown at Fig.1.

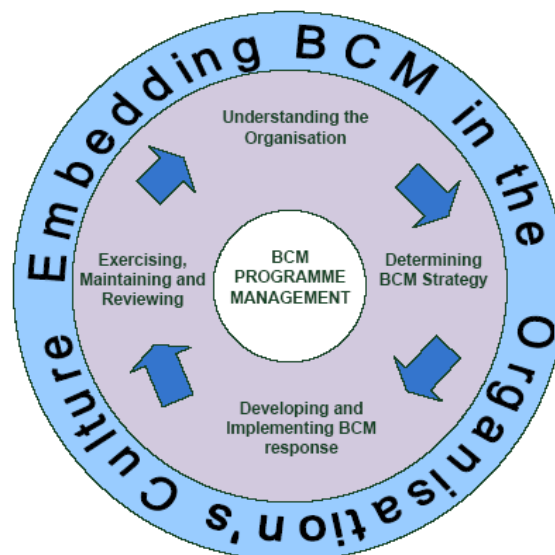


Figure 1

The diagram has at its core, BCM programme management, which is the catalyst for ensuring that robust business continuity plans are developed and maintained. This includes:

- Assigning responsibility for implementing and maintaining the BCM programme within the Council
 - *The responsible Officer is the Deputy Chief Executive Officer*
- Implementing business continuity in the Council – including the design, build and implementation of the programme
 - *This has been assigned via Management Team to a small group of officers who assist the Deputy CEO – the group is known as the Business Continuity Corporate Officer Group*
- The ongoing management of business continuity – including regular review and updates of business continuity arrangements and plans
 - *This will be carried out by the Business Continuity Corporate Officer Group in conjunction with the Deputy CEO*

The inner level of the diagram defines four stages to developing and maintaining the business continuity plan:

7.2 Step 1 – Understanding the organisation

Achieved through the use of business impact and risk assessments, to identify critical deliverables, evaluate priorities and assess risks to Council service deliveries.

- Business Impact Analysis (BIA) – identifying the critical processes and functions and assessing the impacts on the Council if these were disrupted or lost. BIA is the crucial first stage in implementing BCM, and helps measure the impact disruptions on the Council
 - *A full scale BIA was undertaken in 2008 and has been reviewed in 2011*
- Risk assessment – once those critical processes and functions have been identified, a risk assessment can be conducted to identify the potential threats to these processes
 - *The potential threats were reviewed and agreed by the Council's Management Team in July/August 2011*

7.3 Step 2 – Determining BCM strategy

Identifying alternative strategies to mitigate loss and assessment of their potential effectiveness in maintaining the Council's ability to deliver critical service functions.

The Council's approach to determining BCM strategies will involve:

- Implementing appropriate measures to reduce the likelihood of incidents occurring and/or reduce the potential effects of those incidents
- Developing remedial plans to ensure that strategies are workable
- Taking account of mitigation measures in place
- Providing continuity for critical services during and following an incident
 - *These elements have been considered within the Invocation Process and Incident Checklist, the Threat plans and the Team BC plans*

7.4 Step 3 – Developing and implementing a BCM Response

Developing individual service responses to business continuity challenges and overarching Business Continuity arrangements to underpin this.

- The Business Continuity Invocation Process and Incident Checklist, Threat Plans and Team / Departmental BC plans ensure that actions are considered for:
 - *The immediate response to the incident*
 - *Interim solutions or maintaining an emergency level of service for Critical Activities, leading to*
 - *Reinstating full services*

7.5 Step 4 – Exercising, maintaining and reviewing

Ensuring that Business Continuity arrangements are fit for purpose, kept up to date and quality assured. A test programme will enable the Council to:

- Demonstrate the extent to which strategies and plans are complete, current and accurate
- Identify opportunities for improvement
 - *Testing will be carried out once the updated Policy & Strategy has been agreed and adopted*
 - *Plans in place are reviewed following live incidents*

7.6 Embedding BCM in the organisation's culture

The outer ring of the diagram is possibly the most crucial and elusive step in business continuity terms – embedding BCM in the organisation's culture. This is done by raising awareness throughout the Council and offering training to key staff on BCM issues. This could include:

- Incorporating BCM in the staff induction process
- Items on staff intranet
- E-mail bulletins
- Booklets and prompt cards
- Contact details on building passes
 - *This element of the Strategy is work in progress; it is important that the documentation framework is agreed and in place before resource is focussed on the above suggested areas. The Deputy CEO has been updating on progress made by the BC Corporate Officer Group through the Management Team updates published on Insite, and a meeting of all Service Managers on this topic will take place in autumn 2011.*

8. Progress to date

The BC Corporate Officer Group mentioned in section 4.1 above have reviewed progress made in delivering the strategy since adoption of the Policy Statement in March 2009 and the italic points in Section 7 above reflect the current progress / position.

Additionally, the Group has

- Updated and refreshed the Policy & Strategy (this document) including a new diagram showing the relationship between all the documents that together form the Council's BCM arrangements
- Devised an Invocation Process and Incident Checklist for use by the Incident Management Team
- Arranged a method of securely storing documents on the Council's intranet (Appendix B)

Appendix A: Overview of documents that constitute BCM



Borough Council of
**King's Lynn &
West Norfolk**



Appendix B: Documentation Storage & Archiving Protocol

Document Storage

The Borough Council of King's Lynn & West Norfolk Business Continuity Corporate Officer Group (BC COG) have agreed that all documents pertaining to Business continuity are to be stored and published on the Corporate Intranet site 'Insite' under the projects area located at the link provided below:

http://insite.west-norfolk.gov.uk/projects/business_continuity/default.aspx

Examples of documents held under this area include:-

- BC Policy & Strategy
- Recent audits
- Threat plans
- Critical Activity Bronze Level Team plans

The site is administered by the ICT Division, with read and writes access granted to members of the BC COG.

Whilst holding these documents in a central repository is recommended, a method of ensuring adequate change control and storage offsite is required, should members of staff require access to these documents when ICT Services are unavailable.

Change Control

Any amendments to document area under the intranet site will be recorded, and an email notifying the BC COG members of a change will be sent out.

Audit information regarding who has made a change to a document and when, will be stored, and up to 20 versions of the document will be archived via SharePoint version control.

Offsite Storage of Documents

All documents will be uploaded to a secure internet hosted location www.idrive.com via a daily backup schedule.

Members of the BC COG and Senior Management Team will be supplied with a valid login and password enabling access to the offsite replicated BC documentation.

A copy of the documentation area will also be placed on an encrypted memory stick and taken offsite to the secure ICT Disaster Recovery site monthly.

It will be the responsibility of the ICT Manager to ensure that information is uploaded to this digital vault and taken offsite.

BC Storage & Archive protocol v1.0 June 2011