



PETERBOROUGH CITY COUNCIL

BUSINESS CONTINUITY MANAGEMENT POLICY DOCUMENT

Purpose:

To provide clear evidence of the effective operation of the Business Continuity Management System (BCMS) and the organisation's implementation of BCM.

Document Control

Title:	Peterborough City Council Business Continuity Policy			
Synopsis:	This document outlines the effective operation of the Business Continuity Management System (BCMS) and the organisation's implementation of BCM.			
Status:	FIRST DRAFT			
Date:	October 2012			
Document Owner(s):	Corporate Management Team (CMT)			
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Change Control:	Version ID	Date of Issue	Change Description	Author
	0.1	Oct 2012		Kevin Dawson
	0.2	19 Oct 2012	Consultation with Internal Audit	Kevin Dawson

Version ID	Date of Submission	Submitted to	Approval and Sign Off
1.0			

Glossary of Terms

BCM	Business Continuity Management	Holistic management process that identifies potential threats to an organisation and the impact to business operations that those risks, 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 activity
BCMS	Business Continuity Management System	That part of the overall management system that establishes, implements, operates, monitors, reviews, maintains and improves business continuity.
BCP	Business Continuity Plan	Documented collection of procedures and information that is developed, compiled and maintained in the readiness for use in an incident to enable an organisation to continue to deliver its critical activities at an acceptable predefined level
BD	Business Disruption	An event whether anticipated (e.g. a labour strike) or unanticipated (e.g. a power cut), which causes an unplanned, negative deviation from the expected delivery of products or services according to the organisation's objectives.
BIA	Business Impact Analysis	Process of analysing key services and the effect that a business disruption might have upon them
CA	Critical Activities	Those activities which have to be performed in order to deliver the key products and services which enable an organisation to meet its most important and time-sensitive objectives.
CCA	Civil Contingencies Act	Legislation placing a duty on Local Authorities to have business continuity arrangements in place.
	Corrective Action	The process of reacting to an existing problem or nonconformity and fixing it.
DR	Disaster Recovery	The process, policies and procedures related to the recovery or continuation of technology infrastructure critical to an organisation following a business disruption
EMT	Emergency Management Team	The team that takes the lead role in planning for, coordinating a response to, and supporting the recovery from emergencies, incidents and business disruptions.
IMP	Incident Management Plans	Clearly defined and documented plan of action for use at the time of an incident, typically covering the key personnel, resources, services and actions needed to implement the incident management process.
	Key Services	The most important and time sensitive services delivered by the council.
MTPOD	Maximum Tolerable Period of Disruption	Duration after which an organisation's viability will be irrevocably threatened if products and service delivery can not be resumed
	Preventative Action	A process for detecting potential problems or nonconformities and eliminating them.
RTO	Recovery Time Objective	Target time set for resumption of product, service or activity delivery after an incident.

1. **The Scope and Objectives of the Business Continuity Management System (BCMS)** (BS 25999 Ref: 3.2.1)

1.1 Requirements for Business Continuity

1.2 The BCMS shall provide evidence of:

- a clear expression of the organisation's Business Continuity Management (BCM) requirement
- controls and measures that manage its continuity risks
- monitoring and feedback on BCM performance and effectiveness
- continual improvement using objective measurement

1.3 In addition, the BCMS shall provide evidence of:

- a tailored BCM Policy aligned with organisational requirements
- viable organisational structures reflecting BCM roles and responsibilities
- an embedded "Plan-Do-Check-Act" management processes
- a full set of auditable documentation
- established BCM-specific processes, such as Business Impact Analysis (BIA) and Business Continuity Plan (BCP) production

1.4 Acceptable Level of Risk

1.5 Risk is essentially any feature of an organisation which is likely to prevent that organisation from achieving its primary aims. In general, the lower the risk the higher the performance is likely to be. A successful risk management policy therefore needs to take a holistic view of risk as being a potential feature of the whole organisation. The organisation is in turn composed of components which themselves may contain appreciable risk factors.

1.6 Statutory, Regulatory and Contractual Duties

1.7 The Civil Contingencies Act 2004 requires Category 1 responders (This includes Peterborough City Council) to maintain plans to ensure that they can continue to exercise their functions in the event of an emergency so far as is reasonably practicable.

1.8 The duty relates to all functions, not just emergency response functions. Category 1 responders must have regard to assessments of both internal and external risks when developing and reviewing business continuity plans. These plans may take the form of generic plans, which set out the core of a Category 1 responder's response to any BCM event, or specific plans dealing with particular risks, sites or services.

1.9 There must be a clear procedure for invoking the business continuity plan and it must include arrangements for exercises for the purpose of ensuring the plan is effective. Arrangements should be included for the provision of training to those involved in implementing the plan and plans must be reviewed and kept up to date. Category 1 responders are required to publish aspects of their BCPs insofar as making this information available is necessary or desirable for the purposes of dealing with emergencies.

1.10 Interests of key stakeholders

1.11 A key stakeholder is a person or body of people who have a vested interest in an organisation's business. For a local authority, typical stakeholders may include:

- staff
- customers
- suppliers

- regulators
- governing bodies
- elected members
- representative bodies
- other local authorities

1.12 Details of key stakeholders are documented in services BIA.

1.13 Interests of key stakeholders

1.14 Key products and services are the most important and time sensitive services delivered by the Council to meet its objectives. These key services should dovetail into the Councils current priorities which are;

- Creating opportunities – tackling in equalities
- Creating strong and supportive communities
- Creating the UK’s environment capital
- Delivering substantial and truly sustainable growth

2. Business Continuity Management Policy (BS 25999 Ref: 3.2.2)

2.1 Purpose:

2.2 The purpose of this policy is to formalise the BCMS of Peterborough City Council (PCC) and to provide guidelines for developing, maintaining and exercising Business Continuity Plans (BCPs). This policy establishes the basic principles and framework necessary to ensure emergency response, resumption and recovery of the organisation’s operations and service activities during a business disruption.

2.3 Scope:

2.4 This policy applies to all Council staff, facilities and IT systems at all locations. The Council shall be prepared for scenarios including, but not limited to loss of premises, loss of staff, supplier failure, loss of I.T, loss of data and loss of utilities. These events may be localised, impacting a single location or county-wide impacting multiple locations. This policy provides guidance for the resumption and recovery of time sensitive services in accordance with pre-established timeframes.

2.5 Policy:

2.6 PCC recognises the potential strategic, operational, financial and stakeholder risks associated with a business disruption and the importance of maintaining Council’s business processes in the event of a business disruption. Business continuity policy and planning are fundamental to ensure against adverse organisational and reputational risk of a business disruption.

2.7 All arrangements will comply with this policy and EMT will monitor the consistent application of the BCMS to ensure that the Corporate Management Team (CMT) can make decisions based on harmonised information.

2.8 Responsibilities:

2.9 The PCC CMT is responsible for this policy and for ensuring that it is communicated to all persons working for, or on behalf of, the organisation.

2.10 All levels of management within PCC have a responsibility for maintaining business continuity arrangements within their area of business with overall responsibility lying with the Chief Executive Officer.

- 2.11 Business Impact Analysis and Risk Assessment:
- 2.12 CMT will establish and set out the key objectives of the Council. This will inform managers to decide what key services need to be taken forward to the business impact analysis (BIA).
- 2.13 A BIA will be undertaken by Heads of Service on their key services to identify critical activities. This shall also identify the maximum tolerable period of disruption (MTPOD) and recovery time objectives (RTO).
- 2.14 Critical activities will be risk assessed and the owner of that critical activity will take the appropriate loss mitigation or risk treatment measures.
- 2.15 Business Continuity Plans:
- 2.16 CMT shall sponsor the development of the Corporate BCP to assist recovery from an organisation wide crisis and provide, at the very minimum, strategic decisions upon which critical activities should be recovered before others.
- 2.17 BCPs will also be prepared at a Service or Directorate level and be owned and signed off by the senior management within this area of business. These plans will cover localised business disruptions and set out processes for recovering critical activities within their RTO and the medium term actions to return to 'business as usual'. These plans will also support the Corporate BCP work effectively.
- 2.18 Plans may also be prepared at departmental level where the department warrants its own business continuity plan due to the key services it delivers or the nature of its function. This will be at the discretion of the service manager. In most instances a BCP will be prepared where there is a Service Plan. These plans will also support the Services/Directorate BCP work effectively.
- 2.19 Plans shall anticipate the impact from a variety of probable scenarios. The BC policy and planning should recognise that staff are the most important asset of Council for ensuring the necessary ability of the Council to continue critical business processes in spite of an emergency.
- 2.20 SMT shall have overall oversight as to the creation of local plans to provide leadership and guidance, and ensure appropriate consistency and coordination among the various departments, as well as compliance with national standards.
- 2.21 Testing:
- 2.22 The Corporate BCP should be tested annually to ensure credible recovery preparedness. The scope, objectives, and measurement criteria of each test shall be determined and coordinated by CMT on a *per event* basis. Test results shall be shared across the organisation.
- 2.23 Authors or owners of BCPs will undertake to carry out tests annually (for example confirming contact numbers and checking the location of resources) to guarantee the accuracy of this information.
- 2.24 Corporate Communications:
- 2.25 The overarching and department/service-specific BCPs shall include mandatory instructions, advice, process, procedure or guidance concerning internal and external communications. External communication during time of crisis is a critical business process. The CMT shall work with Corporate Communications to develop the process and messages that will be communicated to the media and to staff in the event of a county-wide or department/service-specific business interruption.

2.26 Training:

2.27 It is essential that anyone who has role within the BCMS is aware of their role and given the appropriate training to ensure the effective resumption and recovery of operations.

2.28 Plan authors/owners will be responsible for providing training to individuals that they have identified as having a role within their plan.

2.29 The Resilience Service will provide training to individuals who have a responsibility to develop and maintain business continuity arrangements.

2.30 BCP Maintenance and Management Reporting:

2.31 The overarching and department/service-specific BCPs shall be updated annually using the templates provided by the Resilience Service . All PCC departments shall update their BCPs as often as changes require. Major updates should be incorporated as soon as possible and not held to the pre-arranged schedule. Reporting business continuity planning status and progress is a key element of creating an effective BC program in the organisation.

2.32 Business Continuity Programme Governance:

2.33 As demonstrated in this policy, Business Continuity is an institutional concern affecting all departments and therefore must receive senior management guidance and oversight. A formal BC programme governance structure shall be developed to ensure effective decision-making and alignment with BS 25999.

2.34 Policy Compliance:

2.35 Consistent compliance with this policy is essential to its effectiveness. All PCC Services and Directorates are expected to adhere to this policy and to follow it consistently.

3. Provision of Resources (BS 25999 Ref: 3.2.3)

3.1 The organisation shall determine and provide the resources needed to establish, implement, operate and maintain the BCMS.

3.2 CMT has appointed the Executive Director as the person with appropriate seniority and authority to be accountable for the BCM Policy and its implementation.

3.3 The Resilience Manager has been appointed to implement and maintain the BCMS.

3.4 Each Service/Directorate shall identify at least one BC Champion who will coordinate the assessment of key services through the BIA and produce Service/Directorate level BCPs.

3.5 Further BC Champions may be appointed as dictated by the requirement to deliver key services.

3.6 BCM roles, responsibilities, competencies and authority shall be defined and documented within each BCP. Dependent on individual BCPs these will include:

- telecommunications and information systems
- office buildings and facilities
- service facilities
- plant and equipment
- personnel

4. The Competency of Personnel and Associated Training Records

(BS 25999 Ref: 3.2.4)

- 4.1 The Council shall ensure that personnel who are assigned business continuity responsibilities are competent to perform the required tasks by:
- determining the necessary competencies for such personnel;
 - conducting training needs analysis on personnel being assigned BCM roles and responsibilities;
 - providing training;
 - ensuring that the necessary competence has been achieved; and
 - maintaining records of education, training, skills, experience and qualifications

5. BCM Exercising (BS 25999 Ref: 4.4.2)

- 5.1 The Council shall exercise its BCM arrangements to ensure that they meet business requirements. The organisation shall:
- develop exercises that are consistent with the scope of the BCMS;
 - have a programme approved by CMT to ensure exercises are carried out at planned intervals and when significant changes occur;
 - carry out a range of different exercises that taken together validate the whole of its business continuity arrangements;
 - plan exercises so that the risk of an incident occurring as a direct result of the exercise is minimized;
 - define the aims and objectives of every exercise;
 - carry out a post-exercise review of each exercise that will assess the achievement of the aims and objectives of the exercise; and
 - produce a written report of the exercise, outcome and feedback, including required actions.

6. Maintaining and reviewing BCM arrangements (BS 25999 Ref: 4.4.3)

- 6.1 The Council will review annually or after significant changes occur, its BCM arrangements and capability to ensure their continuing suitability, adequacy and effectiveness.
- 6.3 The review of BCM arrangements shall be conducted either through self-assessment or audit.
- 6.4 The self-assessment programme will be coordinated by EMT in conjunction with the plan owner/author and action will be taken to address the gaps identified in the assessment.
- 6.4 In the event of an incident that results in the invocation of the Business Continuity Plan, a post-incident review shall be undertaken to:
- identify the nature and cause of the incident;
 - assess the adequacy of management's response;
 - assess the organisation's effectiveness in meeting its recovery time objectives;
 - assess the adequacy of the BCM arrangements in preparing employees for the incident; and
 - identify improvements to be made to the BCM arrangements.
- 6.5 It is responsibility of all services to inform EMT of all invocations and for EMT to coordinate post incident review and inform CMT annually on the organisations state of preparedness.

7. Internal Audit (BS 25999 Ref: 5.1)

7.1 The guidance states that the organisation shall ensure that internal audits are conducted triennially to determine whether the BCMS:

- conforms to planned arrangements for BCM, including the requirements of this BCM standard; and
- has been properly implemented and is maintained; and
- is effective in meeting the organisation's BCM policy and objectives; and
- provides information on the results of audits to management.

7.2 The audit programme(s) shall be planned, established, implemented and maintained by the organisation, taking into account the BIA, risk assessment, control and mitigation measures and the results of previous audits.

7.3 Audit procedure(s) shall be established, implemented and maintained that address:

- the responsibilities, competencies and requirements for planning and conducting audits, reporting results and retaining associated records; and
- the determination of audit criteria, scope, frequency and methods.

Selection of auditors and conduct of audits shall ensure objectivity and the impartiality of the audit process.

8. Management review of the BCMS

8.1 CMT shall review the organisation's BCMS at planned intervals and when significant changes occur to ensure its continuing suitability, adequacy and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the BCMS, including the business continuity management policy and business continuity management objectives. The results of the reviews shall be clearly documented and records shall be maintained.

8.2 The input to a management review shall include information on:

- results of audits and reviews, including where appropriate those of key suppliers and outsource partners;
- feedback from interested parties, including independent observations;
- techniques, products or procedures, which could be used in the organisation;
- status of preventive and corrective actions;
- level of residual risk and acceptable risk;
- vulnerabilities or threats not adequately addressed in the previous risk assessment;
- follow-up actions from previous management reviews;
- any internal or external changes that could affect the BCMS; recommendations for improvement;
- exercise results;
- emerging good practice and guidance;
- lessons from incidents; and
- results of the education and awareness training programme.

8.3 The output from the management review shall include any decisions and actions related to:

- varying the scope;
- improving the effectiveness ;
- modifying the strategy and procedures, including changes to:
 - business requirements;
 - resilience requirements;
 - business processes affecting the existing business requirements;

- statutory, regulatory and contractual requirements; and levels of risk and/or levels of risk acceptance;
- resource needs; and funding and budget requirements.

9. Preventive and Corrective Actions

9.1 PCC shall improve the BCMS through the application of preventive and corrective actions. Any preventive or corrective action taken shall be appropriate to the magnitude of the problems and commensurate with the business continuity policy and organisational objectives. Changes arising from preventive and corrective actions shall be reflected in the BCMS documentation.

10. Continual Improvement

The organisation shall continually improve the effectiveness of the BCMS through the review of the business continuity policy and objectives, audit results, analysis of monitored events, preventive and corrective actions, and management review.