MAIDSTONE
Borough Council

REPORTS FOR DECISION BY THE
LEADER OF THE COUNCIL

Date Issued: **04 February 2010**

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A Record of Decision will be issued following the conclusion of 5 clear working days from the date of issue of the Report

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MAIDSTONE BOROUGH COUNCIL

LEADER OF THE COUNCIL

**REPORT OF ASSISTANT DIRECTOR OF
CUSTOMER SERVICES AND PARTNERSHIPS**

Report prepared by:
Dave Lindsay, IT Manager
Date Issued: 4 February 2010

1.   **ANNUAL REVIEW OF BUSINESS CONTINUITY ARRANGEMENTS
      2009/10**

1.1   Issue for Decision

1.1.1 To review the council's corporate Business Continuity arrangements.

1.2   Recommendation of the Assistant Director of Customer Services

1.2.1 That the Leader of the Council notes the progress set out in this
       report and endorse the revised corporate Business Continuity
       documents attached.

1.3   Reasons for Recommendation

1.3.1 **Introduction**

1.3.2 Business Continuity Management (BCM) is a process that helps
       manage risks to the smooth running of an organisation or delivery of
       a service, ensuring continuity of critical functions in the event of a
       disruption, and effective recovery afterwards.

1.3.3 **Background**

1.3.3.1   Good BCM helps organisations identify their key products and
           services and the threats to these. Planning and exercising
           minimises the impact of potential disruption. It also aids in the
           prompt resumption of service helping to protect service delivery
           and organisational reputation.

1.3.3.2   The Civil Contingencies Act requires category 1 responders 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;

- Put in place arrangements to warn and inform the public in the event of an emergency; and

- To put in place a training programme for those directly involved in the execution of the BCP should it be invoked.

1.3.3.3   Category 1 responders include:

- Local authorities;

- Emergency services;

- Government agencies; and

- NHS bodies.

1.3.3.4   The Act also requires local authorities to provide advice and assistance to businesses and voluntary organisations in relation to business continuity management. This duty is an integral part of the Act's wider contribution to building the UK's resilience to disruptive challenges. It should not be seen as a stand-alone duty, but rather in many ways is a logical extension of the work already undertaken to fulfill other duties under the Act (e.g. working with commercial and voluntary organisations in the development and exercising of emergency plans).

1.3.3.5   In order to be successful, BCM must be regarded as an integral part of an organisation's normal ongoing management processes. To achieve this, leadership is vital as it demonstrates the importance of BCM throughout the organisation. Engaging senior staff is crucial to the success of any major programme because of the responsibility they have for resource allocation and the culture of an organisation.

1.3.3.6   This report sets out the council's current Business Continuity arrangements including the revised corporate Business Continuity Plan (BCP).

1.3.4   **Developing plans**

1.3.4.1   Good BCM requires business continuity plans. The council currently has a corporate BCP (attached as Appendix 1), a BCP Strategy (attached as Appendix 2), individual incident (or scenario plans), a BCP template for service managers (attached as Appendix 3), and separate BCPs for the key services identified below:

1. IT
2. Environmental Health
3. Finance (including Revenues)
4. Homelessness

5. Contact Centre
6. Emergency Planning
7. Building Control
8. Bereavement Services
9. Street Cleaning
10. PR/Communications
11. Waste Collection
12. Housing Benefits

1.3.4.2   The Business Continuity Plan is an action plan which allows the organisation to maintain or recover the delivery of the key services, and provides all the information officers need to respond to an incident.

1.3.4.3   The Business Continuity Strategy details the Council's strategic response to BCP, and refers to best practice from central government.

1.3.4.4   The key services (above) were identified by a Business Impact Analysis (BIA) exercise.

1.3.4.5   A BIA allows the identifications of key services, and the main threats to those services, which can then be addressed through the continuity planning process.

1.3.4.6   This year the corporate BCP has been updated to take on board the implications of BS25999 (see below). The corporate BCP is attached for Audit Committee's consideration and endorsement.

1.3.4.7   Since the office move other plans have also been updated. Service managers have been specifically asked to reflect the change of accommodation and its impact in their BCPs. They have also been asked to check their key suppliers' BCPs and to make sure any implications for partnership working are addressed in these plans.

1.3.5 **Exercising plans**

1.3.5.1   Plans cannot be considered reliable until they are exercised and have proved to be workable. Exercising should involve: validating plans, rehearsing key staff; and testing systems which are relied upon to deliver resilience (e.g. uninterrupted power supply).

1.3.5.2   Last year a number of desk top tests were arranged, as a result of which the Corporate Plan and a number of service BCPs were updated. In the coming year the council intends to test the individual plans of the key services as well as to undertake a

test of how the corporate BCP would interact with the Emergency Plan and the Council's IT Disaster Recovery Plan.

1.3.6   Training and awareness

1.3.6.1   There is a need to train those responsible for implementing BCM, those responsible for acting in the event of disruption and those who will be impacted by the plans.

1.3.6.2   Training has recently been arranged to assist service managers in preparing their BCPs.

1.3.7   Flu Pandemic Preparedness

1.3.7.1   Over the past 12 months, the Council has reviewed its preparedness for a Pandemic following the worldwide outbreak of Swine Flu. This is as a result of the Council's direct responsibilities under the Civil Contingencies Act, and a requirement to ensure that the Council is capable of maintaining critical services during a Pandemic.

1.3.7.2   During this period the Business Continuity Plans of all priority services have been reviewed and updated.

1.3.7.3   A specific Flu pandemic Forum was formed and has met periodically to manage the Council's response in liaison with key partners.

1.3.7.4   A Pandemic Plan has been formulated and actioned, including distribution of alcoholic gel dispensers, public display of 'Catch it, kill it, bin it' posters, and periodic reports to management Team and Unit Managers.

1.3.8   The Business Continuity Management Standard (BS25999)

1.3.8.1   BS25999 is a code of practice that takes the form of guidance and recommendations. It establishes 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.

1.3.8.2   The British Standard on Business Continuity Management (BCM), BS25999, defines BCM as 'a holistic management process that identifies potential threats to an organisation and the impact to 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.' It provides a comprehensive set of controls based on BCM best practice and covers the whole BCM lifecycle, which is illustrated below. The revised corporate BCP follows the guidance of BS25999.

1.4   Disaster Recovery

1.4.1   The Council has an IT Disaster Recovery Plan, the invocation of which would result in the Councils Business Continuity plans to be actioned.

1.4.2   The Council's IT DRP was audited during 2009 and the audit report stated that *"the Council's DRP is comprehensive in content and that appropriate back-up regimes are in place. However **limited** control assurance is provided, this is based upon the fact that the existing disaster recovery arrangements have not been formally tested"*.

1.4.3   The current version of the IT DRP was tested during December 2009, and will be subjected to further extensive tests early in 2010.

1.5   Alternative Action and why not Recommended

1.5.1   The council has a legal duty under the Civil Contingency Act to ensure continuity of its services. The other duties set out by the act are:
- To perform risk assessments;
- To conduct emergency planning;
- To inform, warn, and advise the public;
- To co-operate in recovery activities; and
- To Share information.

1.6   Impact on Corporate Objectives

1.6.1   Embedded BCM arrangements ensure that the council is able to continue to discharge its duties in the event of a significant disruption to service.

1.7   Risk Management

1.7.1   BCM is a means of mitigating risk. Preparation of the corporate BCP involves a Business Impact Assessment to identify key services and risks.

1.8

1.	Financial	
2.	Staffing	
3.	Legal	

4.	Equality Impact Needs Assessment	
5.	Environmental/Sustainable Development	
6.	Community Safety	
7.	Human Rights Act	
8.	Procurement	
9.	Asset Management *(should there not be implications as "checked" above)*	

NO REPORT WILL BE ACCEPTED WITHOUT THIS BOX BEING COMPLETED

Is this a Key Decision?   Yes   [x]   No   [   ]

If yes, when did it appear in the Forward Plan? January 2010

Is this an Urgent Key Decision?   Yes   [   ]   No   [x]

Reason for Urgency

N/a

How to Comment

Should you have any comments on the issue that is being considered please contact either the relevant Officer or the Member of the Executive who will be taking the decision.

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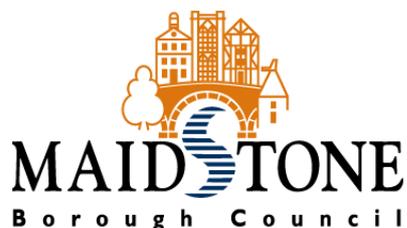
Maidstone Borough Council

Corporate Business Continuity Plan

Incident timeline
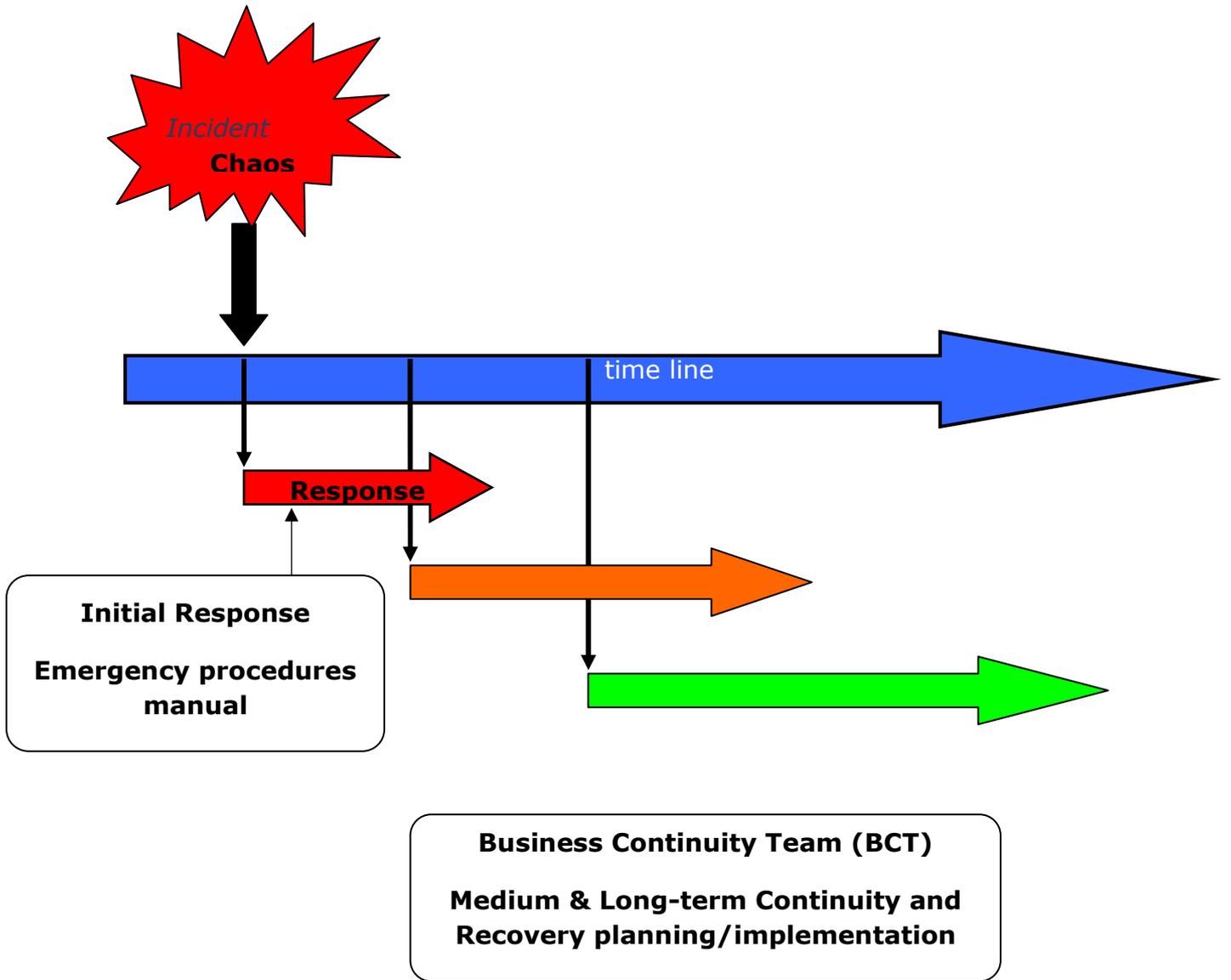
Table 1 – Key Mission Critical Services

No	Mission Critical Service	Recovery Time Objective[1]	Section's BCP ....
5	Contact Centre	24 hours	Complete
8	IT	24 hours	Complete
12	Emergency Planning	24 hours	Complete
1	Homelessness	24 hours	Complete
6	Environmental Health	24 hours	Complete
11	Building Control	24 hours	Complete
2	Finance (including revenues)	2 – 3 days	Complete
9	Bereavement Services	2 – 3 days	Complete
7	Street Cleansing	2 – 3 days	Complete
10	PR / Communications	2 – 3 days	Complete
3	Waste Collection	1 – 2 weeks	Complete
4	Housing Benefits	1 – 2 weeks	Complete

Table 2 – Key Threats to Mission Critical Services

No	Threat	Risk Score[2]	Recovery Strategy Status[3]
1	Loss of IT	D2	Complete
4	Loss of telecoms	D2	Complete
5	Utility outage	D1	Complete
6	Loss of site	D1	Some work required
2	Loss of people	C2	Complete
3	Extreme weather	B3	Complete
8	Loss of a major contractor / partner	C3	Complete
7	Financial loss	E3	N/A

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[1] The time within which the service has to be functioning at a reasonable level after an interruption
[2] See Section 3: Risk Identification & Analysis, p8 for risk matrix
[3] See Section 4: Recovery Strategies for More Detail

Section 1: MISSION CRITICAL SERVICES MATRIX

This section was completed at the Business Impact Analysis workshop with the group on 31st October 2007, and built on the work previously undertaken in this area, to ensure this key information is up to date and relevant moving forward.

The matrix on **page 5** was used to prioritise mission critical services. The numbers in the matrix represent the services listed in section 2.

Each mission critical service was rated in terms of its **time sensitivity** and the **impact** on the organisation if the service was interrupted. When deciding time sensitivity the group considered how quickly each service would have to be up and running if it were interrupted. The impact was judged as the impact to the Council's overall aims and objectives the loss of a service would have.

The matrix allows MCSs to be prioritised, i.e. the key strategic, operational or support services most important to Maidstone BC discharging its duties, and key strategic aims and objectives. The group prioritised services according to how important they are in a 'normal' business week.

It should be noted that any service delivered externally by a partner or contractor that is key to Maidstone BC should also be considered. As part of due diligence we would recommend Maidstone BC puts in place arrangements to ask the question of key partners what their BCM arrangements are, and how confident they would be if there was an interruption.

Figure 1: Mission Critical Services Matrix
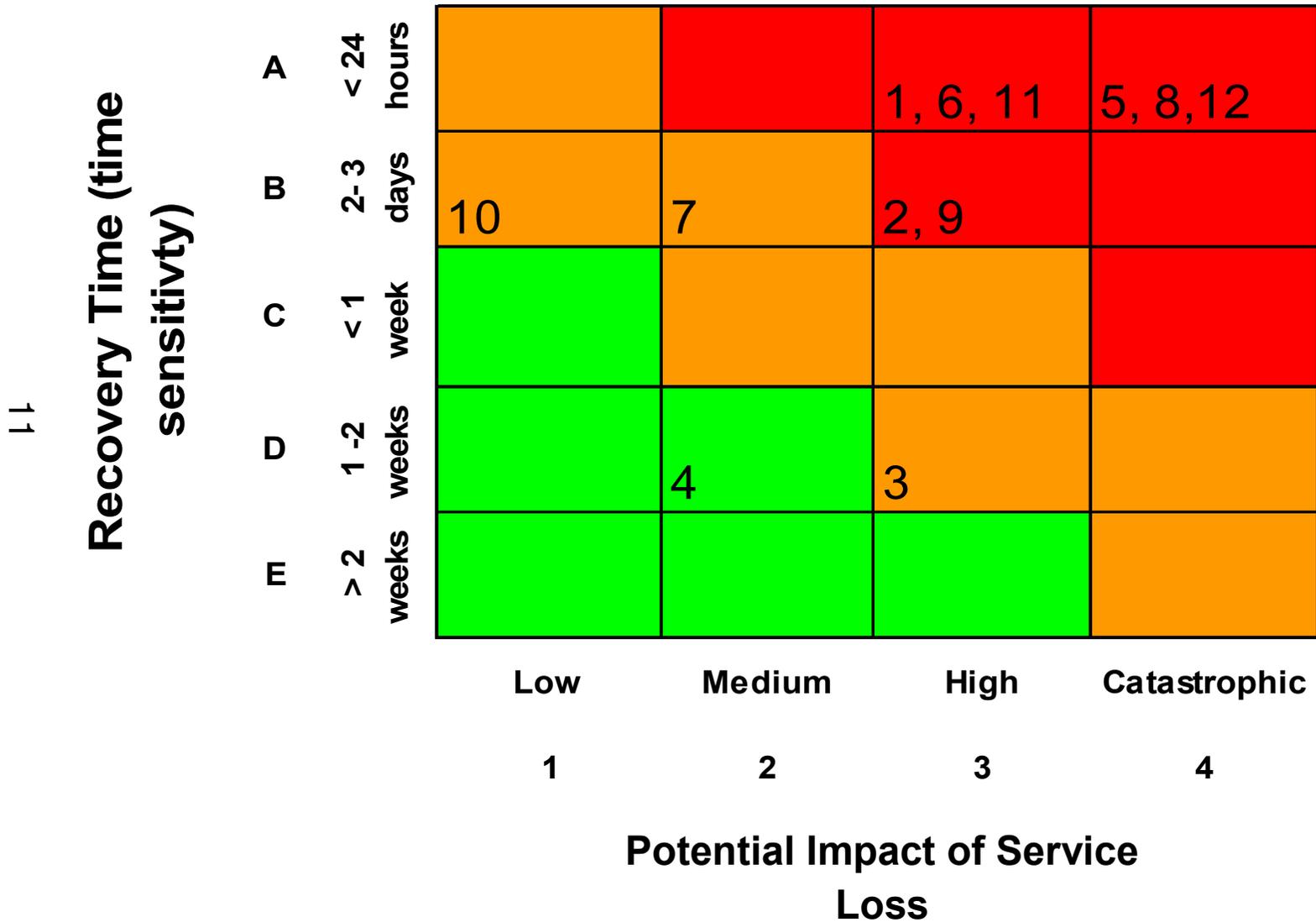
Section 2: CRITICAL SERVICES PRIORITISATION

Table 2.1

No	Service	Key Service Element (that makes this a priority)	Potential Impact of loss	Maximum time period within which service needs to be
5	Contact Centre	• Call centre, face to face, support services	• No public contact • Unable to respond to public service requests • Issues around information dissemination	24 hours
8	IT	• Network, IT systems / servers, Telephony	• Resort to manual procedures, loss of data, no contact to council if no telephony	24 hours
12	Emergency Planning	• Emergency Planning team	• Unable to respond / contribute effectively in an emergency situation	24 hours
1	Housing	• Homelessness	• Failure to house homeless • Potentially a number of people without accommodation or access to it	24 hours

6	Environmental Health	• H&S, Pollution	• Failure to carry out statutory and public health issues	24 hours
11	Building Control	• Surveying expertise, dangerous structures	• Failure to carry out statutory functions	24 hours
2	Finance (including revenues)	• Collecting revenue, payment of staff • Payment of contractors • Day to day banking operations	• No revenue coming in, staff not paid • Loss of income • Inability to make payments and to ensure funds in place to meet daily cashflow requirements	2 – 3 days
9	Bereavement Services	• Provision of bereavement services in the local area • Crematorium	• Inability to carry out cremations leading to a possible public health issue and loss of "trade" to other local crematoria	2 – 3 days
7	Street Cleansing	• Key service customers expect from the council	• Public health issues • Failure to carry out statutory responsibilities • Extra strain on customer services • Reputation affected	2 – 3 days
10	PR / Communications	• PR	• No communication to public, loss of reputation	2 – 3 days

3	Waste Collection	• Key service customers expect from the council	• Public health issues	1 – 2 weeks
			• Failure to carry out statutory responsibilities	
			• Extra strain on customer services	
			• Reputation affected	
4	Housing Benefits	• Payment of benefits	• Unable to pay benefit	1 – 2 weeks
			• Possible homelessness issues	
			• Tenancy difficulties	
			• Failure to carry out statutory responsibilities	

Section 3: RISK IDENTIFICATION & ANALYSIS

A major part of Business Continuity Management is to ensure that the likelihood of MCS's being affected by an incident is minimised, and an adequate set of controls is defined, implemented and appropriately managed. Together with a Business Impact Analysis the Risk Assessment provides information that enables an organisation to determine its risk appetite.

Figure 2: Threat Matrix

Table 3.1

No	Key Threat	Potential causes that will trigger the Risk	Risk Width (which MCS's will potentially be impacted?)	Risk Score	Current Mitigation
1	Loss of ICT	• Virus • Power outage • Loss of staff • Loss of property • Air-conditioning	• Public health • Comms • Benefits • Contact centre • Payments • Waste collection • Street cleansing • Building control	D2	• Anti-virus • Standby generator • Firewalls
A Disaster Recovery Plan For IT Already Exists					
4	Loss of telecoms	• Major incident • Loss of key utilities • Loss of IT	• Potentially all services	D2	• Emergency plan • Business continuity plan • Generator • Alternative arrangement with KCC • One BT line • Different providers for incoming and outgoing calls
5	Utility outage (power, water, gas, drainage)	• Strike • Cable / pipe broken • Adverse weather • Drought • Failure at electricity / pumping station	• Potentially all services	D1	• Generator • ICT DR Plan • Homeworking • Biomass boiler

6	Loss of site	• Major incident	• Site dependent, loss of main site/s would affect all services apart from cem/crem, street cleansing and waste collection	D1	• Alternative site • Homeworking
2	Loss of people	• Strike • Illness / pandemic • Adverse weather • Lottery win • Fuel shortage • Major local emergency	• Potentially all services	C2	• Local pay structure • Reasonable number of staff living within walking distance of offices • Pandemic continuity plan • Emergency plan • Fuel continuity plan • Health & Safety procedures • Homeworking • Partnership support
3	Extreme weather	• Rain, snow, wind, extremes of temperature	• Potentially all services	B3	• As per loss of people (2)
8	Loss of a major contractor / partner	• Supplier / partner insolvency • Supplier / partner has poor Business Continuity Plan • Poor relationship or dispute with supplier / partner	• Waste collection • Leisure services	C3	• Procurement procedures
7	Financial loss	• Fraud • Negligence • Poor financial controls • Individual integrity • Disgruntled employee • Poor contract management		E3	• Internal audit • Financial regulations • Procurement procedures

Section 4: Incident Management Plan

Background

Purpose & Scope

The purpose of this document is to assist the organisation to be able to define an incident response structure that will enable an effective response & recovery from disruptions. The Business Continuity Standard BS 25999 states –

"In any incident situation there should be a simple and quickly-formed structure that will enable the organisation to:

- *Confirm the nature and extent of the incident*
- *Take control of the situation,*
- *Contain the incident, and*
- *Communicate with stakeholders"*

This document is not intended to be a prescriptive list of actions to take to manage an incident.

This document should be read in conjunction with:

- **Chapter 2: Business Impact Analysis & Recovery Strategies** which details the Mission Critical Services.
- **Individual BCPs for individual mission critical services.**

Review and Change Control

Please detail all reviews made even if document is not amended. **All** members of the strategic and tactical teams should receive the latest version of this document when it is updated.

Table 4.1.1

Version	By	Date	Comments
1	PT	13 February 2008	
2	PT	1 September 2008	
3	DL	September 2009	

4.1.3   Test Record

Table 4.1.2

Date	Description of Test Exercise	Parties Involved in Test
Jul/Aug	Desk top test of individual	Unit managers of key

	BCPs	services

4.2   Incident Management

4.2.1   Incident Management Structure

The purpose of the incident management structure is to form and react as soon as possible to the incident. On forming, those present can take decisions to apply appropriate resources to deal with an event as it occurs (ideally to prevent it becoming a crisis). It is essential for this reason that the team be made up from individuals representing core areas of the organisation.

A three layer level of response is proposed depending on the nature and scope of the incident. See Diagram 4.2.1.

Model applying to:

Strategic Direction Team	Provides strategic direction. Holds ultimate responsibility. Represents the public face of the organisation. This may involve liaison with, or taking over an incident from, the Emergency Management Team once into the recovery phase. The Strategic Team is made up of the senior managers that would represent the organisation in the media. It is not envisaged that an incident would result in consecutive running of both the BCP Strategic Team and the Emergency Management team as these are drawn from the same area of senior management. Should both plans be activated the Emergency Management Team would as a matter of course consider business continuity issues including maintaining minimum levels of service and the ability of MBC to respond to the emergency. Once this passes into the recovery stage then a similar team would continue to meet to concentrate on business continuity issues.	Chief Executive Directors Would also include the Head of Communications
Tactical Management Team	Assumes full responsibility for co-ordinating incident management. Provides detailed direction to managers and staff to effectively manage the incident at an operational level. Reports up to and advises the Strategic Direction Team.	Assistant Directors Heads of Service incl Head of Communications
Operational Level	This is where the actions described in the Business Continuity Plan are actually carried out. People here are instructed and co-ordinated by the Tactical Management Team.	Unit Managers Key staff

At the early stages of an incident Chief Executive should decide whether the Strategic Direction on the whether it is necessary The Strategic Direction Team

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and the Tactical Management Team may be located together if the incident is small scale and local in nature then the two teams may be amalgamated.

Diagram 4.2.1 Structure Chart

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┌─────────────────────────────────┐
│     Strategic Directional Team   │
│                                  │
│                                  │
│         Invoking the plan        │
└─────────────────────────────────┘
                 │
                 │
┌─────────────────────────────────┐
│     Tactical Management Team     │
│                                  │
│                                  │
│          Using the plan          │
└─────────────────────────────────┘
                 │
                 │
┌─────────────────────────────────┐
│      Managers and Staff at an    │
│         Operational Level        │
│                                  │
│                                  │
└─────────────────────────────────┘
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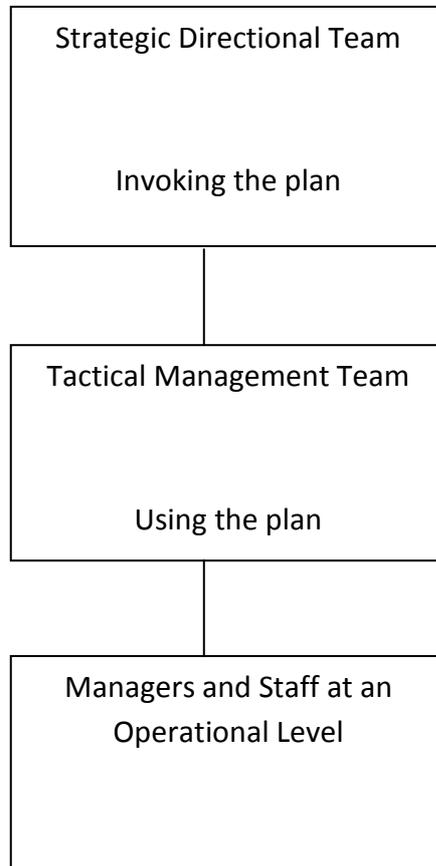
Roles & Responsibilities

Table 4.2.1 below shows the responsibilities of members of the **Strategic Direction Team.**

Table 4.2.1 – Strategic Team[4]

Name	Position	Special Responsibilities (if any)	☎ Work	☎ Mobile	☎ Home
David Petford	**Chief Executive**		602027		
Zena Cooke	Director of Resources & Partnerships		602345		
Alison Broom	Director of Prosperity & Regeneration		602019		
David Edwards	Director of Change & Environmental Services		602797		
Roger Adley	Head of Communications	Press releases/media/public relations	602758		

NB: The strategic team will be made up of a selection of the above officers.

** Phones numbers withheld in this version **

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[4] The Strategic Direction Team and the Tactical Management Team may be located together if the incident is small scale and local in nature or the two teams may be amalgamated.

4.2.2 Command Centre[5]

	First Choice	Second Choice
Nominated Strategic Centre	Emergency Centre	Depot
Capacity	As per Emergency Plan	
Computer Equipment Held in Room	As per Emergency Plan	
ICT Network Points in Room	As per Emergency Plan	
Other Specialist Equipment Held if Necessary (e.g. Digital TV & Radio, fax)	As per Emergency Plan	
Status of Command Centre (Red, Amber or Green)		

[5] Separate Command centres may be required for the Strategic Direction Team and the Tactical Management Team if the incident is a large scale one.

4.3 Incident Escalation and Invocation

4.3.1 Policy

It is vital that the Council has a clear and simple method by which it can quickly recognise a business continuity threat and act accordingly. It is better to over-react to serious incidents and then stand down members of staff than to under-react. The agreed escalation and invocation framework to be adopted and understood by all is set out in Sections 4.3.2 and 4.3.3, and depicted in Diagram 4.3.1.

4.3.2 Escalation

All staff have a responsibility to notify their line manager, or other appropriate manager, if they feel the Council's ability to operate effectively may be in danger or there may be a need to invoke Business Continuity Plans. This should then be escalated until a member of the Strategic Direction Team is informed. During out-of-hours, the relevant service manager will be contacted by the out-of-hours service to escalate the response to the Strategic Direction Team if required.

4.3.3 Invocation

The Chief Executive and all representatives of Corporate Management Team have the authority to compel all other members of the team (or their deputies) to meet as soon as is reasonable to discuss an incident, or the threat of an incident, which could force Business Continuity Plans to be invoked.

Diagram 4.3.1 Escalation and Invocation

Any member of staff	Line Manager	Corporate Management
Notification of an incident affecting the service	Report up to a senior executive manager (i.e. a member of the Strategic Direction Team)	Assess the impact and decide whether to invoke the Business Continuity Plan
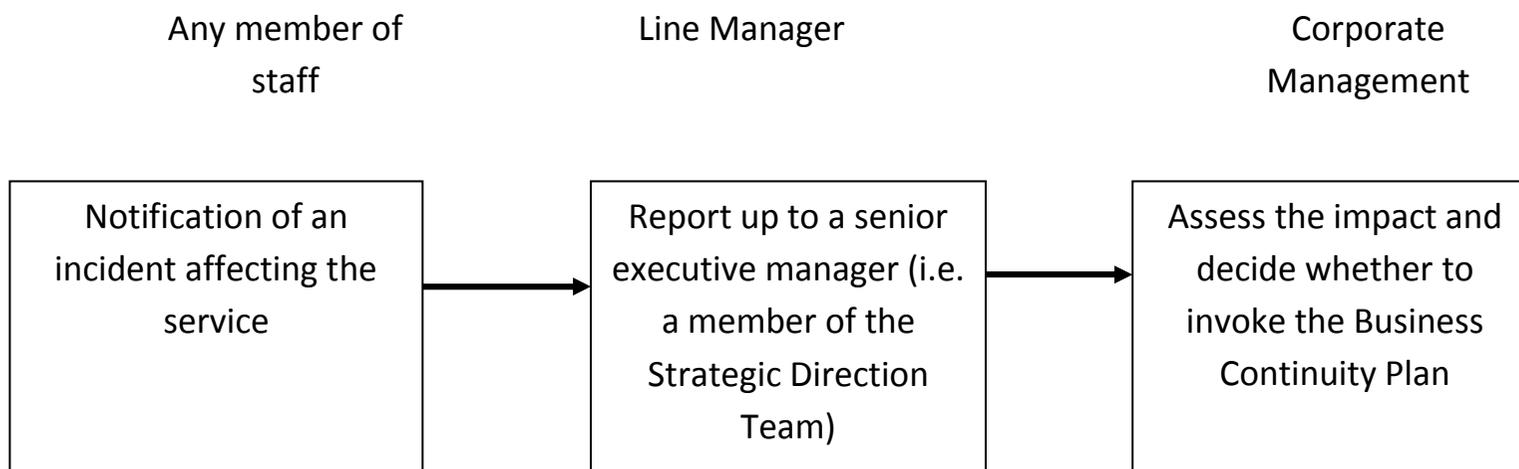
4.4 Invocation – Strategic Direction Team

4.4.1 The First Few Hours (Checklist of Actions)

In the first 24 hours following a major incident there will be a number of actions that will need to be completed. Escalation to the **Strategic Team** may be necessary at any stage.

No.	Action	Completed By
	Decision taken to Invoke Business Continuity Plan	
1a	Decide on location of Control centre. Call up other members of the Strategic Direction Team	
1b	Open an Incident decision log (**Appendix B**)	
2a	Consider publishing message on website/intranet. Consider setting up a hotline for staff to call in on.	
2b	Decide when to review / update staff helpline message	
3a	Determine nature of incident and extent of impact on services (**Appendix A**). This may be completed with the assistance of the Tactical Management Team. (Chapter 2 has the list of threats and the services they may impact)	
3b	Ensure you have identified the priorities, i.e. the critical services affected, or likely to be affected, by the incident (Chapter 2 has the prioritised list of Mission Critical Services)	
3c	Identify the Recovery Time Objectives. Ensure you have identified both the short term priorities (< 24 hours) and the longer term actions (over days or weeks). Chapter 2 contains the RTOs, although these may change depending on the nature of the incident	
3d	Identify which Business Continuity Plan has to be invoked (these are listed in Chapter 3 and set out in Chapter 5)	
3e	Identify who should lead the Tactical Management Team, contact him/her and brief them on the situation. Agree a time	

No.	Action	Completed By
	for the next situation report.	
3f	Identify not only the priorities for recovering mission critical services, but also consider the unaffected mission critical services which may need protecting/sustaining while effort is focused on recovery.	
3g	Consider naming an extra individual responsible for liaison, e.g. with other teams involved or those managing an incident at another site	

No.	Action	Completed By
4a	Ensure costs are recorded. Gain authorisation from Finance Dept for emergency expenditure – Log Expenditure Decisions	
4b	Consider a communication to key stakeholders (including Members) and any relevant regulatory bodies	
5	Liaise with IT/Customer Call Centre/Switchboard and departmental/service IT Officer	
6	Consider temporarily diverting incoming calls to Customer Call Centre or another emergency call centre. Consider providing a pre-recorded message giving alternative telephone number	
7	Agree monitoring process for plan and frequency of reports and Strategic Direction Team meetings	
8	On conclusion of incident, stand down Tactical Management Team and instigate "Lessons Learned Review"	

4.4.2 ...and thereafter (Checklist of Actions)

4.5 Tactical Team – Generic Actions

Note – the detailed actions for service recovery pertinent to the incident are set out in the relevant Business Continuity Plan.

No	Action	Completed By
1a	On receipt of the message from the Strategic Direction Team invoking a Business Continuity Plan, decide on a venue for the Command Centre and call up members of the Incident Management Team.	
1b	Open an incident log (see Appendix B)	
2a	Ensure you have a clear situation report from the Strategic Direction Team. Hold team briefing on incident	
2b	Read through relevant Recovery Strategy and Business Continuity Plan. Identify items for action that fall within remit and authority	
2c	Agree plan with timescales, milestones and responsible person for each action. Log decisions taken.	
2d	Identify issues for escalation to Strategic Team (e.g. financial requirements and communication with media etc)	
2e	Issue instructions to managers and staff at the appropriate operational level to ensure that actions identified are implemented	
3	Agree reporting channels, frequency of meetings and additional team members required and agencies involved.	
4	Agree time to meet with strategic team	
5	Review plan after strategic team meeting	

Appendix A – Incident Assessment Form

This table is to be used by the Strategic Direction team (maybe with input from the Tactical management Team) for completing an initial assessment of which mission critical services have been impacted and the likely duration of the impact.

Priority Order	Mission Critical Activity / Service	Key service element	RTO	IMPACT (in next 2 hrs to 2 weeks)
1	Contact Centre		24 hours	
2	IT		24 hours	
3	Emergency Planning		24 hours	
4	Homelessness		24 hours	
5	Environmental Health		24 hours	
6	Building Control		24 hours	
7	Finance (including revenues)		2 – 3 days	
8	Bereavement Services		2 – 3 days	
9	Street Cleansing		2 – 3 days	
10	PR / Communications		2 – 3 days	

11	**Waste Collection**		**1 – 2 weeks**	
12	**Housing Benefits**		**1 – 2 weeks**	

Note : Columns 2,3 and 4 should be populated from the Business Impact Assessment in advance of an incident.

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Appendix B – Decision Log

Entry No.	Date	Time	Information / Message	Options	Action / Decision Taken	Rationale for Decision	Initials

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Appendix C – Key Documents and Files

Corporate BCP is uploaded onto Pandora with copies held electronically by Paul Taylor and David Harrison.

Key Service BCP's are uploaded onto Pandora Team site with hard copies retained by Service Managers in the battle boxes.

33
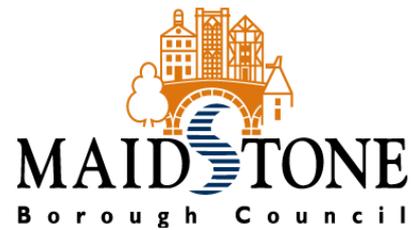
Maidstone Borough Council

BUSINESS CONTINUITY MANAGEMENT
STRATEGY & GUIDELINES

Reference: BS 25999-1: 2006 4.1-4.4

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BACKGROUND

The BCM Strategy and Guidance documents set the framework for the Council's BCM Programme. It is vital to have top management buy-in to the implementation of the BCM programme and to make a public statement of intent, endorsed by the Chief Executive.

The main elements and purpose of the BCM Strategy & Policy are to;

1. Appoint an executive with overall responsibility and accountability for BCM
2. Gain buy-in to and get a strategic statement of support for BCM
3. Identify other key roles & responsibilities
4. Gain assurance that the BCM programme is aligned with the organisational strategic objectives

The key outcomes
- Gain strategic, top level management support for the whole BCM programme; signed off by the Chief Executive
- Set the framework for compliance with best practice guidelines, produced by the British Standards Institute (BS 25999)

This document is structured as follows

Section 1: Business Continuity Management Strategy & Guidance
Appendix A: Business Continuity Management Policy Statement

Section 1: BUSINESS CONTINUITY MANAGEMENT STRATEGY AND GUIDANCE

Introduction

1.   This Business Continuity Strategy provides the framework within which Maidstone BC can comply with best practice guidelines, produced by the British Standards Institute (BS 25999), 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 in the event of any disruption.

2.   The strategy requires Senior Managers to demonstrate that they have considered the need for business continuity planning to cover each functional process within their area of responsibility. The focal point for the production, coordination, validation and review of the Organisation's business continuity activity strategy will be the Assistant Director of Customer Services.

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

4.   The basic principles[1] of the Business Continuity Management Strategy have already been accepted by Central Management Team.

Scope

5.   This strategy applies to all parts of the Council. All areas play a key role in maintaining service delivery. The requirement to plan applies to activities identified as critical through the organisation's business continuity methodology and agreed by the Executive and Management Team. This 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.

Definition of Business Continuity Management (BCM)

6.   Business Continuity Management (BCM) can be defined as:

'A holistic management process that identifies potential threats to an organization and the impacts to business operations that those threats, if realized, 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.'
BS 25999 Business continuity management – Part 1: Code of Practice
British Standards Institute

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[1] BS25999 Part 1: Code of Practice

It 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.

**Benefits of Business Continuity Management**

7.   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 how the Council works (business process analysis).

b.   Protects the organisation, ensuring that it can help others in an emergency (facilitated by the BCP).

c.   Protects the reputation of the Council(facilitated by the BCP).

d.   Produces clear cost benefits (business impact analysis).

e.   Facilitates legislative compliance and good corporate governance (implementation of BCP and subsequent management).

Delivering the Strategy – Methodology

8. 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 British Standards Institute, see below.

This

Figure 1   The business continuity management lifecycle
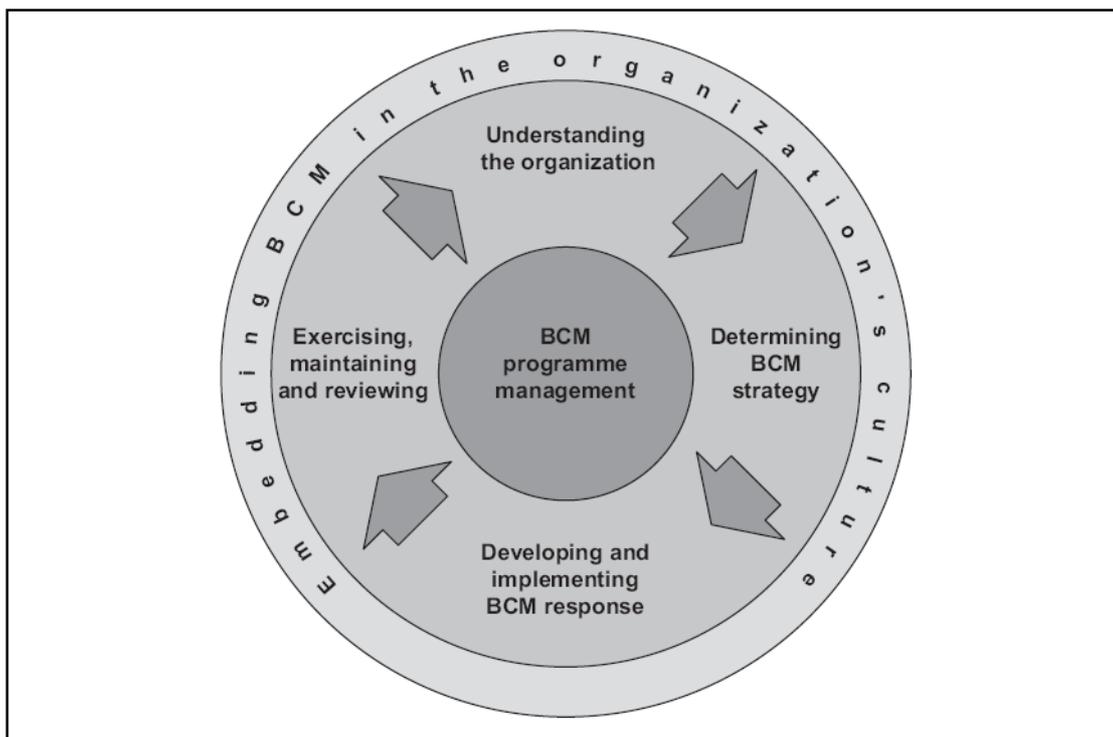
process involves the following activities:

a. BCM programme management

- Assigning responsibilities for implementing and maintaining the BCM programme within the organisation
- Implementing business continuity in the Council– including the design, build and implementation of the programme
- The ongoing management of business continuity – including regular review and updates of business continuity arrangements and plans.

b. Understanding the Council

The use of business impact and risk assessments to identify critical deliverables, evaluate priorities and assess risks to service delivery.
- 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 of disruptions on the organisation.
- 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.

c. Determining BCM strategy

The identification of alternative strategies to mitigate loss, and the assessment of the potential effectiveness in maintaining the organisation's ability to deliver critical service functions.
The Council's approach to determining BCM strategies involves:
- Implementing appropriate measures to reduce the likelihood of incidents occurring and/or reduce the effects of those incidents
- Taking account of mitigation measures in place
- Providing continuity for critical services during/following an incident
- Taking account of services that have not been identified as critical

d. Developing and implementing a BCM Response

Developing individual service responses to business continuity challenges and an overarching Business Continuity Plan to underpin this. This Business Continuity Plan ensures that actions are considered for:
- The immediate response to the incident
- Interim solutions or maintaining an emergency level of service, leading on to reinstating full services

e. Exercising, maintaining and reviewing

Ensuring that the Business Continuity Plan is fit for purpose, kept up to date and quality assured. An exercise programme will enable the Council to:

- Demonstrate the extent to which strategies and plans are complete, current and accurate and
- Identify opportunities for involvement

f. Embedding BCM in the Council's culture

The embedding of a continuity culture by raising awareness throughout the Council and offering training and support to key staff on BCM issues, including:
- Incorporating BCM in the staff induction process
- Items in staff newspapers – Wakey Wakey
- E-mail bulletins
- Intranet pages - http://pandora/sites/BCM/default.aspx

Incident
Chaos phase

time line

Response

Initial Response
Emergency procedures manual

Business Continuity Team (BCT)
Medium & Long-term Continuity and Recovery
planning/implementation
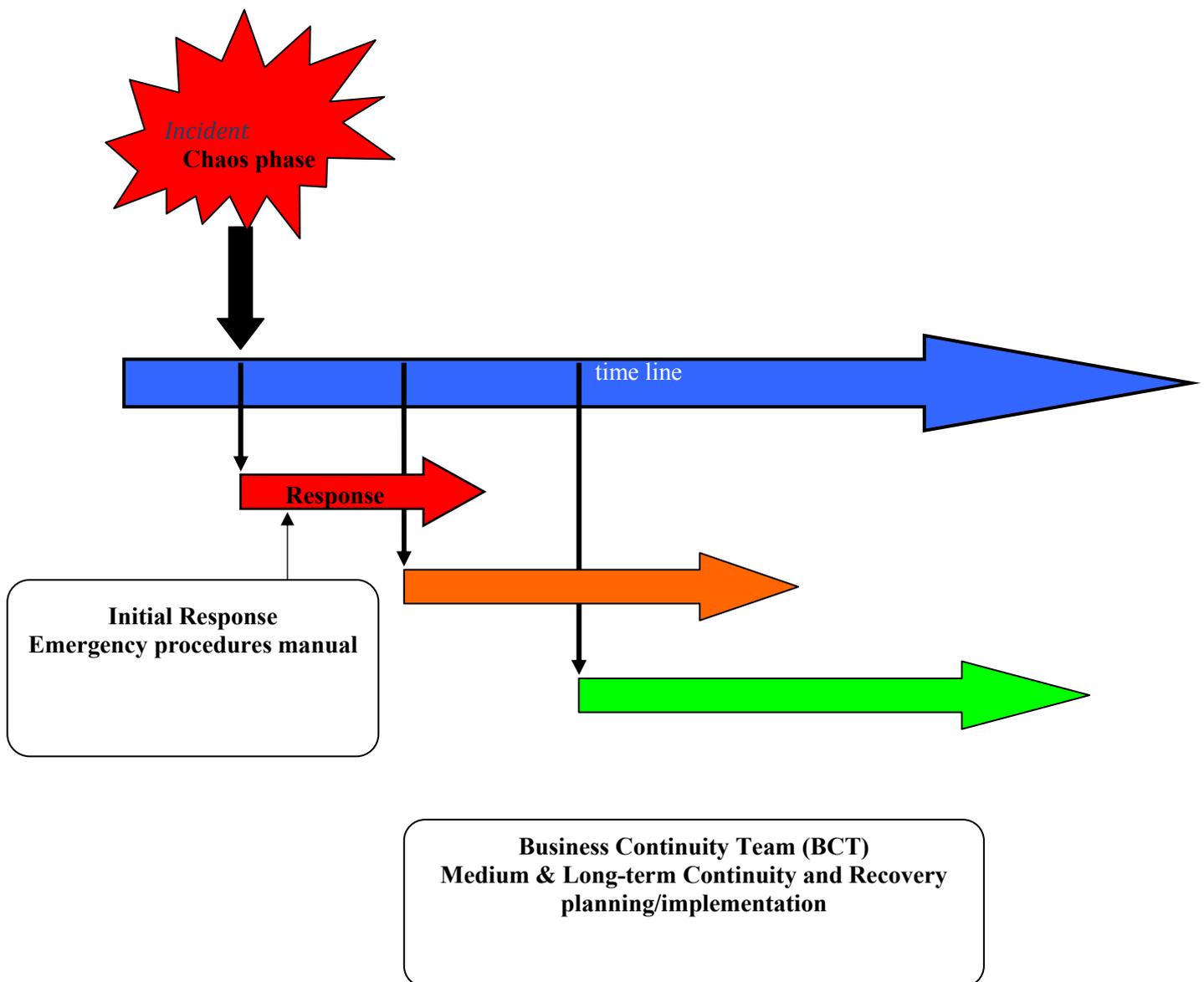
9. BCP Actions 2008 - 2010 Programme Timetable

Date	Meeting / Workshop/Training/Exercise	Action	Attendees / Responsibility for action	Outcomes / next steps
April 08	Training	Arrange formal training for staff responsible for preparing service BCPs	P H Taylor	Completed July 08
July 08	Workshop	Arrange meeting to start process of services renewing their individual BCPs in new offices.	P H Taylor	Actioned July 08
November 08	Meeting	Submission of BCPs of key services for the new offices	P H Taylor D Harrison	Desk top simulation to test plans
December 08	Desk top simulations	Arrange practical test of new plans.	P H Taylor D Harrison	Revised BCPs.
May 09	Review Plans	Priority services review BCP plans, particularly in light of Pandemic implications	All Managers of priority services	Consider all plans to use the corporate template
June 09	Review Plans	Remaining services review BCP plans, particularly in light of	All managers	Consider all plans to use the corporate template

		Pandemic implications		

October 09	Review Corporate BCP	Split current plan into:
		  1) Action Plan
		  2) Strategy & guidelines
		  3) BCP plan template
			BCP work group	Take revised documents to COMT

January 10	Phased plan testing	Real-time testing of BCP plans	BCP work group	Report back to COMT with results of test.

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Roles and Responsibilities

10.   Responsibility for the business continuity management within the Council rests as follows:

    a.   The Council is responsible for maintaining plans to ensure that it can continue to perform its critical functions in the event of an emergency so far as reasonably practicable.

    b.   Responsibility for the effective delivery of services remains with the respective managers who appoint a staff member to carry out regular and systematic reviews of their respective Business Continuity Plans. Such reviews are to be carried out annually.

    c.   The Assistant Director of Customer Services is the lead for business continuity within the Council and is responsible for:

        (1)   Review and development of the Council's Business Continuity Policy in line with industry best practice and the Council's priorities.

        (2)   Monitoring standards and compliance with policy.

        (3)   Provision of support and guidance to senior managers.

        (4)   Production of the Council's overarching BCP using analysis and assessment work completed within individual service level Business Continuity Plans.

APPENDIX A: 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 Business Continuity Plan is based on BS 25999 Business continuity management – Part 1:

    a) Code of Practice

    b) Recognised standards of corporate governance.

3   Each service delivery process within the Council is owned by a respective manager who will ensure that their part of the overall BCP meets a minimum acceptable standard of service delivery for critical processes.

4   Each senior manager will contribute to an annual review of the BCP with the assistance of the Assistant Director of Customer Services.

5   Contracts for goods and/or services deemed critical to business continuity will 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.

6   Managers must ensure that staff are made aware of the plans that affect their service delivery areas and their role following invocation.

7   The Council will implement a programme of BCP testing exercises including crisis management and workspace recovery tests.

Signed _____

      David Petford
      Chief Executive

Business Continuity Arrangements 2009 – 10: Appendix 3

BUSINESS CONTINUITY PLAN for XXXXX service
(To be completed in conjunction with the Council's Business Continuity Guide)

The xxxx section has x critical functions, which must be maintained:

1. Priority 1
2. Priority 2
3. Etc

> Identify your key services or functions which must be maintained during any business continuity incident

Plan details	
Section	
Department	
Plan Owner	
Plan Manager	
Plan Writer	
Version No.	
Date Written	

Plan review details		
Review Period	6 Monthly	☐
	Annually	☐
Date of next review		

Review details	
Date to BCF	
Date reviewed by BCF	

All staff undertaking activities identified must be informed of this Business Continuity Plan. The document signatory is also responsible for exercising this plan to confirm that it is still fit for purpose. The Business Continuity Forum (BCF) shall be informed of these exercises and any changes to the current plan in order to maintain a log to comply with the Civil Contingencies Act 2004.

The Business Continuity Forum reserves the right to exercise the plan without warning.

Signature Plan Owner	

Date

Contents

Section 1 - Introduction

Department role
Please provide a brief description of what the department does:

Staff resources day to day	
Managers	
Officers	
Admin	
Etc	

Department core hours		
24hour	Mon-Fri 0830-1700/1630	Other
If other, please give details		

Section 2 - Invocation

Invocation of plan
The plan will be implemented in accordance with the Council's overarching Business Continuity Strategy and Guidance. The level of invocation will be determined by assessing the potential impact of the incident using the criteria defined in the Risk Assessment as described in the following diagram.

Any member of staff		Line Manager		Corporate Management Team
Notification of an incident affecting the service	→	Report up to a Head of Service	→	Assess the impact and decide whether to invoke the Business Continuity Plan

Who is responsible for invoking the plan, and who should be consulted?

Where the expected impact of the disruption is likely to fall into category 1 or 2 (see below) invocation of the plan and management of the incident will be the responsibility of the ************ or in his/her absence ***********.

If no Service Manager is available the ******* will be informed.

If the expected impact is likely to fall into category 3 they will inform the ********* officer who will be responsible for the invocation of the plan and management of the incident.
.
If the expected impact is likely to fall into category 4 or 5, ******* will be informed and a silver command set up.

What procedure is required to invoke the plan?

Once the plan is invoked the staff that work in the area affected will be contacted, if not already aware, and asked to either remain on standby, and be contactable by mobile phone or other means, or to report to an identified place.

The managers of the department will have the current contact details of the staff with them as point of reference in case of IT failure.

The manager of the department should also ensure that, where appropriate, any key stakeholders, as listed in section 3, are informed of the incident in order to minimise any impact on them.

** ONCE THIS PLAN IS INVOKED THE MANAGER / DEPUTY MUST ENSURE THAT A LOG IS KEPT OF ANY DECISIONS MADE OR ACTIONS TAKEN. **

** AN EXAMPLE LOG IS GIVEN IN APPENDIX 2. **

Risk Assessment

Category	Potential or real impact assessment
Insignificant (1)	• No impact on the performance of any department • Minor internal disruption to the department • No specialist personnel issues • Activity recovered within 30 days
Useful (2)	• No impact on the organisation's service delivery • Minor impact on the performance of the department • Minor specialist personnel issues, but easily resolved • Activity to be recovered within 14 days • Potential for complaints from customers
Significant (3)	• Potential limited impact on the Council's service delivery • Internal performance disruption on one or more departments; department may require assistance from one another • Activity must be fully recovered within 2-3 days • Potential financial loss in excess of £50,000 • Potential for adverse local publicity in an ongoing nature or effecting local opinion • Potential for significant injuries or ill health
Essential (4)	• Significant impact on the Council's service delivery in one or more areas • Significant impact on the performance of several departments • Full recovery must occur within 12 hours • Potential loss in up to £2 million • Potential for adverse national publicity or local publicity on a persistence nature affecting the local community • Potential for fatality of one or more or serious injury to several people • Potential for major claims which would be outside the insurance cover
Critical (5)	• Major impact on the Council's service delivery in one or more areas • Inability to effectively integrate with other key stakeholders • Inability to meet statutory responsibilities or critical service level demands • Major specialist personnel issues – no resources/no resilience • Recovery must occur within 1 hour • Potential loss in excess of £2 million • Potential for adverse national publicity or local publicity on a persistence nature affecting the local community • Potential for fatality of one or more or serious injury to several people • Potential for major claims which would be outside the insurance cover

Location Codes

1	Maidstone House Floor 1
2	Maidstone House Floor 4
3	Maidstone House Floor 5
4	Maidstone House Floor 6
5	Maidstone Gateway
6	Depot
7	Hazlitt Theatre
8	Museum
9	Town Hall
10	Crematorium
11	

Section 3 – Activity Summary

Activity No	Risk Category [1]	Activity [2]	SPOF [3]	RTO [4]	Does the activity depend on, or influence the activities of other departments within the Council or external agencies? If YES, list the departments [5]	Contingency Arrangements [6] (To cover people, facilities, systems, suppliers, or any other arrangements)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

[1] all activities should be risk assessed using the criteria in Section 2

[2] list activities with the most critical first in descending order

[3] are any of the activities regarded as a Single Point of Failure (SPOF)

[4] Recovery Time Objectives (RTO) should indicate the priority/timescale to restore a process to minimum service levels (for category 3, 4 or 5 activities only – the remainder can be left blank).

[5] the Risk Assessment should take into consideration the effect on any interlinked departments or outside agencies/partners

[6] contingency arrangements should include any actions that can be implemented locally - i.e. relocation to other premises, transfer of work to other department, manual workarounds - whether agreed or identified as the potential for good practice.

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Section 4 - Resources Required For Each Activity With Risk Category 3, 4 or 5

4.1 People

Activity No	SPOF[1]	Minimum number of staff required to start/maintain activity	Specialist skills/training required by staff		Can staff from outside the department support this activity and if yes, where from which Dept/Organisation
		Number of staff	What skills/training ?	Y/N	Dept/Organisation
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

[1] are any of these people regarded as a Single Points of Failure (SPOF)

4.2 Equipment

Activity No	SPOF[1]	Location Code (s)[2]	Standard Equipment[3]	Specialist Equipment[4]	IT Software[5]	Vehicles required[6]
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

[1] is any of this equipment regarded as a Single Points of Failure (SPOF)
[2] location codes are listed in Section 2
[3] identify number of workstations, phones, faxes, desktop or laptop computers, printers and any other standard IT hardware required
[4] identify any specialist equipment required i.e. scanner, A3 printer etc
[5] identify any software required over and above Council Office systems (Microsoft Word and Excel, e-mail, Y drive, Intranet)
[6] identify any specialist vehicle required

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4.3 Activity Documentation

Activity No	SPOF[1]	Essential Documents/Records[2]	Where are these stored?[3]	How are they accessed?
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

[1] is any of this documentation regarded as a Single Points of Failure (SPOF)
[2] technical manuals, emergency plans etc
[3] identify locations of physical documentation/records and locations on Council IT systems

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4.4 Supplier Details

Activity No	SPOF[1]	Supplier	Services Provided	Essential Supplier Documents/Records[2]	Where are these stored?[3]

[1] are any of these suppliers regarded as Single Points of Failure (SPOF)

[2] technical manuals, emergency plans, maintenance contracts etc

[3] identify locations of physical documentation/records and locations on Council IT systems

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Section 5 - Further Actions

Have any Single Points of Failure (SPOF) been identified?				
Activity No	What is the nature of the SPOF?	Logged on Departmental Risk Register?	Logged on Council Risk Register?	Date to be reviewed?

Exercises		
List any exercising of the plan with appropriate debrief information		
Date	Exercise Description	Debrief Information

Any other information that will assist in the implementation of this plan

Actions arising as a result of any of the above			
Activity No	Action	Owner	Timescale

Section 6 – Recovery Plan for all activities identified -

Identify and develop a plan for dealing with any additional work that may be required once the cause of the invocation of the plan has been rectified in order to minimise any adverse effect on the restoration of day-to-day operations.

Areas for consideration might include: -
- Inputting paper based information created as a result of the loss of I.T.
- Testing of systems to ensure that they are functioning normally
- Verifying information held on systems to identify any lost or corrupted data.
- Correction of any errors discovered
- Prioritised clearance of any backlogs of work that was suspended during the incident
- Notification of dependent departments, external agencies, suppliers etc.

Appendix 1 - Key Contacts

Single Point of Contact
These details are required in case of Council-wide IT failure and must be staffed during the normal working hours of the department.

Extension No. or full mobile phone number	Fax No.	Other

Key Departmental Contacts

Name	Title	Telephone No. / Extension	Mobile	Home	Radio

Other Key Contacts
This should include any stakeholders, dependent departments or suppliers identified in Section 3.

Name	Stakeholder / Supplier	Telephone No.	Mobile	Home	Other

Appendix 2 – Incident Log

Department:			Date:	
Item No	**Time**	**Details of Issue**	**Action Taken / Decision Made**	**Signature**

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Appendix 3 – Incident Checklist

Contingency Planning Generic Instructions – immediately following an incident (if evacuation is needed):

Please tick the following:
- Evacuate;
- Is everyone accounted for? (employees, contractors and visitors)
- Possibly co-ordinate this with HR or Heads of Service;
- Staff list and their contact details;
- Inform Emergency Services;
- Listen to radio or TV for advice;
- Contact emergency services for advice;
- Contact utility companies if needed;
- Has everyone who is responsible for the business continuity plan been informed?
- Inform Management Team of the incident;
- Tell non critical staff to go/stay home;
- Tell critical staff to get on with their business continuity responsibilities;
- Consider establishing Staff Information hotline;
- Check that all essentials stated in BCP are accessible;
- Begin media/ public relations process.

Contingency Planning Generic Instructions – immediately following an incident (if evacuation is not needed):

Please tick the following:
- Is everyone accounted for? (employees, contractors and visitors);
- Possibly co-ordinate this with HR or Heads of Service;
- Inform your staff of incident;
- Staff list and their contact details;
- Inform the staff of how it is being dealt with;
- Inform staff whether they can/ cannot leave the building;
- Listen to radio or TV for advice;
- Contact emergency services for advice;
- Contact utility companies if needed;
- Has everyone who is responsible for the business continuity plan been informed?
- Inform Management Team of the incident (if relevant) or those not on company premises;
- Tell non critical staff to go/ stay home (if relevant);
- Tell critical staff to get on with their business continuity responsibilities;
- Consider establishing staff information hotline;
- Begin media/ public relations process.