Maidstone Borough Council

Corporate Business Continuity Plan

Incident timeline
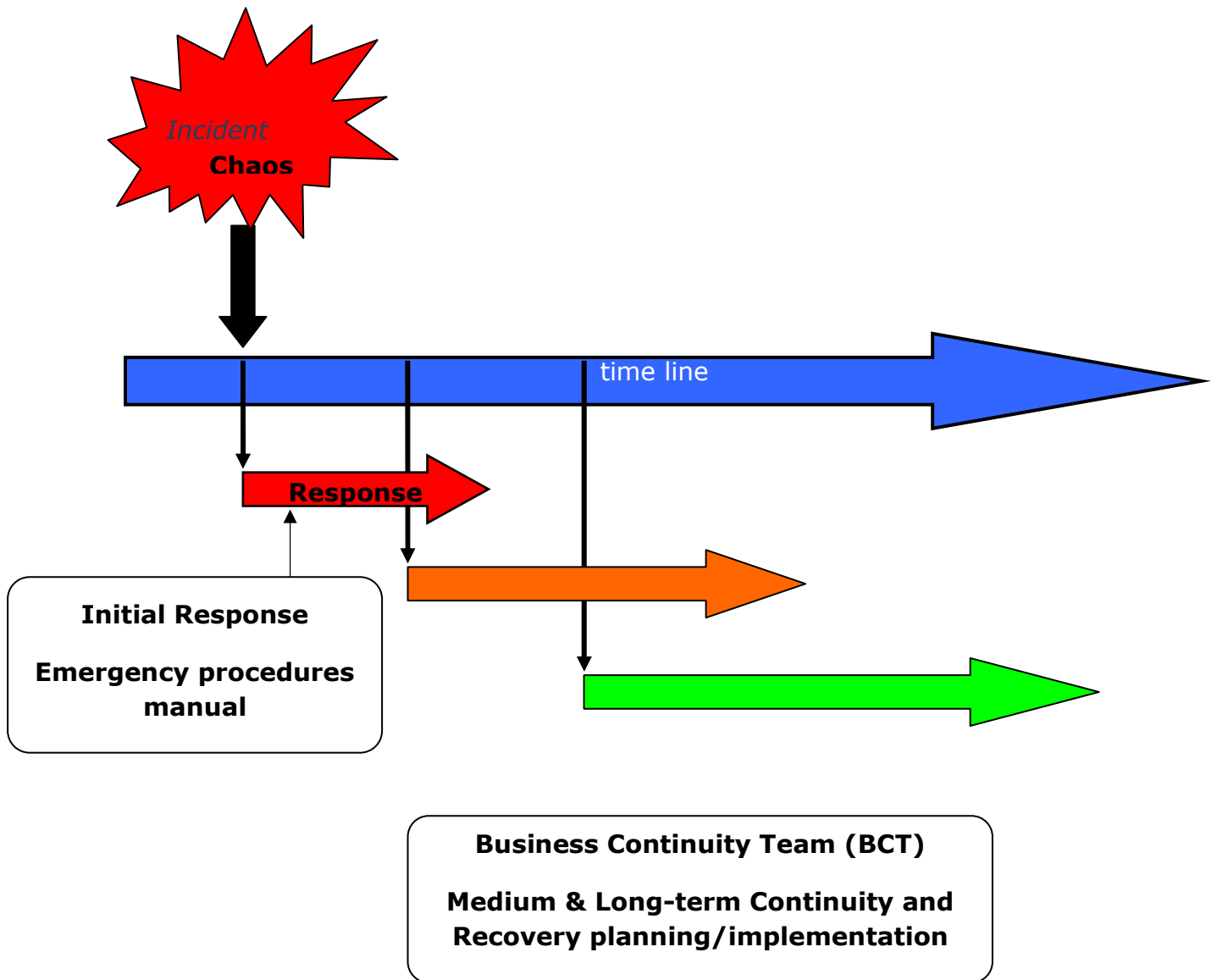
Incident
Chaos

time line

Response

Initial Response

Emergency procedures manual

Business Continuity Team (BCT)

Medium & Long-term Continuity and Recovery planning/implementation

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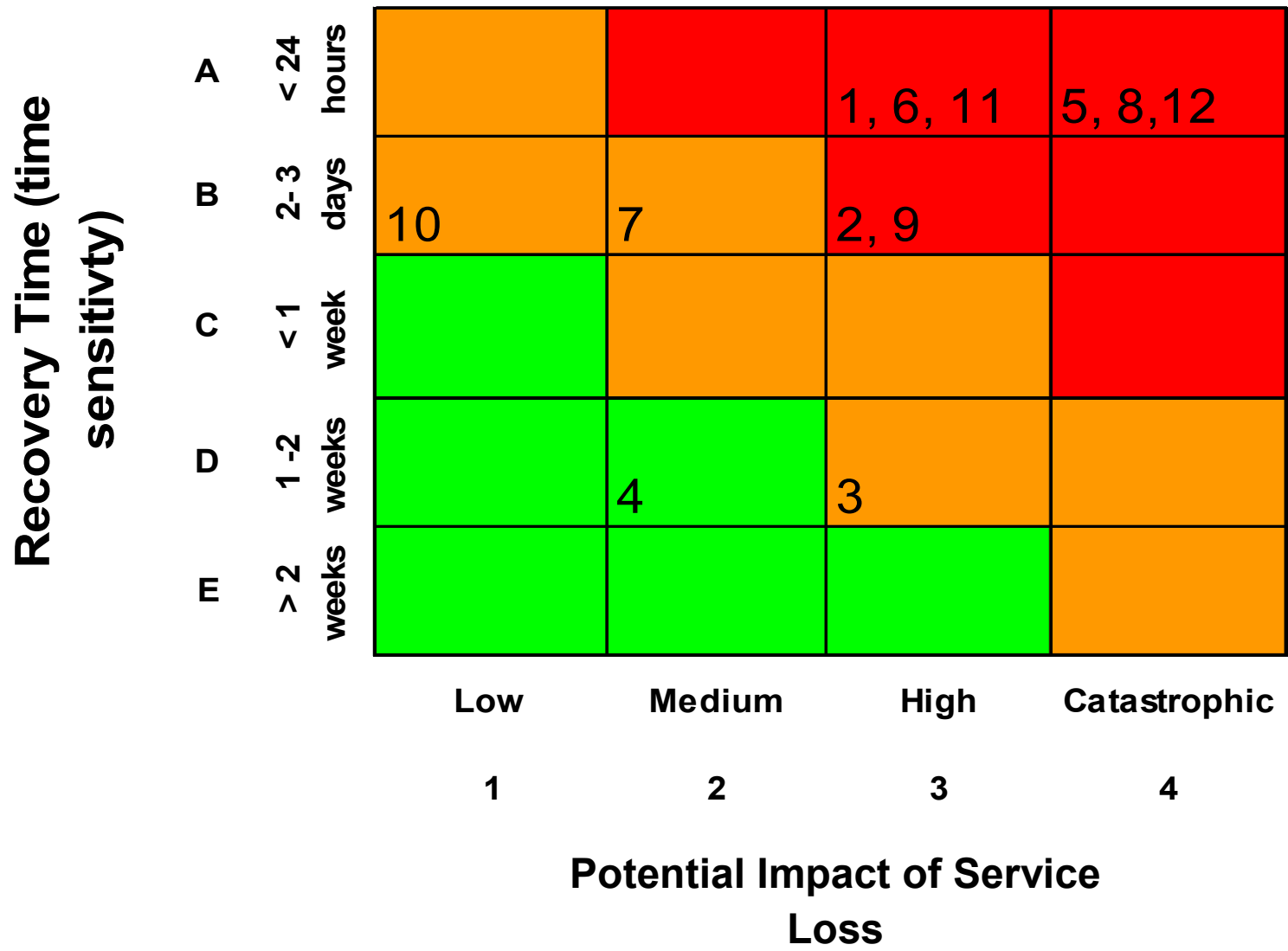
The matrix on **page 5** was used to prioritise mission critical services. The numbers in the matrix represent the services listed in section 2.

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.
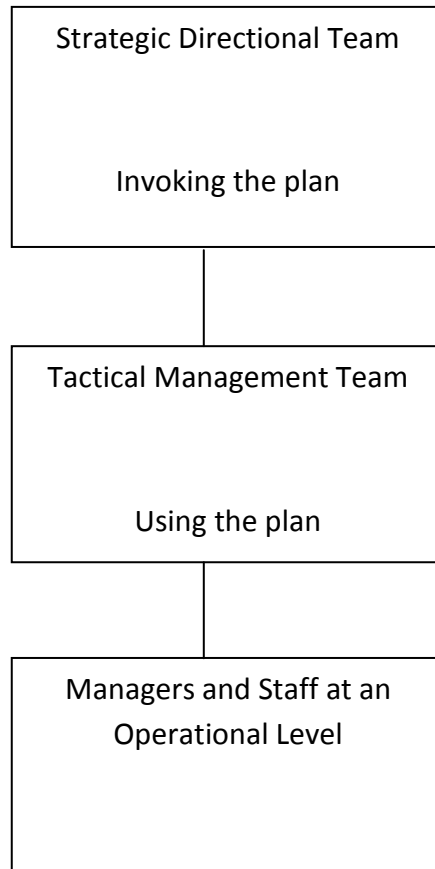
Model applying to:

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

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)		

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[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.
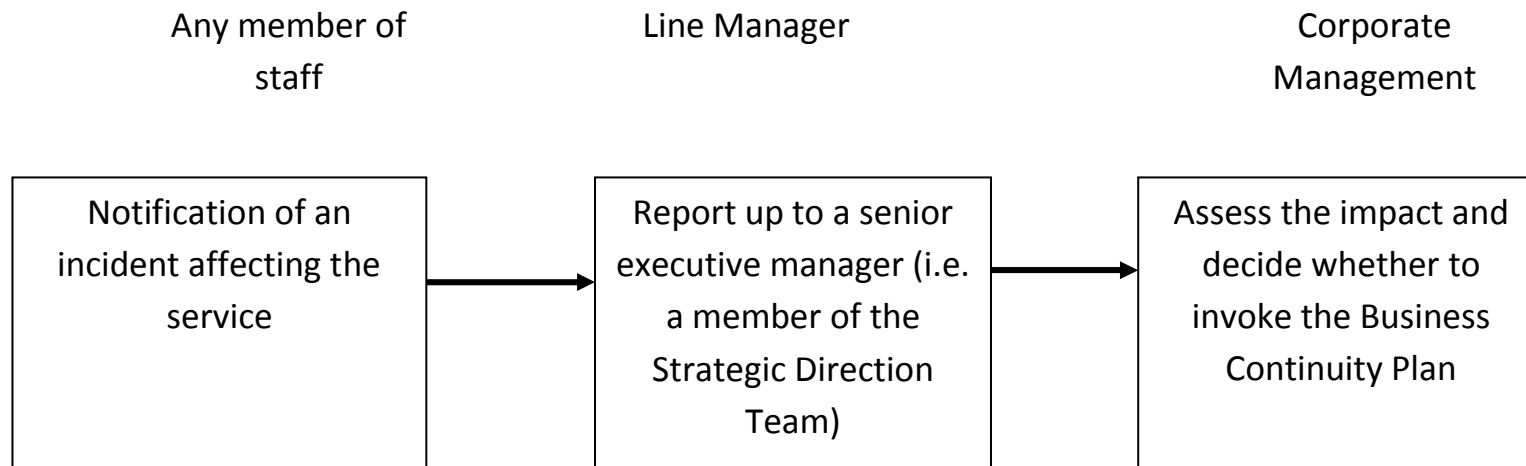
4.3.2   Escalation

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.

Appendix B – Decision Log

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

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.