Bath & North East Somerset Council

Business Continuity

Strategy for Bath & North East Somerset Council

Approval Date: 2011

Main Content

Appendices

If you require any clarification on any aspect of the Business Continuity Strategy or require this document in a different format, please contact:

Richard Look, Business Continuity & Emergency Planning Manager
01225 47 7614
richard_look@bathnes.gov.uk

1 <u>Foreword</u>

Under the Civil Contingencies Act 2004, critical Council functions must have robust business continuity plans in place.

In the event of a disruption, whether it is something solely affecting the organisation (e.g. IT system failure) or the wider geographical area (e.g. major terrorist attack), the Council must be able to continue its critical service provision.

This Strategy sets out the Council's current position regarding business continuity management and its vision, along with how the latter is to be achieved. It is a working document, subject to regular review as the organisation develops and adapts to a constantly changing environment.

This document aims to improve the integration of business continuity management into the culture and working practices of the organisation.

The Strategy explains the approach to business continuity management and outlines the framework by which the organisation can manage business continuity in a robust, systematic and documented way.

Effective business continuity management brings the ability to continue critical service provision despite major disruptions. Failure to provide critical services, particularly those involving vulnerable persons, could have catastrophic consequences, impacting the Council's reputation and/or financial stability.

By effectively planning for business continuity, the Council can mitigate risks and increase public confidence in the organisation.

2   Introduction

The Civil Contingencies Act places a statutory responsibility on the Council to produce and maintain Business Continuity Plans. These are a set of contingency arrangements for making sure that we can continue to deliver our critical functions in the event of an emergency and/or significant disruption.

The Strategy sets out the overall vision for business continuity within Bath & North East Somerset Council and will help support and underpin the delivery of the Local Strategic Partnership Sustainable Community Strategy and the Council's improvement priorities:

Bath & North East Somerset Council Improvement Priorities

▪ Improving Transport and the Public Realm	▪ Building Communities Where People Feel Safe and Secure
▪ Tackling the causes and effects of Climate Change	▪ Improving the availability of affordable housing
▪ Promoting the independence of older people	▪ Improving the life chances of disadvantaged children & young people
▪ Improving School Buildings	▪ Sustainable Growth

A critical element of our planning will require joint working with our key partners, including Bath and North East Somerset Primary Care Trust (Commissioner and Provider functions) the Emergency Services and Utility companies.

This is therefore a high level document and detailed plans for individual services are retained by them. (See APPENDIX_B for overview of services)

It is recognised that risks to continuity of service delivery have and are being managed on a daily basis, either through formal risk management processes already in place or sometimes through an intuitive and instinctive basis.

Unfortunately the later approach often fails to identify all of the risks and does not provide a systematic process to monitor and manage potential exposure. A more formal Business Continuity framework to methodically address the risks (threats and opportunities) attached to our activities must be adopted with the aim of securing and maximising planned outcomes.

A clear overarching principle of this strategy is to develop our business continuity management processes and procedures alongside existing corporate arrangements. This has the clear advantage of achieving and demonstrating an embedded risk management process, but also reduces the

need for additional reporting. Our aim therefore is to integrate - as far as possible - the processes and reporting mechanisms of the three key building blocks of Corporate Governance, Performance, Risk and Financial Management.

Benefits:

Integration of business continuity management into 'business as usual' has numerous business benefits, which include:

▪ Protecting and adding value by supporting the achievement of the Sustainable Community Strategy.	▪ Safeguarding of tangible and intangible assets;
▪ Improved strategic, operational and financial management;	▪ Customers continue to receive vital services;
▪ Significant financial losses are prevented;	▪ We maintain our reputation and the confidence of our stakeholders to deliver services;
▪ We enhance our community leadership role, especially with our key partners;	▪ A clearer understanding of the Council's critical business processes is developed;
▪ Resources are effectively managed by focussing effort on business critical areas;	▪ Key performance and customer service standards are maintained;
▪ Overall risk and governance arrangements are enhanced	▪ Key partner and supplier relationships are maintained

The strategy will be reviewed on an annual basis to ensure it is kept up to date and in line with emerging priorities.

3. <u>Definitions</u>

Business Continuity Management (BCM) –

This is the strategic framework for managing and improving Bath and North East Somerset's resilience to any interruption in the way it conducts its business. Its purpose is to facilitate the recovery of key business systems and processes within agreed time frames, whilst maintaining its critical functions and delivery of its vital services.

Emergency Management (EM) –

This is the process of managing major emergencies, including the maintenance of procedures to assess, prevent, prepare for, respond to and recover from emergencies. An emergency is defined as an event or situation that threatens serious damage to human welfare or to the environment, or war or terrorism which threatens serious damage to the security of the UK. To constitute an emergency this event or situation must require the implementation of special arrangements by one or more agencies, i.e. Police/Fire/Health etc

Emergency Management relates to activity that is conducted for the benefit of the public or society; whilst Business Continuity relates to activity that is conducted for the benefit of a single organisation, i.e. B&NES.

Disaster Recovery (DR) –

This is not just about computer system availability. While this was the original concept, today, the definition has been broadened to:

"The ability to respond to an interruption in services by implementing a disaster recovery plan to restore critical business functions."

Disaster recovery is the technological aspect of business continuity planning. This includes the plans and preparations that are necessary to minimise loss and ensure continuity of the critical business functions of an organisation in the event of disaster.

See Appendix D for more details on our disaster recovery arrangements.

4. Business Continuity Management Risks

The community – through the Avon and Somerset Local Resilience Forum - has already prepared its own risk register which informs B&NES planning.

Natural Hazards	Societal Hazards	Health Hazards	Infrastructure Hazards	Security Hazards
NH01 Flooding	SO01 Fire/ Incendiary incident	HH01 Pandemic influenza	IN01 Electricity outage	SH01 Electronic attack
NH02 Gales/storms	SO02 Road incident	HH02 New or emerging infectious disease	IN02 Fuel stoppage	SH02 Fraud
NH03a Low temperature	SO03 Building collapse/ damage	HH03 Zoonotic* animal disease	IN03 Water/sewage stoppage	SH03 Theft
NH03b Heavy snow	SO05 Air attack	HH04 Non-zoonotic* animal disease	IN04 Communications stoppage	SH04 Malicious Actions by (Former) Employee
NH04 Heat wave	SO06 Air accident	HH05 Biological incident or attack	IN05 Dam/canal failure/ inundation	SH05 Malicious Software
NH05 Drought	SO07 Contamination	HH06 Chemical incident or attack	IN06 Gas stoppage	SH06 Human Error
NH06 Land Movement - Earthquake, Landslip & Subsidence	SO08 Malicious Attack – crowded places		IN07 Highways network failure/ bridge collapse	SH07 Physical Security of Employees
NH07 Infestation by foreign fauna and flora	SO09 Malicious Attack on Critical Infrastructure		IN08 Food supply chain failure	SH08 Intellectual Property Theft
	SO10 Rail incident	* Zoonotic means transferable from animals to humans.	IN09 Buildings out of use	SH09 Litigation
	SO11 Radiological Incident		IN10 Strike	SH10 Accidental or Deliberate Release of Confidential Information into the Public Domain
	SO12 Nuclear Incident		IN11 Financial failure	
	SO13 Maritime Incident		IN12 Supply discontinuation	
	SO14 Gas leakage/explosion		IN13 Depletion of fossil fuel supply	
	SO15 Asphyxia		IN14 Scarcity of Raw Materials	
			IN15 Information & Communication Technology Failure (Internal)	

5. Business Continuity Management Framework & Corporate Planning

In response to the risks outlined above in section 4 the Council has prepared a Major Incident Plan which takes into account those situations which would impact on the community in terms of an emergency and also those which would affect services in terms of business continuity.

The Major Incident Plan acts as a framework which lays out the Council's corporate response to large scale emergencies and business continuity disruptions which affect more than one service.

It determines the point at which Corporate business continuity arrangements will need to be invoked, and describes what actions would be required during each 'phase' of an incident, from start to finish.

It defines who will take charge in the event of an incident and determines a clear reporting structure during incidents. It also details specific corporate roles & responsibilities for all services that have a part to play in restoring the organisation to 'business as usual'.

In order to understand how the Major Incident Plan takes account of risks from a business continuity perspective we need to understand the existing framework we are operating from in terms of Business Continuity.

OUR OBLIGATIONS AND STAKEHOLDER EXPECTATIONS

The 3 key drivers which define the expectations placed upon us are:-

   a) Sustainable Communities Strategy (& Corporate Plan)

   b) Civil Contingencies Act 2004

   c) British Standard for Business Continuity Management (BS25999)

CIVIL CONTINGENCIES ACT 2004

Local Authorities are defined in the Act as Category 1 responders alongside key agencies such as Police etc

Category 1 responders have a legal obligation to –

   ➤ Undertake Business Continuity Management
   ➤ Assess the risk of, plan, and exercise for emergencies

- ➢ Inform the public in relation to civil protection matters and what to do in emergencies
- ➢ Provide business continuity advice to local businesses and voluntary organisations
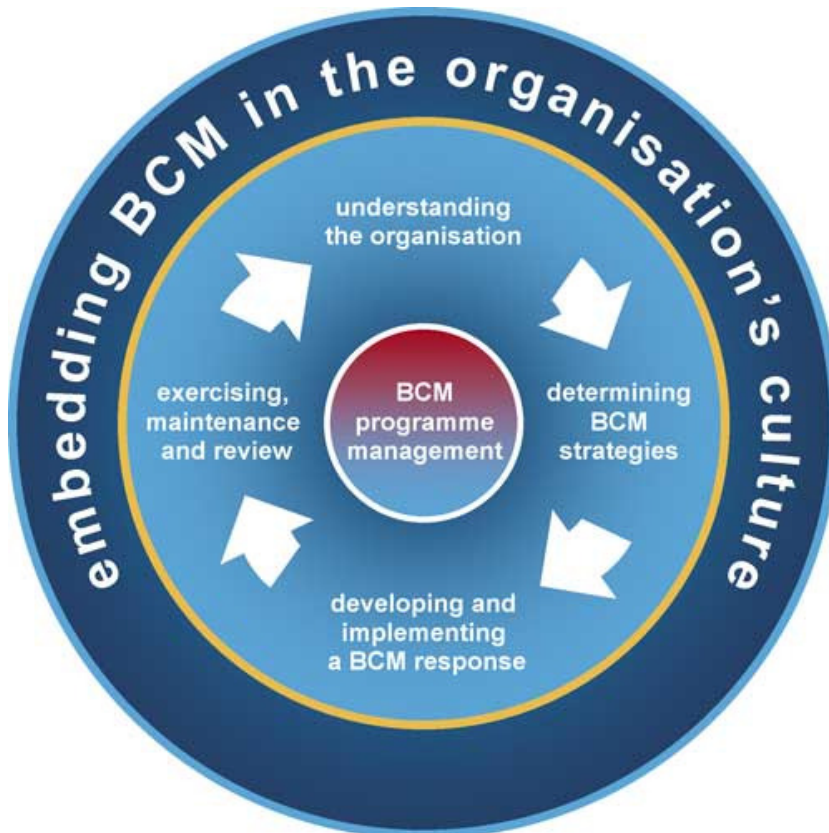- ➢ Increase co-operation and information sharing between agencies

BRITISH STANDARD 25999 – BUSINESS CONTINUITY MANAGEMENT

In summary this provides a generic framework that is applicable across the public, private and voluntary sectors. Its aim is to enable organisations to use this framework to:-

- ➢ Improve resilience against disruptions to business
- ➢ Use proven methods to restore the organisation's ability to provide its critical services to an agreed level
- ➢ Deliver capability to manage disruptions and protect the organisation's reputation

The business continuity management process adopted by the Council follows the British Standard for Business Continuity Management, BS 25999.

This adopts a planned and systematic approach as illustrated below in the 'BCM Life-Cycle', which details the stages of BCM as an ongoing process.

1 Understanding the Organisation Using Business Impact Analysis to determine which functions are most critical and what resources are required to support them.	2 Determining BCM Strategies Determine the organisation's current position with BCM and what further actions are required in order to achieve a more robust approach.
3 Developing & Implementing a BCM Response Development of robust Business Continuity Plans.	4 Exercising, Maintenance & Review Regular tests of Business Continuity Plans to identify gaps and areas for improvement. Regular reviews / audits of Plans to ensure contact lists etc remain current.
5 Embedding BCM into the Organisation's Culture Ensuring a 'continuity culture' by consulting, training and informing key staff on BCM issues.	

Business Impact Analysis – Current Position

In order to understand which of the Council's functions are the most critical, Divisional Directors completed an exercise to prioritise their functions, bearing in mind the impact of service delivery upon human welfare, the Council's reputation and financial status. The resources required to support those functions deemed 'business critical' were also considered.

Critical functions must continue service provision to at least a minimum acceptable level despite a disruption. These functions must be up and running within 24 hours in order to avoid a serious impact upon the welfare of vulnerable persons, and/or upon the reputation / finances of the Council.

Desirable functions can be suspended for a short period but should be back up and running within 2 – 5 days of a disruption occurring, in order to avoid negative impact upon the Council's reputation / finances.

Non-essential functions can be suspended for a slightly longer period if necessary and re-introduced 7 days or more after a disruption, without negative impact upon the Council's reputation or finances.

The results of the most recent Business Impact Analysis can be found in Appendix B.

Roles & Responsibilities – Current Position

The table below summarise the key roles and responsibilities relating to business continuity management.

Group or Individual	Role
Leadership Group (Cabinet, SDG & DDG)	Understand and promote business continuity management and its benefits, oversee the implementation of the business continuity strategy and agree any resources required to support corporate business continuity planning.
Elected Members	Where an incident is of a significant scale or one that is likely to be protracted, it may be necessary to form an Elected Members Emergency Committee (EMEC). This would be formed following agreement from the Chief Executive and Leader of the Council. The role of the committee would be to provide the political support for – a) The Councils emergency planning efforts; and in particular b) The actions of an operational crisis management team Full details of the role of the Committee are at Appendix E
Strategic Directors	Ensure that business continuity is promoted, managed and implemented effectively in their service areas. Liaise with other services and external partners / suppliers to identify and manage business continuity risks. Disseminate relevant information to service managers and employees.
Divisional Directors	Raise awareness, manage and implement business continuity effectively in their service area. Sharing relevant information with colleagues in other service areas and outside the organisation. Liaise with key staff members and internal/external partners / suppliers to create robust business continuity plans.
Service Managers	Manage business continuity effectively within their daily roles; assist their line manager as appropriate with business continuity planning for their service area. Identify new or changing business continuity risks in their job and inform their line manager.
Risk Management & Internal Audit	Challenge the business continuity management process and provide assurance to officers and members on the effectiveness of controls to mitigate the risks identified.
Business Continuity & Emergency Planning Team	Support the Council and its services in the effective development, implementation and review of business continuity management processes. Identify and communicate business continuity management issues to services, and assist services in business continuity planning through training and direct support where required.

6   Business Continuity Management Vision & Objectives

The purpose of the Business Continuity Management Strategy is set out in its vision which is supported by five strategic risk management objectives.

Appendix A records each objective, the related actions, timescale for delivery, lead officers/bodies and the success criteria for assessing achievement,

VISION	To provide a robust Business Continuity Management Framework that enables the Council to work with its partners in continuing to deliver critical services in the event of disruption

The vision for the Strategy is supported by five **strategic objectives.**

1.	Provision and implementation of a comprehensive Business Continuity Framework for all services and key partners
2	Strengthen the co-ordination of Business Continuity Planning and prioritisation of resources in respect of our critical infrastructure – Property, IT, Staff & Transport
3	Identification and evaluation of key business continuity risks associated with service delivery whether in-house or through key partnerships
4	Provision of guidance, support and training focussed on the resilience of key partners and critical services
5	Partnership working with all agencies to improve awareness and understanding of Business Continuity Management in the community

7. Business Continuity Management Reporting

In order to measure the success of business continuity management within the organisation, there has to be a structured system of regular reporting and review. This is outlined as follows -

Review of Risks (Risk Registers)

Corporate & Service Risk Registers are subject to quarterly review meetings with the Risk Manager and Divisional / Strategic Directors, which include a discussion of business continuity progress for 'critical' functions within their service area. This will highlight if there are any significant risks.

Review of Critical Services Business Continuity Plans

The Business Continuity Project Manager will review plans for critical services annually either through meetings with management teams or via a desktop exercise or actual 'live' incident. These reviews are designed to highlight gaps in plans to or lessons learned to enable managers to increase their resilience. Where necessary an agreed action plan will be issued to implement any changes to existing plans.

Risk Updates

In the event of a risk becoming more prominent or likely, for example an increased threat of pandemic influenza, updated corporate guidance will be given to managers regarding business continuity planning with regards to that specific risk. Normal communication channels will be used dependent on the type of risk and mitigating actions required.

Performance Management

Reporting of key indicators on a quarterly basis to the Divisional Director (Risk & Assurance) to enhance core performance management.

Review and Test of Major Incident Plan

The Major Incident Plan will be reviewed and its arrangements exercised on an annual basis either through the LRF or other partners regionally or at an operational or corporate level.

Monitoring/Review of strategy

The action plan to implement the strategic objectives of this strategy will be monitored to ensure that actions are completed in a timely fashion. The strategy itself will be reviewed on an annual basis to reflect any organisational changes.