East Renfrewshire Council

Business Continuity Policy & Guidance

Version 1.0 November 2018

Contents

1.0 Introduction

The purpose of this document is to outline East Renfrewshire Council's approach to Business Continuity Management. It will also seek to provide guidance to appropriate officers who are responsible for updating and maintaining their Service Business Continuity Plan.

Business Continuity Management is a process in which organisations identify the time-critical processes attached to their activities, analyse how long they can continue without that function and identify a base level of resources to effectively maintain critical services.

The Civil Contingencies Act 2004 places a legislative requirement upon Councils to develop and maintain Business Continuity arrangements, as this will ensure that services to the public can be maintained in the event of a significant disruption.

1.1 Document Control

This document will be reviewed every three years, or in light of a significant change to the Council's approach to Business Continuity Management.

Version	Changes Made	Date of Next Review
V.1 – November 2018	Update / Refresh in light of change to Business Continuity Templates, inclusion of Guidance	November 2021

1.2 Document Format

This document will be divided into two key sections:

- Policy – outlining East Renfrewshire Councils approach to Business Continuity Management;
- Guidance – providing information and advice for those responsible for updating their Service Business Continuity Planning arrangements.

The intention of this approach is to enable offices to use the section that they require, whilst maintaining a single document.

Additionally, a separate guidance document is available for individual area Managers, to assist them in completion of the Business Impact Analysis (BIA). A BIA is used to populate key restoration information within a Service Business Continuity Plan.

2.0   Business Continuity Policy

2.1   Scope

The scope of East Renfrewshire Council's Business Continuity policy is to determine:
- The Council's Business Continuity Management strategy, providing a framework;
- Roles and Responsibilities for maintaining and updating Business Continuity processes

Within East Renfrewshire Council's policy, Business Continuity Planning will be represented by three key categories of documentation:
- Business Impact Analysis
- Service Business Continuity Plan
- Strategic Business Continuity Plan

Furthermore, the Council's ICT Disaster Recovery plans will be shaped by the information contained within Business Continuity Plans to help prioritise key software / servers.

2.2   Strategy

East Renfrewshire Council's Business Continuity Management strategy will adopt the following lifecycle:
- Policies & Programmes – Business Continuity Policies are in place, defining how business continuity should be implemented. This stage requires Strategic level support and commitment, ensuring that the strategy and programme to implement it is fit for purpose. This will be achieved by the regular review and update of this document;

- Embedding – Integrating Business Continuity to the organisational culture. Within East Renfrewshire Council, this will be achieved through regular updates at the Council Resilience Management Team meetings that take place and by the Civil Contingencies Service offering guidance and support to Service Coordinators, as well as a critical audit function on plan updates;

- Analysis – Reviewing and assessing within an organisation to identify objectives, how these function and any constraints upon them. This will be achieved within East Renfrewshire through individual area Manager's completing a Business Impact Analysis, which will then be used to identify restoration priorities within a Service. Additionally, the Civil Contingencies Service will review wide impacting risks, which require be included in updated Business Continuity Plan templates. Such risks will also be communicated through the Council Resilience Management Team.

- Design – Developing templates and strategies to respond to disruptions. This will consist of the creation of template Business Continuity Plans that are user friendly for Heads of Service to complete, but that also enable strategies to be outlined for responding to potential significant disruptions. The templates created will include guidance for significant risks as identified by the Civil Contingencies Service, as shaped through work with partner agencies. Additionally, Services will include their own strategies and restoration priorities as identified through their Business Impact Analysis process. The template / risks within will be regularly

reviewed, to ensure they remain appropriate.

- <u>Implementation</u> – Putting in place plans and processes that identify and select solutions to ensure key functions can continue to be delivered. In East Renfrewshire, this will be achieved by the update of Service level Business Continuity Plans by the Head of Service/ delegated officer. This will be further achieved by the update of the Strategic Business Continuity Plan by the Civil Contingencies Service.

- <u>Validation</u> – Confirming the Business Continuity Plan meets requirements and identifying improvements. This will take place through testing of plans, which can occur through use in an incident response – or as a result of an exercise. Additionally, this will be achieved by the regular review and maintenance of Business Continuity Plans and Business Impact Analysis; which will be updated annually, or in the event of significant changes to the Service.
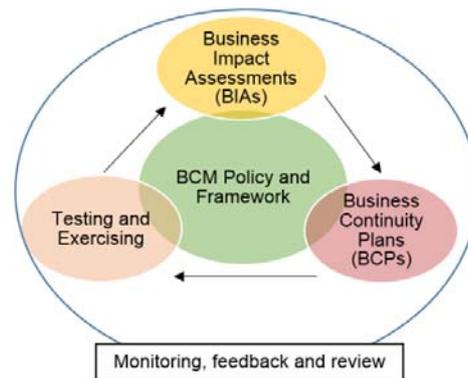
3.0   Documentation

The following documents will make up the Council's Business Continuity Management system:

3.1   Business Continuity Policy & Guidance (This Document)

The Business Continuity Policy & Guidance will outline the Council's strategy to Business Continuity, including roles and responsibilities therein. Additionally, it will provide guidance to those responsible for completing the Service Business Continuity Plan.

3.2   Business Impact Analysis

The Business Impact Analysis (BIA) is a document to be completed by individual area Managers or their delegated officer. The BIA effectively works as a questionnaire to identify key restoration information for critical functions within a specified area. Where completed, it will outline the minimum resourcing required to deliver critical functions and the contingencies that are in place (e.g. paper working as a back up to computerised processes).

While the individual area Manager can delegate completion of the BIA to a trusted officer, they will still be responsible for signing off the document and ensuring its regular update. BIAs should be updated annually, or in the event of significant changes within the area. The Civil Contingencies Service will remind appropriate Managers annually of the need to update the BIA and offer any guidance, as well as a critical eye in this process. Additionally, a guidance document in completing the BIA will be available on the Council Intranet and Resilience Direct for officers to utilise.

3.3   Service Business Continuity Plan

A Service Business Continuity Plan should exist for each Head of Service area, or Department level in the case of the Health & Social Care Partnership – where there is agreement with NHS Greater Glasgow & Clyde. These plans should outline key restoration priorities, as well as strategies to mitigate against potential disruptions that may be faced.

This document will be the responsibility of the Head of Service, or a delegated officer to complete. However, the Head of Service will be responsible for signing it off & ensuring update. The Civil Contingencies Service will remind appropriate officers annually of the need to update their Business Continuity Plan annually, as well as seeking to provide guidance / training and a critical eye in the process. Guidance in completion of the Service Business Continuity Plan is included as part of the Policy & Guidance document – which should be available on the Council Intranet and Resilience Direct.

3.4   Council Wide Strategic Business Continuity Plan

This document is a Council wide overview that will flag key restoration priorities. Crucially, it will highlight prioritisation for facility access in the event of widespread disruption. Functions with a Life & Limb criticality will be prioritised over all others. The Civil Contingencies Service will be responsible for updating the Strategic Business Continuity Plan, based upon the Service Business Continuity Plans.

4.0 Roles & Responsibilities

4.1 Council Resilience Management Team (CRMT)

The Council Resilience Management Team will be responsible for supporting this Business Continuity Policy, ensuring that the strategy within is suitable corporately. Updates of this document will be shaped through the Council Resilience Management Team, along with the update of any existing templates and the corporate requirement for training / exercising.

Additionally, the Council Wide Strategic Business Continuity Plan will be updated through the Council Resilience Management Team. This will ensure that there is a good understanding of key priorities across the entire organisation.

4.2 Civil Contingencies Service

The Civil Contingencies Service are responsible for ensuring that the Business Continuity models employed by within East Renfrewshire Council are fit for purpose, and reflective of best practice. They shall:

- Facilitate the update of the Council's Business Continuity Policy & Guidance document and the Council Wide Strategic Business Continuity Plan, in conjunction with the Council Resilience Management Team;
- Provide adequate and up to date templates that will enable Services to maintain ownership over their own Business Continuity arrangements. Templates should be regularly reviewed, to make sure that they are reflective of the current risk landscape;
- Provide training and guidance, where requested / required, to ensure that appropriate officers are aware of and can carry out their Business Continuity role(s);
- Where requested, assist in developing exercises / tests to ensure that Service Business Continuity Plans are fit for purpose;
- Provide an audit function, reminding appropriate officers to update their Business Continuity Arrangements and provide any critical comments on documentation, particularly in light of best practice;
- Providing access to ICT colleagues to appropriate Business Continuity data across the Council on a regular basis, to assist in the design and delivery of ICT Disaster Recovery procedures.

4.3 Heads of Service

Heads of Service will be responsible for signing off their Service's Business Continuity Plan, endorsing the documents as correct and up to date. This will include:

- Incorporation of information from up to date Business Impact Analysis to the Business Continuity Plan, ensuring an overview of Service restoration priorities and strategies for disruptions are included, up to date and relevant for their Head of Service area;
- Ensuring Business Continuity Plans and Business Impact Analysis documentation within the Head of Service area is regularly updated;
- Ensure Business Continuity Plans are regularly tested, with tests being recorded. Plans can be tested through incident response, or by exercising;
- Identify where training / support with regards to Business Continuity is required and communicate this to the Civil Contingencies Service.

Please note Heads of Service may delegate the updating / populating of their Business Continuity Plan to an appropriate officer. However, the Head of Service will still be responsible for signing off the plan as fit and proper.

4.4   Service / Area Managers

Service / Area Managers will be responsible for signing off their Business Impact Analysis document, endorsing it as correct and up to date. This may be delegated to an appropriate officer, however – the Manager will be responsible for signing it off as suitable.

5.0   Business Continuity Guidance

5.1   Scope

This section has been designed to assist responsible officers in the completion and update of their Business Continuity Plan. It will provide guidelines for developing, maintaining and exercising in light of disruptions to service provision.

5.2   When to Invoke Business Continuity Arrangements

Business Continuity Plans should state who has the authority to invoke the plan. It is advised the coordinator discusses invocation with their Head of Service to ensure they have delegated authority to invoke the plan if required.   Business Continuity arrangements should only be invoked where there is an interruption to service delivery that cannot be handled through normal day-to-day management routines.

## 5.3   Storage of Business Continuity Arrangements

Once completed, Business Continuity Plans should be stored in a filepath accessible by all appropriate officers within the Service. Ideally, a paper copy should be securely maintained by the responsible officer. Finally, the Civil Contingencies Service should be provided with an up to date version of any Plans – to enable them to be stored on Resilience Direct.

5.4   Guidance

The following headers will relate to an area of the Business Continuity Plan Template, with a view to providing guidance to completion / updating of the Business Continuity Plan for each Service.

5.5   Cover

Within the Cover, the only areas that need to be updated are SERVICE NAME, YEAR & VERSION.
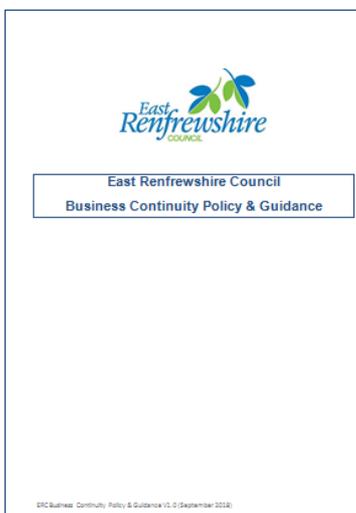
The version should increase sequentially, e.g. 1.0, 1.1, etc. The only exception to this would be if there are significant format or content changes in which case the version will move as follows 1.0, 2.0, etc.

The Service Name should be the Service that the Business Continuity Plan is for.

The Year should be the year that the plan has been updated / completed in.

Beyond these factors, and the Council Logo – Plan Owners / Responsible officers are free to add images / redesign the Cover as they see fit.

5.6   Section 1 – Response

Within your Plan, this section is aimed at identifying the types of scenario that may require your Business Continuity Plan to be invoked and potential solutions if the consequence was realised.

Introduction
In this area, the only element requiring completion is the SERVICE NAME.

Response Scenarios
The checklist on this page preceding the tables does not require any further changes / information and is highlighted as a general incident response checklist. This is applicable across all of the response scenarios included.

Within the Response Scenarios included (Loss of Premises, Loss of Staff, Loss of Systems), key general response strategies have been included.

Plan Coordinators should include any additional Causes or Responses that may be specific to their Service area. These may be shaped by the information outlined in completed Business Impact Analysis.

The final table in this section "Dependencies & Contact Details" will be populated based on the information within each individual Business Impact Analysis. Within the Business Impact Analysis document, dependencies are split into Internal & External Dependencies with information (such as contact details) provided.

In completing the "Dependencies & Contact Details" table in the Business Continuity Plan, you should copy the name and contact details of dependencies listed within the Business Impact Analysis. The individual area where this information has come from should also be listed. An example of this will be:

Internal Dependencies	External Dependencies
ICT –*phone number(s) - (BIA Name(s))*	Joe Bloggs Supplies – *Contact Details - (BIA Name(s))*

5.7 Section 2 – Restoration Management

Section 2: Restoration Management
Critical Functions – Priority Order

| Critical Functions With No Tolerance For Disruption |
| Critical Functions To Be Restored Within The First 24 Hours |
| Critical Functions To Be Restored Within 1 Week |
| Critical Functions To Be Restored After 1 Week |
| Non Critical Functions |

SERVICE NAME – Business Continuity Plan   VERSION (YEAR)   5

Within your Plan, this section is aimed at identifying the minimum resources required to deliver the key functions within your Service and the longest period that their full disruption could be tolerated. The information to populate this section of your plan will be included in the completed Business Impact Analysis documents. As a Coordinator, you will be required to copy across the pertinent information to the appropriate area. Restoration priorities will be divided into the following areas:

- **Critical Functions with no tolerance for disruption** – These should be areas that cannot be interrupted, typically these will be life and limb dependent.
- **Critical Functions to be restored within 24hrs**
- **Critical Functions to be restored within 1 week**
- **Critical Functions to be restored after 1 week**

The most important services will be those that ensure the protection of life and limb. Thereafter other considerations such as legislative, financial or reputational may be considered.

The boxes illustrated on the left, should be a summary of all of the functions within your Service, based on the information within the respective Business Impact Analysis documentation.

Functions should be listed within the appropriate box, based upon the "Maximum Tolerable Outage Time" provided. Functions should be listed providing the Function name and the Service it has originated from, as per the example below:

"Civil Contingencies Incident Response (Civil Contingencies Service)"

The other part of the Restoration Management Section provides greater detail on the skills and resources required to deliver the key functions outlined. Again, this should be completed based upon the information within the respective Business Impact Analysis documentation. The example below outlines the information required:

Function / Process	Staff / Skills Required	Resources Required	Single Points of Failure + Resolution
SERVICE – Identify the service			
What does this service provide	What is the minimum staffing requirement? What are their titles? (E.g. Civil Contingencies Officer)	What resources are required to carry out the duty listed E.g. 1 x Computer 1x Mobile Phone	Identify areas that are reliant on a single person / resource. Where a single point of failure is identified, contingencies should be put in place to combat this.
Summary of Requirements Summarises the information above. E.g. 1x Civil Contingencies Officer 1x Computer 1x Mobile Phone			

5.8   *Section 3 – Recovery*

Within your Plan, this section is concerned with returning to normality following a service disruption.

<u>Officer Welfare</u>
This element of the Template has been pre-populated with pertinent information. However, if there are any further measures or policies – these should be added and referenced. The information within this part of the Plan is supported with more general resources in Appendix C of the Business Continuity Plan Template.

<u>Debriefing</u>
This element of the Template has been pre-populated and does not require any further information to be added / changed.

6.0   Appendix A – Action/Incident Log

This section of your Plan should be used as a template. Officers should complete the respective areas of the log in the event of the plan being activated, and throughout the duration of the incident.

Both a Log and an Incident Reporting Form have been included. The latter will be of particular use in providing Sit Reps from an incident.

7.0   Appendix B - Insurance

This section of your Plan should be used as a template. It is the form that should be completed in the event that an incident occurs within a Council premise that will require an insurance claim.

8.0   Appendix C – Officer Wellbeing

This section of your Plan provides further general information for Officer Wellbeing considerations, to support the information in Section 3 of the document.

9.0   Appendix D – Plan Maintenance

This Appendix of your Plan should highlight Version Control, Training & Exercising and where copies of it are kept. It is essential that this section is updated in line with the information in your Plan – particularly for audit purposes.

As a rule, Business Continuity Plans should be updated annually – or in the event of significant Service changes. Additionally you should update if the findings of an incident / exercise highlight a requirement.

Business Continuity Plans should be tested regularly; this will assist in ensuring they are fit for purpose and identify potential improvements. Plans can be tested via an actual incident – that didn't necessarily invoke the plan but had an impact on operations.

An example of the completed tables in this section is included below:

Document Control

Version	Date	Change Made	Next Review
V1.0	04/2017	Original Document	April 2018
V2.0	04/2018	Update of layout, content refresh, change of service makeup	April 2019

Training / Exercising Record

Exercise Date	Type	Participants	Summary
Feb 2018	Incident – Winter Weather	All Service	Service Disruption caused by Beast From The East (Heavy Snow) Feb 2018

Storage

Copies of this document are held at the following locations:

Location	Type of Copy	Responsible Person
CCS Offices – Paisley	Hard Copy	Civil Contingencies Officer
CCS I-Drive	Electronic Backup	Civil Contingencies Officer

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