Gloucestershire
COUNTY COUNCIL

A Guide

to

Business Continuity Management

in

Gloucestershire County Council

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CONTENTS

Foreword

Business Continuity Management is a vital component of Risk Management which itself forms an integral part of Corporate Governance. The Civil Contingencies Act (CCA) 2004 requires Local Authorities to maintain business continuity plans, to ensure that following a serious disruption, services can continue to be provided to the community.
This guide has been written to assist staff at all levels in the County Council to understand their role in incorporating Business Continuity Management into the workplace.

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CHAPTER ONE – INTRODUCTION

1. The Need for Business Continuity Management

1.1. Business Continuity Management (BCM) is a planned process aimed at managing the many and varied operational risks inherent in the day-to-day activities involved in delivering services. The main purpose of the process is to ensure continuity of service delivery following an unexpected disruption to normal working.

1.2. Fine words! But what do they mean, and do we really need to bother with this when we are all so very busy doing our 'proper' job? And, if we're told we have to do it, then why can't someone else take it on for us?

1.3. This document aims to address these questions and provide guidance. In addition, the importance of the process will be demonstrated and some of the benefits that result from undertaking the process will be outlined.

1.4. Let's start by considering a familiar event:

> *You are at your desk, wrestling with the latest challenge to arrive in the in-tray. The fire alarm bells start to ring, and you check to re-assure yourself that it isn't Monday at 11.00 am. No it isn't, so you decide it can't be the weekly test. You gather your thoughts, and pick up your coat and belongings and follow the growing stream of people who are leaving the building through the nearest fire escape. "Why do we have to have a fire drill now. Of all times?" you ask yourself, and look accusingly to find a fire warden or someone else to blame.*
>
> *Before you know it you are out in the open and milling around the car park – or more correctly, the 'Fire Assembly Point' – with 'scores' of colleagues, waiting to be told that this was just a 'drill' and you can now re-enter the building.*
>
> *And you wait, and you wait. People around you begin complaining. No one seems to know what's happening. "So, what's new about that?" you ask yourself. The Fire Warden promised to find out, but disappeared ages ago and hasn't been seen since. What's the point of all this? Does anybody know? And to cap it all, the sun has gone in, and the clouds threaten rain.*
>
> *A chap with a yellow tabard – you vaguely recognise him as one of the team from further down the corridor – stands on a raised flowerbed, and begins to speak.*

At this point, the familiar event takes a very different turn:

> *What you hear starts to sink in slowly. The man in the yellow tabard explains that there really is a problem, and nobody will be allowed back inside the building, at least for the remainder of the day!*

Mixed emotions. People appear to be confused. Not unreasonably, there is some amusement amongst the workforce. But it is not very long before the seriousness of the situation becomes apparent. Everyone wants to know what to do next.

1.5. Some hard decisions will have to be made, and made quickly. For instance:

- What do we do with all our staff?
- How do we tell the community that we can't provide 'business as usual', at least for a while?
- How do we meet important deadlines?

1.6. The list of questions grow, and so do levels of uncertainty and anxiety.

1.7. Without plans, managers will have to rely on an 'ad-hoc' approach to deal with these, and the many other issues that will present themselves. This approach is essentially made up at the time of the incident.

1.8. The benefit of an ad-hoc response is that it requires little resource effort to set up or maintain. However, the ad-hoc approach is prone to failure. Individuals typically make incorrect assumptions, particularly in respect to:

- their own responsibilities;
- the responsibilities of others;
- what facilities and arrangements can be relied upon during the event.

1.9. A longer-term disadvantage with the ad-hoc response is that many losses can only be avoided by pro-active work. For example, the loss of an inventory in a fire may preclude a full insurance claim and delay the payment of compensation. A lack of pro-active work in identifying critical systems may lead to a loss of vital resources and is also likely to increase the disruption to services and delay or irrevocably prevent a full recovery.

1.10. The alternative to such an 'ad-hoc' approach is to develop contingency plans. This can be achieved through the BCM process which provides a management framework for dealing with events such as the one described above. It provides a planned response – combined with proactive measures – to reduce interruption and avoid losses. Such measures will include systems for activating the response and recovery to a service interruption and co-ordinating the actions of staff.

1.11. The main advantages of a planned response include the:

- identification of critical systems and information in advance of an event, so that an informed decision can be taken on the extent to which such systems should be protected.

- definition of the roles of individual officers – both in terms of responding to and recovering from a disruption;

- determination of the resources required to maintain a minimum acceptable service to the community.

It is the continuity plan that provides the primary defence in ensuring an organised and effective 'return to normality'.

2. Aim

2.1. This document aims to explain how the County Council undertakes BCM as a requirement of CCA (2004) and provides practical advice and guidance to staff tasked with implementing this process. The contents are based on the CCA (2004) guidance, public and private sector best practice, and from experience gained from a Gloucestershire County Council (GCC) 'pilot' project, which ran during 2002/2003. Specific learning outcomes from the 'pilot' project are used as examples throughout the text.

3. Objectives

- To explain in detail, the lifecycle of the BCM process.

- To outline the steps that need to be taken to develop robust and resilient continuity arrangements.

- To provide guidance, and a wide range of examples, to support the development of such arrangements.

CHAPTER TWO – BUSINESS CONTINUITY MANAGEMENT – AN OVERVIEW

1. Background

1.1. GCC, like every local authority, has key organisational objectives to meet, some of which are based on statutory requirements. All are aimed at providing, maintaining and improving services to the community. Any failure, actual or perceived, to deliver the full range of services will have a negative impact on both the community and the authority. As such, all reasonable measures should be adopted to minimise the likelihood of business or service interruption.

1.2. Every business activity is at risk of disruption from a variety of threats, which vary in magnitude from catastrophic through to trivial, and include fire, flood, loss of utility supplies and the accidental or malicious damage of assets or resources. For example, a minor electrical fire or a burst water pipe may cause limited damage to assets, but if those assets are vital to service delivery, then the result can seriously impair the organisation's capability to deliver that service.

1.3. BCM is an important constituent of 'Risk Management' – the overall process by which risks are identified, evaluated and controlled. In GCC, BCM is integrated within the corporate risk management strategy. Risk management is itself a key element of the 'Corporate Governance' framework, sitting beside community focus, structures and processes, standards of conduct and service delivery arrangements. Corporate Governance is widely accepted to mean "the system by which an organisation is directed and controlled", and is now, more than ever, assuming a high profile across the public sector.

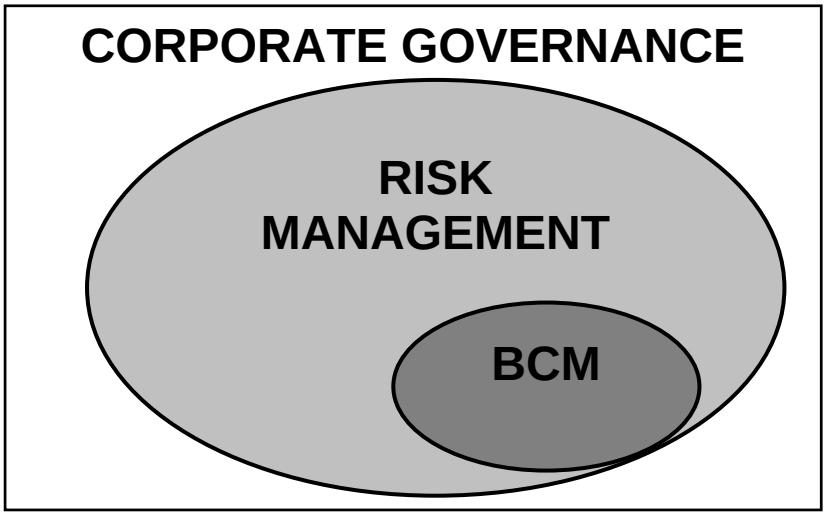


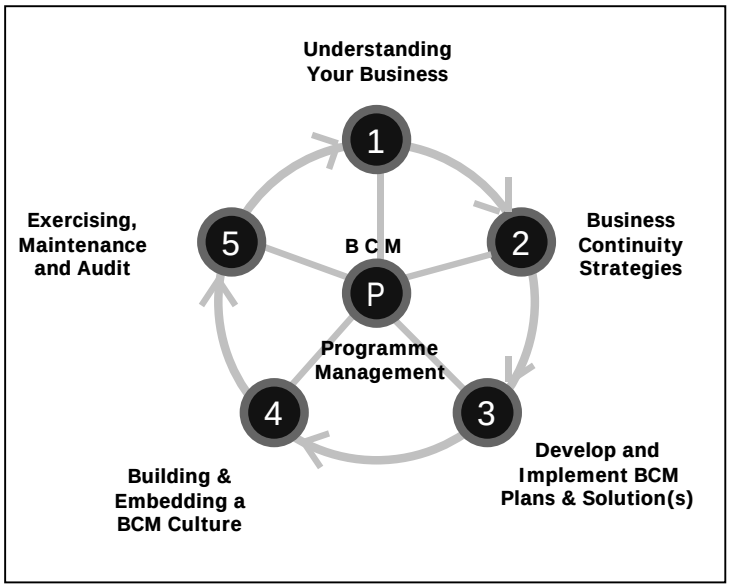
Figure 1 Illustration of the Relationship Between BCM, Risk Management and Corporate Governance

2. The BCM Lifecycle

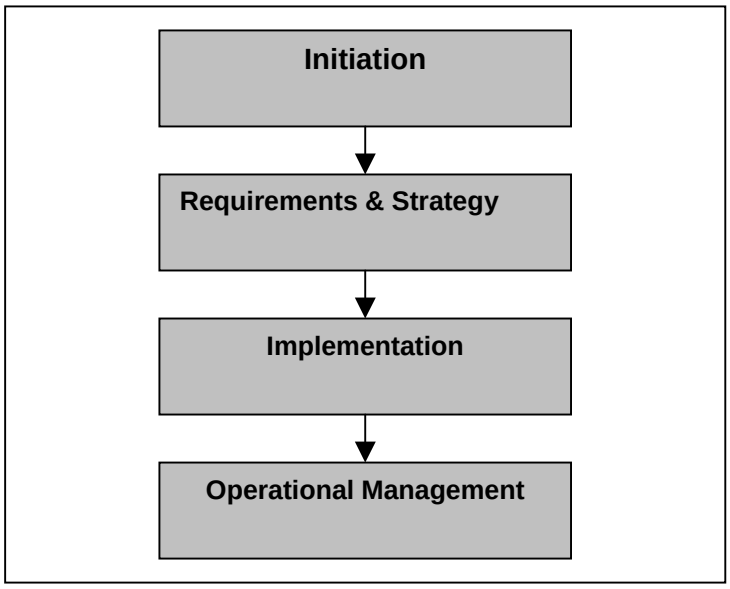
2.1. The BCM process within GCC was developed prior to the BCM guidance that was provided to support the BCM duty in the CCA 2004. The GCC process comprises a FOUR-stage lifecycle in comparison to the five stages provided by the CCA Guidance, but the key elements of the processes are the same.

2.2. In addition, invaluable experience has been gained within GCC both as a result of the initial 'Pilot' Project, and learning gained since. This expertise is growing within the organisation with more and more officers being able to benefit as well as contribute. The outcome of this is that the Business Continuity Management process now relates to the demands of this local authority, whilst reflecting the CCA Guidance

CCA Guidance – BCM Life Cycle



GCC BCM Life Cycle



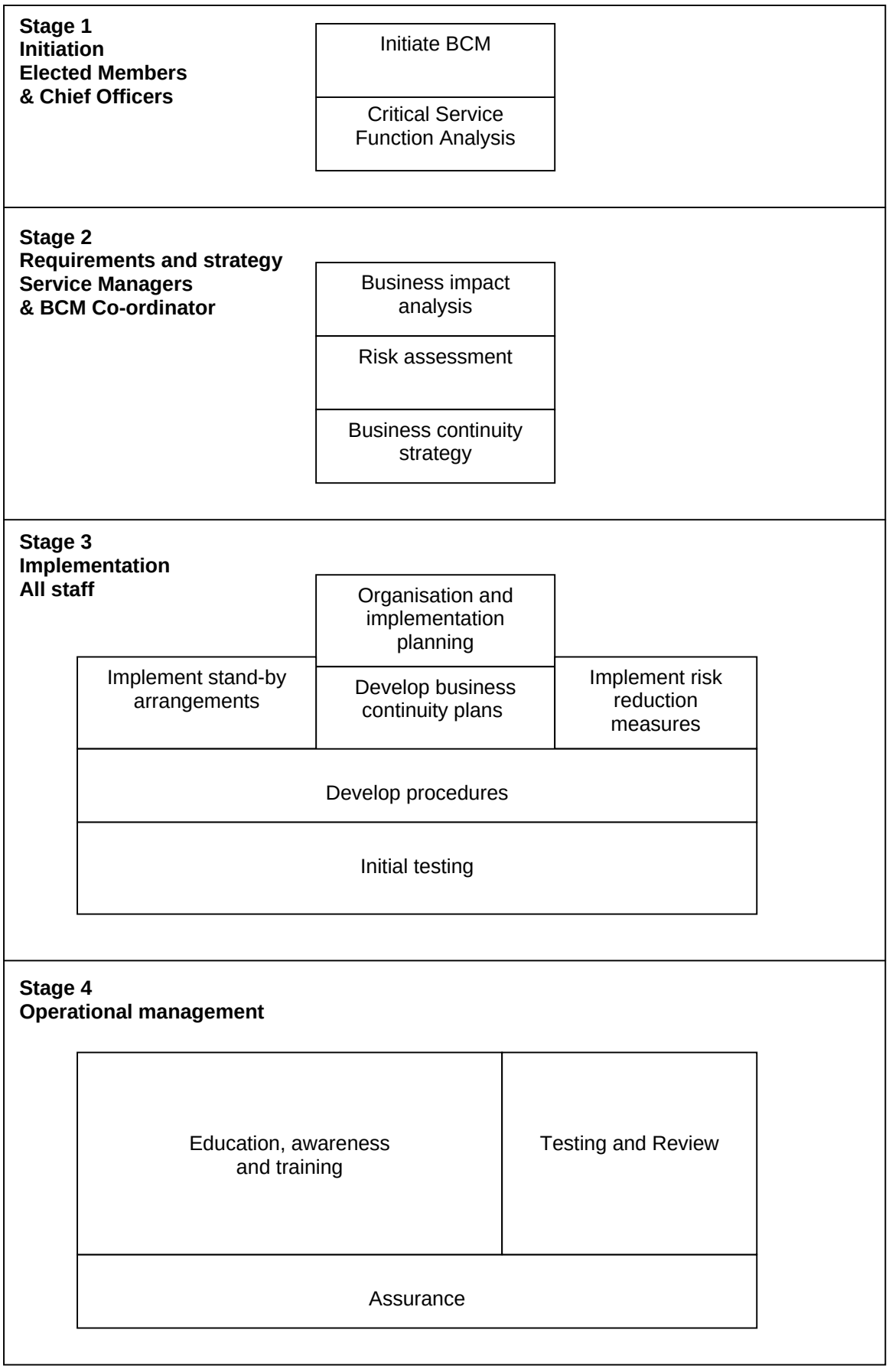


Figure 2 Illustration of the Component Parts of each Stage of Lifecycle

3. The Lifecycle Explained

Stage 1 – Initiation

3.1. Stage 1 was a direct result of a Best Value Review and involved both Cabinet and Chief Officers Management Team (CoMT) accepting and supporting the principle of BCM. A corporate BCM Policy is now in place.

3.2. Critical Service Function Analysis was carried out initially to identify and prioritise those services/ functions, which required BCM plans to be completed. A template was developed to ensure a consistent methodology, a copy of which is included at Annex A. A three-year rolling programme has been adopted and incorporated into service business plans.

3.3. A BCM Steering group, made up of representatives from each Directorate, has been established. The group monitors the progress and implementation of BCM plans and identifies new projects that may be required due to service delivery changes.

Stage 2 – Requirements and Strategy

3.4. It is at this stage that an appropriate continuity strategy will be determined which will define how the continuity of service delivery is to be maintained in the event of serious interruption or disruption.

3.4. One element of the strategy will be aimed at positively reducing disruptive risks to service delivery, whilst the second will facilitate an effective recovery should an unplanned disruption occur.

3.5. This strategy is achieved through the completion of three related tasks.

3.6. **Task One** is called the 'Business Impact Analysis', and is designed to:

- Outline details of the service /legislative requirements and prepare a process map;
- Identify the range of different impacts – on ALL stakeholders – of not providing the service;
- Determine the extent, or severity, of each impact;
- Understand how these impacts change as the length of disruption increases;
- Determine how quickly the service needs to be re-instated, and
- Quantify the resources that will be required to enable the service to be re-instated within the timescales specified.

3.7. **Task Two** is the 'Risk Assessment', which seeks to identify and quantify the level of risk facing the delivery of a given service if any of the four key elements are not available as detailed in paragraph 3.3 of Chapter 3. The outcome of the Risk Assessment will determine whether the organisation should:

- Accept the specific risk, and 'live with it'; or
- Accept the specific risk, but 'manage' it; or
- Accept the risk, but develop plans to deal with it if it occurs, or
- Take proactive measures to reduce the risk.

3.8. **Task Three** is the identification and evaluation of risk reduction and recovery options. This is informed by work already done in the Business Impact Analysis and the Risk Assessment.

3.9. A set of options will now emerge, which form the basis of continuity arrangements for the specific service.

3.10. The three tasks need to be documented, to capture the outcomes from these processes and also to provide a sound basis for future audit.

See Chapter Three for more details.

Stage Three – Implementation

3.11. This stage will establish a work programme by which business continuity will be achieved; the theory turned into practice. This will include the implementation of risk reduction measures and the development and testing of recovery plans and procedures.

See Chapter Four for more details.

Stage Four – Operational Management

3.12. The final stage of the lifecycle ensures that the arrangements continue to be tested, reviewed and maintained on an on-going basis. Training, education and awareness programmes are an integral part of this stage.

See Chapter Five for more details.

CHAPTER THREE – THE CONTINUITY STRATEGY

1. Outline

1.1. This chapter explains the process involved and the tasks necessary to determine the requirements and continuity strategy for a given service.

1.2. The work undertaken should be documented in a 'Requirements & Strategy Report', (see Annex B) which consists of six sections and two appendices and, provides the foundations on which future work will be based.

2. The Process

2.1. To determine how to effectively mitigate the effects of service delivery interruptions, the magnitude of any impacts arising from such interruptions, and the likelihood that such interruptions will actually occur should first be considered. Once these have been established, then suitable continuity arrangements can be identified and evaluated.

3. The Tasks

3.1. There are three distinct tasks associated with this process, namely:

- **The Business Impact Analysis.**
- **The Risk Assessment.**
- **Development of the Business Continuity Strategy.**

3.2. The Business Impact Analysis (BIA)

The BIA explores and analyses the impacts ON ALL STAKEHOLDERS of a disruption or interruption to the delivery of a given service.

To effectively achieve this, the following steps need to be taken:

- **Clearly define (and document) the business process, i.e. what is provided to whom, how, when, where and why.**

  This provides clear scope and a statement outlining the specific service(s) actually delivered. In addition, a full inventory of resources normally employed should be compiled. This provides a reference point which relates to normal working.

- **Identify potential points of failure and important dependencies.**

  This can be achieved by constructing a 'Process' map which shows the 'end-to-end' business process required to deliver the given service, broken into distinct stages. Each stage is then attributed to one or more stakeholders. An example of a 'Process' map is shown at Figure 3.

	Complaint	Assessment	Liaison with Trader	Formal Investigation	Home Office Caution	Prosecution
Consumer						
Trader						
Test House						
GCC – TSD						
GCC – Legal Services						

Figure 3 Example of a 'Process' Map for Trading Standards

- **Determine the impacts of a disruption to service delivery**.

  Any disruption to the delivery of a council service may have consequences, or **impacts**, for:

  - The community;
  - The service provider;
  - Other departments and business units within the council;
  - Any third parties involved in the delivery of that service.

  These impacts can be considered either as financial (hard) or non-financial (soft) and need to be identified for each distinct stage of the end-to-end process. They may change over time and, although not definitive, most impacts can be considered as follows:

FINANCIAL IMPACTS:	NON-FINANCIAL IMPACTS
Financial loss;	Risk to personal safety;
Financial penalties;	Loss of goodwill;
Reduced income;	Loss of credibility;
Increased cost of working;	Political or corporate embarrassment;
	Breach of the law;
	Risk to personal safety;
	Loss of operational capability.

- **Define recovery objectives – how quickly must the service – or functions within the service resume operations.**

  If serious consequences have been identified for a given stage of the service delivery process, then swift reinstatement action may be needed. This will be reflected in the recovery objective, which is an indication of the desired time period within which to achieve a minimum acceptable resumption of output.

  A planning assumption has been made that GCC will achieve a 'normal service' within a maximum of one month. However, this does not mean everything will be reinstated to a level equal to that prior to the disruption. For example, a damaged building may take longer to repair than one month, and this could mean that staff have to continue to work from temporary locations.

- **What resources are required in order to meet the defined recovery objectives?**

  We next determine the minimum resources required to meet the recovery objective based on the following Categorisations.

Category 1 – Resume output within **1 HOUR**
Category 2 – Resume output within **4 HOURS**
Category 3 – Resume output within **1 DAY**
Category 4 – Resume output within **1 WEEK**
Category 5 – Resume output within **1 MONTH**

A further planning assumption has been made that service managers must be able to sustain the critical elements of their services without reliance on corporate ICT/Property Services/HR support for up to 5 days following a disruption. It is essential therefore that service managers liaise with these corporate services when determining the resources that will be required.

3.3 The Risk Assessment (RA)

Risk assessment is the general term used to describe the process of gauging the most likely outcome(s) of a set of events, situations or options and the significant consequences of those outcomes. They inform decision-making about effective actions for 'managing' risks – i.e. avoiding, removing, reducing, improving and generally controlling risks.

The aim of risk assessment is to provide information on which decisions may be made about proposed actions, the adequacy of risk controls and what improvements might be required.

In BCM, there are FOUR risk scenarios that require assessment:

- Damage or denial of access to premises;
- Loss or damage to IT systems/voice networks/hardware/software/data;
- Non-availability of key staff,
- Loss or damage to other resources.

Service managers deal with risk as a matter of course, but risk assessment provides a formal, documented process to identify, evaluate and manage these risks.

The level of risk for each of these scenarios is a function of the LIKELIHOOD that an adverse event will occur, and the SEVERITY on stakeholders if the event actually occurs.

RISK = Likelihood (L) x Severity (S)

The severity of any event is determined from work done in the BIA. For example if a critical stage of service delivery is provided from the building located next to the river, and an impact arising from such a disruption results in risk to personal safety, then the severity of flooding must be considered to be high.

The Likelihood and Severity values are then plotted on a risk matrix (Figure 4), which indicates both the level of risk and the appropriate action that needs to be considered.

For example the likelihood of fire damage to Council accommodation is low, but the severity of the impact if it did occur would be high (Figure 5a). As such the risk needs to be planned for, such as by having pre-agreed arrangements in place to relocate to alternative premises.

Whereas the likelihood of key staff not being available (e.g. due to a flu pandemic) could be medium, the impact would be high (Figure 5b). The risk could be reduced through training and sharing knowledge.

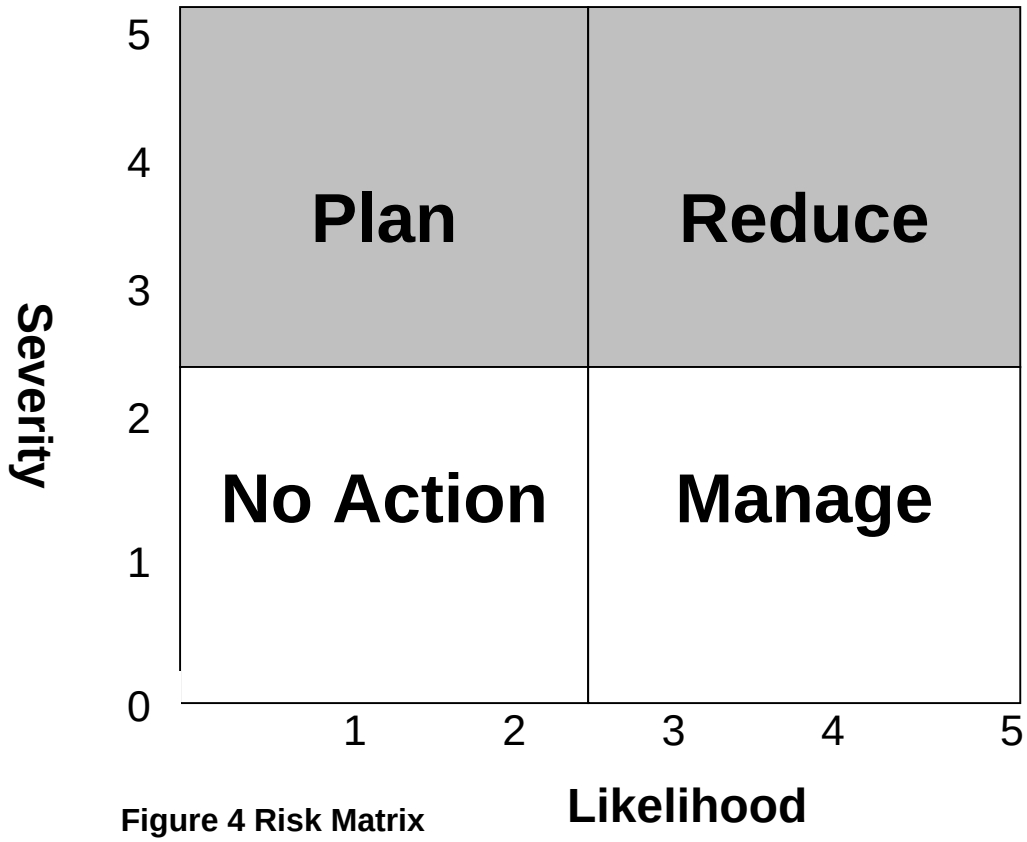
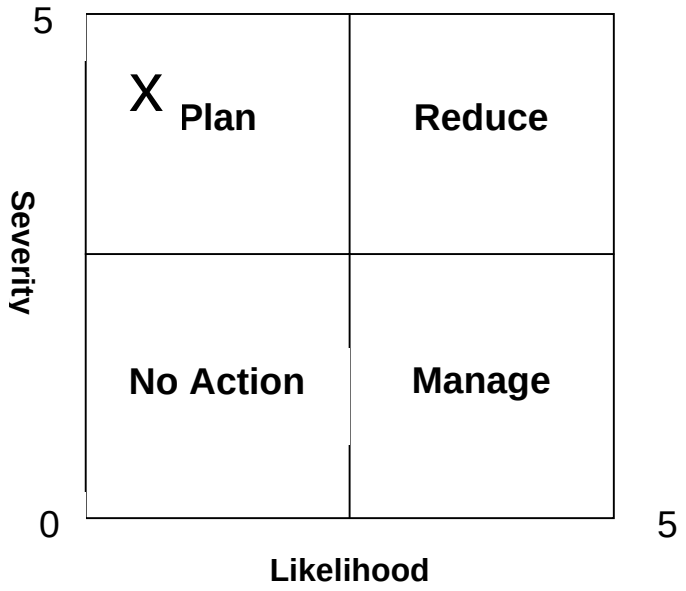


Figure 4 Risk Matrix

a) Damage / Denial of Access



b) Non-Availability of Key Staff

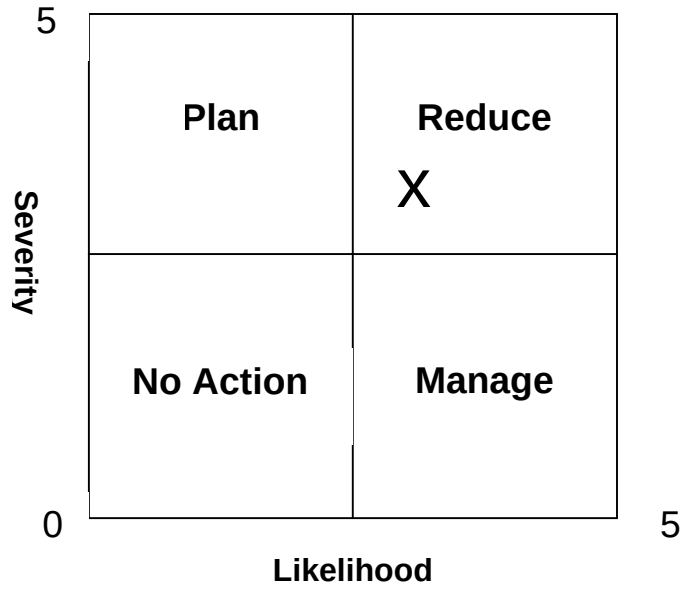


Figure 5 Examples of Risks

3.4 Develop a Business Continuity Strategy

A Business Continuity Strategy defines how the continuity of service delivery is to be maintained in the event of serious interruption or disruption. The strategy will cover both risk reduction and recovery measures.

The process of developing a strategy consists of three distinct stages:

- **Stage 1 – The Identification and Evaluation of Recovery Options**

  Recovery options are measures, which need to be taken following a disruption in order to resume service provision in the first instance, and also assist in bringing about a return to normality.

  Each option should be evaluated in turn, according to the following criteria:

  - **Financial Criteria**

    The important factors in conducting a financial evaluation of recovery options are as follows:

    The reduction in likely impact that will result from implementing that option;
    The cost of implementing, maintaining and testing the option;
    The cost of activating the option (which may be partially or fully recoverable through appropriate insurance);
    The likelihood that an incident may occur, and the impact if it does.

  - **Non-Financial Criteria**

    In coming to a conclusion on the optimum approach, the following points should be considered:

    'Soft' benefits that would be provided by the option;
    The level of threat;
    Whether vulnerabilities can be lessened by other means (risk reduction measures, for instance);
    The degree of confidence that the approach will work;
    The stability the option provides;
    Compatibility of the option with current/future corporate strategies;
    Any organisational implications that may arise from implementing the option.

- **Stage 2 – The Identification and Evaluation of Risk Reduction Options**

  Risk Reduction options are measures taken to reduce the likelihood of a disruption occurring.

As with Stage 1, each option needs to be evaluated against the same financial and non-financial criteria as detailed for recovery options.

- **Stage 3 - The definition of the overall strategy.**

  The overall strategy is the compilation of acceptable risk reduction and recovery options.

4. Step-by-step Guidance

In order to assist managers to determine an appropriate continuity strategy for a given service, a ‘Requirements and Strategy Report’ template has been developed which encapsulates all the tasks involved in the three stages described in previous pages of this chapter. A blank template is included at Annex B. Examples of completed templates are available from the Emergency Management Service.

If the following step-by-step instructions are followed, then a comprehensive continuity strategy and audit trail will be successfully developed. It is important to complete the template in such a way that a layperson could understand the content.

STEP	TEMPLATE SECTION	INSTRUCTION
1	2.1	Start with the Business Impact Analysis.
2	2.2	Produce a written description of what is provided, and to whom. It is important to refer to reasons why the service is necessary (i.e. is there a legal responsibility). Additionally, it helps to construct a simple process map. This should show the end-to-end service delivery in discreet stages, and attribute each stage to specific stakeholders.
3	2.3	Establish and document the resources normally employed in the provision of the service. This should cover staff, accommodation, IT hardware and software (including e-mail and intranet/internet access), telephones/fax machines, and office furniture. This list provides an inventory of resources required for normal working.
4	2.4	Consider the impacts of not providing the service. For ease, consider these impacts in relation to the discreet stages introduced in the process map. For each stage consider both financial and non-financial impacts and examine these over time. The impact of not providing a certain aspect of the service will undoubtedly change over time.
5	2.5	Determine recovery objectives for each of the stages.
6	2.6	Decide what minimum resources are needed to meet the recovery objectives. This concludes the Business Impact Analysis.
7	3	Conduct a Risk Assessment in accordance with the description in paragraph 3.3.
8	4	Identify and evaluate recovery and risk reduction measures.
9	5	Summarise acceptable options

CHAPTER FOUR – IMPLEMENTING THE CONTINUITY STRATEGY

1. Outline

1.1. This chapter concentrates on the work necessary to achieve implementation of risk reduction and recovery measures for a single service, and explores the wider organisational aspects of dealing with a disruption, together with the measures that need to be taken to ensure a corporate response.

2. Risk Reduction Measures

2.1. The need for additional risk reduction measures will have been identified as part of the continuity strategy. Subject to value-for-money considerations and approval from management team, these measures should be implemented speedily. Delays in introducing risk reduction measures could mean the service carries a higher than necessary risk of disruption or interruption. It could be that some of these measures may be more appropriately implemented at corporate or department level, and managers should seek clear guidance in respect of this issue.

2.2. Some risk reduction measures will themselves be procedures, and managers should ensure that all staff with a role to play clearly understand what is expected from them. This may involve the provision of training.

3. Recovery Measures

3.1. Agreed recovery measures should be incorporated into a continuity plan. A common layout should be employed and a Recovery Plan guidance template is attached at Annex C. It is important that all stakeholders involved are consulted when preparing the Recovery Plan.

4. Organisation-wide Issues

4.1. So far, this guidance document has focused on developing BCM arrangements for a single service. Any disruption large or small will, however, have some implications for the wider organisation.

4.2. Recalling the example in paragraph 1.4, it is clear that other activities will need to be invoked if access to premises has been denied – for whatever reason.

These activities include:

- An emergency response;
- Crisis Management;
- Damage Assessment;
- Salvage, and
- Recovery of Assets.

4.3. These activities are outside the scope of the single service continuity strategy (although they rely on information from Service Managers), but are nevertheless vital to ensure the eventual return to normality.

4.4. To meet these needs, a corporate plan has been developed which provides a framework within which these activities will be co-ordinated and executed.

The plan is divided into 4 sections:

- **Section 1** contains information about response objectives and BCM arrangements within the council.
- **Section 2** relates to the structure in place to respond to a serious disruption to services, and details the responsibilities of the Corporate Recovery Team.
- **Section 3** contains details of critical services identified from individual service plans including recovery timescales.
- **Section 4** is a summary of corporate recovery actions and details the tasks to be undertaken in the invocation of the plan.

The Corporate Recovery Plan is supported by other 'key' corporate functional support recovery plans for:

- ICT
- Property Services
- Human Resources

These 'key' functional support arrangements will reflect and build on the range of specific service continuity arrangements.

CHAPTER FIVE – THE OPERATIONAL MANAGEMENT OF CONTINUITY ARRANGEMENTS

1. Outline

1.1. The BCM lifecycle now moves into the operational management of continuity management. This is a set of ongoing processes rather than the project related work previously described.

1.2. The importance of this stage cannot be overstated. In reaching this point, Gloucestershire County Council has invested significantly in both staff time and resources. Many people will have been involved, and those individuals built up considerable knowledge and understanding.

1.3. However, all organisations undergo continual change and the strategies and plans – together with individual understanding of managers and team members alike – can rapidly become out-of-date unless robust operational management processes are in place.

2. Testing

2.1. An on-going programme of testing needs to be established which covers all plans. This testing can be effectively achieved through a series of discussion, tabletop and live exercises. Individual plans can be tested – either service continuity arrangements or functional support plans – or, at the other end of the spectrum a full scale organisation-wide test can be arranged. This will however, be a rare event, because of the resource implications and level of disruption likely to be caused.

2.2. Testing is an excellent way to provide education and raise awareness for those with continuity responsibilities. Experience shows that the more rigorously that a plan is tested the greater the benefit to those involved.

3. Training, Education and Awareness

3.1. Education and awareness of business continuity policy, strategies and plans are essential to the on-going success of the continuity initiative. The aim is to ensure that the implications of continuity planning are firmly embedded in the council, and such implications are considered in all major business activities.

3.2. An ongoing programme of education and awareness should ensure that:

- Staff understand the risks, and know how to respond;
- Changes or issues that could affect the organisation's continuity arrangements are identified and acted upon;
- Team members remain aware of their roles and responsibilities and the actions expected from them.

Some staff may require specific training on particular elements of continuity arrangements.

4. Assurance

The final process in the lifecycle involves obtaining assurance that the quality of the BCM arrangement is acceptable to senior management and that operational processes work satisfactorily.

An audit mechanism will be introduced by which assurance can be gauged.

This is the final stage of the lifecycle but crucially the one that ensures past work remains relevant.

Glossary of Terms

The terms listed below summarize those used in the BCM process in GCC.

Business Continuity Management	A planned process aimed at managing the many and varied operational risks inherent in the day-to-day activities involved in delivering services. The main purpose of the process is to ensure continuity of service delivery following an unexpected disruption to normal working.
Business Impact Analysis (BIA)	As the name suggests, the BIA explores and analyses the impacts ON ALL STAKEHOLDERS of a disruption or interruption to the delivery of a given service
Corporate Governance	Widely accepted to mean "the system by which an organisation is directed and controlled".
Hard Impact	The financial consequences resulting from an unplanned disruption to service delivery.
Implementation	The third stage of the BCM lifecycle.
Initiation	The first stage of the BCM lifecycle.
Operational management	The fourth, and final, stage of the BCM lifecycle.

Process Map	Essentially a matrix, the ‘Process’ map shows the ‘end-to-end business process required to deliver the given service, broken into distinct stages. Each stage is then attributed to one or more stakeholders.
Recovery Objective	The time by which a stage or element of service delivery must be re-instated.
Requirements & Strategy	The second stage of the BCM lifecycle, and specific to a given service.
Risk Assessment	The general term used to describe the process of gauging the most likely outcome(s) of a set of events, situations or options and the significant consequences of those outcomes.
Risk Management	The overall process by which risks are identified, evaluated and controlled. Risk management is itself a key element of the 'Corporate Governance' framework
Soft Impact	The non-financial consequences resulting from an unplanned disruption to service delivery.

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Civil Contingencies Act 2004

Annex A

CRITICAL SERVICE FUNCTION ANALYSIS
***(Enter name of Service and/or Functions)**

STEP	ACTION
1	Enter the name of the service /function being analysed in the first column
2	How essential is the service function to the running of the Authority? Select the appropriate number from line A of the key and enter it in the column headed A: Priority
3	How long can the service/function be suspended for? Select the appropriate number from line B of the key and enter it in the column headed B: Risk
4	Could part or all of this service/function be provided by alternative means, perhaps through another team or agency for a short period of time? Select the appropriate percentage from line C in the key and enter the corresponding number in column C: Alternative, on the grid
5	Multiply the number in column A by the number in column B, then multiply the answer by the number in column C. This answer should then be entered in the score column

KEY					
A	**5** = Vital	**4** = High	3 = Medium	2 = Low	1 = Can suspend
B	**5** = Not at all	**4** = 24 hours	3 = 3 days	2 = 1 week	1 = > 1 week
C	**5** = None	**4** = 25%	3 = 50%	2 = 75%	1 = 100%

***NAME OF SERVICE OR FUNCTION**	**A: Priority**	**X**	**B: Risk**	**X**	**C: Alternative**	**=**	**SCORE**

*This Analysis sheet can be used for a specific service or for specific functions within a particular service.

NAME OF ANALYSER:	
DEPARTMENT/SERVICE:	
DATE:	

CRITICAL SERVICE/FUNCTION ANALYSIS – DECISION SHEET

Following completion of the critical service/functions analysis the following decision(s) have been made:

Service/Function	*Score	Requirement for Continuity of Service Delivery	BCM Planning Requirement

***Please refer to guidance table overleaf**

Name of Authorising Officer	
Department/Service	
Date	

INDIVIDUAL SERVICE /FUNCTION ANALYSIS

GUIDANCE CHART

Score	Requirement for Continuity of Service Delivery	Key	*BCM Plan Required/Business Plan Timeframe
100 - 125	Vital	No element of the service/function can be suspended or provided by alternative means, even for a short period.	BCM Plan Yr 1
75 – 99	High	Up to 25% of the service/function can either be suspended for up to 1 day or provided by alternative means.	BCM Plan Yr 1
50 - 74	Medium	Up to 50% of the service/function can either be suspended for up to 3 days or provided by alternative means.	BCM Plan Yr 1/2
25-49	Low	Up to 75% of the service/function can either be suspended for up to 1 week or provided by alternative means.	BCM Plan Yr 2/3
1 – 24	Non vital	Up to 100 % of the service/ function can either be suspended for more than 1 week or provided by alternative means.	BCM Plan Yr 3 or no plan necessary

*****The recommended BCM Plan timeframe will be dependent on resource availability to complete the plans. For instance a service with 3 separate critical functions may not be able to prepare BCM plans for all in year one if resources are not available to carry out the work. Alternatively a non-vital service where a plan is required can be completed in Year 1 if resources are available to carry out the work.

Annex B

Business Continuity Management

Requirements & Strategy Report:

[Name of Service]

Authors:

Date:

Contents

Section

1. Introduction

This report outlines the requirements and continuity strategy that has been determined necessary to mitigate the effects of an unplanned interruption or disruption on the *[Service]* provided by *[Department]*, Gloucestershire County Council.

It details information gathered from a Business Impact Analysis; the outcomes of the subsequent Risk Assessment and the identification and evaluation of a range of recovery and risk reduction options resulting from this important stage of the overall BCM process. Finally, the report provides a summary of proposed business continuity actions.

The report will be used as a source document for future BCM audit purposes and should be amended to reflect any changes - either in the provision of the service, and/or in business continuity arrangements for the service.

Further information in respect to the process applied in this report can be found in the document entitled “A Guide to Business Continuity Management in Gloucestershire County Council”.

2. Business Impact Analysis (Please see Appendix B for further guidance in completing this section)

2.1 Description of Service and Outputs:

2.2 Process Map showing business processes and stakeholders involved (using template at Appendix A.

2.3 Resources normally employed in the provision of service:

Location	**Resources**

2.4 **Impacts on Service and/or Stakeholders:**

2.4.1. **Financial Impacts:**

Stage:	**Timeframe**	**Impact:**

2.4.2 **Non-financial Impacts:**

Stage:	**Timeframe**	**Impact:**

2.3 Recovery Objectives:

	Stage(s)	Hours / Days following disruption

2.4 **Resource Requirements:**

Stage of process / Function:	
Staff:	
Accommodation:	
Systems (IT & IS):	
Hard Data:	
Other Resources:	

Stage of process / Function:	
Staff:	
Accommodation:	
Systems (IT & IS):	
Hard Data:	
Other Resources:	

3. Risk Assessment

Please refer to paragraph 3.3 of Chapter 3 of the Guidance document for further guidance on completing your risk assessment.

Risk	Source	Likelihood	Severity
1. Damage or denial of access to premises	Fire/Arson/Vandalism, Flood/Weather damage, aircraft/vehicle impact, public order/terrorist attack.		
2. Loss or damage to IT systems, voice networks, hardware, software, data	As above + power failure, technical failure, virus, human error, failure of external provider.		
3. Non-availability of key staff	Industrial Action, sickness/injury, transport difficulties		
4. Loss or damage to other resources	Commercial/utility failure, service provider failure, damage to distribution network.		

4. Identification and Evaluation of Continuity Options

4.1 Identification and evaluation of recovery options

Risk	Recovery Option	Evaluation Criteria [Reasons FOR (F) adopting the option versus reasons AGAINST(A)]	Action

4.2 Identification and evaluation of risk-reduction options

Many risk reduction options are corporately identified initiatives, and depend on more than just business continuity issues. Specific options considered in this report are detailed below:

Risk	Risk Reduction Option	Evaluation Criteria [Reasons FOR (F) adopting the option versus reasons AGAINST(A)]	Action

5. Summary of Proposed Business Continuity Options

Option	Action

6. Audit Record

Date	Detail changes to service and / or continuity arrangements	Signature

Appendix 1 - Process Map

	End to end Service				
	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
Stakeholder 1					
Stakeholder 2					
Stakeholder 3					
Stakeholder 4					
Stakeholder 5					
Stakeholder 6					
Stakeholder 7					
Stakeholder 8					

Appendix 2

Business Impact Questionnaire

1. **Service**

2. Describe the service, what is provided, how, from where and to whom.

3. List the resources (people, accommodation and systems) normally employed in the delivery of the service.

4. Produce a process map (Appendix A), which shows all the stages involved in the delivery of the service. From this, any dependencies and single points of failure should become apparent.

5. Identify the impacts on the service, of a disruption / interruption to each stage of the end-to-end process.

   Examples of impacts:

FINANCIAL IMPACTS:	NON-FINANCIAL IMPACTS:
Financial loss;	Risk to personal safety;
Financial penalties.	Loss of goodwill;
Reduced income;	Loss of credibility;
Increased cost of working.	Political or corporate embarrassment
	Breach of law;
	Loss of operational capability.

6. a) Determine recovery objectives for each stage of the process according to the following Categorisations.

   Category 1 – Resume output within 1 HOUR
   Category 2 – Resume output within 4 HOURS
   Category 3 – Resume output within 1 DAY
   Category 4 – Resume output within 1 WEEK
   Category 5 – Resume output within 1 MONTH

   b) Detail the minimum resources required to meet the recovery objectives, as detailed above.

ANNEX C

Business Continuity Management -

(Name of Service)

Business Recovery Plan

Version:

Author:

Introduction

1. This plan is to be used to assist in the recovery of the ***(Name of Service)*** in the event of a major disruption. A major disruption is classed as a significant incident, which threatens personnel, buildings or the operational structure of the service and requires special measures to be taken to restore a normal service.

Purpose of the Plan

2. The aim of the Plan is to set out the roles, responsibilities and actions to be taken by the ***(Name of Service)*** to re-instate the service following a major disruption.

Scope

3. As part of the ***(Name of Organisation)*** Business Continuity Management Strategy the BCM process has been applied to the ***(Name of Service)***. Details of the continuity strategy for the service are set out in a Requirements and Strategy Report. The report contains detailed information gathered from a business impact analysis, the outcomes of the subsequent risk assessment and evaluation of a range of recovery and risk reduction options. This plan sets out how the recovery measures will be undertaken.

Assumptions

4. A planning assumption has been made that any service disrupted by an unplanned event will achieve a 'normal service' within ***(timescale set by the organisation)*** of the disruption. However this does not mean that everything will be re-instated to a level equal to that prior to the disruption. Corporate ICT/Human Resources support will be provided but an individual service should plan to be self-sufficient for the first 5 working days following a disruption.

5. A major disruption to all ***(Name of Organsisation)*** Services will invoke the Corporate Recovery Plan (CRP) and details of the critical elements of the (***Name of Service)*** have been included in the CRP.

Details of the Service

6. A description of the ***(Name of Service)*** is detailed in Section 2 of the Strategy and Requirements Report.

Recovery Objectives

7. Priorities have been identified against the following categories:

	Stage(s)	Hours / Days following disruption
Category 1		**Resume output within 1 hour**
Category 2		**Resume output within 4 hours**
Category 3		**Resume output within 1working day**
Category 4		**Resume output within 1 week**

8. The resources required to meet the Category 1 – 4 Recovery Stages are detailed at Annex A.

Plan Activation

9. The ***(Head of Service or nominated deputy)*** will be responsible for the activation of the Recovery Plan. All staff members will be contacted and advised of the current situation and what their role will be in the recovery phase. Contact details are listed at Annex B.

Any other action check lists should be referred to in this paragraph.

Plan Maintenance

10. Contact details in this plan will be reviewed quarterly and a full review will take place annually.

Training, Testing and Exercising

11. All ***(Name of Service)*** staff will be provided with awareness training to familiarise them with the recovery procedures. Additional training will be provided through Corporate BCM training exercises and call-out exercises.

Appendix 1 to Annex C

Resource Requirements

Category 1 initial requirements within 1 hour

Stage of process / Function:	
Staff:	
Accommodation:	
Agreed Alternative Accommodation Arrangement	**Location:** **Contact Name:** **Contact Number:**
Systems (IT & IS):	
Hard Data:	
Other Resources:	

Category 2 Initial requirements within 4 hours

Stage of process / Function:	
Staff:	
Accommodation:	
Agreed Alternative Accommodation Arrangements	**Location:** **Contact Name:** **Contact Number:**
Systems (IT & IS):	
Hard Data:	
Other Resources:	

Category 3 initial requirements within 1 day

Stage of process / Function:	
Staff:	
Accommodation:	
Agreed Alternative Accommodation Arrangements	**Location:** **Contact Name:** **Contact No:**
Systems (IT & IS):	
Hard Data:	
Other Resources:	

Category 4initial requirements within 1 week

Stage of process / Function:	
Staff:	
Accommodation:	
Agreed Alternative Accommodation Arrangements	**Location:** **Contact Name:** **Contact No:**
Systems (IT & IS):	
Hard Data:	
Other Resources:	

Appendix 2 to
Annex C

CONTACT LIST

Name	Work Tel.	Home Tel.	Mobile