



BUSINESS CONTINUITY STRATEGY

Title	Business Continuity Strategy
Who should use this	
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Approved by Joint Board	1 st September, 2015
Reviewer	Head of Valuation Services & Assistant ERO
Review Date	2018

Review History

REVIEW NO.	DETAILS	RELEASE DATE
1	NEW – JUNE 2015	
2		
3		
4		
5		
6		

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General Statement of Intent

Ayrshire Valuation Joint Board is fully committed to the principles of Business Continuity Management (BCM) and has developed a comprehensive strategy and has established procedures in place to ensure that critical services are maintained in the event of a disruption.

Business Continuity (BC) helps to maintain 'business as usual' services at an acceptable pre-defined level. It can be seen as a bridge between Risk Management and Emergency Planning. It utilises the risk identification and management processes of formal risk management and the crisis management capabilities of emergency planning. BCM is not just concerned with the denial of a service or access to a facility that would affect the continuity of service but it can also relate to employee shortages from for example pandemic flu or industrial action.

In order for BCM to be truly successful it must be fully integrated within normal management processes, directly supporting and helping to achieve corporate objectives and the vision of the Board.

Ayrshire Valuation Joint Board recognises that it cannot entirely eliminate the risk of a disruption to its service delivery – a residual level of risk will always remain. Therefore we have implemented a BCM Strategy with the following aims and objectives:

- Comply with the Civil Contingencies Act (CCA) 2004 and the Civil Contingencies Act 2004 (Scotland) Regulations 2005 by providing an effective framework for BCM and deliver a consistent approach to Business Continuity Plans (BCP's) throughout the Board.
- Maintain a robust BCM document framework including impact analysis, plans and procedures to cover all three of our core functions.
- Reinforce BCP's as a management responsibility and ensure that those employees involved in the process have an understanding of how it relates to their service.
- Continue to embed BCM into the culture of the organisation and raise awareness of the importance and the need to develop and maintain an accurate and relevant BCP.
- Ensure that BCP's can be implemented in the event of a disruption.

Full details on how we intend to implement the requirements of this General Statement of Intent can be found on the following pages.

Signed: Assessor & Electoral Registration Officer

Date:

1.0 Introduction

This Strategy follows very closely the one adopted by South Ayrshire Council in April 2008. It outlines the journey through initial launch and corporate roll-out of Business Continuity Management (BCM) principles and details the intended future development to ensure Business Continuity (BC) is fully embedded in the culture of the Board.

Ayrshire Valuation Joint Board Business Continuity Strategy Comprises three interdependent key elements;

- 1) This procedural document
- 2) Three Business Impact Analysis covering
 - a) Compilation and maintenance of the Valuation Roll
 - b) Compilation and maintenance of the Council Tax Valuation List
 - c) Compilation and maintenance of the Electoral Register
- 3) The Ayrshire Valuation Joint Board Business Continuity Plan

BC helps to maintain 'business as usual' services at an acceptable pre-determined level. It can be seen as a bridge between Risk Management and Emergency Planning.

BCM is an ongoing process of risk assessment and management with the purpose of ensuring that the Board can continue if the risk materialises. These risks can be from the external environment over which we have no control or from within the organisation. Examples include fire, flood, power failure, industrial action etc.

BCM is sometimes confused with Disaster Recovery Planning (DRP), which is the process of recovering a system from an unexpected, serious fault for example the ICT DRP will be invoked by SAC ICT Management in the event of an incident affecting their systems.

Taking into consideration any changing legislation and best practice, this Strategy will be reviewed, amended and updated as necessary.

2.0 Objectives

The main aim of this strategy is to provide an effective framework for BCM and deliver a consistent approach to BCP's across the Board. The objectives of the strategy are to:

- Continue to maintain a robust BCM document framework including impact analysis, plans and procedures to cover all service areas.
- Raise awareness of the merits of BCP's.
- Reinforce ownership of our BCP as a management responsibility and ensure that those managers and employees involved in the process have an understanding of how it relates to their service.
- Ensure that our BCP can be implemented in the event of a disruption.
- Continue to embed BCM into the culture of the organisation.
- Work with suppliers and service providers to ensure their BC arrangements support the work of the Board.

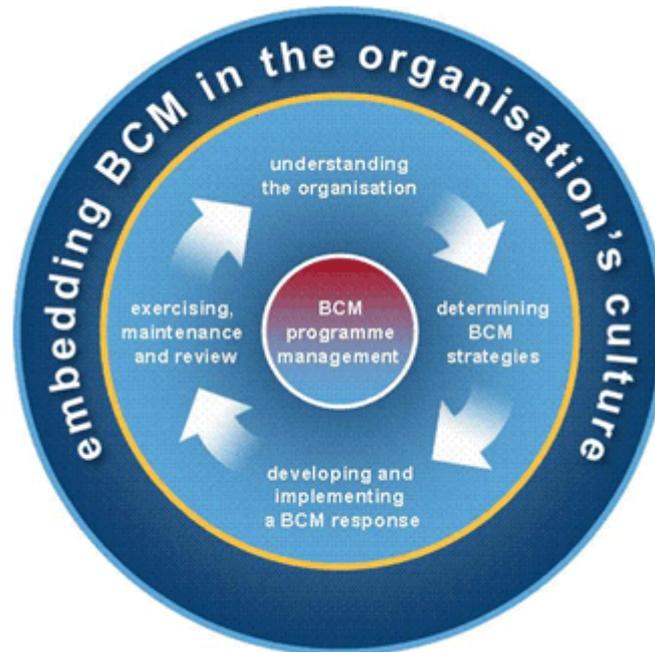
2.1 *These objectives are achieved by:*

- Maintaining an IT based system on South Ayrshire Council's intranet to allow Business Impact Analysis (BIA) and BCP's to be developed and reviewed at regular intervals.
- Delivering training to nominated managers and employees within the Board to further enhance ownership and awareness of BCM.
- Reviewing existing and creating new (where necessary) Business Impact Analysis (BIA) within each core area of our business.
- Continually reviewing and updating our BCP in order to identify the critical services within the Board and the procedures in place to ensure that these services can continue to operate in the event of a disruption.

3.0 Business Continuity Management (BCM) Process

BCM proactively improves the Board's resilience against the disruption of its ability to achieve its key objectives. It is about understanding our business and establishing what our critical services are. The authority has both internal and external dependencies that support these areas, this could be suppliers, customers, business processes, partners etc. These have been identified and should continue to be linked into any BCM work implemented by the Board (refer to Interdependencies Chart within the BC Plan).

The Board have adopted the methodology of the BCM lifecycle as defined within ISO 22301 (formerly BS 25999), as illustrated in the following diagram. This describes the BCM process as being a lifecycle of six elements, all of which form part of the overall BCM process.



The following sections will detail how the six elements of the lifecycle are implemented across Ayrshire Valuation Joint Board.

3.1 BCM Programme Management

Ayrshire Valuation Joint Board has established a formal structure for BCM to ensure that it is given the correct level of importance within the Board.

The overall responsibility for ensuring that the Board has an effective BCM framework in place lies with the Assessors Management Team. The delegated responsibility for driving forward the BC agenda rests with the Head of Valuation Services whose remit includes the Risk Management function, which acts as a support mechanism in relation to BCM.

Management commitment is key to ensuring that the BCM process is correctly introduced, adequately supported and established as part of the Board's culture. BC responsibility has been assigned as follows:

3.1.1 Elected Members

Responsibilities include:

- approval of the BC Strategy;
- supporting the delivery of the BC Strategy;
- a remit for decision making through Board Meetings.

3.1.2 Assessors Management Team

The Assessors Management Team have a major role to play in the long term BC strategy of the Board. Their responsibilities include:

- approval of the BC Strategy;
- supporting the delivery of the BC Strategy;
- monitoring and reviewing the BC Strategy;
- ensuring that the BCP is effectively managed.

In the event that the BCP is invoked due to a disruption to critical services, additional responsibilities will include:

- liaising with Elected Members and other political stakeholders;
- availability, if needed, to make any urgent decisions;
- authorising media statements and minimising negative media portrayal;
- taking major financial decisions and assessing associated risks;
- dictating the policy on recovery;
- monitoring the legal aspects of the recovery.

3.2 Understanding Your Business

This element of the BCM lifecycle is about understanding the business, by defining the processes it delivers and identifying which services are perceived as critical. This involves carrying out a BIA – the foundation work from which the whole BCM process is built. This process involves identifying:

- key services;
- the critical activities and resources that support them and
- recovery requirements.

The development of an IT based system makes it possible to complete the BIA documentation on South Ayrshire Council's intranet. An example of the BIA form can be found at Appendix I along with guidelines on how to complete the form at Appendix II.

3.3 Business Continuity Approach

The information gathered from the BIA allows the development of an appropriate BCM approach. This is a balance between risk reduction and recovery or continuity options. The purpose is to identify and select appropriate approaches to offset the identified risks and ensure key processes can be maintained at an acceptable pre-defined level during a disruption.

The Civil Contingencies Act identifies 5 broad options that could be considered when developing the risk reduction approach:

- Option 1: Do nothing – this may be acceptable for certain non-crucial functions where the impact is minimal.
- Option 2: Change, transfer or end the process.
- Option 3: Insurance – provision of financial cover.
- Option 4: Loss mitigation – implementing procedures to eliminate or reduce the risk.
- Option 5: Business Continuity Planning.

The Head of Valuation Services should determine which option is most appropriate dependent on the level of risk and the core areas being delivered.

3.4 Developing and Implementing BCM Plans

The aim of this element is to ensure that the Board has fit-for-purpose plans and procedures in place to enable it to respond to a BC incident and ensure that recovery facilities can be effectively managed. This process will involve initial rehearsals to raise levels of awareness and allow for 'proof of concept' testing.

The AVJB BCP has been established and tailored templates developed to be used by all identified managers. An example of the template being used can be found at Appendix III along with guidelines at Appendix IV. The completed templates identify the critical services within the Board and the procedures in place to ensure that the authority can continue to deliver crucial services at a pre-determined level to the public in the event of a disruption affecting its operations. The types of disruption that could invoke the plans are:

- critical employee shortages eg. norovirus, pandemic flu, industrial action;
- loss of premises;
- relocation of premises;
- ICT failure / loss of data;
- utility failure;
- extreme weather eg. snow, flooding;
- fire or explosion;
- loss of resources, suppliers / failure of equipment;
fuel shortages / fuel strikes.

3.5 Exercising, Maintenance and Audit

This element of the lifecycle will ensure that the Board's BCM arrangements are validated by exercise and review and that they are kept up-to-date. The purpose of exercising is to validate and maintain robustness of plans and maintain awareness of roles and responsibilities.

It is crucial that a robust control system is in place to ensure that BCP's remain up to date and fit for purpose. Ongoing training and guidance will be made available as and when it is required.

3.6 Building and Embedding a BCM Culture

Embedding BCM in the organisation's culture is part of all the components of the lifecycle. BC should be embedded at all levels within an organisation and be something we do all the time rather than being a stage in the process.

We need to ensure that employees are made aware of the BCM process and are able to effectively undertake their roles and responsibilities in the event of a disruption. The success of the BC programme depends on this.

To be successful, BC has to become part of the way that the Board is managed. All employees have to understand that BCM is a serious issue for the Board and that they have an important role to play in maintaining the delivery of our services to clients and customers.

All BCP's developed are embedded electronically on South Ayrshire Council's intranet and can be easily accessed by those with permissions to the BC system. Managers are also encouraged to store a hard copy of their plan securely both on and off site with further copies being disseminated to those on the distribution list within the plan. Progress of BCM is reported to the Board, Corporate Governance Meetings and the Assessors Management Team Meetings. In accordance with the Board's Communication Strategy process will also be cascaded to all staff via team briefings, bullet and action points and formal minutes as and when required.

Business Continuity Application

Business Impact Analysis (BIA)

Please Note: All Fields should be completed otherwise the BIA Form will NOT be Saved

Directorate:

Service:

Section:

Lead Officer:

Function Priority

Function/Activity:

Criticality of the Function/Activity (*1)

Not Crucial (1) Required (2) Important (3) Essential (4) Crucial (5) Vital (6)

Maximum Tolerable period of disruption (*2)

More than 1 month (1) Up to 1 month (2) Up to 1 week (3) 24-48 hours (4) 1-24 hours (5) Less than 1 hour (6)

Overall Priority Score (*3) : X =

Resource Requirement for Recovery

Minimum Number of Employees: **This box must only contain numbers**

Relocation of functions:

Resources required:

Data/Systems Required:

Submit BIA Form

How critical is the function (*1)		Maximum tolerable period of disruption (*2)	
6	Vital (life and limb)	6	Less than 1 hour
5	Crucial (public health & safety)	5	1 - 24 hours
4	Essential (for key services)	4	24 - 48 hours
3	Important	3	Up to 1 week
2	Required	2	Up to 1 month
1	Not Crucial	1	More than 1 month

Key (*3) Overall priority score

36	30	24	18	12	6
30	25	20	15	10	5
24	20	16	12	8	4
18	15	12	9	6	3
12	10	8	6	4	2
6	5	4	3	2	1

Firstpriority	20 to 36	First phase of plan development.
Secondpriority	9 to 18	Second phase of plan development.
Thirdpriority	1 to 8	Only develop plan if there is a benefit.

Likelihood - Most disasters or adverse incidents cannot be predicted and it is therefore not always possible to determine the criticality of such events.

Further information on this can be found within the [Community Risk Register](#).

BUSINESS IMPACT ANALYSIS (BIA) GUIDELINES

In order to develop a Business Continuity Plan (BCP) managers need to, in the first instance, establish and prioritise their key functions / activities in order to manage the continuation of these during a disruption. This process is known as BIA. The following guidance should be used to assist in the completion of a BIA.

First - Use the drop down menus to select the Directorate, Service, Section and Lead Officer details.

Function Priority

Step 1 - Enter the details of the function / activity – one per template.

Step 2 – Decide on the criticality of the function / activity and click on the relevant radio button that indicates how critical the function / activity is to the Board in the event of a disruption / major incident (use key¹ for values).

Step 3 – Decide on the maximum tolerable period of disruption for the function / activity and click on the relevant radio button that indicates how long the function can be disrupted for (use key² for values).

Step 4 – The system will automatically calculate the values from step 2 and 3 to provide an overall priority score (refer to key³).

The above steps should be repeated for each function in order to establish the priority of these.

Resource Requirement for Recovery

Step 1 – You may not need all your employees to be present in a given activity immediately after an emergency. Enter the maximum number of employees you would require.

Step 2 – You need to consider if the function / activity could be carried out elsewhere by employees. For example, working from home, at an alternative location or with another organisation etc.

Step 3 – For the function / activity, list probable resources required to assist in the recovery, for example:

- Computers (hardware/software);
- Vehicles;
- Communication equipment (landlines/mobiles);
- Personnel;
- Alternate buildings/site;
- Machinery.

Step 4 – List what data / system(s) are essential to the delivery of the function / activity, for example:

- Employee contact details
- Financial information.

The completed BIA will assist managers to prioritise which function / activity needs to be reinstated first during a disruption / major incident.

To ensure that the BIA process is completed in a consistent manner, the following criteria can be used as a guide towards determining a critical function / activity when developing their BCP.

- Key legislative requirements eg.
- Activities that could have a significant financial impact on the Board or its service users if it is not delivered;
- Activities that, if not continued, could result in significant reputational damage.

(Please note that the above list is in no particular order)



Ayrshire Valuation Joint
BUSINESS CONTINUITY PLAN TEMPLATE

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Service Information and Responsible Person Details

This section must be completed and will contain details of:

- the service;
- management contact information;
- the responsible person(s) for the BCP;
- the location of the BCP.

Service:	
Location:	

Service Manager

Name and Position:			
Work base:			
Office tel. (incl. STD code):		Work mobile:	
Home address:			
Home tel. (incl. STD code):		Other:	

Assistant Manager/Depute

Name and Position:			
Work base:			
Office tel. (incl. STD code):		Work mobile:	
Home address:			
Home tel. (incl. STD code):		Other:	

Assistant Manager/Depute

Name and Position:			
Work base:			
Office tel. (incl. STD code):		Work mobile:	
Home address:			
Home tel. (incl. STD code):		Other:	

Person responsible for the BCP

Name and Position:			
Work base:			
Office tel. (incl. STD code):		Work mobile:	
Home address:			
Home tel. (incl. STD code):		Other:	

Location of BCP

Building/Address:	
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Location of backup/copy BCP

Building/Address:	
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Critical Service Priority List

The table below lists the key service(s) that require to be reinstated first during a disruption/major incident. Further details can be obtained from the Business Impact Analysis (BIA) attached at Appendix I.

Priority	Critical Service

Location of Back-up Files

The table below should be used to record details of any back-ups of data that you use in your service and may require in the event of a disruption.

In the first column provide a description of the files:

- what is the data? eg. service users etc.
- how is the data held? eg. electronically, paper copy etc.

In the second column provided details of the location of the files eg. are they held at another office? If so, what is the address and contact details of the office?

Description of files	Location of files



Ayrshire Valuation Joint Board

BUSINESS CONTINUITY PLAN TEMPLATE GUIDELINES

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Introduction

The information contained in this document is designed to assist you in completing your Business Continuity Plan (BCP) Template. This will enable you to continue service delivery to at least a pre-determined minimum level during and beyond a disruption/major incident. Remember, in an emergency situation anyone in the service should be able to understand and implement the plan. Therefore, everyone should be aware of the plan and their roles and responsibilities within it.

It is acknowledged that BCP's may contain personal information such as out of hours contact details. Where BCP's reference such personal details, respect for the Data Protection Act has to be a paramount consideration.

Front Cover

Enter the name of the service that the BCP represents.

References and related documents

List any other plans, legislation, policy or guidance that may be relevant to your BCP, for example Fire Evacuation Plan.

Distribution List

List who is in receipt of a copy of the BCP, what their position is within the Board, where they are based and their contact telephone number. This will ensure that each time you update the plan you know who to distribute the copies to.

Service Information and Responsible Person Details

This section is self-explanatory. Simply enter in the details of the service, the location, details of the service manager, assistant(s)/depute(s), the main person with responsibility for the BCP and the location of the BCP and backup/copy.

Critical Service Priority List

One of the key pieces of information that you need to have in your BCP is the critical service priority list. This will allow you to prioritise the functions of your service so that you can concentrate on the continuation or recovery of the most important functions first.

This information can be gathered from the Business Impact Analysis (BIA).

Location of Back-up Files

List details of the Board's back-up files, vital records or critical paperwork that you may require in the event of a disruption and the location of these files. This will help to ensure that in the event of the plan being invoked, this information can be accessed as quickly as possible.

Key Employee Contact List

Comprehensive details of how to get in touch with your employees can be crucial to your recovery, so please ensure that this list contains valid information. Home/out of office hours contact details are paramount to your recovery in the event of a disruption occurring during the night or weekend.

Internal and External Contacts

List details of internal contacts within South Ayrshire Council, external suppliers, contractors or customers that you may depend on in the delivery of your service. It may also be beneficial to record details of potential suppliers, customers and contractors in the event that your regular contacts are unavailable or unable to provide a service at that time.

Assembly Points

It may be useful to record details of your assembly point(s) for your building.

First Aider(s) Details

List details of your first aider(s) in the event that you need to call on their services. It is vital that this information is kept up to date.

Fire Warden(s) Details

List details of your fire warden(s) in this table. It is vital that this information is kept up to date.

Arrangements for Reciprocal Support

It may be useful to record details of any reciprocal support arrangements that you have in place. This may be, for instance, an arrangement you have with another department or Assessors Office where your employees can go when their building is inaccessible or an external provider who can assist you to deliver your services.

Temporary Accommodation and Resources

In the event that your building/office is inaccessible and you have to relocate your employees to another establishment, details of your temporary accommodation and resource requirements should be recorded in this section.

This can range from the number of employees you will require to allow a basic service to be provided, the type of accommodation required eg. do you need interview rooms? access for disabled persons? car parking?, what office equipment/furniture is required and any other resources needed eg. transport, residential accommodation.

The above details should be recorded to show your minimum requirements over the period of a week and also your longer term requirements.

Incident Log Sheet

It is essential that a log of actions that have taken place and the decisions made is maintained. This information will be useful during the review of your BCP and could assist you in cases where you have to justify decisions taken.