

LODDON SHIRE COUNCIL

BUSINESS CONTINUITY FRAMEWORK



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This document is available in alternative formats (e.g. larger font) if requested.

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EXECUTIVE SUMMARY

This framework addresses the emergency response, resumption and recovery, restoration and recovery of the Loddon Shire Council operations and business activities during a business interruption event.

This framework provides guidance for the resumption and recovery of Council's critical business functions and activities in accordance with pre-established timeframes, and ensures compliance with Council's Business Continuity Management (BCM) Policy.

The framework incorporates best practice standards in accordance with ISO22301:2012 (ISO22301) Business Continuity Management Systems–Requirements.

An important key to the success of business continuity in any organisation is support and commitment at the highest level. For this reason, this document has been approved by Council.

1 PURPOSE

This framework sets out the Loddon Shire Council Business Continuity Management (BCM) components, roles and responsibilities, and processes for managing BCM activities within Council. This will ensure that BCM functions will be maintained, managed and governed on an ongoing basis.

This framework:

- applies to all of Council's departments and all staff and locations
- establishes a set of guidelines for Council to implement effective BCM
- outlines the various roles and responsibilities required for Council to manage the BCM process
- provides an outline of the governance requirements to ensure that the framework, associated processes, procedures and tools remain compliant with best practice requirements at all times.

2 OBJECTIVES

In developing and implementing the formal BCM framework, Council has several objectives, which include:

- safeguarding employees' lives, welfare and confidence
- safeguarding Council assets
- maintaining stakeholder confidence (internal and external)
- quickly recovering and resuming Council's critical business services and activities
- mitigating financial loss.

3 BUDGET IMPLICATIONS

There are no direct budget implications for management of the business continuity process; however, there may be budget implications should a business continuity event ever occur.

4 RISK ANALYSIS

This framework has been developed to minimise the risks associated with a business continuity event.

5 BUSINESS CONTINUITY MANAGEMENT FRAMEWORK

In order to comply with good practice BCM, Council will establish the following elements:

5.1 Governance

The BCM process has full support and endorsement of Council's Management Executive Group (MEG).

The BCM program will be:

- applied in a holistic and consistent approach throughout Council, and will consist of organisation wide plans and a formal reporting framework
- updated to reflect all new service areas, material outsourcing arrangements, major projects and system changes
- overseen, sponsored, and authorised by the MEG.

Adequate resources will be made available for the BCM program.

All BCM documentation for each activity will be controlled, periodically reviewed (at least annually), updated and authorised by MEG.

5.2 Understanding of core BCM information

Key components of BCM are:

5.2.1 Business Impact Assessment (BIA)

Council carries out a formal BIA for all areas of operation according to a documented method. The BIA quantifies and records all skills, resources, services, infrastructure, interdependencies and supplies (both internal and external) required by each critical activity to achieve Recovery Time Objectives (RTO). Maximum Tolerable Period of Disruption (MTPD) and Recovery Point Objectives (RPO) also to be determined.

The BIA prioritises restoration of these activities. It takes into account tangible financial impacts of a disruption (e.g. increased cost of working, loss of revenue, fines, and penalties) and intangible and non-financial impacts (e.g. reputational, legal, regulatory, and customer servicing impact).

5.2.2 Risk Assessment (RA)

The RA identifies, evaluates and records critical continuity related vulnerabilities of each of the businesses critical activities and resources, including potential disruption scenarios.

5.2.3 Documentation

All BIA and RA documentation (methods, findings and conclusions) is up to date, reflects the Council's current condition, is reviewed annually, and is authorised and signed off by the MEG.

All plans for critical BCM information include:

- identified and defined critical business processes and/or functions
- critical success factors, peak periods (e.g. seasonal) and disruption threats
- Maximum Tolerable Period of Disruption (MTPD): Identified maximum period of time that Council can tolerate the loss of a process or function before a serious impact on operations or service delivery
- Recovery Time Objective (RTO): The anticipated timeframe for actual recovery of the process and/or function to an acceptable level
- Recovery Point Objectives (RPO): Identified data recovery requirements
- information technology dependencies
- ownership of assets affected by a business continuity event
- physical resources available
- resources needed if a disruption event occurs
- business continuity plan activation, roles, responsibilities and succession plans for unavailable staff.

5.3 Recovery strategies

Recovery strategies will to ensure that Council can tolerate and recover from all business continuity related scenarios. Recovery strategies:

- ensure the timely restoration of all affected critical activities and resources

- are fully up to date and reflect current business requirements, Business Impact Assessment (BIA) timeframes and priorities
- are formally reviewed for compliance, with all applicable standards on an annual basis
- are up to date, fully documented, reviewed and signed off by MEG.

5.4 Planning

The Business Continuity Plan (BCP) will contain the following elements:

- all information, procedures and processes required for continuity of all critical activities including the recovery levels that must be achieved over time
- an up to date inventory of the resources required over time to deliver the recovery strategies
- clearly identified locations at which recovery can take place.

The BCP must:

- take full account of and comply with the BCM Framework
- be formally reviewed following each major change that affects strategies
- be securely held on and off site and be readily accessible by all of its potential users through tablet devices or other electronic means
- contain related documents that are up to date and reflect Council's current requirements
- be reviewed annually.

To support business continuity, Council will develop, maintain and exercise an Information Technology Disaster Recovery Plan.

5.5 Awareness training

Awareness training will provide staff with awareness of their roles, responsibilities and accountabilities, and key critical functions and/or activities which need to be resumed.

Business continuity training for the Business Continuity Team Leader, Business Continuity Log Keeper and business continuity team members is essential for effective resumption and recovery. Relevant staff must be trained about their business resumption and recovery roles. Relevant training, for example, desktop training (at a minimum) should be undertaken on an annual basis.

Key components of the BCM awareness training are:

- communicating the importance of BCM and embedding it in Council's culture
- planned activities, such as business continuity exercises, that achieve an appropriate level of awareness and encompass all areas of the BCM lifecycle
- participative training through involvement in formal training programs for key staff identified in the BCP.

5.6 Exercise and testing

Key components of the BCM exercise phase are:

- a formal BCM exercise program covering all operations will be in place, and will be exercised and updated on a regular planned basis. The program ensures that each exercise has clearly defined aims, objectives and success criteria that are formally authorised by the MEG
- the exercise program ensures each exercise has a post-exercise report with corrective recommendations and a timetable for implementation
- the exercise program ensures all electronic and paper information, critical systems and telecommunications, recovery worksites, command centre, critical suppliers and outsourced (including third party) recovery capabilities are exercised at least annually

- all plans will be tested at least annually as per the International Standard ISO22301:2012 (ISO22301) Business Continuity Management Systems–Requirements.

5.7 Maintenance or review

A formal maintenance program ensures the continued compliance of the BCM program within the BCM Framework. The maintenance program includes:

- review of the entire BCM program
- ensuring that all changes and improvements that affect BCM are identified and appropriately risk assessed
- full documentation that ensures up-to-date status of the BCM program and reflects current requirements.

6 ROLES AND RESPONSIBILITIES

The key roles are the Business Continuity Team, which has the following membership:

- Chief Executive Officer (Business Continuity Team Leader)
- Executive Assistant to the Chief Executive Officer (Business Continuity Log Keeper)
- Director Community Wellbeing (Business Continuity Team Member)
- Director Corporate Services (Business Continuity Team Member)
- Director Operations (Business Continuity Team Member)
- Manager Organisational Development (Business Continuity Team Member)
- Manager Information (Business Continuity Team Member)
- Manager Operations (Business Continuity Team Member)
- Manager Technical Services (Business Continuity Team Member)
- Media Officer (Business Continuity Team Member)

The roles and responsibilities of key personnel in a business continuity event are:

6.1 Business Continuity Team Leader - Chief Executive Officer

The Loddon Shire Business Continuity Team Leader is the responsible officer for business continuity within the Shire.

6.1.1 Pre-event

- ensures members of the team are adequately trained
- ensures recovery procedures, resources and facilities are readily available
- reviews and maintains plans as required by the Business Continuity Framework.

6.1.2 Event

- endeavours to ensure employees' safety at all times
- notifies and updates the Loddon Shire Council Business Continuity Team
- decides on activation and response and recovery of the Business Continuity Plan
- determines where the first meeting of the BCP Team will be held and advise members
- determines the location of the crisis centre
- guides and makes decisions on behalf of Loddon Shire Council regarding resourcing and restoration of Council priorities
- conducts media interviews or appoints a delegate to this task
- identifies an alternate to lead the team if unavailable
- determines suitable alternatives to assist with the ongoing response e.g. may co-opt other members of the business or other suitably qualified external providers
- decides on official stand down of the Loddon Shire Council Business Continuity Plan (BCP).

6.1.3 Post-event

- conducts a post-incident review including debrief and recommendations, following return to normal business operations, or
- engages other suitably qualified external providers to conduct a post-incident Business Continuity Review.

6.2 Business Continuity Plan Log Keeper – Executive Assistant to the CEO

6.2.1 Pre-event

- supports the Business Continuity Team Leader
- ensures the Business Continuity Plans are accessible for the Business Continuity Team members.

6.2.2 Event

- ensures key information and events are properly logged
- sources and allocates the resources in conjunction with members of the Business Continuity Team
- collates and updates all Team Member Log Sheets.

6.2.3 Post-event

- participates in post-incident review including debrief and recommendation, following return to normal business operations
- assists in preparing post-incident reports
- collates and provides information to form part of any corporate use e.g. Insurance Claim.

6.3 Director Community Wellbeing – Business Continuity Team Member

6.3.1 Pre-event

- commits to attending training in business continuity
- reviews critical functions and resources required during update of the Business Continuity Framework or Business Continuity Plan.

6.3.2 Event

Refers to Community Wellbeing Directorate critical business functions, resources and recovery strategies in the BCP, and:

- advises all managers in the directorate of the business continuity event, and how that will impact their operations
- if necessary, asks managers to contact staff to advise them when and where to attend work
- ensures that identified critical business functions within the Community Wellbeing Directorate are restored to a minimal level as a first priority and supports the directorate in restoration of services
- coordinates the assessment, salvage, and restoration of Community Wellbeing Directorate functions to minimise the effect of the event on Council operations
- identifies an alternate representative for Community Wellbeing Directorate if unavailable, and ensures they are briefed as required.

6.3.3 Post-event

- participates in post incident review including debrief and recommendations, following return to normal business operations
- assists in preparing post-incident reports
- collates and provides information to form part of any corporate use e.g. Insurance Claim.

6.4 Director Corporate Services – Business Continuity Team Member

6.4.1 Pre-event

- commits to attending training in business continuity
- reviews critical functions and resources required during update of the Business Continuity Framework or Business Continuity Plan.

6.4.2 Event

Refers to Corporate Services Directorate critical business functions, resources and recovery strategies in the BCP, and:

- advises all managers in the directorate of the business continuity event, and how that will impact their operations
- if necessary, asks managers to contact staff to advise them when and where to attend work
- ensures that identified critical business functions within the Corporate Services Directorate are restored to a minimal level as a first priority and supports the directorate in restoration of services
- assesses the submissions from departments of Council for operational resources, and:
 - amends to fit the available accommodation
 - instructs an authorised officer to obtain resources from the offices and/or depots, or
 - procures the required resources if offices and/or depots are unable to supply or unable to be entered
- considers any legal issues and seeks appropriate advice as required
- identifies an alternate representative for Corporate Services Directorate if unavailable, and ensures they are briefed as required.

6.4.3 Post-event

- participates in post-incident review including debrief and recommendations, following return to normal business operations
- assists in preparing post-incident reports.

6.5 Director Operations – Business Continuity Team Member

6.5.1 Pre-event

- commits to attending training in business continuity
- reviews critical functions and resources required during update of the Business Continuity Framework or Business Continuity Plan.

6.5.2 Event

Refers to Operations Directorate critical business functions, resources and recovery strategies in the BCP, and:

- advises all managers in the directorate of the business continuity event, and how that will impact their operations
- if necessary, asks managers to contact staff to advise them when and where to attend work
- coordinates and sets up the primary or secondary Business Continuity Centre
- validates all decisions concerning any damaged buildings, which includes securing sites, safety, access control to the site and preparation of technical documentation to assist the Business Continuity Team
- ensures that identified critical business functions within the Operations Directorate are restored to a minimal level as a first priority and supports the directorate in restoration of services
- refers to the Municipal Emergency Management Plan (MEMP) if the event affects large proportions of the community e.g. flood

- organises all contractual services (carpentry, electrical, electrical, plumbing, and others as needed) for all temporary premises
- identifies an alternate representative for Operations Directorate if unavailable and ensures they are briefed as required.

6.5.3 Post-event

- participates in post-incident review including debrief and recommendations, following return to normal business operations
- assists in preparing post-incident Plan reports
- collates and provides information to form part of any corporate use e.g. Insurance Claim.

6.6 Manager Organisational Development – Business Continuity Team Member

6.6.1 Pre-event

- commits to attending training in business continuity
- ensures all staff records are up to date and available.

6.6.2 Event

- assesses occupational health and safety and welfare issues relating to the event , and arranges any support services required
- coordinates industrial relations issues that may arise out of the event, such as:
 - necessity of alternate duties (working outside of classifications)
 - employees working extended hours or shifts
 - changing lines of supervision as a result of the event
 - inconvenience associated with temporary accommodation
- provides a list of current employees and long term contractors, and their next of kin details
- manages insurance related issues, which include:
 - liaison with insurer
 - relay of instructions and advice from insurance broker (and their assessor and underwriter)
 - accept, dispute, or negotiate with the broker.

6.6.3 Post-event

- participates in post-incident review including debrief and recommendations, following return to normal business operations
- assists in preparing post-incident reports
- collates and provides information to form part of any corporate use e.g. insurance claim
- prepares insurance claim with the help of the insurance broker.

6.7 Manager Information – Business Continuity Team Member

6.7.1 Pre-event

- ensures that the nominated business continuity site (Serpentine Office) is prepared sufficiently to cater for extra IT capability should an event occur
- prepares Serpentine Office IT to ensure that it can be transferred to another site should an event occur
- commits to attending training in business continuity.
- develops, maintains and tests accounts on social networks, as per Council's Social Media Strategy, to ensure they are operational before an event.

6.7.2 Event

- assesses Council's information and technology requirements and liaise with Council's IT contractor as required
- ensures that IT functionality is restored as soon as practicable.

6.7.3 Post event

- participates in post-incident review including debrief and recommendations following, return to normal business operations
- assists in preparing post-incident reports.

6.8 Manager Operations – Business Continuity Team Member

6.8.1 Pre-event

- member of Council's Municipal Emergency Management Plan committee
- commits to attending training in business continuity.

6.8.2 Event

- provides management and coordination oversight to the activities and resources of the Operations Department, as instructed by the Business Continuity Team.

6.8.3 Post-event

- participates in post-incident review including debrief and recommendations, following return to normal business operations
- assists in preparing post-incident reports.

6.9 Manager Technical Services – Business Continuity Team Member

6.9.1 Pre-event

- commits to attending training in business continuity.

6.9.2 Event

- provides management and coordination oversight to the activities and resources relating to buildings, public facilities, and tip sites, as instructed by the Business Continuity Team.

6.9.3 Post-event

- participates in post-incident review including debrief and recommendations, following return to normal business operations
- assists in preparing post-incident reports.

6.10 Media Officer – Business Continuity Team Member

6.10.1 Pre event

- develops and maintains standard format for press releases
- ensures that the list of media contacts in the Business Continuity Plan is current.

6.10.2 Event

- ensures Council website and social media is updated with regular and correct information
- ensures print, television, and radio media outlets are updated with regular and correct information
- maintains accurate records of all communications throughout the event

- confirms what can legally be released
- monitors media updates if possible.

6.10.3 Post Event

- participates in post-incident review including debrief and recommendations, following return to normal business operations
- assists in preparing post-incident reports.

7 REPORTING

Business Continuity Management activities including updating plans, staff training and testing will be reported to the MEG on a regular basis. This will be undertaken at least annually.

8 FRAMEWORK COMPLIANCE

This Framework will be updated to reflect changes within Council as they occur. This Framework will be reviewed annually as part of a formal review process and/or timetable.

9 SCHEDULE OF COMPLIANCE

Internal Review Activity	Activity Owner	Delivery Timeframe
BCM Policy Review	Management Executive Group	Annually
BCM Framework Review	Management Executive Group	Annually
Review and update the Business Continuity Plan as required: <ul style="list-style-type: none"> • critical business information/activities/functions • recovery Strategies • contact details-review and update: <ul style="list-style-type: none"> - Internal contacts - External contacts. 	<ul style="list-style-type: none"> • Manager Organisation Development • Directors 	Annually
BCM awareness training to: <ul style="list-style-type: none"> • Business Continuity Team Leader • Business Continuity Team Members • General awareness Business Continuity training to staff. 	Manager Organisational Development	Annually
Testing: <ul style="list-style-type: none"> • desktop • simulated Test 	Manager Organisational Development	Annually

Reporting to MEG on: <ul style="list-style-type: none"> • status of plan completion and/or updates • number of staff trained in Business Continuity Management • number of plans tested and results of testing. 	Manager Organisational Development	Annually
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10 DEFINITIONS

Abbreviation/word	Definition
MTPD - Maximum Tolerable Period of Disruption	The time it would take for adverse impacts, which might arise as a result of not providing a product/service or performing an activity, to become unacceptable.
BAU - Business as usual	BAU is where Council has returned to normal operations after an incident
BCP (Business Continuity Plan)	Documented procedures that guide Council to respond, recover, resume and restore to a predefined level or operation following a business continuity event.
RPO - Recovery Point Objective	The point to which information used by an activity must be restored to enable the activity to operate on resumption.
RTO - Recovery Time Objective	The period of time following an incident within which a product or an activity must be resumed or resources must be recovered.

11 REVIEW

The Manager Organisational Development will review this framework for any necessary amendments no later than 1 year after adoption of this current version.