

Business Continuity Management



For Small to Medium-Sized Businesses



Produced by NORMIT and Norfolk County Council Resilience Team
For an electronic copy of this document visit www.normit.org
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Business Continuity Management for small to medium-sized businesses (SME)

Be Prepared

Business Continuity Management (BCM) is about identifying those parts of your business that you can't afford to lose – such as information, stock, premises, staff – and planning how to maintain these if an incident occurs.

Any incident, large or small, whether it is natural, accidental or deliberate, can cause major disruption to your organisation. But if you plan now, rather than waiting for it to happen, you will be able to get back to business in the quickest possible time. Delays could mean you lose valuable business to your competitors, or in the worst case your business is no longer able to continue.

This affects you

Whether you are a market trader, a voluntary organisation, a SME or a global institution you need to be able to continue with your critical activities, whatever happens.

You also need to make sure that your key suppliers and partners have effective BCM arrangements in place to ensure that an incident affecting them doesn't impact on you.

Developing Business Continuity arrangements, and documenting your procedures in a plan, will assist you in managing your risks to ensure that, at all times, your organisation can continue operating to at least a pre-determined minimum level. This will enable you to continue service delivery during and beyond an emergency.

Who is this advice for?

This advice is relevant to all owners, managers and employees of small to medium sized businesses.

This information will guide you through some steps that could help your organisation survive an emergency. It's not a complex subject and doesn't have to take up vast resources and time. Time spent now can prevent disruption turning into disaster for your business.

This document also contains an example template that you can adapt for your organisation. To obtain a free copy of the example template in Word format for you to amend you can download it from www.normit.org, email normit@norfolk.gov.uk or call on 01603 222016.

By following this step-by-step guide, applying Business Continuity Management and completing a plan your organisation will be more able to deal with a disruption.

Some organisations may wish to consider complying with the International Standard, ISO 22301:2012. More information regarding this standard can be found on the Business Continuity website www.bci.org.

The Business Continuity Management (BCM) Lifecycle

This information aims to guide you through the steps you will need to take to implement BCM in your organisation. There are six steps that make up the BCM lifecycle as depicted in the diagram below.



By following this guide you will be able to understand Business Continuity Management and develop a Business Continuity Plan specific to your organisation.

- Step One ~ BCM Programme Management
- Step Two ~ Understanding the Organisation
- Step Three ~ Determining BCM Strategy
- Step Four ~ Developing and Implementing BCM Response
- Step Five ~ Exercising, Maintaining and Reviewing BCM Arrangements
- Step Six ~ Embedding BCM in the Organisation's Culture

Step One ~ BCM Programme Management

Effective programme management will ensure that BCM capability is established and maintained within your organisation.

Assigning responsibilities ~ It is essential that BCM has the support of senior management and it is suggested that an individual is nominated to be accountable for BCM. In addition to this, one or more individuals could be nominated with the responsibility for taking the programme forward.

Establishing and implementing BCM in the organisation ~ The BCM policy needs to be agreed and should set out the scope, aim and objectives and what activities are required to deliver these. The policy will need to be implemented. This will involve communication and training of staff.

Ongoing Management ~ To ensure BCM arrangements are up to date the plans and related documents need to be regularly reviewed, exercised and updated.

Step Two ~ Understanding the Organisation

Completing a Business Impact Analysis (BIA) and a Risk Assessment will enable you to better understand your business and priorities.

Business Impact Analysis ~ A BIA identifies and documents your key functions and services, what activities and resources are required to deliver these, and the impact that a disruption of these activities would have on your organisation.

You should fill in a BIA for each of your key functions and services.

You will find an example format for a Business Impact Analysis (BIA) on the following page. This will take you through the impact of a disruption over time and the resources you require to recover.

The BIA needs to be completed before you complete your plan.

Within the BIA there is an 'Impact Description' column. The table below will assist you in deciding the 'Impact Description' over time. You can add or amend this table to reflect your organisation. This information will assist you in prioritising your key functions and services.

Impact Description	Example
Minor	<ul style="list-style-type: none">• Little or no disruption to service.• No damage to reputation.• Loss of £ ?? to £ ?? (to be added to reflect your organisation).• Little effect on achieving organisations objectives.
Moderate	<ul style="list-style-type: none">• Some disruption to service.• Coverage in media and/or some damage to reputation.• Loss of £ ?? to £ ?? (to be added to reflect your organisation).• Partial failure to achieve organisations objectives.
Significant	<ul style="list-style-type: none">• Loss of service for more than 48 hrs.• Extensive media coverage and/or damage to reputation.• Loss of £ ?? to £ ?? (to be added to reflect your organisation).• Non-delivery of organisations objectives.

Business Impact Analysis

(You will need to complete a BIA for each of your key functions or services).

Key Function / Service:	
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The table below details, over time, the impact the loss of this function would have on your ability to meet your organisation’s Aim and Objectives and the impact on your stakeholders.

Time	Impact Description <small>Minor, Moderate or Significant</small>	Example of Impact on Service
First 24 hours		
24 – 48 hours		
Up to 1 week		
Up to 2 weeks		

Consider the maximum length of time that you can manage a disruption to this key function / service without it threatening your organisation’s viability. What point in time would you need to resume in the event of disruption? This is called the Recovery Time Objective (RTO).

Recovery Time Objective:	
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The table below lists the resources required to meet Recovery Time Objective.

Time	People	Premises	Technology	Information	Suppliers / Partners
First 24 hours					
24 – 48 hours					
Up to 1 week					
Up to 2 weeks					

The information collected in each of your BIAs can, after analysis, be added into your Business Continuity Plan.

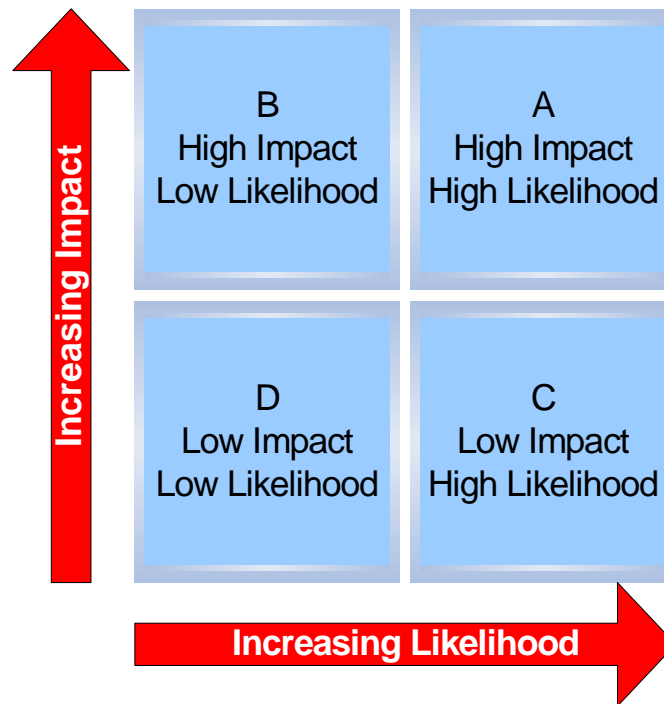
Risk Assessment ~ In relation to Business Continuity Management, the Risk Assessment looks at the likelihood and impact of a variety of risks that could cause business disruption.

You need to consider what risks could disrupt the key functions and services that you have identified within your BIA. These could include:

- Loss of staff
- Loss of systems (IT or telecommunications)
- Loss of utilities e.g. water, gas or electricity
- Loss of, or access to premises
- Loss of key suppliers / partners
- Disruption to transport

You will find an example format for a Risk Assessment in Appendix F within the template plan at the back of this document. This will take you through considering the impact and likelihood of each risk, what arrangements you currently have in place to reduce the risk and what additional activities you could carry out.

By using the Risk Matrix below, and the information you have in your BIA, you should be able to score the risk as high / low for both impact and likelihood and determine a risk score of A, B, C or D.



The risk score will enable you to prioritise your risk reduction activities. For the higher risks (A or B) you should consider what you could do to reduce the risk. This could include:

- Treat the risk ~ put contingencies in place to reduce the impact or likelihood or ensure efficient recovery. This could include IT back up procedures or monitoring of flood warnings.
- Tolerate the risk ~ you may decide that you are willing to accept the risk as the cost of implementing any risk reduction strategies outweigh the benefits.
- Transfer the risk ~ this could be done by insurance or contractual arrangements.

The Risk Assessment needs to be completed before you complete your plan.

Step Three ~ Determining BCM Strategy

This stage of the process is about identifying the action that you can take now to ensure that you are able to maintain the critical activities that underpin the delivery of your organisation's functions and services following a disruption.

The table below provides some of the strategies that you could adopt to protect your resources and critical activities. This list is not exhaustive.

<p>People</p> <ul style="list-style-type: none">• Inventory of staff skills not utilised within their existing roles ~ to enable redeployment.• Process mapping and documentation ~ to allow staff to undertake roles with which they are unfamiliar.• Multi-skill training of each individual.• Cross training of skills across a number of individuals.• Succession planning.• Use of third party support, backed by contractual agreements.• Geographical separation of individuals or groups with core skills can reduce the likelihood of losing all those capable of undertaking a specific role.
<p>Premises</p> <ul style="list-style-type: none">• Relocation of staff to other accommodation owned by your organisation such as training facilities.• Displacement of staff performing less urgent business processes with staff performing a higher priority activity. Care must be taken when using this option so that backlogs of less urgent work do not become unmanageable.• Remote working ~ this can be working from home or other locations.• Use premises provided by other organisations, including those provided by third-party specialists.• Alternative sources of plant, machinery and other equipment.
<p>Technology</p> <ul style="list-style-type: none">• Maintaining the same technology at different locations that will not be affected by the same business disruption.• Holding older equipment as emergency replacement or spares.
<p>Information</p> <ul style="list-style-type: none">• Ensure data is backed-up and it is kept off site.• Essential documentation is stored securely (e.g. fire proof safe).• Copies of essential documentation are kept elsewhere.
<p>Suppliers and Partners</p> <ul style="list-style-type: none">• Storage of additional supplies at another location.• Dual or multi-sourcing of materials.• Identification of alternative suppliers.• Encouraging or requiring suppliers / partners to have a validated business continuity capability.• Significant penalty clauses on supply contracts.
<p>Stakeholders</p> <ul style="list-style-type: none">• Mechanisms in place to provide information to stakeholders.• Arrangement to ensure vulnerable groups are accommodated.

Step Four ~ Developing and Implementing BCM Response

This stage of the process is concerned with development of appropriate plans and arrangements. This should ensure that you could manage and respond to any disruption effectively ensuring continuity and recovery of critical activities that support key functions and services.

It is important to ensure that your plans are easily accessible and copies should be kept on and off site.

No one plan would be appropriate to all organisations, however the example template that follows at the end of this document can be adapted to suit your organisation.

In general the plan content should incorporate the following:

Purpose and Scope ~ It is important to state the purpose and scope of your plan and the relationship to any other relevant plans or documents.

Document Owner and Maintainer ~ You should document who owns the plan and who is responsible for reviewing, amending and updating it at regular intervals.

Roles and Responsibilities ~ The plan should detail specific roles in the implementation of the plan.

Plan Activation ~ It should be stated how the plan is invoked, who has authority for this and under what circumstances.

Contact Details ~ Your plan should contain, or provide a reference to, the essential contact details for all key stakeholders, including staff involved in the implementation of the plan.

Incident Management ~ Your plan should document the tasks that will be required to manage the response. You should also consider pre-identifying a location or room (and alternative) from where the response could be managed.

Business Continuity and Recovery ~ The plan should set out the critical activities to be recovered and the timescales required (from your BIA). You should also include details of resources available and methods for mobilising these.

The example template at the end of this document provides additional guidance on the above requirements.

Step Five ~ Exercising, Maintaining and Reviewing BCM Arrangements

This stage of the process ensures that an organisation's BCM arrangements are validated by exercise and review and that they are kept up to date.

Exercising ~ Your BCM arrangements cannot be considered reliable until they are exercised and have proved to be workable. The frequency will depend on your organisation and the rate of change however it is suggested that a minimum frequency is annually.

There are four types of exercise:

- **Testing** ~ Not all aspects of your plan can be tested but some elements can, such as contact lists and activation process. You can also test back up power, communications equipment and IT back ups.
- **Discussion based exercises** ~ This involves bringing people together to discuss the plan and their individual responsibilities. It is useful for training purposes and for validation of a new plan.
- **Table-Top exercise** ~ This is an efficient method of validating plans and rehearsing key staff. Staff are brought together to take decisions on their actions as a scenario unfolds. To run this type of exercise you need to develop a scenario and set questions for the participants to consider.
- **Live exercise** ~ This can range from a small scale test of one component, such as evacuation, through to a full scale test of many components of the plan. Before running a large scale live exercise you must consider if your organisation has the capacity to run it without causing a disruption to your ability to deliver your key functions and services.

Whatever type of exercise you conduct, you need to ensure that you record and evaluate the event, hold a debrief to identify any lessons and produce an action list to follow up.

Maintaining your BCM arrangements ~ This involves having a system in place to ensure that your arrangements and plans are reviewed and updated following exercises, incidents or following changes within your organisation.

Reviewing your BCM arrangements ~ It is recommended that your BCM arrangements are reviewed regularly, either through formal audit or self-assessment.

Step Six ~ Embedding BCM in the Organisation's culture

To be successful BCM has to become part of the culture of your organisation. This can be achieved through a combination of awareness raising and training to ensure that all staff are aware of why BCM is important to the organisation and the role they are expected to play.

The six steps above will assist you to implement Business Continuity Management in your organisation.

Preparing an Emergency Pack

To assist you in your response you can develop an Emergency Pack in advance. An Emergency Pack contains items that will help you implement your plans. Your pack should be stored safely and securely off-site. Ensure that the pack is checked and updated regularly.

Examples of items to go in an Emergency Pack include:

Documents

- Business Continuity Plan ~ your plan to recover your business
- List of employees with contact details and next of kin
- List of customers and suppliers
- Contact details for emergency glaziers, salvage organisations and building contractors
- Contact details for utility companies
- Building site plan / floor plan including location of gas, electricity and water shut off points
- Insurance, finance and banking details

Equipment

- Computer back up tapes / disks / USB memory sticks or flash drive (consider security of these if placed in your emergency pack)
- Spare keys / security codes
- Torch and spare batteries
- Hazard and cordon tape
- Message pads
- General stationary
- Disposable camera (useful for recording evidence in an insurance claim)
- Cash
- Wind up radio
- Mobile phone charger

Key to using the Example Template:

Before you fill in the example template you should carry out a Business Impact Analysis and Risk Assessment. Details of these can be found in 'Step 2' on pages 4 to 6.

Try to prevent the plan becoming a 'wish list' of resources you would like. The BIA enables realistic planning based on your organisation's priorities.

You may need to change the plan template to ensure it is relevant to your organisation's requirements.

- Text in *blue italics* needs to be amended to reflect your organisation.
- Text in *red italics* provides guidance on completing a plan and should be deleted before you issue your document.

This guidance is provided as general information about Business Continuity Management and planning for emergencies. It is not intended to replace detailed guidance and planning specific to you and your organisation. You should consider whether you need to obtain this. To the extent permitted by law, Norfolk County Council and NORMIT excludes any liability arising from the use of this document and example template.

Preparation of this booklet has been co-ordinated by NORMIT.

For additional information, advice or guidance about Business Continuity Management please contact NORMIT or your local authority. The list below has the contacts for Norfolk. If your organisation is situated outside Norfolk you can contact NORMIT or your local council.

NORMIT – Promoting Resilience and Business Continuity

01603 222016 normit@norfolk.gov.uk www.normit.org

Norfolk Resilience Forum

01953 424866 nrf@norfolk.pnn.police.uk www.norfolkprepared.gov.uk

Local Authority – Emergency Planning / Business Continuity Teams

Norfolk County Council

01603 222016 businesscontinuity@norfolk.gov.uk www.norfolk.gov.uk

Breckland Council

01362 695333 emgplan@breckland.gov.uk www.breckland.gov.uk

Broadland District Council

01603 431133 emergency-planning@broadland.gov.uk www.broadland.gov.uk

Great Yarmouth Borough Council

01493 856100 www.great-yarmouth.gov.uk

North Norfolk District Council

01263 513811 emerg-planning@north-norfolk.gov.uk www.north-norfolk.gov.uk

Norwich City Council

0844 980 3333 emergencyplanning@norwich.gov.uk www.norwich.gov.uk

South Norfolk Council

01508 533633 emergency.planning@s-norfolk.gov.uk www.s-norfolk.gov.uk

Borough Council of King's Lynn and West Norfolk

01553 616200 emergency.planning@west-norfolk.gov.uk www.west-norfolk.gov.uk

Other Useful Links

Business Continuity 10 Minute checklist –

<http://www.londonprepared.gov.uk/businesscontinuity/assessingyourrisk/10minassessment.jsp>

Guidance and Templates for Business Continuity Planning

<http://www.normit.org/>

Cabinet Office Emergency Planning and Business Continuity Information

<http://www.cabinetoffice.gov.uk/ukresilience.aspx>

The Business Continuity Institute

<http://www.thebci.org/>

Contact 01603 222016 if you require this booklet in an alternative format.



Insert Company Logo

*Insert name of
company*

Business Continuity Plan

Version Number: *insert version number*

Date: *insert date*

Contents of Business Continuity Plan

1. Distribution List
2. Document Owner and Maintainer
3. List of related plans and documents
4. Purpose and Scope
5. Plan Activation Procedure
6. Training and Exercise Programme
7. Critical Activities and Resources
8. Incident Management, Roles and Responsibilities
9. Appendices
 - Appendix A ~ Key Contacts
 - Appendix B ~ Holding Statement
 - Appendix C ~ Map of site / floor plan
 - Appendix D ~ Blank Log Sheet
 - Appendix E ~ Business Impact Analysis for each critical function
 - Appendix F ~ Risk Assessment
 - Appendix ? ~ Add any other information relevant to your organisation

1. Distribution List

Copy Number	Job Title	Location
001		Emergency Pack
002		
003		
004		
005		

Note – One person may be issued with two copies of the document, one for the office and one to be kept at home.

2. Document Owner and Maintainer

Document Owner:	
Document Maintainer:	

If you have any suggested changes to this plan, please notify either the Owner or Maintainer.

3. List of related plans and documents

Document Title

List in the table above any other relevant plans or documents that relate to Business Continuity Management.

4. Purpose and Scope

The purpose of the Business Continuity Plan is to prepare this organisation to be able to respond to and recover from a disruption.

The objectives are as follows:

- To list the critical functions in priority order for recovery
- To detail the activation procedure and roles and responsibilities for staff
- To detail the agreed response actions following a disruption

5. Plan Activation Procedure

This plan can be activated by the following people:	<ul style="list-style-type: none"> • • •
Examples of 'trigger events' that would necessitate the activation of the plan include the following: Note – this is a guide only and the list is not exhaustive.	<ul style="list-style-type: none"> • • • • • •
The primary location for the response to be managed from is:	
The alternative location for the response to be managed from is:	
The following people can be requested to form an Incident Response Team:	<ul style="list-style-type: none"> • • • • •
The following people have been training in the role of Incident Manager:	<ul style="list-style-type: none"> • •

6. Training and Exercise Programme *The details in the table have been added as an example and will need to be amended to reflect your organisation.*

Training:	<ul style="list-style-type: none"> • Induction for new staff includes Business Continuity Management (BCM). • Programme of briefings to ensure all staff are updated on BCM on an annual basis. • All staff who are named within this plan as having authority to invoke the plan or to be part of the Incident Response Team have been trained / briefed on their role and responsibilities.
Exercising:	<ul style="list-style-type: none"> • Contact details, back up power and IT back up & restore is tested annually. • Every year there is a table top exercise covering a scenario relating to one of the highest risks to the business as detailed in the Risk Assessment. • Every 3 years there is a live exercise involving a different team / process.

7. Critical Activities and Resources

The table below lists the Key Function / Services in priority order and can be used during a disruption to assist the decision making of your Incident Response Team.

Priority	Key Function / Service	Recovery Time Objective (RTO)	What resources or actions are needed to recover within RTO? Detail also any specific availability or methods for mobilising resources.
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

Using the information in your Business Impact Analysis and Risk Assessment you should be able to complete the table above.

8. Incident Management, Roles and Responsibilities

Once the decision has been made to invoke the plan, an Incident Manager is appointed to lead the Incident Response Team. Key responsibilities for each of the roles are as follows:

Person Authorised to Invoke the Plan will:

Action	Comments	Time Completed
<ul style="list-style-type: none"> Start a log of information received, decisions made and actions taken. 		
<ul style="list-style-type: none"> If the disruption is of a significant scale, particularly if it meets any of the suggested 'triggers', make the decision to invoke the plan. 		
<ul style="list-style-type: none"> Appoint an Incident Manager and pass on relevant information. 		

The Incident Manager, with support from the Incident Response Team will:

Action	Comments	Time Completed
<ul style="list-style-type: none"> Start a log of information received, decisions made and actions taken. 		
<ul style="list-style-type: none"> Decide on a suitable location for the Incident Response Team. (pre-identified locations detailed in section 5) 		
<ul style="list-style-type: none"> Call in members of the Incident Response Team. 		
<ul style="list-style-type: none"> Provide direction to the Incident Response Team to ensure an effective and efficient response and recovery. 		
<ul style="list-style-type: none"> Identify any damage or disruption to key functions / services. 		
<ul style="list-style-type: none"> Liaise with stakeholders as necessary. (For example Health & Safety, Insurance company, building owner). 		
<ul style="list-style-type: none"> Liaise with Emergency Services as required. 		
<ul style="list-style-type: none"> Provide information to staff. 		
<ul style="list-style-type: none"> Decide on course of action and priorities, taking into account the Critical Activities and Resources detailed in Section 7. 		
<ul style="list-style-type: none"> Communicate decisions to staff and business partners. 		
<ul style="list-style-type: none"> Provide public information to maintain reputation and business. (Consider issuing the Holding Statement in Appendix B). 		
<ul style="list-style-type: none"> Stand down at conclusion of disruption. 		
<ul style="list-style-type: none"> Arrange a debrief to capture any lessons. 		
<ul style="list-style-type: none"> Compile a log of actions to be taken, write a report on the disruption and review Business Continuity Plan. 		

You may want to include in this section details of any arrangement you already have in place, including any specific actions you would take for specific hazards. (The information in your Risk Assessment could assist with this).

Appendix A ~ Key Contacts

Incident Response Team Members

Contact	Office	Mobile	Comments

Senior Management Team

Contact	Office	Mobile	Comments

Other Locations

Contact	Office	Mobile	Comments
Head Office			
Company Media			

Key Suppliers / Customers

Contact	Office	Mobile	Comments

Other Contacts

Contact	Office	Mobile	Comments
Key holder			
Security Company			

Appendix B ~ Example Holding Statement

This holding statement can be used during an emergency to pass information to the media if required. Before adding this to your plan, the additional information about your organisation needs to be added and the format and procedure for approving and issuing agreed. During an emergency the specific information about the emergency is completed and, once agreed, the statement can be issued to any staff that may take telephone calls, or have contact with the public or media.

We can confirm that there has been an incident at ***name of company / organisation***.

At ***add the time*** on ***add the date*** there was a ***add type of incident ie fire, explosion*** at our premises at ***add location***.

We deeply regret that this incident has happened and our thoughts are with the family(s) and friends of those involved. Safety is always our top priority. ***(Amend paragraph as necessary)***

We have well rehearsed procedures to deal with emergencies and we have implemented our Emergency Plan. We are working closely with ***name emergency services and agencies on site***.

An area has been set aside for the media to use. This is located ***state location of media centre if applicable***.

Further updates will be issued as more information becomes available.

For more information on ***name of organisation*** please log onto ***www.yourwebsite.details***

General information

Add here some general information about your organisation i.e. number of employees / type of work or service you perform / How many sites you have / international or local only / any partners you work with, etc.

NOTE:

This Holding Statement is to be used as an example only – Further guidance, advice and agreement should be sought from an organisations Public Relations / Communications Department prior to this statement being added to your plan.

Appendix C ~ Map of Site / Floor Plan

Appendix E ~ Business Impact Analysis

You would have produced this document during your preparation.

(You will need to complete a BIA for each of your key functions or services).

Key Function / Service:	
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The table below details, over time, the impact the loss of this function would have on your ability to meet your organisation's Aim and Objectives and the impact on your stakeholders.

Time	Impact Description <small>Minor, Moderate or Significant</small>	Example of Impact to Service
First 24 hours		
24 – 48 hours		
Up to 1 week		
Up to 2 weeks		

Consider the maximum length of time that you can manage a disruption to this key function / service without it threatening your organisations viability. What point in time would you need to resume in the event of disruption? This is called the Recovery Time Objective (RTO).

Recovery Time Objective:	
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The table below lists the resources required to meet Recovery Time Objective.

Time	People	Premises	Technology	Information	Suppliers / Partners
First 24 hours					
24 – 48 hours					
Up to 1 week					
Up to 2 weeks					

Appendix F ~ Risk Assessment

You would have produced this document during your preparation.

In relation to Business Continuity Management, the Risk Assessment looks at the likelihood and impact of a variety of risks that could cause a disruption to your organisation.

Risk	What key functions / services would be impacted?	List arrangements already in place to reduce the likelihood or impact	List additional arrangements that could put in place	Risk Score (Considering impact & likelihood) A, B, C or D
Loss of staff				
Loss of systems (IT or telecommunications)				
Loss of utilities e.g. water, gas or electricity				
Loss of, or access to premises				
Loss of key suppliers				
Disruption to transport				

You will need to consider any additional risks that are relevant to your organisation. These could include flooding (particularly if you are in a flood risk area), fire, use of chemicals, breakdown of critical plant / equipment, etc

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