Business Continuity Management Framework

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1.0 Executive summary

1.1 Thames Valley Police covers the areas of Berkshire, Buckinghamshire and Oxfordshire and is one of the largest non metropolitan forces responsible for 2,2000 square miles and a population of over 2,000,000 people. Following the implementation of the Local Policing Model in April 2011, the force is now split into thirteen Local Policing Areas (LPA’s). These are supported by a number of operational and non operational departments including collaborative arrangements with Hampshire Constabulary. As with many other police forces Thames Valley Police is experiencing major budget cuts which is influencing the way in which Business Continuity Management is embedded.

1.2 In 2013 the UK experienced a variety of events that could impact on Business Continuity Management. A few of these were Cyber Crime, snow and increasing levels of rain that caused a number of areas to be repeatedly flooded. At the other end of the spectrum we experienced periods of exceptionally high temperatures. Adding to this are the problems of reducing budgets and an increase in population in many of the Thames Valley Police areas.

1.3 In 2013 Thames Valley Police experienced a number of disruptions ranging from a lightning strike at a HQ facility affecting the telephones to failure of Outlook and a custody block denial of access. Many of the incidents did not impact upon the whole of the organisation and in most circumstances were dealt with at a local level.

1.4 There has been a wide spread perception that Business Continuity is just about dealing with large impact, low probability events. It is now more generally appreciated that Business Continuity is more likely to be about the series of smaller incidents that can interrupt business as usual.

1.5 This framework is intended to provide the basis of a strategic business continuity management overview and clearly identify, define, document and communicate the roles, accountabilities and authorities that are required to deliver business continuity management. In effect it could be perceived as a ‘one stop shop’ for corporate information on business continuity alternatively a structured strategic index. In writing this framework the following have been taken into account:
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- Civil Contingencies Act 2004,
- Business Continuity Institutes Good Practice Guidelines 2013
- The National Decision Model (NDM)

1.6 An organisation will describe its framework for supporting business continuity by way of its architecture, strategy and protocols for the organisation. Therefore the most appropriate aspects from all of the above have been adopted to provide Thames Valley Police with the most suitable framework.

This is achieved by:
1. Documenting the reporting structure of business continuity management to the strategic level.
2. Defining roles and responsibilities.
3. Implementation of business continuity management corporately

2.0 Business Continuity Management Framework

2.1 A business continuity management framework is a set of components that provide the foundations and organisational arrangements for designing, implementing, monitoring, reviewing and continually improving business continuity management throughout the organisation and collaborated partners

The Business Continuity Management cycle shows the stages of activity that an organisation moves through and repeats with the overall aim of improving organisational resilience.

A more detailed description of following this process can be found in the BCI GPG 2013
This approach was also adopted in BS25999 and although still valid the later international standard ISO 22301 now uses the PDCA (Plan, Do, Check, Act) model shown below.

Taking the above into account the framework can be found in more detail on the next page. This will account for the NDM shown below. (assuming Gather information is 1 and mission is 6)
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ISO 22301 PDCA Index Sheet
3.0 Mandate & Commitment
The senior management of Thames Valley Police (TVP) have a strong and sustained commitment to business continuity management. This is evidenced in section 4.1.

3.1 Framework Components
The business continuity management framework includes objectives for business continuity management, plans for developing business continuity management across Thames Valley Police, and designs for elements such as processes and tools. These are contained in the business continuity management policy and business continuity management strategy.

3.2 Performance
Force performance priorities are defined by the Police and Crime Commissioner (PCC) taking into account national requirements as set out in the government’s strategic policing requirement, community safety priorities established through consultation with strategic partners and communities, the Force strategic assessment and through benchmarking the Force’s own performance over time and compared to its peers, i.e. other similar forces.
At force level performance delivery is managed by the Deputy Chief Constable within a framework which ensures:
• Clarity over who is accountable for delivery of any target / measure
• Timely, accurate and relevant performance and management information
• Mechanisms for holding those responsible for delivery to account at appropriate periods
• Minimum bureaucracy and maximum value added for all performance review activity
• Although no Key Performance Indicators (KPI’s) have been established for business continuity management, performance is regularly monitored via the quarterly reporting system to the Force Risk Management Group, the Audit, Governance Review, Strategic Business Continuity Co-ordinating Group (SBCCG) and the personal performance development review (PDR) system.

3.3 Stakeholders
All internal departments; operational command units, local policing areas and collaborated forces as well as the Police and Crime Commissioner (PCC) are considered the key internal stakeholders.
External stakeholders include partners (such as other emergency services and other public sector providers), suppliers, contractors and all sectors of the public.
4.0 Framework Design

4.1 Plan (Establish)

4.1.1 As an emergency response service with over 7000 employees Thames Valley Police are able to deal effectively with emergencies and are clearly a 24 hour 7 day a week non profit making organisation. The force is undergoing large budget reductions which will all re-enforce the need to prioritise its resources to those areas identified as critical. Therefore the focus will be to ensuring continuity of service for the strategic critical processes that have been endorsed by ACPO –

- Emergency response
- Crime investigation
- Custody management
- Managing high risk

Further information on this can be found via Critical Activities plus this is approached via the organisational / reporting arrangements in the Chiefs Organisational Chart. The critical processes have taken account of the objectives found in the Delivery Plan. A summary of the TVP Values and Objectives supports this. Thames Valley Police have also adopted the latest developments in progress for the police sector regarding ethics Police College Code of Ethics - Draft (consultation finishes 29th November 2013)

More specifically the structure / reporting process for business continuity is

4.1.2. In many instances a disruption may be directly linked to business support arrangements such as the loss of an IT system or server, but it can also be impacted by pre planned resource intensive operations. It is therefore relevant to be
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aware of what is planned on the Force Events Calendar. A number of operations may require the need to work in partnership with other forces or members of the Local Resilience Forum (LRF). More information can be found about the LRF and collaboration contribution via LRF and Collaboration. Just as operational events can impact on business continuity considerations planned strategic events in the Strategic Calendar may also help or hinder the development or speed of recovery.

4.1.3 Thames Valley Police have undergone some major changes in its organisational structure including the disbanding of the Police Authority and the introduction of the Police and Crime Commissioner PCC who is also a key stakeholder in the assurance of an effective service for the public. These changes have also meant that Basic Command Units have now been replaced by 13 Local policing Areas (LPA's) LPA Structure. This new structure has meant the LPA now have a number of shared services / departments they will rely upon which are detailed in the Chiefs Organisational Chart. The business continuity unit communicate on a regular basis with all the critical sectors of the organisation and since the changes to the structure they now conduct all the research to be able to write all the business impact analysis, plans and exercises. The different forms of communication and the stakeholders involved can be seen in the communications strategy (under revision).

Business continuity information, guides and updates can also be found in the Business Continuity Page As part of the reporting and monitoring further information can be found via FRMG SBCCG

4.1.4 The strategic aims of Thames Valley Police are to:

a) Reduce the risk of sustained interruptions

b) Be prepared for potential interruptions

c) Keep the recovery period to a minimum

d) Ensure individuals take personal responsibility for managing business continuity effectively and understand the risks of not doing so

e) Ensure that information is from incidents and exercises is recorded and used to inform future plans effectively.

f) Meet the required standards to comply with all relevant legislation, Force and national policies.

g) Enable lawful and effective sharing of information with our partners to share examples of best practice and to benchmark our progress.
h) Monitor the Community Risk Register and communicate with other Police Forces to ensure all potential resilience issues are considered

To achieve its aims, the objectives are to:

Establish and maintain governance and responsibilities for business continuity management.

Deliver the required cultural change across the Force by providing appropriate training and communications, including the embedding of business continuity management into key areas.

Improve the quality of the information held on the business continuity plans by the Force to assist with an improved response to any business continuity interruption.

The **BC Strategic Implementation Plan** to deliver the above will be updated / reviewed every six months and will take account of any major incidents, changes and lessons learned.

4.1.5 Although the force will align with the relevant standards (ISO22301) and the Business Continuity Institute Good Practice Guidelines where practical the legal requirement to police forces is found in the **Short Guide to CCA 2004**

4.1.6 The Senior Management have demonstrated a commitment to Business Continuity by having in place a qualified Force Risk and Business Continuity Manager (FR&BCM) and a Business Continuity Officer (BCO). The governance structure in place for developing and monitoring business continuity can be demonstrated in the submission of quarterly reports to the Force Risk Management Group (FRMG). Information on this can be found via **FRMG T.O.R** and the quarterly reports are published each quarter via **FRMG**. The information provided to FRMG is also submitted in a modified form for TVP/PCC Audit Committee which requires a quarterly and annual report.

4.1.7 In addition the Strategic Business Continuity Co-ordinating Group (SBCCG) is held every 6 months or more frequently if required in an emergency. The terms of reference and minutes for this can be found via **SBCCG T.O.R** and **SBCCG Minutes**. Commitment is demonstrated further with the arrangement to discuss relevant incidents via the Daily Management Meetings **DMM**. As with all Police forces a command structure is in place and would include a business continuity consideration when required. Details on this including the media response can be found at **Gold / Strategic Co-ordinating Group** and **Communications Silver / Gold Advisor Roles**. The FR&BCM and the BCO are also monitored on the business continuity development via personal development reviews.
4.1.8 In the interests of governance (transparency) the latest BCM Policy is made available on the force internet. This policy sets out the

- Rationale
- Intention
- General principles
- Guidance, procedures and tactics
  - Critical activities,
  - Threats to service delivery
  - Incident classification
  - Plan activation explaining the different categories,
  - Roles and responsibilities
- Challenges and representations
- Communications
- Compliance and certification
- Monitoring and reviewing

4.1.9 Organisational changes have meant that the level of training has changed to one where points of contact are in place to obtain information but do not require training on how to write plans. This has meant training now consists of one to one training sessions with individuals on where to find the plans, how to use them and what needs to be considered when a disruption requires them to refer to the plan. When numbers are sufficient a business continuity master class is also made available which primarily focuses on attendees taking part in a number of exercise scenarios. Any lessons learnt from this are pursued by the business continuity unit.

4.2 Do (Implement and Operate)
4.2.1 The business continuity plans BCP’s and the ICT Service Catalogue in place incorporate

the relevant questions to provide information for a business impact analysis (BIA), once the relevant questions are completed the questions are deleted. The BC Strategic Implementation Plan documents actions for future development. The first section of the plans is generic and therefore apply to all areas in need of a plan. This contains reference to critical activities, roles and responsibilities, activation, communications, decision model, risk assessment, contact with staff and insurance. The appendix of the plan will cover information on people, premises, ICT/Communications, suppliers and stakeholders. The first appendix contains the identified risks including potential single points of failure. If these risks are deemed to be high
they are escalated to the local or strategic risk register using Managing Risk as a guide. All these documents have version control and can be made available for viewing or editing purposes, which is controlled by the business continuity unit.

4.2.2 Other areas that business continuity will take into account are Major Emergency Criteria and Operations Contingency Planning as well as how standard procedures and arrangements required by law support the business continuity planning. As an example this would include arrangements around fire risk assessment and evacuation arrangements.

4.2.3 Even though the majority of plans are exercised by the business continuity unit a guide has been written and can be found via BC Exercising It has been agreed that when a business continuity disruption is experienced then

- lessons learnt have been documented,
- acted upon
- where relevant this will be incorporated into a revised plan
- this will count as an exercise.

The business continuity unit utilise a programme approach to monitor all stages of business continuity management.

4.2.4 Two of the most critical areas that have the potential to impact upon the force are ICT and Property Services. Therefore a protocol has been established with Property Services to ensure the business continuity unit are kept informed of planned or unplanned interruptions. ICT helpdesk includes the business continuity unit in its email updates throughout the day. In addition to this a detailed analysis of each major disruption is produced in the format of a Major Incident Review (MIR) produced by ICT. Scheduled ICT work can be viewed in Public Folders via Force wide information – Forward Schedule

4.2.5 To assist with ‘informing and warning’ a number of other documents have been developed and utilised

- Snow Clearance Priority and the
- Emergency Generator Management this is in addition to
- Flu Pandemic Strategy and
- Critical Systems Statement of Service from ICT.
4.3 Check (Monitor and Review)

4.3.1 Much of the monitoring is initially completed by the business continuity unit who submit reports on findings to the FRMG, FRMG T.O.R PCC/TVP committee meetings Joint Audit Committee Operating Principles on a quarterly basis and provide brief updates to the SBCCG every 6 months or sooner if required.

4.3.2 Audits are conducted on a regular basis and the terms of reference for these can been found via Audit T.O.R These are discussed at the senior management level and become part of the business continuity units programme and contribute to the activities tab. All relevant issues on business continuity are reported to FRMG, the PCC /TVP audit governance group and discussed at the SBCCG. In addition to this a small group has been formed that meets once every 2 months Practitioners Group T.O.R

4.3.3 A benchmarking tool is in the early stages of development. This is being taken forward as part of the work in progress at the national business continuity meetings. The south east group report to this group and as at November 2013 have actions to take forward such as the development of an e learning package

4.4 Act (Maintain and Improve)

4.4.1 Thames Valley Police are able to take advantage of shared experiences by ensuring a member of the business continuity unit attends the South East Business Continuity Group meetings that are generally held every quarter. This provides the opportunity for sharing lessons learnt and development of new ideas. SE BC T.O.R. This group reports into a national group chaired by an ACPO representative.

4.4.2 The FR&BCM is a full member of the Business Continuity Institute (BCI) and is only able to retain this through a system of continued professional development. The BCI hold an annual conference and at least one day is attended by either the FR&BCM or the BCO to ensure the latest developments are understood. The FR&BCM also attends the Alarm (public sector non profit organisation for risk managers) conference each year where business continuity is also covered. The networking opportunities gained from this enables development of new ideas to be pursued. Other networking opportunities for sharing good practice and learning from lessons can be found by attending the South East Business Continuity meetings held every three months and various Local Resilience Forum meetings when appropriate.