

Business Continuity Management & Disaster Recovery

GETTING STARTED

Checklist for Local Businesses & Organisations

This Document has been designed to assist local businesses and organisations in writing their own Business Continuity Plans.

Name of Organisation: Date:	

'80% of Businesses affected by a major incident close within 18 months'

www.businesscontinuityuk.net

As this document needs to appeal to a variety of local businesses and other organisations, not all of the content may be relevant to your particular establishment.

Therefore please use this document in a flexible manner by adapting it to your particular need, and referring to other sources of BCM information and guidance where necessary.

INDEX





Business Continuity Management & Disaster Recovery Checklist

INTRODUCTION

A Initial Steps

- A.1 Arrangements / Plans in place
- A.2 Incident Management

B Informing the Process

- B.1 Planning Structure
- B.2 Audit – threats to the organisation & present arrangements

C Building up your Plan

- C.1 Critical Processes
- C.2 Management Structure
- C.3 Communication
- C.4 Alternative Arrangements
- C.5 Quality



Business Continuity Management & Disaster Recovery Checklist

INTRODUCTION

Business Continuity Management (BCM) and Disaster Recovery is a pre-planned process that helps businesses and service providers anticipate, prepare for, prevent, respond to, recover and survive disruptive events affecting their daily operations.

It is important to stress that building up a Business Continuity Plan is a long drawn out process, and you must accept that a full blown plan will not be in place over night, but there are many things that you can do quickly that will offer some short term security and progress, and that can be built on constantly.

What is offered below is a system where the work can be progressed more or less immediately, with certain targets met in the short term providing for increasing resilience and planning.



Business Continuity Management & Disaster Recovery Checklist

A. INITIAL STEPS

ASK YOURSELF: *What would happen if there were an incident today/tonight? What arrangements/plans are in place for dealing with an emergency/incident/crisis?*

A1 ARRANGEMENTS/PLANS IN PLACE

A1.1 Do you have emergency procedures for:

- a) Fire?
- b) Bomb Threat?
- c) Gas Leak?
- d) Flood?
- e) Evacuation? (Of staff and/or residents)
- f) Alternative Accommodation? (Office and residential)

NOTE: You will need to ensure very quickly that you have at least basic procedures in place for dealing with the above until more comprehensive arrangements can be produced. An 'Emergency Procedures' Document for each site will need to be produced to cover the above

A2 INCIDENT MANAGEMENT

A2.1 Do you have a management structure in place for dealing with the incident i.e. people who can make appropriate decisions on behalf of the organisation?

A2.2 Do you have a site dedicated (Emergency Control) for managing the incident?

A2.3 Do you have an information strategy to inform/for dealing with:

- a) Staff?
- b) Press?
- c) Stakeholders?
- d) The Public?

NOTE: This is a central facet of Business Continuity Management and Disaster Recovery planning. However, it will take considerable time before all management arrangements come into place. It is vital as a short-term measure that you ensure stop-gap business continuity management arrangements by drawing up a document that:

- o *Identifies a management team for managing a response that should include the Chief Executive/Managing Director, Other Directors, Officers responsible for Site Management, IT, PR Officer etc*
- o *Includes office hours and out-of-hours contact for the identified personnel*
- o *Identifies a suitable location for managing the response that has adequate communication systems i.e. phones etc.*
- o *Identifies necessary stationery, equipment for use by the team*
- o *Includes a Short Checklist of actions for members of the team*



Business Continuity Management & Disaster Recovery Checklist

B. INFORMING THE PROCESS

B.1 PLANNING STRUCTURE

NOTE: You will need to secure the support of management for Business Continuity Management and Disaster Recovery. You may have a Risk Management Policy in place. You will have to formulate a BCM policy in time.

To help you in building up a plan you will need to set up a Business Continuity Management Working Group that should have representatives (where applicable) from site management, IT, Administration/procurement, Finance, communications etc. (This group may be formed before management support is secured).

- B1.1 Does your Organisation have a Risk Management Policy?
- B1.2 Does your Organisation have a Risk Management Team?
- B1.3 Does your Organisation have a Business Continuity Planning Team?

B.2 AUDIT - THREATS TO THE ORGANISATION & PRESENT ARRANGEMENTS

NOTE: You should assess what are the risks to your business. You will need to Identify Internal and External Threats:

- B2.1 Is your organisation at risk from/or affected by:
- a) Poor Security?
 - b) Poor building fabric?
 - c) Fire
 - d) Vandalism?
 - e) Specific threats i.e. chemicals, fuels etc. kept within or near buildings?
 - f) Supply Chain Problems?
 - g) Infrastructure Failure i.e. Power failure etc?
 - h) Social/economic pressures i.e. Fuel Strikes etc?
 - i) Pandemic Influenza?
 - j) Environmental threats i.e. is your site within a flood plain area etc.?
 - k) Being near hazardous installation?
 - l) 3rd Party activity?
 - m) Include other
 - n) identified Risks

NOTE: You should collate information through a quick assessment on arrangements your organisation may already have in place/or not in place. This can be done within the working group.



Business Continuity Management & Disaster Recovery Checklist

B2.2 Does your Organisation have the following arrangements:

- | | | |
|----|---|--|
| a) | Lists of relevant assets? | |
| b) | Do you have adequate insurance cover? | |
| c) | Do you receive flood warnings from Natural Resources Wales (NRW) (if in flood risk area)? | |
| d) | Do you have sufficient Fire prevention and alarm arrangements? | |
| e) | Checks that building fabric in good condition? | |
| f) | Checks that services into and within buildings in good condition i.e. plumbing, electrical etc.? | |
| g) | Do you have adequate security arrangements? | |
| h) | IT arrangements i.e. protection of IT equipment, do they have UPS/alternative power backup, is there fire protection in place, is information backed up regularly etc.? | |
| i) | Protection or alternative arrangements of switchboard and other communications facilities? | |
| j) | Are important i.e. legal, contractual documents etc kept in a secure, fireproof area? Are there copies (electronic etc) being made? | |
| k) | Are there arrangements in place for the control of contractors, visitor to sites etc? | |
| l) | Are there arrangements for staff to ensure security of sites i.e. locking up, awareness of visitors etc? | |
| m) | Housekeeping issues i.e. cluttered corridors, fire doors kept open etc.? | |
| n) | Are staff aware of & trained in relevant procedures? | |
| o) | Are there arrangements for dealing with the aftermath of an evacuation if a building cannot be re-occupied? Refer to section A1 above. | |
| p) | Do you have resources for dealing with an emergency i.e. equipment, control rooms, alternative communications etc.? Refer to section A2 above. | |
| q) | Is there a management system/structure in place for dealing with an emergency at one of your sites or a threat to your business? Refer to section A2 above. | |

NOTE: If you detect glaring problems at this stage i.e. security issues etc. instigate remedial action as soon as possible.

Make a list of arrangements you have in place. And begin the process of listing shortfalls/weaknesses.

You may also use this information to inform any initial bids or reports to your organisations management team.



Business Continuity Management & Disaster Recovery Checklist

C. BUILDING UP YOUR PLAN

C1 CRITICAL PROCESSES

NOTE: This includes protection of critical communications and IT, the identification of specific services and staffing required to maintain critical aspects of your business over a short period.

C1.1 Refer to section **B.2** above and ensure that arrangements are now put in place to alleviate relevant risks/lack of arrangements i.e. increase security arrangements, backup systems for IT and telephony, arrange flood warnings from NRW if in flood risk area etc.

C1.2 You should Identify services within your organisation that are required to maintain a minimum critical service. Other 'non critical' services may be required to be ceased or used to supplement critical services during a crisis.

C1.3 You should Identify staff within your organisation that are required to maintain a minimum critical service (As in section **C.1.2** above). Keep an updated list with contact information etc.

C1.4 Identify required resources to maintain a critical service i.e. stationery, telephony, IT equipment. Specialist software/documentation etc.

C1.5 Identify other sources of services and supplies in the event of 3rd Parties being affected.

C2 MANAGEMENT STRUCTURE

NOTE: You will need to refer to section A2 above. Assess whether your identified Management Structure needs to be enhanced. Do you require or are able to form specialist management teams to deal with various aspects of a response. Or do you need specialist external assistance?

C2.1 Is your organisation in a position to enhance its management response structure by forming the following specialist teams:

a) *Building Services Recovery Team?* (Will have direct responsibility for all aspects of damage, transport, security and safety of the building(s) and to establish alternative and new premises, or re-occupation of the undamaged parts.)

b) *Information Technology Recovery Team?* (Will have direct responsibility to provide backup information technology hardware, software, communication systems (voice and data) and to install these at specified locations.)

c) *Salvage Recovery Team?* (Will have direct responsibility to mitigate the loss by effectively salvaging as much of the contents as possible. This will generally be in conjunction with specialist salvage contractors.)



Business Continuity Management & Disaster Recovery Checklist

C2.2 If not you may be required to depend on external organisations/contractors to provide these services.

You will also need to consider arrangements for dealing with:

- a) Financial issues
- b) Personnel issues
- c) Administration and Resource issues
- d) Health & Safety issues
- e) Media issues (section C3 below)

Do you have arrangements in place for involving your insurance company/loss adjuster as soon as possible after crisis?

C3 COMMUNICATION

NOTE: Good communication is central to any effective crisis management planning and response. You will need a strategy for dealing with neighbouring establishments, residents, staff, stakeholders, suppliers, regulatory bodies, the media etc.

C3.1 Refer to B 2.1 k). If you are near a hazardous installation have you discussed with the installation the risk to your organisation, appropriate emergency procedures, warning systems etc.?

C3.2 Have you discussed with neighbouring establishments their emergency procedures and how they may impact on you and vice versa?

C3.3 Have you discussed with critical 3rd party services and suppliers their resilience to crisis and how a crisis may impact on you and vice versa?

C3.4 Have you discussed emergency arrangements with any regulatory bodies (i.e. The Local Authority), and what that body may be able to provide during a crisis?

C3.5 Do you have a system in place to inform the following if a crisis seriously affects your business/organisation and what measures/arrangements you intend putting in place for dealing with the crisis:

- a) Staff?
- b) Residents?
- c) Stakeholders?
- d) Regulatory Bodies?
- e) Neighbouring Establishments?
- f) 3rd Party Suppliers and Services?



Business Continuity Management & Disaster Recovery Checklist

- C3.6 Do you have a strategy in place for dealing with media enquiries if a crisis affects your Business? This may include the following:
- a) Dedicated Press Relations Personnel?
 - b) Press Policy?
 - c) Personnel Trained in Media Handling?
 - d) System for informing the local media by use of press statements in crisis i.e. local radio, TV, papers etc?

C4 ALTERNATIVE ARRANGEMENTS

NOTE: Alternative arrangements will be required in the short and longer term to accommodate and re-stock your business i.e. for staff/residents/clients etc. You should consider alternative premises both short and long term. You may own other premises you can utilise or bring in portacabins to a suitable site. You may make arrangements with other businesses or organisations for the provision of premises and resources.

- C.4.1 Ensure that you have arrangements in place to assess the situation after a crisis i.e. damage etc. this will inform on timescale, what premises and resources are required etc.

- C.4.2 Does your organisation have other premises where staff (critical)/residents can be accommodated in the:
- a) Short Term (until other premises can be arranged)?
 - b) Longer Term (until business recovery has been completed)?

- C.4.3 Does your organisation have a plan to provide alternative premises on site i.e. portacabins etc. where staff (critical)/residents can be accommodated in the:
- a) Short Term (until other premises can be arranged)?
 - b) Longer Term (until business recovery has been completed)?

- C.4.4 Does your organisation have an agreement with a local business or organisation for the provision (leasing) of alternative premises where staff (critical)/residents can be accommodated in the:
- a) Short Term (until other premises can be arranged)?
 - b) Longer Term (until business recovery has been completed)?

- C.4.5 Have you plans in place for the supply of critical resources i.e. equipment, stationery etc required to continue your service (Refer to **C.1.4**)

- C.4.6 Have you made arrangements with alternative 3rd party suppliers and services in the event of 3rd party failure (Refer to **C.1.5** & **C.3.3**)?

NOTE: After a crisis make sure that actions are commensurate and based on continuous assessment of the situation. You will need to keep an ongoing log of the situation and photograph damage etc. as evidence.



Business Continuity Management & Disaster Recovery Checklist

Once you have ensured that management structures are in place and the continuity (critical aspects) of your business/organisation, you can start to plan the recovery of your business/organisation i.e. construction work etc.

C5 QUALITY

NOTE: It is advised that you consider the following to ensure the effectiveness and relevance of your plans.

- C.5.1 Identify a senior manager within your business/organisation to be responsible for your arrangements
- C.5.2 That staff are fully versed in arrangements and are aware of their responsibilities. This can be done by:
- a) The introduction of Staff Training
 - b) The production of relevant information on procedures etc
- C.5.3 Your plans or aspects of plans should be tested by regular exercises.
- C.5.4 You should endeavour to analyse your responses to any threat or crisis affecting your business/organisation, and integrate lessons learnt into your arrangements.
- C.5.5 Constantly review your arrangements.

NOTES:



Business Continuity Management & Disaster Recovery Checklist

For further information please contact:

The North Wales Councils – Regional Emergency Planning Service

Bodlondeb Lodge
Bangor Road
Conwy
LL32 8DU

Telephone: 01492 576321/576099

Fax: 01492 592042

e-mail 1: catherine.evans@nwc-reps.org.uk

e-mail 2: jonathan.williams@nwc-reps.org.uk

