EastMidlandsSharedServices

Business Continuity Plan

If this Plan is to be invoked, please turn to , Invocation Criteria

Senior Officer	Head of EMSS
BCP Champion	Business Development Manager
Copy holders name	
Copy number	
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EastMidlandsSharedServices
Delivering quality, affordable and resilient
support services to the public sector

Leicestershire County Council   Nottingham City Council

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1.1 Overview

Definition of Business Continuity Management

"Business Continuity Management is a process that helps to manage the risks to the smooth running of an organisation or the delivery of a service, thus ensuring that the organisation can continue in the event of a disruption,or recover to an acceptable level of operation within an acceptable timescale."

This plan has been developed having regard for the ISO 22301 standard for Business Continuity.

The analysis and risk assessment paperwork can be seen in appendix 9 of this plan.

During the development of Business Continuity for EMSS, we have delivered the following outcomes:

- Defined the functions of EMSS and categorised their criticality *(see section 5 page 11)*

- Evaluated the risks to enable clear understanding of vulnerabilities (*see section 2 page 6 and analysis templates in Appendix 14)*

- Developed strategies to mitigate/reduce the risk to EMSS vulnerabilities where possible. *(see section 2 page 6 and section 6 Action plans and Action cards)*

- Written this plan to recover from a disruptive event to including Action plans and cards utilising work arounds and alternative ways of working where applicable.

- Defined an exercise and training regime (see sections 8 and 9, page 41).

The plan is to be continually improved and maintained through the exercising program and will be reviewed annually by the EMSS BCP champion: Jill Turner.

In addition, all incidents will be logged and the resultant log will be used to aid the review of the response to the incident and the effectiveness of the plan. Capturing lessons learnt at this stage will enable continuous improvement to be made. A blank copy of the incident log is available in appendix 9 page 54.

1.2 Scope of the Plan

Any incident affecting East Midlands Shared Services (EMSS) which prevents delivery of the service, including physical problems affecting either Leicestershire County Council (LCC) or Nottingham City Buildings (NCC).

Invocation of this plan, and its effectiveness, is based on the following assumptions:

1. Copies of this plan, and other related response documents are available as hard copy, or in an environment external to LCC and NCC.

2. If staff were displaced from their normal place of work, they can migrate between LCC and NCC. In addition, LCC have a specific Work Area Recovery (WAR) strategy, and decision making process, for reference if required.

3. Key decision makers, or their nominated deputy, must be available 24 x 7 x 365 on a 'best endeavours' basis.

4. Support functions, e.g. ICT, Business Continuity etc, are available to respond 24 x 7 x 365 on a 'best endeavours' basis.

2.0 Risk

Nottingham City Council and Leicestershire County Council joined resources to form EMSS to deliver HR, payroll, recruitment and finance transactional services for both Councils. The services operate out of two main sites, Loxley House in Nottingham and County Hall in Leicester.

Main risks to the operation and the risk strategies are detailed in the table below.

Risk	Treatment	Recovery timescale
Loss of building	If only one site was unavailable, all work would continue at the other site or utilise arrangements of the hosting partner. A cascade contact list has been shared to ensure that efficient contact is made with all staff. Action card written for this eventuality.	
Loss of communication *(Inc. telephony & email)*	Action card written for this eventuality.	1 day
Loss of IT Systems / data	Action card written for this eventuality.	1 day
Loss of Oracle	Single point of failure; risk is accepted; SAAS Oracle is responsible for DR PASS and IAAS a DR plan is in place and EMSS have had visibility of Mastek's Business Continuity plan. Action card written for this eventuality.	3 days
Loss of staff / inc. Outbreak of Infectious Disease	Identify available staff and allocate essential actions. Action cards written for this eventuality.	1 day

Business Continuity planning produces two outcomes:

- A plan to be used to enable quick proportional recovery
- A risk assessment to identify vulnerable areas so that mitigating actions can be considered.

During the initial risk assessment, the functions were split into their main activities and these activities were risk assessed against 10 generic risks:

- Loss of access to premises,
- Temporary or permanent loss of key staff or significant drop in staff numbers.
- Loss of IT networks, e-mail, intranet and internet.
- Loss of telecommunications.
- Loss of Utilities. (Water, electricity, heating / air conditioning)
- Supplier / contractor failure.
- Loss of specialist equipment.
- Loss of critical data (hard copy and electronic)
- Transport disruption or disruption to road network
- Pressure groups, demonstrations or disgruntled individuals.

2.0 Risk continued

This enabled EMSS management to understand which activities are at more risk so mitigating measures could be considered. This risk assessment can be seen in detail in Appendix 14.

The table below shows the activities which scored the highest, thereby being at greatest risk, and the mitigating measures.

No.	Activities most at risk	Mitigation
2.04	Run Payroll	In the event that payroll cannot be run, a copy of the previous month's BACs file can be re-run. The Service Desk would be bolstered to deal with the expected increase in calls relating to incorrect pay. The Direct Payments Payroll has its own BCP which is attached to the action card
2.07	Transfer amounts information to general ledger	Work with Finance and BSS colleagues to update the general ledger.
2.08	Produce payslips, online pdf, pay advice	Using the hierarchy, the amounts paid to staff *(either from the BACS file or from Oracle)* can be distributed to managers to cascade to individuals.
1.01	Viewed scanned image of invoice	Retrieve paper invoices from BancTec or move scanned images into another programme to open depending on the fault.
1.02	Move invoices to workflow	Manually input
1.03	Approved invoices - track invoices and make payment	Manually input and, if necessary, request alternative payment process via banking sections

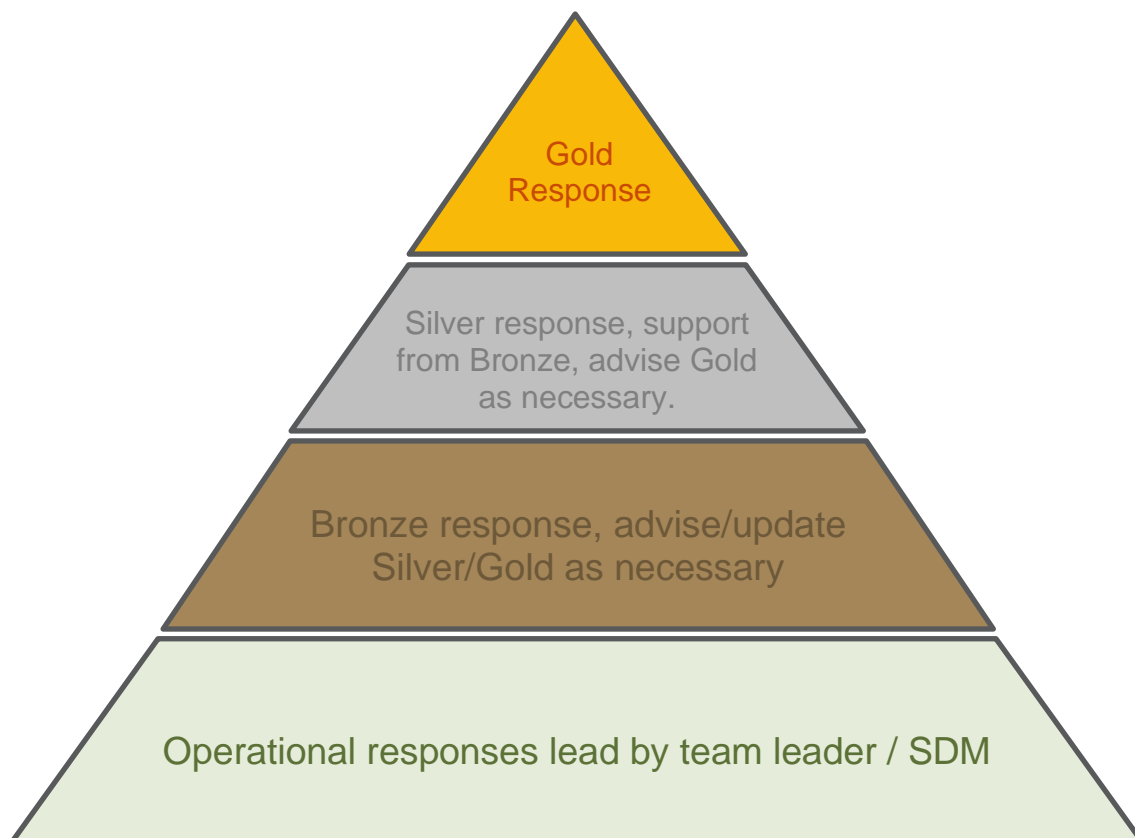This assessment will be reviewed when the plan is exercised.

The decision to invoke the plan will be made by the most senior member of the EMSS management team who is available at the time *(day/night - at work or contactable)*.

The incident itself may make the decision to invoke the plan a *fete accompli* due the reliance on IT (computing, data, and communications).

If a disruption/incident occurs follow the procedure below:

1. Inform the most senior EMSS manager available (ensure that the situation warrants calling the senior manager if the incident occurs out of hours).

2. The senior manager should use **Action Card 1** *(page 19)* and the Invocation criteria table *(page 9)* to decide on a course of action.

3. The senior manager will then organise the appropriate response team meeting (Gold, Silver or Bronze); decide on a suitable venue and the meetings attendees. See Appendix 12 EMSS Incident Team Structures and Responsibilities *(page 57)* for suggested team representation.

4. At the initial meeting, Action Plans and specific Action Cards should be used (see section 6 page 12)

5. Remember all personnel involved need to maintain logs especial of any tasks, decisions and policies created or taken, especially any reasons behind action taken to deviate from the plan.

6. Continue to use the **Action Plans** and **Action Cards** as necessary throughout the incident until full recovery is obtained. Any shortcomings in the Action Plan/Cards should be recorded so that improvement can be made after incident.

Team Response diagram

Gold Response

Silver response, support from Bronze, advise Gold as necessary.

Bronze response, advise/update Silver/Gold as necessary

Operational responses lead by team leader / SDM

Invocation Criteria (Severity and triggers)			
Timescale Definite	Timescale Possible	Severity	Likely Action / Team Response
At least a few hours	Less than a day	Low	No action, not worth invoking apart from critical functions being maintained. (See Section 5 page 11). EMSS operational response only.
Example:	System failure for less than an hour		
At least a day	Less than 2 Days	Medium	No action, not worth invoking apart from ensuring the most critical functions are maintained recovered first. (See Section 5 Functions). Monitor likely length of stoppage, if more than a day review with the options below. Consider putting workplace arrangements on Standby, Consider Timings for Supply Chains and Third Party Agreements EMSS Bronze operational response; advise/update Silver/Gold Level
Examples:	Minor weather event Loss of singular ICT service affecting multiple teams Building related event (County Hall or Loxley House) affecting small numbers of staff/teams.		
At least 2 days	Less than 5 days	High	Consider Invoking full Service BC Plan and alternative workplace arrangements if required. EMSS Silver response; support & tactical response from Bronze level advise Gold level.
Examples:	Incident preventing EMSS delivering services Potential for regulatory breach Significant media interest / Brand and reputational damage Financial impact. Loss of ICT services or one critical system affecting multiple teams for an extended period Unable to access County Hall or Loxley House, or other large site, for less than 1/2 day.		
At least a week	Months	Severe	Invoke all alternative working arrangements to ensure normal working is recovered in priority order as soon as possible. EMSS Silver/Gold response; support & tactical response from Bronze level.
Example	Incident preventing the EMSS delivering all critical and non-critical services Highly visible public and media impact Actual regulatory breach Serious financial impact Complete loss of ICT for an indefinite period beyond 5 days County Hall or Loxley House, or other large site, inaccessible indefinitely Countywide weather event significant community disruption for more than 5 days resulting staff issues.		

4.0 Business Continuity Management Team & Key Staff *(incl. roles & responsibilities)*

Business Continuity Management Team

Name	Key Responsibilities
	Head of EMSS
	BCP lead
	ESC and Eastern Annex lead *(also BCP lead)*
	FSC and Loxley lead
	Payroll lead *(also ESC / Eastern Annex if required)*
	HR lead *(also ESC / Eastern Annex if required)*
	FSC AR Team Manager
	FSC APR Team Manager
	Oracle Support
	ICT Service Desk Lead

Key Staff

Name	Key Responsibilities
	Input Team Lead
	Customer Service Team Lead
	Payments Team Lead
	Payroll Control Lead
	Payroll Lead
	Recruitment & DBS Lead
	Service Desk Lead
	HR Admin Lead
	Systems Admin/Systems Support
	Personal Budgets Payroll Team Leader

5.0 Function

Listed below are the Service Areas functions in priority order.

It is important these functions are recovered in this order following a disruption when there are limited resources. Clearly this prioritises functions with the same criticality score *(from analysis template 1 in appendix 14).*

EMSS Management will confirm any deviation from this list, i.e. for date specific activities such as Payroll, at the time of the incident.

Priority	Function	Criticality Score
1	Accounts Payable	4
2	Payroll	4
3	Accounts Receivable	3
4	Recruitment	2
5	HR Administration	2
6	System Administration	2
7	Service Desk	1

6.0 Action Plan

This is a list of tasks that are essential to the successful recovery of the service, to enable the reinstatement of functions in priority order ().

Each action plan is split into actions and considerations. Actions are likely to be required in all scenarios but the considerations depend on circumstances at the time.

Suggested actions:

- Ensure that members of the recovery team are aware of their roles and responsibilities.
- Consider whether these predetermined actions are relevant to the incident - make amendments at the time as appropriate.
- Allocate the tasks, recording who they have been assigned to.
- Each plan can be reviewed at a later date to ensure all actions are completed, sign the actioned column to indicate completion.
- Remember to log actions and decisions that have been taken and, if possible, the reasons for the decisions, using the log in Appendix 9, Page 54. NB The log is essential when reviewing the management of the incident so that the plan can be improved, using any learning from the incident.
- It is important when there is limited resource, that the most essential services are recovered first.

Action Cards

Action cards are lists of specific actions for certain scenarios and can include workarounds to be used should systems and/or equipment be unavailable. Use of these cards should be considered at the first meeting.

The following cards are available:

1. EMSS Silver/Gold Response Checklists (incl. Initial Assessment of Incident & suggesting meeting agendas)
2. Loss of a major building
3. Loss of Oracle full system
4. Los of oracle limited functionality
5. Loss of Email
6. Loss of telephony
7. Loss of servers / major loss or disruption of data access
8. Loss of staff inc. Outbreak of infectious disease
9. Loss of BACS
10. Loss of Capita 1 / Oracle interface
11. Loss of Direct Payments Payroll
12. Loss of Velocity
13. EMSS Work Area Recovery (WAR) Strategy for Staff Relocation.
14. LCC ICT - DR Invocation Summary
15. Incident shut-down and debrief

6.0 Action Plan

First Hour

	Actions	Allocated to	Actioned
1	Invoke the Plan		
2	Organise a meeting of the EMSS BCM team		
3	Obtain an accurate assessment of the disruption /incident		
4	List all actions required and allocate tasks		
5	Agree the priority of recovery		
6	Record all decisions on a log (appendix 9 page 54)		
7	Put together resolution team based on the issue		
9	Most Senior Officer in the EMSS BCM team to inform LCC and NCC senior management		
10	Decide on a communications plan, (who needs to be informed and how often?)		
Considerations			
1	Consider if any of the action cards cover the disruption /incident.		
2	Consider if the actions in the action plan is relevant		
3	Consider what instructions/information need to be given to EMSS colleagues.		
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6.0 Action Plan (continued)

First 24hrs

	Actions	Allocated to	Actioned
1	Develop a staff rota (if required)		
2	Forward plan (horizon scanning) - consider the scenario and consequences in the next 6/12/24/48 hours. Create actions.		
3	Consider all forthcoming deadlines and impacts within the affected areas.		
4	Estimate recovery time and compare this with the work deadlines from point 3.		
5	Consider the cost of the incident, record all expenditure including overtime etc.		
6	Maintain communication updates with NCC / LCC		
7	Record all decisions on a log (appendix 9 page 54)		
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Considerations			
1	Consider alternative Stakeholders/Suppliers		
2	Consider whether holidays need to be, and can be, cancelled		
3	Consider if overtime required to aid recovery.		
4	Consider whether out of hours working is necessary (night time and weekends).		
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6.0 Action Plan (continued)

First 48hrs

Actions		Allocated to	Actioned
1	Record all decisions on a log (appendix 9 page 54)		
2	Maintain communication updates with NCC / LCC		
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Considerations			
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6.0 Action Plan (continued)

First week

	Actions	Allocated to	Actioned
1	Record all decisions on a log [(appendix 9 page 54)](#)		
2	Maintain communication updates with NCC / LCC		
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Considerations			
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6.0 Action Plan (continued)

First month

Actions		Allocated to	Actioned
1	Record all decisions on a log (appendix 9 page 54)		
2	Maintain communication updates with NCC / LCC		
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Considerations			
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6.0 Action Plan (continued)

Long term recovery

Actions		Allocated to	Actioned
1	Record all decisions on a log (appendix 9 page 54)		
2	Maintain communication updates with NCC / LCC		
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Considerations			
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6.1 Action Card 1

Purpose	**EMSS Silver/Gold Response Checklists** (including initial assessment of incident & suggested meeting agendas)

Actions		Allocated to	Actioned
1	Confirm the nature of the incident		
2	Confirm what/who is affected – NCC or LCC or both?		
3	Is ICT Technical environment affected?		
4	External Partners, suppliers impacted or involved?		
5	Actions taken so far (if any), including calling emergency services.		
6	Make an assessment based on the severity of the incident and the invocation table *(page 8.)*		
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Considerations			
1	Depending on the severity of the incident, consider instigating a meeting of the EMSS Core Response Team (ECRT). Call at least one of the following: • Head of EMSS • EMSS Service Centre / Business Development Manager • LCC ICT Service Desk or Technical Rep (if failure involved ICT loss) (see Appendices 1 to 7 for contact details from page 41)		
2	Consider whether EMSS Silver/Gold teams should be convened, i.e. face to face; Conference call.		
3	Identify attendees required, and supplier representation, as appropriate.		
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19

1. EMSS INCIDENT MEETING [Agenda]	COMPLETE	TIME
• EMSS first response team provides overview of problem & actions taken so far *(including technical view if ICT affected)*		
• Confirm if incident is EMSS based, or has County wide impact for either NCC, LCC or both		
• **Confirm <u>required</u> roles & responsibilities for EMSS Incident Management team, based on the situation, including:**		
o Overall Incident Manager		
o Loggist		
o Corporate Communications Representatives from NCC or/& LCC		
o Representatives from EMSS teams at NCC &/or LCC (& ICT if appropriate)		
o Admin Support		
o Confirm who does **<u>NOT</u>** need to be part of this response		
• Confirm with attendees: impact on EMSS services & actions taken so far, including communication		
• Confirm severity of incident, i.e. medium/high/severe *(see Invocation Criteria for definitions)*		
• **Discuss and agree business, and NCC &/or LCC priorities and appropriate responses**		
• **Make decision on whether IT/DR invocation is required, based on advice from ICT Management**		
· **Agree if escalation required to Chief Exececutives of NCC & LCC (Gold Level)**		
• Confirm actions required, including communication messages as agreed with Corporate Communications teams (NCC & LCC) in line with Media Comms Plan		
• Agree physical location (Work Area Recovery) for EMSS Silver/Gold team and EMSS Staff (NCC/LCC)		
• Agree date/time/location of next meeting/conference call		

20

2. SITUATION UPDATE MEETING AND ON-GOING RISK ASSESSMENT	COMPLETE	TIME
• Latest update from each attendee; any outstanding issues or concerns?		
• Any **new** concerns or risks		
• Review actions; agree new actions required		
• Agree time of next review meeting		

INCIDENT MEETING GUIDELINES:

- **Effective use of loggist**; make it clear to the Loggist when an action or decision has been agreed, and review progress with the Loggist at regular intervals throughout the meeting.

- **Use a flip chart/white sheets** to note activity and current status; ensure they are pinned up/visible to everyone. You can use an admin person to do this if necessary.

- **Use 'runners'** where necessary to take messages & instructions, especially where information needs to be conveyed quickly. Avoid key attendees having to leave the room.

- **All phone calls** must be taken/made outside of the Incident Meeting room.

6.1 Action Card 2

Purpose	Loss of a major building.

Actions		Allocated to	Actioned
1	Convene BCM Team		
2	Review critical actions to be completed and timescales		
3	Liaise with host Business Continuity contact		
4	Agree response – accept host arrangements or seek to utilise the other building		
5	Identify alternative options (homeworkers, use of another workspace, relocation to other EMSS office etc)		
6	Identify key staff		
7	Communicate with those staff and instruct them on location and activities		
8	Stand down non-essential staff		
9	Review need for any EMSS-specific communications		
10	Agree monitoring cycle		
Considerations			
1	Consider what equipment would be needed at a green field site *(see template 4 in appendix 14, page 55)*		
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6.1 Action Card 3

Purpose	Loss of Oracle Full System

Actions		Allocated to	Actioned
1	Convene BCM Team		
2	Identify type / cause of loss		
3	Identify impact		
4	Identify critical actions / processes		
5	Liaise with Mastek contact		
6	Put together process teams to cover the urgent activities		
7	Establish partner contacts to agree actions		
8	Review need for any EMSS-specific communications		
9	Agree monitoring cycle		
10	Record lessons learned		
Considerations			
1	Alternative options for maintaining services		
2	Impact of the fault in the service lifecycle		
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6.1 Action Card 4

Purpose	Loss of Oracle Limited Functionality

Actions		Allocated to	Actioned
1	Convene BCM Team		
2	Identify type / cause of loss		
3	Identify impact		
4	Identify critical actions / processes		
5	Liaise with Mastek		
6	Put together process teams to cover the urgent activities		
7	Establish partner contacts to agree actions		
8	Agree required communications		
9	Agree monitoring cycle		
10	Confirm cause		
11	Agree fix		
12	Record lessons learned		
Considerations			
1	Alternative options to maintain services		
2	Impact of the fault in the service lifecycle		
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6.1 Action Card 4

6.1 Action Card 5

Purpose	Loss of Email

Actions		Allocated to	Actioned
1	Convene BCM team		
2	Identify key areas that the outage will affect		
3	Liaise with ICT lead		
4	Agree mitigation		
5	Agree communications		
6	Agree monitoring cycle		
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Considerations			
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6.1 Action Card 6

Purpose	Loss of Telephony

Actions		Allocated to	Actioned
1	Convene BCM team		
2	Identify key areas that the outage will affect		
3	Identify impact on service desks FSC – can staff be located in Leicester: ESC – can staff be located in Romulus Court		
4	Liaise with ICT lead		
5	Agree mitigation		
6	Agree communications		
7	Agree monitoring cycle		
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Considerations			
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6.1 Action Card 7

Purpose	Loss of servers / major loss or disruption of data access

Actions		Allocated to	Actioned
1	Convene BCM Team		
2	Identify areas affected		
3	Liaise with ICT / BSS lead		
4	Identify urgent activities / processes		
5	Put together process teams		
6	Agree EMSS or LCC lead		
7	Liaise with Mastek		
8	Put together process teams to cover the urgent activities		
9	Establish partner contacts to agree actions		
10	Agree communications		
11	Agree monitoring cycle		
12	Confirm cause		
13	Agree fix		
14	Record lessons learned		
Considerations			
1	Loxley connection – transfer staff to LCC or invoke access to NCC network		
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6.1 Action Card 8

Purpose	Loss of Staff / inc. Outbreak of Infectious Disease

Actions		Allocated to	Actioned
1	Convene BCM Team		
2	Review critical actions to be completed and timescales		
3	Liaise with host BCM contact – ascertain EMSS or organisation issue		
4	Ascertain whether quarantine arrangements are required		
5	Agree with Host BCM appropriate advice to staff		
6	Use contact cascade to inform staff of the advice and identify available staff for processing		
7	Communicate with those staff and instruct them on location and activities		
8	Liaise with ICT to ensure all staff have access to remote working		
9	Establish partner contacts to agree actions		
10	Agree required communications		
11	Agree monitoring cycle		
12	Put in place remote management team – to allocate available staff to activities and monitor progress		
Considerations			
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6.1 Action Card 9

Purpose	Loss of BACS

Actions		Allocated to	Actioned
1	Convene BCM Team		
2	Contact ICT & supplier to identify cause of issue and evaluate options		
3	Undertake restart of TREAP5 server		
4	Identify if this will cause any disruption of payments – if yes convene partner leads for invoke their payment fallback actions		
5	Agree any communications if necessary		
6	Agree monitoring cycle		
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Considerations			
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6.1 Action Card 10

Purpose	Loss of Direct Payments Payroll

Actions		Allocated to	Actioned
1	Invoke the BCP embedded below		
2	Direct Payments PB Bus Conti Plan.docx		
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Considerations			
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6.1 Action Card 10

6.1   Action Card 13

EMSS Work Area Recovery (WAR) Strategy for Staff Relocation
Possible Options

A.	**Utilise facilities at other location** If one of EMSS' offices becomes unusable then, based on priority of function, staff can be temporarily relocated to Glenfield or Loxley House. It may also be necessary to invoke another option should the accommodation be required on a longer-term basis
B.	**Use of alternative area of County Hall** If an incident occurs which physically renders an area of County Hall unusable, **'Recovery Zones'** have been identified within County Hall campus which can be used by those teams who have been displaced. A recovery zone is designated office space, where less critical staff will move out to allow any critical teams affected to occupy the desks for a temporary period. Due to big variations in the ICT equipment and set up on each desk, ICT staff would be deployed in supporting those teams moving into their temporary location, to ensure their ICT capability and access permits them to carry out critical tasks as normal. A procedure exists for invocation of Recovery Zones, and this includes the Business Continuity Team ensuring that less critical teams who are requested to move out are managed sensitively and alternate working area found for them. Exact details of the Recovery Zones and the procedure for invocation are available from The Business Continuity Team. *Loxley House -* it may be possible (based on the cause of the loss of the FSC work area) for staff to relocate elsewhere within the building. However this would depend on sufficient space being made available. Would need ICT to create user IDs for their network (there may be loss of LCC access including Wisdom and emails. **NOTE - NCC do not have a formal WAR plan.**
C.	**Relocation to Locality Office, or other County building** For teams within the council that have a social care responsibility (including the CSC teams in Eastern Annex), should County Hall campus, or a large part of it, be inaccessible or destroyed, arrangements are in place to make use of locality offices where possible. Arrangements for displacement to a locality office should be managed, on the day of an incident, via the Business Continuity Team, who will work in collaboration with the A&C or CFS teams (who are the main occupiers of the buildings). **It is vital to ensure that, as a result of moving County Hall staff in, there is no adverse disruption to the locality office services or staff, who are themselves potentially critical.**
D.	**Home Working / Remote Connectivity via Citrix or Juniper** The remote working solutions which are provided to staff for use during 'business as usual' are a vital resilience solution, should County Hall be inaccessible. As part of the declaration of a major incident, it could be deemed that 'home-working' is a required strategy for ensuring critical staff/teams are able to continue. **For Citrix Users Only.** Due to technical limitations, it is possible during periods of high demand for Citrix to become 'overloaded' - and eventually unusable. For this reason, during an incident requiring remote access strategy, the Business Continuity Team, along with RPG/Silver team and ICT will invoke a process to restrict access via Citrix to critical users only. **Details of the invocation of Citrix restrictions are available from the Business Continuity Team.** **CISCO AnyConnect:** Users are not normally affected by technical limitations, and hence should be able to access remotely, irrespective of demand for the service.
E.	**ICT Team Relocation to Romulus Court** As Romulus Court is the site of the council's secondary datacentre, and is also used for ICT Disaster Recovery, in the event of County Hall being inaccessible, Romulus Court office space will be ring-fenced for use by the ICT Team, and their suppliers. Sys Admin have a backup BACS system located there County Hall teams who currently reside there during 'business as usual' are not deemed critical, and may be requested to relocate to home, or a locality/partner office, should the ICT team need to displace to Romulus Court.

LCC WAR: County Hall Recovery Zone Invocation

A floor plan showing Recovery Zones in County Hall is held by Property and The BC Team.

Responsibilities and decision making	The decision to invoke a County Hall Recovery Zone will be made by the LCC Incident Manager from either Silver *(RPG)* or Gold Team *(CMG),* in collaboration with the Property Team, ICT and the Business Continuity Team.
Recovery Zone Requirements & Assessment.	**If an incident is declared which affects a team's ability to use their normal office or building, the following assessment must take place:**
	1. Is relocation to another office or building the best and most practical solution in the circumstances? If not, evaluate other options. **Silver (RPG) or Gold (CMG) to confirm decision.**
	2. **If relocation is confirmed, check the following with the BC plan owner (referencing BC plan):** • How many staff need to be displaced, and from where? • Within what timeframe do they need to be operational in order to maintain the critical service? • Are there any imminent life-threatening social care cases, issues or deadlines to be aware of? • What ICT requirements do they have? Do any staff members have special needs?
	3. Property, BC Team and ICT to discuss the following: • Based on info from the plan owner, which 'Recovery Zone' is most practical from a Property & ICT perspective? • Based on what is known so far, for how long is the Recovery Zone likely to be invoked? • What would be the business impact on the less critical team being displaced? • Is the disruption acceptable, and if so, for how long? *(BC team consult with relevant RPG member).* • Are there any specific barriers or risks to the move from a Property, ICT or business perspective?
Main Management Contacts for Recovery Zone Invocation	Director of Corporate Resources *(Gold/CMG Team)*
	AD Corporate Services
	Property Services
	ICT
	Business Continuity
	Corporate Communications
Invocation Actions	**Once the decision has been made to invoke a specific Recovery Zone, activities will include the following actions. *Note:* The list**

33	*below does not necessarily reflect the order of activity, as some actions will be executed simultaneously.*
	• Communicate decision to BC Plan owner of team affected
	• Confirm decision to relevant CMG or RPG member of less critical team being displaced
	• Communicate situation to all CMG, RPG and Working Party members. Also communicate to members as appropriate.
	• Discuss with Corporate Comms whether general messages (e.g. on CIS) are appropriate. If so, agree content, tone, and audiences.
	• Contact impacted business and health partners/districts *(including Notts City if EMSS is involved)*
	• Mobilise Property staff to assist teams with move
	• Mobilise ICT support for staff relocating to Recovery Zone
	• BC Team monitor impact on critical service; source support from other teams if necessary and practical.
	• BC Team to monitor overall activity, and arrange a review point meeting with relevant parties as appropriate to the situation.
	• Comms team to monitor general comms activity, especially checking for public or service user awareness of the situation.
	• BC Team to keep and CMG, RPG and Working Party members updated, and escalate any issues with the move - including disruption to critical service or public awareness of the incident.
	• BC Team to assist displaced less critical team in working from alternative office, or via alternative means (including remote/home working) *(See 'Duty of Care' below)*
Duty of care for (less critical) displaced team.	**To ensure the team displaced from the Recovery Zone are supported and monitored, the actions below should be taken by the BC Team:**
	1. Discuss options for staff relocation with RPG member and BC plan owner(s), and agree best solution accordingly. Multiple solutions may well be agreed.
	2. Check for any pressing deadlines or activities which need to be completed within a specified timeframe. (i.e. tasks may not class as 'critical', but are still important).
	3. Ensure team are assisted in relocation to alternative sites or remote/home working (as long as remote working not being used for critical teams displaced - see 'remote working' policy).
	4. Monitor team for indications that service is being unacceptably impacted by displacement circumstances. If necessary, agree plan of action with relevant RPG and Working Party members.

6.1 Action Card 14

EMSS ICT - DR Invocation Summary
A copy of detailed DR documentation is held by key members of the ICT Team

IT/DR Invocation Responsibility	The decision to invoke IT Disaster Recovery will be made by the Appropriate Incident Manager from either Silver *(RPG)* or Gold Team *(CMG),* in collaboration with ICT Senior Management.
IT/DR Invocation Decision Making	If a *'High'* or ;*Severe'* incident is declared which affects ICT systems, or services, the LCC Major Incident Plan *(Silver and Gold level)* will be referenced to manage the incident. Based on advice from ICT, a decision will be taken by the LCC Incident Manager on whether DR should be invoked. Due to the huge technical and business implications of DR invocation, it must be confirmed that DR is the best or only course of action, and that it will resolve the problem. ***Definitions of High and Severe Incidents (ICT impact):*** **'High':** • Loss of multiple ICT services or one critical system affecting multiple teams for an extended period. **'Severe':** • Complete loss of all ICT systems for an indefinite period, and expected to be beyond 24 hours. ***OR/&*** • County Hall damaged or inaccessible to all staff (including ICT) for an indefinite period.

Main Management Contacts		
		LCC Director of Corporate Resources
		NCC – Corporate Director for Strategy
		AD Corporate Services *(Silver/RPG Team)*
		Head of ICT Operations *(Bronze Team)*
		Head of ICT (NCC)
		ICT Manager (BSS, Service Desk & Performance)
		ICT Manager (TDG/Technical)
		Support /LCC Major Incident Response
		Support /LCC Major Incident Response
	Contact details of Senior Managers are in Section 5 & 6 of this document.	

	Once the decision has been made to invoke IT/DR, the corresponding ICT/DR plans will be invoked.

Activities within these will include *(but are not limited to)*:

- Communicating with all ICT Managers

- Confirming scope of invocation - 'all', or specific components or systems?

- Confirming key ICT roles and responsibilities.

- Confirm IT action/DR plan based on nature of incident

- Communicating *(via call cascade)* with all relevant technical & support staff.

- Engaging Business Partners and other relevant SI&T staff

- Contacting relevant vendors and suppliers

- Contacting impacted partners/districts *(e.g. Leics City, Notts City etc)*

- Mobilising required resources to Romulus Court

- Retrieving off-site documents and storage media, and battle boxes

- Enacting technical recovery as appropriate

- Updating progress to Silver or Gold team via nominated ICT representative

- Liaising with Business Continuity Team as/when appropriate

- Liaising with Property/Building Services Team if/when appropriate

- Carry out post incident investigation & 'lessons learned' exercise.

- Participate in post incident meetings as appropriate. |
| **Operational ICT Team**

Activity Overview | |

6.1 Action Card 15

Incident Stand-Down and Debriefing

A copy of the 'Lessons Learned' Log is available from LCC BC Team

Incident Stand-down Protocol	The decision to declare an incident closed, and to stand-down the response, must be taken as follows: **Medium Severity:** BC Team or Incident Manager at Silver Level from NCC or LCC *(depending on the nature of the incident)* **High Severity:** Incident Manager - Silver Level (NCC or LCC) **Severe Severity:** Incident Manager -Gold Level (NCC or LCC)
Incident Stand Down Criteria	An incident can be declared closed when the situation meets the following criteria: • The incident is no longer an impact on council staff, service users or the public. • 'Normal' service process and business procedures have been restored to an acceptable level. *NOTE: this could be a new 'normal' if the incident has led to alternative measures or arrangements being put in place on a permanent or temporary basis.* • Dynamic risk assessment has indicated that the situation is stable, and the incident is not likely to re-occur.
Incident Follow-Up and Lessons Learned.	The Business Continuity Team will carry out a formal post incident review, the output of which will be incorporated into a post incident report, including: • Summary of the incident and its root cause *(if known)* • Lessons Learned by all teams involved • Actions identified to address gaps and issues, including owners and timescales for completion • RAG status indicating % complete, or highlight barriers to completing actions Depending on the severity & nature of an incident, a post incident meeting may be held with relevant parties. If a meeting is not deemed necessary, the BC team will carry out an analysis of the incident, including setting up 1:1 meetings with those involved to explore events as they unfolded. **Lessons Learned Log** The Business Continuity Team maintains a 'Lessons Learned' Log which tracks the status of all actions from all incidents in one document. As well as tracking the post incident status of events, it gives visibility of trends and monitors for repeat problems. A copy of the lessons learned log is available from the Business Continuity Team on request

7.0 Stakeholders and Suppliers

This is a list all major stakeholders and suppliers who if their services or supply failed, would result in a failure of one or more of the critical functions. For Contact details refer to Appendix 6

Stakeholders and Suppliers	Description of Service or Product supplied.	Critical function number
	Hosts Oracle	1,2,3,4,5,6,7
	No alternative – this would be a matter outside of EMSS	
	Provides Oracle support	1,2,3,4,5,6,7
	No alternative - this would be a matter outside of EMSS	
	Invoice Scanning solution	1,3
	CRM Software	6,7
	BACS transfers	1,2,6
	DBS System	4,5
	Website provider	
	Supports NCC systems	1,5
	Strategic Partners for Debt Collection	1,3
	Software for Direct Payments	1,2,4
	Pension provider software for Direct Payments	1,4
	Pension Payroll system	1,2,4

8.0 Exercise Schedule

It is essential to test the plan before it is needed in a real event and the review of an exercise should be used to improve and correct the plan.

It is important to schedule an exercise as proper planning can result in a much more meaningful and useful exercise.

This is the agreed schedule of organised exercises:

Type of Exercise	Frequency	Date Arranged
Table Top	Annually	10/2017
Full Rehearsal	Two Years	5th &10th Oct 17

Whilst an exercise is important in terms of continual improvement of the plan, it is also essential to maintain an exercise log as proof of training and knowledge of procedure (see Appendix 9, Page 54).

N.B. the risk assessment should also be reviewed to ensure that the risk has not changed and whether further new mitigating actions can be implemented.

9.0 Training

Regular training is an essential element in ensuring that colleagues understand their responsibilities during an incident, particularly the BCM team and any key staff and to ensure their skills and knowledge are maintained.

This is the agreed schedule of training.

Type of Training	Frequency	Date Arranged
Refresh - Managers	Annually	
Refresh - staff	Annually	
BCP – Roles and responsibilities	For all managers	And on induction
Senior manager Resilience training		

A training log needs to be maintained as and when training is delivered as proof that that training has been delivered. A blank copy can be found in Appendix 10, Page 55.

10.00 Staff Instruction

In the event of a major disruption, staff may be asked to help the recovery process. This may result in them being asked to undertake roles they are not used to and in circumstances they would not be familiar with. Management need to be sensitive to the needs and concerns of the staff during these unusual events.

11.0 Maintenance of records

Remember, during any incident where this plan is invoked, all managers must record their actions and decisions in an Incident Recovery Log (see appendix 8, page 53). Further copies can be photocopied.

At the end of the incident, these logs must be collated and they can be used at the incident debrief to ensure that lessons learnt can be incorporated in this plan for improvement.

Training and exercise records must also be kept and secured appropriately.

12.00 Data Recovery

Data recovery for all Oracle information rests as part of the Oracle Disaster Recovery plan.

BACS – data is backed up by the supplier as part of their disaster recovery arrangements

13.00 Evacuation Plan

Copies of the two major sites evacuation plans:

Copies of the buildings Evacuation plans can be found:	
Nottingham City Council	Facilities Management, Loxley House.
Leicestershire County Council	https://leics.sharepoint.com/sites/intranet/HDI/Pages/fire-and-emergency-procedures.aspx county-hall-evacuati on-procedures.doc

All names on this list should be made aware of the incident with high level information on nature, severity and impacts.

Follow the invocation criteria section 3 page 8 and refer to appendix 2, page 45.
Log who, and who has not, been contacted in a recovery log sheet (see appendix 8, page 53)

Cascade List

The Spreadsheet below contains contact numbers for EMSS staff.

Appendix 2

Key Partner & Communications Contact List

The manager leading the BCM team for the incident will be responsible for identifying the correct level to liaise with partners dependent on the severity and impact of the issue; key contacts are listed below.

Organisation	Role	Name	Contact Number
LCC	Sponsor For critical issues		
NCC			
LCC	HR Issues		
NCC			
LCC	Finance Issues		
NCC			
Communications			
The communications team will manage/deliver: all media relations; social media activity; press statements etc.			
LCC	Corporate Communications	Office hours	
		Duty Media Officer 24/7	
NCC			
Business Continuity Leads			
LCC	Resilience & Business Continuity Manager		
LCC	Business Continuity Team	Resilience Partnership Duty Officer Business Continuity Team	
NCC	Emergency Planning Officer		

Appendix 3 - EMSS Gold/Silver Team Contacts including On Call Senior Managers (in blue text) - REDACTED

This list should contain all duty Council contacts, emergency contractor contacts and any out of hours support numbers.

Appendix 6 - Contact List – Useful numbers - Key holders, utilities etc. - Redacted

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Appendix 7 - Business Continuity Team and Plan Distribution.

This is a list of the key members of your Business Continuity Team and key staff from your service that will manage an incident.

Each team member will have a copy of the plan, and must be provided with an updated copy when any changes are made to the plan. These plans should be kept off-site.

It is the responsibility of the respective document holder to ensure that the confidentiality of the Plan and information contained therein, is maintained at all times and that the information is only used for the purpose for which the data has been collected.

Copy No.	Name	Where Held
1		At home
2		On laptop & home PC
3		At home and laptop
4		At home and laptop
5		At home and laptop
6		
7		
8		
9		

Appendix 8

Blank Incident Recovery Log

Incident Recovery Log		Date	
Incident			
Time	**Name**	**Action / Comments**	

Appendix 9 - Exercise Log.

Type of Exercise	Desktop run through and discussion
Date	15/07/2016
Candidate	Signature
Ext Management Team	
Type of Exercise	Full Desktop scenario
Date	5/10/17 – LCC 10/10/17 - NCC
Candidate	Signature
All managers and Team Leaders	
Type of Exercise	Desktop run review and discussion
Date	19/11/2018
Candidate	Signature
Ext Management Team	

Appendix 10 - Training Log

Course	Date	Candidate
Resilience in Leicester, Leicestershire & Rutland	18/04/23	Head of EMSS
Introduction to JESIP	23/05/23	Head of EMSS
Keeping a Personal Log	20/6/23	Head of EMSS
Resilience in Work	23/08/23	Head of EMSS
OCSM Refresher	28/9/23	Head of EMSS
Bite-Size JESIP Exercise 1	12/9/23	Head of EMSS
Bite-Size JESIP Exercise 2	23/1/24	Head of EMSS

<u>Section 7 - Location of EMSS Silver/Gold Team - Options</u>

A. LCC County Hall, Leicester

Committee Room, County Hall, Glenfield, Leicester, LE3 8RA

Exact room will be identified at the time of incident by BC Team & Chief Execs Members Secretariat

Access out of hours:

Contact: Servest, 0116 305 5556 (24hrs)

B. Gynsills Pub - LCC County Hall Access Rd

Leicester Road, Glenfield, Leicester, LE3 8HB *(open 07:00 - 23:00)*

Telephone: 0116 231 3693 (Hilary Barlow, Manager)

Email: 1378unit@spiritpubcompany.com

Note: If possible, notify Gynsills prior to arrival

Access out of hours:

This location is not available between the hours of 23:00 and 07:00

C. Loxley House, Nottingham

Exact room will be identified at the time of incident

D. Second location in Nottingham - to be identified by a member of the Management Team

Appendix 12 - EMSS Incident Team Structure & Responsibilities.

Gold Team

Representation

EMT

Service Delivery Managers

Team Leaders

BSS

Partner leads

Sponsors

Responsibilities

Assess incident

Invoke action card if applicable

Agree communications / media response

Review incident and make suggestions to update plan is necessary

Silver Team

Representation

EMT lead

Service Delivery Managers

Team Leaders

BSS

Partner leads

Responsibilities

Assess incident

Liaise with partners as necessary

Invoke action card if applicable

Review incident and update plan is necessary

Bronze Team

Representation

Service Delivery Manager

Team Leaders

Relevant Staff

BSS if required

Responsibilities

Assess incident

Implement Bronze Plan

Alert EMT if required

Advise BDM if plans need updating