| POL | BUSINESS CONTINUITY MANAGEMENT | AES12 |
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| POLICY CODE: | AES12 |
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| DIRECTORATE: | Executive Services Department |
| BUSINESS UNIT: | Executive Support Services |
| SERVICE UNIT: | Executive Support Services |
| RESPONSIBLE OFFICER: | Director, Governance & Community Services |
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| DAPPS Meeting: | 27 November 2014 <br> 25 February 2016 |
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**BACKGROUND:**

City of Cockburn is responsible for a number of critical services to both the community and its staff. Disruptions to Council services will require Council to focus and continue to respond to community needs and continue to deliver critical services.

A formalised approach to Business Continuity will assist Council business for both a response and a continuation of critical services.

**PURPOSE:**

Business Continuity Management (BCM) is a process that identifies potential threats to an organisation and the impacts to business operations that those threats, if realised, might cause. It provides a framework for building organisation resilience with the capacity for an effective response that safeguards service delivery of critical services, the interests of key stakeholders, reputation and value creating activities.

**POLICY:**

Business Continuity Management is an on-going management and governance process supported by the Senior Management Group, which shall be appropriately resourced to ensure that necessary steps are taken to identify the impact of potential losses, maintain viable recovery strategies and plans and ensure continuity of services through training, exercising, maintenance and review.

[1]

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

The Business Continuity Management Framework will detail the procedural requirements to ensure compliance with this Policy and best practise BCM principles.

Council's Senior Management Group (SMG) will be responsible for oversight of the Council's Business Continuity Management Framework and ensure appropriate resources are provided to management to support the Council's Business Continuity Plan.

This Policy applies to all the Council Directorates and Business Units. Key obligations under this Policy, including reporting requirements, are applicable to all Senior Management Group and compliance as per the Business Continuity Management Framework.

This Policy represents the minimum standards for Business Continuity Management within the Council.

# BUSINESS CONTINUITY PLAN


# FRAMEWORK

# Contents

# 1        Definitions

**Business Continuity Management (BCM)** – Holistic management process that identifies potential threats to an organisation and the impacts to business operations those threats, if realised might cause, and which provide a framework for building organisational resilience with the capability of an effective response that safeguards the interests of its stakeholders, reputation, brand and values creating activities.

**Business Continuity** – Capability of the organisation to continue delivery of services at acceptable predefined levels.

**Business Continuity Policy** – Intentions and directions of an organisation as formally expressed by management.

**Business Continuity Management System (Framework)** – Part of the overall management system that establishes, implements, operates, monitors, reviews, maintains and improves business continuity.

**Business Continuity Plan (BCP)** – Documented procedures that guide organisations to respond, recover, resume and restore to predefined levels of operations following disruptions.

**ISO22301:2012 (ISO22301) Business Continuity Management Systems (BCSMS)** – Requirements. – International standard for Business Continuity.

**Business Continuity Team (BCT)** - This team is responsible for the assessment and escalation of incidents as they occur and for the recovery and restoration of normal business operations.

**Maximum Acceptable Outage (MAO)** - The maximum period of time that the Cockburn Council can tolerate the loss of a process or function before a serious impact on operations or service delivery.

**Recovery Time Objective (RTO)** - This represents the period of time following an incident within which the product, service or activity must be resumed or recovered.

**Recovery Point Objectives (RPO)** – Point to which information (data) used by activity must be restored to enable the activity to operate on resumption.

**Critical Business Functions (CBF)** - The critical operational and/or business support functions that could not be interrupted or unavailable for more than a mandated or predetermined timeframe without significantly jeopardising or impacting the organisation.

**Minimum Resource Requirements Over Time** – What are the minimum amount of resources that are required over time to resume the process.

**Business Impact Analysis (BIA)** - Process of analysing activities and the effect that a business disruption might have upon them.

Risk Assessment (RA) – The RA identifies, evaluates and records critical continuity related vulnerabilities of each of the business' critical activities and resources, including potential disruption scenarios.

Information Technology Disaster Recovery Plan (ITDRP): Refers to the 'Information Technology Disaster Recovery Plan' that is designed and managed by Councils IT Department.

## 1.1 Principles

Business Continuity Management is fundamental to ensure against organisational and reputation risk to Council in the case of business interruption.

Council recognises the potential strategic, operational, financial, and stakeholder support risks associated with:
• Service interruption.
• The importance of maintaining viable capability to continue Council's business processes and service delivery obligations with minimum impact.
• The need to have an operational Business Continuity Management Program in place.

This supports City of Cockburn Mission and key themes of being:

Mission

Our mission is to make the City of Cockburn the most attractive place to live, work, visit and invest in in the Perth metropolitan area.

Themes

• Growing the City.
• Community and Lifestyles.
• A Prosperous City.
• Environment and Sustainability.
• Infrastructure.
• Moving Around.
• Leading and Listening.

Emergency and Risk Strategy

We will mitigate risk and plan for emergencies and community recovery by implementing measures to reduce the causes and effects of emergencies.

This policy and framework should also be read in conjunction with the Council Business Continuity Management Plan (August 2014)

**1.2 Communication**

The policy and plan will be communicated to management, staff and key stakeholders through a program which ensures the:

- The Business Continuity Policy and Framework is reviewed every three years or as required.
- The Business Continuity Plan is reviewed and updated annually or as required.
- Specific Business Continuity awareness training is given to Directors, Managers and BCP Members.
- General awareness training for staff and key stakeholders through the other mediums as identified e.g. website, intranet, staff newsletter, staff meetings.
- The annual testing of the Business Continuity Plan.
- Reporting of results.

**1.3 Responsibility**

Policy owner: Director, Governance & Community Services.

**2 Business Continuity Framework Introduction**

This framework establishes the procedures necessary to ensure the emergency, response, resumption, restoration and recovery of the Council's operations and business activities during a business interruption event.

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

This document sets out the components, roles and responsibilities, and processes for managing business continuity management activities within Council. This will ensure that BCM functions will be maintained, managed, quality assured and governed on an on-going basis.

This framework:

- Applies to all the Council groups and business departments and all of Council's staff and locations.
- Establishes a set of guidelines for Council to implement effective business continuity management.
- Outlines the various roles and responsibilities required for the Council to manage the business continuity management process
- Provides an outline of the quality assurance and governance requirements to ensure that the framework, associated processes, procedures and tools remain compliant to good practice requirements at all times.

Council in developing and implementing the formal BCM framework has several objectives. These are:

• Safeguarding employees lives, welfare and confidence.
• Safeguarding the Council assets.
• Notifying the correct level in the reporting line of disruption events.
• Maintenance of stakeholder confidence (internal and external).
• Quickly recovering and resuming the Council critical business services and activities.
• Supporting the Council's Vision and Core Values and Council Objectives.
• Mitigation of financial loss.

## 3 Framework Elements

In order to comply with considered good practice in BCM the Framework will have the following BCM elements.

### 3.1 Governance

The BCM program will have the full backing and endorsement of SMG and there is accountability which ensures adequate resources are available for BCM at various levels within the organisation.

The Director Governance & Community Services on behalf of the Executive Management is responsible for the ongoing implementation and management of the Business Continuity Framework within the City of Cockburn.

The Governance & Risk Management Coordinator will assume the responsibilities of the Business Continuity Coordinator.

The BCM program is to be applied in a holistic and consistent approach throughout the organisation, including all phases of the Business Continuity Management Process and to assist in the development of organisational wide plans. It also includes a formal reporting framework for Business Continuity Management.

The BCM program is updated to reflect all new business acquisitions, material outsourcing arrangements, major projects and system changes.

All BCM documentation for each activity is controlled, periodically reviewed (at least annually), updated and authorised by the Senior Management Group.

## 3.2 Understanding of Core BCM Information

Key components of the BCM Understanding phase are:

(a)   Business Impact Assessment – the business carries out a formal business impact assessment (BIA) for all areas of operation according to a documented method.

(b)   The BIA quantifies and records all skills, resources, services, infrastructure, interdependencies and supplies (both internal and external) required by each critical activity to achieve identified Recovery Time Objectives.

(c)   The BIA prioritises restoration of these activities.

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

(e)   Risk Assessment (RA) – The RA identifies, evaluates and records critical continuity related vulnerabilities of each of the business' critical activities and resources, including potential disruption scenarios.

(f)   Documentation – all BIA and RA documentation (methods, findings and conclusions) is up to date, reflects the organisation's current condition, is reviewed annually and is authorised and signed off by the Senior Management Group.

Ensure critical BCM information for all plans include:

(a)   Identified and defined critical business processes/functions.

(b)   Critical success factors, peak periods (e.g. seasonal) and disruption threats.

(c)   Maximum Acceptable Outage (MAO) - Identify the maximum period of time that the Council can tolerate the loss of a process or function before a serious impact on operations or service delivery.

(d)   Recovery Time Objectives (RTO) - Identify a recovery time objective (RTO). This represents the anticipated timeframe for actual recovery of the process / functionality to an acceptable level.

(e)   Recovery Point Objectives (RPO) – Data recovery requirements.

(f)   Information Technology Dependencies.

(g)   Ownership.

(h)   Current Physical Resources.

(i)   Resources needed if a disruption event occurs.

(j)   Plan activation, roles, responsibilities and succession plans for unavailable staff.

## 3.3 Strategies

Recovery strategies need to ensure that the business can tolerate and recover from all business continuity related scenarios. Recovery strategies include:

(a)     Ensure the timely restoration of all affected critical activities and resources.

(b)     Are fully up to date and reflect current business requirements, BIA timeframes and priorities.

(c)     Are formally reviewed for compliance, with all applicable standards on an annual basis.

(d)     Are up to date, fully documented, reviewed and signed off by SMG.

## 3.4     Planning

The BCP should contain the following elements:

(a)     Assumes incident plans are available and up to date (e.g. Emergency Evacuation Plan and Pandemic Response Plan).

(b)     The Business Continuity Plan should be fully completed, provide all the information, procedures and processes required for continuity of all critical activities and ensure each Business Continuity Plan identifies the recovery levels that must be achieved over time.

(c)     Contains an up to date inventory of the resources required over time to deliver the recovery strategies.

(d)     Clearly identifies all locations at which recovery can take place.

(e)     Is formally reviewed following each major change that affects strategies.

(f)     Takes full account of and complies with BCM Framework.

(g)     Plans should be securely held on and off site and readily accessible by all of its potential users though iPads or other electronic means.

(h)     All plans and related documents are up to date, reflect the organisation's current requirements and are reviewed annually.

The Business Continuity Coordinator who will coordinate the on-going maintenance of the plan.

Council will develop, maintain and exercise the Business Continuity Plan.

Council will develop, maintain and exercise the Councils Information Technology Disaster Recovery Plan.

## 3.5     Awareness Training

Training will allow for staff to be aware of their roles and responsibilities, accountabilities and key critical functions/activities which need to be resumed. Staff training will ensure confidence and competence in BCM.

Business continuity training for BCT Leader, Business Continuity Coordinator and BCT Members is essential for effective resumption and recovery. Relevant staff must be trained about their business resumption and recovery roles.

Relevant training will be undertaken on an annual basis.

Key components of the BCM Awareness Program are:

(a)    Communicating the importance of BCM and embedding it in Councils culture.

(b)    Planned activities that achieve an appropriate level of awareness and encompass all areas of the BCM lifecycle.

(c)    Training – the Program includes participative training through involvement in exercise and training and formal training programs for key staff identified in the Business Continuity Plan.

(d)    Governance – the Awareness Program is owned by the Director Governance & Community Services, is formally reviewed at least annually, delivers against a pre-agreed timetable and is reported to the Senior Management Group (SMG).

## 3.6    Exercise and Testing

Key components of the BCM exercising phase are:

(a)    A formal BCM Exercise Program covering all operations is in place, which is exercised and updated on a regular planned basis. The program ensures that each exercise has clearly defined aims, objectives and success criteria that are formally authorised by senior management. Additionally the program ensures that all the organisation's plans are aligned and can be executed together without omission or conflict.

(b)    The Exercise Program ensures each exercise has a post exercise report with corrective recommendations and a timetable for implementation.

(c)    Operational requirement – Exercise Program ensures all electronic and paper information, critical systems and telecommunications, recovery worksites, command centre, critical supplier and outsourced (including third party) recovery capabilities are exercised at least annually.

(d)    Governance – is owned by the Director Governance & Community Services of the Senior Management Group, and is fully documented and formally signed off by (SMG).

(e)    All plans will be tested at least bi-ennially (every two years).

## 3.7    Maintenance

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

(a)    Coverage of the entire BCM program.

(b)    Ensuring that all changes and improvements that affect BCM are identified and appropriately risk assessed.

(c)    Ownership by the Director Governance & Community Services.

(d)　Full documentation, ensures up-to-date status of BCM Program and reflects current business requirements.

## 4　Roles and Responsibilities

Council has a dedicated Business Continuity Team that is responsible for the overall coordination, management and response to a Business Continuity event.

The following staff have been identified:

(a)　Chief Executive Officer - Team Leader.
(b)　Business Continuity Coordinator.
(c)　Log Keeper.
(d)　Director Governance & Community Services.
(e)　Director Planning & Development.
(f)　Director Engineering & Works Services.
(g)　Director Finance & Corporate Services.
(h)　Media & Communications Officer.

Refer to Councils Business Continuity Plan 2014 for information regarding their specific roles and responsibilities.

## 5　Reporting & Compliance

Progress of Business Continuity Management activities including updating plans, staff training and testing will be reported to the Senior Management Group and Risk Management Committee on a regular basis.

This Framework will be updated to reflect changes within Council.

This Framework will be reviewed as part of a formal review process/timetable.

The Director, Governance & Community Services will assume the responsibility of ensuring compliance that Council's Business Continuity Plan is current and up to date.

This will be undertaken at least annually.

## 6　Schedule of Compliance

| Internal Review Activity | Activity Owner | Delivery Timeframe |
|---|---|---|
| BCM Policy and Framework Review | Senior Management Group | Every three years |
| Review and update the Business Continuity Plan as required:<br>• Critical business information/activities/ functions. | Individual Directors | Annually |

| Internal Review Activity | Activity Owner | Delivery Timeframe |
|---|---|---|
| • Recovery Strategies.<br>• Contact details - review and update:<br>  - Internal contacts.<br>  - External contacts | | |
| Ensuring compliance that Council's Business Continuity Plan is current and up to date. | Director Governance & Community Services | Annually |
| BCM awareness training to:<br>• BCT Leaders.<br>• BCT Members.<br>• General Awareness Training. | Governance and Risk Management Coordinator | Annually |
| Testing:<br>• Desktop.<br>• Simulated Test. | Governance and Risk Management Coordinator | Bi-ennially |
| Reporting to Cockburn Council Senior Management Group on:<br>• Status of plan completion/updates.<br>• Number of staff trained in BCM.<br>• Number of plans tested and results of testing. | Governance and Risk Management Coordinator | Annually |

## 7. Further Information

For further information regarding the City of Cockburn Business Continuity Management Program contact:

James Ngoroyemoto
Governance & Risk Management Co-ordinator
Executive Services
City of Cockburn

(09) 9441 3652
Jngoroyemoto01@cockburn.wa.gov.au