

## PENSIONS SERVICE

## BUSINESS CONTINUITY PLAN



**West  
Northamptonshire  
Council**

### IMPORTANT

**IF YOU NEED TO ACTIVATE THIS PLAN  
IMMEDIATELY, GO TO PAGE 10**

Plan Owner	Mark Whitby, Head of Pensions
Service Area BC Lead	Mark Whitby, Head of Pensions
Plan Approved By	
Date Approved	
Report date	

### **Plan Invocation**

**A list of service leads with the authority to invoke the plan**

<b>Name</b>	<b>Title</b>	<b>Contact</b>
<b>Mark Whitby</b>	<b>Head of Pensions</b>	<b>07990 556197</b>


## Version Control

Version	Date	Details of Changes	Action Owner
0.1	01/10/2021	Initial population of information	Mark Whitby
0.2	04/10/2021	Check of information and staff details	Jo Walton
0.3	2/12/2021	Population of remaining sections following Senior Manager review	Mark Whitby

## Review

Version	Date of Next Review	To be reviewed by

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## **1.0 AIMS AND OBJECTIVES OF THE PLAN**

### **1.1 Purpose**

The purpose of this Business Continuity Plan is to provide a flexible response so that this service can:

- Respond to a disruptive incident (incident management)
- Maintain delivery of prioritised activities during an incident (business continuity)

### **1.2 Objectives**

The objectives of this Business Continuity Plan are to:

- Detail the immediate response to a disruptive incident.
- Identify the prioritised services and activities in the service area.
- Set out actions of how the prioritised services and activities can be maintained at a pre-determined level following a disruptive event.
- Define the recovery actions required.

### **1.3 Corporate Statement of Intent**

The following is a corporate statement of intent endorsed by the Chief Executive and Leader of West Northamptonshire Council which is detailed in the Business Continuity Management Policy and Strategy document:

"At West Northamptonshire Council, we are firmly committed to providing public services that are essential to those who live in, work at and visit West Northamptonshire.

Our vision sets out our long-term aspiration which is that we will:

*"Work with the local community to make West Northants a great place to live, work, visit and thrive"*

Our commitment to our local community goes beyond the provision of public services. Our commitment is to maintain vital services when things do not go to plan, putting the safety and lives of our local residents and staff at the very forefront of everything we do.

We will work tirelessly to keep services running in the event of unforeseen circumstances and that we will make the necessary plans to do so to the very best of our endeavours."

### **1.4 Activation Triggers**

Conditions or circumstances under which the plan could be activated include the following which could have major disruption to council services:

- Serious loss or damage to key assets
- Emergency situations in Northamptonshire
- Serious danger to the welfare of council staff, members or visitors
- Loss of key staff or skills
- Denial of access to premises
- ICT failure
- Activation of the Corporate Business Continuity Plan, which automatically activates all service business continuity plans until each team has assessed the impact to the delivery of the service. This might result in no action being taken by the service.

## **1.5 Corporate Business Continuity Plan**

If the Corporate Business Continuity Plan has been activated by one of the triggers in section 4.0 then the Incident Response Team should meet and discuss any impacts on services. It should be noted that members of the Executive Leadership Network may also be discussing the impacts of the corporate disruption.

## **1.6 Stand-By**

If the triggers for activation have not been met but the disruption has the potential to impact on the continued delivery of the service in the near future, then the person responsible for plan activation may want to consider discussing the potential impact with members of the Incident Response Team and monitor the situation.

## **1.7 Priority Activities**

- Priority Activity: This is assessed in the Business Impact Analysis and is defined as 'the activities to which priority must be given following an incident in order to mitigate impacts'.
- Recovery Time Objective: Target time set for the resumption of service after the initial disruption.

## **1.8 Incident Response Team**

The role of the Incident Management Team (IMT) is to provide the strategic command, control and decision making during a disruptive event. This is usually lead by the Chief Executive or Duty Gold Manager. Further information on the Incident Management Team to internal and external emergencies is detailed in the WNC Corporate Business Continuity Plan and the WNC Emergency Plan.

## 2.0 PRIORITY ACTIVITIES

	Prioritised Activity	Recovery Time Objective (RTO)	Minimum Business Continuity Objective (MBCO)	Recovery Point Objective
1	Payment of existing monthly pensions	24 hours	Criticality stems from proximity of event to payroll deadlines. Pensioner payroll runs cannot be missed or delayed to prevent financial hardship, financial claims and reputational damage.	24 hours
2	Calculation and payment of new monthly pensions	3 working days	Cases need to be processed and loaded onto altair and ERP prior to payroll deadlines, irrespective of delays.	3 working days
3	Administration of death notifications	3 working days	Access to Tell Us Once system and Accurate monthly mortality screening required in order to prevent pension overpayments.	3 working days

4	Payment of retirement and death grants	3 working days	Able to process a payment with no longer than a 3 working day delay to prevent complaints, disputes and reputational damage.	3 working days
5	Governance processes for Pension Committees, Investment Sub-Committees and Local Pension Boards	3 working days	Committee and Board documentation must still be prepared and approved in advance of relevant publication deadlines. Publication deadlines can only be extended by relevant Monitoring Officer.	3 working days
6	Reconciliation of employee/employer contributions	3 working days	Late payers are notified with no longer than a 3 working day delay and breaches of the law continue to be accurately recorded and reported.	3 working days
7	Investment activities (payments into and out of Funds)	3 working days	To ensure investment commitments continue to be made according to agreed timescales, thus	3 working days

			avoiding additional, possibly material, costs.	
8	Implementing Court Orders (Pension Sharing on Divorce)	5 working days	To implement as soon as possible, prioritising those taking immediate effect, thus avoiding complaints, disputes and reputational damage.	5 working days
9	Processing of early leavers (deferred benefits)	5 working days	The timescale would still enable the Fund to meet the statutory two-month deadline for the processing of such cases, thus avoiding breaches of the law.	5 working days
10	Production of accounting disclosures for scheme employers	5 working days	Enabling scheme employers to complete their accounts in a timely manner.	5 working days
11	Reconciliation of payments from third parties including scheme employers	5 working days	Required in order to understand whether charges, fees, and strain payments have been received.	5 working days



12	Completion of employer data exercises in connection with activities such as TUPE and cessations	7 working days	To provide information to enable completion of employer projects and to provide cessation information/decisions with no longer than a 7 working day delay.	7 working days
13	Reconciliation of transfer payments into the Funds, including AVCs for retirement, death and transfer	7 working days	To ensure members are notified of the transfer in with no longer than a 7 working day delay.	7 working days
14	Payment of transfer payments out of the Funds	10 working days	To prevent complaints and reputational damage, prioritising urgent cases.	10 working days
15	Payment of refunds	10 working days	To ensure refunds of contributions are made with no longer than a 10 working day delay.	10 working days
16	Payment to suppliers and payment of fees to investment managers	10 working days	To keep suppliers and investment managers apprised of any delays and to make payment with no longer than a 10 working day delay.	10 working days

RTO = the period of time following an incident within which a service or activity must be resumed, or resources must be recovered (How quickly should this activity be recovered?)

MBCO = the minimum level of services/activities that is acceptable to the organisation to achieve its business objectives during a disruption.

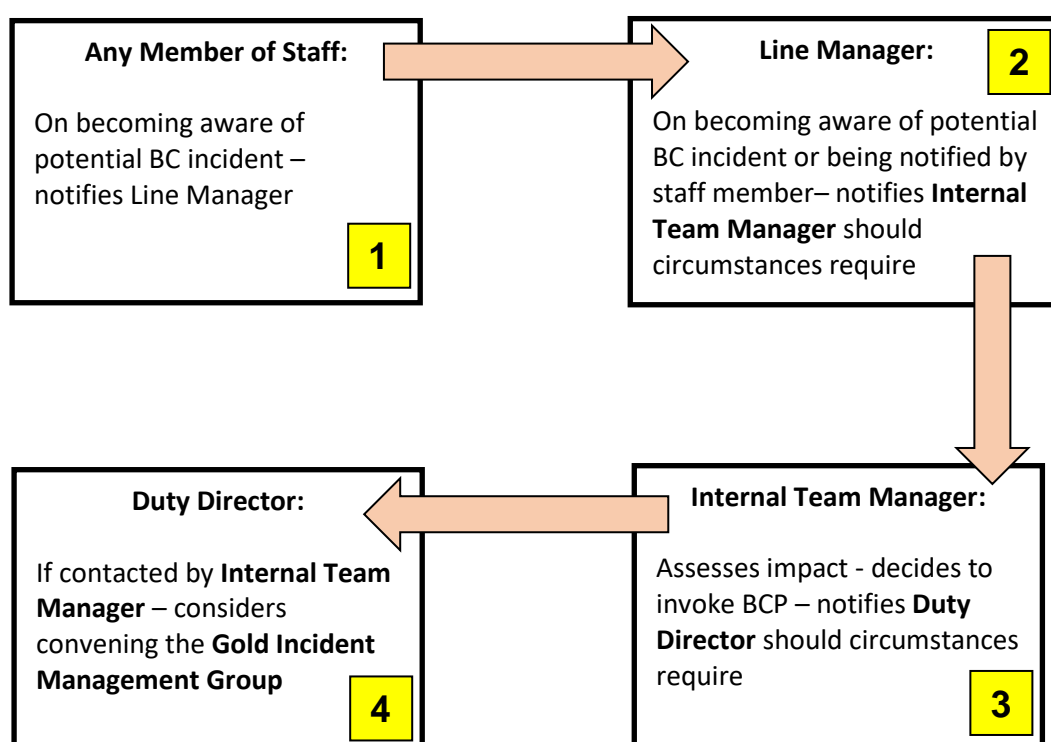
RPO = the point in time in which data used by an activity must be restored to enable the activity to operate.

### 3.0 PROCESS FOR ACTIVATION AND HOW TO USE THIS PLAN

In the event of a disruptive incident the **Team Manager/Tactical Manager** (*as detailed on the title page*) or **his/her deputy**, shall be responsible for invoking and co-ordinating the incident response. In the absence of either of these persons, the most **senior manager within the service** shall assume responsibility.

**THE FIRST INDICATION OF A POTENTIAL INCIDENT WILL MOST LIKELY COME FROM A MEMBER OF FRONTLINE STAFF AND THERE MUST BE A FORMAL, STRUCTURED PROTOCOL FOR ESCALATION THAT IS FULLY UNDERSTOOD BY ALL STAFF.**

**All staff** have a responsibility to notify their line manager, or other appropriate manager, if they feel the service area's ability to operate effectively may be in danger or there may be a need to invoke Business Continuity Plans (BCP). This should then be escalated to an **Internal Team Manager**. During out-of-hours, the **Emergency Planning Duty Officer** will be contacted to escalate the response to the **Duty Gold Manager**.



### 3.1 Business Continuity Incident Status

In the event of a serious incident affecting the operations of the service area, the following status levels will be used to indicate and assess the likely impact of the Business Continuity Incident.

STATUS	DESCRIPTION
GREEN	An issue not deemed to be of a serious enough nature to alert the <b>Assistant Director</b> .
AMBER	An issue showing the <b>potential</b> to affect the <b>Priority Activities</b> of either a team site or service that may escalate and require a full invocation of a Business Continuity Plan and 'Stand by' notification to the <b>Assistant Director (Internal Silver Manager)</b> .
RED	A serious issue affecting the <b>Priority Activities</b> of either a team site or service requiring immediate invocation of a Business Continuity Plan and notification of the <b>Duty Gold Manager</b> .

**A Business Continuity Incident will be declared by the duty Gold Manager, or Duty Silver when one of the following conditions arises:**

1. Access to or the ability to operate **Priority Activities** from a council site is either fully or partially interrupted due to an incident occurring.
2. There is significant disruption to **Priority Activities** due to the loss of key staff or skills.
3. The council's IT systems are interrupted or failing causing significant disruption to the **Priority Activities** of either a service or wider group of users.
4. There is a failure of service provision of **Priority Activities** provided by a third party supplier.

**And as a result of the incident there may be an impact on:**

1. the **health and safety** of public or staff, and/or;
4. the **financial security** or **reputational standing** of the council, and/or;
3. **accommodation**, requiring the location of alternative working premises or service delivery resources.

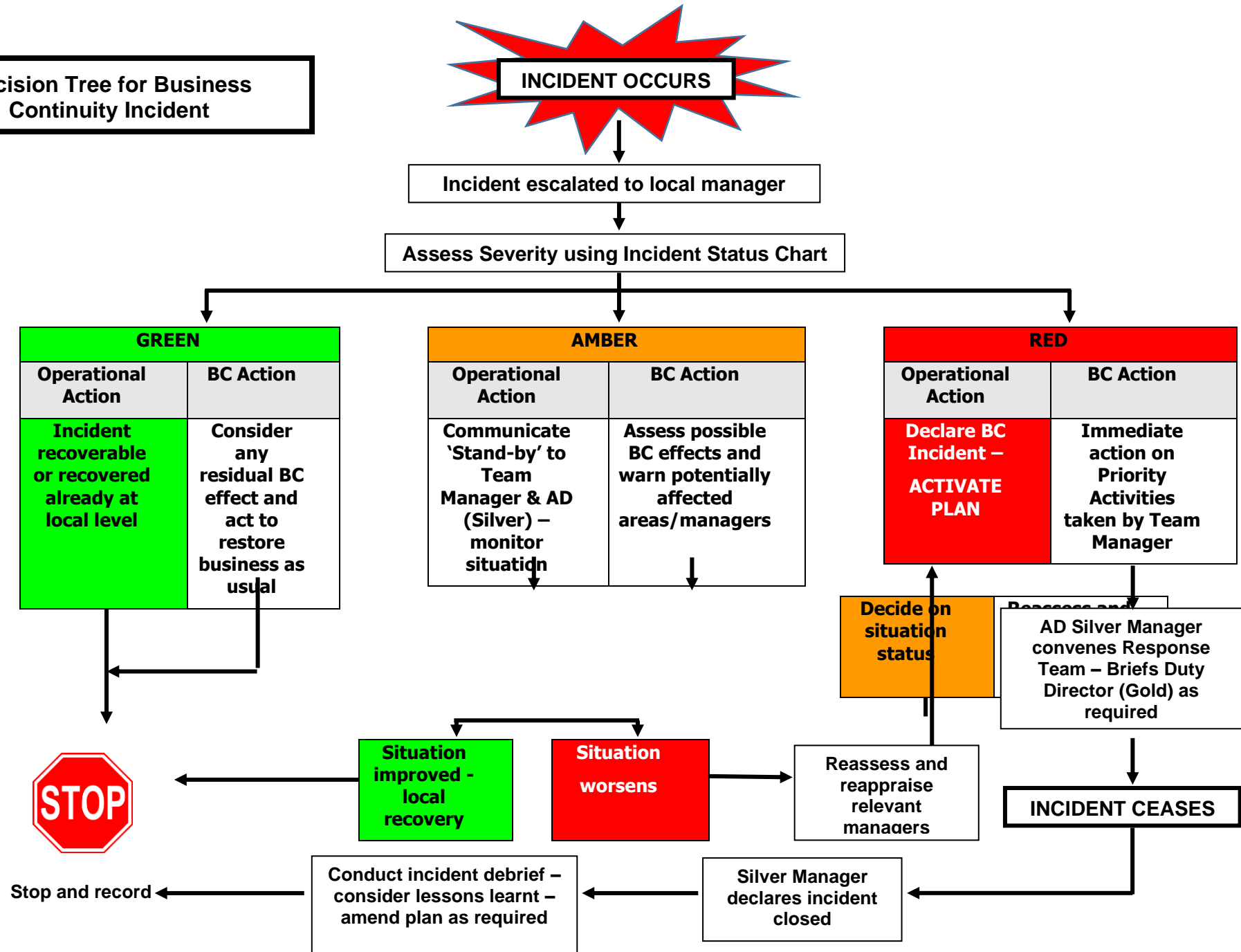
## 4.0 ACTIVATION TRIGGERS

As part of the Business Impact Analysis (BIA) process the Priority Activities of the service will already have been identified (see Section 2.0 above) and allocated a maximum time of acceptable disruption, an ideal target time for service resumption and an agreed level of service provision following resumption.

Events triggering a business continuity response will fall into eight broad categories:

<b>Loss of people: (<i>Examples</i>)</b>
<ul style="list-style-type: none"><li>• Flu pandemic/wide scale community illness/Covid-19</li><li>• Transport disruption</li><li>• Industrial action</li><li>• Loss of key skills</li></ul>
<b>Loss of premises: (<i>Examples</i>)</b>
<ul style="list-style-type: none"><li>• Fire in building or adjacent properties</li><li>• Internal flooding</li><li>• External flooding</li><li>• Application of security cordon</li></ul>
<b>Loss of IT: (<i>Examples</i>)</b>
<ul style="list-style-type: none"><li>• Internet provider failure</li><li>• Data loss</li><li>• Connectivity failure</li><li>• Software failure</li><li>• Loss of VOIP phones</li></ul>
<b>Loss of specialist equipment: (<i>Examples</i>)</b>
<ul style="list-style-type: none"><li>• Failure of machinery</li><li>• Loss of vehicles</li><li>• Failure of specialised printers</li></ul>
<b>Loss of suppliers: (<i>Examples</i>)</b>
<ul style="list-style-type: none"><li>• Loss of service providers</li><li>• Loss of product suppliers</li><li>• Failure of partner agencies</li></ul>
<b>Loss of utilities: (<i>Examples</i>)</b>
<ul style="list-style-type: none"><li>• Loss of electricity supply</li><li>• Loss of water supply</li><li>• Loss of gas supply</li><li>• Loss of sanitary/sewerage facilities</li></ul>
<b>Severe and widespread snow (<i>Examples</i>)</b>
<ul style="list-style-type: none"><li>• Beast from the East – February 2018</li></ul>
<b>Constraints on fuel supplies (<i>Examples</i>)</b>
<ul style="list-style-type: none"><li>• Industrial action</li><li>• Public protest</li><li>• Scarcity of fuel supply</li><li>• Technical problems with fuel supply infrastructure.</li></ul>

# Decision Tree for Business Continuity Incident



## 5.0 INCIDENT RESPONSE

### 5.1 Incident Response Roles and Responsibilities

Role	Designated Employee	Alternate
Head of Pensions	Name: Mark Whitby Contact Information: 07990 556197	Name: Akhtar Pepper Contact Information: 07990 556197
Incident Responsibilities may include: <ul style="list-style-type: none"><li>• Ensure the Business Continuity Plan has been activated</li><li>• Oversee smooth implementation of the response and recovery section of the plan</li><li>• Follow continuity tasks, for instance, is there a need for an alternate site? If so, activate this</li><li>• Ensure resources are allocated where needed</li><li>• Ensure measures are in place to protect staff welfare.</li><li>• Ensure sites remain safe and secure</li><li>• Communicate with key stakeholders as needed</li><li>• Provide information for the Communications Officer for distribution</li><li>• Keep key staff updated of any changes to the situation</li><li>• Attends IMT meeting during incidents and reports level of impact on service to IMT.</li><li>• Determine the need for and activate the use of an alternate site and other continuity tasks.</li><li>• Oversee smooth implementation of the response and recovery section of the plan</li><li>• Ensure records of decision making are kept and any expenditure arising out of recovery operations.</li></ul>		

Role	Designated Employee	Alternate
Operations Manager	Name: Akhtar Pepper Contact Information: 07718 099646	Name: Jo Kent Contact Information: 07342 065329
Incident Responsibilities may include: <ul style="list-style-type: none"><li>• Focus on continuation of services</li><li>• Responding to effects of an incident</li><li>• Ordering and purchasing replacement equipment where needed</li><li>• Recovery of damaged files, vehicles, equipment and premises.</li></ul>		

## 5.2 Evacuation Procedures

Location of evacuation plan:	<a href="https://wnugov.sharepoint.com/sites/WNC-HealthSafety/Shared Documents/Forms/AllItems.aspx?id=%2Fsites%2FWNC-HealthSafety%2FShared Documents%2FOAS Emergency Evacuation procedure%2Epdf&amp;parent=%2Fsites%2FWNC-HealthSafety%2FShared Documents">https://wnugov.sharepoint.com/sites/WNC-HealthSafety/Shared Documents/Forms/AllItems.aspx?id=%2Fsites%2FWNC-HealthSafety%2FShared Documents%2FOAS Emergency Evacuation procedure%2Epdf&amp;parent=%2Fsites%2FWNC-HealthSafety%2FShared Documents</a>
The assembly point for the team is:	One Angel Square does NOT operate a policy to muster staff during core hours. Dispersal from immediate area for 20 minutes following standard Emergency Evacuation Procedures. Further instructions will be provided on return.

## 5.3 Grab Bag

Location of service grab bag:	Not applicable
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## 5.4 Initial Response Checklist For Team Manager (Tactical)

This stage is often the most crucial; actions taken during this phase of our response can impact on the ability to recover efficiently and with minimum disruption, its purpose is to:

- a) Protect the safety of staff, visitors and the wider community
- b) Protect vital assets e.g. equipment, data, reputation etc.
- c) Ensure necessary communication takes place
- d) Support the Business Continuity phase
- e) Support the Recovery and Resumption phase.

The following actions will be taken to protect the immediate safety of staff, visitors and the public:

No.	INCIDENT RESPONSE ACTION	✓	ACTION TAKEN AND BY WHO
1	Receive notification of potential BC incident.	<input type="checkbox"/>	
2	Determine nature of incident and extent of impact on <b>Priority Activities</b> .	<input type="checkbox"/>	
3	Assess severity of incident using the BC Incident Status Chart (Page 7).	<input type="checkbox"/>	
4	<b>DECISION</b> - Invoke/do not invoke Business Continuity Plan.	<input type="checkbox"/>	
5	If severity of incident warrants it, contact Assistant Director (Silver) and provide initial situation report (SitRep). Agree a time for the next SitRep.	<input type="checkbox"/>	
6	Evacuate the building if necessary	<input type="checkbox"/>	Use normal evacuation procedures for the building.
7	Ensure all staff report to the Assembly Point.	<input type="checkbox"/>	
8	Check that all staff, contractors and any visitors have been evacuated from the building and are present.	<input type="checkbox"/>	
9	Record names and details of any injured or distressed persons.	<input type="checkbox"/>	
10	Call emergency services (as appropriate)	<input type="checkbox"/>	

<b>11</b>	Ensure log of incident is started and maintained throughout the incident phase	<input type="checkbox"/>	Use a decision and action log to do this. The log template can be found in Appendix C.
<b>12</b>	Activate staff members and resources	<input type="checkbox"/>	
<b>13</b>	Brief team members of the incident	<input type="checkbox"/>	Refer to Appendix B restrict or deny staff and or public access to council.
<b>14</b>	Allocate specific roles and responsibilities.	<input type="checkbox"/>	
<b>15</b>	Contact key stakeholders and any relevant regulatory bodies	<input type="checkbox"/>	
<b>16</b>	Log details of any damage	<input type="checkbox"/>	
<b>17</b>	Identify the <b>RECOVERY TIME OBJECTIVES</b> (RTOs) of proritised activities that have been disrupted. Ensure you have identified both the short term priorities (24 hours and 24-48 hours) and the longer term actions (1 week and 1-2 weeks).	<input type="checkbox"/>	
<b>18</b>	Consider the unaffected activities which may need protecting/sustaining.	<input type="checkbox"/>	
<b>19</b>	Have understood and complied with any regulatory/compliance requirements?	<input type="checkbox"/>	
<b>20</b>	Identify issues for escalation to Assistant Director or equivalent (e.g. financial requirements, communication with media etc.)	<input type="checkbox"/>	
<b>21</b>	Consider whether the involvement of other teams, services or organisations are required to support the management of the incident	<input type="checkbox"/>	
<b>22</b>	Keep staff informed, agree reporting channels, frequency of meetings and additional team members required and/or agencies involved.	<input type="checkbox"/>	
<b>23</b>	Ensure costs are recorded. Gain authorisation from Finance for emergency expenditure – <b>Log expenditure decisions in Appendix D</b>	<input type="checkbox"/>	

## 6.0 BUSINESS CONTINUITY

The purpose of the business continuity phase of response is to ensure that priority activities are resumed as quickly as possible and/or continue to be delivered during a disruption to key dependencies (premises, staff, IT, utilities, suppliers/partners).

### 6.1 Business Continuity Checklist for Team Manager

At the operational level these are the actions to be considered:

No.	BUSINESS CONTINUITY ACTION	✓	ACTION TAKEN AND BY WHO
1	Convene a Resilience Working Group	<input type="checkbox"/>	Plan actions and priorities
2	Identify any other staff required to be involved in the BC response	<input type="checkbox"/>	The Tactical Group may need additional/specific input in order to drive the recovery of priority activities
3	Evaluate the impact of the incident	<input type="checkbox"/>	Use an incident impact assessment form to understand the impact of the incident on 'business as usual' working activities.
4	Plan how prioritised services and activities will be maintained (refer to section 6.2 below) in the event of;	<input type="checkbox"/>	<ul style="list-style-type: none"> <li>▪ Loss Of People</li> <li>▪ Loss Of Premises</li> <li>▪ Loss of ICT</li> <li>▪ Loss of Specialist Equipment</li> <li>▪ Loss of Suppliers</li> <li>▪ Loss of Utilities</li> <li>▪ Severe and Widespread Snow</li> <li>▪ Constraints on Fuel Supplies</li> </ul>
5	Log <b>all</b> decisions and actions	<input type="checkbox"/>	Use a decision and action log (Appendix C) Include decisions <b>not</b> to do something with a rationale to provide the context.
6	Log <b>all</b> financial expenditure	<input type="checkbox"/>	Create a log of expenditure (Appendix D)
7	Allocate specific roles as necessary	<input type="checkbox"/>	Roles allocated will depend on the incident and availability of staff
8	Secure resources to enable prioritised activities to continue/be recovered	<input type="checkbox"/>	Consider requirements such as staffing, premises, equipment.
9	Deliver appropriate communication actions as required	<input type="checkbox"/>	Ensure methods of communication and key messages are developed as appropriate to the needs of your key stakeholders e.g. customers, suppliers, staff, executive, members etc.

## **6.2 Action and contingency plans for continuing prioritised service/activities**

Consider what actions will need to be taken to ensure prioritised activities are resumed within the Recovery Time Objective (RTO) and to the agreed level Minimum Business Continuity Objective (MBCO). Also consider the minimum resources required to do so.

### **Planning Assumptions**

There are planning assumptions listed under each risk heading below. The National Business Resilience Planning Assumptions (which summarise the government's assessment of the potential impact of a range of national risks) have been used as a reference tool to support and inform WNC's planning assumptions in relation to business continuity risks.

## LOSS OF PEOPLE

**Planning assumption:** 50% loss of staff for up to 13 weeks due to illness, absence, incident or response arrangements.

PHASE 1 – ACTIONS TO BE TAKEN IN FIRST 24 HOURS			
Priority activity	Action	Person Responsible	Complete
1	Determine nature of incident and expected staffing levels for duration of incident across senior management, team leaders and officers.	Head of Pensions	
2	Communicate business continuity plan to senior managers and ensure information cascade to staff.	Head of Pensions	

PHASE 2 – ACTIONS TO BE TAKEN IN DAYS 2-7			
Priority activity	Action	Person Responsible	Complete
1	Determine activities that can be undertaken within expected resource level.	Senior Management	
2	Prioritise critical activities and put in place required resourcing, reassigning senior managers, team leaders and officers as appropriate.	Head of Pensions Senior Management	
3	Determine any impact on suppliers and internal services supporting critical functions.	Senior Manager responsible for contract	
4	Identify any additional resourcing required and nature of role, particularly where specialist cover is required.	Senior Management	
5	Determine whether any non-critical functions can be suspended, for what period and what is the impact.	Head of Pensions Senior Management	
6	Identify any training needs due to reskilling and commence training.	Senior Management	
7	Inform key stakeholders of impacts including responsible officers and Committee/Board Chairmen	Head of Pensions	
8	Reach out to professional advisors and contacts in other Funds as appropriate.	Head of Pensions	

<b>9</b>	Communicate impacts to scheme members and scheme employers through website, helpdesks and via email.	Communications Manager	
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**PHASE 3 – ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK**

<b>Priority activity</b>	<b>Action</b>	<b>Person Responsible</b>	<b>Complete</b>
<b>1</b>	Continuation of officer training	Senior Management	
<b>2</b>	Recruitment of additional resource	Senior Management	
<b>3</b>	Continue communications to scheme members and employers as required	Communications Manager	
<b>4</b>	Completion of weekly staffing spreadsheets to understand absences within service and across wider organisation	Head of Pensions	

## LOSS OF PREMISE

**Planning assumption:** No notice denial of access to a main building, with no alternative provision for at least 72 hours.

PHASE 1 – ACTIONS TO BE TAKEN IN FIRST 24 HOURS			
Priority activity	Action	Person Responsible	Complete
1	Determine reason for denial of access via Property Service if not already evident.	Head of Pensions	
2	Monitor corporate communications and understand expected timeline for restoration of building access.	Head of Pensions	
3	Communicate business continuity plan to senior managers and ensure information cascade to staff.	Head of Pensions	
4	Instruct staff to work remotely for duration of incident.	Head of Pensions	
5	Identify whether alternative location available for hard copy post to be re-routed to and where essential scanning/printing can be undertaken.	Head of Pensions Operations Manager	
6	Establish whether a Helpdesk facility can be provided and update website/voicemail appropriately.	Head of Pensions Operations Manager	

PHASE 2 – ACTIONS TO BE TAKEN IN DAYS 2-7			
Priority activity	Action	Person Responsible	Complete
1	Establishment of reduced office-based team to undertake critical functions – scanning/printing and helpdesk.	Operations Manager	
2	Alternatively, identification of scanning/printing solution through existing suppliers or wider corporate solution to ensure business continuity.	Operations Manager	
3	Management of remote working arrangements of staff, ensuring adequate equipment is made available.	Senior Management	

PHASE 3 – ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK			
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<b>Priority activity</b>	<b>Action</b>	<b>Person Responsible</b>	<b>Complete</b>
<b>1</b>	Continuation of alternative working arrangements as necessary.	Senior Management	
<b>2</b>	Establish learning points from loss of premises incident.	Head of Pensions	



## LOSS OF ICT

**Planning assumption:** No notice loss of ICT systems for at least 72 hours.

<b>PHASE 1 – ACTIONS TO BE TAKEN IN FIRST 24 HOURS</b>			
<b>Priority activity</b>	<b>Action</b>	<b>Person Responsible</b>	<b>Complete</b>
<b>1</b>	Determine which systems are unavailable	Head of Pensions	
<b>2</b>	Communicate business continuity plan to senior managers	Head of Pensions	
<b>3</b>	Determine whether there are alternative pathways available to mitigate the impact of any loss of specific ICT systems e.g. accessing altair from outside the corporate network.	Head of Pensions Systems Manager	
<b>4</b>	Determine which activities cannot be undertaken due to the loss of ICT systems.	Senior Management	
<b>5</b>	If ICT system failure is at a key supplier (e.g. altair system) liaise with supplier over disaster recovery process.	Systems Manager	
<b>6</b>	Review critical business processes impacted by incident to identify any workarounds e.g. manual processing, alternative payment methods	Senior Management	
<b>7</b>	Communicate nature and impact of incident to staff through email, if available, or otherwise through direct information cascade.	Head of Pensions	

<b>PHASE 2 – ACTIONS TO BE TAKEN IN DAYS 2-7</b>			
<b>Priority activity</b>	<b>Action</b>	<b>Person Responsible</b>	<b>Complete</b>
<b>1</b>	Ensure available workarounds are implemented within teams.	Senior Management	
<b>2</b>	Communicate impacts to scheme members and scheme employers through available communication channels.	Communications Manager	
<b>3</b>	Communicate restoration of services to scheme members and scheme employers.	Communications Manager	

<b>PHASE 3 – ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK</b>			
<b>Priority activity</b>	<b>Action</b>	<b>Person Responsible</b>	<b>Complete</b>
<b>1</b>	Establish learning points from ICT incident including from corporate ICT team and/or from supplier	Head of Pensions	

## LOSS OF SUPPLIERS/ CONTRACTORS

**Planning assumption:** Immediate loss of critical suppliers and/or contractors without warning and without a timescale for restoration.

PHASE 1 – ACTIONS TO BE TAKEN IN FIRST 24 HOURS			
Priority activity	Action	Person Responsible	Complete
1	(Note: If loss of altair system/server please go to Loss of ICT incident) Identify supplier and specific services impacted through discussion with relevant supplier.	Senior Manager responsible for contract	
2	Communicate business continuity plan to senior managers	Head of Pensions	
3	Establish supplier's business continuity arrangements.	Senior Manager responsible for contract	
4	Identify activities impacted by incident and consider against business as usual activities, business plan activities and statutory responsibilities.	Senior Management	

PHASE 2 – ACTIONS TO BE TAKEN IN DAYS 2-7			
Priority activity	Action	Person Responsible	Complete
1	Establish likely timescales for restoration of supplier services.	Senior Manager responsible for contract	
2	Plan how activities identified as being impacted by loss of supplier will be delivered e.g. utilising other existing professional relationships, utilising procurement avenues including National Frameworks, delivering in-house.	Senior Management	
3	Consider reprioritisation of activities to deal with loss of supplier where an option.	Senior Management	
4	Implement action plan to deal with loss of supplier.	Senior Management	
5	Communicate loss of supplier with key stakeholders as necessary e.g. scheme employers, statutory officers, Committee/Board members.	Head of Pensions	

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<b>PHASE 3 – ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK</b>			
<b>Priority activity</b>	<b>Action</b>	<b>Person Responsible</b>	<b>Complete</b>
<b>1</b>	Continuation of action plan as necessary.	Senior Management	
<b>2</b>	Establish learning points from incident in collaboration with supplier	Head of Pensions	

## LOSS OF UTILITIES

**Planning Assumption:** Widespread loss of power across Northamptonshire for at least 72 hours.

PHASE 1 – ACTIONS TO BE TAKEN IN FIRST 24 HOURS			
Priority activity	Action	Person Responsible	Complete
1	Determine scope of loss of utilities and geographical area impacted.	Head of Pensions	
2	Monitor corporate communications and understand expected timeline for restoration of power at One Angel Square and across area impacted.	Head of Pensions	
3	Communicate business continuity plan to senior managers	Head of Pensions	
4	Ensure information cascade to all staff regarding loss of power, by phone if loss of power not localised to One Angel Square.	Senior Management	
5	Establish which staff are impacted by loss of power based on home location.	Senior Management	
6	Instruct staff to work remotely for duration of incident where possible.	Senior Management	
7	Identify alternative working arrangements for staff impacted by loss of power at home.	Senior Management	
8	Identify whether alternative location available for hard copy post to be re-routed to and where essential scanning/printing can be undertaken.	Operations Manager	
9	Establish whether a Helpdesk facility can be provided and update website/voicemail appropriately.	Operations Manager	

PHASE 2 – ACTIONS TO BE TAKEN IN DAYS 2-7			
Priority activity	Action	Person Responsible	Complete
1	Establishment of reduced office-based team to undertake critical functions – scanning/printing and helpdesk.	Operations Manager	

<b>2</b>	Alternatively, identification of scanning/printing solution through existing suppliers or wider corporate solution to ensure business continuity.	Operations Manager	
<b>3</b>	Management of remote working arrangements of staff, ensuring adequate equipment is made available.	Senior Management	

<b>PHASE 3 – ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK</b>			
<b>Priority activity</b>	<b>Action</b>	<b>Person Responsible</b>	<b>Complete</b>
<b>1</b>	Continuation of alternative working arrangements as necessary.	Senior Management	
<b>2</b>	Establish learning points from loss of power incident.	Head of Pensions	

## SEVERE AND WIDESPREAD SNOW

**Planning assumption:** – Severe and widespread snow affecting the whole county for at least 72 hours.

PHASE 1 – ACTIONS TO BE TAKEN IN FIRST 24 HOURS			
Priority activity	Action	Person Responsible	Complete
1	Determine extent of snow incident and monitor corporate communications on subject.	Head of Pensions	
2	Understand impacts of the severe and widespread snow, particularly on the One Angel Square site.	Head of Pensions	
3	Communicate business continuity plan to senior managers	Head of Pensions	
4	Cascade an expected message that staff should work remotely for duration of incident where possible (but subject to the specifics of the general corporate message).	Head of Pensions	
5	Understand impact of incident on other suppliers and provision of corporate services to the Funds e.g. Royal Mail.	Senior Management	
6	Establish who is unable to work (e.g. due to needing to undertake childcare due to school closures) and who can attend work in person (e.g. if they live close to One Angel Square).	Senior Management	
7	Identify suitable work locations for staff and that a team is available to undertake critical office-based activities such as scanning/printing and helpdesk.	Operations Manager	

PHASE 2 – ACTIONS TO BE TAKEN IN DAYS 2-7			
Priority activity	Action	Person Responsible	Complete
1	Establishment of reduced office-based team to undertake critical functions – scanning/printing and helpdesk.	Operations Manager	
2	Alternatively, identification of scanning/printing solution through existing	Operations Manager	

	suppliers or wider corporate solution to ensure business continuity.		
<b>3</b>	Management of remote working arrangements of staff, ensuring adequate equipment is made available.	Senior Management	

**PHASE 3 – ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK**

<b>Priority activity</b>	<b>Action</b>	<b>Person Responsible</b>	<b>Complete</b>
<b>1</b>	Continuation of alternative working arrangements as necessary.	Senior Management	
<b>2</b>	Establish learning points from loss of power incident.	Head of Pensions	



## CONSTRAINTS ON FUEL SUPPLIES

**Planning assumption:** Severe constraints on fuel supplies across the county. There is likely to be no advanced notice of a fuel disruption. Fuel stations are likely to be exhausted on fuel supply within 48 hours.

PHASE 1 – ACTIONS TO BE TAKEN IN FIRST 24 HOURS			
Priority activity	Action	Person Responsible	Complete
1	Determine extent of incident and monitor corporate communications.	Head of Pensions	
2	Communicate business continuity plan to senior managers	Head of Pensions	
3	Ensure corporate message regarding incident is cascaded to all staff.	Head of Pensions	
4	Establish working arrangements for all staff based on method of travelling to work and how they are impacted by the constraint on fuel supplies.	Senior Management	
5	Ensure critical office-based activities can continue such as scanning/printing and helpdesk functions.	Operations Manager	

PHASE 2 – ACTIONS TO BE TAKEN IN DAYS 2-7			
Priority activity	Action	Person Responsible	Complete
1	Monitor Government and corporate messaging as incident continues and continue to cascade to staff.	Head of Pensions	
2	Increase remote working arrangements as incident continues.	Senior Management	

PHASE 3 – ACTIONS TO BE TAKEN IN THE FOLLOWING WEEK			
Priority activity	Action	Person Responsible	Complete
1	Continuation of alternative working arrangements as necessary.	Senior Management	
2	Establish learning points from constraints on fuel supplies incident	Head of Pensions	

## 7.0 INCIDENT RECOVERY

The purpose of the recovery and resumption phase is to resume normal working practises Where the impact of the incident is prolonged, normal operations may need to be delivered under new circumstances e.g. from a different building.

### 7.1 Return to Normal Operations Checklist

At the operational level these are the actions to be considered now that the crisis is over:

No.	INCIDENT RECOVERY	✓	ACTION TAKEN AND BY WHO
1	Resilience Working Group to agree and plan the actions required to enable recovery and business as usual	<input type="checkbox"/>	Agree priorities and recovery options. To be detailed in an action plan and set against timescales with responsibility for completion clearly indicated.
2	Deactivate staff members and resources as necessary	<input type="checkbox"/>	
3	Continue to log all expenditure incurred as a result of the incident	<input type="checkbox"/>	Maintain a log of expenditure Appendix D
4	Review cash requirements to restore operations	<input type="checkbox"/>	
5	Contact insurance broker/company	<input type="checkbox"/>	
6	Develop financial goals and timeframes for recovery	<input type="checkbox"/>	
7	Keep staff informed	<input type="checkbox"/>	
8	Keep key stakeholders informed	<input type="checkbox"/>	
9	Respond to any short and long terms support needs of staff	<input type="checkbox"/>	Depending on the nature of the incident, may need to consider the use of counselling services, accessed either internally or by engaging appropriate external services
10	On conclusion of incident, stand down Incident and publicise that there is now 'business as usual'	<input type="checkbox"/>	Communications strategy
11	Set priorities and recovery options	<input type="checkbox"/>	
12	Update the recovery plan	<input type="checkbox"/>	

<b>13</b>	Collate copies of the incident logs completed by each member of the Incident Response Team	<input type="checkbox"/>	
<b>14</b>	Carry out a 'debrief' of the incident, documenting the opportunities for improvement and any lessons identified	<input type="checkbox"/>	<ul style="list-style-type: none"> <li>•This should be reviewed by all members of management groups to ensure key actions resulting from the incident are implanted within designated timescales.</li> <li>•Include all stakeholders in debrief actions and relevant third parties to capture full picture.</li> </ul>
<b>15</b>	Review this Continuity Plan in light of lessons learned and applied from incident.	<input type="checkbox"/>	<ul style="list-style-type: none"> <li>•Implement recommendations for improvement and update this Plan.</li> <li>•Ensure a revised version of the Plan is read by all members of management groups.</li> </ul>

## Appendix A Incident Call Procedures and Contact Details

### Internal Cascade Call Tree

[Redacted due to personal data]

### Contact Details

Service Team Contacts			
Person	Contact numbers	Email	Role

Corporate Leadership Network Contacts			
Person	Contact numbers	Email	Role

WNC/ Internal Service Interdependency Contacts		
Name	Contact details	Service

Business Continuity Contacts		
Name	Role/Responsibility	Contact Details
Emergency Planning Team	EP duty officer	07885 292851 (24/7)

Key Supplier, Stakeholder and Partner Contacts		
Organisation	Contact	Contact Details

Service Procurement Cardholders	
Name	Contact Details

## Appendix B Communication Procedures

Communication is a key consideration during a disruptive event and it is essential that you have considered how this will be done during an incident, such as who will activate the call cascade and who the deputies will be.

### Instructions

These procedures are only to be used as a guide when notifying staff of a Business Continuity Plan activation and action to be taken.

- Each manager should contact their direct reports and keep each call to less than 3 minutes.

- If person called is available, provide the following message:
  - This is NOT a test.
  - Incident status.
  - The service area's Business Continuity Plan is being put into operation.
  - Action to be taken:
    - Stand by until contacted with further information OR
    - Report to (location) at (time) and bring staff ID and security access card
  - Emphasise that the situation should not be publicised.
- If person called is not available, leave a message for the person to return the call. If leaving a message is not possible, call back every 5 minutes.
- If person remains un-contactable for 20 minutes, call the next person that this person is assigned to notify.
- Thereafter, report list of un-contactable persons to your appropriate chain of command.
- The Team Manager will then complete and return a situation report to the appropriate chain of command (line manager or Incident Management Team if invoked)

### **Service Team Call Tree**

Activation of entire service for activation of recovery procedures

- Use Microsoft PowerPoint Organisational Chart function to develop your service telephone notification tree.
- In your call tree, please indicate the following:
  - Name of staff members (or can use initials).
  - If this person is the Deputy Team Manager, please indicate this below his/her name.
  - Indicate with an acronym for the mobile 'M' Landline phone 'W' and home telephone as 'H'.
  - Highlight in colour the staff members who will be going to a secondary location so that the rest of the staff members will understand that they are required to stay at home during the start of an incident.
  - Indicate if certain staff members need to relocate to another location.

## Appendix C Service Area Incident Reporting Procedure

### Priority service areas

During major incidents and emergencies, the Incident Management Team (IMT) may request service status reports for managers of the council's priority service areas. The objective of the request is to assess the level of disruption to the delivery of priority services. Service managers are asked to report on the situation within their service area using RAG (red-amber-green) system (see below), providing information only on their priority services or the councils reputation.

### All service areas

During a major incident, the IMT may ask all service areas to provide mutual aid in the form of non-priority activity staff, property, or equipment, for example, to support affected services.

Unless an alternative email address is supplied, completed service status reports should be emailed to:

Name:

Contact details:

Also to:

Name:

Contact details:

<b>Service Area Incident Reporting Form</b>			
<b>Service area</b>		<b>Date</b>	
<b>Contact</b>		<b>Telephone/mobile</b>	
<b>Overall status</b> (select only one which describes your services current position)	GREEN	AMBER	RED
	Service operating at a level of 'business as usual' and can deliver its services adequately	Service operating below advisable levels, ensuring prioritised activities are taking precedence. Minimum standards are being met.	Service operating at a greatly reduced level. Resources directed to maintaining priority activities. Risk of minimum standards not being met.

### Specific service impacts

Please describe the impact on your critical services being experienced due to the incident.

Priority Service	RAG status (Red, Amber or Green)	Impact/issues being experienced

Do you require any additional resources currently to enable a priority service to keep operating at an acceptable level?

If yes, list them below (e.g. staff, specific skills, equipment, premises etc.)

Resource Required	Timescale

Can you provide mutual aid to other service areas if required?

If yes, what could you provide and for how long? (e.g. staff (approximate numbers), premises (location, type, capacity), equipment (mobiles, laptops).

Mutual Aid Resource	Timescale



## Appendix D – Action and Decision Log

Entry No.	Date	Time	Information/Message	From	Contact Details	Action/Decision Taken	Time	Initials
1								
2								
3								
4								
5								
6								

Name of Officer completing log.....

Date.....

Page ..... Of .....

## Appendix E – Expenses Log

Date	Item(s)/service(s) purchased	Directorate and Service Area	Cost	Signature

Name of Officer completing log.....

Date.....

Page ..... Of ...

