

North York Moors National Park Authority Finance, Risk, Audit and Standards Committee

6 February 2017

Business Continuity Plan

1. Purpose of the Report

- 1.1 To receive Members' comments and seek their approval for the revised Business Continuity Plan.

2. Background

- 2.1 The Authority has for many years had a Business Continuity Plan which outlines how recovering from the loss of one of the main operational buildings would be managed. Although there have been a number of updates, the current plan essentially dates from 2001 and Officers are conscious that technology and working methods have moved on considerably since then.
- 2.2 As part of the Authority's insurance arrangements with Zurich Municipal, professional advice is provided on a range of risk related topics. In summer last year, Martin Clemmitt from ZM went through a scenario with Officers that was designed to test the Business Recovery Plan. In this fictional scenario, the Old Vicarage was badly damaged by a severe weather incident. The purpose of the test was to challenge the robustness of the plan and enable Officers to consider what changes needed to be made.

3. Outcome of Testing of Business Continuity Plan

- 3.1 This type of testing was enjoyable, thought provoking and a 'safe' way of testing a plan that will, hopefully, never be needed. The scenario has resulted in Officers considering making a number of changes including the following;
 - the current plan doesn't fully take account of the reliance placed on a variety of IT systems. This has grown significantly since the plan was originally written;
 - the plan also envisaged that a major effort be put into temporary accommodation. This is no longer considered necessary in the light of developments in technology, both in the workplace and the availability of broadband at home for most staff;
 - considering how the use of CITRIX will enable many staff to continue working from home for an extended period;
 - the existing plan was strong on 'administration and process' in dealing with a major incident and lacking in flexibility to effectively take on a wide range of potential scenarios from loss of major IT systems to the total loss of a building;
 - there was also not considered to be sufficient focus on the Authority's essential functions and which systems needed to be restored to allow these to continue;
 - give clearer consideration to which services need to be up and running and in which order to help with properly prioritising resources;
 - stronger integration and reference the IT Disaster Recovery Plan.

4. **New Business Continuity Plan**

- 4.1 Since the scenario exercise, Officers have completely rewritten the Plan to better reflect the flexibility of approach that is required to deal with a range of scenarios, taking into account the significant advances in technology to allow remote working and to facilitate communication both with staff and the public. The revised plan is attached as **Appendix 1**. Please note that Part 8 of the Plan which contains private contact details has been left blank for the purposes of this public paper.
- 4.2 Subject to any comments from Members on the contents of the revised plan, it is Officers' intention to undertake two initial actions;
- run through the plan with all of the key contacts to ensure that they understand their role in the Plan;
 - a further testing scenario and revise the plan further if this is found to be necessary.
- 4.3 Officers are aware that with the appointment of a new Director (Polyhalite Projects) and a likely change of role for the Director of Corporate Services, some updating of this document will be required later in the year.

5. **Financial Implications**

- 5.1 There are no financial implications resulting from this report.

6. **Legal and Sustainability Implications**

- 6.1 There are no legal or sustainability implications resulting from this report.

7. **Recommendation**

- 7.1 That Members make any comments that they consider to be appropriate and approve the revised Business Continuity Plan, subject to Officers undertaking the actions outlined in Part 4 of this report.

Contact Officer:
Ian Nicholls
Assistant Director of Corporate Services
01439 772700

Background documents to this report

File Ref.

1. FRASC Paper June 2016

North York Moors National Park Authority

Business Continuity Plan

(Version January 2017)

1. Introduction and Objectives of the Plan
2. Application
3. Incident Response and Business Continuity Procedures
4. Risk Management
5. Maintenance and Review of Plan
6. List of Copy Holders
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8. Emergency Numbers
9. Critical Authority Processes and Activities
10. Insurance Contacts
11. Property Maintenance Contacts

1. Introduction

- 1.1 The purpose of this Business Continuity Plan (the Plan) is to document and make clear how the North York Moors National Park Authority (the Authority) will respond and cope with a major disruption to its premises, staff and/or services.
- 1.2 This Plan aims to ensure that in the event of serious disruption to all or part of the Authority administrative buildings or facilities, essential services can be maintained and critical functions reinstated quickly, effectively and efficiently whilst full restoration to normality is planned and implemented.
- 1.3 The Plan also provides guidance, process and structure to ensure the necessary preparation, information and administrative arrangements are in place in the event of major disruption to the Authority.
- 1.4 Priorities in the event of any emergency are always:
 1. The safety of staff, visitors, the public and anyone else impacted by the incident;
 2. Effective, accurate and up to date communication;
 3. Preserving the ability to deliver our services;
 4. Maintaining the National Park Authority's reputation;
 5. Restoring 'normality' as soon as possible.
- 1.5 **Objectives of the Plan:**
 1. To identify the arrangements required to manage the **immediate response** and the arrangements for mobilisation of key personnel (see Section 7);
 2. To identify the **short, medium and long term measures** necessary to reinstate or replace key services; and
 3. To structure a plan for **long-term recovery** action.

2. Application

- 2.1 The Plan focuses on circumstances which may prevent the normal operation of business from the Authority's offices at The Old Vicarage/Beaconsfield in Helmsley, as this is the main base for the majority of staff, telecoms, IT infrastructure and other core business support services. However, the principles outlined in this Plan also apply (scaled as appropriate) to any incidents which threaten operations at other Authority locations.

3. Incident Response and Business Recovery Procedures

Initial Response

- 3.1 This will depend upon the nature and seriousness of the incident. In most cases the first point of contact will be the Emergency Services (see Section 8). In some cases it may be that the Emergency Services are not required immediately, but the appropriate contact is the professional officer e.g. the ICT Manager following a total collapse of the IT systems.
- 3.2 Having reported the incident to the appropriate person or organisation, the next step is to inform the Chief Executive.
- 3.3 Once alerted about the event, it is the responsibility of the Chief Executive (or, in his absence, one of the Directors) to decide whether escalation to develop an Incident Response Team is warranted or whether it can readily be dealt with without declaring it as an 'incident', and whether to speak to the Chairman (or other Members). This decision will be made based on experience and professional judgement.

Incident Response Team

- 3.4 The size and composition of the Incident Response Team (IRT) will vary dependent upon the nature of the incident/threat, the availability of people, and the need for specialist advice. However, the IRT is likely to consist of all Directors, Assistant Director of Corporate Services (at least initially), the Media and Communications Officer and other key officers as appropriate.
- 3.5 The Chief Executive will lead the IRT and will nominate an officer to act as secretary, although all participants must keep notes of times, events and actions taken. The Chief Executive is responsible for ensuring that these notes are collated and all required actions are highlighted and implemented.

Alternative Workspace

- 3.6 If it is not possible to work at The Old Vicarage or Beaconsfield for whatever reason, the IRT will seek advice on how long the interruption is likely to continue and will arrange regular communications to all affected staff.
- 3.7 If the incident is likely to cause disruption for more than 12 hours and/or the environment is considered to be unsafe, the IRT will ensure that staff leave the building. Managers will agree appropriate alternative working arrangements for their team members.
- 3.8 Other Authority buildings will be used as a base for the IRT and any other officers where space allows.

Key Authority Processes and Activities

3.9 The critical and compulsory activities and processes are set out in Section 9.

General Instructions

- **Temporarily Relocating People:**

A combination of existing office space at unaffected Authority premises and home-working should be used. This issue will be considered by the IRT, and recommendations/decisions made based on the nature of the incident.

- **Casualty handling/family support:**

When a member of staff is injured/hospitalised (see hospital contacts in Section 8, the next of kin will be informed in person by two senior officers wherever possible, one of whom must be prepared to stay with the next of kin if they need to organise care for any children/dependent relatives. In the event of a serious injury/death (or multiple cases) the police will notify the next of kin.

- **Counselling:**

In the event of an incident causing trauma, professionally competent staff counselling will be organised immediately by the IRT.

- **Immediate Financial Support:**

In the event of staff losing possessions such as handbags, wallets etc as a result of a major incident, it may be necessary for arrangements to be made to provide them with immediate financial support e.g. for transport to enable them to get home, or for refreshments.

- **Authorised Expenditure:**

The Authority authorises emergency expenditure where necessary to:

- prevent loss of life, injury or further loss or damage to property or assets including making the site safe and secure;
- support staff through the immediate aftermath of a major incident.

Recovery and Re-instatement

3.10 The recovery and re-instatement of the impacted area and damaged items will be managed by the IRT.

3.11 Recovery of IT equipment to operational readiness will be supervised by IT staff. The return of IT equipment, storage items and personal effects to recovered areas will only commence when authorised by the Chief Executive (or leader of the IRT). All movement of IT equipment will be under the control of the IT team.

3.12 No staff will be allowed access to the areas under recovery without the permission of the IRT.

3.13 Depending on the nature of the incident, a feedback workshop involving all affected staff may be held within two weeks of the incident to identify lessons learned and any other matters arising from the incident.

Communication Plan

Communication with Staff

- 3.14 Depending upon the nature of the incident, it may not be possible for staff to go about their work in the usual way. It is important therefore that they are informed of the incident as soon as possible and what they should plan to do initially, and how they can keep in touch with developments.
- 3.15 After discussion with the Chief Executive, the Communications team will issue a clear statement to all staff, Members and Volunteers as appropriate, explaining what has happened (if this is possible/appropriate) and giving details of where to direct enquiries.
- 3.16 Messages to staff will be posted by the Communications team in the following locations (subject to infrastructure availability):
- Message recorded on central telephone number (01439 772700);
 - Authority website/social media;
 - Authority intranet;
 - E-mail to Authority distribution lists;
 - Note posted on door at office locations (as appropriate).
- 3.17 The Unison representative and/or the Unison office (01609 532670) at North Yorkshire County Council will be informed.
- 3.18 As a priority, the Media and Communications Officer (or the Director of Park Services in their absence) will prepare a reaction statement. The reaction statement must be approved by the Chief Executive, or another Director. Where necessary, Legal Services should also be consulted (depending on the circumstances).
- 3.19 Before issuing the statement, the Assistant Director of Corporate Services will check with the HSE/police and other relevant bodies as to which details can/cannot be released at this stage. **NB in the case of a death, the police need to have informed all relatives before anything that could identify the deceased is published.** Once approved, the statement will be circulated as appropriate. **No unauthorised release or statement will be made to the media without prior authorisation from the Chief Executive or the lead officer of the IRT.**
- 3.20 The Chief Executive and Communications Officer will nominate a chief spokesperson/people to deal with interviews as required.

Communication with the Public

- 3.21 Information for the public will be communicated by the Communications team via:
- The Authority website;
 - Social media channels;
 - News releases;
 - Note posted on door at office locations (as appropriate);
 - Message recorded on central telephone number (01439 772700)
- 3.22 The IRT will decide whether a dedicated 'helpline' is required to deal with enquiries from the public, though this is unlikely to be required in most circumstances.
- 3.23 The Chief Executive and Media and Communications Officer (and, if appropriate, the IRT) will decide whether additional media support is required.

- 3.24 The Media and Communications Officer will ensure that other National Park Authorities and/or partner organisations are informed as appropriate. It will also be considered whether there are other stakeholders who need to be informed e.g. community leaders, council contacts, residents etc.

4. Risk Management

- 4.1 Whilst it is very difficult to protect against events that are beyond our control, risk management is integral to the management of the Authority's business and is an essential element in reducing the risk from controllable incidents and minimising the consequential effects.
- 4.2 The day-to-day operational safety, security and continuity of the Authority's assets is managed through the Authority's corporate procedures, processes and support systems, including Human Resources, Health and Safety, Financial Processing, ICT, Audit, Data Management and Governance. This Plan accompanies, complements and is supported by these other corporate systems and procedures.
- 4.3 The Plan comes into effect whenever a serious and/or sustained incident or event (or the potential for such an incident/event) significantly threatens any of the Authority's significant assets, which include the Authority's people; its buildings, equipment and vehicles; its information and knowledge; and its systems.
- 4.4 There are a number of specific issues which may need to be addressed by our response to a serious incident. These are listed in Section 10.

5. Maintenance and Review of Plan

- 5.1 This Plan is a 'controlled document' and, as such, amendments and changes can only be authorised by the Assistant Director of Corporate Services who will ensure that the appropriate amendments and revisions are circulated and outdated pages withdrawn and destroyed.
- 5.2 The Assistant Director of Corporate Services will be responsible for ensuring the Plan is reviewed on an annual basis (and updated whenever significant information within it changes), including checks on the supporting detail (eg telephone numbers etc).
- 5.3 Directors are responsible for notifying the Assistant Director of Corporate Services of all operational changes likely to affect the implementation of this Plan as they occur.

6. Document Control Information

- 6.1 In addition to the hard copies issued and stored as detailed below, a hard copy is kept securely in the fire-proof safe in the Caretaker's office in the Old Vicarage. This document is stored in a secure electronic location which is accessible to the following staff.

7. List of Copy Holders/Access to N-Drive folder

- | | |
|---|---------------|
| 1. Chief Executive:
(copy retained off-site) | Andy Wilson |
| 2. Assistant Director of Corporate Services
(copy retained off-site) | Ian Nicholls |
| 3. Director of Corporate Services
(copy retained off-site) | Irene Brannon |
| 4. Director of Planning | Chris France |
| 5. Director of Conservation | David Renwick |

- | | |
|---|-----------------|
| 6. Director of Park Services | Richard Gunton |
| 7. ICT Manager | Simon Baum |
| 8. Assistant Director of Park Services | Michael Graham |
| 9. Head of Recreation and Park Management | Karl Gerhardsen |

Anyone with access to this plan MUST respect the confidentiality of the information contained within it.

8. Contact Details for Key Officers (*all correct as of January 2017*)

Please note the following contact details are included for the purposes of Business Recovery Plan only, and should not be given out for other purposes.

Chief Executive (Andy Wilson)	Mob: Home:	
Director of Park Services (Richard Gunton)	Mob: Home:	
Director of Planning (Chris France)	Mob: Home:	
Director of Corporate Services (Irene Brannon)	Mob: Home:	
Director of Conservation (David Renwick)	Mob: Home:	
Assistant Director of Corporate Services (Ian Nicholls)	Mob: Home:	
Assistant Director of Park Services (Michael Graham)	Mob: Home:	
Head of Development Management (Mark Hill)	Mob: Home:	
Head of Park Management (Karl Gerhardsen)	Mob: Home:	
ICT Manager (Simon Baum)	Mob: Home:	
Media and Communications Officer (Alison Harris)	Mob: Home:	
Chief Executive's PA (Judith Seaton)	Mob: Home:	

9. Emergency Numbers

North Yorkshire Police

Emergency calls:

999

For non-emergency calls or to report a crime:

101 (or 01904 618691 from outside the North Yorkshire force area).

Floodline:

Telephone: 0345 988 1188 (24 hours)

Nearest Accident and Emergency Department

To Helmsley:	Address: York Hospital, Wigginton Road, York, YO31 8HE Tel: 01904 631313 Address: Malton & Norton District Hospital, Middlecave Road, Malton, North Yorkshire YO17 7NG (Minor Injuries at Malton has been replaced by Urgent Care Centre) Tel: 01653 693041
To Sutton Bank:	Address: Friarage Hospital, Northallerton, DL6 1JG Tel: 01609 779911
To The Moors Centre:	Address: Whitby Hospital, Springhill, Whitby, YO21 1EE Tel: 01947 604851

10. Critical Authority Processes and Activities

- 10.1 The critical activities to the Authority functioning that need to be sustained as normally as possible in the aftermath of an incident are as follows;

Internet Provision

- 10.2 The Authority's internet provision is provided by NyNet (0330 726 0040) and all sites communicate with each other via this network. Internet access for all sites is routed via the HQ site. In the event of the Old Vicarage building being out of action the Authority's internet provision could be routed through the backup network link situated in Beaconsfield.

Telephones

- 10.3 The telephone system is provided by Quantum Telecom (Hardware) and FreeComm Services (Line provision). The main Authority phone number could be diverted to the Moors Centre, Danby This process could take up to 24 hours after initiation. We have a support contract with Quantum to assist in the failure of both software configuration and hardware.

Major Desktop Hardware Failure

- 10.4 In the event of office damage resulting in the loss of the desktop equipment we have several suppliers who can provide next day delivery on our standard desktop equipment, including InsightUK.

Hardware Failure

- 10.5 In the event of damage to critical hardware (Servers, Disk Arrays, Switches, Routers) we should, in the first instance, contact our support company AlphaLan (01609 788901) who can provide all support to the ICT Team to configure any replacement equipment. Hardware can be purchased direct from Dell (Account Manager – Alison Thomson, 0141 202 5736 or support on 08000282660). Lead times for delivery are 5-7 working days.

Software Failure

- 10.6 The Authority has manufacturer support on all its key software systems, and 3rd line technical assistance can be provided when required. These key systems are:

- SunSystems– Financial system (Lake 0113 273 7788)
- MS Exchange – Email, calendars (AlphaLan 01609 788901 and Mimecast)
- M3 – Planning System (Northgate - +44 (0)844 848 2385)
- Earthlight – mapping for Planning/Conservation/Park Services (Statmap - 0844 376 4321):

- 10.7 In the event of a catastrophic failure on any of the hardware that hosts these key systems, the virtual instance of the server would migrate to the mirror host and continue to run. In the event of both hosts being unavailable the servers could be restored from backups and reconfigured with the help of the support company if required. Depending on the system, this could take from 1 day (MS Exchange) to 3-4 days (Finance system) to restore the system to operating capacity.

ICT Disaster Recovery Procedure

- 10.8 The technical details and comprehensive procedures (including data security, and the correct sequence for any restorations) for the recovery of any ICT Systems is contained in the ICT Disaster Recovery Procedure. This is stored with this document and will be available to all of the IRT.

Payroll

- 10.9 Corvid Paygate could re-run the last payment The previous payments are stored on the system so could be exported and then reimported. There would need to be some reconfiguring of the system by the Corvid support team to accept the file. Any differences will need to be corrected out when systems are back up and running as normal. (Support number Tel: +44 (0)1462 708 444).

Supplier Payments/Financial Transactions

- 10.10 If the financial systems were not available no payments to suppliers could be made automatically through BACS, and it would not be possible to see if the payment was still outstanding. If there were emergency payments that were essential these could be arranged through the bank, and an emergency cheque book could be ordered and kept with the Director of Corporate Services who is a signatory.

- 10.11 As all payments are currently made within 28 days, there would be very few items needing immediate payment, and we have access to credit cards for smaller purchases for example to keep the Ranger team in supplies. As soon as the systems were back up, immediate payments could be made to all suppliers either by BACS (if that system is operational) or by cheque.

Lake Financial 0113 273 9305 (Sun Systems, Spindle Pro, Q&A)

Barclays Northallerton Branch: Account No 80012394; Sort Code 20-61-46

Barclays Relationship Manager – Jayne Watson jayne.e.watson@barclays.com
Telephone 0330 1501520

Compulsory Activities:

- 10.12 Getting the critical processes running satisfactorily are designed to ensure that the activities compulsory to the Authority undertaking its statutory activities are sustain as soon as possible. The IRT can take decisions regarding the scope and timescale of activities undertaken, but it is expected that the compulsory activities should include;

- Statutory development management process
- committee meetings to ensure conduct of Authority business
- preventative maintenance to ensure other premises and systems remain operational

Other Matters to Consider

10.13 **Financial**

- The longer term financial impact, e.g the loss of significant income streams during the interval of disruption.
- Re-allocation of financial and other delegations if a staff member is unavailable.
- Recording of costs incurred as a result of the incident, for insurance purposes (for insurance contacts see Section11).

10.14 **Health and Safety**

- After the immediate incident has been managed, review any change to ongoing health and safety risks as a result of whatever solution has been adopted.
- Expert Health and Safety advice should be sought via Dominic Passman (dominic.passman@northyorks.gov.uk) via the SLA with NYCC.

10.15 **Administrative**

- Communicate with key suppliers and service providers, and key customers (e.g planning applicants).
- Arrange necessary phone divers.
- Re-direction of mail – contact Royal Mail Customer Services: 08457 740740.

10.16 **IT**

- Ensure ongoing resilience of home working capacity, increasing the number of Citrix licences if that is a necessary part of the solution.

10.17 **HR**

- Re-direct staff to other activities, if unable to carry out their normal job.
- We have a Service Level Agreement with NYCC for HR advice if required: 01609 780780.

10.18 **Property**

- We have a Service Level Agreement with NYCC for Property advice if required on 01609 780780. The advice and services available range from organising maintenance contracts to design, costing and management of building projects. Lead Contact is Jon Holden.
- Useful “maintenance” contacts are shown in Section 12.

10.19 **Useful IT Contacts**

All agreements are standard 9-5 weekday support unless otherwise stated.

TeleComms - FreeCom:-

Dedicated fault/enquiries line: Comms Support Team on 0333 358 3114.

General Support - AlphaLan – to come in and provide assistance

Barry.anderson@alphalan.co.uk

01609 788901

Barry's number is 07801 051 277

Craig's number is 07801 051 278

Firewall Appliance - NTS

Phil Allen
Account Manager
Capita Technology Solutions
Tel: 01274 288583
Mobile: 07713787618

Network (External) – Nynet

Incident Desk for
reporting and
management

support@nynet.co.uk

0330 726 0040

Finance systems –

Lake Support Details (SunSystems):-

01132739305

Support@lake.co.uk

Account manager: Macy Nettleton – macyn@lake.co.uk

IRIS (Earnie HR Software)

earniesupport@iris.co.uk
0844 815 5671

CORVID PayGate

7 Meadway Court, Meadway Technology Park,
Stevenage, SG1 2EF, England
support@corvid-paygate.com
Tel: +44 (0)1462 708 444

GIS Systems – Statmap

0844 376 4321

info@statmap.co.uk

Dell Hardware Supplier:-

Account Manager - Alison Thompson

Alison_Thompson@Dell.com

[Support :- 08000282660](tel:08000282660)

11. Insurance Contacts

- 11.1 Personal Accident cover (for all staff, Members and Volunteers), cover whilst the insured is carrying out official duties in connection with the business including journeys directly connected and commuting.
- Insurance Company Chubb (Policy No 64814934) - contact Paul Turner at Marsh (our insurance Broker) 0191 222 3271 or Paul Connelly 0191 222 3226.
- 11.2 Property, Contents, Money and Business Interruption (damage to any of our properties used by us for the purposes of our business),
- Insurance Company RMP/Chartis (Policy No 45004447) - contact Paul Turner at Marsh (our insurance Broker) 0191 222 3271 or Paul Connelly 0191 222 3226.
- 11.3 Motor, Public Liability (injury or accident involving third parties), Employers Liability (injury or accidents involving our staff) and Professional Indemnity
- Insurance Company Zurich (Policy No XAO-272021-5593)– contact Debbie Roy at Zurich 0191 2797152.
- 11.4 Insurance for items displayed in the gallery at the Moors Centre, Danby is provided by Axa Art (Policy No L00093303) - contact Paul Turner at Marsh (our insurance Broker) 0191 222 3271 or Paul Connelly 0191 222 3226.
- 11.5 Engineering (for incidents which may occur whilst using equipment in the workshops) is provided by HSB Engineering Insurance (Policy No G4Y/160947) - contact Paul Turner at Marsh (our insurance Broker) 0191 222 3271 or Paul Connelly 0191 222 3226.

11.6 We also have an Insurance Advisor based at County Hall, Fiona Sowerby 01609 532400. Fiona will know what to do and who to contact in emergencies. If the IT system is available, there is an electronic folder within the Corporate Services Section on the N Drive called Property and a sub-folder called Insurance. Within that folder there are electronic copies of all the insurance documents, giving full details of all of our insurance cover.

12. Useful Property Maintenance Contacts

Trade	Contact Name	Telephone
Loss of Electricity supply	CE Electric (NEDL)	0845 601 3268
Loss of Water Supply	Yorkshire Water	0845 124 2424
Alarms – Intruder	ADT Fire and Security Contract No: R91354	0844 8001999
Alarms – Fire	(Via NYCC Property Services)	01609 780780
Building, Plumbing and Central Heating	(Via NYCC Property Services)	01609 780780
Joiner, Builder and Glazier	Dennis Thornton	01439 771858 07711 256385
Electrician	Peter Snowball	07860 700546
Plumbing and Heating	Ben Scott	07825635613
Heating Plant Controls	(Via NYCC Property Services)	01609 780780
Car Maintenance	Chas Atkinson	01439 771067
Car Park Machines	Metric Group Ltd	01285 651441
Tree Surgeon	Mick Young	01609 883141 07732120715
Painter and Decorator	Donald Simpson	01751 431228