



Business Continuity Management Procedure

This document is part of North Yorkshire Police policy to which all Chief Constable personnel and the functions provided by the Deputy Mayor for Policing as part of the York & North Yorkshire Combined Authority are required to adhere.

Procedure Statement

Introduction

North Yorkshire Police (NYP) and the Police, Fire and Deputy Mayor for North Yorkshire) recognises the importance of maintaining continued delivery of NYP's critical services to the community in the event of an emergency situation or period of disruption. As a category one responder, there is a statutory duty under the Civil Contingencies Act 2004 to ensure that NYP has business continuity arrangements in place.

In order to achieve this, NYP has adopted, where appropriate, the approach set out in the International Standards (ISO) 22301 Business Continuity Management (BCM) and has created a bespoke BCM System to ensure where possible, NYP maintain critical services at an acceptable level throughout any periods of major disruption to the organisation.

Definition

For the purpose of this document, BCM is defined as:

'A holistic management process that identifies potential threats to an organisation and the impacts to business operations that those threats, if realised, might cause, and which provides a framework for building organisational resilience with the capacity of an effective response that safeguards the interests of its key stakeholders.'

Aims

The aim of this procedure is to ensure that compliance with statutory duties to implement BCM as required by the Civil Contingencies Act 2004, in order to underpin and assure the maintenance of critical services and activities during periods of major disruption and organisational change.

Objectives

In order to achieve this the following objectives have been identified:

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- develop, implement, exercise and maintain a bespoke NYP BCM System
- provide an integrated and standardised BC approach throughout NYP
- ensure that Heads of functions and departments take ownership for designing, implementing and maintaining their Business Continuity Plans (BCP's)
- provide leadership and support for BCM at all levels throughout NYP
- to embed a BCM conscious culture within NYP, ensuring that proactive systems are in place
- raise awareness of the need for BCM by all those involved with service delivery for NYP

Linkages

Business Continuity Incident Procedure
 Risk Management Policy
 Protective Marking Procedure
 Physical Security Procedure
 Information Security Policy
 Major Incident Procedure
 Working with Portable Technology and Documents Procedure
 Security Incident Reporting Procedure
 Emergency Planning Policy
 Incident Management & Deployment Procedure
 Extreme Weather Procedure
 Business Continuity Co-ordinators

Other Documents:

BS ISO 22301:2012 Business Continuity Management Systems
 National Risk Register 2020 edition
 Civil Contingencies Act 2004
 Incident Debrief eform
 NPCC Business Continuity Management Guidance

Process

In order to deliver BCM, NYP will use the following 6 elements to create a BCM System:

1. BCM Programme Management
2. Understanding the Organisation
3. Determining BCM Strategy
4. Developing and implementing BCM response
5. Exercising, maintaining, and reviewing
6. Embedding BCM in NYP's culture

1. BCM Programme Management

BCM Programme management involves three steps:

1. Assigning responsibilities (Governance)
 - Deputy Chief Constable is the BCM lead for Operational Policing
 - The Police, Fire and Deputy Mayor is the BCM lead for the Office of the Police, Fire and Crime Commissioner.

- Head of Corporate Development is responsible for implementing and maintaining BCM activity.
 - Heads of functions and departments are responsible for the management and development of BCP's within their area of business, with some support assigned to Business Continuity Coordinators.
 - Project sponsors are responsible for the management and development of BC both during the project delivery and following implementation to the organisation
 - A Business Continuity Incident Management Team (BCIMT) will exist to develop and coordinate responses to corporate incidents
2. Implementing BCM, this includes the design, build and implementation of the programme.
 3. Ongoing management, to ensure that business continuity is embedded in the organisation. Each component should be regularly reviewed, exercised and updated. Plans should be reviewed and updated whenever there is a significant change to the organisation, personnel, processes or technology, and when an exercise or incident highlights deficiencies.

A monitoring sheet has been developed to track the progress of the BCM Programme across the organisation; this sheet is reviewed and updated continuously by the Risk Team.

2. Understanding NYP

The aim of this element is to assist the understanding of NYP through the identification of its key products / services / Critical Functions and resources that support them. This element ensures that the BCM Programme is aligned to NYP's objectives, obligations and statutory duties.

The following functions have been identified as NYP's Critical Functions – those that must be maintained/restored in the event of a disruption:

- To answer all 999 calls
- To provide effective command and control of incidents
- To provide an appropriate response to immediate and priority incidents following THRIVE assessment
- To provide custody facilities and associated criminal justice and administration functions
- Maintain the ability to deal with:
 - Major, critical and emergency incidents
 - Serious crime and crime investigation
 - Firearms incidents
 - Serious public order
 - Fatal and serious road traffic collisions
 - Management of operational intelligence and information
- To maintain effective communications with the public
- To provide an effective response to safeguarding children and vulnerable adults
- Ensure the health, safety & well-being of staff through the provision of effective training, equipment support and governance to deal with operational challenges
- Maintain a cadre of personnel with specialist knowledge, for example:
 - Firearms and Critical Incident Commanders
- To deal effectively with all matters which impact up on community cohesion, or the credibility and reputation of the Force

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Functions and departments across NYP that service the above Critical Functions are identified through the Business Impact Analysis (BIA) process.

Business Impact Analysis

Business Impact Analysis (BIA) is the process of analysing business functions and the effect that a business disruption might have upon them.

The BIA is produced by the relevant personnel (Head of function / department, Business Continuity Coordinators and Project Sponsors) from the Business Areas across the organisation with guidance from the Risk Team. The Business Area will determine and document the impact of a disruption to activities that support NYP's Critical Functions.

For each activity supporting the delivery of NYP's Critical Functions, NYP will:

- Identify internal and external activities, assets, resources and services which need to be either (a) maintained continuously or (b) recovered over time and the staffing required to maintain the activity.

Risk Assessment & Determination of Business Continuity Treatment

ISO22301 defines risk assessment as the "Process that systematically identifies, analyses and evaluates the risk of disruptive incidents"

There are a number of external and internal risk registers that NYP need to be cognisant of including:

- National Risk Register
- North Yorkshire Local Resilience Forum Community Risk Register
- NYPs risk registers held on Active Risk Manager (ARM)

National Risk Register

The National Risk Register (NRR) provides an assessment of the most significant emergencies which the United Kingdom and its communities could face, summarised into three categories:

- Accidents (hazards)
- Natural events (hazards)
- Malicious attacks (threats)

The NRR can be found on the Government website.

North Yorkshire Local Resilience Forum Community Risk Register

The North Yorkshire and City of York Community Risk Register (**2023 – 2025**) is approved and published by North Yorkshire Local Resilience Forum (NYLRF).

The register considers the likelihood and potential impact of a range of hazards occurring in North Yorkshire and the City of York. Each hazard is scored by assessing the impact on a community and the likelihood of its occurrence, to determine a risk rating of low, medium, high or very high.

NYP Risk Registers

Within NYP, risk registers exist for every department and live projects, to capture identified risks including business continuity risks. Risks can be escalated to either the Principal or Force Risk Register, maintained by the Risk Team.

Business continuity risks include the loss of:

- Staff
- Property
- Facilities
- IT and Communication Systems
- Assets and Equipment
- Data and Information
- Critical Suppliers
- Stakeholders

Treatment of Risk

The risk registers determine which BCM treatment will be required.

The treatments are:

- Treat - Business Continuity Plan (BCP)
- Tolerate - and allocate back to departmental risk management process
- Transfer - insure; or outsource backup/reassurance mechanism
- Terminate

NYP will aim to use BCP as the preferred treatment.

3. Determining the BCM Strategy

The BCM strategy identifies the action required in order to maintain Critical Functions. The strategies will be focussed on:

- Staff
- Property
- Facilities
- IT and Communication Systems
- Assets and Equipment
- Data and Information
- Critical Suppliers
- Stakeholders

4. Developing and implementing NYP's BCM Response

This element is concerned with the development and implementation of appropriate BC plans and arrangements to ensure continuity of Critical Functions, and the management of an incident. As part of this element a bespoke BCP will be developed for each department and unit.

Incident Management

In an event of a BC incident that threatens the NYP Critical Functions, NYP will refer to the Business Continuity Incident Procedure, which describes the incident response structure that will enable an effective response and recovery to normality / new normality.

The department Incident Management plans provide guidance on roles and responsibilities, meeting locations and briefing templates in order to:

- Assess the impact
- Resolve any conflicts of interest
- Identify and prioritise actions required
- Retain control

An incident log will be maintained by the department impacted throughout the running of the incident and an incident debrief will occur to capture any lessons learnt. The incident log and debrief templates are captured within the BCP's.

The Risk Team are to be informed of all incidents by the impacted department. All incidents are recorded and reported appropriately.

Business Continuity Plans

ISO22301 2012 defines BCPs as “Documented procedures that guide organisations to respond, recover, resume and restore to a pre-defined level of operation following a disruption”

Where BCPs are to be prepared, they will be created as a joint enterprise between the Risk Team and the plan owner / business continuity coordinator for the business area concerned.

BCPs will be prepared in accordance with this procedure and the corporate template will contain the following elements:

- Introduction
- Aims and Objectives
- Activation and Invocation and of BC arrangements
- Contact Details – including out-of-hours contacts
- Critical Functions
- Business Continuity Response Strategies
- Recovery
- Mutual Aid

Invocation of BCPs

The individual who receives the information that could result in a disruption to critical functions, should notify the Plan Owner, the Business Continuity Risk Manager, and relevant Gold/Silver Commanders (as appropriate).

In a force wide Incident, the overall direction of the management of the incident and the various teams, is the responsibility of the **Chief Officer Team or the ‘Gold Command’ that is likely to be established to coordinate the response.**

These plans may be invoked under the following circumstances:

- Significant/prolonged loss of ICT or communications
- Extreme weather conditions
- Significant staff absence
- Total or significant loss of workplace

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- Total or significant loss of data/paper records/evidence
- Supplier disruption

Master copies of all BCPs will be held by the Risk Team.

All plan owners will maintain up to date plans and hold copies of the relevant BCPs to ensure that its content is known to staff and members of that business area. The plans will be held both in electronic and hard copy formats (as appropriate), ensuring that the most up to date version is available at all times. The Risk Team will on request assist with communication and training requirements as the case may be.

A copy of all plans will be kept by the Force Control Room (FCR) on the USB device to enable access out of hours.

The BCPs should be stored in accordance with the protective marking.

Business Continuity Cards

The Business Continuity Card has been designed to be easily carried by personnel (as required). The cards will contain key contact details, immediate actions, situation report and the Business Continuity Hotline number. The cards will be offered to each department and part of the development of the BCP.

Grab Bags

The grab bag will hold essential documents and equipment to assist in maintaining critical functions, will be specific for each plan and should be removed during an evacuation (if appropriate).

The Risk Team maintain an electronic Corporate Business Continuity grab bag which contains all corporate and department plans staff contact details, Business Continuity contacts and regional contacts.

Recovery

Once the organisation/department has taken immediate steps to respond to the incident and implemented the Business Continuity plan, in order to maintain its identified critical functions, then recovery steps should be instigated.

Recovery should include damage and impact assessments; welfare issues addressed, prioritisation of critical processes to be resumed; the return to normal operations or new normality.

Following the invocation of a plan and the return to normality, the plan owners will be invited to [debrief](#), to ensure lessons are learnt and plans are reviewed and updated.

5. Exercise, Maintenance & Review

Exercise (Testing)

ISO22301 states that an exercise is “a process to train for, assess, practice and improve performance in the organisation”.

A range of approaches can be taken to exercise the BCM arrangements including tabletop, walk through, exercise the full BCP, plans should be exercised on an annual basis in order to validate them. Following an exercise, a list of actions are provided in order to improve the plan.

Maintenance & Review

The BCMS ensures that the arrangements are kept up to date by ensuring BCPs are subject to at least an annual review by plan owners and the Risk Team. Plans should be updated if there are changes:

- in the organisation and changed methods to the delivery of critical functions
- following lessons learned from an incident or exercise and
- changes to staff

Audit & Challenge

This procedure and the BCM System it describes will be subject to periodic audits by:

- Internal Audit
- HMICFRS
- Peer Reviews

In addition, periodic self-assessment will be carried out against recognised industry best practice criteria.

6. Embedding BCM into the Culture of NYP

NYP will raise, enhance and maintain awareness by:

- Risk Team proactively managing the BCMS
- Exercising the BCPs
- Business Continuity and Risk source page
- Attendance at relevant NYP meetings with department / units
- Nominated Business Continuity Co-ordinators for each BCP
- "Responsibilities" set out in the section below will promote Business Continuity
- Business Continuity Awareness Week held annually in Spring
- Inclusion in the new starter's induction checklist and newly promoted sergeant's course
- BC section within Gold Command packs
- Reporting to the Joint Independent Audit Committee (JIAC)
- Reporting to the Risk and Assurance and Improvement Board
- The Source updates
- Assist in developing and circulating the National Business Continuity publication – Eye on the Horizon

PRIVACY STATEMENT

Your personal contact details may be collected as a means of contacting you during conditions in which business continuity plans are invoked. NYP (with enableNY) have statutory obligations to safeguard employees whilst at work and to continue to provide an effective Police and Fire service in the interest of public safety, we need to be able to contact you to perform these duties. Your personal contact details are documented on the business continuity plans and in some instances on Resilience Direct and North Yorkshire Community Messaging which are tightly controlled and are

accessible to those with appropriate access to the business continuity plans who 'need to know' for the purposes mentioned. Hard copies of the plans are stored in grab bags and electronic versions are stored on our secure networks and USBs with access controls set to those who need to know. In addition, in some areas business continuity cards exist to assist in incident management and your personal contact details may be documented.

For further information on how to exercise your information rights, please visit our website:
- <https://www.northyorkshire.police.uk/police-forces/north-yorkshire-police/areas/about-us/about-us/privacy-notice/>

Responsibilities

The Deputy Mayor and Chief Constable

- Are accountable to the public for ensuring that in their corporate capacity they consistently follow the principles of good corporate governance and internal control
- Will ensure that a business continuity management framework is in place to ensure the public receive an efficient and effective policing service in the event of an incident affecting Critical Functions to a pre-defined level

Deputy Chief Constable

- The Deputy Chief Constable is the Chief Officer Team (COT) lead for Operational Policing on business continuity management, advocating its importance throughout NYP and being responsible for compliance with Civil Contingencies Act and (together with the Chief Executive Officer for the overall co-ordination and implementation of the Business Continuity Procedures.

Chief Executive Officer (CEO)

- The CEO is the lead for business continuity management at the OPFCC, advocating its importance throughout and being responsible for compliance with Civil Contingencies Act and for the overall co-ordination and implementation of the Business Continuity Procedures

Head of Corporate Development

- The Corporate Development has corporate responsibilities for business continuity management, advocating its importance throughout the Organisation and being responsible for the overall co-ordination and (together with the Deputy Chief Constable/CEO/) implementation of the Business Continuity Procedures.

Joint Independent Audit Committee

- Will monitor the effective development and operation of business continuity and make recommendations as appropriate.

Risk Assurance and Improvement Board

- Will monitor the progress of business continuity and make recommendations as appropriate.

Command Team

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- Is kept updated in respect of business continuity management – whether by formal written report, or as part of core business

Gold Command

- Ensure BC is addressed during incidents.

Heads of Function

- Are responsible for the ownership of their respective plans and should ensure that they are developed, maintained, and exercised.
- Ensure BC is a consideration as part of working objectives across the organisation, and where identified BC Risks and impacts are managed to mitigate disruption.

Heads of Departments

- Identify, analyse and profile service critical functions.
- To provide assurance on the effectiveness of controls in place to mitigate/reduce disruptions within their service.
- To maintain awareness of and promote the Business Continuity Management Procedures to all staff
- Identify and enable a Business Continuity Co-ordinator to work with the Risk Team to develop the BCP
- Must inform the Risk Team of any Business Continuity Co-ordinators changes
- Must inform the Risk Team of any BC incidents.

All Managers

- Shall be aware of the contents of the Business Continuity Procedures
- Identify, analyse and profile service critical functions and prepare business continuity plans for their area of responsibility as required by Heads of Function
- Shall continually update business continuity arrangements within their sphere of work and keep their staff informed accordingly to ensure an efficient and effective response to business disruptions
- Identify and enable a Business Continuity Co-ordinator to work with the Risk Team to develop the BCP
- Must inform the Risk Team of any Business Continuity Co-ordinators changes

Project Sponsor

- Responsible for the management and development of BC both during the project delivery and following implementation to the organisation
- Identify, analyse and profile service critical functions that the project supports
- Provide assurance on the effectiveness of controls in place to mitigate/reduce disruptions once the project is implemented
- Shall continually update business continuity arrangements within their sphere of work and keep their staff informed accordingly to ensure an efficient and effective response to business disruptions

Risk Team

- Has day-to-day management of the BCMS regime
- Support the BCIMT
- Support BC Incident debriefs

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- Co-ordinate BC risks on ARM
- Maintain corporate BC incident register

Business Continuity Risk Manager

- In order to ensure co-ordination, the Business Continuity Risk Manager provides a range of support which include consultancy, guidance and information to both NYP and the Commissioner

Business Continuity Coordinators

- All departments and units will have identified Coordinators for each business continuity plan
- Coordinators will receive (where applicable) training and meet to discuss and develop good practice within the organisation.
- Responsible for the ongoing maintenance of the specific BCP's
- Inform the Risk Team if the Business Continuity coordinator is to change
- Support the departmental manager in keeping their staff informed accordingly to ensure an efficient and effective response to business disruptions

All staff

- All staff (where applicable) will be provided with sufficient information, instruction, training, and supervision to enable them to contribute to an efficient response to business continuity
- Ensure that they are familiar with the BCP's for their department/unit and any role they fulfill within those plans
- Maintain awareness of the BCM infrastructure and contribute where appropriate