



BUSINESS CONTINUITY PLAN

1.0. Objectives

- 1.1. To ensure that The Survey Initiative has appropriate contingency plans in place in the event of any issue or event occurring with the potential to significantly impact the organisation's ability to:
 - 1.1.1. Provide high quality services to its customer; and/or
 - 1.1.2. Maintain the confidentiality, integrity and availability of its information assets.

2.0. Scope

- 2.1. This plan applies to all processes, work activities and work areas under the control of the organisation.

3.0. Responsibilities

- 3.1. It is the responsibility of the Partners to ensure that sufficient resources are made available to enable this plan to be implemented, maintained and tested.
- 3.2. It is the responsibility of the Partners to ensure the implementation, maintenance and effectiveness testing of this plan and to report test results at management review meetings.
- 3.3. It is the responsibility of all employees to identify and report all instances that could impact the organisation's ability to provide services to its customers.
- 3.4. It is the responsibility of all employees to maintain awareness of the continuity arrangements detailed in this plan that are relevant to them and the responsibilities assigned to them.

4.0. Definitions

- 4.1. **Business continuity event (BCE)**: Any issue or event occurring with the potential to significantly impact the organisation's ability to provide high quality services to its customers, or maintain the confidentiality, integrity and availability of its information assets.

5.0. Associated Documents

- 5.1. All associated documents referred to in this procedure are highlighted in bold and underlined.

6.0. Testing

- 6.1. The arrangements detailed in this plan will be tested at least annually. Records of the test will be recorded using a **Business Continuity Test Record**.

7.0. Storage

- 7.1. This plan will be stored on the Document Drive.

8.0. Priorities

- 8.1. For all BCEs occurring, the following processes and activities are prioritised:

- 8.1.1. **Priority 1:** Ensure the safety and welfare of the organisation's employees, customers, contractors, visitors and the public;
- 8.1.2. **Priority 2:** Maintain customer access to the survey platform where required.
- 8.1.3. **Priority 3:** Restore access to employee email services;
- 8.1.4. **Priority 4:** Restore access to customer service software tools and supporting files;
- 8.1.5. **Priority 5:** Restore access to accounting software tools and supporting files;
- 8.1.6. **Priority 6:** Restore access to customer order processing tools and supporting files;
- 8.1.7. **Priority 7:** Restore access to all other business software tools and files;
- 8.1.8. **Priority 8:** Restore access to, and operation of, Abbey Farm premises.

9.0. Business Continuity Team

9.1. When a BCE arises, the Partners will be responsible for carrying out the tasks detailed in the table below:

| Name | Role | Responsibilities |
|---------------------------------|--|---|
| Gary Cattermole & Jaime Johnson | Partners | Declare a BCE live |
| Contact details | | Commandeer use of Teams (see Section 10) |
| Office: 01255 870735 | | Assemble the Business Continuity Team |
| Mobile: 07980 546 660 | | Direct resources and response actions to achieve priorities detailed in Section 8 |
| Home: | | Complete the Business Continuity Event Log (Appendix A) |
| Other: N/A | | Declare a BCE closed |
| | | Stand down the Business Continuity Team |
| | | Liaise with medical authorities and first aiders |
| | | Manage all HR issues including implementing teleworking, additional employee cover, contacting concerned relatives/partners |
| | | Provide status updates to employees |
| | Restore/maintain all IT and telecoms systems | |
| | Acquire replacement IT and telecoms systems as required | |
| | Restore/maintain/acquire physical working environment | |
| | Restore/maintain/acquire equipment and support services | |
| | Co-ordinate acquisition of office supplier/consumables | |
| | Co-ordinate transport/accommodation | |
| | Liaise with insurers/loss adjusters | |
| | Assess any vulnerabilities to information security systems (physical and digital) | |
| | Implement measures to ensure appropriate level of information security is maintained | |
| | Authorise spend to achieve business continuity measures required | |
| | Implement emergency procurement authorisation | |
| | Provide consistent status updated to customers/stakeholders experiencing use of service or communication issues | |
| | Issue instructions to staff on contingency measure to be implemented to minimise service/communication disruptions | |

10.0. Business Continuity Management Centres

- 10.1. In the event of a BCE, employees can telework until an alternative office space can be found. Using 'virtual' software such as a Teams meeting room or other videoconferencing technology.

11.0. Business Continuity Event (BCE) Analysis, Thresholds and Contingency

- 11.1. The events listed in the table below have been identified as BCEs that would adversely impact the company's prioritised activities. The threshold identifies at what point a BCE may be called. If the BCE is called, contingency measures to be taken are also detailed. If a threshold has been met, section 3 of the Business Continuity Plan (below) should be completed and then section 4 if required to maintain a record of the BC event.

| Event | Threshold | Contingency Measures |
|---|---|--|
| Flood | Premises and or office space flooding. | Teleworking |
| Fire/arson | Premises or fire nearby. In the immediate term due to the construction of the building and associated risk. | Teleworking |
| Bomb/terrorist threat | On receipt of a threat | Teleworking |
| Outbreak of disease | If the threat of spread is high with risk to life or where government advises. | Teleworking |
| Internet connection failure | If internet is down for more than 30 mins with no sign of our provider being able to correct. | Use mobiles as wi-fi source or Teleworking if longer term. |
| Utilities failure | If the utility is down for more than 30 mins with no sign of our provider being able to correct. | Teleworking |
| Email failure | If email is down for 30 mins | Microsoft 365 – Outlook online |
| Server failure | If the server is down for 30 mins | Microsoft Azure Active Directory has multiple failover points. If there was an issue with their systems it would failover to a backup system and run in what they call a "degraded" service. In this state it would simply take longer to access files. In a doomsday scenario all data could be restored to either Microsoft's systems or to a local pc in 24-48 hours. |
| Telephony failure | If telephony is down for more than 30 mins with no sign of our provider being able to correct. | Forward calls to mobiles |
| Office vandalism | If the furniture and IT has been destroyed. | Teleworking |
| Access to office denied by emergency services due to incident in immediate vicinity | Immediate. | Teleworking |

| Event | Threshold | Contingency Measures |
|---|--|--|
| Failure of key supplier | Failure to provide the service or went into liquidation. | Identify alternative providers |
| Workforce reduced due to adverse weather, strikes or some other external factor | Any event making it dangerous to get to the office. | Teleworking |
| Data Breach | Immediate. | Isolate affected systems to prevent further damage, switch to backup systems to minimise downtime, and ensure that critical functions remain operational. |
| Security incident | Immediate. | Contain the affected areas to prevent further harm, activate backup systems to maintain critical operations, and ensure business continuity while addressing the threat. |

12.0. Business Continuity Plan

12.1. Phase 0 – Assessment of potential up-coming Business Continuity Event (BCE)

12.1.1. Objective: ensure the event requires the invocation of a full Business Continuity response in order to manage its impact.

| TASKS TO BE COMPLETED | | | |
|--|---|----------------|---|
| Target completion time: dependant on length of advance warning | | | |
| No. | Task | Responsibility | Done? |
| 1 | If there is advance warning that a BCE may be triggered, ensure all relevant interested parties are informed of the possibility, as required: 1. People 2. Building, Landlord/ Neighbours 3. Facilities 4. IT 5. HR 7. CEO /Managing Partner 8. Customers | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 2 | Complete threshold trigger assessment (below) | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 3 | If BCE is not called, inform those interested parties that were warned it might be (as above). | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |

Record of Threshold being triggered:

| | | | |
|-------------------------|--|--|--|
| Date & Time: | | Event (from list above or other): | |
| Location: | | What happened to trigger threshold: | |
| Stand-down? | YES: <input type="checkbox"/> NO: <input type="checkbox"/> | Reason for stand-down: | |
| Completed By: | | Job Title: | |

PLEASE NOTE:

- IF A THRESHOLD HAS BEEN REACHED THEN THIS DOCUMENT BECOMES THE MAIN RECORD OF THE MANAGEMENT OF THE BUSINESS CONTINUITY EVENT (BCE).
 - COMPLETE THE RECORD AS APPROPRIATE FROM THIS SECTION DOWN.
- IF THE THRESHOLD WAS NOT REACHED
 - ONLY COMPLETE THIS PAGE (ABOVE).

12.2. Phase 1 – Initial incident response

12.2.1. Objective: Lead the management of the organisation's response to an incident so that all stakeholders understand what has happened and respond in an effective and co-ordinated manner.

| TASKS TO BE COMPLETED | | | |
|---------------------------------|--|--|---|
| Target completion time: 2 hours | | | |
| No. | Task | Responsibility | Done? |
| 1 | Begin log of actions taken (Business Continuity Event Log – Appendix A) | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 2 | Liaise with emergency services and obtain casualty update | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 3 | Declare BCE and activate Business Continuity Plan | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 4 | Initiate telephone cascade procedure (see Section 13) | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 5 | Convene Business Continuity Team at appropriate location (see Section 10) | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 6 | Implement any critical site safety and security measures | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 7 | Identify services, people and infrastructure affected and the scale of the impacts: <ul style="list-style-type: none"> • People • Facilities • IT • Customers • Information assets | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 8 | Confirm initial contingency plans to be implemented (see Section 11), resources and timescales | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 9 | Issue appropriate communications detailing scale of issue, impact, contingency plans, responsibilities and timeframes to: <ul style="list-style-type: none"> • Partners • Employees • Customers • Suppliers • Media | Partners Consider email, phone, website | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 10 | Authorise budget spend | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 11 | Advise insurers/finance providers as appropriate | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |

12.3. **Phase 2 – Recover service delivery and information security controls to normal**

12.3.1. Objective: Lead the management of the organisation's usual business activities so as to resume normal services and operations after a disruption and possible dislocation as quickly as possible.

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| TASKS TO BE COMPLETED |
| Target completion time: 2-8 hours |

| No. | Task | Responsibility | Done? |
|-----|---|----------------|---|
| 1 | Maintain Business Continuity Event Log (Appendix A) | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 2 | Make adjustments to office accommodation. Short term - instruction is that is Location X is destroyed, Location Y will assume responsibility for client service Medium/long term - authorisation of alternative temporary accommodation | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 3 | Assessment of communication methods - restoration/redirection Complete redirection of telephone/fax services/post/DX and restoration of email/internet facilities (as required) | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 4 | Acquire/install equipment: Telephones/faxes Temporary servers PCs/printers/copiers Post room facilities Stationery/general supplies | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 5 | Employee requirements: Accommodation Transport Catering Support (e.g. counselling services) | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 6 | Confirm all remote access systems and access to alternate data hosting sites are functioning. | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 7 | Obtain status report on affected site. Liaise with emergency services liaison officer/insurers as appropriate. | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 8 | Ensure measures in place to maintain information security during recovery process or compensating controls. | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |

| No. | Task | Responsibility | Done? |
|-----|---|--|---|
| 9 | Maintain appropriate communications detailing latest information regarding scale of issue, impact, contingency plans, restoration of operations plans, responsibilities and timeframes to: <ul style="list-style-type: none"> • Partners • Employee • Customers • Suppliers | Partners Consider email, phone, website | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |

12.4. **Phase 3 – Return affected facilities/assets to business as usual**

12.4.1. Objective: Lead the management of the recovery of all the organisation’s business activities and employees from temporary recovery sites to original workplaces or medium/long term alternative sites so as to resume business as usual after a disruption/dislocation.

| |
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| TASKS TO BE COMPLETED |
| Target completion time: TBC once scale of incident assessed |

| No. | Task | Responsibility | Done? |
|-----|---|----------------|---|
| 1 | Obtain site reports and make assessment of re-occupancy | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 2 | Assess accommodation requirements | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 3 | Define equipment requirements | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 4 | Restore communications facilities | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 5 | Assess information security issues and requirements | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 6 | Action data retrieval of: <ul style="list-style-type: none"> • Electronic data • Accounting and payroll Information • Personnel records • Reconstituted paper files | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 7 | Stand-down procedure | Partners | |
| 7a | Communication with Interested Parties: <ul style="list-style-type: none"> • Partners • Employees • Customers • Building Landlord/Neighbours • Suppliers • Media – Referencing Media Plan Consider email, phone, website | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 7b | Collation of documentation/ evidence - for any investigations, either internal or external, on the progress and management of the Business Continuity Event | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 7c | Tallying of costs: identify all costs linked to the BCE in order that the Partners have a complete picture of the financial impact | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |

12.5. **Phase 4 – Post-incident follow-up actions**

12.5.1. Objective: Review the cause of the disruption/dislocation, the incident response, occupation and set-up of recovery workplaces, the operation of all sales, marketing and support activities and the re-occupation and resumption of functions at the original site. This will help assess performance, learn lessons and ensure that individual employee needs have been and are continuing to be met.

| TASKS TO BE COMPLETED | | | |
|--|--|-----------------------|---|
| Target completion time: TBC once scale of incident assessed | | | |
| No. | Task | Responsibility | Done? |
| 1 | Initial internal enquiry. Determine enquiry leader, duration, terms of reference and report format. | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 2 | Initiate the enquiry, interview witnesses, review records, complete report | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |
| 3 | Review and take action. Following receipt of report, instruct an action plan to be prepared. | Partners | Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> |

13.0. **Communications**

13.1. When a BCE arises, communication to all employees will be undertaken by the Partners.

14.0. **Critical contacts**

14.1. Contact details of customers, service providers and suppliers etc can be found on cloud apps.

