Oxford City Council

Recovery Plan

Final Report

Version: 1.0 28 June 2006

Contents

1 Introduction

Oxford City Council has recently embarked upon a programme of activity to upgrade its business continuity plans to meet the requirements of the Civil Contingencies Act.

Following a business impact analysis (BIA) that identified the Council's recovery requirements, managers from key business units were invited to take part in a further workshop to consider strategies for recovering their services and meeting their recovery requirements. This document describes the proposed recovery strategy developed through the Strategy Workshop.

1.1 Disruption Scenarios

There are many different trigger events that may lead to some form of business disruption. Examples include fire, flood, explosion, server failure, theft, contamination, civil action and flu pandemic.

Regardless of the trigger event however, there are broadly five main disruption outcomes, which will be addressed by Oxford City Council's Recovery Strategy:

1. Denial of access - staff are unable to gain access to a Council building (or buildings); systems and services are unaffected.
   (Examples: security threat, water contamination, or a serious event at a building within 400 metres of a Council building)

1   Loss of building - all or part of an OCC building is damaged or destroyed; some or all systems could be affected (Examples: fire, flood, structural damage)
2   Failure of a critical IT service or system -some or all critical IT or telephone systems are unavailable (Examples: server failure, network problem)
3   Failure of a critical supplier - the provision of a critical service upon which the Council depends is lost or delayed (Examples: utility companies, IT/telecoms providers)
4   Unavailability of key staff - key members of staff (or groups of staff) are not available to support critical services/activities (Examples: personal injuries, pandemic flu)

The Strategy Workshop explored a number of options to reduce the impact of a disruption, by increasing resilience and/or by identifying mechanisms for recovering operations after the disruption has occurred. Key elements of the proposed recovery strategy are outlined in the sections below.

1.2 Recovery Strategy Elements

The Recovery Strategy considers the worst case disruption scenarios and has been broken down into:

        Accommodation (denial of access or loss of one or more OCC buildings)
        ICT systems (failure of one or more critical ICT systems)
        Critical suppliers (loss or delay to a service provided by a critical supplier)
        Key staff (loss of one or more key staff members)

2 Accommodation

For the purposes of the accommodation recovery strategy, we have divided OCC's offices into four major zones, shown below, covering areas with the highest concentration of employees.

The circles represent a standard 400m cordon around Council buildings; a major incident affecting the Town Hall, for example, is likely to similarly affect other central Oxford buildings and they have therefore been considered as a single location in developing the strategy.
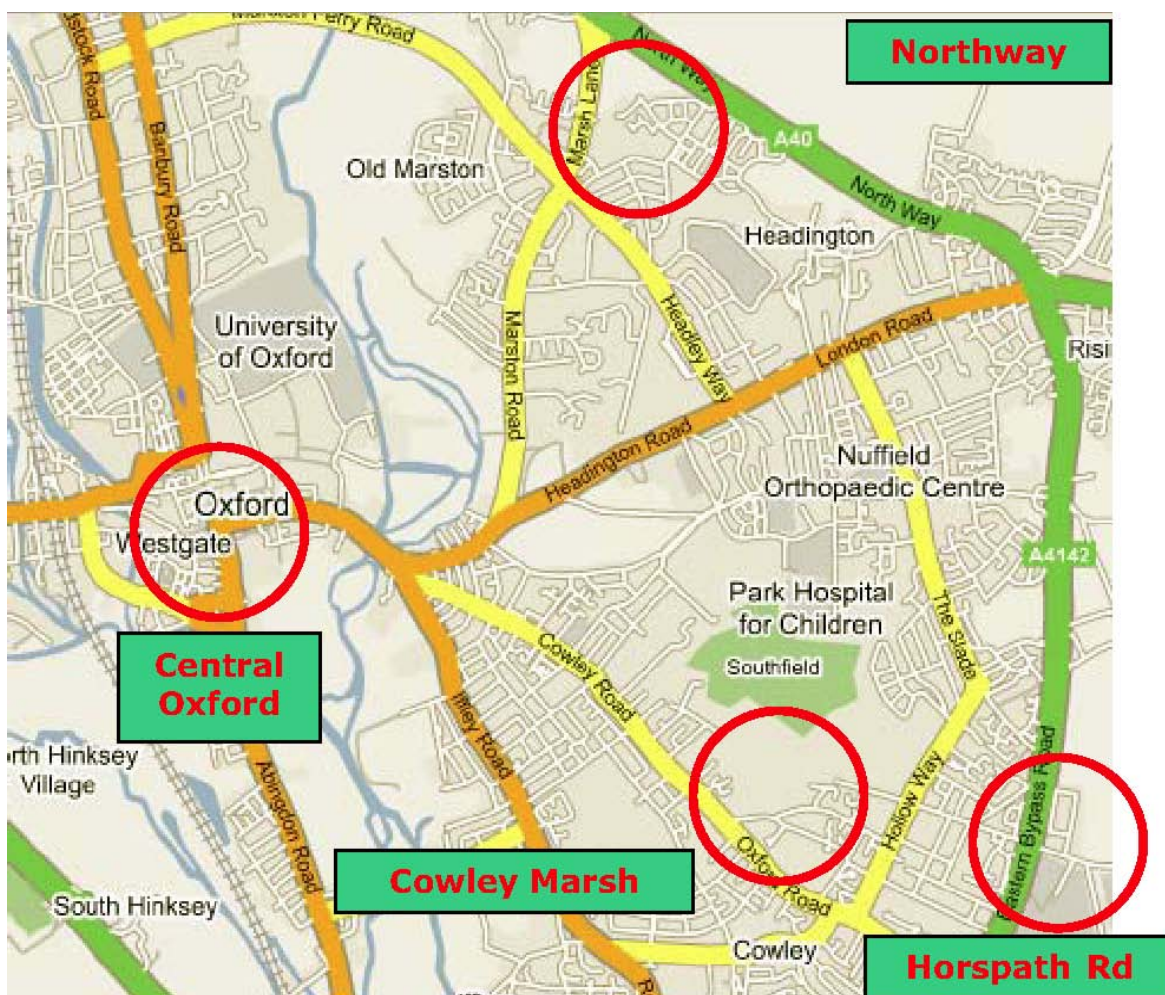
The locations and sizes of the Council's offices allows us to devise a recovery strategy based upon the relocation of critical staff to unaffected offices, displacing non-critical staff where necessary.

2.1 Recovery Locations

Given the geographical spread of the various locations, we have assumed that a disruption event will affect only one of the four locations. Using the information collected during the BIA, the following recovery positions should be available for those critical staff displaced by an incident.

Location	Total Number of Positions	One Week Recovery Requirement	Number of Positions Available if non-critical staff displaced
Central Oxford	741	67	674
Cowley Marsh	50	12	38
Horspath Road	100	6	94
Northway	30	5	25

2.2 Relocation Strategy

In the event of a disruption, critical staff will relocate to their designated recovery location (as outlined in the table below). Staff who have not been allocated places will be asked to stay at home or work remotely if that facility is available.

Location Affected	Desks Required [1]					
	Day 1	Day 2	Day 3	Day 4	Day 5	Week 2
Central Oxford Relocate staff to:	35	38	44	66	67	78
Horspath Road	35	38	44	66	67	78
Cowley Marsh Relocate staff to:	6	10	12	12	12	20
Horspath Road	6	10	12	12	12	20
Horspath Road Relocate staff to:	6	6	6	6	6	10
Cowley Marsh	6	6	6	6	6	10
Northway Relocate staff to:	5	5	5	5	5	15
Horspath Road	5	5	5	5	5	15

[1] Details of desk requirements by business unit for central Oxford locations are shown in Appendix A.

The following text describes the relocation strategy in more detail.

Disruption affects Central Oxford

Horspath Road will be the primary relocation site following a disruption. Local, non-critical staff will be displaced from Horspath Road to meet this requirement.

From Week 2 onward, additional requirements will be met at Cowley Marsh and Northway. This will leave a potential shortfall of 26 work positions, which could be provided by utilising meeting room space (at Horspath Road) and sourcing the additional desks and PCs required.

In the event of a disruption affecting a single central Oxford building, priority staff should be relocated to Horspath Road in the first instance. Staff can then be found positions in other central Oxford buildings if it is considered to be more appropriate at the time

Requirements for meeting rooms and a reception area are not needed for the first few days to support Priority One activities, and should therefore be reviewed at the time of an incident, against available space at Horspath Road

Disruption affects Cowley Marsh or Northway

- Where a disruption affects either Cowley Marsh or Northway, priority staff will be relocated to Horspath Road

Disruption affects Horspath Road

- Following a disruption affecting Horspath Road, priority staff will be relocated to Cowley Marsh

3 ICT Systems

This section describes how the Council will respond/recover from disruptions to its Information and Communications Technology (ICT) infrastructure.

3.1 IT Systems

We understand the Council has a disaster recovery (DR) contract with NDR. This provides for a number of replacement servers to be shipped to the Council's offices in the event of a disruption.

Part of this service provides for the servers to be delivered to Horspath Road on a mobile unit and for the mobile unit to be connected into the Council's network - thereby acting as a mobile computer room.

This contract already provides for the majority of the critical systems identified during the BIA. All systems currently covered by the contract are shown in Appendix C; those not included are discussed below.

System	Comment
Internet	Stand-alone internet (web browsing) could be provided from a small number of PCs
Compel	Not currently provided. Assuming the key requirement is for contact details (staff and next-of-kin), this could be provided using a monthly extract onto CD/paper
PNC4	This is a hosted service (Tunstall Telecom)
GGP Mapping	System to be replaced – new system will be included in DR
IDOX	Measures to be put in place
Leisure Flex	Contingency plans to be put in place
Pickwick	A temporary stand-alone back-up solution will be established

All other systems will be provided from Day 5 onward.

3.2 Telephony

There are currently three (linked) Mitel switches. These are based at the Town Hall, Cowley Marsh and Horspath Road. Business Systems has established that calls can be easily transferred from one location to another.

4 Critical Suppliers

While OCC uses many suppliers to support its activities, it has a critical dependency on a small number of key suppliers.

The following organisations are critical suppliers to the Council:

Organisation Name	Activity / Service
Tunstall Telecom	Elderly Services
Contract Security Services	Cash collections
Mitel	Telephone system

For these key external dependencies, the Council should seek to understand its level of vulnerability and consider whether there are any options for mitigating the potential risk of one of these suppliers failing to provide their normal service, for whatever reason.

4.1 Current Suppliers

The Council will establish the existing business continuity capability of its key suppliers. This may be carried out as part of a regular service review: Appendix B.3 includes a number of business continuity-issues that may be incorporated into the review for this purpose.

Should a review highlight that the existing capability is not sufficient to ensure continuity of supply, an alternative supplier should be identified or measures put in place to ensure that the capability is improved to an acceptable level. If the Council decides to continue to depend on a supplier that has not demonstrated an acceptable level of business continuity, the identified risk should be formally acknowledged, documented and monitored.

4.2 New Suppliers

When dealing with new suppliers the Council should establish their current business continuity capabilities and therefore the level of risk associated with accepting them as a supplier (Note: we understand some of this information is already collected, but may not be formally assessed). The following approaches should be considered:

1   An initial set of questions with a business continuity perspective, asked by the relevant buyers, can be used to satisfy themselves that the supplier takes a responsible attitude to the management of risk and can ensure continuity of supply (see Appendix B.1)
2   A more formal set of statements and questions can be included within tender documents (see Appendix B.2)

5 People Issues

5.1 Key People

The BIA Workshop identified a number of people as being critical to the completion of key activities. The assessment criteria used to identify key people were:

The activity requires key skills, knowledge or qualification
The required skills/knowledge/qualification is not readily available elsewhere within the authority

The table below highlights activities where a single named person has been identified, and the activity has been designated as Priority One following a disruption.

Team	Activity / Service	Key People
City Works	Winter maintenance Flooding/drainage	Ian Bourton Ian Bourton
Neighbourhood Renewal	Supported Housing Rough Sleepers	Nerys Parry

In addition, a number of Priority Two and Three activities highlighted in the BIA report were also allocated to single, named key people.

To mitigate the impact of a disruption, the Council's strategy is for these business units to increase their resilience and/or develop appropriate contingency arrangements to ensure the continuity of these activities. Each Business Unit Head will:
Develop and implement succession plans for key people
Establish a suitable level of cross-training to ensure that roles are covered to the required level of competence
Where appropriate, develop written procedures that can be used by other staff to fulfil priority activities

5.2 Large Scale Absence

At the time of developing business continuity plans, each business unit will consider the minimum number of staff required to continue its activities. Should staff absence reach levels at which normal operations cannot be maintained, affected business units will focus on Priority One, Two and Three activities only, suspending other activities. If absence levels increase further, Priority Three activities will be suspended, and so on.

In addition to the measures outlined in 5.1 above, each Business Unit Head will:
Identify other departments within the Council who can cover priority activities
Identify agencies that could provide replacement staff
Identify other authorities or external organisations to whom work could be transferred

Appendix A – Workspace Requirements

The following table outlines the agreed workspace requirements within the first two weeks of a disruption for business units based at central Oxford locations.

Team	Normal Level	Day 1	Day 2	Day 3	Day 4	Day 5	Week 2
Built Environment (Building Control)	17	4	4	4	4	4	4
Built Environment (Building Design)	8	1	1	1	1	1	3
Business Systems	27	5	5	5	5	5	5
Customer Services	50	1	2	2	10	10	10
Environmental Health	51	2	2	2	2	2	2
Facilities Management (Excluding Telephony)	24	1	2	3	3	3	3
Facilities Management (Telephony)	4	6	6	6	6	6	6
Financial & Asset Mgmt	30	-	1	3	3	3	4
Financial & Asset Mgmt (Payments)	8	-	-	1	2	2	3
Financial & Asset Mgmt (Property)	11	1	1	1	1	1	3
Housing Services	121	7	7	7	10	10	10
Human Resources	28	2	2	2	3	3	4
Legal & Democratic Svcs (Democratic)	7	-	-	-	-	-	-
Legal & Democratic Svcs (Electoral)	4	-	-	-	-	-	-
Legal & Democratic Svcs (Legal)	30	1	1	1	1	1	1
Neighbourhood Renewal	60	1	1	1	1	1	3
Planning	50	-	-	-	-	1	2
Revenues & Benefits	102	-	-	2	10	10	10
Strategy & Review	35	2	2	2	2	2	2
Transport & Parking	26	1	1	1	2	2	3
TOTAL	693	35	38	44	66	67	78

Appendix B – Supporting Tools - Critical Suppliers

B.1 - Questions for Suppliers

The following set of questions could be used as the basis for preparing a briefing note for buyers. It is envisaged that a buyer, when considering a new supplier, should ask the following questions to satisfy themselves that they fully understand the supplier's approach to ensuring continuity of supply.

1   Within the last 3 years have there been any occasions when your business operation has been disrupted? If so, what were the circumstances? What was your response? What was the effect upon your customers?
2   If you were to suffer a disruption that affected your ability to meet your delivery deadlines (e.g. fire at your main location, transport problems, etc), what plans do you have in place to deal with a) the effect upon your customers and b) recovering your business?
3   Who is responsible for business continuity within your organisation?
4   In the event of a disruption, who would be the person responsible for managing your company's response?

B.2 - Formal Tenders

The following text should be considered for inclusion within any formal tender documents issued to potential suppliers.

Statement

The following statement will highlight the commitment of an organisation and set a benchmark against which the supplier may be assessed.

Oxford City Council has an ongoing Business Continuity Management programme. The key elements of this programme are as follows:

        Ensuring that any risks, threats or vulnerabilities that may affect our ability to meet our business objectives are fully understood and that suitable countermeasures are in place to manage these risks
        Ensuring that the potential impacts of an unplanned disruption upon our critical business operations are fully understood
        The development, implementation and documentation of suitable response strategies that will be invoked in the event of an unplanned disruption that affects or may affect our critical business operations
        Procedures to ensure that risks, impacts and strategies (see above) are reviewed and updated on a regular basis
        A regular programme of testing and rehearsal to ensure the viability of our response strategies and the familiarisation of staff with any actions expected of them

Questions

The following questions may be included within any formal tender documents produced.

1   What is your approach to risk management?
2   Do you have a formal business continuity management programme? If so, please outline the process and describe any actions undertaken within the past 12 months and the outcomes of such actions
3   What documents are available to support your answers above? Are these available for our review (we appreciate that such a review may be subject to some form of confidentiality agreement)?
4   Within the last 3 years have there been any occasions when your business operation has been disrupted? If so, what were the circumstances? What was the effect upon your customers?
5   Do you have a strategy for ensuring continuity of supply from your critical suppliers? If so, please outline your strategy
6   Who is responsible for business continuity within your organisation?
7   Please describe your strategy for ensuring that the services described within this tender are delivered in the event of a disruption affecting your business
8   In the event of a disruption, who would be the person responsible for managing your company's response?
9   In the event of a disruption, what would be the trigger point for you to contact us? How would you keep us updated?

B.3 - Agenda for Service Review

The following items could be considered for incorporation into regular service review meetings.

        Service disruptions - Have there been any examples of disruptions to normal or expected service levels since the last review meeting?
        Planned changes - Is the supplier planning any changes to its normal operating methods that may increase the risk of a disruption to normal or expected service levels?
        Personnel changes - Have there been any changes to any of the personnel involved in risk management, business continuity, crisis management or emergency response?
        Business Continuity Capability - Briefly describe (or re-state) the supplier's current business continuity capability and any planned upgrades / changes. In particular, confirm the timescales for recovery of those services that are considered most critical.
        Testing - What testing of the supplier's business continuity capability has been undertaken since the last service review meeting? What testing of the supplier's business continuity capability is planned to take place prior to the next service review meeting?

Appendix C – IT Systems Covered by DR Contract

This table is reproduced from the Business Systems Emergency and Disaster Recovery Plan v6 (release date 21/10 2005).

System	Use	NDR Provide	OCC Provide
Academy	Benefits, Council Tax and NNDR	1 x Sun	
SX3 HMIS	Housing rents and allocations	1 x Sun	
Anite	Document imaging processing	1 x Windows	
Uniform	Basic Planning, Environmental Health, Building Control and Land Charges database only	1 x Windows	
Agresso	Finance system	1 x Windows	
Agresso	Payroll system	1 x Windows	
Email	The Council's email system	2 x Windows	
Servitor	OBS job management (housing repairs)	2 x Windows	
System	Active directory + printing set up	1 x Windows	
CRM	City Work call logging	1 x Windows	
XLPrint	Printing services		1 x Windows
Firewall	Mail firewall for external services		1 x Windows
DTI	Housing print server		1 x Windows

Notes: 1) Xtreme firewall for external mail to be sourced at invocation 2) Backup server to be sourced at invocation

Appendix D - Critical Staff Requirements

The following table indicates the minimum number of staff required to complete priority activities following a disruption. This information has been reproduced from the original Business Impact Analysis (BIA) report.

Note: Not all critical staff require a workspace position (see Appendix A) to complete their key tasks.

Team	Normal Level	Day 1	Day 2	Day 3	Day 4	Day 5	Week 2
Built Environment (Building Control)	17	4	4	5	6	6	6
Built Environment (Building Design)	8	2	2	3	3	3	3
Business Systems	27	5	10	10	10	10	15
Customer Services	50	7	16	16	16	16	25
Environmental Health	51	5	5	5	5	5	5
Facilities Management (Caretakers etc)	30	3	3	3	3	3	10
Facilities Management (Switchboard)	4	2*	2*	2	2	2	3
Facilities Management (Town Hall)	16	3*	3*	3	3	3	3
Facilities Management (Post etc)	15	3*	3*	4	4	4	8
Financial & Asset Mgmt	30	2*	2*	3	3	3	4
Financial & Asset Mgmt (Payments)	8	4*	4*	4	5	5	5
Financial & Asset Mgmt (Property)	11	2*	2*	2	2	2	3
Housing Services	121	20	20	20	30	30	40
Human Resources	28	1	2*	2	3	3	4
Legal & Democratic Svcs (Legal)	30	6	6	6	10	10	12
Legal & Democratic Svcs (Democratic)	7	2*	2*	7	7	7	7
Legal & Democratic Svcs (Electoral)	4	2	3	4	4	4	4
Neighbourhood Renewal	60	3	3	5	5	5	10
Planning	50	0	2*	7	7	7	15
Revenues & Benefits	102	15*	15*	20	20	20	45
Strategy & Review	35	4*	4*	4	4	4	4
Transport & Parking	26	20	20	20	20	20	20
Chief Executive	8	1	1	1	1	1	2
Area Coordinators	3	-	-	-	-	-	-
TOTAL (Central Oxford)	741	116	134	156	173	173	253

Team	Normal Level	Day 1	Day 2	Day 3	Day 4	Day 5	Week 2
City Works	206	120	120	120	120	120	120
Leisure & Culture Services	400	50	50	50	50	50	150
Oxford Building Solutions	309	20	20	20	20	20	40

Management Sign-Off

The business continuity strategy outlined in this document has been accepted by Oxford City Council.

All necessary arrangements (for example changes to management processes, implementation of additional recovery facilities and development of business continuity plans) required to ensure the successful invocation of the strategy will be implemented in a timely manner.

Approved on behalf of Oxford City Council:

Name

Position

Signed

Date