

Policy

Business Continuity Management Policy

July 2021

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Part A Preliminary

1 Purpose

- 1.1 This Policy outlines the City of Newcastle's (CN) Business Continuity Management (BCM) Framework (the Framework) and measures that assist to:
 - 1.1.1 minimise the impact of incidents, disruption and emergencies;
 - 1.1.2 safeguard CN's critical services and functions; and
 - 1.1.3 support the effective return to normal operations and enhance capability and organisational resilience.
- 1.2 The Framework, as outlined in this Policy, has been established to ensure that CN can continue to deliver critical business functions if an incident, disruption or emergency causes disruption that is beyond CN's business as usual capabilities.

2 Scope

- 2.1 This Policy applies to all CN employees, contractors, volunteers and applies and incorporates business continuity responsibility into all areas of CN's operations.
- 2.2 It does not apply to external agencies that may assist in a business continuity event (an incident, disruption or emergency that impacts CN operations).

3 Principles

- 3.1 The Framework, as outlined in this Policy, has been designed to adhere to the following principles and in doing so, CN commits to:
 - 3.1.1 **An all hazards approach** – BCM response strategies will focus on the outcome and management of the disruption rather than the cause.

Alternative operating arrangements will be developed to address loss or reduced access to buildings or infrastructure, information and communications, technology and/or impact to employees.
 - 3.1.2 **Scalable and adaptable** – CN will utilise the Framework to manage any incident, disruption or emergency regardless of the severity, size or complexity, ensuring appropriate capabilities are available and prepared, supporting flexibility and agility in CN's response.
 - 3.1.3 **Promotion of local decision making** – The Framework will provide CN with a structure to prepare, plan, respond and recover. This will support employees to make informed decisions and allow decisions to be made at the appropriate level to address emerging needs.
 - 3.1.4 **Collaboration and productive relationships** – CN will provide clarity around the roles and responsibilities of relevant employees, with structured escalation and communication pathways to encourage action and conversation in the planning, response and recovery stages.
 - 3.1.5 **Culture of continuous improvement** – CN will review and test the Framework annually to build awareness and capability. Further, CN will allow for clear and effective de-briefs post event and will provide consistency to support shared learnings.
 - 3.1.6 **Health, wellbeing and safety** - CN's priority will always be the immediate and ongoing safety of all CN employees, contractors, and volunteers as well as the community.

Part B Business Continuity Management

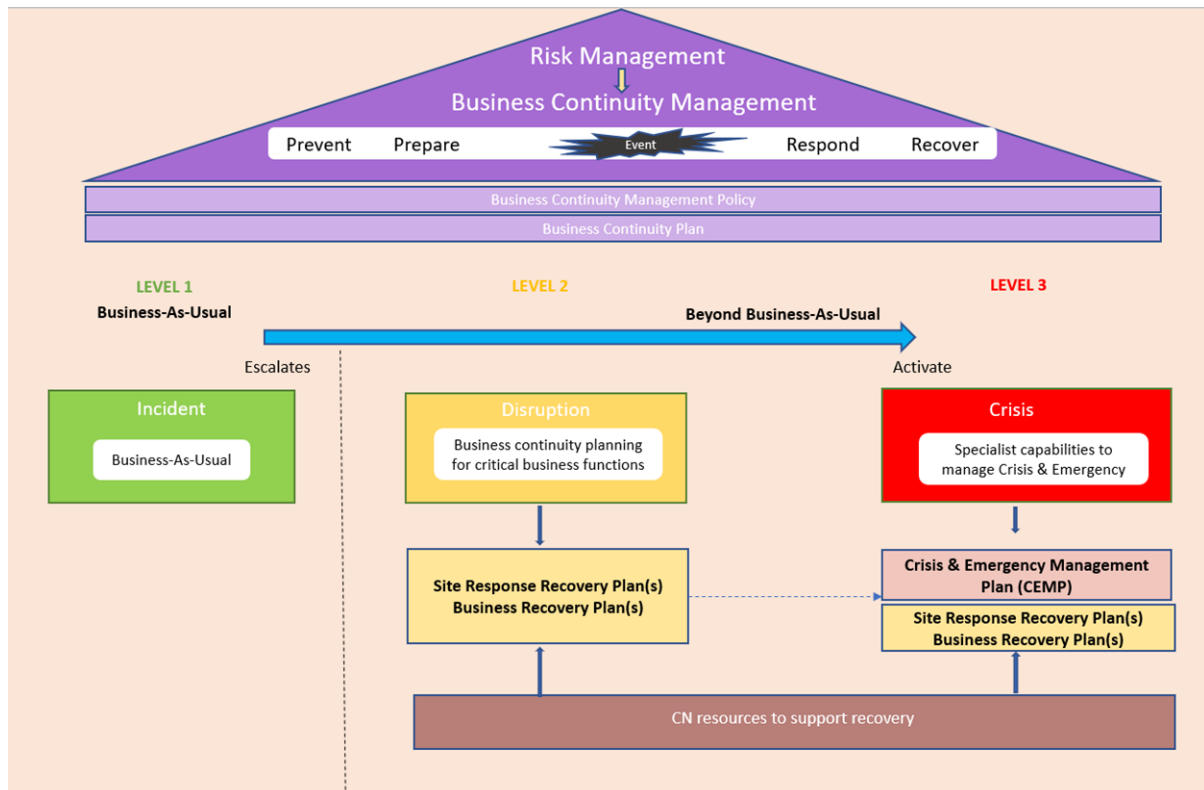
4 Objectives

- 4.1 The objectives of the Framework are to ensure that during an incident, disruption or emergency, CN:
- 4.1.1 has available key resources necessary to operate critical business processes;
 - 4.1.2 maintains employee, stakeholder and community contact and confidence;
 - 4.1.3 fulfils its legislative compliance responsibilities;
 - 4.1.4 appropriately controls and monitors extraordinary expenditure resulting from the incident, disruption or emergency;
 - 4.1.5 controls risk priority areas; and
 - 4.1.6 safeguards the reputation of CN and the local government area.

5 Business Continuity Management Framework

- 5.1 The Framework comprises:
- 1. Business Continuity Management (BCM) Policy;
 - 2. Business Continuity Plan (BCP);
 - 3. Business Continuity Management Framework Diagram;
 - 4. Business Recovery Plans;
 - 5. Supporting Business Impact Analyses (BIA's) and Process Maps;
 - 6. IT Disaster Recovery Plan / Business Continuity Plan;
 - 7. Crisis and Emergency Management Plan (CEMP); and
 - 8. Site Emergency Response and Recovery Plans.

5.2 The following diagram summarises the practical operation of the Framework:



5.3 The Framework provides for:

- 5.3.1 A scalable approach to activating the BCM processes, depending upon the complexity and severity of an incident or disruption. This shall be activated in line with the appropriate triggers outlined within the Framework.
- 5.3.2 The appropriate level of resources to ensure that BCP initiatives and actions can be implemented.
- 5.3.3 A practical approach which is easily engaged in the event of an incident, disruption or emergency.
- 5.3.4 Further details, including roles and responsibilities, are outlined in the CN Business Continuity Plan and the Crisis and Emergency Management Plan.

6 Review

6.1 The Framework will:

- 6.1.1 Be annually reviewed and updated where necessary, including the periodic review of the Business Impact Analysis upon which the Business Recovery Plans are based.
- 6.1.2 Be regularly tested and validated through exercises and scenarios for employee training and evaluation purposes.
- 6.1.3 Encourage the active participation of employees in business continuity matters to ensure that key personnel can perform competently during a major incident, disruption or emergency.
- 6.1.4 The review will be managed and organised by the Risk and Audit Service Element.

Part C Roles and Responsibilities

7 CEO

7.1 The CEO is responsible for the:

7.1.1 Activation of the BCP and CEMP.

7.1.2 Leading and championing a culture of responsible BCM.

8 Directors and Service Unit Managers

8.1 CN Directors and Service Unit Managers are responsible for:

8.1.1 Being the custodians of BCM capability within their Directorate/Service Unit, including the development, maintenance and validation of their specific BCP information (including Business Recovery Plans) and the management of any risks relating to BCM.

8.1.2 Developing and supporting a culture of responsible BCM within their Directorate/Service Unit.

8.1.3 Regularly reviewing Directorate/Service Unit activities to ensure that critical processes and systems are addressed through periodic business impact analysis activities.

8.1.4 Enacting BCP where appropriate.

9 Legal (Risk and Audit Service Element)

9.1 The Risk and Audit Service Element is responsible for:

9.1.1 Overseeing and monitoring the development, implementation, resourcing and maintenance of the Framework.

9.1.2 Provision of training opportunities for persons responding to incidents and emergencies.

9.1.3 Co-ordination and facilitation of an annual review of, and test of the Framework.

9.1.4 At least annual reporting to the Governance and Risk (Executive) Committee (GREC) on the status and effectiveness of the Framework.

9.1.5 Ensuring that there is an integrated and co-ordinated approach to risk management, business continuity and emergency management.

10 Chief Information Officer

10.1 The Chief Information Officer is responsible for the development, testing and activation of the IT Business Continuity Plan and the IT Disaster Recovery Plan.

11 All employees

11.1 All employees should be aware of BCM framework and business continuity planning.

12 Third party dependencies

12.1 All planning, negotiating and managing of outsourced agreements with third parties that provide critical service, will comply with CN's risk tolerance and prescribed continuity planning. Critical external service providers must be required to demonstrate that they have adequate BCP's in place (or bridging arrangements).

Annexure A – Definitions

Business Continuity Management (BCM) means the process of putting in place plans, procedures, guidelines and Emergency Action Plans to support efforts in maintaining continuity of business during a disruptive or emergency event.

Business Continuity Plan (BCP) means a documented collection of strategies and actions for use by CN in a disruptive event to enable a critical business function to continue to deliver its services to an acceptable minimum level and transition to normal operations.

Business Impact Analysis (BIA) means a risk-based assessment used to identify the service units' critical systems and business processes.

Business Recovery Plans provide the information for the service units to recover their critical processes for the Business Continuity Plan to be put into action.

Disruption means a disturbance or problems which interrupt an event, activity, or process.

Emergency means a serious, unexpected, and often dangerous situation requiring immediate action.

Incident means an event, occurrence or set of circumstances that: has a definite spatial extent, has a definite duration, calls for human intervention, has a set of concluding conditions that can be defined, is or will be under the control of an individual who has the authority to make decisions about the means by which it will be brought to an end.

Document Control

Policy title	Business Continuity Management Policy
Policy owner	Manager Legal
Policy expert/writer	Manager Risk and Audit
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Procedure owner (if applicable)	N/Ar
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Details of previous versions	N/A
Legislative amendments	Nil
Relevant strategic direction	Open and Collaborative Leadership
Relevant strategy	Nil
Relevant legislation/codes (reference specific sections)	Nil

Other related policies/ documents/ strategies	Business Continuity Framework
Related forms	Nil
Required on website	Yes
Authorisations	Functions authorised under Annexure B of this Policy