Agenda Item	**9**
Report No	**RES 34/15**

The Highland Council

Resources Committee – 27 May 2015

Finance Service's Business Continuity Plan (BCP)

Report by Director of Finance

Summary

This report introduces the Finance Service's Business Continuity Plan (BCP). This plan identifies key business activities delivered by the Service. It has been prepared according to a methodology agreed by the Executive Leadership Team which identifies key activities which must be maintained against a range of timeframes. Once the Service's BCP is formally adopted, it becomes an integral part of the Council's overall General BCP. Any identified training for staff in the activation of the Service's BCP will follow, as will testing and periodic (annual) review.

1. Background

1.1 The Finance Service's BCP has been drawn up in response to the requirements of the Civil Contingencies Act as well as it being good business practice. It seeks to identify how key activities will continue to be delivered during a major incident .

1.2 Key business activities were identified by a working group of Service managers who, using a risk matrix, identified and assessed the likelihood and impact of the loss of these activities. The risk scoring which followed allowed the team to rank these risks and to prepare specific arrangements to mitigate them.

2. Approach

2.1 As agreed by the Executive Leadership Team, the approach throughout has been to concentrate on consequences rather than trigger events, i.e. dealing with overall impacts rather than concentrating on a wide range of scenarios; for instance, key activities could be affected by a range of events that cause loss of staff (e.g. widespread illness, industrial action, severe weather) but loss of staff remains the outcome.

2.2 BCP has been a new activity for some managers and there was a need to assist the working group, particularly in carrying out a business impact analysis. This element of the approach is fundamental in identifying those key areas which are priorities for the business.

3. Monitoring and Performance Reporting

3.1   Progress in further development of the BCP will be monitored periodically by the Executive Leadership Team at no more than a quarterly interval and by Internal Audit at no more than an annual basis.

3.2   Once the Service's BCP is adopted, it becomes an integral part of the Council's overall General BCP. This overall General BCP will be presented to committee when all Services' BCPs are adopted.

4.   Implications

4.1   There are no Legal, Equalities, Climate Change/Carbon Clever, Gaelic or Rural implications arising as a direct result of this report.

4.2   Resource and Risk implications are noted throughout the BCP itself.

4.3   There is a follow-on time commitment required to meet training and exercising needs as the BCP is further developed.

Recommendation

The Committee is invited to comment on and agree the Service's BCP which will then become part of the Council's overall General Business Continuity Plan.

Designation: Director of Finance

Date: 13 May 2015

Authors: Allan Gunn, Head of Revenues and Business Support and
                    David Robertson, Head of Corporate Finance, Finance

THE HIGHLAND COUNCIL

SERVICE BUSINESS CONTINUITY PLAN FOR FINANCE SERVICE

BC Plan Owner: Derek Yule, Director of Finance
Release Date: 28 05 2015
Review Date: 28 05 2016

DISTRIBUTION LIST

Copy Number	Name	Location
1	Finance Senior Management Team	Headquarters, Glenurquhart Road
2	Corporate Finance Team	Headquarters, Glenurquhart Road
3	Revenues and Business Support Team	Headquarters, Glenurquhart Road

REFERENCES AND RELATED DOCUMENTS

Document Title
The Highland Council General Business Continuity Plan Version 1.4
The Finance Business Impact Assessment Table

AMENDMENT LIST

Amendment Number	Reason for Amendment	By Whom
V1	Issued to Resources Committee for approval	Allan Gunn

FINANCE SERVICE BUSINESS CONTINUITY PLAN

1. **AIM**. The aim of the Finance Service Business Continuity Plan (BCP) is to maintain the delivery of key services within critical business areas in the event of a major incident.

2. **OBJECTIVES**. The BCP has several inter-related objectives, namely to;

   - Identify and prioritise critical business areas,
   - Complete a business impact analysis,
   - Identify where mitigatory actions or risk reduction can be applied,
   - Detail the immediate response to a major incident, and
   - Review and update the plan on a regular basis or in light of a real incident.

3. **CONSEQUENCES**. The Finance Service BCP identifies the actions required to deal with a range of risks to a number of identified critical business areas. These risks have been identified on the basis of consequences rather than trigger events since, for instance, "loss of staff" can arise from a number of different triggers (e.g. industrial action, illness, severe weather). The BCP therefore focusses on consequence management.

4. **CRITICAL BUSINESS AREAS**. Critical business areas have been identified through conducting a Business Impact Analysis (BIA) for the Finance Service. The BIA is an integral part of the Finance Service BC Plan since it identifies the relative importance of each critical business area and also ranks these on the basis of those critical business areas which;

   - Must be kept functioning 24/7 if immediate serious consequences are to be avoided,
   - Could accept a business interruption of up to 3 days before having serious consequences, and
   - Could accept a business interruption of up to 7 days before having serious consequences.

5. **ACTION PLANNING**. The BIA also assesses the likelihood of any particular risk occurring and ranks the risk accordingly. A series of action plans, for dealing with each of these risks to the delivery of critical services and activities, is required.

FINANCE SERVICE BUSINESS IMPACT ANALYSIS (BIA) TABLE

Risk Number	Critical Business Area	Loss of Staff a.	Loss of Buildings b.	Loss of Communications c.	Loss of ICT d.	Loss of Internet e.	Loss of Utilities f.	Loss of Internal Suppliers g.	Loss of External Suppliers h.	Excess Demand i.	Loss of Critical or Sensitive Data j.	Loss of Reputation k.	Risk Owner
24/7													
FIN 01	Monthly Payroll Production	Y 2,4=8	N	N	Y 2,4=8	Y 2,4=8	Y 1,5=5	N	Y 1,4=4	N	N	Y 3,4=12	**David Robertson**
FIN 02	Housing Benefit Payments	Y 2,4=8	N	N	Y 2,4=8	Y 2,4=8	Y 1,5=5	N	Y 1,4=4	N	N	Y 3,4=12	**Allan Gunn**
FIN 03	Crisis Grants	Y 3,4=12	N	N	Y 3,4=12	Y 2,4=8	Y 1,5=5	N	Y 4,4=16	N	N	Y 4,4=16	**Allan Gunn**
Up To 3 Days													
FIN 04	Housing Benefit Administration	Y 3,4=12	N	N	Y 2,4=8	Y 2,4=8	Y 1,5=5	N	Y 2,4=8	N	Y 1,5=5	Y 1,5=5	**Allan Gunn**
FIN 05	Treasury Management	Y 1,4=4	N	N	Y 1,4=4	N	Y 1,4=4	N	Y 1,4=4	N	N	Y 1,4=4	**David Robertson**
Up To 7 Days													
FIN 06	Council Tax	Y 1,3=3	N	N	Y 1,3=3	Y 2,4=8	Y 1,3=3	N	Y 1,3=3	N	Y 1,4=4	Y 1,4=4	**Allan Gunn**
FIN 07	CTR Administration	Y 1,3=3	N	N	Y 1,3=3	Y 2,4=8	Y 1,3=3	N	Y 1,3=3	N	Y 1,4=4	Y 1,4=4	**Allan Gunn**
FIN 08	NDR Collection	Y 1,3=3	N	N	Y 1,3=3	Y 2,4=8	Y 1,3=3	N	Y 1,3=3	N	Y 1,4=4	Y 1,4=4	**Allan Gunn**
FIN 09	Collection of BID	Y 1,2=2	N	N	Y 1,2=2	N	Y 1,2=2	N	N	N	Y 1,2=2	Y 1,2=2	**Allan Gunn**
FIN 10	Income Collection	Y 1,3=3	N	N	Y 1,3=3	Y 1,2=2	Y 1,3=3	N	Y 1,3=3	N	Y 1,3=3	Y 1,3=3	**Allan Gunn**
FIN 11	Pensions Administration	Y 1,3=3	N	N	Y 1,3=3	Y 1,2=2	Y 1,2=2	N	Y 1,3=3	N	Y 1,3=3	Y 1,3=3	**David Robertson**

FINANCE SERVICE

CRITICAL BUSINESS AREA 24/7					
Monthly Payroll Production	**Risk Number**	**Risk Rating**	**Risk Description**	**Preventative / Mitigatory Measures**	**Contingency Arrangements**
	FIN 01a	8	Loss of Staff	• Ensure payroll staff are multi skilled with no single point of failure • Concentrate activities on identified list of business critical processes • Make use of bulk electronic upload to avoid large volumes of manual data input • Payroll production is currently spread over a month to minimise peaks in workload`d. A skeleton staff could therefore deliver a core payroll service.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • David Robertson, Head of Corporate Finance refers to the key trained staff information list and allocates the processes to be completed to members of staff still present
	FIN 01d	8	Loss of ICT	• Ensure that BACS files are ready for submission a minimum of 24 hours in advance of latest input date. This contingency is already built in to existing business practice. • Ensure that previous months BACS files are available and in a format to be resubmitted with a different pay date. • If unable to implement any of the above , inform workforce that payments will be late and make emergency manual payments where required	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: • David Robertson, Head of Corporate Finance confirms that the BACS file is available from the previous day • David Robertson, Head of Corporate Finance approves that the previous months BACS file is resubmitted • David Robertson, Head of Corporate Finance approves information to be sent to workforce regarding late payment or emergency manual payments.
	FIN 01e	8	Loss of Internet	• Ensure that BACS files are ready for • submission a minimum of 24 hours in advance of latest input date. This contingency is already built in to existing business practice.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT:

			• Ensure that previous months BACS files are available and in a format to be resubmitted with a different pay date. • If unable to implement any of the above , inform employees that payments will	• David Robertson, Head of Corporate Finance confirms that the BACS file is available from the previous day • David Robertson, Head of Corporate Finance approves that the previous months BACS file is resubmitted • David Robertson, Head of Corporate Finance approves information to be sent to employees regarding late payment or emergency manual payments
	Fin 01f	5	Loss of Utilities	*Loss of electricity* • Second generator switched on by Richard Jones, Plant Engineer. • Liaise with contractors to reduce risk of power failure during outside maintenance • Regular checking of fire alarms • Compliance with electrical safety check	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of utilities: • Service Response Team member contacts Responsible Premises Officer for particular area with loss of electricity.
	Fin 01h	4	Loss of External Suppliers	*Document Outsourcing (DO)* • Ensure that on line payslip are utilised as much as possible • Notify employees by email of any delay in pay advice slips being issued • Northgate Arinso	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: • David Robertson, Head of Corporate Finance confirms that payslips online are available • David Robertson, Head of Corporate Finance confirms content of email to employees to advise of delay • David Robertson, Head of Corporate Finance contact Northgate Arniso to run payslips
	Fin 01k	12	Loss of Reputation	• Update HC website Myview LIVE homepage for payroll with situation details	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of reputation: • David Robertson, Head of Corporate Finance approves standard text for issue of statements.

Housing Benefit Payments	Risk Number	Risk Rating	Risk Description	Preventative / Mitigatory Measures	Contingency Arrangements
	FIN 02a	8	Loss of Staff	Finance Systems Admin Team (FSAT) • One person process, covered by two team members. • Detailed guides available for all other FSAT members to run processes. • FSAT Manager trained to run processes. Creditors Team • One person process run by variable staff. • Detailed guides available for all Creditors Team members to carry out the processes required. • Fiona Thomson (FSAT) trained in the process required. • Ensure Filezilla is installed on all appropriate computers • Payroll & Pensions Manager trained in the process	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: Finance Systems Admin Team (FSAT) • Allan Gunn, Head of Revenues & Business Support refers to the key trained staff information list and allocates the processes to be completed to a member of staff still present. Creditors Team • David Robertson, Head of Corporate Finance refers to the key trained staff information list and allocates the processes to be completed to a member of staff still present.
	FIN 02d	8	Loss of ICT	Finance Systems Admin Team (FSAT) • Revenues & Benefits included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours). • Fujitsu switch to Disaster Recovery secondary site to run payments. • Use a previously saved file to copy and create a file to pass to Creditors. Creditors Team • Accounts Payable System included in THC Disaster Recovery Plan. • Contact FSAT and log a Priority 1 System Down Call (4 hours). • Fujitsu switch to Disaster Recovery secondary site to run payments. • If required: o Issue of manual cheques from number 4 bank account at HQ	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: Finance Systems Admin Team (FSAT) • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan. • Allan Gunn, Head of Revenues & Business Support would approve FSAT using a previously created file. Creditors Team • David Robertson, Head of Corporate Finance confirms that a Priority 1

				o Issue of manual cheques from number 4 bank account (OPS area offices) o Issue uncrossed manual cheques from number 1 bank account at HQ	System Down Call has been logged. • David Robertson, Head of Corporate Finance would approve FSAT to invoke the THC Disaster Recovery Plan. • Allan Gunn, Head of Revenues & Business Support would approve the issuing manual number 4 bank account cheques. David Robertson, Head of Corporate Finance would approve the issuing manual number 1 bank account cheques.
	FIN 02e	8	Loss of Internet	**Finance Systems Admin Team (FSAT)** • Internet access included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours). **Creditors Team** • Internet access included in THC Disaster Recovery Plan. • Contact FSAT to log a Priority 1 System Down Call (4 hours).	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of Internet: <u>Finance Systems Admin Team (FSAT)</u> • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan. <u>Creditors Team</u> • David Robertson, Head of Corporate Finance confirms that a Priority 1 System Down Call has been logged. • David Robertson, Head of Corporate Finance would approve FSAT to invoke the THC Disaster Recovery Plan.
	Fin 02f	5	Loss of Utilities	*Loss of electricity* • There are 8 area team offices, move priority work and team members to offices unaffected by the loss • Second generator switched on by Richard Jones, Plant Engineer.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of utilities: • Service Response Team member

	Risk Number	Risk Rating	Risk Description	Preventative / Mitigatory Measures	Contingency Arrangements
				• Liaise with contractors to reduce risk of power failure during outside maintenance • Regular checking of fire alarms • Compliance with electrical safety check	contacts Responsible Premises Officer for particular area with loss of electricity.
	Fin 02h	4	Loss of External Suppliers	Finance Systems Admin Team (FSAT) *Document Outsourcing (DO)* • Pass Document Outsourcing (DO) landlord letter file to HC printing department Creditors Team *Document Outsourcing (DO)* • Move the printing of a cheque to a BACS payment if applicable. • Pass the DO cheque file to HC printing department *BACS (Fujitsu)* • BACS processing covered in Fujitsu Disaster Recovery Plan.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of suppliers: Finance Systems Admin Team (FSAT) • Allan Gunn, Head of Revenues & Business Support confirms that HC printing are appointed. Creditors Team • David Robertson, Head of Corporate Finance approves cheque payments to BACS payments. • David Robertson, Head of Corporate Finance approves HC printing cheque file.
	Fin 02k	12	Loss of Reputation	• Update HC website homepage with situation details • Emergency Radio announcement to inform the public of the situation • Email to distribution list covering all key interested parties e.g. CAB, MA, Housing Associations, HC Housing	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of reputation: • Allan Gunn, Head of Revenues & Business Support approves standard text for issue of statements.

Crisis Grants	**Risk Number**	**Risk Rating**	**Risk Description**	**Preventative / Mitigatory Measures**	**Contingency Arrangements**
	FIN 03a	12	Loss of Staff	Inverness HQ Operations Team (OPS) • Five team members actively processing claims for crisis grants at any one time, however whole HQ team of fifteen members have been trained on how to use the IEG4 system. • Train another area team to cover this process.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • Allan Gunn, Head of Revenues & Business Support refers to the key

		(red)		• Detailed guides available to train staff out with the Inverness Ops team. • Strike action exemption applies to this process. • Liaise with another Council that operates same system (likely Perth & Kinross) to help provide cover in the event of an emergency.	trained staff information list and allocates the processes to be completed to members of staff still present; these members will need to have phones reallocated.
	FIN 03d	12	Loss of ICT	• The IEG4 service description held by Sheila McKandie, Benefits and Welfare Manager, includes a 2 hour priority call turnaround with a target resolution of 24 hours. • Revert to manual claim form assessment	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged from FSAT. • Allan Gunn, Head of Revenues & Business Support would approve moving to manual claim form assessment. • Allan Gunn, Head of Revenues & Business Support contacts Social Work for help with payment assistance.
	FIN 03e	8	Loss of Internet	• Internet access included in THC Disaster Recovery Plan. • Revert to manual claim form assessment • Ensure that the priority 1 System Down Call includes a 4 hour priority call turnaround • Payments by emergency open cheque, Inverness area for collection • Payments of open cheque posted guaranteed next day delivery • Clydesdale Bank Faster Payment credit direct to bank account • Clydesdale Bank CHAP payment direct into bank account • Ask another Local Authority with PayPoint to generate a PayPoint reference	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of Internet: • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged from FSAT. • Allan Gunn, Head of Revenues & Business Support confirms THC Disaster Recovery Plan has been invoked. • Allan Gunn, Head of Revenues & Business Support confirms that manual claim form assessments should be used. • Allan Gunn, Head of Revenues &

				• Payment from a local HC office petty cash	Business Support confirms which of the payment arrangements should be used.
	FIN03f	5	Loss of Utilities	*Loss of electricity* • Second generator switched on by Richard Jones, Plant Engineer. • Liaise with contractors to reduce risk of power failure during outside maintenance • Regular checking of fire alarms • Compliance with electrical safety check	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of utilities: • Service Response Team member contacts Responsible Premises Officer for particular area with loss of electricity.
	FIN03h	16	Loss of External Suppliers	*Loss Of PayPoint* • Ensure that the PayPoint service description includes a 2 hour priority call turnaround • Payments by emergency open cheque, Inverness area for collection • Payments of open cheque posted guaranteed next day delivery • Clydesdale Bank Faster Payment credit direct to bank account • Clydesdale Bank CHAP payment direct into bank account • Ask another Local Authority with PayPoint to generate a PayPoint reference • Payment from a local HC office petty cash	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of suppliers: • Allan Gunn, Head of Revenues & Business Support confirms which payment option he wishes to invoke.
	FIN 03k	16	Loss of Reputation	• Update HC website homepage with situation details • Emergency Radio announcement to inform the public of the situation • Email to distribution list covering all key interested parties e.g. CAB, MA, Housing Associations, HC Housing	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of reputation: • Allan Gunn, Head of Revenues & Business Support approves standard text for issue of statement.

CRITICAL BUSINESS AREA UP TO 3 DAYS					
Housing Benefit Administration	**Risk Number**	**Risk Rating**	**Risk Description**	**Preventative / Mitigatory Measures**	**Contingency Arrangements**
	FIN 04a	12	Loss of Staff	• There are 114 Operations Team users, located in 8 area team offices, all users are generically trained to carry out the processes required. • Operations Managers to check outstanding system applications in ECDM in affected area and reallocate to an unaffected area	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • Allan Gunn, Head of Revenues & Business Support refers to the key trained staff information list and allocates the processes to be completed to members of staff still present.
	FIN 04d	8	Loss of ICT	*Loss of Revs & Bens* Revenues & Benefits included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours). • Fujitsu switch to Disaster Recovery secondary site to allow processes to run on this server/software. *Loss of ECDM* • Electronic Content and Document Management System (ECDM) is included in THC Disaster Recovery Plan • Revert to manual document processing and when ECDM available again, scan completed documents onto system as completed processes	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan.
	FIN 04e	8	Loss of Internet	Finance Systems Admin Team (FSAT) • Internet access included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours).	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of Internet: Finance Systems Admin Team (FSAT) • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged.

					• Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan.
	FIN 04f	5	Loss of Utilities	*Loss of electricity* • There are 8 area team offices, move priority work and team members to offices unaffected by the loss • Second generator switched on by Richard Jones, Plant Engineer. • Liaise with contractors to reduce risk of power failure during outside maintenance • Regular checking of fire alarms • Compliance with electrical safety check	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of utilities: • Service Response Team member contacts Responsible Premises Officer for particular area with loss of electricity.
	FIN 04h	8	Loss of External Suppliers	*Document Outsourcing (DO)* • Pass Document Outsourcing (DO) benefit award letter file to HC printing department *Post Office* • Pass printed documents to a private postal delivery service if the PO unavailable *DWP Atlas File* • DWP inform HC if no file to be sent. • FSAT contact DWP if no contact or file received. *HMRC RTI File* • HMRC inform HC if no file to be sent. • FSAT contact HMRC if no contact or file received.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of suppliers: • Allan Gunn, Head of Revenues & Business Support confirms action dependant on which external supplier is lost.
	FIN 04j	5	Loss of Critical or Sensitive Data	• Ensure security of all buildings is maintained. • Awareness of all staff of the need for confidentiality and Data Protection. • All accesses to HC network controlled by Fujitsu. • All access to HC systems controlled by FSAT	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of data: • Allan Gunn, Head of Revenues & Business Support refers the loss to the Data Protection Officer, Miles Waters.

	Risk Number	Risk Rating	Risk Description	Preventative / Mitigatory Measures	Contingency Arrangements
	FIN 04k	5	Loss of Reputation	• Update HC website homepage with situation details • Emergency Radio announcement to inform the public of the situation • Email to distribution list covering all key interested parties e.g. CAB, MA, Housing Associations, HC Housing	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of reputation: • Allan Gunn, Head of Revenues & Business Support approves standard text for issue of statement.
Treasury Management	**Risk Number**	**Risk Rating**	**Risk Description**	**Preventative / Mitigatory Measures**	**Contingency Arrangements**
	FIN 05a	4	Loss of Staff	• Ensure Treasury Team are multi skilled and can cover essential tasks • Additional back up is available out with the Treasury Team	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • David Robertson, Head of Corporate Finance refers to the key trained staff information list and allocates the processes to be completed to members of staff still present
	FIN 05d	4	Loss of ICT	• A back up Telephony or physical visit solution is available	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • David Robertson, Head of Corporate Finance approves back up telephony • David Robertson, Head of Corporate Finance approves physical bank visit
	FIN 05f	4	Loss of Utilities	• The primary service delivery mechanism is ICT based • A Council mobile will be available if it is only landline contact that is down • A physical visit to a local branch office will allow service delivery	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • David Robertson, Head of Corporate Finance approves use of mobile • David Robertson, Head of Corporate Finance approves physical bank visit
	FIN 05h	4	Loss of External Suppliers	• CHAPS system is UK wide and therefore there will be a nationwide shutdown	• No contingency available
	FIN 05k	4	Loss of	• Update HC website homepage with	Derek Yule, Director Of Finance, invokes the

| | | | Reputation | | situation details
• Emergency Radio announcement to inform the public of the situation
• Email to distribution list covering all key interested parties e.g. Bank, payees etc. | Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of reputation:

• David Robertson, Head of Corporate Services approves standard text for issue of statement |

CRITICAL BUSINESS AREA
UP TO 7 DAYS

Council Tax	Risk Number	Risk Rating	Risk Description	Preventative / Mitigatory Measures	Contingency Arrangements
	FIN 06a	3	Loss of Staff	• There are 114 Operations Team users, located in 8 area team offices, all users are generically trained to carry out the processes required. • Operations Managers to check outstanding system applications in ECDM in affected area and reallocate to an unaffected area	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • Allan Gunn, Head of Revenues & Business Support refers to the key trained staff information list and allocates the processes to be completed to members of staff still present.
	FIN 06d	3	Loss of ICT	• Revenues & Benefits included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours). • Fujitsu switch to Disaster Recovery secondary site to allow processes to run on this server/software. • Electronic Content and Document Management System (ECDM) is included in THC Disaster Recovery Plan.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan.
	FIN 06e	8	Loss of Internet	Finance Systems Admin Team (FSAT) • Internet access included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours).	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of Internet: Finance Systems Admin Team (FSAT) • Allan Gunn, Head of Revenues &

					Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan.
	FIN 06f	3	Loss of Utilities	• There are 8 area team offices, move priority work and team members to offices unaffected by the loss • Second generator switched on by Richard Jones, Plant Engineer. • Liaise with contractors to reduce risk of power failure during outside maintenance • Regular checking of fire alarms • Compliance with electrical safety check	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of utilities: • Service Response Team member contacts Responsible Premises Officer for particular area with loss of electricity.
	FIN 06h	3	Loss of External Suppliers	*Document Outsourcing (DO)* • Pass Document Outsourcing (DO) benefit award letter file to HC printing department *Post Office* • Pass printed documents to a private postal delivery service if the PO unavailable	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of suppliers: • Allan Gunn, Head of Revenues & Business Support confirms action dependant on which external supplier is lost.
	FIN 06j	4	Loss of Critical or Sensitive Data	• Ensure security of all buildings is maintained. • Awareness of all staff of the need for confidentiality and Data Protection. • All accesses to HC network controlled by Fujitsu. • All access to HC systems controlled by FSAT	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of data: • Allan Gunn, Head of Revenues & Business Support refers the loss to the Data Protection Officer, Miles Waters
	FIN 06k	4	Loss of Reputation	• Update HC website homepage with situation details • Emergency Radio announcement to inform the public of the situation • Email to distribution list covering all key interested parties e.g. CAB, MA, Housing Associations, HC Housing	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of reputation: • Allan Gunn, Head of Revenues & Business Support approves standard text for issue of statement.

CTR Administration	Risk Number	Risk Rating	Risk Description	Preventative / Mitigatory Measures	Contingency Arrangements
	FIN 07a	3	Loss of Staff	• There are 114 Operations Team users, located in 8 area team offices, all users are generically trained to carry out the processes required. • Operations Managers to check outstanding system applications in ECDM in affected area and reallocate to an unaffected area .	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • Allan Gunn, Head of Revenues & Business Support refers to the key trained staff information list and allocates the processes to be completed to members of staff still present.
	FIN 07d	3	Loss of ICT	• Revenues & Benefits included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours). • Fujitsu switch to Disaster Recovery secondary site to allow processes to run on this server/software. • Electronic Content and Document Management System (ECDM) is included in THC Disaster Recovery Plan.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan.
	FIN 07e	8	Loss of Internet	Finance Systems Admin Team (FSAT) • Internet access included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours).	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of Internet: Finance Systems Admin Team (FSAT) • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan.
	FIN 07f	3	Loss of Utilities	• There are 8 area team offices, move priority work and team members to offices unaffected by the loss • Second generator switched on by Richard Jones, Plant Engineer.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of utilities:

				• Liaise with contractors to reduce risk of power failure during outside maintenance • Regular checking of fire alarms • Compliance with electrical safety check	• Service Response Team member contacts Responsible Premises Officer for particular area with loss of electricity.
	FIN 07h	3	Loss of External Suppliers	*Document Outsourcing (DO)* • Pass Document Outsourcing (DO) benefit award letter file to HC printing department *Post Office* • Pass printed documents to a private postal delivery service if the PO unavailable *DWP Atlas File* • DWP inform HC if no file to be sent. • FSAT contact DWP if no contact or file received. *HMRC RTI File* • HMRC inform HC if no file to be sent. • FSAT contact HMRC if no contact or file received.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of suppliers: • Allan Gunn, Head of Revenues & Business Support confirms action dependant on which external supplier is lost.
	FIN 07j	4	Loss of Critical or Sensitive Data	• Ensure security of all buildings is maintained. • Awareness of all staff of the need for confidentiality and Data Protection. • All accesses to HC network controlled by Fujitsu. • All access to HC systems controlled by FSAT	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of data: • Allan Gunn, Head of Revenues & Business Support refers the loss to the Data Protection Officer, Miles Waters.
	FIN 07k	4	Loss of Reputation	• Update HC website homepage with situation details • Emergency Radio announcement to inform the public of the situation • Email to distribution list covering all key interested parties e.g. CAB, MA, Housing Associations, HC Housing	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of reputation: • Allan Gunn, Head of Revenues & Business Support approves standard text for issue of statement.

NDR Collection	Risk Number	Risk Rating	Risk Description	Preventative / Mitigatory Measures	Contingency Arrangements
	FIN 08a	3	Loss of Staff	• 7 part time/full time members, processes carried out by variable staff. • Detailed guides available for all Rates Team Members to carry out the processes required.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • Allan Gunn, Head of Revenues & Business Support refers to the key trained staff information list and allocates the processes to be completed to members of staff still present.
	FIN 08d	3	Loss of ICT	• Revenues & Benefits included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours). • Fujitsu switch to Disaster Recovery secondary site to allow processes to run on this server/software. • Electronic Content and Document Management System (ECDM) is included in THC Disaster Recovery Plan.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan.
	FIN 08e	8	Loss of Internet	Finance Systems Admin Team (FSAT) • Internet access included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours).	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of Internet: Finance Systems Admin Team (FSAT) • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan.
	FIN 08f	3	Loss of Utilities	• There are 8 area team offices, move priority work and team members to offices unaffected by the loss • Second generator switched on by	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of utilities:

	Risk Number	Risk Rating	Risk Description	Preventative / Mitigatory Measures	Contingency Arrangements
				Richard Jones, Plant Engineer. • Liaise with contractors to reduce risk of power failure during outside maintenance • Regular checking of fire alarms • Compliance with electrical safety check	• Service Response Team member contacts Responsible Premises Officer for particular area with loss of electricity.
	FIN 08h	3	Loss of External Suppliers	*Document Outsourcing (DO)* • Pass Document Outsourcing (DO) billing run file to HC printing department *Post Office* • Pass printed documents/bills to a private postal delivery service if the PO unavailable	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of suppliers: • Allan Gunn, Head of Revenues & Business Support confirms action dependant on which external supplier is lost.
	FIN 08j	4	Loss of Critical or Sensitive Data	• Ensure security of all buildings is maintained. • Awareness of all staff of the need for confidentiality and Data Protection. • All accesses to HC network controlled by Fujitsu. • All access to HC systems controlled by FSAT.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of data: • Allan Gunn, Head of Revenues & Business Support refers the loss to the Data Protection Officer, Miles Waters.
	FIN 08k	4	Loss of Reputation	• Update HC website homepage with situation details • Email to distribution list covering all key interested parties	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of reputation: • Allan Gunn, Head of Revenues & Business Support approves standard text for issue of statement.

Collection Of BID	Risk Number	Risk Rating	Risk Description	Preventative / Mitigatory Measures	Contingency Arrangements
	FIN 09a	2	Loss of Staff	• 7 part time/full time members, processes carried out by variable staff. • Detailed guides available for all Rates Team Members to carry out the processes required.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • Allan Gunn, Head of Revenues & Business Support refers to the key trained staff information list and allocates

					the processes to be completed to members of staff still present.
	FIN 09d	2	Loss of ICT	• FSAT log a Priority System Down Call for Microsoft Excel. • Process can be continued manually without the use of ICT and a hand written record can be kept and updated into Excel once ICT services are back up and running.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan.
	FIN 09f	2	Loss of Utilities	• There are 8 area team offices, move priority work and team members to offices unaffected by the loss • Second generator switched on by Richard Jones, Plant Engineer. • Liaise with contractors to reduce risk of power failure during outside maintenance • Regular checking of fire alarms • Compliance with electrical safety check	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of utilities: • Service Response Team member contacts Responsible Premises Officer for particular area with loss of electricity.
	FIN 09j	2	Loss of Critical or Sensitive Data	• Ensure security of all buildings is maintained. • Awareness of all staff of the need for confidentiality and Data Protection.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of data: • Allan Gunn, Head of Revenues & Business Support refers the loss to the Data Protection Officer, Miles Waters.
	FIN 09k	2	Loss of Reputation	• Update HC website homepage when available with situation details • Emergency Radio announcement to inform the public of the situation	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of reputation: • Allan Gunn, Head of Revenues & Business Support approves standard text for issue of statement.

Income Collection	Risk Number	Risk Rating	Risk Description	Preventative / Mitigatory Measures	Contingency Arrangements
	FIN 10a	3	Loss of Staff	• 5 part time/full time members, processes carried out by variable staff. • Detailed guides available for all Income members to carry out the majority of the processes required. • Revenues Manager and Assistant Income & Recovery Manager are fully trained in the processes. • Kirsteen Kennedy (FSAT, previous team member), trained in some of the processes required • Detailed guides available to allow Jamie Mackay in Fujitsu to carry out processing in the event of total loss of Income Team. • Deliver and review on a regular basis training to staff identified out with Income team • Income requiring immediate processing could be passed to Church Street, Service Point • Advice customers to use internet self-service payment site.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • Allan Gunn, Head of Revenues & Business Support refers to the key trained staff information list and allocates the processes to be completed to members of staff still present.
	FIN 10d	3	Loss of ICT	• AXIS. Included in THC Disaster Recovery Plan. • FSAT log a Priority 1 System Down Call (4 hours). • Fujitsu switch to Disaster Recovery secondary site to allow processes to run on this server/software.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: • Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged. • Allan Gunn, Head of Revenues & Business Support would approve FSAT to invoke the THC Disaster Recovery Plan.
	FIN 10e	2	Loss of Internet	• Income Team users are able to work on ACR offline and take cash and cheque payments (not Cards). • Paye.net unavailable, Recovery Team	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of Internet:

				users pass payment calls to Income Team users with access to ACR. • Internet access included in THC Disaster Recovery Plan • FSAT log a Priority 1 System Down Call (4 hours).	• Allan Gunn, Head of Revenues & Business Support confirms that a Priority 1 System Down Call has been logged.
	FIN 10f	3	Loss of Utilities	• Move priority work and team members to ACR Service Point network offices unaffected by the loss • Second generator switched on by Richard Jones, Plant Engineer. • Liaise with contractors to reduce risk of power failure during outside maintenance • Regular checking of fire alarms • Compliance with electrical safety check	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of utilities: • Service Response Team member contacts Responsible Premises Officer for particular area with loss of electricity.
	FIN 10h	3	Loss of External Suppliers	• Fujitsu Disaster Recovery Plan • AXIS. included in THC Disaster Recovery Plan	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of suppliers: • Allan Gunn, Head of Revenues & Business Support confirms action dependant on which external supplier is lost.
	FIN 10j	3	Loss of Critical or Sensitive Data	• Ensure security of all buildings is maintained. • Awareness of all staff of the need for confidentiality and Data Protection. • All accesses to HC network controlled by Fujitsu. • All access to HC systems controlled by FSAT. • All accesses to Clydesdale Bank controlled by bank signatories. • All accesses to CO-OP Bank controlled by Revenues Manager.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of data: • Allan Gunn, Head of Revenues & Business Support refers the loss to the Data Protection Officer, Miles Waters.
	FIN 10k	3	Loss of Reputation	• Update HC website homepage when available with situation details • Emergency Radio announcement to inform the public of the situation	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of reputation:

	Risk Number	Risk Rating	Risk Description	Preventative / Mitigatory Measures	Contingency Arrangements
					• Allan Gunn, Head of Revenues & Business Support approves standard text for issue of statement.

Pensions Administration	**Risk Number**	**Risk Rating**	**Risk Description**	**Preventative / Mitigatory Measures**	**Contingency Arrangements**
	FIN 11a	3	Loss of Staff	• Ensure pension staff are multi skilled with no single point of failure • Work to a list of business critical processes • Ensure Benefit calculations are processed 7 calendar days prior to payment. This contingency is included in current business practice.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of staff: • David Robertson, Head of Corporate Finance refers to the key trained staff information list and allocates the business critical processes to be completed to members of staff still present
	FIN 11d	3	Loss of ICT	• Incorporated in Service continuity plan	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of ICT: • David Robertson, Head of Corporate Finance confirms that a Priority 1 System Down Call has been logged.
	FIN 11h	3	Loss of External Suppliers	• The requirement for external suppliers is limited to the issuing of Pension Increase letters and Annual Benefit Statements. The risk would not affect the payment of pension benefits	• Situation managed by Charlie MacCallum, Payroll ,Pensions and Creditors Manager.
	FIN 11j	3	Loss of Critical or Sensitive Data	• Initiate Disaster recovery plan agreed with software supplier's.	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of suppliers: • David Robertson, Head of Corporate Finance contacts Northgate Arniso to run payslips
	FIN 11k	3	Loss of Reputation	• Update Highland Council Pension Website	Derek Yule, Director Of Finance, invokes the Business Continuity Plan by informing Service Crisis Response Team member dependant on area of loss of suppliers:

					• David Robertson, Head of Corporate Finance approves the standard text for issue of statement on website.

ACTION PLAN

Outstanding Actions for Finance Business Continuity Plan					
Lead Service:		Finance Service			
Lead Officer:		Allan Gunn	W: 01463 216676	E: allan.gunn@highland.gov.uk	
Mitigation		**Critical Business Area**	**Lead Officer**	**Target date**	**Date completed**
Measure 1	Train Fiona Thompson (FSAT) in processes	FIN 02a	David Robertson	August 2015	
Measure 2	Ensure Filezilla on all appropriate computers	FIN 02a	David Robertson	September 2015	
Measure 3	Ensure Payroll, Pensions and Creditors Manager trained in processes	FIN02a	David Robertson	September 2015	
Measure 4	Use a previously saved file copy	FIN02d	Mark Blair	September 2015	
Measure 5	Issue manual cheques from HQ or areas	FIN 02d	Mark Blair	September 2015	
Measure 6	Pass file to HC Printing Dept.	FIN 02h, FIN 04h, FIN 06h, FIN 07h, FIN 08h	Mark Blair	September 2015	
Measure 7	Pass cheque file to HC printing Dept	FIN 02h	Mark Blair	September 2015	
Measure 8	Update HC Website Page	FIN 02k, FIN 03k, FIN 04k, FIN 06k, FIN 07k, FIN 08k, FIN 09k, FIN 10k	Alister MacBain	July 2015	
Measure 9	Issue Radio Announcement	FIN 02k, FIN 03k, FIN 04k, FIN 06k, FIN 07k, FIN 09k, FIN 10k	Alister MacBain	July 2015	
Measure 10	Distribute Email list to interested parties	FIN 02k, FIN 03k, FIN 04k, FIN 06k, FIN 07k, FIN 08k	Alister MacBain	July 2015	
Measure 11	Train another team to cover the process	FIN 03a	Alasdair Bruce	September 2015	
Measure 12	Detail Guides to Train staff out with OP's	FIN 03a	Alasdair Bruce	August 2015	
Measure 13	Liaise with another Authority to provide service	FIn 03a	Alasdair Bruce	September 2015	

Measure 14	Pay by open cheque, collect Inverness	FIN 03e, FIN 03h	Alasdair Bruce	August 2015	
Measure 15	Pay by open cheque, next day delivery	FIN 03e, FIN 03h	Alasdair Bruce	August 2015	
Measure 16	Faster payment direct to Bank Account	FIN 03e, FIN 03h	Alasdair Bruce	August 2015	
Measure 17	CHAPs payment direct to Bank Account	FIN 03e, FIN 03h	Alasdair Bruce	August 2015	
Measure 18	Another LA generates payment	FIN 03e, FIN 03h	Alasdair Bruce	September 2015	
Measure 19	Pay from local office Petty Cash	FIN 03e, FIN 03h	Alasdair Bruce	August 2015	
Measure 20	OP's managers check ECDM in affected areas	FIN 04a, FIN 06a, FIN 07a	Alasdair Bruce	July 2015	
Measure 21	ECDM included into THC Disaster Recovery Plan	FIN 04d	Mark Blair	August 2015	
Measure 22	Revert to manual document processing	FIN 04d	Alasdair Bruce	August 2015	
Measure 23	Use private postal service for delivery	FIN 02h, FIN 07h, FIN 08h	Mark Blair	August 2015	
Measure 24	Issue bills by manual process	FIN 09d	Brian Murison	August 2015	
Measure 25	Train Kirsteen Kennedy in processes	FIN 10a	Brian Murison	August 2015	
Measure 26	Detail guides for Fujitsu cover if required	FIN 10a	Brian Murison	August 2015	
Measure 27	Train and review training regularly to staff other than Income	FIN 10a	Brian Murison	September 2015	
Measure 28	Pass Income to Church Street to process	FIN 10a	Brian Murison	September 2015	

INCIDENT RESPONSE PLAN

Immediate Response Checklist

INCIDENT RESPONSE	✓	ACTIONS TAKEN	REMARKS
Have you:			
• assessed the severity of the incident?	❑		
• started an Event Log?	❑		
• activated your response plan?	❑		
• activated staff members and resources?	❑		
• appointed a spokesperson?	❑		
• gained more information as a priority?	❑		
• briefed team members on incident?	❑		
• allocated specific roles and responsibilities?	❑		
• identified critical business activities that have been disrupted?	❑		
• briefed your Service Director?	❑		
• kept staff informed?	❑		
• contacted key stakeholders?	❑		
• initiated media/public relations response?	❑		

ROLES AND RESPONSIBILITIES *(This table allows you to assign responsibility for completion of each task to one of your designated roles. You will then assign each role, or multiple roles, to one or more staff members and assign back-up staff as appropriate. The staff members involved should then be given this table in order to understand their roles and as a task assignment list for completion of pre-emergency planning and emergency tasks).*

Role	Designated Employee(s)	Alternate
Director Of Finance, Head of Service Crisis Response Team	Name: *Derek Yule* Contact Information: *01463 702301*	Name: *Allan Gunn, Head of Revenues and Business Support* Contact Information: *01463 702491*

Emergency Responsibilities:
- *Head of Service Crisis Response Team*
- *ensure the Business Continuity Plan has been activated*
- *oversee smooth implementation of the response and recovery section of the plan*
- *determine the need for and activate the use of an alternate operation site and other continuity tasks*
- *communicate with key stakeholders as needed*
- *provide important information to the Communication Officer for distribution*
- *keep key staff apprised of any changes to situation*

Role	Designated Employee(s)	Alternate
Head of Revenues and Business Support, member of Service Crisis Response Team	Name: *Allan Gunn* Contact Information: *01463 702491*	Name: *Any other Service Crisis Response Team Member* Contact Information:

Emergency Responsibilities:
- *member of Service Crisis Response Team*
- *ensure the Business Continuity Plan for risk FIN 02, FIN 03,FIN 04, FIN 06, FIN 07,FIN 08, FIN 09 and FIN 10 has been activated*
- *in absence of Director of Finance, ensure the Business Continuity Plan has been activated*
- *in absence of Director of Finance, oversee smooth implementation of the response and recovery section of the plan*

- *in absence of Director of Finance, determine the need for and activate the use of an alternate operation site and other continuity tasks*
- *in absence of Director of Finance, communicate with key stakeholders as needed*
- *in absence of Director of Finance, provide important information to the Communication Officer for distribution*
- *in absence of Director of Finance, keep key staff apprised of any changes to situation.*
- *in absence of Head of Corporate Finance, assume his responsibilities as stated within this document. If these 2 post holders are not available, then the Head of Internal Audit & Risk Management and/or the Head of Procurement would assume lead role.*

Role	Designated Employee(s)	Alternate
Head of Corporate Finance, member of Service Crisis Response Team	Name: *David Robertson* Contact Information: *01463 702302*	Name: *Any other Service Crisis Response Team Member* **Contact Information:**

Emergency Responsibilities:
- *member of Service Crisis Response Team*
- *ensure the Business Continuity Plans for risk FIN 01, FIN 05 and FIN 11 have been activated*
- *in absence of Director of Finance, ensure the Business Continuity Plan has been activated*
- *in absence of Director of Finance, oversee smooth implementation of the response and recovery section of the plan*
- *in absence of Director of Finance, determine the need for and activate the use of an alternate operation site and other continuity tasks*
- *in absence of Director of Finance, communicate with key stakeholders as needed*
- *in absence of Director of Finance, provide important information to the Communication Officer for distribution*
- *in absence of Director of Finance, keep key staff apprised of any changes to situation.*
- *in absence of Head of Revenues & Business Support, assume his responsibilities as stated within this document. If these 2 post holders are not available, then the Head of Internal Audit & Risk Management and/or the Head of Procurement would assume lead role.*

Role	Designated Employee(s)	Alternate
Head of Internal Audit & Risk Management, member of Service Crisis	Name: *Nigel Rose* Contact Information: *01463 702399*	Name: *Any other Service Crisis Response Team Member* Contact Information:

Response Team	

Emergency Responsibilities:
- member of Service Crisis Response Team
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, ensure the Business Continuity Plan has been activated
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, oversee smooth implementation of the response and recovery section of the plan
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, determine the need for and activate the use of an alternate operation site and other continuity tasks
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, communicate with key stakeholders as needed
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, provide important information to the Communication Officer for distribution
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, keep key staff apprised of any changes to situation.

Role	**Designated Employee(s)**	**Alternate**
Head of Procurement, member of Service Crisis Response Team	Name: *Ashley Gould* Contact Information: *01463 785146*	Name: *Any other Service Crisis Response Team Member* Contact Information:

Emergency Responsibilities:
- member of Service Crisis Response Team
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, ensure the Business Continuity Plan has been activated
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, oversee smooth implementation of the response and recovery section of the plan
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, determine the need for and activate the use of an alternate operation site and other continuity tasks
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, communicate with key stakeholders as needed
- in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, provide important information to the Communication Officer for distribution

- *in absence of Director of Finance, Head of Corporate Finance and Head of Revenues & Business Support, keep key staff apprised of any changes to situation.*

KEY CONTACT LISTS
Contact List - Internal

Person	Contact number/s	Email	Responsibilities
Derek Yule	01463 702301	Derek.yule@highland.gov.uk	Head of Service Crisis Response Team
Allan Gunn	01463 702491	Allan.gunn@highland.gov.uk	Member of Service Crisis Response Team
David Robertson	01463 702302	David.robertson@highland.gov.uk	Member of Service Crisis Response Team
Nigel Rose	01463 702399	Nigel.rose@highland.gov.uk	Member of Service Crisis Response Team
Ashley Gould	01463 785146	Ashley.gould@highland.gov.uk	Member of Service Crisis Response Team
Charlie MacCallum	01463 702334	Charlie.maccallum@highland.gov.uk	Payroll, Pensions & Creditors Manager
Mark Blair	01463 702388	Mark.blair@highland.gov.uk	Finance Systems & Change Manager
Kirsteen Kennedy	01463 702340	Kirsteen.kennedy@highland.gov.uk	Senior Systems Admin Team
Audrey Macdonald	01463 702378	Audrey.macdonald@highland.gov.uk	Senior Systems Admin Team
Maxine Macleod	01463 702490	Maxine.macleod@highland.gov.uk	Creditors Technician
Alison Bernard	01463 702416	Alison.bernard@highland.gov.uk	Senior Clerical Assistant
Alasdair Bruce	01478 613801	Alasdair.bruce@highland.gov.uk	Service Delivery Manager

Margaret Beharrell	01463 254791	Margaret.beharrell@highland.gov.uk	Ops Team Leader
Sheila McKandie	01463 702411	Sheila.mckandie@highland.gov.uk	Benefits & Welfare Manager
Brian Murison	01463 254976	Brian.murison@highland.gov.uk	Revenues Manager
Adrienne King	01463 702740	Adrienne.king@highland.gov.uk	Income & Recovery Assistant Manager
Yvonne Henderson	01463 216638	Yvonne.henderson@highland.gov.uk	Revenues and Business Support Operations Manager - HQ
Iain Swayne	01349 868681	Iain.swayne@highland.gov.uk	Revenues and Business Support Operations Manager - Mid
Katriona Green	01955 609574	Katriona.green@highland.gov.uk	Revenues and Business Support Operations Manager - North east
Dorothy Mackenzie	01463 703102	Dorothy.mackenzie@highland.gov.uk	Revenues and Business Support Operations Manager - South
Carol Campbell	01478 613861	Carol.campbell@hihgland.gov.uk	Revenues and Business Support Operations Manager - West
Richard Jones	01463 702244	Richard.jones@highland.gov.uk	Plant Engineer
Alister MacBain	01463 254970	Alister.macbain@highland.gov.uk	Client Manager

Contact List – External

Key Suppliers/contacts	Contact number/s	Email Address
IEG4	Dave Garnett, Account Manager - 07796 578175	dave.garnett@ieg4.com
PayPoint	Richard Gill, Account Manager - 01707 600655	richardgill@paypoint.co.uk
DO	Fujitsu - 702702	printing.outputservices@uk.fujitsu.com
DWP (Atlas)		LA-SST.HDD@DWP.GSI.GOV.UK
HMRC (RTI)		LA-SST.HDD@DWP.GSI.GOV.UK
Northgate Arniso	Fujitsu - 702702	

EVENT LOG *(Use the Event Log to record information, decision and actions in the period immediately following the critical event or incident. Blank copies of the table should be printed off as required)*

Date	Time	Information / Decisions / Actions	Initials
		Activate Business Continuity Plan.	