DMU Business Continuity Plan

Developed and maintained by the DRM Unit YYYY Branch

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**Document Approval**

**This document has been endorsed and approved for use by:**

Glenn Sanders

Document Manager

**Document Version Control**

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|  |  |  |  |  |

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**Introduction**

**Continuity Interruptions, Emergencies, or Disasters?**

Many organisations have *Disaster Recovery Plans*. We prefer the term *Business* *Continuity Plan* because it includes not only major disasters (eg total loss of abuilding) but also routine interruptions to service (the computers are down for half an hour). It puts disaster planning in perspective and makes it more likely that disasters will be handled smoothly.

**Objectives**

The objectives of this plan are:

* To ensure that maximum possible service levels are maintained
* To ensure that we recover from interruptions as quickly as possible
* To minimise the likelihood and impact (risk) of interruptions

**Principles**

The principles behind this plan are:

* Disaster Recovery is just part of Business Continuity
* Risks are assessed for both probability and business impact
* Business continuity plans must be reasonable, practical and achievable

In other words, we are not planning for *every* possibility. Diminishing returns affect the benefits of planning for extreme cases.

**Functions vs Causes**

We have developed this plan by analysing ***what*** is being interrupted, rather than ***why***. For example, the Head Office building may be unavailable for many reasons – but in terms of its impact on the operations and services of the DMU, it matters not whether the cause is a contaminated aircon unit, a strike by security staff or a major traffic accident (or worse) . Obviously the organisation will manage each incident differently, depending in some cases on the cause, but for our more specific purposes, the building is simply unavailable.

**Precedence**

*The Company’s general, security and IT procedures override these instructions if there are any conflicts.*

**Future Changes**

These plans will change in response to new business and client needs and new technology. Please refer all requests for changes to the DMU.

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**Layout & Use**

This document is designed to be published on our Intranet or on paper, and so that it is easy to add new sections and to extract subsets. Where possible, topics are not longer than one page. In the printed version, topics are arranged alphabetically. For each Risk we set out:

* *Likely Scenario* - the most likely reasons for problems to occur
* *Probability* – the likelihood of the risk occurring (high, medium, low)
* *Impact* – will the impact on our business be high, medium or low?
* *Functions Affected* – what document-related functions the problem impacts
* *Action* – what to do when the interruption occurs
* *Responsibilities* – who takes what actions
* *Mitigation* – what are the DMU doing to minimise the risk before ithappens
* *Constraints* – the practicalities of dealing with the risk
* *Resources* – the implications for costs, staffing, facilities etc

**Communications**

Whenever we say *contact or advise Business Units*, the DMU will usually do this by broadcast email, or by email or phone to the nominated contact person for affected services in each business unit.

**References**

**Guidelines, standards, “how to” information**

* Business Continuity Institute [www.thebci.org](http://www.thebci.org/)
* NSW State Records [www.records.nsw.gov.au](http://www.records.nsw.gov.au/)
* Sanders, Glenn *EDM – a risk management perspective* [http://members.ozemail.com.au/`sanders/articles](http://members.ozemail.com.au/%60sanders/articles)
* Strohl Systems [www.strohl.com](http://www.strohl.com/)
* TechRepublic [www.techrepublic.com](http://www.techrepublic.com/)

**Emergency Management**

* Emergency Management Australia [www.ema.gov.au](http://www.ema.gov.au/)
* US Federal Emergency Management Agency [www.fema.gov](http://www.fema.gov/)

**Disaster Recovery Companies (operating in Australia)**

(these companies provide emergency response services eg freeze drying)

* BMS Catastrophe [www.bmscat.com](http://www.bmscat.com/)
* Munters [www.munters.com](http://www.munters.com/)

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|  |  |  |
| --- | --- | --- |
|  |  | **Company Contacts** |
|  |  |  |
| Name | Contacts | Other Contact details |
|  |  |  |
|  |  |  |
|  |  |  |
| DMU | ext xxxx | email to ‘Document Management’ |
|  |  | mob xxxxxxxxxx |
|  |  |  |
|  |  |  |
| IT Help Desk | ext xxxx | email “Help Desk” |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
| Sanders, Glenn (Document | ext xxxx | Home 02 9918 7300 |
| Manager) |  | mob 0407 187 333, [sanders@ozemail.com.au](mailto:sanders@ozemail.com.au) |
|  |  |  |
|  |  |  |
| Security Hotline | ext xxxx | email ‘security operations’ |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

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|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  | **Supplier Contacts** | |
|  |  |  |  |  |  |  |
|  | Company | Address |  | Contact, Notes |  | Numbers |
|  | Couriers (scheduled |  |  |  |  |  |
|  | runs) |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  | Archive storage |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  | Australia Post |  |  |  |  |  |

disaster recovery, freeze drying etc

microfilm printer, scanner

Ad hoc couriers

scanner

DRM Software

scanning bureau

shredder

disaster recovery, drying etc

franking machine, letter opener, fax machine

file jackets

etc etc

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**Risks**

**Can’t Find What You Want?**

If you cannot find a risk that exactly matches the incident you are managing, look for a similar risk and use that as a model. For example, if you are using MS Access, and it crashes, you could follow the instructions for [*Software - XXXX System Down.*](#page30)

**During Each Incident**

At all stages keep any affected business unit or person closely advised of progress – even negative progress. This is especially important for missing documents or parcels.

Do not hesitate to advise the Manager, Corporate Services of the incident and of progress.

**If any incident could possibly involve the press or public, immediately contact Fred Bloggs x 123456 or Harry Peck x 654321 so that they can brief Management if required.**

**After Each Incident**

After every incident, a standard set of tasks must be done. These have not been repeated under each risk, but they must still be done:

* Return all operations and services to their original form
* Contact all affected business units and suppliers, to advise them that the incident is over and things are back to normal
* **Thank everyone** involved, preferably by personal phone call or email
* Review the way we managed the incident, and consider if we need to change anything – if so, change it in this document too.

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|  |  |
| --- | --- |
| **Risk** | **Building Loss - DMU Work Area** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | high |
|  |
|  |  |
| **Likely Scenario** | Fire; bomb threat |
|  |
|  |  |
| **Functions** | All |
| **Affected** |  |
|  |  |
| **Action** | Move DMU service operations and one or two staff to Basement Holding Room (or any |
| available floor) |
|  |
|  | Advise all business units, and suppliers if affected |
|  | Move other DMU staff anywhere else with phone access and preferably networked PC’s. |
|  | If documents have been destroyed see *Paper Documents Lost* |
|  | If documents have been damaged, see *Fire and Water Damage* |
|  |  |
| **Responsibilities** | Senior DMU staffer |
|  |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** | *The Company’s general emergency procedures override these instructions if there are* |
| *any conflicts* |
|  |
|  |  |
| **Resources** | Phone in basement Holding Room; DMU Laptop with XXXX; global roaming signons; |
| XXXX at other sites |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Building Loss – Head Office Building** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | high |
|  |
|  |  |
| **Likely Scenario** | Fire |
|  |
|  |  |
| **Functions** | All |
| **Affected** |  |
|  |  |
| **Action** | Contact nominated executive to assess damage and availability and timing of alternate |
| locations |
|  |
|  | Contact all DMU staff and suppliers to arrange alternate locations and contact details |
|  | If documents have been destroyed see the several entries under *Documents Lost*. |
|  | If documents have been damaged, see *Fire and Water Damage* |
|  |  |
| **Responsibilities** | DMU manager to contact nominated available executive |
| DMU Manager to coordinate contacting all DMU staff and suppliers |
|  |
|  | DMU staff to contact DMU manager |
|  | If DMU manager unavailable, senior DMU staffer deputises |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** | *The Company’s general emergency procedures override these instructions if there are* |
| *any conflicts* |
|  |
|  |  |
| **Resources** | DMU Laptop (if available) with XXXX; global roaming signons; XXXX available at other |
| sites Phones, mobile phones |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Building Loss - HOB Basement** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | medium |
|  |
|  |  |
| **Likely Scenario** | Fire; bomb threat |
|  |
|  |  |
| **Functions** | Garage access for Scheduled courier services; offsite storage services |
| **Affected** |  |
|  |  |
| **Action** | Contact courier and storage companies and Reception immediately to arrange deliveries |
| via HOB Reception to DMU on level 14 |
|  |
|  | Arrange for DMU staff to be present on level 14 when pickups and deliveries expected |
|  | If documents have been destroyed see *Paper Documents Lost* |
|  | If documents have been damaged, see *Fire and Water Damage* |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** | *The Company’s general emergency procedures override these instructions if there are* |
| *any conflicts* |
|  |
|  |  |
| **Resources** | email, phone |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Building Loss – HOB Floor (not DMU)** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | medium |
|  |
|  |  |
| **Likely Scenario** | Fire; bomb threat |
|  |
|  |  |
| **Functions** | Pickups and deliveries to that floor; files and documents may be destroyed |
| **Affected** |  |
|  |  |
| **Action** | Hold all deliveries; contact nominated executive or business units affected to find out |
| alternative pickup and delivery points |
|  |
|  | If documents have been destroyed see *Paper Documents Lost* |
|  | If documents have been damaged, see *Fire and Water Damage* |
|  |  |
| **Responsibilities** | Senior DMU staff member |
|  |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** | *The Company’s general emergency procedures override these instructions if there are* |
| *any conflicts* |
|  |
|  |  |
| **Resources** | phone, email |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Building Loss - HOB Sub Basement** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | medium |
|  |
|  |  |
| **Likely Scenario** | Fire; bomb threat; water |
|  |
|  |  |
| **Functions** | File retrievals; filing |
| **Affected** |  |
|  |  |
| **Action** | Hold all incoming filing in DMU or offsite, store in file number order |
| Advise all business units |
|  |
|  | If documents have been destroyed see *Paper Documents Lost* |
|  | If documents have been damaged, see *Fire and Water Damage* |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** | *The Company’s general emergency procedures override these instructions if there are* |
| *any conflicts* |
|  |
|  |  |
| **Resources** | File storage in DMU or offsite; email; phone |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Building Loss - Site other than HOB** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | medium |
|  |
|  |  |
| **Likely Scenario** | Fire; bomb threat |
|  |
|  |  |
| **Functions** | Scheduled courier services; offsite storage services |
| **Affected** |  |
|  |  |
| **Action** | Contact affected business units and couriers and storage companies immediately to |
| arrange alternate pickup and delivery points; hold all parcels etc at HOB. |
|  |
|  | If documents have been destroyed see *Paper Documents Lost* |
|  | If documents have been damaged, see *Fire and Water Damage* |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** | *The Company’s general emergency procedures override these instructions if there are* |
| *any conflicts* |
|  |
|  |  |
| **Resources** | email, phone |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Courier Parcel Missing** |
|  |  |
| **Probability** | medium |
|  |
|  |  |
| **Impact** | varies – can be high |
|  |
|  |  |
| **Likely Scenario** | incoming or outgoing parcel reported overdue or missing (Murphy says it will always be an |
| important one that goes astray) |
|  |
|  |  |
| **Functions** | incoming or outgoing couriers, ad hoc or scheduled; potentially any business operation |
| **Affected** |  |
|  |  |
| **Action** | Contact affected business unit and / or sender to get full description of parcel, delivery |
| method, addressee, times and dates |
|  |
|  | Check in DMU, basement Holding (mail) room and elsewhere in Garage area, look in all |
|  | satchels, empty mailbags and trolleys |
|  | Incoming |
|  | Check at main reception (ask all staff on duty at likely delivery time) ***and Tender*** |
|  | ***Box*** |
|  | Check all other reception areas |
|  | Check all clearance drop points |
|  | Ask courier company (probably not one of ours) |
|  | Outgoing |
|  | Ask courier company |
|  | Check with Document Coordinators at all likely sites |
|  | If still not found |
|  | Put notice on staff bulletin board, consider broadcast email |
|  | Repeat some of these actions over two or three days if necessary – most parcels turn up |
|  | the next day at the correct destination |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** |  |
|  |  |
| **Resources** | email, phone |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Couriers – Ad Hoc Services Unavailable** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | medium if longer than half a day |
|  |
|  |  |
| **Likely Scenario** | courier drivers’ strike |
|  |
|  |  |
| **Functions** | delivery of courier parcels from The Company’s to external parties; any business |
| operation could be affected |
| **Affected** |
|  |
|  |  |
| **Action** | Advise all business units of problem |
| Business units can use fax, email, express post or contact the intended recipient to |
|  |
|  | arrange alternative delivery (eg many companies have their own courier contracts and can |
|  | arrange a pickup from us at our expense) |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** | Widespread industrial disputes may include other courier companies and express post |
| services. |
|  |
|  |  |
| **Resources** | email, phone, Aust Post services, other courier companies |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Couriers – Scheduled Services Unavailable** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | medium if longer than half a day |
|  |
|  |  |
| **Likely Scenario** | courier drivers’ strike |
|  |
|  |  |
| **Functions** | delivery of courier parcels between all The Company’s sites |
| **Affected** |  |
|  |  |
| **Action** | Advise all business units of problem |
| DMU and business units can use fax, email, express post, ad hoc courier services or |
|  |
|  | personal hand to hand delivery |
|  | Some The Company’s drivers may be able to do some local clearances |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** | Contract specifies alternate, trained drivers available to cover sickness etc |
|  |
|  |  |
| **Constraints** | Widespread industrial disputes may include other courier companies and express post |
| services. |
|  |
|  |  |
| **Resources** | email, phone |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Documents Lost – Electronic (in large numbers)** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | high |
|  |
|  |  |
| **Likely Scenario** | Network problem |
|  |
|  |  |
| **Functions** | All electronic and paper-based document related activities |
| **Affected** |  |
|  |  |
| **Action** | Immediately: |
| • contact Help Desk x xxxxx to log problem and establish nature and duration of |
|  |
|  | problem and if necessary request recreation from backup |
|  | • contact our IT&T Business Advocate x xxxxx to ensure problem is treated with |
|  | urgency |
|  | • advise Manager Corp Services x xxxxx |
|  | • advise all affected business units |
|  | If problem cannot be fixed within one day by recreation from backup, discuss with all |
|  | stakeholders how to manage current operations and any ad hoc document recreations so |
|  | that a later full restoration does not make even more problems – involve all stakeholders, |
|  | particularly IT&T and all affected business units. |
|  | If problem cannot be fixed by recreation from backup, investigate ways and need to |
|  | recreate from paper files, or from individual staff members or suppliers documents etc – |
|  | involve all stakeholders |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** | IT&T Backup; some documents eg Customer Contracts are scanned to CD, and copies |
| are held by business units and the scanning bureaux |
|  |
|  |  |
| **Constraints** | IT&T Backup – it can take time to organise a recovery, and generally this can only be |
| done on the basis of whole directories at a point in time. |
|  |
|  |  |
| **Resources** | IT&T Backup; CD’s |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Documents Lost – Electronic (specific** |
|  | **documents)** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | varies |
|  |
|  |  |
| **Likely Scenario** | Document accidentally deleted |
|  |
|  |  |
| **Functions** | All electronic and paper-based document related activities |
| **Affected** |  |
|  |  |
| **Action** | Immediately: |
| • contact Help Desk x xxxxx to log problem and if necessary request recreation from |
|  |
|  | backup |
|  | • advise all affected business units |
|  | If problem cannot be fixed by recreation from backup, investigate ways and need to |
|  | recreate from paper files, or from individual staff members or suppliers documents etc – |
|  | involve all stakeholders |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** | IT&T Backup; some documents eg Customer Contracts are scanned to CD, and copies |
| are held by business units and the scanning bureaux |
|  |
|  |  |
| **Constraints** | IT&T Backup – it can take time to organise a recovery, and generally this can only be |
| done on the basis of whole directories at a point in time. |
|  |
|  |  |
| **Resources** | IT&T Backup; CD’s |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Documents Lost – Hardcopy (in large numbers)** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | high |
|  |
|  |  |
| **Likely Scenario** | HOB floor or other The Company’s site lost; offsite storage site lost; fire or storm damage |
|  |
|  |  |
| **Functions** | file and document retrievals; all document-based activities |
| **Affected** |  |
|  |  |
| **Action** | Immediately: |
| • advise Manager Corp Services |
|  |
|  | • advise all affected business units and discuss short and long term implications |
|  | Investigate ways and need to recreate from other paper or electronic files, or from |
|  | individual staff members or suppliers documents etc – involve all stakeholders |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** | Some documents eg Customer Contracts are scanned to CD, and copies are held by |
| business units and the scanning bureaux |
|  |
|  |  |
| **Constraints** |  |
|  |  |
| **Resources** |  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Documents Lost – Hardcopy (specific document,** |
|  | **file or box)** |
|  |  |
| **Probability** | medium |
|  |
|  |  |
| **Impact** | varies, potentially high |
|  |
|  |  |
| **Likely Scenario** | It’s always urgent – a subpoena, FOI or Privacy request, whatever, and the box, file or |
| document is missing |
|  |
|  |  |
| **Functions** | Document retrieval; any document-based activity |
| **Affected** |  |
|  |  |
| **Action** | Check XXXX for possible locations |
| Ask last known person involved with document |
|  |
|  | Ask business unit – most lost documents are elsewhere in the requestor’s business unit |
|  | Check with Document Coordinators at likely sites |
|  | Put notice on staff bulletin board / broadcast email |
|  | Contact individual staff members who may have knowledge of the documents concerned |
|  | If document is irrevocably lost, discuss impact with stakeholders, issue statement of |
|  | search and loss signed by Document Manager. |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** | Some documents eg Customer Contracts are scanned to CD, and copies are held by |
| business units and the scanning bureaux |
|  |
|  |  |
| **Constraints** |  |
|  |  |
| **Resources** |  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Email or Network Down** |
|  |  |
| **Probability** | medium |
|  |
|  |  |
| **Impact** | high |
|  |
|  |  |
| **Likely Scenario** | A malfunction in the computer system or on the LAN |
|  |
|  |  |
| **Functions** | Business units requesting files and boxes (excludes interruptions to the file tracking |
| software and database, for which see [*Software - XXXX* System Down](#page30) |
| **Affected** |
|  |
|  |  |
| **Action** | Contact Business Units by phone and ask that all communications be by phone, on paper |
| or in person |
|  |
|  | DMU to record all file requests on paper |
|  | When the system is available again, arrange data entry of all movements recorded on |
|  | paper |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** |  |
|  |  |
| **Resources** | phone; File / Box Request forms |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Fire or Water Damage to Documents** |
|  |  |
| **Probability** | Low |
|  |
|  |  |
| **Impact** | Medium |
|  |
|  |  |
| **Likely Scenario** | False alarm setting off sprinklers; or fire damage plus water damage from sprinklers and |
| hoses; or stormwater damage. Water damage is usually the most serious outcome of a |
|  |
|  | fire. |
|  |  |
| **Functions** | Business Units using files; DMU issuing and returning files |
| **Affected** |  |
|  |  |
| **Action** | If water problem occurs when DMU staff are present and is in a DMU controlled area, put |
| polytarps over affected shelves |
|  |
|  | URGENT: Assess damage (may require input from business units) – if more than is |
|  | manageable in house, contact BMS Catastrophe or Munters to get quotes on removal, |
|  | drying and cleaning. *Drying should begin within 24 hours to minimise damage.* |
|  | Advise all business units of extent of problem and likely delays |
|  | If documents are lost, see [*Documents Lost – Hardcopy (in large numbers)*](#page20) |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** | Polytarps only useful if water is in limited area under DMU control and problem occurs |
| while DMU staff present. |
|  |
|  | Cost for use of commercial recovery specialists (eg BMS Catastrophe) |
|  |  |
| **Resources** | Polytarps, email, phones |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Franking Machine Fault** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | high |
|  |
|  |  |
| **Likely Scenario** | Franking machine develops a fault and fails to operate |
|  |
|  |  |
| **Functions** | Outgoing mail |
| **Affected** |  |
|  |  |
| **Action** | Contact supplier immediately to arrange service / replacement |
| Contact AustraliaPost to arrange for them to do the franking |
|  |
|  | Contact couriers to arrange earlier GPO pickup if necessary |
|  | Advise all business units if earlier cutoff deadline is needed |
|  | Count and bundle outgoing mail ready to go to Australia Post unfranked |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** | Australia Post account; service arrangement with franking machine supplier |
|  |
|  |  |
| **Constraints** | Nature and volume of outgoing mail does not warrant cost of fast response service |
| contract with machine vendor |
|  |
|  |  |
| **Resources** | phone; Australia Post account |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Hardware Problems** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | low |
|  |
|  |  |
| **Likely Scenario** | Malfunctioning PC, printer, scanner, barcode reader, CD burner, data projector etc |
| For more widespread hardware or IT problems, see [*Software - XXXX* System Down*,*](#page30) |
|  |
|  | [*Email or Network Down*](#page22) |
|  |  |
| **Functions** | any |
| **Affected** |  |
|  |  |
| **Action** | For PC’s and printers, contact the Help Desk; switch to another PC or printer in the |
| meantime. |
|  |
|  | For the CD Burner, contact the Help Desk; arrange use of another CD Burner in the |
|  | meantime |
|  | For other DMU equipment (eg scanners, data projector) contact the supplier or |
|  | manufacturer |
|  |  |
| **Responsibilities** | senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** | Windows 2000 global roaming and printer facilities enable switching; other business units |
| have similar peripherals; service agreements for mission-critical equipment |
|  |
|  |  |
| **Constraints** |  |
|  |  |
| **Resources** | phone |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Lifts Unavailable** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | low for short duration, high for long duration |
|  |
|  |  |
| **Likely Scenario** | All lifts out of action; or some lifts out plus overcrowding and queueing at peak hours. |
|  |
|  |  |
| **Functions** | File and box pickups and deliveries, mail handling clearance runs |
| **Affected** |  |
|  |  |
| **Action** | DMU contacts affected business units to advise likely delays |
| Urgently needed individual documents can be faxed, or scanned and emailed to business |
|  |
|  | units |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** | Be aware of peak load times for lifts, liaise with Property so we know of any planned |
| significant outages |
|  |
|  | Fax and email services and scanning equipment available |
|  |  |
| **Constraints** | *The Company’s general emergency procedures override these instructions if there are* |
| *any conflicts* |
|  |
|  |  |
| **Resources** | Phone, fax, scanner, email |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Offsite Archive Services Unavailable** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | medium |
|  |
|  |  |
| **Likely Scenario** | Industrial dispute or traffic deadlock |
|  |
|  |  |
| **Functions** | Archive box pickups and deliveries |
| **Affected** |  |
|  |  |
| **Action** | Advise all Business Units |
| In some cases identifiable documents can be selected and faxed by the storage |
|  |
|  | company, or The Company’s staff can go to the storage company site |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** |  |
|  |  |
| **Constraints** | Industrial action may prevent faxing or site access; faxing expensive and only possible for |
| clearly identifiable documents |
|  |
|  |  |
| **Resources** | email; phone, fax |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Phone System Unavailable** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | medium |
|  |
|  |  |
| **Likely Scenario** | Phone system or phone line problems |
|  |
|  |  |
| **Functions** | Business units requesting advice, files and boxes |
|  |
| **Affected** | DMU contacting suppliers |
|  |  |
| **Action** | Contact all Business Units and suppliers by email or mobile phone and ask that all |
| communications be by email or mobile phone |
|  |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** | File / Box request form available in DMU and in routine use; mobile phone |
|  |
|  |  |
| **Constraints** |  |
|  |  |
| **Resources** | email; mobile phone; File / Box Request forms |
|  |
|  |  |

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|  |  |  |
| --- | --- | --- |
| **Risk** |  | **Power Unavailable** |
|  |  |  |
| **Probability** | low |  |
|  |  |
|  |  |  |
| **Impact** | high |  |
|  |  |
|  |  | |
| **Likely Scenario** | lights or power points only or all 240v power failure | |
|  |  |
|  |  |  |
| **Functions** | all, main impact if outage is long is on people | movements in basement and sub basement |
| for mail handling, couriers and file movements |  |
| **Affected** |  |
|  |  |
|  |  | |
| **Action** | Total power outage means no lifts, lights, phones or computers. This will be managed by | |
| The Company’s general procedures. |  |
|  |  |
|  | Find out extent and likely duration of problem – contact xxxx on x xxxxx if there are no | |
|  | broadcasts. |  |
|  | Use the rechargeable flashlights in the DMU area, Basement Holding Room and Sub | |
|  | Basement to move around safely. |  |
|  | If the outage is long, contact courier andstorage companies if pickups or deliveries are | |
|  | expected: they may prefer to arrange alternative delivery points or to hold deliveries. | |
|  |  | |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required | |
|  |  |
|  |  | |
| **Mitigation** | The Company’s Property Group planning, standards & general emergency procedures | |
|  |  |
|  |  | |
| **Constraints** | *The Company’s general emergency procedures override these instructions if there are* | |
| *any conflicts* |  |
|  |  |
|  |  |  |
| **Resources** | phone, mobile phone, rechargeable flashlights |  |
|  |  |
|  |  |  |

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|  |  |
| --- | --- |
| **Risk** | **Software - XXXX System Down** |
|  |  |
| **Probability** | low |
|  |
|  |  |
| **Impact** | medium |
|  |
|  |  |
| **Likely Scenario** | XXXX itself playing up, the network having problems, or the database corrupted and being |
| restored or rebuilt |
|  |
|  | This Risk only cover the XXXX system itself: for network and email problems see [*Email or*](#page22) |
|  | [*Network Down*](#page22);for hardware problems see[*Hardware Problems*](#page25) |
|  |  |
| **Functions** | Business Units and DMU searching for file and box numbers |
|  |
| **Affected** | Business Units requesting files from the DMU |
|  | Issuing and returning files |
|  |  |
| **Action** | On realising system has a problem: |
| Investigate, contacts IT and if required, XXXX Software. |
|  |
|  | Advise all Business Units, saying: |
|  | *System is down until xxx, we will advise when it is available again, contact DMU in the* |
|  | *meantime by email. phone or in person for urgent file and box requests* |
|  | Log all file and box movements on paper |
|  | Once problem is resolved, arrange data entry of all file movements recorded on paper |
|  |  |
| **Responsibilities** | Any The Company’s officers contact DMU if XXXX plays up |
| DMU contacts IT, XXXX |
|  |
|  |  |
| **Mitigation** | For overall system availability and database integrity we rely on the normal IT backups |
| and offsite storage arrangements |
|  |
|  | *[For consideration] On a weekly basis, DMU prints reports showing file number, barcode,* |
|  | *file title, location and if applicable box number. The current version is held in the DMU, the* |
|  | *previous version is stored offsite, older versions are discarded.* |
|  |  |
| **Constraints** | email, phone |
| It can be difficult to decide whether the problem lies with XXXX, the network, or hardware. |
|  |
|  | Discuss this with IT before contacting XXXX. |
|  |  |
| **Resources** | broadcast email (preferred); phone system; paper forms |
|  |
|  |  |

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|  |  |
| --- | --- |
| **Risk** | **Vehicle Unavailable** |
|  |  |
| **Probability** | medium |
|  |
|  |  |
| **Impact** | medium |
|  |
|  |  |
| **Likely Scenario** | The Company’s vehicle booked to go to the warehouses, unavailable at last minute |
| because vehicle required by senior management or field services |
|  |
|  |  |
| **Functions** | Box deliveries and retrievals – main impact is on servicing subpoenas and FOI |
| **Affected** |  |
|  |  |
| **Action** | Warehouse 1 |
| If only a few documents are involved, travel by train or taxi |
|  |
|  | Otherwise discuss urgency with business unit, consider using ad hoc courier services |
|  | Warehouse 2 |
|  | Discuss urgency with business unit, consider using hire car or truck. |
|  |  |
| **Responsibilities** | Senior DMU staff member present to coordinate and escalate if required |
|  |
|  |  |
| **Mitigation** | We are transferring as many boxes as possible to commercial storage |
|  |
|  |  |
| **Constraints** |  |
|  |  |
| **Resources** | phone, staff |
|  |
|  |  |

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