Business Continuity Plan (BCP)

Surrey Pension Team

July 2024

Surrey Pension Team

Providing our customers with a better tomorrow

Version 1.0

SPT – Business Continuity Plan

Date	1 July 2024
Version	1.0
Author/BC Lead	Siva Sanmugarajah Risk and Compliance Manager
BC Deputy	Colette Hollands, Interim Head of Accounting & Governance
Owner	Neil Mason, Asst Director, LGPS Senior Officer
GSC	Official Sensitive

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Service Recovery Team (SRT)

Job Title	Name – currently in post
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Document Control

Owner	Neil Mason Assistant Director, LGPS Senior Officer
Author	Siva Sanmugarajah Risk and Compliance Manager
Version	1.0 Date: 1 July 2024
Next review date	TBC (once Business Continuity Plan has been approved)
GPMS	Official Sensitive
Electronic file location	TBC (once Business Continuity Plan has been approved)
Date last validated and how?	NA

Head of Service Statement

I am in receipt of Surrey Pension Team's BIA version 1.0. I have read the contents and am satisfied with the arrangements laid out within the document.

I will ensure that this BIA is communicated to all relevant persons within the Surrey Pension Team. I will ensure that it is reviewed fully on an annual basis and when any significant change occurs within the service e.g. a service restructure. I will ensure that the key contacts in Contact Details are reviewed and updated on a quarterly basis. I will ensure that all service personnel assigned business continuity responsibilities are competent to perform the required tasks. I will ensure that records of service business continuity exercises and business continuity training for members of the SPT Service Recovery Teams are recorded, kept and shared with the Emergency Management and Resilience Team.

Signed_____

Neil Mason, Assistant Director LGPS Senior Officer

Date:_____

A signed copy of this plan is kept in TBC and a copy has been sent to the Emergency Management and Resilience Team (EMRT). The current Business Impact Assessment (BIA) supporting this BCP is version 1.0 dated 1 July 2024.

Record of Amendments

Version	Amendments	Amended by	Release date
v.1.0	Created		1 July 2024

Contents

Introduction

Aim	
Objective	
Summary of Sections	

Section 1 – Activation & Response

Escalation Framework	
Emergency Actions Checklist	

Section 2 – Incident Management

Identifying an Incident	
Managing an Incident	
Stand Down	
Communicating in an Incident	
Accountability and Responsibilities	

Section 3 - Appendices

Appendix 1 – Action/Incident Log	
Appendix 2 – SCC Incident Report Form	
Appendix 3 – Critical Activities & Contingency arrangements	
Appendix 4 – Dependencies & Contact Details	
Appendix 5 – Alternate Working arrangements	
Appendix 6 – Plan Dependencies	
Appendix 7 – Exercising & Activations	

Section 4 - Glossary

Introduction

This BCP provides details of the Surrey Pension Team's (SPT) arrangements. The procedures and responsibilities set out have the support of the Pension Senior Leadership Team (PSLT) who expect all relevant staff to be aware of its content and be ready to implement the identified procedures at any time.

Aim

The aim of the SPT BCP is to reduce the effects of any incident or event that could disrupt the mission critical activities of SPT and ensure a smooth return to business as usual.

This plan intends to enable rapid mobilisation and management of resources to restore the delivery of the **critical activities** identified in the plan.

Objectives

- To identify SPT's mission critical activities and the resources required to ensure these activities could carry on under any circumstance.
- To mitigate the impacts identified in the BIA.
- To provide a framework to recover the services.
- To identify alternative working arrangements to allow the continuation of service.
- To identify key roles and responsibilities involved in the recovery process.

Summary of Sections

The document is divided into 4 sections:

Section 1: Provides the necessary information on activating and responding to an incident and tools such as the Emergency Actions Checklist to use immediately to respond to an incident.

Section 2: Provides information on Incident Management with appendices as follows:

- Identifying an incident – BCP sets out the thresholds for activating the plan (BCP) and hence a copy of SPT BCP will be lodged with the EMRT. It contains the critical activities and contingency arrangements (Appendix 3), contact details (Appendix 4), alternate working arrangements (Appendix 5), plan dependencies (Appendix 6) and exercising and activations (Appendix 7).

- Managing an incident is via an Incident Management Log (Appendix 1) to enable tracking of events and actions taken, and an Incident Reporting Form (Appendix 2) which allows more detailed reporting including prioritising actions, details of required communications and devising a reporting schedule to confirm time of next updates. During this phase various teams such as SRT with a Team Leader, Operations Group (Ops Group) and Communications Team are formed depending

on the nature and impact of the incident to deal with the incident, and contain any damage and disruption caused.

- Stand Down – This includes the following steps being progressed or completed:

  o Necessary planning activities for recovery phase have been considered and implemented including a dedicated recovery checklist.

  o Debriefing during the recovery phase to ensure continual improvement is identified. This will depend on the nature of incident and the disruption caused and hence could include key learning, strengths and weaknesses, recommendations and identification of new risks or threats. Hot and cold debriefs indicate the timing of debriefing (sooner or later) from when the incident took place and may depend on the severity of disruption. Key learning is shared after a severe disruption to put necessary controls in place as a preventative measure. Cold briefing will be similar to having a detailed Incident Reporting Form say after a fortnight.

  o Communicating in an incident also has many steps subject to the nature of the incident (minor to significant disruption) from initial notification and information cascade to communicating with staff via IT systems (websites), messaging via 419000 to first (Customer Interaction Lead) and second (My Helpdesk Team Leader) points of contacts for SPT.
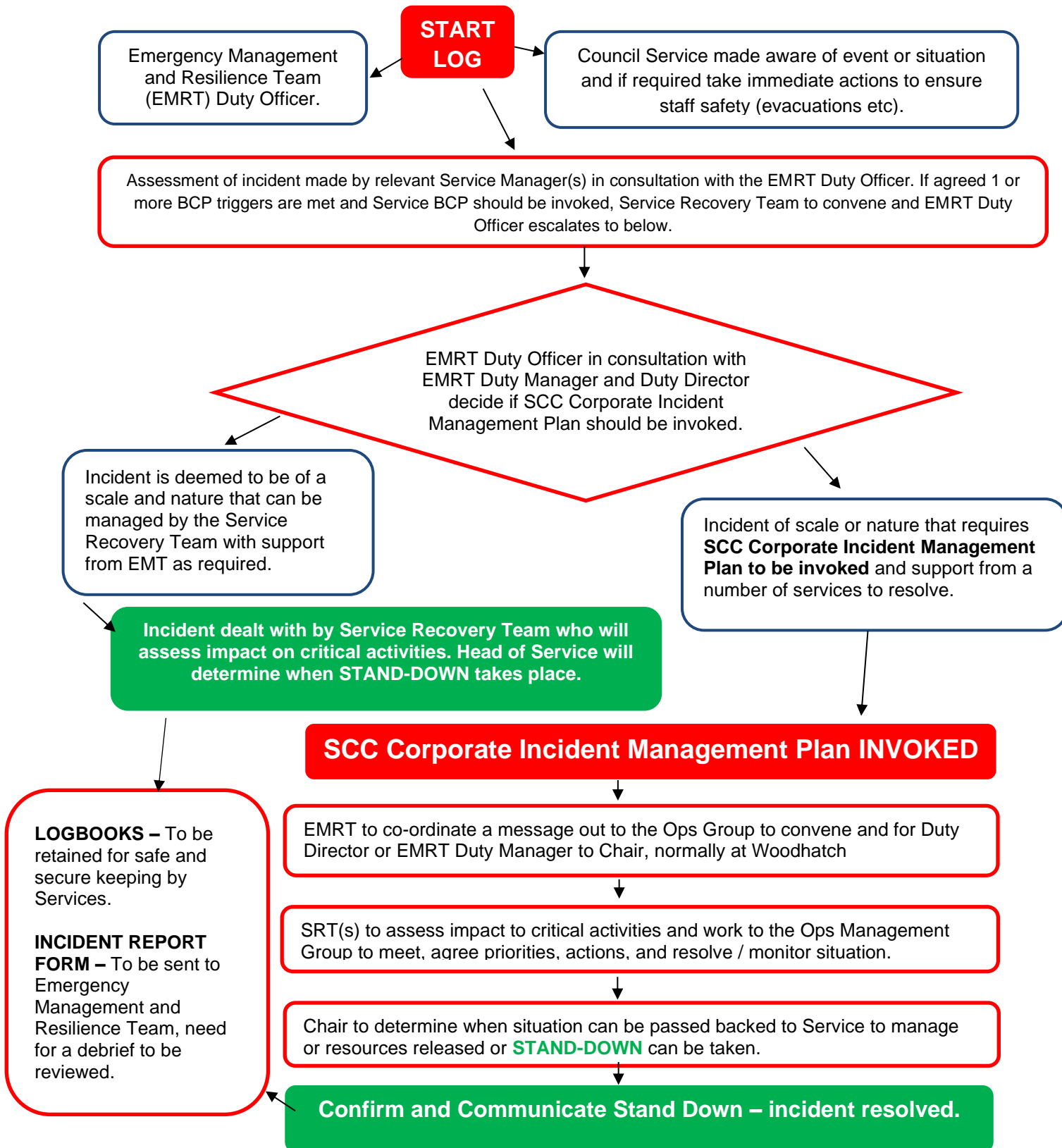
Section 3: Appendices referred to in the BCP.

Section 4: Glossary

Section 1 - Activation & Response

Escalation Framework

INCIDENT / EVENT / SITUATION

START LOG

Emergency Management and Resilience Team (EMRT) Duty Officer.

Council Service made aware of event or situation and if required take immediate actions to ensure staff safety (evacuations etc).

Assessment of incident made by relevant Service Manager(s) in consultation with the EMRT Duty Officer. If agreed 1 or more BCP triggers are met and Service BCP should be invoked, Service Recovery Team to convene and EMRT Duty Officer escalates to below.

EMRT Duty Officer in consultation with EMRT Duty Manager and Duty Director decide if SCC Corporate Incident Management Plan should be invoked.

Incident is deemed to be of a scale and nature that can be managed by the Service Recovery Team with support from EMT as required.

Incident of scale or nature that requires **SCC Corporate Incident Management Plan to be invoked** and support from a number of services to resolve.

Incident dealt with by Service Recovery Team who will assess impact on critical activities. Head of Service will determine when STAND-DOWN takes place.

SCC Corporate Incident Management Plan INVOKED

EMRT to co-ordinate a message out to the Ops Group to convene and for Duty Director or EMRT Duty Manager to Chair, normally at Woodhatch

SRT(s) to assess impact to critical activities and work to the Ops Management Group to meet, agree priorities, actions, and resolve / monitor situation.

Chair to determine when situation can be passed backed to Service to manage or resources released or **STAND-DOWN** can be taken.

LOGBOOKS – To be retained for safe and secure keeping by Services.

INCIDENT REPORT FORM – To be sent to Emergency Management and Resilience Team, need for a debrief to be reviewed.

Confirm and Communicate Stand Down – incident resolved.

Emergency Actions Checklist

To be used by SRT or the staff member coordinating the incident.

- Monitor staff welfare and relocate staff, along with any visitors or residents, to a safe, more sheltered location if appropriate. ☐

- Identify where your staff are and if staff have moved locations, where they have moved to. ☐

- If appropriate, ensure the emergency services have been called or contact has been made with the Emergency Management and Resilience Team (EMRT) through the Duty Officer: 07831 473039 ☐

- Ensure Property Services are made aware if necessary, through My Helpdesk Property on 020 8541 9000 Option 6 (41 9000) - TBC ☐

- Convene your Service Recovery Team through CRRF Rep and decide on your service's course of action. ☐

- Identify if any of your service's critical activities are disrupted and if any critical resources are required. ☐

- Start a log of actions taken (template Appendix 1). ☐

- Provide ongoing communication and updates to your staff and nominate a single point of contact for staff, suppliers/providers, and any partners to use. ☐

- Where safe to do so identify any damage and locate where any key documents or equipment are in the building. ☐

- Provide public information to the SCC Communications Team to maintain reputation and business and provide information to SCC Internal Communications to keep staff updated. ☐

- After the incident alert staff and key business partners that the emergency has been stood down and when normal business activities have been restored. ☐

- Complete an incident report form (Appendix 2). ☐

- After the incident arrange a debrief with service staff involved and review your service Business Continuity Plan to capture any lessons identified. ☐

Section 2 – Incident Management

Identifying an Incident

This plan sets out the parameters and pre-defined thresholds for the activation of this plan. For SPT the activation of this plan would be triggered by any of the following incidents:

- Restricted or no access to SCC Network including internet
- Lack of access to MS applications
- Failure in the BACS process to make payments
- Lack of access to Altair system
- Lack of access to i-Connect
- Lack of access to Northern Trust's system (GCM portal)
- Lack of access to HSBC portal.

This plan allows the detection and assessment of risks to the service, the maximum tolerable period of disruption and the recovery time objective. Preparation and planning activities can take place based on the assessment of these risks. Appendices 3 and 4 detail the critical activities of the service and the contingency arrangement to allow them to continue during a period of disruption. Appendix 5 details alternate working arrangements requirements, these have been identified in advance with alternate arrangements detailed to ensure that the critical activities can be maintained.

These Appendices, alongside the escalation framework and emergency actions checklist in Section 1 of the plan, support the invocation and management of the incident.

Managing an Incident

To support the management of an incident, Appendix 1 is an incident management log, this allows the tracking of events and actions taken.

Appendix 2 is an Incident reporting form and allows more detailed reporting of the incident including prioritising actions and details of required communications. This form also allows a reporting schedule to be devised by confirming time of next updates.

Stand Down

When standing down from an incident, it is important to ensure that all the of the necessary planning activities for the recovery phase have been considered and implemented, this may include a dedicated recovery cell and a recovery checklist.

Debriefing is an important part of the recovery phase and plays an essential role in the continual improvement process. The type of debrief will vary based on the incident or disruption that has taken place. A debrief should cover key learning, strengths and weaknesses, recommendations and identification of new risks or threats.

A hot debrief should be held immediately after the incident, preferably within two days, to ensure that learning is captured quickly while it is fresh in the mind.

A cold debrief would take place a later date from the incident (usually within 14 days) where those involved will provide feedback, usually by filling out a form. A cold debrief can be used to create an incident report and captures more detailed information and learning from an incident or disruption.

Communicating in an Incident

Initial Notification & Information Cascade

The following flow chart details the information flow and cascade that SPT staff should follow when an incident occurs.
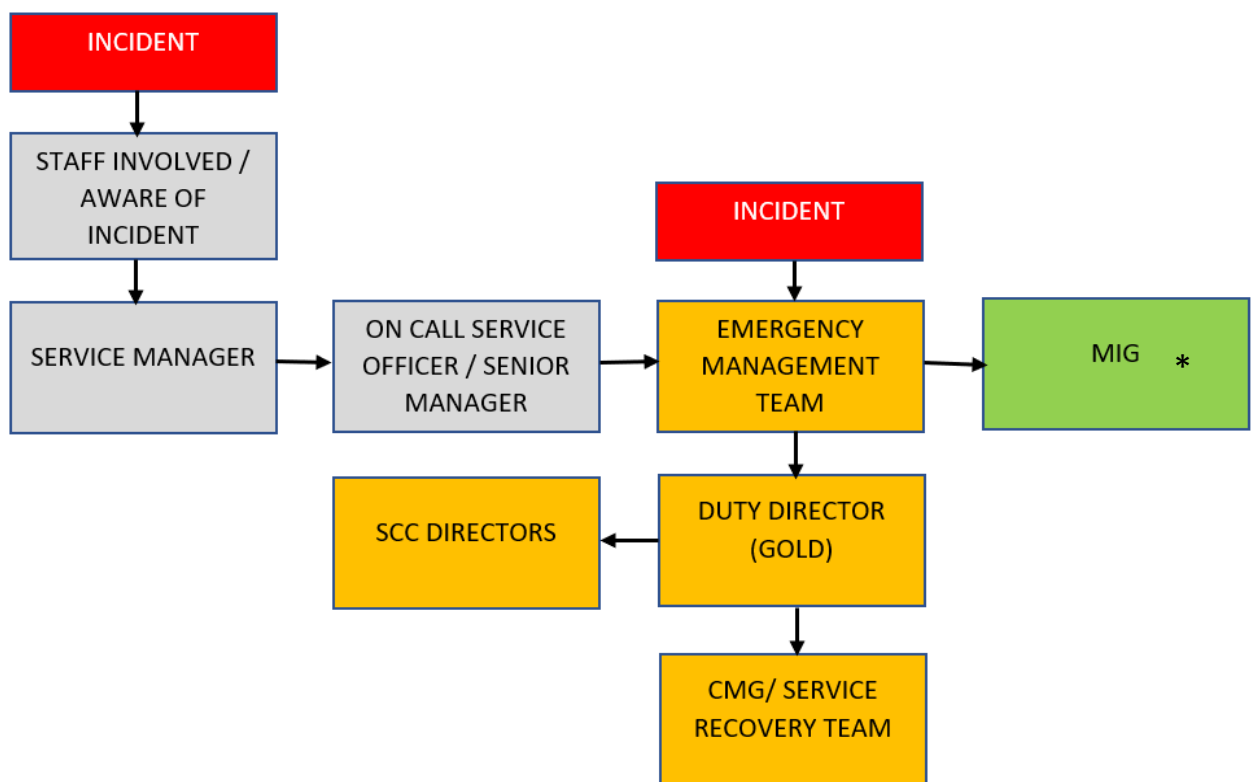
*Multi-Agency Information Group

Communicating with Staff

The following communication methods will primarily be used by managers and staff when an incident has occurred. These are the most effective methods for quick and efficient information sharing.

Communication Method	Who Can access	When can this be accessed and from what device?	Who can send out these messages?
SCC Info / Intranet	All Staff with IT access	24/7 from SCC Desktop, laptop, SCC iPhone, or non-SCC Laptop with VPN token.	IN HOURS Internal Communications and Web and Digital Services
SCC Public Website	All Staff with IT access and Members of the public with Internet access.	24/7 on any device.	IN and OUT of HOURS Internal Communications and Web and Digital Services
SCC E-Mail	All Staff with IT access	24/7 on SCC laptop, iPhone via 0365 app.	All staff with IT access have access to emails IN HOURS.

As SPT operates in an agile working environment, communication methods have developed, leading to new ways of communicating. During an incident, staff may use other communications methods such as Microsoft Teams Instant Messaging or SMS/Phone calls to communicate with managers and other staff members. Teams may also use external communication methods such as WhatsApp groups for Out of Hours communications. The SPT should holds a record of all their staff contact details as best practice.

- **419000 Messaging**

When an incident has occurred that is disrupting SCC services/communication methods, the Business Operations team can update the 419000-messaging service with information specific to the incident that has occurred. This will be used to inform staff if e.g. particular offices are closed, or a service has become unavailable. Following receipt of this message staff should contact their line manager for further information. The messages would be uploaded so that the following information may be given before an option is selected:

  o **503 - Adverse Weather - Broadcast**

Due to the adverse weather conditions, your usual place of work may be unavailable. Please check the Surrey County Council website for specific updates and should you have any difficulty travelling to work safely, please contact your manager.

  o **508 - Woodhatch Evacuation - Emergency**

Due to unforeseen circumstances, My Helpdesk is currently unavailable and will return shortly.

For SPT, requests for 419000 can be made through the business operations team using the following contact details: Customer Interaction Lead – Beth Evans or Jim Woodlingfield, Deputy Head of Service Delivery.

Accountability & Responsibilities

Service Recovery Team (SRT)

The members of the SRT will be identified as the relevant staff responsible for the incident. The role of the Service Recovery Team is as follows (but not limited to):

- Consider and appoint a Service Recovery Team Leader
- Monitor staff welfare and ensure necessary actions are taken as required
- Assess and monitor the impact of an incident on the service activities
- Liaise with the EMRT and determine if the SPT BCP should be invoked
- Ensure key internal and external interested parties are kept informed of the impact of the incident
- Carry out actions required in invoking the BCP and in restoring the normal running of the SPT quickly as possible
- Provide the Ops Group (if convened) with updates at requested intervals
- Implement any decisions made by the Ops Group and
- Ensure key details relating to the incident are recorded using an Incident Report form (Appendix 2). Record key decisions in a Decision Log (Appendix 1).

Service Recovery Team Leader

The role of the Service Recovery Team Leader is to:

- Chair the Service Recovery Team
- Ensure the immediate actions are carried out as appropriate
- Act as the link with the Ops Group and translates strategic guidance into tactical action.

Operations Group (Ops Group)

The Ops Group, when convened, will normally be chaired by the Duty Director. Depending on the time, scale and known details of the event or situation, this role may at any point be delegated to the EMRT Duty Manager, but with the Duty Director retaining responsibility for the strategic management of the event or situation. Further details are included in the SCC Corporate Incident Management Plan.

The role of the Ops Group is to:

- Confirm the nature and extent of an incident
- Ensure welfare of all individuals at all times
- Allocate an incident alert level and review as appropriate
- Confirm resources required to facilitate an effective response
- Ensure good communication with all those involved in the incident and relevant interested parties are informed and involved

- Confirm and communicate a 'stand-down' when appropriate
- Commission a de-brief where appropriate
- Consider environmental impacts of the incident and
- Consider if an EQIA is required for the incident.

Communications Team (comms team)

The role of the comms team is to:

- Assess whether a MIG (Multiagency Information Group) needs to be called, and chair if so
- Draft messages and identify channels for internal and external communications and execute and
- Use ongoing flow of information to review and adapt communication plan and messages as appropriate.

Additional Bodies

Further details on incident roles and responsibilities in responding to a business continuity incident can be found in the Corporate Resilience Policy and Corporate Incident Management Plan.

Section 3 - Appendices

Appendix 1 – Action/Incident Log
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Appendix 1 – Action/Incident Log

Action / Incident Log

OFFICER'S NAME: .... SHEET NO: .... SERVICE: .... DATE: ....

Ref e.g. 001 / 002	Time (24hrs)	Event	Action

Appendix 2 – SCC Incident Report Form

Event/ Incident Date Time Person reporting Contact Number		Person recording Head of Service notified (date/time)?	

Event/Incident Information

Description of Event Including time(s) and location, postcode etc.	
Impact What is the effect of the incident on people, premises and provision of service? Are any critical activities affected?	

Action

Actions already taken By whom and to what affect	
Actions needed Include priorities	

Communication

Who has been notified	
Partners / stakeholders	
Members	
Others	

Update

Recovery expected (give time / date)	
Next Update due	

Version 1.0

Appendix 3 – Critical Activities & Contingency arrangements

Refer to the BIA for details of the Business Unit, Activity Number and Risk Category Score.

Business unit	Activity number	Risk category score	Activity description	MTPD	RTO	Contingency arrangements e.g. relocation to other premises, transfer of work to other departments, access to critical documents or equipment if the normal storage location is inaccessible etc.
A4 Fin	1	4	Investment Manager - Access to NT GCM portal is via portal manager, and HSBC is via CHAPS.	<12 hours	1-10 hrs	Refer to SCC Treasury for assistance on authorising/approving of portal manager via HSBC.
B I&S	1	4	Monitoring Market Value	1 day	1 day	Officers would rely on other external internet access to contact Northern Trust (NT).
B I&S	2	4	Transactions	1 day	1 day	Officers require SPT Sharepoint and email availability to contact NT and Fund Managers.
B I&S	3	4	Capital Calls	1 day	1 day	Officers require SPT Sharepoint and email availability to contact NT and Fund Managers.
C SD	1	5	Access to Altair	1 hour	<1 hr	Disaster Recovery Procedure, Access to Backup System.
C SD	2	5	Access to SCC Network including internet and Microsoft application	1 hour	<1 hr	Disaster Recovery Procedure within SCC protocol.
C SD	3	4	Access to i-Connect	12 hrs	<12 hrs	Delayed uploads, communication to users of downtime. Longer term disruption delays collection of data leading to manual collection via Secure Email.

Appendix 4 – Dependencies & Contact Details

Resource	Contact	Office Number	Mobile Number
Duty Officer, EMRT, SCC	Helen Doherty, Deputy Head of EMRT		07971 792223
SCC IT & D – IT & D Helpdesk For SCC network, internet, MS applications and Sharepoint	IT & D Helpdesk	020 8541 9000 option 2	
Heywood contact - for Altair	Shenley Gallimore-Clements, Senior Customer Relationship Manager	+44 (0) 161 613 4212	
Northern Trust Portal – Global Custodian	Simon Payne, Client Service Manager	+44 207 982 1584	
HSBC Portal – SPF Bank	Matthew E Powell, Relationship Director Matthew.e.powell@hsbc.com		+44 7468 703 026

Key Contacts based on Critical Activities				
Role	Contact	Office Number	Mobile Number	Critical activity reference (reference e.g. A1)
Asst Director, LGPS Senior Officer	Neil Mason		07896 791797	A4, B, C and D
Head of Investment & Stewardship (I&S)	Lloyd Whitworth	020 8213 2738		B1, B2 and B3
Deputy Head of Investment & Stewardship	Mel Butler			B1, B2 and B3
Head of Accounting & Governance	Colette Hollands			A4
Deputy Head of Accounting & Governance	Keevah Dumont		07977 664197	A4
Head of Service Delivery	Tom Lewis		07583 072853	C1, C2 and C3
Deputy Head of Service Delivery	Jim Woodlingfield		07580 741013	C1, C2 and C3
Deputy Head of Service Delivery	John Coombes		07971 724101	C1, C2 and C3
Head of Change Management	Nicole Russell		07890 511586	D
Business Support Officer	Kate Penfold		07896 277973	General support
Risk and Compliance Manager	Siva Sanmugarajah		07971 673012	CRRF Representative

Appendix 5 – Alternate Working arrangements

Critical activity reference e.g. A1	Which <u>critical staff</u> are unable to work flexibly (e.g. don't have a laptop) and require a hot desk?	What are their minimum workspace requirements at the back up location e.g. a meeting room, access to Wi-Fi, access to SCC network
N/A	None	N/A

Business unit e.g. A	Which <u>non-critical staff</u> are unable to work flexibly (e.g. don't have a laptop) and require a hot desk?	What are their minimum workspace requirements at the back up location e.g. a meeting room, access to Wi-Fi, access to SCC network
N/A	None	N/A

Appendix 6 – Plan Dependencies

Internal plans that may impact on the BCP.

- *Please detail arrangements here if relevant*

External plans that may impact on the BCP.

- *Please detail arrangements here if relevant*

Appendix 7 – Exercising & Activations

Details below of occasions when this plan has been exercised or activated

Date	Exercise/ Activation	Details

Section 4 – Glossary

A & G	ACCOUNTING & GOVERNANCE
AVC	ADDITIONAL VOLUNTARY CONTRIBUTIONS
BACS	BANKERS AUTOMATED CLEARING SYSTEM
BCPP	BORDER TO COAST PENSION PARTNERSHIP
BCP	BUSINESS CONTINUITY PLAN
BIA	BUSINESS IMPACT ASSESSMENT
CM	CHANGE MANAGEMENT
CHAPS	CLEARING HOUSE AUTOMATED PAYMENT SYSTEM
CRRF	COUNCIL RISK AND RESILIENCE FORUM
CRT	CUSTOMER RELATIONSHIP TEAM
DWP	DEPARTMENT FOR WORK & PENSIONS
DR	DISASTER RECOVERY
EMRT	EMERGENCY MANAGEMENT & RESILIENCE TEAM
ERD	EMERGENCY RESPONSE DIRECTORY
ELT	EXTENDED LEADERSHIP TEAM
EQIA	EQUALITY IMPACT ASSESSMENT
GCM	GLOBAL CASH MOVEMENT
GPMS	GOVERNMENT PROTECTIVE MARKING SCHEME
GSC	GOVERNMENT SECURITY CLASSIFICATION
LGA	LOCAL GOVERNMENT ASSOCIATION
LGPS	LOCAL GOVERNMENT PENSION SCHEME
HoS	HEAD OF SERVICE
HEYWOOD	PENSION ADMINISTRATION SYSTEM
HSBC	HONGKONG AND SHANGHAI BANK - SPF's BANK

i-CONNECT	EMLOYER PORTAL
IT	INFORMATION TECHNOLOGY
IMT	INFORMATION MANAGEMENT TECHNOLOGY
I & S	INVESTMENT & STEWARDSHIP
IT&D	INFORMATION TECHNOLOGY & DIGITAL
MIG	MULTI-AGENCY INFORMATION GROUP
MSS	MEMBER SELF-SERVICE
MTPD	MAXIMUM TOLERABLE PERIOD OF DISRUPTION
NFI	NATIONAL FRAUD INITIAVE
NI	NATIONAL INSURANCE
NINO	NATIONAL INSURANCE NUMBER
NT	NORTHERN TRUST
OPS GROUP	OPERATIONS GROUP
PSLT	PENSION SENIOR LEADERSHIP TEAM
RTO	RECOVERY TIME OBJECTIVE
SD	SERVICE DELIVERY
SRT	SERVICE RECOVERY TEAM
SCC	SURREY COUNTY COUNCIL
SCC CIMP	SCC CORPORATE INCIDENT MANAGEMENT PLAN
SPF	SURREY PENSION FUND
SPT	SURREY PENSION TEAM
TELL US ONCE	MORTALITY SCREENING NOTIFICATION PROCESS
VPN	VIRTUAL PRIVATE NETWORK
WFH	WORK FROM HOME