

Finance Department Business Continuity Plan

Department/Station:	Finance and Procurement
Plan Owned by:	Ian Cotter
Nominated Manager:	Ian Cotter
Date Completed:	January 2017
Review Date:	January 2018
Version	1

Activities Review

The nominated manager must complete an 'Activities Review' to identify the activities within the Department/Station. These activities will be risk assessed, against our Business Continuity element of the Service's Risk Matrix, taking only the impact assessment into account, see guidance below:

Minor The Service can live without this function until a point of business as usual	Moderate Function can be suspended for over 7 days.	Serious There can be some suspension of up to 7 days.	Major There can be a delay of a maximum of 24 hours.	Catastrophic The Service can not fail – full availability must be maintained.
The short term partial failure of a <u>department</u> to deliver non critical function.	The short term failure of a <u>department</u> to deliver non critical function.	The failure of a <u>department</u> to deliver a key function (up to 7 days) requiring the introduction of local department business continuity arrangement	Partial delay of the <u>Service</u> to deliver a critical function (up to 24 hours) requiring the introduction business continuity arrangements.	The failure of the <u>Service</u> to deliver an emergency response requiring the introduction of full business continuity arrangements.

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List the activities within Department or Station	Impact Score (1-5)
Treasury Management	
Daily Cash Management	3
Investments and borrowing	2
Planning & Financial Analysis	
Strategic Financial Information e.g. Medium Term Financial Plan (impact depends on timing of event)	1
Adhoc Financial Advice, Technical Consultancy & Support	1
Monthly Performance Indicators	1
Management Accountancy	
Budgetary Preparation and Control (impact depends on timing of event)	1
Virement & Budget Adjustment Administration	1
Asset Leasing	1
Monthly Payroll Upload/Journals	2
Monthly Third Party Payments	3
Financial Reporting	
Final Accounts & Statutory Compliance (impact depends on timing of event)	2
Financial Publications	1
Reconcile Period Summary/Balance Sheet	1
Statutory & CIPFA Returns	1
Annual Partial Exemption Calculation and VAT Returns	2
VFM and NFI Reporting	1

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Financial Systems	
Agresso Modular Management & Training	1
Agresso GL/AP/AR Set Up and Maintenance	2
Inventory Management/Reconciliation of Stock Accounts	1
Exchequer Services	
Payment of Supplier Invoices	3
Petty Cash Administration	1
Purchase Card Transaction Control	2
Transparency reporting >£500 Reporting	1
Banking	1
Reconciliation of bank accounts and other financial control accounts	3
Raising and receipting customer invoices	1
Income Collection, Recording and Debt Recovery	1
Customer/Supplier Queries	1
Procurement	
Procurement strategy, policy and procedures	1
Tendering	1
Contract management	1
Spend Analysis	1
Procurement training	1

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Catastrophic & Major Impact Activities

How long can the Service tolerate disruption of this Catastrophic/Major Impact Activity
(Place an X in the relevant box)

List the Catastrophic and Major Activities from above : Up to -->		No disruption	1Hr	4Hrs	8Hrs	>24Hrs
1	None					
2						
3						

Serious Impact Activities

How long can the Service tolerate disruption of this Serious Impact Activity
(Place an X in the relevant box)

List the Serious Impact Activities from above : Up to -->		>48hrs	>7days
1	Daily cash management	X	
2	Reconciliation of bank accounts and other financial control accounts		X
3	Monthly third party payments		X
4	Payment of Supplier Invoices (payments to key suppliers)	X	

Moderate Impact Activities

How long can the Service tolerate disruption of this Moderate Impact Activity
(Place an X in the relevant box)

List the Moderate Impact Activities from above : Up to -->		+7 Days
1	Investments and borrowing	X
2	Monthly Payroll Upload/Journals	X

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3	Final Accounts & Statutory Compliance (impact depends on timing of event)	X
4	Annual Partial Exemption Calculation and VAT Returns	X
5	Agresso GL/AP/AR Set Up and Maintenance	X
6	Purchase Card Transaction Control	X

Recovery Plan

The planned actions within the recovery plan support the continuation of catastrophic activities and the re-establishment of major, serious and moderate activities for the Department/Station within an identified time frame and the measures required to be in place to manage the recovery of these activities.

Prior to the Event (where warning has been received)

	Activity	Recovery Measures	Role Responsible
1	Communication	Communicate details to departmental team leaders and discuss impact and recovery issues	Head of Financial Services
2	Alternative work locations	Consider alternative work locations where required. Requirement for external access and wifi connection	Head of Financial Services

First Hour

	Activity	Recovery Measures	Role Responsible
1	Communication	Communicate details to departmental team leaders and discuss impact and recovery issues	Head of Financial Services
2	Alternative work locations	Consider alternative work locations where required. Requirement for external access and wifi connection	Head of Financial Services
3	Department Management	Review work priorities and ensure that staff are clear. Confirm any activities that can be delayed/stopped during event.	Head of Financial Services

4-8 Hours

	Activity	Recovery Measures	Role Responsible
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1	Staff Welfare	Contact staff and consider welfare requirements	Head of Financial Services
2	Communications	Ensure that the internal and external stakeholders for the department are aware of the event and any impact on workload.	Head of Financial Services

24 Hours

	Activity	Recovery Measures	Role Responsible
1	Departmental Management	Finance Director to provide management support and communications with department staff. IT access to ensure all staff can work from alternative locations if necessary.	Director of Finance
2	Service Communication	Identify method to communicate with those affected by disruption and disseminate appropriate message	Head of Financial Services
3	Staff Welfare	Consider staff welfare and maintain contact.	Head of Financial Services
4	Communications	Ensure that the internal and external stakeholders for the department are continued to be update of the event and any impact on workload.	Head of Financial Services
5	Alternative Locations	Continue with alternative work locations/review arrangements	Head of Financial Services

48 Hours

	Activity	Recovery Measures	Role Responsible
1	Daily cash management	Liaison with Bank to provide manual cash position to ensure sufficient funds available - Manual record of cash balances. IT access to ensure all staff can work from alternative locations if necessary.	Principal Financial Accountant/Accounts Technicians
2	Reconciliation of bank accounts and other financial control accounts	IT access to ensure all staff can work from alternative locations if necessary. If necessary, establish appropriate manual systems	Principal Financial Accountant/Exchequer Manager
3	Payment of Supplier Invoices (payments to key suppliers)	Liaison with Bank – If necessary, manual system operated e.g. payment by cheque. IT access to ensure all staff can work from alternative locations if necessary. ICT Access to Agresso/Printer/Scanner required.	Principal Financial Accountant/Exchequer Manager

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		Procedure Manuals available.	
4	Monthly third party payments	Liaison with Bank – If necessary, manual system operated e.g. payment by cheque. IT access to ensure all staff can work from alternative locations if necessary. ICT Access to Agresso/Printer/Scanner required.	Principal Financial Accountant/Accounts Technicians
5	Staff Welfare	Consider staff welfare and maintain contact	Head of Financial Services
6	Workloads	Ensure that staff are able to continue to work in alternative location and review workloads and expectations.	Head of Financial Services
7	Communications	Ensure that the internal and external stakeholders for the department are continued to be update of the event and any impact on workload.	Head of Financial Services
8	Alternative Locations	Continue with alternative work locations/review arrangements	Head of Financial Services

+7 days

	Activity	Recovery Measures	Role Responsible
1	Investments and borrowing	Liaison with Bank to provide manual cash position to ensure sufficient funds available - Manual record of cash balances. IT access to ensure all staff can work from alternative locations if necessary.	Principal Financial Accountant/Accounts Technicians
2	Monthly Payroll Upload/Journals	IT access to ensure all staff can work from alternative locations if necessary.	Accounts Technicians
3	Final Accounts & Statutory Compliance (impact depends on timing of event)	IT access to ensure all staff can work from alternative locations if necessary.	Principal Financial Accountant
4	Annual Partial Exemption Calculation and VAT Returns	IT access to ensure all staff can work from alternative locations if necessary.	Principal Financial Accountant/Exchequer Manager
5	Agresso GL/AP/AR Set Up and Maintenance	IT access to ensure all staff can work from alternative locations if necessary.	Finance Systems Manager

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6	Purchase Card Transaction Control	IT access to ensure all staff can work from alternative locations if necessary.	Exchequer Manager
7	Business as usual	Recommence all other departmental activities to return to Business as Usual	Head of Financial Services/Team Leaders
8	Consideration for longer term arrangements	Review alternatives for longer term BAU at substitute site.	Head of Financial Services
9	Staff welfare and communication	Review current arrangements and impact on staff. Agree longer term arrangements and communicate with the team.	Head of Financial Services
10	Communications	Ensure that the internal and external stakeholders for the department are continued to be update of the event and any impact on workload.	Head of Financial Services

Service Impact Analysis

To support the implementation and management of this plan the following minimum resources, vehicles & equipment and ICT will be required.

Resources	
Prior to event	Minimum Head of Department or representative
First Hour	Minimum Head of Department or representative
4-8 Hours	Minimum Head of Department or representative
24 Hours	Minimum Head of Department or representative and Director of Finance
48 Hours	Minimum Head of Department or representative, Director of Finance and Principal Financial Accountant/Exchequer Manager
3-7 Days	As above
+ 7 Days	BAU all Department staff (6)

Vehicles & Equipment	
Prior to event	n/a
First Hour	n/a
4-8 Hours	n/a
24 Hours	n/a

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48 Hours	Access to pool car or use of own vehicle
3-7 Days	Access to pool car or use of own vehicle
+ 7 Days	Access to pool car or use of own vehicle

ICT	
Prior to event	Remote access, laptop, wifi
First Hour	Remote access, laptop, wifi
4-8 Hours	Remote access, laptop, wifi
24 Hours	Remote access, laptop, wifi
48 Hours	ICT access to Agresso, scanner
3-7 Days	ICT access to Agresso, scanner
+ 7 Days	ICT access to Agresso, scanner

Relocation Site

Relocation site details and options for the Department/Station

Site Name	Address/Location	Contact Name	Telephone No	Additional Information
Five Rivers	FRS site			
Potterne	FRS site			
Poundbury	FRS site			
Other remote locations or home working	FRS site			

Additional Information

Stakeholders: Identify the stakeholders likely to be affected by this plan.

Stake	Employees	Community	Suppliers	Partners	The Media	The
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holders						Government
Place X in box	X		X			X

Elected Members	Users of Services	Neighbouring FRS's
	X	

Vital Records

List any vital records that are not computerised and not held on a centrally backed up server.

Record	Location	Format
Tender returns and contracts	Potterne and Poundbury	Paper – we are waiting for these records to be scanned, but will need to maintain paper records as well.

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