

1. Document Summary

This policy ensures that the Care Inspectorate's Business Continuity Management arrangements are developed and implemented in a safe, prioritised and structured manner with the commitment of the Executive Group.

2. Scope

This policy applies to the Care Inspectorate's three directorates:

- Scrutiny and Assurance
- Corporate and Customer Services
- Strategy and Improvement

This policy provides the foundation for our Business Continuity Management System. Each directorate must have Business Continuity Plans which are developed and maintained taking into account this policy and associated guidance.

This policy does not seek to replace or supersede existing relevant policies or planning. Instead, it advocates the use of existing risk registers and appropriate incident reporting mechanisms.

3. Introduction

Business Continuity Management Systems (BCMS) are a structured process used by both private and public sector organisations to prepare for the possible impact of unexpected disruptive incidents. Such threats may arise from internal systems, utility failures or external emergencies such as natural disasters, infectious disease or terrorism.

The aim of having a BCMS is to ensure that the Care Inspectorate can maintain its activities in the face of these disruptive challenges should they arise.

Therefore, all three directorates and departments/functions within each directorate are expected to prepare, exercise, maintain and review Business Continuity Plans (BCPs) based on the principle that each business area should be able to maintain its own critical activities which are key to contributing to the strategic Care Inspectorate's strategic outcomes.

This policy document defines a broad framework for the implementation of the Care Inspectorate's BCMS to minimise the impact of business disruption. Full compliance with this policy will ensure procedures exist for recording, assessing and managing business continuity risk; identifying and prioritising essential activities; responding to business disruptions or incidents, regardless of cause; and maintaining essential services (or restoring services to a minimum acceptable level).

The associated post disaster requirements are determined through a process of Business Risk & Impact Analysis (BIA). The Care Inspectorate's BCMS is designed to be ISO 22301 aligned.

4. Principles

The Care Inspectorate's BCPs are devised to deal with the impact(s) of an event/situation/disruption as opposed to addressing the potential causes and such BCP arrangements are crucial to the successful management of the Care Inspectorate.

The responsibility for an effective BCMS rests with the Chief Executive as Accountable Officer. The Head of Finance and Corporate Governance is the designated Business Continuity Officer. The Board is responsible for ensuring effective arrangements are in place.

The Business Continuity Officer (BCO) will ensure that BCP's are reviewed at least annually, or earlier if subject to significant change and that any new system or activity has documented BC procedures that augment wider Business Area planning.

The BCO will ensure adequate education and training is provided as well as the regular conduct of testing and exercises to validate BCPs plans at regular intervals to ensure awareness of the requirements of this policy.

On completion of BCP's they should be stored securely with both an electronic and hard copy available locally and subject to version control led by the BCO.

The development and maintenance of the BCMS must be a dynamic, iterative, composite process, which allows for further development and adaptation as circumstances change or risks evolve.

5. Strategic BCM Aim

To develop, implement and manage a robust and effective BCMS to protect Care Inspectorate operations, including its staff, visitors and contractors where reasonably practical.

6. Strategic BCM Objectives

The Care inspectorate's strategic business continuity objectives are to:

- Provide a framework for the development, implementation and monitoring of a Business Continuity Management System (BCMS)
- Identify, assess and minimise business continuity risk.
- Ensure that a three-tiered (Operational/Tactical/Strategic) BCMS adequately addresses planning, processes, training and continuous improvement to manage disruptions that may affect the Care Inspectorate or its interests.
- Support the delivery of the Care Inspectorate's Strategic Plan. □
- Safeguard the Care Inspectorate's reputational integrity. □
- Raise awareness of Business Continuity and the interdependencies between the Care Inspectorate's three directorates, partner organisations and key contractors

7. Policy Statement:

The Care Inspectorate is committed to developing, implementing and managing a robust and effective BCMS as a key mechanism to:

- Ensure a formal, consistent, co-ordinated and cost-effective approach to the continuity of its scrutiny and improvement activities within the social work and care environment.
- Identification of the critical activities of its Business Area activity via robust Business Impact Analysis (BIA) and Risk Assessment (RA)
- Protection, maintenance and recovery of Business Area critical activities as recognised in relevant BIA.
- Developed BC plans will ensure continuity of activities at a minimum acceptable level and within specified timeframes.
- Develop a culture of Business Continuity Management (BCM) that feeds into the Care Inspectorate's planning and management processes
- Maintain the confidence of staff, visitors and key stakeholders.
- Protect and uphold the Care Inspectorate's reputation

Through the BCMS we have established a structured framework and level of preparedness, complete with documented auditable process controls, to ensure the disruption risks are identified, communicated and controlled in all areas of our operations, with the ultimate objective of achieving zero incident status in personal injuries, asset damage and where possible business disruption.

The purpose of Business Continuity Plans (BCPs) is to ensure timely and effective recovery from a significant disruption through efficient and systematic work practices managed by our Crisis Management Team, supported by co-opted personnel as the situation demands. This BCP is an important resource to ensure that SSSC / CI can continue to perform essential stakeholder focused operations under all conditions while protecting and preserving our quality of service and reputation.

In the event of a crisis, once all health, safety and environmental issues have been addressed, we will strive to ensure resilience and continuity of our core activities, in a prioritised way, thereby protecting the interests of our stakeholders and partner agencies by implementing the various continuity strategies that are set out in the BCPs.

It is essential that the BCMS is effective and consequently it will be regularly reviewed and key plan components will be exercised through rehearsals allowing business units to ensure provision of such resources, training and support as are deemed necessary to achieve the goals set out in this Policy Statement

The BCO will ensure BCPs are maintained and reviewed (including Business Impact Analyses) on an annual basis or sooner if significant change is required due to circumstances.

All staff expected to respond to a disruption working for and on behalf of the Care Inspectorate must be aware of the BCP appropriate for their areas of business and their role in preparation for an event/disruption. The Care Inspectorate requires all managers and staff to give the BCMS their full support.

8. Roles and Responsibilities

8.1. Chief Executive

The Chief Executive, as Accountable Officer, has overall responsibility for Business Continuity Management within the Care Inspectorate. However, the Chief Executive delegates this strategic responsibility to the Executive Director of Corporate and Customer Services to ensure implementation of this policy throughout the Care Inspectorate.

8.2. Board and Audit and Risk Committee

The Care Inspectorate Board has responsibility to ensure there are effective Business Continuity arrangements in place. The Audit and Risk Committee has delegated responsibility for detailed oversight of Business Continuity arrangements and will receive a report on Business Continuity effectiveness including a review of this policy at least annually.

8.3. Executive Group

The Executive Group (EG) will:

- Ensure appropriate structures are in place to implement effective.
- Business Continuity arrangements monitor the implementation of this policy.
- Raise issues of resource necessary for the adequate control of severe business continuity risks at the appropriate budgetary forum.

The Executive Group will formally consider and review the implementation and monitoring of the Business Continuity Management System at least two Executive Group meetings per year.

8.4. Executive Director of Corporate and Customer Services

The Executive Director of Corporate and Customer Services has Strategic, Tactical and Operational responsibility to implement the requirements of this policy and that:

- The Executive Group is provided with reasonable assurance or is kept informed of any significant business continuity risks and any associated significant developments, concerns or issues.
- There is specialist advice on business continuity matters via the Business Continuity Officer and that this is available to the Care Inspectorate's three directorates.
- There is appropriate documentation identifying policy and guidance.
- Ensure financial support is available if BC arrangements are invoked.

8.5. Business Continuity Officer

The Head of Finance and Corporate Governance is the designated Business Continuity Officer (BCO). The BCO is responsible for the development and implementation of the Business Continuity Management System, advising on compliance with non-statutory guidance and ensuring Business Continuity and the work of the ICT department are aligned. The BCO will:

- Provide specialist advice and guidance on BCM issues including the co-ordination, development, implementation and review of BC plans, processes and procedures
- Provide accessible reference data and guidance by way of the Care Inspectorate's recognised digital communications channels.
- Meet with identified Business Area representatives to establish routine and structure as well as the review of business impact analysis and plans on an annual basis or more frequently as necessary
- Align business continuity activity with risk management activity where necessary to risk assess current and future threats identified through horizon scanning and intelligence gathering
- Co-ordinating annual update of departmental BC plans
- Embed a Business Continuity culture through communication and the provision of awareness sessions, training and exercises to staff, according to their roles and needs
- Facilitate training, tests and exercises
- Audit compliance of BC plans
- Provide recommendations and other management feedback as appropriate
- Represent the Care Inspectorate on the Executive NDPBs Business Continuity Network

8.6. Executive Directors

As part of the planning and response arrangements for any incident necessitating the invocation of BC plans, critical business stream representatives and coordinators roles will be nominated by the three Executive Directors.

These individuals having taken part in workshops to understand the methodology behind the preparation of Business Impact Analysis and Risk Assessment will form the teams which will affect the BC response upon the occurrence of an incident and conduct the annual review of arrangements pertinent to their Business Streams.

9. Incident Reporting and Debriefing

Business continuity incidents should be reported to the BCO. The BCO will ensure debriefs are co-ordinated to ensure that learning and review informs continuous improvement.

10. Procurement

The Care Inspectorate has suppliers and partners on whom it relies upon to provide a continued service. In order to minimise any risk of disruption by failure to supply a product or service, suppliers and partners identified as critical in the relevant Business Impact Analysis will be requested to provide assurances that they have business continuity arrangements in place. Any organisation tendering for Care Inspectorate contracts may be asked to complete a business continuity planning questionnaire.

Those responsible for commissioning or procuring goods or services from external suppliers should consult contracts management colleagues to ensure contracts and/or service level agreements contain the appropriate clauses in respect of business continuity.

11. Training, Awareness and Exercising Maintenance and Review

BC plans are to be validated at regular intervals to determine whether any changes are required to procedures and responsibilities. Planned review periods should not exceed 12 months.

The Business Continuity Officer (BCO) will:

- Develop or source a suitable programme of training in BCM and BC risk management.
- Identify appropriate levels of training and awareness for BC Coordinators, to enable cascade through their areas of activity to create a strong BC culture across the Care Inspectorate.
- Organise exercises of the BC Plans, and advise on local exercising arrangements
- Prepare and monitor the annual resilience work/ action plan.

12. Review

The BCO will monitor the effectiveness of this Policy and produce a report that will be considered by EG and the Audit and Risk Committee on an annual basis.