

Group Standard

# Business Continuity & Crisis Management



The need to plan and respond effectively is critical to the successful management of any crisis situation. Business Continuity Management is the holistic structure within which key elements of the planning and response mechanisms are detailed

## Document Details

Document Details		Serco Public
<b>Reference</b>		<b>Version</b>
SMS GS-RM2: Business Continuity & Crisis Management		1.3
<b>Approval Date</b>		<b>Date for next review</b>
May 2017		May 2019
<b>Applicability</b>	<p>Serco Group covering all business regions, operating companies and business units throughout the world<sup>1</sup> covering:</p> <ul style="list-style-type: none"> <li>- employees, officers, directors and individuals working as consultants and contractors and any other parties acting as representatives or agents of Serco (Employees)</li> <li>- wholly owned subsidiaries and majority-owned operations</li> </ul> <p>Where a minority interest and in regard to its subcontractors and suppliers Serco encourages alignment with this Standard</p>	
<b>Authority</b>	Chief Executive, Serco Group plc	
<b>Accountable Policy Owner (Group)</b>	Chief Operating Officer	
<b>Additional Information</b>	Supporting standards, standard operating procedures and guidance relating to this Group Standard are available within the Serco Management System	
<b>Governance</b>	Our policies and standards, together with any regional or market requirements and enhancements to them, are authorised through a robust governance process.	
<b>Consequence Management</b>	As a Group Standard the requirements detailed in this document are mandated and must be adhered to. Non-compliance will have consequences which may include disciplinary action. The Consequence Management Group Standard (Ref: SMS-GS-G1) details how instances of non-compliance will be dealt with.	
<p><sup>1</sup> As used herein, Serco Group and its affiliates, subsidiaries and operating companies are referred to as 'Serco', the 'Company' or 'company', or 'we', 'us' or 'our'.</p>		

## Contents

1	Objectives .....	1
2	Policy Standards .....	1
2.1	Policy .....	1
2.2	Crisis management planning .....	1
2.3	Business continuity planning .....	2
2.4	Document management .....	2
2.5	Training, awareness and competence .....	2
2.6	Exercising and testing .....	3
2.7	Embedding a business continuity culture .....	3
3	Responsibilities & Accountabilities .....	3
4	Processes and Controls .....	5
4.1	Governance processes and controls .....	5
4.2	Key processes and controls .....	10
5	Supporting documentation and guidance .....	14
6	Definitions .....	14
7	Further information and support .....	15

# 1 Objectives

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**Business Continuity Management is a strategic, integrated, business discipline encompassing the tactical capability of the organisation to plan for and respond to unplanned disruptions, in order to continue operating at an acceptable pre-defined level.**

**Crisis Management is the response to, and management of, an intense, unexpected and unstable state that disrupts normal operations and has highly undesirable outcomes which require extraordinary measures to restore order and normality.**

Our Business Continuity and Crisis Management objectives are to:

- understand the business continuity risk profile of our contracts, services and operations
- establish recovery priorities
- document Crisis Management, Business Continuity and Incident Management actions required
- comply with applicable external requirements, meeting and exceeding the expectations of our regulators and customers
- build a culture that actively encourages business continuity awareness, builds resilience from the outset and ensures we co-operate with our partners with whom we share responsibilities, premises or activities

# 2 Policy Standards

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## 2.1 Policy

- S1. Business Continuity and Crisis Management policy, standards and management systems (including procedures and work instructions) will be defined, documented, implemented and maintained
- S2. Systems and procedures will be appropriate and proportionate to the nature of the organisation's Business Continuity and Crisis Management risks
- S3. Systems and procedures will be regularly reviewed (at least annually) to ensure they reflect contractual requirements and:
  - a. laws, regulations, approvals, licences and other legal requirements
  - b. international, national and regional standards
  - c. industry best practice
  - d. government framework requirements
  - e. expectations of auditors, customers and interested parties

## 2.2 Crisis management planning<sup>1</sup>

- S4. Comprehensive Crisis Management Plans, including a suitable alert process, will be developed for Serco Group, its Divisions, Business Units and Contracts. These will describe actions to be taken to address unplanned disruptive events
- S5. Controls will be applied to manage the development and implementation of Crisis Management Plans
- S6. Plc Board, Executive Committee, Divisional Executive Management Team members, Business Unit Managing Directors and Contract Managers will be trained in the use and implementation of Crisis Management Plans

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<sup>1</sup> See Crisis Management Manual Ref: CMM and Crisis Communications Manual Ref: CCM

S7. Crisis Management incidents will be classified, reported, recorded on ASSURE and investigated in accordance with incident reporting procedures<sup>2</sup>

## 2.3 Business continuity planning<sup>3</sup>

S8. Business Continuity Plans are required at Group, Divisional, Business Unit and Contract level, which include specific actions required when responding to a business continuity incident

S9. Contracts and sites under Serco control will develop Business Continuity Plans that describe actions to be taken to ensure operations and service delivery can continue during unplanned disruptive events. The plan will include key roles and responsibilities, clear escalation and cascade notification processes, and a series of responses to at least the following key scenarios:

- a. Loss of Site,
- b. Loss of Critical Services (IT, Power, Telephony),
- c. Loss of People and
- d. Loss of Key Suppliers

The Business Continuity Plan must be aligned with customer business continuity arrangements

S10. Where there is a significant IT dependency, Disaster Recovery Plans might also be required<sup>4</sup>

S11. A Business Impact Analysis will be completed to determine the level of support required to manage business continuity risks and the areas to be included within a Business Continuity Plan

S12. For sites not under Serco control, the site management team will ensure that Serco business continuity arrangements are aligned with those of the controlling customer

S13. Where Serco outsources to third parties, a review of their Business Continuity provisions will take place at least annually

S14. Divisional Executive Management Teams will ensure that Business Continuity Plans are in place across the Division and reviewed at least annually to ensure existing processes and controls are being consistently applied

S15. Business Continuity risks will be reviewed in line with Serco Risk Management requirements in order to ensure risk-based Business Continuity Plans are developed and maintained<sup>5</sup>

S16. Business Continuity incidents will be classified, reported, recorded on ASSURE and investigated in accordance with incident reporting procedures<sup>6</sup>

## 2.4 Document management

S17. All plans and supporting documents created within Serco as part of the Business Continuity, Crisis Management, or Disaster Recovery process will be held within a secure environment. Documents should be classified as Serco in Confidence, unless specific customer requirements mean the plans have to be marked otherwise, they should still be held securely and not as open access

S18. Requests for copies or access to Serco Business Continuity, Crisis Management, or Disaster Recovery Plans and supporting documents are not permitted unless authorised by the Group or Division Business Continuity and Crisis Management Lead or their nominated deputy

## 2.5 Training, awareness and competence

S19. Training needs of employees who have an active role in the development and implementation of Business Continuity and Crisis Management Plans will be identified, with appropriate training delivered

<sup>2</sup> See Incident Reporting and Management GSOP Ref: SMS GSOP O1-2

<sup>3</sup> See Business Continuity Management Manual Ref: BCM and Business Continuity Self-Assessment Template Ref: BCSEA

<sup>4</sup> See Information Technology Group Standard Ref: SMS GS-IT1

<sup>5</sup> See Risk Management Group Standard Ref: SMS-GS-RM1

<sup>6</sup> See Incident Reporting and Management GSOP Ref: SMS GSOP O1-2

## 2.6 Exercising and testing

- S20. At least annually, exercises will be applied to Crisis Management Plans and Business Continuity Plans; with any corrective or preventative actions implemented as a result
- S21. Learning from the testing of Crisis Management and Business Continuity Plans will be shared across the organisation and with other interested parties, with any improvements implemented

## 2.7 Embedding a business continuity culture

- S22. Management will understand their role in influencing the Business Continuity culture within their area of responsibility and seek to continually improve its performance

# 3 Responsibilities & Accountabilities

- S23. The following responsibilities will apply to the delivery of the defined standards. If these are not completed effectively, the person responsible will be accountable for any consequences<sup>7</sup>.

### Group

- S24. The Group CEO will appoint a Group Business Continuity and Crisis Management lead responsible for:
- developing and maintaining Group Business Continuity and Crisis Management policy
  - ensuring standards and associated procedures and key controls remain fit for purpose, reflect legislative and regulatory requirements and effectively manage Business Continuity and Crisis Management risks
  - providing oversight and reporting Business Continuity and Crisis Management performance
  - developing, testing and exercising Business Continuity, Crisis Management and Incident Management Plans, where appropriate, for Group

- driving the Business Continuity culture and awareness by demonstrating the value of Business Continuity and Crisis Management planning

### Division

- S25. The Divisional CEO will appoint a Divisional Business Continuity and Crisis Management Lead responsible for:
- implementing Business Continuity and Crisis Management policy, standards, procedures and key controls across the Division; which may include the development of country/region/Divisional procedures and management systems
  - ensuring procedures and key controls, remain fit for purpose, reflect legislative and regulatory requirements and effectively manage Business Continuity and Crisis Management risks
  - developing, testing and exercising Business Continuity, Crisis Management and Incident Management Plans, where appropriate, for the Division
  - providing oversight and reporting Divisional Business Continuity and Crisis Management performance and appropriateness of plans
  - providing competent Business Continuity and Crisis Management advice and support in the development, testing and exercising of Business Continuity and Crisis Management Plans
  - driving the Business Continuity culture and awareness by demonstrating the value of Business Continuity and Crisis Management planning

### Business Unit

- S26. The Business Unit Managing Director is responsible for:
- complying with Business Continuity and Crisis Management policy, standards, procedures and key controls
  - developing, testing and exercising Business Continuity, Crisis Management and Incident Management Plans, where appropriate, for the Business Unit

<sup>7</sup> See Consequence Management Group Standard Ref:SMS-GS-G1

- c. ensuring appropriate Business Continuity and Crisis Management resources are appointed to support the Business Unit, manage Business Continuity and Crisis Management risks and provide competent Business Continuity and Crisis Management advice
- d. driving the Business Continuity culture and awareness by demonstrating the value of Business Continuity planning

**Contract/Function**

- S27. The Contract Manager (or Corporate Function Head) is responsible for:
- a. complying with Business Continuity and Crisis Management policy, standards, procedures and key controls
  - b. ensuring Business Continuity and Crisis Management responsibilities are clearly defined
  - c. developing, exercising and testing Business Continuity and Crisis Management plans, as required
  - d. ensuring local controls are implemented for providing assurance that Business Continuity and Crisis Management risks are being effectively managed
  - e. driving the Business Continuity culture and awareness by demonstrating the value of Business Continuity planning

## 4 Processes and Controls

### 4.1 Governance processes and controls

#### Process

A set of related activities that must be carried out to achieve policy outcomes

#### Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

#### Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S24)	Division (S25)	Business Unit (S26)	Contract / function (S27)	All Employees
P1	Business Continuity and Crisis Management responsibilities are defined and understood	↔ C1	<p>A Group Business Continuity and Crisis Management Lead is appointed by the Group CEO with responsibility for:</p> <ul style="list-style-type: none"> <li>Developing and maintaining Group business continuity and crisis management policy</li> <li>Ensuring standards and associated procedures and key controls remain fit for purpose, reflect legislative and regulatory requirements and effectively manage business continuity and crisis management risks</li> <li>Providing oversight and reporting business continuity and crisis management performance</li> <li>developing, testing and exercising Business Continuity and Crisis Management Plans, where appropriate, for Group</li> <li>driving the Business Continuity culture and awareness by demonstrating the value of Business Continuity and Crisis Management planning</li> </ul>	●	○	○	○	○

**Process**

A set of related activities that must be carried out to achieve policy outcomes

**Controls**

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

**Responsibility**

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S24)	Division (S25)	Business Unit (S26)	Contract / function (S27)	All Employees
→	C2	<p>A Divisional Business Continuity and Crisis Management Lead is appointed by the Divisional CEO with responsibility for:</p> <ul style="list-style-type: none"> <li>• Implementing business continuity and crisis management strategy and policy, standards, procedures and key controls across the division; which may include the development of country/region/divisional procedures and management systems</li> <li>• Ensuring procedures and key controls remain fit for purpose, reflect legislative and regulatory requirements and effectively manage business continuity and crisis management risks</li> <li>• Providing oversight and reporting divisional business continuity and crisis management performance</li> <li>• providing competent Business Continuity and Crisis Management advice and support in the development, testing and exercising of Business Continuity and Crisis Management Plans</li> <li>• Driving the Business Continuity culture and awareness by demonstrating the value of Business Continuity and Crisis Management planning</li> </ul>	○	●	○	○	○	



### Process

A set of related activities that must be carried out to achieve policy outcomes

### Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

### Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S24)	Division (S25)	Business Unit (S26)	Contract / function (S27)	All Employees
➔	C3	<p>The Business Unit Managing Director is responsible for:</p> <ul style="list-style-type: none"> <li>• Complying with business continuity and crisis management policy, standards, procedures and key controls</li> <li>• Exercising and testing business continuity and crisis management plans as required</li> <li>• Ensuring appropriate business continuity and crisis management resources are appointed to support the business unit manage business continuity and crisis management risks and provide competent business continuity and crisis management advice</li> <li>• Driving the Business Continuity culture and awareness by demonstrating the value of Business Continuity and crisis management planning</li> </ul>	○	○	●	○	○	

### Process

A set of related activities that must be carried out to achieve policy outcomes

### Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

### Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S24)	Division (S25)	Business Unit (S26)	Contract / function (S27)	All Employees
		↔ C4	<p>Contract Managers and Corporate Function Heads are responsible for:</p> <ul style="list-style-type: none"> <li>• Complying with business continuity and crisis management policy, standards, procedures and key controls</li> <li>• Ensuring business continuity and crisis management responsibilities are clearly defined</li> <li>• developing, exercising and testing Business Continuity and Crisis Management Plans, as required</li> <li>• Ensuring local controls are in place for providing assurance that business continuity and crisis management risks are being effectively managed</li> <li>• Driving the Business Continuity culture and awareness by demonstrating the value of Business Continuity and Crisis Management planning</li> </ul>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
P2	Establish Business Continuity and Crisis Management policy	↔ C5	Policy, standards and Group procedures are defined and published	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
		↔ C6	Policy, standards and Group procedures are communicated and implemented	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

### Process

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### Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

### Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S24)	Division (S25)	Business Unit (S26)	Contract / function (S27)	All Employees
P3	Establish Business Continuity systems and processes	➔ C7	Appropriate Business Continuity and Crisis Management systems and supporting procedures and work instructions are proportionate to Business Continuity and Crisis Management risks, defined, published and communicated	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C8	Business Continuity and Crisis Management systems and procedures are reviewed at least annually to ensure they reflect contractual, legislative, regulatory and industry best practice requirements	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
P4	Business Continuity compliance	➔ C9	A Business Continuity and Crisis Management Compliance Plan is in place	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C10	Business Continuity and Crisis Management audit reports with action plans to address non-compliance are in place	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C11	Agreed actions are closed out	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

## 4.2 Key processes and controls

### Process

A set of related activities that must be carried out to achieve policy outcomes

### Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

### Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Responsibility				
				Group (S24)	Division (S25)	Business Unit (S26)	Contract / function (S27)	All Employees
P5	Crisis Management Planning	➔ C12	Crisis Management Plans, including an alert process, are in place	●	●	●	●	○
		➔ C13	Plc Board, Executive Committee, Divisional EMT, Business Unit MDs and Contract Managers are trained in the use and implementation of Crisis Management Plans	●	●	●	●	○
		➔ C14	Business Continuity and Crisis Management incidents are recorded on ASSURE and investigated	●	●	●	●	○
P6	Business Continuity Planning	➔ C15	A Business Impact Analysis is completed to inform the areas to be included within the Business Continuity Plan	●	●	●	●	○

### Process

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### Controls

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### Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S24)	Division (S25)	Business Unit (S26)	Contract / function (S27)	All Employees
➔ C16	<p>A Business Continuity Plan is in place which has been agreed with the customer and includes actions to be taken to ensure operations and service delivery can continue during unplanned disruptive events. The plan will include key roles and responsibilities, clear escalation and cascade notification processes, and a series of responses to at least the following key scenarios:</p> <ul style="list-style-type: none"> <li>• Loss of Site,</li> <li>• Loss of Critical Services (IT, Power, Telephony),</li> <li>• Loss of People and</li> <li>• Loss of Key Suppliers.</li> </ul> <p>The Business Continuity Plan must be aligned with customer business continuity arrangements.</p>			●	●	●	●	○
➔ C17	<p>An IT Disaster Recovery Plan is in place where there is a significant dependency on IT</p>			●	●	●	●	○

### Process

A set of related activities that must be carried out to achieve policy outcomes

### Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

### Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Group (S24)	Division (S25)	Business Unit (S26)	Contract / function (S27)	All Employees
		➔ C18	Serco business continuity arrangements are aligned with the customer's arrangements, where sites are not under Serco control	●	●	●	●	○
		➔ C19	An annual review of all Business Continuity provisions is completed (for sites managed and not managed by Serco)	●	●	●	●	○
		➔ C20	Business Continuity risks are periodically reviewed to ensure risk-based Business Continuity Plans are developed and maintained	●	●	●	●	○
P7	Document management	➔ C21	All plans and supporting documents created within Serco as part of the Business Continuity, Crisis Management, or Disaster Recovery process will be held within a secure environment. Documents should be classified as Serco in Confidence, unless specific customer requirements mean the plans have to be marked otherwise, they should still be held securely and not as open access.	●	●	●	●	○

### Process

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### Controls

The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

### Responsibility

for ensuring controls are in place and operating effectively

Ref	Description	Ref	Description	Responsibility				
				Group (S24)	Division (S25)	Business Unit (S26)	Contract / function (S27)	All Employees
P8	Training, Awareness and Competence	⇒ C22	Employees who have an active role in the development and implementation of Business Continuity and Crisis Management Plans have appropriate experience and current understanding of the requirements to carry out this work	●	●	●	●	○
P9	Exercising and testing	⇒ C23	Crisis Management Plans, Business Continuity Plans, Incident Management Plans and IT Disaster Recovery Plans (where applicable) are exercised at least annually, with any corrective or preventative actions implemented as a result	●	●	●	●	○
		⇒ C24	Learning from the testing of Crisis Management, Business Continuity, Incident Management Plans and IT Disaster Recovery Plans is shared across the organisation and with other interested parties	●	●	●	●	○

## 5 Supporting documentation and guidance

The following should be read in conjunction with this Standard:

Ref	Document
SMS-GS-G1	Consequence Management Group Standard
SMS-GS- RM1	Risk Management Group Standard
SMS-GS-IT	Information Technology Group Standard
SMS GSOP O1-2	Incident Reporting & Management GSOP
ISO/IEC 22301	Business Continuity Management
CMM	Crisis Management Manual
CCM	Crisis Communication Manual
BCM	Business Continuity Manual
BCSA	Business Continuity Self-Assessment Template

## 6 Definitions

Term	Definition
<b>Accountability</b>	Being accountable means being not only responsible for something but also answerable for your actions.
<b>Responsibility</b>	<p>A responsible person is the individual who completes the task required. Responsibility can be shared and delegated.</p> <p>All responsible persons will also be accountable for completing tasks effectively. Non-compliance will have consequences which may include disciplinary action as defined within the Consequence Management Group Standard.</p>
<b>Group</b>	Serco Group plc is the administrative centre of the organisation, responsible for setting corporate strategy, defining governance requirements and supporting the business in its day to day operations
<b>Division</b>	The Group will define a set of business divisions which will be responsible for business delivery within a defined set of markets or geographies.
<b>Business Unit</b>	<p>A Business Unit is a cluster of contracts which provide a similar service e.g. Health, Defence, Transport etc.</p> <p>Where appropriate, a separate legal entity wholly owned or where Serco has a controlling share may also be referred to as a Business Unit, where appropriate.</p> <p>This may also refer to Counties/Territories</p>



Term	Definition
<b>Contract</b>	<p>A Contract provides specified requirements to a customer (either directly with Serco or to a consortium/Joint Venture in which Serco is a party)</p> <p>A Contract will also refer to a corporate/functional area.</p> <p>Corporate/functional areas are functions which support the business and they include finance, HR, procurement etc.</p>
<b>Crisis</b>	<p>A crisis is an intense, unexpected and unstable state that disrupts normal operations and has highly undesirable outcomes which require extraordinary measures to restore order and normality</p>
<b>Business Continuity incident</b>	<p>A business continuity incident or event impacts on the operation or service delivery of a Business Unit or Contract</p>
<b>Business Continuity Plan</b>	<p>A plan which details how a Business Unit or Contract will continue to operate in the event of an unplanned disruption</p>
<b>Business Impact Analysis (BIA)</b>	<p>A process of analysing activities and the effect that a business disruption might have upon them</p>

## 7 Further information and support

If you require any further information or support regarding this Group Standard, or if you have any suggestions for improvement, please contact the Accountable Policy Owner (Group) or email [sms@serco.com](mailto:sms@serco.com)