

Live Wild Logistics Case Study

This tab contains the Case Study information for a fictitious organization called “Live Wild Logistics (LWL).” While the organization is fictitious, the documentation behind this tab has been adapted from existing organizations implementing a business continuity management system. LWL developed a business continuity management system and has sought registration to ISO 22301. Live Wild Logistics’ accompanying procedures are organized as shown by the contents list below. These materials should be referenced to complete the exercises involving the Case Study.

Introduction

This case study is for the use of instructors and delegates when carrying out the role plays for the BCM Lead Auditor course against ISO 22301.

The case study material is split into two parts:

1. The BCM Manual, and
2. All the supporting processes, procedures and documented information.

Background to case study.

Delegates and instructors should note that ISO 22301 does not ask for any form or type of ‘manual’. However, it does ask for various:

- Documented processes,
- Processes,
- Documentation,
- Documented procedures
- Procedures, and
- Documented information.

All these should be areas for auditors to investigate within the BCMS. It will be the task of the auditor to take all this information together with verbal evidence and determine if the BCMS complies with ISO 22301 and how effective it is in meeting the organization’s needs in the case of a disruptive incident that has an adverse impact on the organizations operations and objectives.

Use of Case Study

It is recommended that in the first instance delegates read the BCM manual (up to page 10) to gain a background to the case study. They should then use the supporting documentation to help them to carry out the various role plays they will be given. With this information they should put together checklists for use on each role play with the instructor acting as the auditee in various roles within LWL. Some of the evidence will be paper-based but there will also be oral evidence given that the delegates will have to use with other evidence to determine if LWL are compliant with their own processes and procedures and also ISO 22301.

Please note: the documents included in this Case Study contain errors for training purposes only. These documents should not be used as guides for developing business continuity management system documentation.

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LWL Logistics – BCM Manual

LWL is aware of the ever increasing threats faced by businesses and has moved to address the concerns of key stakeholders by developing business continuity capabilities in its operations. It is recognized that the approach offered by ISO22301 should help the business become more effective and efficient.

Only by developing, implementing and maintaining a robust BCMS can LWL demonstrate it has done what it can to protect both the company and stakeholders from the effects of business disruption to maintain the organization's policies and objectives. This document details the BCMS as deployed at LWL and forms the basis for the system that covers activities at the LWL site. For the purposes of this document unless stated otherwise, "LWL", "the site" and "the operation" will refer to LWL operations only.

As confirmation of the management commitment to the establishment of an effective business continuity management system the management of LWL have developed the policy statement below:

We at LWL are the leading supplier of live plants in the country and are committed to maintain our 24/7 business operation to serve our customers with quality plants throughout the year. Our plants are the best and we make sure that they are kept in good condition.

We strive to meet all legal requirements and maintain a good business continuity plan that should satisfy the customer's needs.

In order to achieve our plan, we make sure our employees know what they are supposed to do and the consequences if they fail to meet top management expectations. We keep our plants in excellent facilities and transport them to the shops by road so that we have no reason for complaint.

LWL ensures that everyone who works on behalf of the organization understands this policy which is reviewed from time to time to ensure its continuing suitability.

Site Profile

The LWL site at Valley Drive is the HQ and operational unit for the business to provide plants to supermarkets on a national basis. It is the sole supplier to the country's top three supermarkets.

The sites primary aim is:

- To operate a 24/7 national distribution centre for the delivery of live plants/shrubs/ flowers exceeding the KPI's set by the customers
- To deliver the aim and objectives, the operation is made up of the following activities:
 - Purchasing, Goods In, Warehouse, Planning, Picking, Dispatch, Transport planning, Stock control, HR, Finance, IT, Operations and Security.

The warehouse is split into two chambers (A & B) with chamber A being fully racked offering approximately 16000 locations over 170,000 square feet. Chamber B is partially racked (4000 locations) and covers 50,000 square feet. Approximately 30,000 square feet in chamber B is used for the storage of plants.

The office block is situated on the north side of the building overlooking the gatehouse, main yard and car park. A smaller office area, yard and car park are located on the south side of the warehouse.

The main IT systems which operate the warehouse are operated and maintained in house. Other key resources deployed at LWL include the delivery fleet which is made up of 40 delivery vehicles and 15 hand trucks.

The warehouse operates on a 24 / 7 basis over 364 days a year with fixed morning (6am – 2pm) and afternoon (2pm – 10pm) shifts and a permanent night shift.

Most plants are received, picked and dispatched for day 3 delivery to store cycle. This in effect means that the LWL operation works on a 2 day turnaround as the 3rd day is dedicated to the movement of goods to store. Some plants need to be conditioned before dispatch and the cycle depends on the particular species.

Over the course of a full year the site will pick an average of 300,000 cases per week at a targeted pick rate of 95 cases per man per hour. The busiest day of the week is always Saturday, as this is the day the store is picking goods to replenish store stocks following their peak weekend trading. Peak period runs from November through to February and sees volume increase to approximately 500,000 cases per week during December, the busiest period.

A total of 220 core staff are based at LWL, of which 160 are warehouse based with this number rising to 190 at peak times. The Transport planning function totals two employees. In addition 12 people are employed by Security Gold who are responsible for the Security operation on site. The full organization structure is available from the HR department.

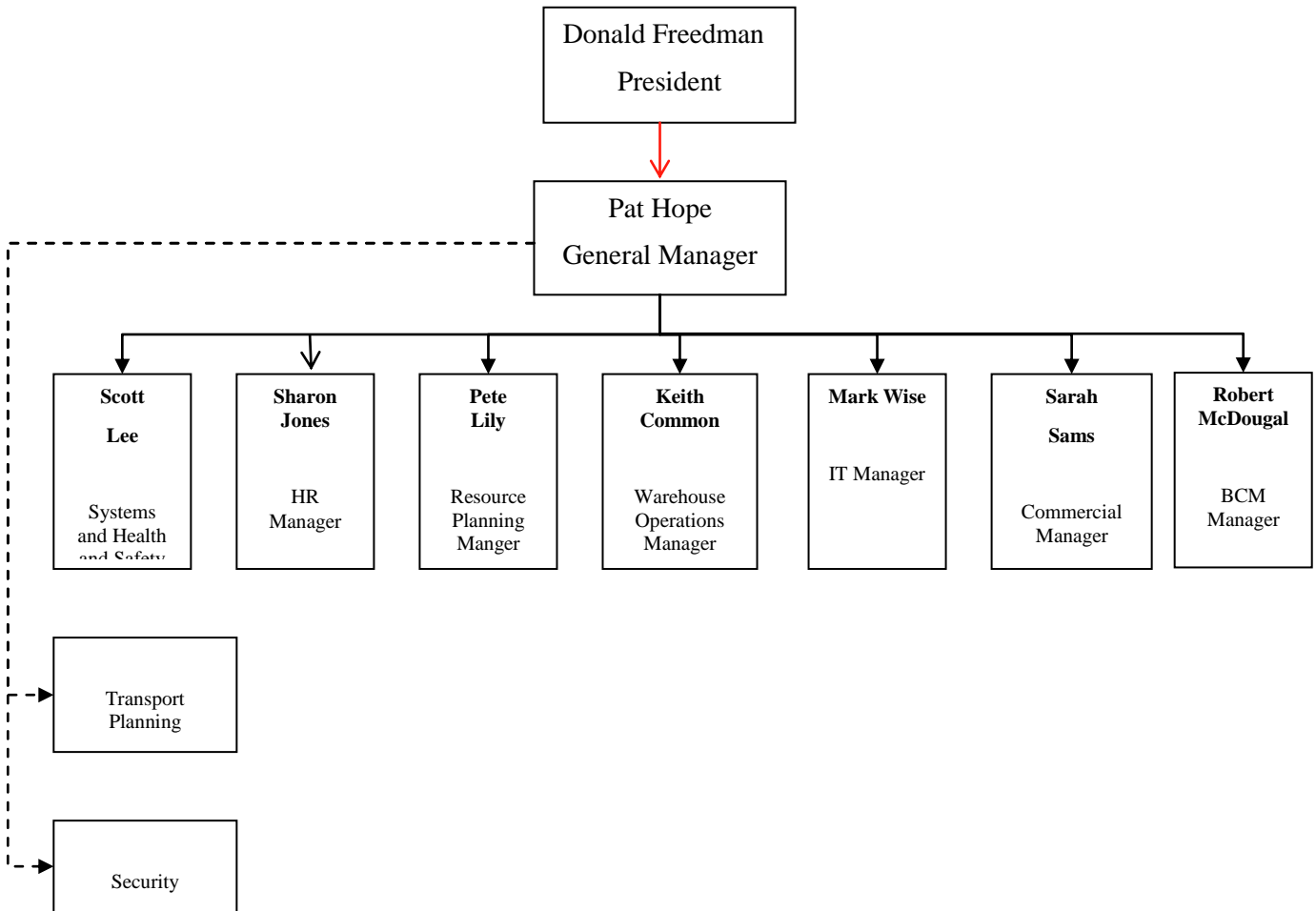
To ensure sustainable business practices are employed and that LWL is seen as an organization cares about the environment and is focusing on minimizing its environmental impact it has recently implemented ISO 14001. They have also registered with an agency to keep them informed of environmental issues, changes in regulation and guidance that may impact on the business.

BCMS requirements

Scope

The scope of the business continuity management system applies to the LWL site on Valley Drive. The site is the sole distribution centre employing up to 250 people in operations, warehouse, stock control, finance, planning, HR, transport and site security, provided by a private security company.

LWL Organization Structure:



Context of the Organization

LWL have looked at the context which the organization operates within and have established the external and internal issues that can potentially affect LWL products and services. These are contained in the Context Matrix.

LWL takes the issue of risk seriously. There are regular meetings held to discuss risk criterion which takes into account the organization's risk appetite.

Legal and regulatory

All legal and regulatory issues are dealt with by Given, Snatchit and Chargit LLP our firm of legal experts.

Suppliers and outsourced activities

From the implementation date of this system, any new suppliers appointed and managed by LWL, will be required to demonstrate effective BCM capabilities before commencing supply and will then become subject to an annual audit of their BCM system by LWL.

Objectives

- To effectively manage any incident that may cause a business disruption to the LWL site
- To provide continuity of service to LWL's customers in the event of a business disruption, ensuring that key services are resumed within the agreed timescales as documented in the Business Continuity Plans.
- To minimize the potential impact any business disruption would have on LWL and its reputation.

Resources

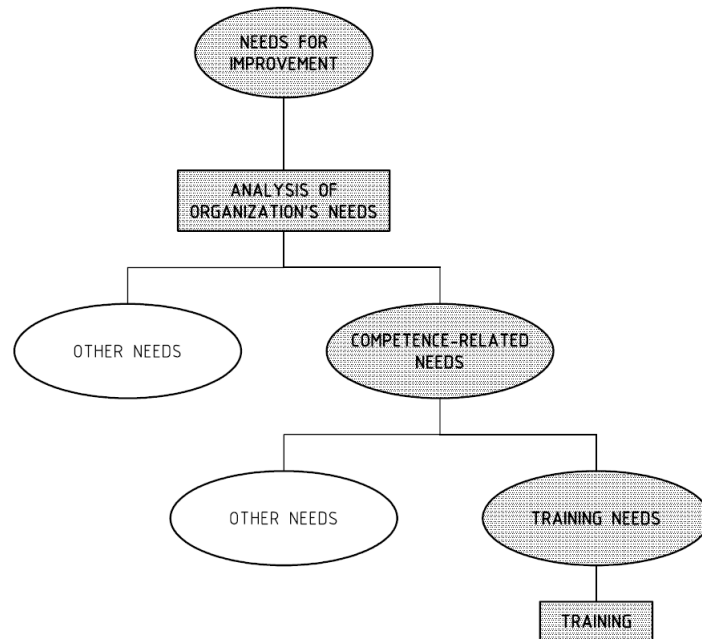
LWL recognize that to ensure that their BCMS is implemented fully, operates effectively, is maintained and improves over time it is committed to the provision of:

- Appropriate infrastructure
- Appropriate working conditions
- Personnel with the competency to carry out tasks
- Financial support for updating, maintaining and improving

A documented procedure LWL 12 provides details of how this is to be achieved.

Training competency and awareness

In developing the BCMS the competencies necessary for personnel assigned specific management responsibilities within the system have been determined.



These competencies are consistent with the competencies required by LWL of the relevant role and are as follows:

- Actively listens to others, their ideas, views and opinions
- Provides support in difficult or challenging circumstances
- Responds constructively to difficult circumstances
- Adapts leadership style appropriately to match the circumstances
- Promotes a positive culture of health, safety and the environment
- Recognises and acknowledges the contribution of colleagues
- Encourages the taking of calculated risks
- Encourages and actively responds to new ideas
- Consults and involves team members to resolve problems
- Demonstrates personal integrity
- Challenges established ways of doing things to identify improvement opportunities
- Turns agreed LWL policies and strategies into action

Documented procedures LWL 02 & LWL 05 provide further details.

Operational issues

Business impact analysis

Having determined the activities that are key to the delivery of the site's aims and objectives, the LWL BC team convenes with an independent facilitator to review all aspects of each activity. To ensure a consistent approach for each individual BIA, the assumptions against which they are based are recorded.

The team works through the agreed BIA template, completing each section in full. Where required outside input is sought. Each BIA is reviewed by the Senior Management Team annually or whenever a change to the activity occurs, whichever is more frequent. As part of the BIA process the following has been agreed with the customer.

In the event of a disruption which will result in loss of access to the LWL site for more than 4 days, the operation must resume, picking the top 100 lines for the top 50 stores (both as determined by LWL's) in an alternative site, as decided by LWL's, by the 96th hour of the disruption. Should the disruption result in the loss of access to the LWL site for less than four days the GM operation would be suspended and must restart, picking the top 100 lines for the top 50 stores (both as determined by LWL's) by the 96th hour of the disruption.

On the 7th day following the disruption, irrespective of the location of the operation (LWL or alternative site), LWL's require the LWL GM operation to be operating to normal service levels (as per the normal LWL operation)

With these deadlines in mind the agreed recovery time objective for all activities is 8 hours less than the times documented above i.e. in the event of a disruption where the operation would resume in LWL, the recovery time objective is 88 hours.

Risk assessment process

The risk assessment process is conducted by the same team involved in the development of the BIA's using the same risk assessment approach used elsewhere in LWL.

In order to identify the potential threats to the operation and its supporting resources, information is obtained from LWL's and Anytown Council's Local Risk Register.

As with the BIA's, the risk assessment is completed by the LWL BC team with outside input sourced as required. Once complete the document is reviewed and signed off by top management.

The Risk Assessment document, as signed off by Top Management, together with the Local Risk Register make up the site risk register. This is reviewed by the Senior Management Team either annually or should there be any changes to the operation or its local environment.

Consideration has been given to the point at which the cost of recovery outweighs the feasibility of recovering the operation or its critical activities. Any such decision will be taken by LWL's Senior Management during the incident management phase of any disruption.

Determining Choices

In order to reduce the likelihood, shorten the period and limit the impact of a disruption, LWL has developed and maintained a large number of strategies both independently and with LWL's.

Determining business continuity strategy

The LWL BC Team have developed and documented a series of plans which enable the organization to effectively manage an incident which impacts on the site operations and subsequently recover its critical activities and their supporting resources, within the timescales agreed with the customer. Whilst some activities have been defined as non-critical, the actions required to recover these is also included in the business continuity plans as they assist in allowing the critical activities to operate in a more efficient and effective manner.

Developing and implementing a BCM response

Response structure

The Business continuity plan identifies the key personnel required to take control of the situation and communicate with stakeholders. This team is known as the Gold Team and is made up of the senior management team on site. A second team (The Silver Team), made up of Shift Leaders and other nominated personnel works with the Gold Team, acting as the direct link between them and the remainder of the operations personnel and any visitors on site at the time of the incident. The roles, responsibilities and authority levels for each team member have been documented.

The Gold & Silver Teams are capable of confirming the nature and extent of the incident and subsequently managing the response. As such they are responsible for invoking the appropriate plans to both manage the incident and recover critical activities using the documented Incident Management and Business Continuity plans. The resources required to enable them to do this have been identified, and where possible located in places from which they can be easily retrieved in the event of an incident.

Plans

Business Continuity Plans (BCP's) are held on the W drive of the LWL server in a folder named Business Continuity Management. Each plan is password protected and can be updated or amended by either its nominated owner or the Resource Planning Manager only. The Resource Planning Manager is responsible for maintaining version control, change notification and distribution records. All amendments must be signed off and approved by the General Manager prior to being issued.

In addition to the General Manager, the customer will also be consulted and notified of any changes to the plans to ensure they do not conflict with BCP's. The local emergency services may also be consulted to ensure the plans are satisfactory to them.

Plans are reviewed on an annual basis or whenever significant changes occur to the organization and / or its activities.

Hard copies of the plans are held by the General Manager, Warehouse Operations Manager and the Resource Planning Manager. A further copy is retained in Shift Leaders office for use by the shift leader on site at the time of an incident. In addition 6 hard copies are retained in reception.

In addition the plans have been copied to CD-Rom and issued to the following positions:

- General Manager
- Warehouse Operations Manager
- Resource Planning Manager
- IT & Business Development Manager
- Commercial Manager
- LWL Group Business Continuity Manager

Two additional copies are retained in reception and one is retained in the Shift Leaders office for use by the shift leader on site at the time of any incident.

As with the hard copies, the CD-Rom versions are subject to version control, change notification and distribution records.

Exercising and maintaining BCM arrangements

In order to ensure that the IMP's and BCP's provide the operation with the competence and capability to manage an incident and recover its critical activities within the agreed timescales, the plans are exercised either annually or whenever a significant change occurs within the organization.

The exercises are developed and run using a number of methods to validate both the incident management and business continuity arrangements. Each exercise has clearly defined aims and objectives and is run in such a way as to minimise both disruption to site activities and the risk of an incident occurring as a direct result of the exercise. External facilitators and observers are used for those exercises that involve the Senior Management team and where deemed necessary for other exercises.

Exercises vary in scale, impact, scenario and participants to ensure both the validity of the plans being exercised and the ability of the personnel involved to execute the plans in an effective manner.

A written report is generated by the external facilitator detailing the outcome of the exercise and recommendations to improve the BCMS, with an implementation timeline. A review of each exercise will be conducted to ensure that the aims and objectives of the exercise have been met.

Each plan has a nominated owner who is responsible for ensuring that the BCM arrangements are kept up to date and accurately reflect the parts of the operation they cover. The review of plans is triggered by key events such as the change management process, post exercise action plans or audit reports.

When a plan (or any part of it) is changed it is the owner's responsibility, in conjunction with the Resource Planning Manager, to ensure that the amended plans are issued under the document control process and all copies of the previous version are removed from circulation.

The minimum review frequency of each part of the system is documented in the BCMS Owners & Review Frequency document. All reviews shall be recorded, with a review record retained by the plan owner and signed off by the Senior Manager responsible for Business Continuity.

Monitor and review the BCMS

BCMS review

Top Management ensure that the BC capability is reviewed on an on-going basis to ensure its continued suitability, adequacy and effectiveness.

Audit

The BCMS will be subject to an audit by the Internal Audit team of LWL on an annual basis. On occasion, the system, or specific aspects of it, may be audited by trained personnel from the LWL operation.

The purpose of the audit will be to assess the site's existing BCM competence and capability, verifying the system against the ISO22301 standard and the requirements of the organization undertaking the audit. The audit process will be determined by the relevant auditors.

As a result of the audit process a report will be generated and signed off by the General Manager. An action plan to address any identified shortfalls in the system will be agreed and implemented within mutually acceptable timescales.

Management review of the BCMS

On an annual basis the BCMS is subject to management review. The purpose of the review is to ensure the system is suitable, adequate and effective for the needs of the organization, to identify potential opportunities for improvement and agree required changes to the system. The review includes all elements of the system.

*Maintain and improve the BCMS***Continual improvement**

As is the case with the site Quality Management System (QMS), the H&S Management System and the Environmental Management System, the organization will seek to continually improve the BCMS through the use of all available inputs. These include audits and reviews of the system, exercise results, management review, and emerging BC best practice from both inside and outside LWL and corrective and preventative actions.

Corrective action

Where nonconformities are identified the organization will take steps to eliminate their cause and prevent recurrence. The process used to manage corrective actions is the LWL Corrective Action process, a copy of which is included in the appendices of this document.

Preventive action

In order to minimize the risk of future nonconformities the organization will adopt the LWL Preventative Action process, a copy of which is included in the appendices of this document.

LWL	BCMS	Strategic Plan
Page 1 of 2		LWL 08
Prepared by: BC Manager	Issue: 1	Approved by: ## ##

STRATEGIC PLAN

1.0 PURPOSE

1.1 The purpose of this procedure is to outline how LWL sets and plans to achieve its objectives.

2.0 SCOPE

2.1 The scope of this procedure includes the entire BCMS implemented at LWL.

3.0 REFERENCES

3.1 This procedure should be read in conjunction with the BIA.

4.0 RESPONSIBILITIES

4.1 It is the responsibility of the management team and the appointee to set the objectives.

4.2 It is the responsibility of the manager of the objective, to implement and operate the plan to achieve the objective.

4.3 It is the responsibility of the appointee to monitor and report progress of the strategic plan.

LWL	BCMS	Strategic Plan
Page 2 of 2		LWL 08

5.0 **PROCESS**

5.1 ***Creating the plan***

5.2 A draft Annual BC Plan, including the suggested objectives, is prepared by the management appointee, at the beginning of each year taking into account the context of the organization, the acceptable levels of risk and the BIA.

5.3 The Management team reviews the plan during a workshop at the annual away day and management review meeting and the responsibilities are assigned.

5.4 The Managing Director prepares a briefing on the plan, which is then cascaded to all levels of staff. The Management Appointee then publishes the plan on the company intranet.

5.5 The Management Appointee reports on the progress of the plan at the monthly management meeting.

5.6 The success of the plan is debated at the Management review meetings.

6.0 **RECORDS**

6.1 Annual BC plan.

6.2 Management meeting minutes and actions.

7.0 **DOCUMENT HISTORY**

7.1 This procedure has not been revised to date.

LWL	BCMS	Context and stakeholder issues
Page 1 of 3		LWL01
Prepared by: BC Manager	Issue: 1	Approved by: #####

Identification of Context and Interested Parties

1.0 PURPOSE

1.1 The purpose of this procedure is to outline how LWL identifies its context and interested parties and those risks and opportunities that need to be considered for the BCMS.

2.0 SCOPE

2.1 The scope of this procedure includes all LWL operations and activities.

3.0 RESPONSIBILITIES

3.1 It is the responsibility of the management team and the BC manager to ensure they identify the organization’s context and interested parties.

3.2 Informed decisions are made about LWL business objectives

3.3 The LWL strategic plan is produced and updated

3.4 Interested parties are identified and their issues are continually reviewed

3.5 Records will be kept of all such communications and actions taken

4.0 Context issues

4.1 External context

The organizational context has been determined on the basis of the following:

1. Social – including societal, social responsibility;
2. Cultural – this includes local culture, customs and expectations;
3. Political – the political stability in the country(ies) of operation and the sourcing of materials and services;
4. Legal and regulatory requirements in the country of operation, sources of materials/services and where the product/service is sold;
5. Financial – cost of materials currently and the stability, costs of production etc.;

6. Economy in the country of operation and where the product/service is to be sold;
7. Technological – the effect of technological changes which impact on the product/service and the opportunity (opportunity and threat);
8. Impact on the natural environment;
9. Impact from competitors;
10. Views of external stakeholders (perceptions and values);
11. Key drivers and trends impacting on organizational objectives;
12. Relationships with other bodies
13. Portfolio of assets
14. Neighbors
15. Local community

4.2 Internal context.

1. governance;
2. organizational structure;
3. roles and accountabilities;
4. policies and objectives - the strategies that are in place to achieve them;
5. internal capabilities - are the resources and knowledge established (e.g. capital, time, people, processes, systems and technologies);
6. information systems – how does information flows and decision making processes (both formal and informal) operate;
7. internal stakeholders relationships - perceptions and values of employees etc;
8. organizational culture;
9. standards, guidelines and models adopted by the organization;
10. contractual relationships - the form and extent of them

5.0 Interested party issues

1. Customers
2. Distributors
3. Shareholders
4. Investors
5. Owners
6. Insurers
7. Regulators
8. Competitors
9. Media
10. Trade groups
11. Neighbors
12. Pressure groups
13. Emergency services
14. Other response services
15. Transport
16. Personnel

6.0 RECORDS

6.1 Objectives set

6.2 LWL BC plan.

6.3 Management meeting minutes and actions.

7.0 **DOCUMENT HISTORY**

7.1 This procedure has not been revised to date.

LWL	BCMS	Risk Assessment
Page 1 of 2		LWL 06
Prepared by: BCM Manager	Issue: 2	Approved by: ####

Risk Appetite, Business Impact Analysis and Risk Assessment

1.0 PURPOSE

1.1 The purpose of this procedure is to specify how the organization will undertake its BIA and risk assessment and determine its action based on its risk appetite.

2.0 SCOPE

2.1 The scope of this procedure includes the entire BCMS implemented at LWL.

3.0 REFERENCES

3.1 There are no specific references that apply to this procedure.

4.0 RESPONSIBILITIES

4.1 It is the responsibility of the management team and the BC Manager to agree on the BIA'S which are of strategic importance to the organization and to produce a summary format in the business impact summary for review at the management review meeting or whenever there is a significant change in the operation that could impact its business continuity plan.

4.2 The management team are also responsible for determining the risk appetite of the organization.

4.3 It is the responsibility of the BC Manager and the department head and his appointed team to determine the risk for the various activities under their control.

4.4 It is the responsibility of the BC Manager to monitor and report on the performance to Top management.

LWL	BCMS	Risk assessment
Page 2 of 2		LWL 04

5.0 PROCESS

5.1 LWL have reviewed its context, the needs of interested parties and relevant regulatory requirements to determine those risks that could have a critical effect on LWL's ability to serve its customers and maintain its business operation. This is done at a high level and recorded.

5.2 *Evaluation of preliminary assessment*

5.3 Those risks that are shown initially to have the potential for having medium to significant impact are then evaluated in more detail to determine those processes that need full BIA and risk assessment. See risk assessment matrix below.

Likelihood of incident	Business impact assessment			
		Desired	Necessary	Critical
Highly Unlikely	1	2	3	4
Unlikely	2	4	6	8
Likely	3	6	9	12

5.4 *Risk appetite*

5.5 The outputs of the above processes are assessed against the risk appetite matrix below:

6.0 RECORDS

6.1 BIA summary.

6.2 Risk assessment output

6.3 Actions based on risk appetite.

7.0 DOCUMENT HISTORY

7.1 This procedure has not been revised to date.

Context, stakeholder links to risk and opportunities and operation

	Context (clause 4.1)	Interested parties (clause 4.2)	Risks and opportunities (clause 6.1)	Objectives (clause 6.2)	Initial risk evaluation	Action
	External					
1	Suppliers	Customer requirements	Threat - loss of supply through competitors trying to establish unique supplier contract	Meet KPI's of customers	Significant. High	Evaluate fully – see strategic plan
		Suppliers going out of business	Loss of supply Opportunity - Competitors having limited supplies		Information received indicates supplier is in good financial health. Low	
2	Competitors	LWL investors LWL workers	Loss of income Loss of jobs		Limited competition - Medium to Low risk	Track market and competition and review every 6 months
3	Regulatory	HR, Contract, H&S, Environment.	Not meeting our legal requirements	Monitor legal requirements for effects on LWL's products and services	Medium Risk	Make sure LWL is compliant

	Context (clause 4.1)	Interested parties (clause 4.2)	Risks and opportunities (clause 6.1)	Objectives (clause 6.2)	Initial risk evaluation	Action
4	Financial	Banks and insurers	Banks and insurers defaulting. Or IT systems not working	Regularly monitor bank and insurance credibility	Low risk	Annual review of position
5	Customers	Customers going into liquidation	Loss of revenue and	To increase customer base	Some customers suffering because of recession Medium to High	Evaluate fully See strategic plan
6	Natural environment	Environmental action groups Governmental restrictions in source	Resource limitation Loss of certain plant species	Very little environmental concern over most plant stock but some plants may be endangered. Objective to be set for setting up communication system for capturing information and distributing summary	Limited exposure to loss of certain plants Risk thought to be low	Review position with suppliers every 3 months

	Context (clause 4.1)	Interested parties (clause 4.2)	Risks and opportunities (clause 6.1)	Objectives (clause 6.2)	Initial risk evaluation	Action
7	Utilities	Staff, society and customer	Cannot operate. Damage to stock Health and safety	Ensure adequate back up and contingencies for staff	Medium level of possibility of occurrence	Look into contingencies
	Internal					
8	Migrant workforce	Government (restrictions)	Availability of temporary workforce	Ensure migrant workforce is competent.	No known indication of such an action Low risk	Competency assessment
9	Failure of hardware systems	LWL	Failure of key equipment that operates all software and also temperature and climate control in plant areas Damage to stock and inability to progress receipt of goods and despatch	Backup systems deployed at remote site	Low risk	No action
10	Failure of IT systems	LWL	Software glitches Inability to process orders and invoicing etc	Evaluate full impact	Some minor problems have occurred even with recovery systems in place Medium to significant	Conduct tests

	Context (clause 4.1)	Interested parties (clause 4.2)	Risks and opportunities (clause 6.1)	Objectives (clause 6.2)	Initial risk evaluation	Action
11	Energy failure	LWL	Inability to run main functions and climate control		Generator back – up for key functions but severe weather situations mean current system may not be adequate. Significant risk	Evaluate full impact
12	Industrial action	Trade unions	Strikes	Set minimum level of products in the event of a strike	Medium as there is a strong union presence.	Communicate with union
13	Health and safety issues including fire	LWL and employees	Injury to employees and serious damage to business operation	Ensure employees are aware of their responsibility towards H&S.	Systems in place but consequences high Medium to significant risk	Evaluate full impact
14	Communication	LWL and employees	Accident or business incident through lack of understanding with using workforce whose language is not first language of Anytown	Ensure all employees are communicated to.	Signage and training and communication is ongoing but risk is medium	Evaluate full impact

	Context (clause 4.1)	Interested parties (clause 4.2)	Risks and opportunities (clause 6.1)	Objectives (clause 6.2)	Initial risk evaluation	Action
15	Warehouse operations	LWL and employees	Accident/incident in loading Number of near misses reported	Ensure employees are aware of their responsibility towards H&S.	Significant risk	Evaluate full impact
16	Sabotage/bomb threat	LWL and employees	Risk identified	Evacuation to be rehearsed through exercises and test	Moderate threat	Systems in place which are exercised
17	Legionella	Employees	Risk identified	Regularly test systems.	Low risk	Treatment system in place to prevent outbreak

LWL	BCMS	PROVISION OF RESOURCES
Page 1 of 2		LWL 12
Prepared by: BC Manager	Issue: 1 Rev: 2	Approved by:

Resources

1.0 PURPOSE

1.2 The purpose of this Business Process procedure is to outline how LWL identifies its resource needs.

2.0 SCOPE

2.1 The scope of this procedure includes the BCMS implemented at LWL.

3.0 REFERENCES

3.1 There are no specific references that apply to this procedure.

4.0 DEFINITIONS

4.1 No specific definitions are referred to in this procedure

5.0 RESPONSIBILITIES

5.1 It is the responsibility of the resource planning manager supported by the shift leaders and team captains from each function to determine their resource needs with respect to:

- Training needs
- Infrastructure
- Equipment
- Working conditions
- Investment

5.2 It is the responsibility of the managers, shift leaders and team captains in each function to ensure that the overall policy is communicated to all personnel and that resource requirements need to be identified and communicated upwards through the appropriate channels.

6.0 PROCESS

6.1 Individual managers should ensure that Shift Leaders and Team Captains that at their

monthly review meetings establish any new requirements.

7.0 **DOCUMENTED INFORMATION**

7.1 Minutes of Function Manager's monthly meetings

7.2 Requests for resources

7.3 Communications

8.0 **DOCUMENT HISTORY**

8.1 This procedure is at revision status 2 following amendment to responsibilities in January 20**.

LWL	BCMS	Competency
Page 1 of 1		LWL 05
Prepared by: BC Manager	Issue: 1	Approved by: ##

Competency

1.0 PURPOSE

1.1 The purpose of this procedure is to outline how LWL ensures all staff have appropriate competence for the requirements of the BCMS. The site training matrix identifies the training needs of each role and individual based upon role requirements in the context of BCM plans. Where needs are identified appropriate training is sourced and delivered. Training is subsequently evaluated for effectiveness.

2.0 SCOPE

2.1 The scope of this procedure includes all the MS's that operate at LWL.

3.0 REFERENCES

3.1 There are no specific references that apply to this procedure.

4.0 RESPONSIBILITIES

4.1 It is the responsibility of the management team and the BC manager to ensure that all staff have appropriate levels of competency to meet the requirements of the BCMS

5.0 RECORDS

5.1 Training records for individual staff are kept with HR.

6.0 DOCUMENT HISTORY

6.1 This procedure has not been revised to date.

LWL	BUSINESS PRACTICES MANUAL	TRAINING
Page 1 of 2		LWL 02
Prepared by: BC Manager	Issue: 1	Approved by: #####

TRAINING

1.0 PURPOSE

1.1 To define the method, frequency and recording of training activities.

2.0 SCOPE

2.1 This procedure covers all activities and personnel at LWL.

3.0 REFERENCES

3.1 None.

4.0 DEFINITIONS

4.1 None.

5.0 RESPONSIBILITIES

5.1 The section manager and the Human Resources department ensure all personnel are trained as required.

6.0 PROCESS

6.1 All persons employed are given initial training in all aspects of business continuity, health and safety, quality and environmental issues. Once the initial trial period is over (usually 3 months), further training is given for individual job areas.

6.2 Training is done by a variety of means including, but not necessarily limited to, the watching of videos on requirements and instructions, training courses, team leader discussions etc.

LWL	BUSINESS PRACTICES MANUAL	TRAINING
Page 2 of 2	Issue: 1	LWL02

7.0 **RECORDS**

7.1 All training activities are recorded onto the training records for reach person employed and kept on file by human resources for 7 years.

8.0 **DOCUMENT HISTORY**

8.1 None.

LWL	BCMS	Receipt of communications
Page 1 of 2		LWL 03
Prepared by: BC Manager	Issue: 1	Approved by:

Communication procedure

1.0 **PURPOSE**

1.1 The purpose of this procedure is to outline how LWL deals with receipt of communications and acts upon where necessary

2.0 **SCOPE**

2.1 The scope of this procedure includes all the Management Systems that operate at LWL.

3.0 **REFERENCES**

3.1 There are no specific references that apply to this procedure.

4.0 **RESPONSIBILITIES**

4.1 It is the responsibility of the management team and the BC manager to ensure they control and deal with relevant communications in an effective and timely manner.

4.2 All information received from external sources that impacts on BCM should be sent to BC manager

4.3 All relevant communications received by BC manager should be sent to relevant internal parties.

4.4 All communications with the media should be dealt with by the General Manager.

4.5 Communications with interested parties are dealt with by the BC Manager.

4.6 Records will be kept of all such communications and actions taken

LWL	BCMS	Receipt of communications
Page 2 of 2		LWL 03

5.0 RECORDS

5.1 Annual BC plan.

5.2 Management meeting minutes and actions.

6.0 DOCUMENT HISTORY

6.1 This procedure has not been revised to date.

LWL	BCMS	DOCUMENTED INFORMATION CONTROL
Page 1 of 2		LWL 09
Prepared by: BC Manager	Issue: 1	

DOCUMENT CONTROL

1.0 *Purpose/Scope*

1.1 This procedure defines the mechanism for controlling management system documents.

1.2 The purpose of this procedure is to ensure that those personnel requiring access to management system documents have the most up-to-date issues and are aware of the document control process.

2.0 *Activities Affected*

2.1 All areas and departments.

3.0 *Forms Used*

3.1 Master Document List.

4.0 *References*

4.1 None

5.0 *Definitions*

5.1 None.

6.0 *Exclusions*

6.1 None.

7.0 *Procedure*

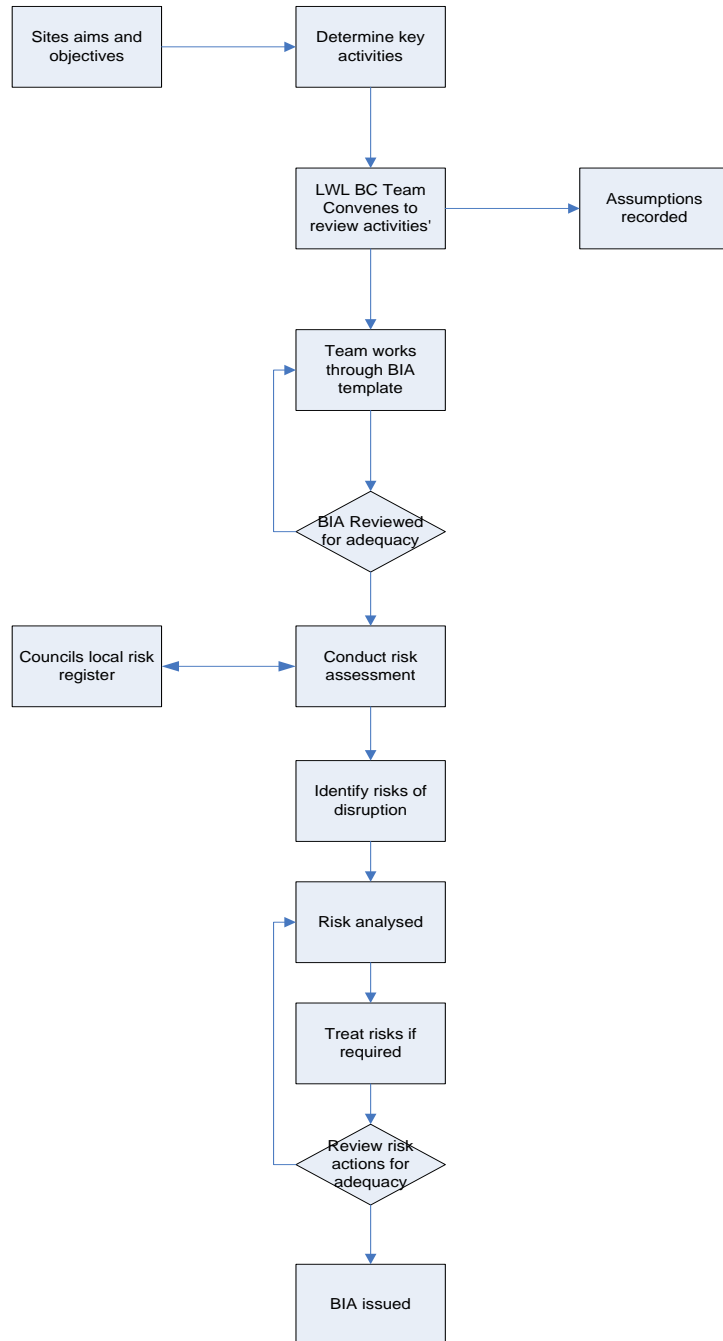
7.1 The BCM Manager shall be responsible for coordinating, developing, issuing and controlling management system documented information.

7.2 Procedures shall be used by all staff.

LWL	BUSINESS PRACTICES MANUAL	DOCUMENT CONTROL
Page 2 of 2		LWL 09
Prepared by: BC Manager	Issue: 1	

- 7.3 The BCM Manager shall maintain a master set of documents on the IT management system.
- 7.4 Each area or department manager or designee should maintain a list of, or have access to, all documents relevant to their area or department, as applicable.
- 7.5 Relevant documents are available at the locations where they are needed.
- 7.6 Personnel ensure current versions are available and used.
- 7.7 The Cross Functional Team shall review and approve changes to documents.
- 7.8 All controlled documents shall be marked with the words "CONTROLLED DOCUMENT".
- 7.9 Controlled versions of system documents may be placed on the computer system for access by area or department personnel.
- 7.10 All controlled documents issued by the BC Manager shall be recorded on a Master Document List.
- 7.11 The BC Manager shall:
- 7.12 Provide notice to affected personnel to ensure they are aware of the new or revised document; and
- 7.13 Issue controlled copies of those documents to appropriate personnel.
- 8.0 **General Rules**
- 8.1 All documents not marked with the words "Controlled Document" shall be considered uncontrolled.

BIA & Risk Assessment Process



Live Wild Logistics

BCMS Manual Version 3

LWL Business Impact Assessment

The process for the business impact analysis is shown in the flow chart. The outputs from these processes have been reviewed by top management and signed off as an accurate representation of the company's operations at the time. The BIA will be reviewed as part of the management review or following a change to the operation, processes or associated risks.

Date of BIA	###/###/####
Version	BIA-0712-V2
Location	As part of the BCM file maintained on the server
Date for review	At the next management review meeting
Staff involved in preparing the business impact analysis	
Name	Role
Robert McDougal	BCM Manager
Keith Common	Warehouse Manager
Scott Lee	Systems

Document control

Date	Revision/amendment details & reason	Author of revision
###/###/##	BIA-0412-v1.5	Robert McDougal

BIA Sign Off

Name and position of sign off	Pat Hope – General Manager
Signature	Pat Hope
Date	###/###/##

Activities reviewed

Reference	Risk reviewed	Function responsible	Activity importance	Max time to restart	Time to normal service	Comment
01	Suppliers	Purchasing	<i>Critical</i>	1 day	2 days	
02	Competitors	Marketing	<i>Desired</i>	NA	NA	
03	Finance	Finance	<i>Necessary</i>	1 week	2 weeks	
04	Environmental concerns	Operations	<i>Desired</i>	NA	NA	
05	Workforce	Human resources	<i>Critical</i>	1 day	3 days	
06	Failure of Systems – Hardware	Planning and IT	<i>Desired</i>	12 hours	1 day	
07	Failure of Systems - IT	Planning and IT	<i>Necessary</i>	1 hour	2 hours	
08	Loss of electricity	Planning	<i>Vital</i>	3 hours	6 hours	
09	Health & Safety including Fire	Planning	<i>Vital</i>	NA	NA	
10	Communication	Planning	<i>Necessary</i>	1 hour	2 hours	
11	Warehouse Operations	Warehouse and Planning	<i>Vital</i>	48 hours	7 days	
12	Sabotage/Bomb Threat	Planning	<i>Desired</i>	NA	NA	
13	Legionella	Planning	<i>Necessary</i>	NA	NA	
14	Severe weather	Planning	<i>Necessary</i>	NA	NA	

BIA for activity

08 - Loss of electricity

Impact of disruption	Impact over time			Impact over time				Comments
	H	M	L	1 Hour	3Hour	12Hours	24Hours	
LWL Staff	X			H	H	H	H	Impact immediate on staff unable to undertake their activities
General Public			X	L	L	L	L	Insignificant impact on public
Safety & security	X			M	M	H	H	Safety and security issue compromised if power loss prolonged
Financial		X		L	L	L	M	Low impact on finance issues
Warehouse operations	X			H	H	H	H	Operations effectively cease without power and knock on effect to plant storage could lead to damaged unsellable stocks
Service levels	X			M	M	H	H	Have agreed service levels with customers which would be compromised if power loss prolonged
Customers		x		L	L	M	M	Failure to meet service levels

Example of BIA Impact form. NOTE: the time impact could be changed to reflect any time period required

0# - ##### #####

Impact of disruption	Impact over time				Comments
	H	M	L		
LWL Staff				1 Hour 3Hour 12Hours 24Hours	
General Public					
Safety & security					
Financial					
Warehouse operations					
Service levels					
Customers					

Business Impact Assessment Summary – Warehouse Facility

<i>Activity reviewed</i>	<i>Function owned by</i>	<i>Activity importance</i>	<i>Risk treatment</i>	<i>Recovery Sequence</i>	<i>Max time to restart (hours)</i>	<i>Time to normal service level</i>	<i>Comments</i>
Review of pick volumes	Warehouse Planning	Desired	Acceptance	1	72	7 days	
Shift deployment planning	Warehouse Planning	Critical	Business Continuity	2	72	7 days	
Space planning & creation	Warehouse Planning	Critical	Business Continuity	3	77	7 days	
Review of Goods In schedule	Stock	Desired	Acceptance	4	77	7 days	
Goods in	Warehouse	Critical	Business Continuity	5	89	7 days	
Slot release	Stock	Critical	Business Continuity	6	90	7 days	Activity not required for start up of new warehouse in event of loss of access
Label & putaway	Warehouse	Critical	Business Continuity	7	91	7 days	
Debit pulling	Operations	Critical	Business Continuity	8=	92	7 days	
Back up paperwork	Operations	Necessary	Business Continuity	8=	92	7 days	
Transport planning	Transport Planning	Critical	Business Continuity	10	92	7 days	
Pick Sequencing	Operations	Critical	Business Continuity	11	95	7 days	
Replenishment	Warehouse	Critical	Business Continuity	12=	96	7 days	
Picking	Warehouse	Critical	Business Continuity	12=	96	7 days	
Pre loading administration	Operations	Vital	Business	14	98	7 days	

			Continuity				
Loading	Warehouse	Critical	Business Continuity	15	99	7 days	
Collection of trailer	Transport Planning	Critical	Business Continuity	16	100	7 days	
Dispatch of trailer	Warehouse	Critical	Business Continuity	17	101	7 days	
Transfers	Stock	Vital	Acceptance	18	7 days	7 days	Will not be resumed until full service level restored
Pot plants	Warehouse	Vital	Acceptance	19	7 days	7 days	Will be moved to alternative site until full service level restored

Activity name	Loading of a trailer	Activity owner	Warehouse
Activity Frequency	More than hourly	Days operation	Every Day
Hours of operation	24hrs	No of FTE's involved	2-4
Daily peak details	12.00 to 16.00	Weekly peak details	Sat
Monthly peak details	N/A	Annual peak details	November-February
Internal Interdependencies of Activity		External Interdependencies of Activity	
<i>List the functions, departments, suppliers, customers etc. that the process / activity supports in priority order</i>			
Internal interdependencies	Picking	External interdependencies	Transport
Owner	Warehouse	Owner	LWL
Internal interdependencies	Replenish	External interdependencies	3rd party haulers
Owner	Warehouse	Owner	LWL
Internal interdependencies	Put away	External interdependencies	Stores
Owner	Warehouse	Owner	LWL
Internal interdependencies	Goods in	External interdependencies	Transshipping depots
Owner	Warehouse	Owner	3PL
Internal interdependencies	Operations	External interdependencies	
Owner	Ops	Owner	

Business Impact Assessment – Loading Activity

Impact						
People Impact						
Categorize the impact a disruption to the process would have on the people involved in or linked with the activity. Select one category for each date range						
	Day 1	Day 2 & 3	Day 4 - 7	Day 8 - 14	Day 15+	Comments
LWL personnel	Insignificant	Low	Low	Medium	High	Taking into account deployment and colleague welfare
LWL personnel	Insignificant	Insignificant	Low	Low	Low	
Suppliers	Insignificant	Low	Insignificant	Insignificant	Insignificant	Divert product into another depot after day 1
General public	Insignificant	Insignificant	Insignificant	Insignificant	Insignificant	Directly linked to Suppliers queuing on road
LWL store personnel	Insignificant	Insignificant	Low	Low	Low	Based on product being delivered from alternative depots
LWL head office	High	High	High	High	High	Based on alternative plans being set up during week 1 and activated from day 8
LWL other	Insignificant	Insignificant	Insignificant	Insignificant	Insignificant	
LWL customers	Insignificant	Insignificant	Low	Low	Low	Would purchase elsewhere after a while

Business Impact						
<i>Categorise the impact a disruption to the process would have on LWL's business (both locally and nationally). Select one category for each date range</i>						
	Day 1	Day 2 & 3	Day 4 - 7	Day 8 - 14	Day15+	Comments
Financial	Insignificant	Insignificant	Low	Medium	High	
Service levels	Insignificant	High	High	High	High	
Contractual agreements	Insignificant	Insignificant	Low	Medium	High	
Reputation	Insignificant	Insignificant	Low	Medium	High	
Other Impact						
<i>Categorise the impact a disruption to the process would have on anything not previously covered. Select one category for each date range</i>						
	Day 1	Day 2 & 3	Day 4 - 7	Day 8 - 14	Day15+	Comments
Environment	Insignificant	Insignificant	Insignificant	Insignificant	Insignificant	
Health & Safety	Medium	Low	Low	Insignificant	Insignificant	Based on no contingency plans resulting in no picking on site

Impact	
<i>Business Function Information</i>	
How long can the activity operate in manual mode?	Yes
Are there any written processes / procedures for operating in manual mode?	No
When were the processes / procedures for operating in manual mode last updated?	N/A
What additional resources are required for operating in manual mode?	Additional hours as slower process
In the event of a disruption there will be lost data/transactions. Can they be recovered?	No
How will lost data be recovered?	LWL Data system
Are there any written processes / procedures for recovering lost data?	Yes
When were the processes / procedures for recovering lost data last updated?	Unknown
What would be the impact if the data cannot be recovered?	Unable to complete activity
Does the activity rely on information that is not electronic? (Specify data & media)	No
How will lost (non electronic) information be recovered?	N/A
What specialised equipment is required to perform the activity?	PPT, Clipboard & pen

Recovery		
Maximum Tolerable Period of Disruption		
<i>Categorise the amount of time required to reach key milestones following a disruption to the activity</i>		
		Comments
1	Maximum allowable time before activity MUST be restarted	97 - 120hrs See BIA summary for more detail
2	Minimum allowable service level (as percentage of normal service level)	See comments Top 100 lines to top 50 stores
3	Maximum allowable time before activity MUST reach normal service level	168 hrs Gradual ramp up in service levels between 4th & 21st day
Resources required to <u>restart</u> activity & reach normal service level		
<i>Detail what resources are required (and the quantity) to restart the activity and reach minimum & normal service levels following a disruption to the activity</i>		
	Restart	Normal
People (headcount)	2	2 per shift
People (skills)	PPT trained	As restart
People (knowledge)	Loading procedures	As restart
People (other)	Picking & transport operations	As restart
Premises (site)	Warehouse	As restart
Premises (facilities)		Dock levellers x 12 & battery charging facilities
Premises (utilities)	Electricity & water	As restart

Premises (other)	N/A	As restart
IT (WMS)	N/A	As minimum
IT (Transport planning)	N/A	As restart
IT (Telephones)	1	As restart
IT (order processing)	N/A	As restart
IT (other)	2 x Two-way radio	As restart
Resources (MHE)	Counterbalance	1 x PPT per loader
Resources (HGV / LGV)	Tug or unit	As restart
Resources (Trailers)	6 x trailer	18 x trailers
Resources (other)	LPG for MHE	
Information	Load requirements	System driven Intent to Load & Load Schedule
External services	N/A	As restart
External supplies	PPE for each FTE	As restart
Other	N/A	As restart

<i>Recovery</i>			
<i>Inter-related activities</i>			
<i>Inter-related activities / processes, inputs / outputs etc. that are required to support the activity</i>			
Activity, inputs, process etc.	Restart	Normal	Comments
Picking	1-2 hrs before	2-4 hrs	
Load checking	<1 hr before	<1hr	
Trailer collection	2-4 hrs	2-4 hrs	If Live loading trl collection can be as short as 15mins after loading is complete
Transport planning	2-4 hrs before	2-4 hrs before	
<i>Importance of activity</i>			
<i>Agreed level of importance of activity to delivery of key business services and objectives</i>			
CRITICAL			
Completed By	Position	Date	Signature
Keith Common	Warehouse Operations	##/##/####	Keith Common
<i>Senior Management agreement that the findings detailed above are a true reflection of the organization</i>			
Name	Robert McDougal		
Position	BCM Manager		
Signature	Robert McDougal	Date 11/11/20##	

Business Continuity Plan

Department / Function	Total Site
Scenario	Loss of access
Site	Live Wild Logistics, Anytown

Document Control

Owner	Robert McDougal		Contact Number	
Version Control	Version	Date of Issue	Action	
	2	Sept 01 20XX	Please destroy your old hard and CD copies of the Incident Management Plan	
Distribution	CD Rom Version		Hard copy	

Purpose and Scope of the Plan:

The purpose of this plan is to define how the LWL operation will manage the resumption of its critical activities in an alternative location following a disruption resulting in denial of access to the LWL site

This plan covers the Warehouse, Operations, Stock Control, HR, Finance, Warehouse Planning, IT and Health and Safety functions. The critical activities are those identified in the Business Impact Analysis process as being key to the delivery of the operations aims and objectives

This plan is part of the site Business Continuity Management System (BCMS).

The plans included in this document have been agreed by top management on the assumption that in the event of a disruption, the operation must restart in the within 96 hours (4 days) of the start of the disruption.

Responsible Person

In the event of a business disruption the person responsible for managing both the incident management and business continuity phases is the General Manager. In his absence the responsibility will fall to the Warehouse Operations Manager.

By signing this document the General Manager authorises this plan to be used by the personnel named in the Roles & Responsibilities section.

Document Owner and Maintainer

The primary owner and maintainer of the Business Continuity Plans is the resource Planning Manager. He is responsible for reviewing, amending and updating the plans at regular intervals. In his absence, the responsibility falls to the IT Manager or the Warehouse Operations Manager

A system of version control is employed and changes are formally notified to all interested parties with a formal plan distribution record maintained and kept up to date.

Roles & Responsibilities

The permanent Business Continuity Team charged with the successful execution of this plan and their roles and responsibilities are shown below.

Role	Leader	Deputy
Name	Pat Hope	Keith Common
Address		
Home Tel No		
Mobile Tel No		
Email		
Authority	Invoking & standing down the BCP, Expenditure, All major decision making. Source whatever is required to effectively manage incident, personnel deployment.	
Responsibilities	Leadership and direction of the Business Continuity Team Manage & coordinate activities and resources required to resume critical activities Ensure the BCT is fully resourced with appropriate representation backed up by appropriate deputies Make the decision on whether to invoke the BCP Determine assistance required from within LWL to deliver BCP Provide strong leadership to the team, particularly when chairing BC Team Meetings and in dealings with colleagues and service providers on site	

Role	People Coordinator	
Name	Sharon Jones	
Address		
Home Tel No		
Mobile Tel No		
Email		
Authority	Personnel related expenditure up to 500, Make recommendations to effectively manage all personnel aspects of plan to BCT Leader.	
Responsibilities	<p>Liaise with LWL Business Continuity & Supply Chain teams to make necessary arrangements to deliver BC plan</p> <p>Make transport and accommodation arrangements for all LWL BC & operational personnel as required</p> <p>Make necessary arrangements for site inductions and training to be planned and delivered</p> <p>Communicate on an ongoing basis with colleagues to ensure they are aware of current situation and what is required of them</p>	
Colleagues assisting in delivery of BC plan	<p>HR Colleagues</p> <p>Accounts Assistants</p> <p>Operations Clerks</p> <p>Stock Clerks</p> <p>Warehouse operatives</p>	

Role	Operations Coordinator	
Name	Pat Hope	
Address		
Home Tel No		
Mobile Tel No		
Email		
Authority	Invocation of BCP with agreement of BCT Leader. Operational expenditure up to 500. Make recommendations to effectively manage all operational aspects of the plan to the BCT Leader	
Responsibilities	<p>Source resources required to allow Warehouse to become operational</p> <p>Determine and agree warehouse operations processes</p> <p>Liaise with LWL Business Continuity & Supply Chain teams to make necessary arrangements to deliver BC plan</p>	
Colleagues assisting in delivery of BC plan	<p>Shift Leaders</p> <p>Team Captains</p> <p>Warehouse colleagues</p>	

Role	Planning Coordinator	
Name	Sarah Sams	
Address		
Home Tel No		
Mobile Tel No		
Email		
Authority	Source all information relevant to the incident, Invocation of BCP with agreement of BCT Leader, Operational expenditure up to 500	
Responsibilities	Liaise with LWL Business Continuity & Supply Chain teams to make necessary arrangements to deliver BC plan Agree volumes with LWL Identify and source required agency personnel Develop and agree required headcounts and shift patterns for operation	
Colleagues assisting in delivery of BC plan	Shift Leaders Transport Team Captain	

Role	IT & Business Development Manager	
Name	Mark Wise	
Address		
Home Tel No		
Mobile Tel No		
Email		
Authority	Operational expenditure up to 500. Propose key messages for stakeholders for agreement by BCT Leader.	
Responsibilities	Liaise with LWL Business Continuity & Supply Chain teams to make necessary arrangements to deliver BC plan Ensure all required IT & are sourced and in place to allow operation to start. Record BCT decisions and actions	
Colleagues assisting in delivery of BC plan	LWL IT personnel LWL IT personnel	

Role	Finance Manager	
Name	Deborah Garcia	
Address		
Home Tel No		
Mobile Tel No		
Email		
Authority	Operational expenditure up to 500.	
Responsibilities	Liaise with LWL Business Continuity & Supply Chain teams to make necessary arrangements to deliver BC plan	

	<p>Ensure all required facilities are sourced and in place to allow operation to start.</p> <p>Keep records of all expenditure incurred in execution of plan to allow development of costings</p>
Colleagues assisting in delivery of BC plan	<p>Operations Clerks</p> <p>Stock Clerks</p> <p>Warehouse operatives HR Colleagues</p> <p>Accounts Assistants</p>

Role	BC Team Administrator	
Name	Robert McDougal	
Address		
Home Tel No		
Mobile Tel No		
Email		
Authority		
Responsibilities	<p>Answer all incoming phone calls to BCT</p> <p>Maintain an ongoing log of all events as they happen / as they are reported</p> <p>Maintain an ongoing log of all decisions & actions made by BCT members</p> <p>Provide any administrative support as required by BCT members</p>	

Role	Health & Safety	
Name	Scott Lee	
Address		
Home Tel No		
Mobile Tel No		
Email		
Authority	To ensure all actions are conducted within the boundaries of Health and Safety law	
Responsibilities	<p>Advise all members of the BCT on H&S responsibilities</p> <p>Act as first point of contact for all issues relating to Health & Safety</p> <p>Maintain records required by H&S law</p> <p>Conduct Risk Assessments on alternative site</p>	
Colleagues assisting in delivery of BC plan	<p>HR Colleagues</p> <p>H & S Colleagues</p> <p>First Aiders</p> <p>Fire Marshalls</p>	

Plan Invocation

The plan can be invoked by the General Manager (or his nominated deputy) on the advice of the Warehouse Operations Manager, Planning Manager and / or the HR Manager. They will do so by communicating the need for invocation with the General Manager.

The plan should be invoked following a disruption which impacts the LWL site once the disruption has been contained and the invocation of the plan has authorized.

Once invoked the details will be recorded in the Site Event Log and a detailed log retained by the BCT, detailing all events and decisions taken to satisfactorily restore the critical activities.

Upon invocation the manager of the Business Continuity team will contact the heads of those functions affected by the disruption, informing them of the plan invocation and a likely time and location for them to expect their activities to be resumed.

Recovery Time Objective

- In the event of a disruption which will result in loss of access to the LWL site for more than 4 days, the operation must resume, picking the top 100 lines for the top 50 stores (both as determined by LWL) as decided by LWL, by the 96th hour of the disruption.
- Should the disruption result in the loss of access to the LWL site for less than four days the LWL operation would be suspended and must restart, picking the top 100 lines for the top 50 stores (both as determined by LWL) by the 96th hour of the disruption.
- On the 7th day following the disruption, irrespective of the location of the operation (LWL or alternative site), LWL require the operation to be operating to normal service levels (as per the normal LWL operation)

Recovery Locations

This BCP will take place and be controlled from the Conference Room at the LWL site. Should this not be available the General Manager will identify an alternative location and communicate it to the remainder of the team.

Dependencies

The activities covered by this plan are interdependent on one another due to the nature of the process used to deliver the key service to the customer. The status and nature of the agreed alternative site may result in these being amended, without affecting the overall recovery time objective.

It is likely in the event of this plan being invoked that the BC plans, or part of them, for the loss of people, loss of skills and the loss of IT may also be invoked. This will be on the authorization of the General Manager or his nominated deputy.

Communication

The Business Continuity Team will ensure that throughout the execution of the plan all affected colleagues will be communicated with on a regular basis. Key stakeholders will also

be involved in daily update briefings to ensure that they are aware of the latest situation, plans for the next period and assistance required.

All stakeholders identified in this plan have been involved in its development and have agreed to its authorization.

Task & Action Lists

As part of the normal day to day operation the site has developed a number of strategies, all of which are operational, to ensure that in the event of a loss of access to the LWL site the critical activities can be resumed on an alternative site within the agreed timescales.

Full details of these strategies are included in the following plans and within the BCMS.

Pre Start up Activity Task List

In the event of the operation needing to resume in an alternative site LWL would be responsible for making the decision of the location. This will be dependent on site / space availability at the time of the disruption.

The alternative site will either be already functioning as a LWL site and the LWL operation will take up space within it or it will be a non operational site that will require pre start up activity.

LWL would be looking for the alternative site to be racked with LWL IT connectivity that allows the operation to continue to use the systems as deployed in LWL.

The task list details the initial requirements to start up an operation in a racked warehouse with no other facilities installed. Once the location has been identified and agreed each task owner will be responsible for identifying which of their required facilities are available and which require sourcing. LWL would also deploy resources from other operations and functions to assist in getting the site in a position to commence operations to the required level within the agreed timescales.

In the event of the operation resuming in LWL the following plan would still be used to ensure that all required resources are in place to restart the operation.

The following documents are also part of this plan

- Restart Resource Requirements – a list of all the resources required to restart the operation
- Warehouse Restart Layout Plan – template to be completed on initial survey of restart venue to provide team with all details required to commence resumption planning
- BCM Restart Volumes model – an Excel model showing required volumes, headcount and MHE to take operation from restart to normal service levels in 7 days

Recovery Time Objective

The day of disruption is day 0 and the recovery operation (the picking of the top 100 lines for the top 50 stores) must commence on the 96th hour of the disruption (the start of the 4th day).

BC Plan 20XX

Objective	Responsibility	Completion Date
To meet KPI's	All	December 20xx
To increase customer base in order to reduce impact from key customers' failing	Commercial manager	December 20xx
To effectively manage and incident that may cause a business disruption to the LWL site	GM and Department Managers	July 20xx
To develop plan to minimise the potential impact any business disruption would have on LWL and its reputation	Management Appointee	July 20xx
To provide continuity of service the LWL's customers in the event of a business disruption, ensuring that key services are resumed with the agreed timescales as documented in the business continuity plans	Warehouse Operations Manager	December 20xx

BALANCE SHEET	
Business interruptions	Data to be accumulated throughout 20xx and metrics applied the following year
Property damage	
Near Misses	
Accidents, both reportable and minor	
Results of housekeeping audits	Housekeeping audits once per month
BC meetings	One per week, all departments; Committee meeting once per month
Exercising	To follow planned schedule
Staff suggestions	System to be functioning by July 20xx

LWL	BCMS	INTERNAL AUDITS
Page 1 of 3		LWL 07
Prepared by: BC Manager	Issue: 1 Rev: 2	Approved by:

INTERNAL AUDITS

1.0 PURPOSE

1.1 The purpose of this Business Process procedure is to outline how LWL plans, conducts and reports on internal audits.

2.0 SCOPE

2.1 The scope of this procedure includes the BCMS implemented at LWL.

3.0 REFERENCES

3.1 There are no specific references that apply to this procedure.

4.0 DEFINITIONS

4.1 No specific definitions are referred to in this procedure

5.0 RESPONSIBILITIES

5.1 It is the responsibility of the management representative to schedule internal audits based on the status and importance of the activity to be audited.

5.2 It is the responsibility of the management representative to appoint an internal auditor and/or team who are independent of those having any responsibility for the activity being audited.

5.3 It is the responsibility of the internal auditor to perform and document the results of internal audits and submit the report to the management representative.

6.0 PROCESS

6.1 *Audit Scheduling*

6.2 An *Internal Audit Schedule* is prepared by the management representative at the beginning of each year. Specific processes of the BCMS are scheduled on the basis of the importance of the activities, risk assessment and the BIA. In some cases, specific processes may be audited more than once a year.

LWL	BCMS	INTERNAL AUDITS
Page 2 of 3	Rev: 2	LWL 07

- 6.3** To ensure that personnel within the area being audited are informed, a copy of the *Audit Schedule* will also be posted when it has been completed or updated.
- 6.4** When each audit has been scheduled, the management representative will assign an audit number to the audit being performed and add this audit to the *Internal Audit Log*. This log outlines the audit number, corrective action number, description of the nonconformity, area responsible, issued to who, and closure date.
- 6.5** *Internal Audit Checklist*
- 6.6** At the beginning of each year, the management representative prints of copy of the system checklist, which is forwarded to the internal auditing team.
- 6.7** Once per year while the internal auditing team conducts the system audit of the BCMS they review the existing compliance checklist to see if there should be any changes due to modifications to the processes or procedures. If changes are required, the changes are made and a new compliance checklist is completed along with the required revision.
- 6.8** *Audit Findings*
- 6.9** When the audit is being conducted, the Auditor will document any finding onto the *Internal Audit Checklist*. When the audit has been completed and there were nonconformities found during the audit, the Auditor will complete an internal audit corrective action request based upon the audit findings and the information documented on the *Internal Audit Checklist*. These nonconformities are brought to the attention of the individual who is responsible for the area being audited. Together, the Auditor and that individual will determine a date for a re-audit, if required.
- 6.10** If there were no nonconformities found during the audit, the Auditor will prepare an *Internal Audit Report* commending all personnel on maintaining the effectiveness of the BCMS. All internal audit reports along with the checklist and copies of the internal audit corrective action request are submitted to the management representative.
- 6.11** When the results of the internal audit have been presented to the management representative, the management representative updates the internal audit log.
- 6.12** *Corrective Action*
- 6.13** If required, the individual responsible for the area of concern will promptly implement corrective action on the deficiencies as identified on the internal audit corrective action request. These deficiencies may affect other areas such as process procedures, work instructions, handling methods or other BCMS elements. If the deficiencies affect other areas, those areas will also be re-audited to ensure that they still meet the requirements of the BCMS.

LWL	BCMS	INTERNAL AUDITS
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6.13 When the individual has implemented the corrective action, they will inform the management representative and the management representative and/or original auditor will re-audit the area(s) of concern. If the re-audit is not positive, then a new internal audit corrective action request will be issued and the process will start over again. This process will continue until the audit activities are verified to be implemented and effective. When the corrective action is deemed cleared by the management representative and/or auditor will sign off the corrective action.

7.0 **RECORDS**

7.1 Internal audit corrective action request.

7.2 Internal audit schedule.

7.3 Internal audit log.

7.4 Internal Audit Checklist.

8.0 **DOCUMENT HISTORY**

8.1 This procedure is at revision status 2 following amendment to responsibilities in January 20**.

LWL	BCMS	MANAGEMENT REVIEW
Page 1 of 2		LWL 06
Prepared by: BC Manager	Issue: 1	Approved by:

MANAGEMENT REVIEW

1.0 PURPOSE

1.1 The purpose of this section is to detail the process for LWL to conduct management review.

2.0 SCOPE

2.1 The scope of this section includes the business continuity management system and all elements of the business.

3.0 REFERENCES

3.1 There are no specific references that apply to this procedure.

4.0 DEFINITIONS

4.1 There are no specific definitions that apply to this procedure.

5.0 RESPONSIBILITIES

5.1 It is the responsibilities of business continuity manager to complete a BCMS system report for the meeting.

5.2 It is the responsibility of the business continuity manager to record the minutes of the meeting into the BCMS system.

5.3 It is the responsibility of the management team to review the key system measures monthly.

6.0 PROCESS

6.1 Each functional Manager will must report on progress made on assigned action items from previous meetings and any new initiatives or issues that have occurred.

6.2 The general manager will review BCMS performance with the management team.

6.3 Each team member must review the report and submit any addition items to be discussed during the management review to the management representative. These addition items may be issues discussed during the monthly function reviews.

LWL	BCMS	MANAGEMENT REVIEW
Page 2 of 2	Issue 2	LWL 06

6.4 The items to be discussed at each management review will include the following but are not limited to these items:

Follow up from previous MR Actions

Changes internally/externally

Adequacy of policy

Exercise program and results

Training schedule

Feedback for interested parties

Results of BCMS audits

Improving BCMS performance and opportunities for improvement

Risk assessment

Review of and incidents

Good practice

6.5 Any actions required as determined during the management review will be recorded and personnel will be assigned along with a time frame. If possible, the resources required to correct any issues identified during the management review will be determined, if it is not possible, the individual assigned the task will submit a budget and the resources required within one month of the management review.

7.0 RECORDS

7.1 Minutes of management review meeting will be taken and maintained providing a living history of actions, improvements and measures.

8.0 DOCUMENT HISTORY

8.1 This procedure has not been revised to date.

Exercise Plans

LWL BCM Exercise Plan for 20xx

Date	Type of Exercise	Area to be exercised	Responsibility
July 20xx	Walk through	Incident Management Plans	Robert McDougal
Sept 20xx	Simulation	IT Systems	Mark Wise
November 20xx	Full exercise	Warehouse	Keith Common
January 20xx	Desk top	Transport	Keith Common
April 20xx	Desk top	Finance	Sarah Sams

BCM Exercise Report

Site	Live Wild Logistics, Valley Drive
Date	20 July 2006
Exercise Scope	All elements of site Incident Management Plans
Participants	P. Hope, S. Lee, P. Lily, M. Wise, M. Condon
Facilitators	R. McDougal
Objectives	To walkthrough all elements of the Incident Management Plan, identify and agree required amendments, additions and deletions.

Plan Element	Recommendations	Corrective Action Taken	Responsible	Completed
Incident Management Locations	Make reference to limited parking at LWL (alternative Gold Team location) Possible requirement to park in adjacent streets	IMP amended accordingly	BC Manager	20/7/20xx
Battlebox	Contents of battlebox to be extended to include the following <ul style="list-style-type: none"> • Waterproof hazard tape • Torch & batteries • Megaphone • Hi-viz to identify Emergency Controller • x Waterproof clipboards • 2 x disposable cameras • Scissors • Map showing local area (covering minimum 1 mile radius) 	IMP to be amended accordingly Items to be sourced and added to battlebox contents	BC Manager S. Lee	20/07/20xx
Battlebox	Remove reference to Security Team Leader. Refer to Security Team	IMP to be amended accordingly	BC Manager	20/07/20xx
Gold Team Members	Add Mark Wise to Gold team as H&S Manager	IMP to be amended accordingly Full contact details to be added	BC Manager S. Lee	20/07/20xx 27/07/20xx
Silver Team	Add Security personnel to Transport Management	IMP to be amended	BC Manager	20/07/20xx

Members	Team	accordingly		
Silver Team Members	Clarify who is responsible for which elements of transport within Transport Management Team responsibilities	IMP to be amended accordingly	BC Manager	20/07/20xx
Silver Team Members	Colleague Welfare Team to be responsible for all personnel on site, not just colleagues	IMP to be amended accordingly	BC Manager	20/07/20xx
Silver Team Task Lists	Include reference to use of Fire Marshall procedure	IMP to be amended accordingly	BC Manager	20/07/20xx
Initial Assessment Form	Ensure template includes reference to data required	Initial Assessment form to be reviewed and amended as required	BC Manager	23/07/20xx
Gold Team Task List	Make clear reference to reverting to task 4 of Silver Team task list if GM decides against invocation of Gold Team task list	IMP to be amended accordingly	BC Manager	20/07/20xx
Gold Team Task List and all Incident Specific IMP's	Clarify if responsibilities are those of Gold Team Leader or Manager	IMP to be amended accordingly	BC Manager	20/07/20xx
Emergency Communications Plan	Agree and document call signs for each radio holder	IMP to be amended accordingly	BC Manager	20/07/20xx
Incident Management Locations	Identify and document telephone lines at alternative Forward Control Point	Following a meeting, it was agreed that numbers would be allocated on arrival on site	S. Lee	14/09/20xx
Bomb Threat	Include reference to person receiving call attracting attention of colleague	IMP to be amended accordingly	BC Manager	20/07/20xx
Epidemic	IMP to be rewritten to reflect agreed site practice. Re-title as Loss of people due to ill health of similar nature	IMP to be rewritten in draft and agreed with H&S Manager	S. Lee	1/08/20xx
All Incident Specific IMP's	Incomplete details <ul style="list-style-type: none"> Missing contact 	All IMP's to be reviewed and	S. Lee	01/08/20xx

	<p>numbers</p> <ul style="list-style-type: none"> Missing resources, locations & related contacts 	missing data sourced and added		
H & S Incident	Include reference to following requirements of the customers' Major Incident Notification procedure	IMP to be amended accordingly	BC Manager	20/07/20xx
Missing incident specific IMP's	Agree and document IMP's for Leak from Fuel Tank and Gas Bottle Explosion	Draft IMP's, agree with relevant personnel and sign off with Senior Management Team	S. Lee	01/08/20xx
Legionnaire's Disease	IMP to be rewritten to take account of requirements of EHO and likely closure of site	Draft IMP's, agree with relevant personnel and sign off with Senior Management Team	S. Lee	01/08/20xx
Loss of Electricity	No documented list of power drains to be shut down (in sequence of shut down)		S. Lee	
Loss of Electricity	Add in UPS ensures servers remain operational	IMP to be amended accordingly	BC Manager	20/07/20xx
Racking Failure	Include reference of need to contact customers due to likelihood of large impact on access to operation	IMP to be amended accordingly	BC Manager	20/07/20xx
Racking Failure	Include reference to EHO advising safe working area following racking failure	IMP to be amended accordingly	BC Manager	20/07/X20xx

Report compiled by <i>(Name & Job title)</i>	Robert McDougal LWL Business Continuity Manager	Signature	Robert McDougal	Date	20/07/20xx
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Report accepted by <i>(Name & Job title)</i>	Pete Lily Resource Planning Manager	Signature	Pete Lily	Date	20/07/20xx
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LWL Training Matrix

Employee	Hire Date	BCMS Awareness	Transportation Safety	First Aid	Health and Safety Training	Fire Safety	HAZMAT	Warehouse Management	Regulatory training
Anderson, Miriam	Jan 2007	X		X*			X		
Aspen, George	March 2006	X*		X	X*			X	
Beebe, Milton	May 2005	X*							X
Blood, Bob	July 2004	X*	X	X*	X*	X	X	X	X*
Buzov, Yuri	August 2007	X		X			X	X	X
Campbell, Earl	Jan 2007	X				X*	X*	X	X*
Chabot, Nada	Nov 2004	X*			X*			X	X*
Christie, Pat	August 2004	X*	X*	X*	X*			X	X
Common, Keith	Feb 2005	X*			X*			X	X*
Doyle, Paul	May 2005	X*	X		X	X*	X	X	X*
Freedman, Donald	July 2005	X*	X		X			X	X
Hope, Pat	Sept 2001	X*			X				X
Jackson, Bob	Jan 2007	X	X*	X*	X*	X*	X*	X*	X*
Jenson, Barb	April 2007	X			X*	X*	X	X	X
Johnson, Sally	Feb 2004	X*	X		X*	X*		X	X
Jones, Sharon	March 2006	X*			X*	X*			X
Lee, Scott	April 2000	X*			X*	X*			
McDougal, Robert	July 2005	X*	X	X*	X*	X*	X*	X*	X*
Moore, Samuel	May 2003	X*							
Sams, Sarah	Feb 2004	X*							
Simpson, Laura	May 2005	X*	X	X*	X*	X*	X	X	
Srangi, Erin	April 2001	X*					X	X	
Trent, Hugh	Jan 2007	X	X	X	X*	X*	X*	X*	X
Weinberger, Doug	Sept 2003	X*	X				X		
Wise, Mark	Feb 2004	X*	X						

KEY X = needed training
 * = training complete and competent

BCMS – Internal Audit Report

LWL
Valley Drive
Anytown
Anywhere

Report reference: 123456
Audit date(s): 1st April 20**
Audit team: Robert McDougal
Scott Lea

Introduction

This report relates to the internal audit of the LWL Warehouse held 1st April 20**.

The assessment was based upon the BCMS

During the assessment three nonconformities were identified.

Audit Summary and Conclusion

Three significant nonconformities have been identified during the audit which required immediate action to address the deficiencies. Effective root cause action is also required to determine the cause of the deficiencies to prevent recurrence.

Processes/Business Areas Assessed

Top management –

- Policy – a review of the BCM policy statement and its communication to Warehouse personnel
- Communication – a review of communication methods and effectiveness
- Objectives and planning – a review of objectives, management plan and monitoring/measurement

Production –

- BIA – review of internal methodology, records and results
- Operational controls – review of controls in place, their communication and effectiveness
- BCP – review of planning, exercising and review process
- Communication – review of communication methods and effectiveness
- Training – review of training methods and records

Nonconformity summary

Nonconformities identified during this audit are detailed below; the effectiveness of corrective action will be reviewed at the next planned audit on **1st June 20****.

Area	NCR Ref.	Description	ISO 22301:2012 Clause
BCMS Training	RM 2012/31	The implementation of Awareness Training is incomplete	7.3
Communication	RM 2012/32	No evidence of consistent communication from managers being received being acted upon	7.4 and 8.4.3
Continual improvement	RM 2012/33	No clear evidence of processes in place to ensure continual improvement	10.2

The audit followed the defined plan, where possible, assessing to the requirements of ISO 22301 and to LWL’s procedures and documented management system.

Top management

The interview with the General Manager, Pat Hope confirmed a clear direction and commitment to the preparation and continual development of the BCMS.

Warehouse

The dispatch area was assessed to the requirements of ISO 22301 and the documented BCMS. The audit included a review of the risk assessment process, and BIA summary and specific aspects of the BC Plan.

Transport Planning

The process for transport planning was reviewed and Bob Jackson is to be complimented on the arrangements in place.

Risk assessment process

The risk assessment process has commenced and a methodology was reviewed against the matrix. However, risk assessments for bomb threats was not available.

Observations:

1. There is not currently a register of legal and other requirements held within the management system. While this is not a clear requirement of The BCMS (4.2), it may be beneficial to consider a register to assist with identification of legal and other obligations, therefore assisting with compliance.
2. Tool-box training sessions are currently being undertaken on the first Tuesday of each month however records of the training are not being maintained. The recording of attendees at the tool-box talks should be considered as a record of those attending the sessions.

Assessment Team

<p>Robert McDougal Scott Lea</p>	<p>The principal staff involved were: Pat Hope – General manager Bob Jackson – Senior Warehouseman Pete Lily – Planning Manager Pat Christie – Warehouse Operative Sally Johnson - Records</p>
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Management Review Minutes

Date: Two weeks ago

Attendees:

- Donald Freedman
- Pat Hope
- Sharon Jones
- Mark Wise
- Robert McDougal

Agenda:

• Status of previous MR actions (14 months ago)	• Improving BCMS performance
• Changes internally and externally	• Follow up actions from previous MR's
• Adequacy of Policy Statement	• Risk assessment procedure
• Summary of Progress of Exercise programme	• Review of recent incident
• Training schedule for the upcoming year	• Latest review of corrective and preventive actions
• Feedback from customers and other interested parties	• Exercise results
• Changes to the organization	• Emerging good practice
• Results of BCMS audits and reviews	• Opportunities for improvement

Minutes:

- No current opportunities to improve the system performance and effectiveness as a result of new/different techniques, procedures or products have been identified.
- No recommendations for improving the system were put forward.
- All preventive and corrective actions identified and recorded at previous management review, internal audit, exercise reports, and through the daily operation of the system were reviewed. The following actions have been completed since the last management review:
 - Loading coordinators have been trained in the system and their roles and responsibilities within it
 - Communication day schedule has been agreed and circulated
- Findings of previous risk assessment and local authority risk register were reviewed and no amendments were identified
- No threats or vulnerabilities were identified as being not adequately addressed in the previous assessment
- Training calendar set up in advance for the next calendar year
- Exercise drill reviewed and found it was useful for all employees, with no complications

- The LWL Policy Statement is considered inadequate and needs updating following the appointment of Pat Hope. Policy to be revised and issued within 2 weeks.
- Compliance is excellent across all operations