



Business Continuity Management

A Staff Guide

Incident Information Line: 0500 0 78 78 0
Website: www.fsa.gov.uk





Introduction

This booklet describes the framework we use at the FSA for managing and responding to an incident. It outlines the command structure set up to manage an incident and shows how the FSA's Business Continuity Plans fit into it.

It specifies the critical functions and processes that will be continued if there is a major business interruption. It also identifies individual default actions you should take if an incident occurs, and gives you some tips about what you can do to help and what actions to take during an incident.

Incident Management Framework

We have analysed all the FSA's functions – this has been fundamental in developing a risk-based business continuity approach. The approach focuses on the FSA's ability to continue operating critical processes and fulfil statutory and legal obligations to stakeholders in the event of an incident.

Our analysis took account of three different incident scenarios: 'Type A' – a need to relocate the business because of an incident affecting 25TNC 'Type B' – a systemic financial markets crisis and 'Type C' – a combination of Types A and B.

In the event of a Type A or C, scenario we would relocate to our recovery site and continue operations from there. However, there is also a Crisis Management Centre (CMC) in the Training Suite, 3rd floor, 25TNC. It can accommodate up to 75 people and would enable staff to work together in a

defined area to make it easier to respond to a financial markets crisis (Type B incident). This area is powered by back-up generators so we could use it even if there was a major loss of power.

The Incident Management Framework diagram (pages 4 & 5) depicts the functions and processes that will continue and how long it will take to recover them. The recovery of all functions is managed by a number of key staff. (You will have been notified if you have a role). You will also find a description of the type of processes that will be continued within each function and descriptions of roles and responsibilities on pages 6 & 7.

Further information can be found on Connect, including:

- business continuity roles and responsibilities guide;
- call cascade information and guidance, including a list of call cascade managers and coordinators;
- a description of the functions and processes as highlighted in the Incident Management Framework;
- information about the FSA's recovery site and Crisis Management Centre at 25TNC;
- contact details for the central Business Continuity Team; and
- additional information and advice.

The back page of this booklet gives instructions on what to do if there is an incident, and on best Business Continuity practice.



Default actions – as specified on your priority card

If an incident occurs out of office hours, call the Incident Information Line and, if you have access to the web, check the FSA website for general information and official staff updates. For specific information and instructions, wait until you are contacted through your divisional or function (if applicable) call cascade.

The call cascade will be initiated and coordinated by call cascade managers within each division. Its purpose is to positively account for staff, to communicate key messages and tell staff what to do during the incident period. Function call cascades will be used to notify key members of staff that they are required to initiate the recovery process.

If an incident occurs during office hours, wait for the instructions issued through the 25TNC public address system. If the incident is large-scale and you are unable to congregate at the designated assembly point (where you will receive further instructions), or you are advised to disperse from Canary Wharf, follow the default action, set out on this page.

Staff are divided into three ‘priority’ categories. Please check the priority card given to you; this will show your personal ‘priority’ category and default action.

PRIORITY ONE STAFF:

Head immediately to the FSA recovery site, either when you receive instructions at the assembly point or directly if there is a major evacuation and dispersal from Canary Wharf. On arrival at the recovery site, start to take any immediate actions specified in your Business Continuity Plan.

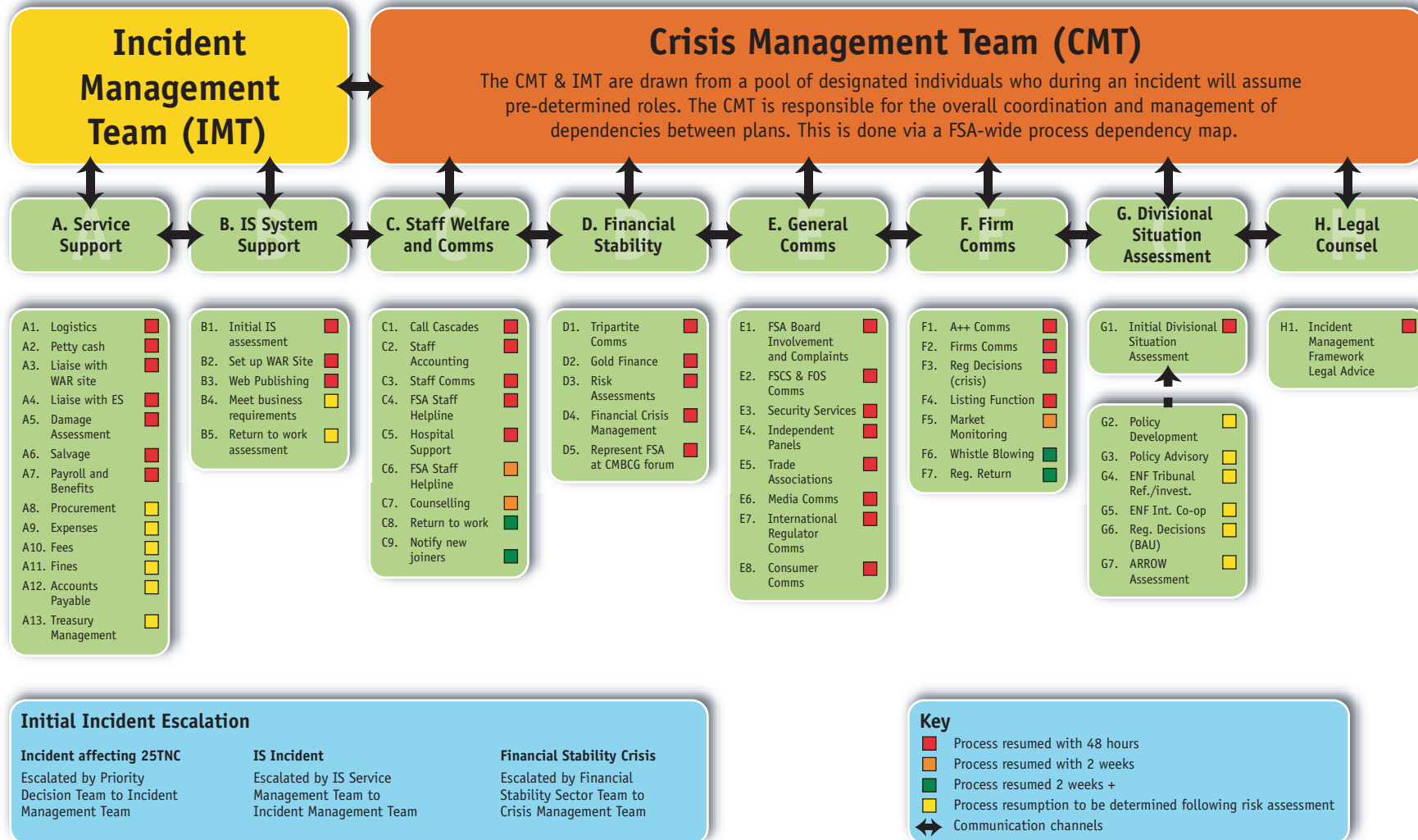
PRIORITY TWO STAFF:

Make your way home, either when you receive instructions at the assembly point or directly if there is a major evacuation and dispersal from Canary Wharf. You should remain contactable as required by your divisional and function (if appropriate) call cascade and on 'stand-by'. You could be in the next group of staff required to go to the recovery site. For general information and official staff updates, continue to call the Incident Information Line and monitor the FSA website on a regular basis.

PRIORITY THREE STAFF:

Make your way home, either when you receive instructions at the assembly point or directly if there is a major evacuation and dispersal from Canary Wharf. You should remain contactable as required by your divisional and function (if appropriate) call cascade and await further instructions. For general information and official staff updates, continue to call the Incident Information Line and monitor the FSA website on a regular basis.

Incident Management Framework of Critical Processes the FSA would undertake in a major incident





Function descriptions

Function A – Service Support

The Service Support function is concerned with the logistical aspects of the FSA's recovery during a major incident. Specifically this involves setting up the recovery site and ensuring staff are fed, and if needed, given accommodation. It ensures staff continue to be paid and mail is redirected. It is also involved with securing 25TNC if it is damaged and coordinating its salvage operation, as well as the longer term processes of resuming fees and fines from firms and providing an accounting capability.

Function B – IS System Support

The IS Support function is involved with all IT-related aspects of a major incident. This includes ensuring that all required IT systems are available at the recovery site, all allocated desktops have correctly set-up PC's and that the FSA's critical telephone numbers are successfully re-directed. The function is also responsible for offering ongoing IT support at the recovery site and ensuring that IT systems can be successfully switched back to 25TNC once normal business has resumed.

Function C – Staff Welfare and Communications

The Staff Welfare and Communications function is responsible for ensuring that staff are cared for during a major incident and communicated to on a regular basis about the FSA's recovery. This involves managing the FSA's call cascade process, liaison with the Casualty Bureau, arrangement of counselling services, if required, and dealing with staff queries and concerns.

Function D – Financial Stability

The Financial Stability function coordinates the FSA's business recovery with our Tri-partite partners (the Bank of England and the Treasury). In particular, they monitor financial markets for instability and systemic risk, and ensure that the FSA's recovery is in line with the broader Cross Markets Business Continuity framework.

Function E – General Communications

The General Communications function has responsibility for all communications to the FSA's stakeholders other than our firms and Tri-partite partners (see functions D & F for these). This includes communicating with the FSA Board, Trade Associations and Media, handling of complaints, and liaising with security intelligence services.

Function F – Firm Communications

The Firms Communications function is concerned with ensuring that all FSA-regulated firms are effectively communicated to and monitored during the FSA's business recovery. Specifically this involves liaison with firms in key financial markets, re-establishing our listing and market monitoring capabilities and ensuring that our whistle blowing service is resumed.



Function G – Divisional Situation Assessments

This function has responsibility for monitoring all non-critical FSA processes during business recovery and ascertaining when they will need to be resumed. It is also tasked with addressing any key concerns or issues non-critical areas of the FSA may have, particularly regarding to projects or impending court actions. This function will be managed by representatives within the FSA; they will decide which areas of the FSA should resume first and when they should resume by. Regular divisional assessments will be conducted after the initial 48 hours of an incident.

Function H – Legal Counsel

Function H provides high quality legal advice to the entire Incident Management Framework. This may involve anything from advising on our proposed external communications, the legal consequences of market disruption, to advising on requests by firms for regulatory forbearance.

Roles and Responsibilities

Crisis Management Team (CMT) – The CMT is predominantly made up of function owners C through to H. It will deal with high-level strategic decisions, designed to protect staff and the FSA’s reputation, as well as maintaining the confidence of external parties and stakeholders in the FSA. It’s purpose is to oversee the recovery of the functions as identified in the Incident Management Framework and take any immediate decisions on business as usual activities.

Incident Management Team (IMT) – The IMT is predominantly made up of function owners A and B. It will manage the immediate response to an incident, invoke the FSA’s business recovery site and ensure that infrastructure and operational support is provided. Additionally, it will oversee any salvage operations required, as well as the FSA’s long-term relocation.

Function Owners (FO) – The FO represent their functions on either the CMT or IMT.

Function Manager (FM) – The FM will be responsible for managing and coordinating their Function’s response to and recovery from an incident. They will follow specific actions as outlined in their BC plans and be responsible for communicating information to their function owner in the CMT or IMT. All FM’s are priority ones.

Process Managers and/or Team (PM) – The process teams are made up of the minimum people needed to carry out the processes’ critical activities as outlined in their BC plans. All process managers and teams are priority ones.

Priority Twos – Priority two staff are those considered key or critical to the recovery process and who may be required to aid the function’s recovery within the first 24/48 hours of an incident. They are usually an alternative for a priority one holder or they would be required to act as a second shift depending on the nature of a particular incident.

Priority Threes – These are all other staff who are not considered critical in the initial stages of an incident but who may be required to perform functional, divisional or other FSA business recovery activities at a later time.

Personal Business Continuity Planning

Always...

1. Keep your KEY personal belongings (eg. transport pass, money and cards, house and car keys). These will help you get home safely in the event of an evacuation.
2. Carry and display your security pass at all times while inside 25TNC. If we are evacuated you will need it to re-enter the building. You will also need it to get into the FSA recovery site if you are required to go there.
3. Consider the route(s) you could use to get home if you are unable to access the DLR or Jubilee lines at Canary Wharf, or if these lines are not working.
4. Carry your priority card with you. The card issued to you will tell you your ‘priority’ category and what to do in an incident.
5. Update Chrysalis with any changes to the people you would like contacted in an emergency. Ensure your own personal details, including next of kin and benefit allocation information, is up to date.
6. Notify your call cascade coordinator of any changes to your telephone contact details. If a call cascade is initiated to check your safety and communicate messages, we need up-to-date contact details.

During an incident...

1. Listen and follow instructions given to you over the public address system.
2. Contact family and friends to let them know you are OK.
3. For general information and official staff updates, you should continue to call the Incident Information Line on **0500 0 78 78 0** and monitor the FSA website at **www.fsa.gov.uk** on a regular basis.
4. Direct all press and media enquiries to the Press Office on **020 7066 3232**.
5. When evacuated from the building, collect your coat / umbrella / bag – but only if it is safe to do so. Do not carry unnecessary or bulky items, such as shopping or gym bags, which could cause an obstruction.
6. If an evacuation announcement is made while you are on a different floor to your desk, call a colleague who works near you and ask them to collect your coat (etc) – but only if it is safe to do so. They must not wait for you immediately outside the building, because this will obstruct other staff evacuating.
7. Familiarise yourself with the information in this booklet about staff ‘priority’ categories and Default Actions.