

BCM Checklist for Providers / Suppliers

This checklist provides you with a comprehensive list of principles which you may wish to apply locally. The extent to which you apply these and the need for any additional criteria should be determined by individual commissioning organisations.

You may also wish to apply variations to these criteria across your providers. This may be due to:

- Criticality of the service
- The level of risk that has been determined
- The service type and/or its provider are unique and specialist in nature

Stage 1

Understand the Business

Are they clear about the nature of the services they provide?

Examples / Evidence:

- Have the key objectives of the service been determined by the provider / contractor?
- Have the key objectives been prioritised?
- Have the key resources been identified?
- Is a description provided regarding what happens if those resources aren't available?
- Is there a Business Impact Assessment (BIA) that outlines the above?
- Do they have assurances from their own suppliers / contractors that their agreements will be honoured?

Have the potential risks been identified?

Examples / Evidence:

- Has an appropriate risk assessment methodology been applied?
- Have the risks been assessed in terms of likelihood and impact?
- Have the risks been prioritised (high, medium or low)?
- Has their risk assessment been informed by their local Community Risk Register?

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Stage 2 Evaluate BCM strategies

Have they described what they are going to do in response to a potential disruption?

Examples / Evidence:

- Do nothing – accept the risk (is a rationale provided with which you are in agreement?)
- Make changes to the objective/service (Are these changes detailed?)
- Insure against the risk (You may wish to obtain copies of policy documentation)
- Do something to reduce the risk (mitigation) (Are these detailed?)
- Have an effective response/recovery plan

Stage 3 Developing a BCM Response

Is there an appropriate and effective Business Continuity Plan (BCP)?

Examples / Evidence:

Does the plan include the following?

- Introduction
- Purpose and scope including limitations and exclusions
- Clear aims and objectives
- Tasks and activities
- Policies, processes and procedures
- Roles and responsibilities (Action Cards)
- Command and control arrangements (including how the plan is activated and stand down arrangements)
- Communications arrangements
- Up-to-date contact lists
- Forms and appendices

Is the plan flexible enough to allow for the changing requirements of the emergency?

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Stage 4 Establish a BCM Culture

Is business continuity important to the organisation and its people?

Examples / Evidence:

- Is there someone in a key role responsible for BCM?
- Is the person responsible senior / decision maker with authority in the organisation (i.e. are they a member of the Management Team / Board?)
- Are staff aware of their roles and responsibilities for BCM?
- Are providers, suppliers, customers and service users / patients aware of the BCM arrangements (and how they may be affected)?
- Is there a budget for BCM (how much is spent on BCM?)
- Is BCM regularly included on management meeting agendas (evidence: papers)
- Is appropriate training taking place?
- Evidence of training schedules and training materials including list of people
- Is BCM included as part of induction into the organisation
- Is BCM promoted by the organisation (evidence: mission statements, publishing reports of incidents / exercises)
- Methods of BCM arrangements being appropriately communicated to stakeholders, including service users / patients, (briefings included in training / exercises sharing plans etc)

Stage 5 Maintaining and Auditing BCM

Is the BCP maintained and reviewed regularly?

Examples / Evidence:

- Is the plan checked and updated for accuracy/completeness periodically?
- Is there an ongoing test/exercise schedule?
- Are lessons learned fed back into the plan?
- Document version control processes of plan
- Communication test evidence to ensure contacts are regularly checked in plan
- Evidence of exercise reports
- Evidence of lessons learned