

# DEAFBLIND SCOTLAND (DbS) BUSINESS CONTINUITY PLAN



## OVERVIEW

### 1. Definition of Business Continuity Management

Business Continuity Management is defined as a holistic management process that identifies potential impacts that threaten an organisation and provides a framework for building resilience with the capability for an effective response that safeguards the interest of its key stakeholders, reputation and value creating activities.

These impacts or 'crisis' include:

- Building or site incidents: for example, flood, fire, terrorist attack on buildings affecting access to or from buildings and sites
- Infrastructure incidents: for example, loss of computer / telephony systems, loss of power
- Staff / Operational incidents: for example, loss of key staff, loss of critical documents
- Widespread environmental factors: for example, flu pandemic, fuel shortages

DbS's business continuity plan consists of one plan to cover different operations, based from our headquarters, 1 Neasham Drive, Kirkintilloch, Glasgow, G66 3FA. The primary objective of the Business Continuity Plan is to show how DbS would respond to identified risks and continue to manage its operations under adverse circumstances.

### 2. Chain of Command

Overall responsibility for business continuity in the organisation is held by the Chief Executive of DbS and in his/her absence the Operations Manager.

### 3. Crisis Management Group

If a major disaster occurs then the Crisis Management Group will be mobilised. The membership of this group will be all senior managers. All communication with the media must be via the Chief Executive.

#### **4. Review of Business Continuity Plan**

A comprehensive review of risk is taken at least annually by the Senior Management Team. These revised plans must be submitted to the Board of Trustees for approval and incorporation within DbS' Business Continuity Plan.

The different response elements of the plan should be tested.

#### **5. Training**

All staff is made aware of their roles and responsibilities as part of (for example, their induction, supervision, performance review]. Their responsibilities include awareness of key policies and procedures, including the Business Continuity Plan. Staff must take personal responsibility to ensure they are familiar with the content of the Plan so they know who to contact in case of an incident and how they can contribute to the plan's implementation.

#### **6. Coordinated Responses**

The Plan should not be implemented in isolation, but where possible, should be used in conjunction the Business Continuity and Emergency Plans of the host local authority and emergency services in which it operates.

#### **7. Risk Assessment and Response**

The following table identifies some of the main risks, their likely level of impact on operations and the planned responses to address these risks.

#### **Glossary of Headings used in the Table**

Risk: Each area of risk is listed, and briefly explained under one of the above categories.

Im: Impact - The risk is given a score from 1 to 4: 1 low; 2 medium; 3 high; 4 very high to indicate the level of impact such an occurrence would have.

Li: Likelihood - As above, a score from 1 to 4: 1 unlikely; 2 possible; 3 likely; 4 very likely to indicate how likely such an event would be to occur.

RR: Risk Rating - Averaging the score for Impact and Likelihood gives a rating between 1 and 4 with 1-2 being Low risk, 2.5 or 3 being Medium risk and 3.5 or 4 being High risk.

Possible Effects: This gives a guide to what might happen if such a risk occurred.

Risk: A risk is the threat that an event or action will adversely affect the organisation's ability to fulfil its tasks and to achieve its objectives.

Reputational risks are those that affect how the organisation's stakeholders, partners, beneficiaries and their relatives, staff, volunteers and the public regard its activities. These include adverse media exposure, risks with a political impact and any risk arising from regulatory failure. Reputational risk is potentially the highest category of risks and everyone needs to be aware of this type of risk in all of the organisation's activities. Many of the risks carry reputational consequences.

Operational risks are those associated with the processes, techniques and systems used to manage the organisation on a day-to-day basis. They are dealt with in the appropriate operational section of the register along with externally cause risks to those operations. External risks are those that arise from the political or economic environment or other sources beyond the control of the Board or management but which could significantly affect the operational sustainability and financial viability of the organisation.

No	Risk	Im	Li	RR	Possible Effects	Preventive/reactive Measures
	<b>Reputational</b>					
1.	Member(s) prominently express views on behalf of DbS that are not in agreement with agreed DbS position	2	1	1.5	DbS credibility undermined, loss of trust in DbS on the part of members/service users/funders leading to membership/Services/funding withdrawals	Press and media contact to be cleared by Chief Executive/Chair. Trustees/exec team to be kept fully informed.
2.	Prominent individual involved in DbS found guilty or credibly accused of misconduct either on DbS business	2	1	1.5	Effectiveness of representation undermined  Trust of members/service users/funders undermined and commitment tested	Care is taken in appointing Trustees/staff and spokespeople until we know them a little. However there is trust in the recruitment process to have taken references and recruited wisely.  In the event of it happening we will work together with Board and Exec team to ensure the content of public message aligned.

No	Risk	Im	Li	RR	Possible Effects	Preventive/reactive Measures
	or, more likely, in their private life.				Possible need to find new person or people in short time from a small pool to continue/rescue activities	
3.	Reputational impact of any of the risks in other sections	4	1	2.5	<p>Effectiveness of representation undermined.</p> <p>Trust of members/service users/funders undermined and commitment tested</p> <p>Possible need to find new trustees/staff in short time from a small pool to continue/rescue activities</p>	<p>Press and media contact to be cleared by Chair/Chief executive. Trustees/exec team to be kept fully informed. Individuals we interact with and make representations to, such as MSPs/commissionaires/regulators, informed of the position and how we are dealing with it to maintain our effectiveness.</p>
<b>Legislation/Compliance</b>						
4.	Failure to meet constitutional or statutory requirements, such as: regulatory standards, employment regulations and governance responsibilities ie in appointment of trustees, production and filing of accounts and companies and charity returns	4	1	2.5	DbS prevented from operating, or required to hand over trusteeship	<p>Company Secretary/Chief Executive tasked with ensuring all necessary steps are taken before deadlines, and keeping up to date with OSCR guidance etc.</p> <p>Trustees/Executive team include experienced charity managers who are aware of the need for compliance.</p> <p>Professional firm engaged as independent auditors.</p>

No	Risk	Im	Li	RR	Possible Effects	Preventive/reactive Measures
5.	Operating ultra vires – undertaking operations/contracts beyond the scope of the charitable objects	3	1	2.0	Legal challenge raised by a member/service user/funder or group of members, or by someone with whom DbS contracts	Trustees/exec team include experienced charity managers who are aware of the need for care. Company Secretary reviews activities with constitution where there is doubt.
<b>External Changes</b>						
6.	Other Sensory Impairment organisations widen their scope so as to duplicate what DbS is doing	4	2	3	Members/Service users/funders see DbS as now being unnecessary  Public sector bodies, government officers and MSPs etc disregard DbS input as the other bodies become more established and resources	Review strategy with members/board/executive regularly, involve as many as possible in DbS activities. Carry out DbS's role effectively so that no gap or weakness is perceived.
7.	Growth of all-sensory approach among organisations makes a low incidence facing organisation redundant – or other changes in sector make mission redundant	4	2	3	Members/service users/funders see DbS as now being unnecessary  Public sector bodies, government officers and MSPs etc disregard DbS input as the other bodies become more established and resources and are seen as more relevant	Ensure that DbS operates in a way that recognises the environment in which it is working to provide a valuable DB viewpoint in that context, and good support to those living with and /or providing DB services either exclusively or as part of a broader mix.
<b>Operational</b>						
8.	LAs reducing commissioning/involve ment or withdrawing	4	1.5	3	DbS ceases to provide support in Local authorities work on DB and	Strive to find ways of ensuring local authority understand the work of DbS and ensure that what DbS does provides something that the public sector find to be of value to citizens.

No	Risk	Im	Li	RR	Possible Effects	Preventive/reactive Measures
	<p>services due to the need for financial savings</p> <p>Complete closure of service or inability to provide the service</p>				<p>becomes only a charity organisation not delivering services.</p> <p>Significant impact on service users?</p> <p>Significant reduction in income.</p>	
9.	Sub-set of GC's forming a break-away service	4	1	2.5	<p>Reduction in income</p> <p>Reduced effectiveness of SAGOD, consultations etc</p> <p>Confusion of messages to DB people</p>	<p>Ensure that DbS strategy serves the needs of all members/service users.</p> <p>Ensure that policy stances taken are broadly shared/consensual.</p>
10.	Fall in member motivation/service user and involvement	3	2	2.5	<p>Reduction in income</p> <p>Reduced effectiveness of SAGOD, consultations etc</p> <p>Reduced effectiveness of representation as cannot claim to represent a whole-sector viewpoint</p>	<p>Ensure that DbS strategy serves the needs of all members/service users.</p> <p>Ensure that policy stances taken are broadly shared/consensual.</p> <p>Ensure that participative activities are useful to member/service users, attractive and enjoyable</p>

No	Risk	Im	Li	RR	Possible Effects	Preventive/reactive Measures
11.	More general fall in membership/service users	3	1	2.0	Reduction in income Reduced effectiveness of SAGOD, consultations etc Reduced effectiveness of representation as cannot claim to represent a whole-sector viewpoint	Ensure that DbS strategy serves the needs of all members/service users. Ensure that participative activities are useful to member/service users, attractive and enjoyable
12.	Rapid turnover of individuals involved in staff teams and member reps	2	2	2.0	Loss of knowledge Loss of momentum and continuity Loss of member/service user relationships Loss of relationships to public sector etc	Motivate people to stay with DbS by sharing challenge, success and common purpose. Learn from detail acquired from exist interviews and Regular appraisals.
<b>Employment</b>						
13.	Rapid turnover of staff/Board	2	1	1.5	Loss of knowledge Loss of momentum and continuity Loss of member/service user/funder relationships	Careful recruitment Support through an annual appraisal at which workloads etc are reviewed
14.	Employment actions contravene good	2	1	1.5	Loss of effective members of staff	Employ through a well-managed HR function

No	Risk	Im	Li	RR	Possible Effects	Preventive/reactive Measures
	practice and employment law				Compensation claims/cost	Trustees/exec team include experienced business managers who are knowledgeable on employment issues and skilled in negotiating employment issues in the context of good practice and compliance.
<b>Finance</b>						
15.	Financial mis-management	3	1	2.0	Sudden or gradual loss of funds/income Reputational impacts/service closure	Management accounts report cash level and deviations from Budget.  FSC held monthly to review management accounts. Auditors secured for annual audit of accounts.
16.	Loss of Financial viability	4	1	2.5	Inability to provide services Staff redundancies  Requirement to support service users to identify alternative providers.  Adverse emotional, social, practical, health and financial impacts on service users, members and staff.	Board to take decision to inform all appropriate regulators and funders, including the Charity Commission, the Care Inspectorate and local authorities and health boards.  Inform members, service users and staff.  Comply with reserves policy of holding a minimum 3 times operating costs in reserves.
17.	LAs implementing SDS concurrent with the need for financial savings.	4	1.5	3	DbS ceases to deliver support on individual LAs' contracts and becomes a deliverer of individual direct payment services only.  Significant increase in credit control and ultimately unit cost of service delivery.	Strive to find ways of involving local authority people in the work of DbS and ensure that what DbS does provides something that the LA's find to be of value.

No	Risk	Im	Li	RR	Possible Effects	Preventive/reactive Measures
17.	Fraudulent use of funds	4	1	2.5	Sudden or gradual loss of funds/income Reputational impacts/service closure	Management accounts report cash level and deviations from Budget. Secure accounting practices in place and limited access to funds available. Any wrongful use of funds by a Trustee would require collusion by Secretary/finance manager.
18.	Loss of membership/service users/funders, through one or more of the operational risks listed	3	2	2.5	Restriction on income and therefore activities, and gradual loss of funds	Preventive actions as listed under operational risks Reactive measure would be a revision of the fee structure/contracts and level and review of expenditures and activities.
19.	Inability to pay creditors	4	1	2.5	Insufficient cash available to meet financial commitments.	Effective payment process management with regular review of cash flow and  Extensive use of preferred suppliers with bank account details and payment terms incorporated into Sage Account Software.
20.	Inability to collect from Debtors	4	2	3	Adverse impact on cash flow impacting on ability to pay creditors.	Effective collection process management with regular review of aged debtors listing.  Prompt action required initiating overdue letters itemising all relevant outstanding sales invoices. Copy of debtors letter to be incorporated within Customer Account detailed in Sage Software.
21.	PAYE/NI non Compliance	4	1	2.5	Fines and regulatory compliance defaults	Effective payroll process management required to be implemented with the use of task descriptions for all software to enable smooth running of Sage Payroll administered to produce all relevant documentation for HMRC. Payroll Task Description required.
<b>Business</b>						

No	Risk	Im	Li	RR	Possible Effects	Preventive/reactive Measures
22.	Insurable risks	3	1	2.0	Property, Business, reputational, and Financial loss	Full suite of business insurances suitable to DbS activities in place
23.	Loss of data	2	1	1.5	Temporary difficulty in operation and compliance	Full regular backup of all computer files including correspondence. Key paper documents should be scanned and stored electronically
<b>Governance</b>						
24.	Trustees with appropriate knowledge, skills and motivation are not forthcoming.	3	1	2.0	Likelihood scoring of several of the compliance, operating and business risks increases  DbS loses direction and impetus	Ensure that DbS strategy serves the needs of all members.  Ensure that participative activities are useful to member, attractive and enjoyable  Engage trustees in the business in a way that makes being a trustee interesting and useful and a worthwhile use of their time.  Actively look for trustees that fill knowledge and skills gaps.
25.	Staff/Trustee/s act out with the bounds of what has been agreed as policy and in Trustees meetings	2	1	1.5	DbS credibility undermined, loss of trust in DbS on the part of members/service users/funders  Governance/compliance called into question	Ensure Trustee agendas cover all business  Chair/chief executive reacts promptly and proportionally to any sign of this happening

No	Risk	Im	Li	RR	Possible Effects	Preventive/reactive Measures
26.	Inability to deliver contracted services due to sickness or staff shortages	3	1	2.0	Vulnerable adults could be left without access to vital supports	Where a Guide/Communicator is unable to fulfil an assignment the office will attempt to cover this assignment with another G/C, until the assignment is covered. Where this is unsuccessful, DbS may invoke the policy of utilising office staff as G/Cs. All staff undergo training in Communication and Guiding Skills to equip them with the knowledge and practical skills in working with deafblind people.
27.	Service Delivery during holiday periods	2	1	1.5	Vulnerable adults could be left without access to vital supports	On public holidays when there is an abridged service, priority is given to: Those deafblind people who are most vulnerable, living alone; Medical appointments; Other emergencies which may occur. When the office is closed and there is a problem with the service, or in the event of the guide/communicator not having arrived, the service-user has an out of hours number to contact. For other emergencies the service-user should contact out of hours social work or the emergency services.
28.	Infectious diseases	4	2	3	Potential of cross contamination and risk of illness to vulnerable/sick or elderly adults and the workforce.	In the event of an outbreak of an infectious disease DbS will take full advice from appropriate Health sources and where advised deliver an abridged service until matters improve accordingly.

## 8. Recording Incidents

Details of major incidents and action taken will be recorded and monitored . These records will stored securely should they need to be referred to if there is any further investigation and it will also inform future business continuity planning.

## 9. Key Contacts

Position	Name	Contact number
Chief Executive	Ruth Dorman	0141 777 6111
Operations Manager	Suzanne Abbate	0141 777 7774
Finance Manager	Margaret Stygal	0141 777 6111
Out of hours		07715421388

## 10. Crisis Management Group

Position	Name	Contact number
Chair to the Board of Trustees	Robert Nolan	Available on request
Vice Chair to the Board of Trustees	Alison Brownlie	Available on request
Trustee	James Ross	Available on request
Chief Executive	Ruth Dorman	0141 777 6111
Finance Manager	Margaret Stygal	0141 777 6111
Operations Manager	Suzanne Abbate	0141 777 7774

## Handling the Matter

Once a concern has been brought to the attention of the crisis management team they will look into it to assess initially what action should be taken. This may involve an internal enquiry or a more formal investigation. They will instruct a named person to handle the matter, how to contact them and whether any further assistance may be needed. A written summary of concern/s and how the organisation proposes to hand it/them can be requested. If your concerns fall more properly within the grievance procedure, we will tell you.

In the case of a situation under the Safeguarding (Adults / Children) policy, the concern will be handed across to the relevant Statutory Service to investigate.

If you feel that the matter has not been dealt with in accordance with the law, there are other organisations you can contact depending on your concern:

Example:

OSCR/Charity Commission - Governance/Finance issues

Local Authority - Safeguarding Adults or Children

Care Inspectorate – the Regulator of registered care services

While we cannot guarantee that we will respond to all matters in the way that you might wish, we will try to handle the matter fairly and properly.