Business Continuity Management Policy

1. Summary

The Library Council of New South Wales (on behalf of the State Library of New South Wales, State Library of New South Wales Foundation and the Library Council of New South Wales Staff Agency) has adopted the Business Continuity Management (BCM) Framework articulated in this policy and endorsed by the Library's Audit and Risk Committee. The BCM framework and associated plan and policy will be reviewed on an annual basis.

2. Policy statement

The Library Council of NSW and the State Library Executive recognises that Business Continuity Management is a core component of good governance and is an integral part of the Library's Enterprise Risk Management Framework.

The Library Council of NSW and the State Library Executive are committed to achieving best practice in risk management and applying these principles and practices in its operations in accordance with AS/NZS ISO 31000:2009 Risk Management – Principles and Guidelines and AS/NZS: 5050:2010 Business Continuity – Managing Disruption-Related Risk.

Effective management of business continuity ensures that the Library is able to deliver essential and critical services following a disruptive event. Business continuity management supports the State Library's strategic operational objectives and goals. Major business continuity risks that could potentially or actually disrupt core business activities or damage assets, will be identified, and preventative and responsive recovery strategies and plans will be developed and implemented to minimise business interruption.

The key elements of the Library's BCM Plan in order of priority are:

- safety and welfare of people
- preservation of collections
- continuity of services
- reputation and compliance

The Library has implemented a single tier response structure, the Incident Response Team, to respond and activate either partially or wholly, the BCM plan following a disruptive event. The Incident Response Team (IRT) is kept to a minimal size to improve workability, efficiency and communication in a crisis.

The BCM Plan is hosted externally for accessibility purposes in the event of a major disruption.

This policy is applicable to Library Council, State Library Executive and all State Library staff.

3. Legislative and Policy Framework

Relevant legislation:

- *Government Sector Employment Act 2013*
- *Library Act 1939*
- *Public Finance and Audit Act 1983*
- *State Records Act 1998*

Related and/or relevant State Library and government policies
- State Library Business Continuity Management Plan
- State Library Code of Conduct (Staff and Library Council)
- State Library Enterprise Risk Management Framework and Policy
- State Library Information Security Policy
- State Library Preservation Policy
- State Library Records Management Policy
- State Records Authority of NSW Standard No. 11 – Standard on the physical storage of State Records.
- State Records Authority of NSW Standard No. 12 – Standard on records management
- NSW Premier and Cabinet Circular C2003-17 Protecting the archival heritage of the State
- NSW Premier and Cabinet Memorandum M2007-15 Working Arrangements in an Influenza Pandemic
- NSW Premier and Cabinet Memorandum M2012-15 Digital Information Security
- NSW Treasurer's Policy Papers TPP12-03 A, B & C Risk Management Toolkit for NSW Public Sector Agencies

Related Australian and International Standards

- ISO 9001 Quality Management
- AS/NZS 5050:2010 Business Continuity – Managing Disruption-Related Risk
- AS/NZS ISO 31000:2009 Risk Management – Principles and Guidelines
- AS ISO 15489.1:2002 Records Management – General
- AS ISO 15489.2:2002 Records Management – Guidelines
- AS 3745 Planning for Emergencies in Facilities

4. Definitions and acronyms

BCM	Business Continuity Management. The holistic management process that identifies potential impacts that threaten an organisation and provides a framework for building resilience and capability to respond to an incident that safeguards the interests of stakeholders, reputation, brand and value creating activities.

BCP	Business Continuity Planning to recover critical Business processes, incorporating the agreed recovery and response activities relevant to each of the following BCM elements: • risk assessment • business impact analysis • communications • business continuity • disaster recovery • business resumption.
Sub-Committees / Working Groups	Operational groups at divisional levels focusing on BCM activities including the Collections and Services Counter Disaster Management Committee.
Sub-Plans	Divisional and branch Business Continuity plans that support the BCM Plan including the Collections and Services Disaster Response Plan, ICT Disaster Recovery Plan, Emergency Procedures and Building Evacuation Plans, Facilities Plans, Security Plans and Communications Plans.

5. Responsibilities

The Library Council of New South Wales is responsible for approval of the BCM Policy. Aspects relating to the Library Council of New South Wales Staff Agency are included at the request of the State Librarian as the head of agency.

The Library's *Audit and Risk Committee* is responsible for reviewing whether a sound and effective approach has been followed in establishing the State Library's business continuity planning arrangements, including whether disaster recovery plans are in place and tested periodically. The Audit and Risk Committee is responsible for reviewing and endorsing the BCM Policy.

The NSW State Librarian & Chief Executive is responsible for:
- ensuring that an effective BCM Program is established, implemented and maintained
- approving the BCM Framework and BCM Plan following review by the Executive
- reviewing the BCM Policy prior to it being forwarded to the Library Council of NSW for approval
- ensuring that business continuity is integrated into the corporate planning and compliance processes of the Library
- delegating authority to the Director Operations & Infrastructure & Chief Financial Officer and other officers as appropriate
- approving the Incident Response Team Structure
- during a disaster:
  o brief and liaise with the Library Council of NSW and the Audit and Risk Committee where necessary, on the circumstances and impact of the disaster on the Library
  o brief and liaise with Government Ministers
  o attend the BCM Incident Command Post as required

- liaise with the BCM Controller and Incident Controller as required
- act as the media spokesperson on behalf of the Library
- liaise with other Cultural Institutions and Collection Organisations as required.

The Director, Operations & Infrastructure & Chief Financial Officer (BCM Controller) is responsible for:

- the development, maintenance and ongoing review of the BCM program
- conducting an annual review of the BCM Plan
- implementing a governance structure including an Incident Response Team to oversee BCM operational activities
- communicating the BCM framework and policy throughout the Library
- providing support, resources and funding to ensure all relevant staff receive appropriate training
- implementing periodic testing of the BCM Plan and reporting on test results and program improvement to the Executive, the Audit and Risk Committee and the Library Council of NSW when required
- ensuring a suitable and trained Director is appointed to act as a Deputy to the Director, Operations & Infrastructure & Chief Financial Officer and to act in their stead in the absence of the Director
- when appropriate:
  - declare an event a "Disaster"
  - activate the BCM Plan
  - assume the role of the BCM Controller and provide overall management of all response and recovery activities on behalf of the Library
- during a disaster:
  - attend the BCM Incident Command Post as required
  - liaise with the Incident Controller and represent the Executive as required.

Divisional Directors are responsible for:

- overseeing the development and approval of any divisional BCM sub-plans required as part of the overall BCM program
- updating and maintaining specific divisional BCM plans as appropriate
- implementing any BCM recommendations as a result of any BCM reviews and workshops
- reviewing and reporting on the currency of divisional BCM plans and processes
- overseeing the annual review of the BCM Plan as it relates to their division
- establish appropriate sub-committees / working groups such as the Collection Services Counter Disaster Management Committee, to facilitate divisional counter disaster management activities
- ensuring that the BCM sub-committees and any working groups are adequately trained and resourced.

The Manager, Security (Incident Controller) is responsible for:
- managing and controlling all Emergency, Disaster Response and BCM incidents on behalf of the Library
- briefing the BCM Controller of all Emergency, Disaster Response and BCM Incidents
- ensuring all IRT Members are informed of all BCM Incidents
- preparing post incident debriefing reports and investigations

- coordinating updates of Security branch responses and procedures as part of six monthly BCM plan review
- reviewing the Incident Controller roles & responsibilities as part of six monthly BCM plan review
- during a disaster:
    - activate the BCM Plan on behalf of the Library
    - act as the Incident Controller on behalf of the Library
    - nominate the BCM Incident Command Post location.
    - manage security and emergency management, and emergency service liaison during all incidents.

The Planning and Program Officer (IRT Coordinator) is responsible for:
- communicating within the IRT
- assisting the Incident Controller to take notes, as required
- coordinating six monthly reviews and updates of the BCM Plan
- coordinating and facilitating Disaster Response training for all relevant State Library staff members
- ensuring that IRT Member contact lists are regularly updated
- attending the BCM Incident Command Post for each Incident
- assuming administration duties on behalf of the Incident Controller during course of event
- preparing post incident debriefing reports
- facilitating claims for cost, damage and insurance claim reports by the Finance branch as required.

The Manager, Media & Communications is responsible for:
- communicating with the Executive and Media
- preparing press and media releases on behalf of State Librarian
- assisting the State Librarian to prepare briefs and reports to stakeholders including the Minister's office and the principal department as required
- acting as media spokesperson in the absence of State Librarian
- preparing in consultation with the Human Resources branch, staff and contractor communications
- preparing in conjunction with the Information & Access branch, client communications
- preparing in consultation with the Events branch, hirer and exhibitor communications
- liaising with media outlets during event
- monitoring media enquiries on behalf of the Library during major events
- briefing the State Librarian on media strategies, effectiveness and media enquiries.

The Manager, Client Services & Support is responsible for:
- communicating with the State Librarian's Office and Level 1 meeting rooms
- managing and coordinating restoration of the IT Network, applications and infrastructure
- managing and coordinating restoration of communications network and infrastructure
- liaising with critical ICT vendors during event
- implementing workarounds for critical processes in line with agreed ICT RTOs

- liaising with the Manager, Facilities and Built Infrastructure in relation to building infrastructure and utility requirements
- preparing restore plans with other IRT members and providing timelines for partial and complete restoration
- preparing incident debrief reports relating to the impact and restoration of ICT services.

The Manager, Facilities and Built Infrastructure is responsible for:
- communicating with the Wardens and Contractors on site
- preparing press and media releases on behalf of the State Librarian
- managing and coordinating all building, facility and infrastructure workarounds, responses and restoration during event
- managing and oversighting safety during response and restoration
- briefing the Incident Controller in relation to restoration of critical services and infrastructure
- compiling damage and restoration estimates to Incident Controller
- planning for and executing partial/complete building/area relocation
- Coordinating additional asset and plant requirements and infrastructure as required
- liaising with other IRT members in relation to restoration of critical services
- preparing incident debrief report including damage and insurance claim reports as required.

The Manager, Human Resources is responsible for:
- communicating with the Macquarie levels 1 to 3 staff areas
- oversighting staff evacuation during incidents
- managing roll call and staff welfare during building evacuation
- managing family and next of kin communications
- conferring with the Manager, Media & Communications prepare and disseminate staff communications
- advising the Incident Controller and the State Librarian in relation to staff injury, safety or other major issues during incident
- liaising with hospitals and other health providers regarding staff injuries and updating family members
- assisting the Incident Controller, Manager, Facilities & Built Infrastructure regarding staff and building relocation
- liaising with the Manager, Financial Services regarding staff payroll.

The Manager, Collection Care is responsible for:
- communicating with the Mitchell staff and client areas, excluding the Mitchell Reading Room
- preparing press and media releases on behalf of State Librarian
- managing and coordinating collection and records salvage, restoration and relocation response
- providing advice to the Incident Controller as to prioritisation of collection security and salvage
- coordinating additional resources and equipment in consultation with Manager, Facilities & Built Infrastructure required to assist with salvage, relocation of collections
- coordinating damage estimates and provide to Incident Controller and Manager, Media & Communications re impact to Library

- maintaining records of collection salvage progress, location, damage
- liaising with nearby alternative Collection facilities as part of response and restoration phases.

The Manager, Information & Access is responsible for:
- communicating with the Reading Rooms and LG2
- Liaising with Incident Controller in relation to incident impact on Library Services including planned visitations to Library
- Managing workarounds in relation to access to Reading Rooms, LG2, stack and other areas
- Liaising with Manager, Media & Communications re public information and messaging re access to Library areas and services
- Liaising with Manager, Collection Care re additional resourcing to assist with collection salvage, relocation and security.

Managers and Supervisors are responsible for:
- implementing documented and approved BCM plans as directed by their Divisional Director
- participating in BCM tests and simulations as required.

Staff are responsible for assisting managers and supervisors with the implementation of the BCM Plan within their work areas and complying with the policy and framework requirements.

6. Recordkeeping

Full and accurate records of all disaster management activities are to be maintained securely and registered in the State Library's recordkeeping systems in accordance with the Records Management Policy and the *State Records Act 1998*.

7. Reporting requirements

The BCM Policy shall be reviewed annually or as required to reflect any changes made to the BCM Plan or IRT, with notification of changes to the Director, Operations & infrastructure & Chief Financial Officer and the IRT Coordinator. All major updates should be incorporated as soon as possible and not held to satisfy a pre-arranged schedule.

Reporting business continuity planning status and progress is a key element of creating an effective BCM program. The Director, Operations & Infrastructure & Chief Financial Officer shall report the status and progress of the BCM program to the Audit and Risk Committee on an annual basis or after every BCM test.

8. Approval

This policy was approved by the Executive on 22 July 2014 for submission to the Audit and Risk Committee for endorsement prior to submitting it to the Library Council of New South Wales for approval.

9. Implementation

This policy was implemented on 20 October 2014.

10. Prepared by:

Planning and Program Officer
16 June 2017

11. Document History and Version Control

Version	Date approved	Approved by	Endorsed by	Brief description
1.0	22 July 2014	Executive for Audit and Risk Committee endorsement		First release
	26 September 2014		Audit and Risk Committee	
	20 October 2014	Library Council of New South Wales		
2.0	19 May 2015	Executive for Audit and Risk Committee endorsement		Updated to reflect changes to the response structure
	15 June 2015		Audit and Risk Committee	
3.0	16 June 2017	Director, Operations & Infrastructure & CFO		Updated