­­­­­­­

COMPANY

Business Continuity Plan

DATE 2025­­­

Business Continuity Plan

# Plan Owner

The owner of this plan is

The person responsible for implementing, reviewing, amending and updating the plan is

|  |  |  |  |
| --- | --- | --- | --- |
| Version | Last updated | Author | Changes |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

# Key risks and mitigation

The firm has identified the following potential risks that could lead to business continuity being interrupted and, accordingly, has taken or is taking the action described in order to reduce, avoid and/or transfer the risks.

## Loss of use of premises

The most likely reason why we may be unable to use our office premises is fire. Other possible causes include explosion, environmental hazard and malicious action.

* **Fire risk:** In order to reduce the level of fire risk the firm has asked the office manager to investigate with our landlords / the Fire Safety Inspector from our local fire service / our surveyor what, if any, additional precautions are desirable.
* **Business continuity contact list:** The office manager has issued a “Business Continuity Contact List” (Appendix F). This document will be updated quarterly and circulated to the work and home email addresses of all staff.

All staff must keep a copy of the latest version at their home so that they may refer to it if necessary.

* **Alternative premises:** If we are unable to use our premises, we will expect staff initially to work from home. However, for an emergency of significant duration we will need a location from which to run our central services. The firm will rely on hiring serviced offices to meet that need. / The firm has made arrangements with another local law firm on a reciprocal basis / a business continuity services company so that if necessary, we will be able to use a certain amount of space within their premises for essential central services.
* **IT:** Our IT systems allow staff to access key information and resources through the internet (see the notes on IT below).
* **Insurance:** The firm has appropriate insurance cover.

## Loss of IT systems

Our ability to access our email system and the documents we have stored in electronic form is vital to our ability to practice.

* **Firewall:** We have a firewall and anti-virus software to minimise threats to our systems.
* **Document management system:** Staff are required to file electronic documents within our document management system. You are reminded that it is unsafe to store documents only on the hard drive of your computer.
* **Electronic copies of documents:** Key documents (including deeds, leases, wills, original contracts, etc.) are scanned and saved in our document management system, in case originals are lost or destroyed.
* **Backup:** A daily backup is made of our document management system, which is stored off-site, so that loss of our on-site technology will not compromise our ability to serve clients.
* **Remote access:** Staff are provided with systems and training to enable them to log in to our intranet and document systems remotely.

## Loss of papers

So long as we rely on traditional paper matter files, we are at risk that those files will be destroyed by fire, or otherwise lost.

[To mitigate this risk and to improve efficiency it is our intention to move to a “paperless” system in future, in which all documents will be maintained on a document management system. Documents received in paper form, such as letters, will be scanned and saved electronically.

Until this system is operational] you are reminded that when we are storing important original documents (for example wills, leases, deeds) a scanned copy should also be saved on the document management system.

## People issues

Our insert details department is heavily reliant on the skills, knowledge and connections of Name. The firm is working with him/her to ensure that in his/her absence due to illness or other unpredictable cause the work of the department can continue. This will involve a significant investment in training of members of his/her team, and the development of precedents.

The firm maintains “key person insurance” in respect of insert details .

The following are further examples of mitigation actions to include in your firm’s plan if relevant to your firm’s risks and circumstances:

|  |  |
| --- | --- |
| Risk Area | Mitigation Action |
| **People** | Inventory of staff skills not utilised within their existing roles – to enable redeployment |
| Process mapping and documentation – to allow staff to undertake roles with which they are unfamiliar |
| Multi-skill training of each individual |
| Cross-training of skills across a number of individuals |
| Succession planning |
| Use of third-party support, backed by contractual agreements |
| Geographical separation of individuals or group with core skills can reduce the likelihood of losing all those capable of undertaking a specific role |
| **Premises** | Displacement of staff performing less urgent business processes with staff performing a higher priority activity |
| Use premises provided by other organisations |
| Alternative sources of equipment |
| **Technology** | Maintaining the same technology at different locations that will not be affected by the same business interruption |
| Holding older equipment as emergency replacement or spares |
| **Information** | Ensure data is backed-up and it is kept off site |
| Essential documentation is stored securely |
| Copies of essential documentation are kept elsewhere |
| **Suppliers and Partners** | Storage of additional supplies at another location |
| Dual or multi-sourcing of materials |
| Identification of alternative suppliers |
| Encouraging or requiring suppliers/partners to have a validated business continuity plan |
| Significant penalty clauses in supplier contracts |
| **Stakeholders and clients** | Mechanisms in place to provide information to stakeholders |
| Arrangements to ensure vulnerable clients are accommodated |

# Business restoration objectives

Categorise according to urgency of need your firm’s activities and services (e.g. email and phone communication; matter opening procedures such as conflict checks; electronic and hard copy document storage and retrieval; accounts functions such as invoicing; the legal services your firm provides; HR functions, etc.) Indicate the minimum resources necessary to undertake those services and activities.

|  |  |  |
| --- | --- | --- |
| Priority | Activities/Services | Resources Needed |
| **Critical** (services/activities that need to be restored in 1 hr or less) |  |  |
| **Urgent** (services/activities that need to be restored within 1-24 hrs) |  |  |
| **Important** (services/activities that need to be restored within 5 days) |  |  |
| **Normal** (services/activities that can be restored after 5 days) |  |  |

# Plan test details

Business continuity management arrangements cannot be considered reliable until they are exercised and have proved to be workable and effective. Exercising involves validating plans, rehearsing key staff, and testing systems which are relied upon to deliver resilience. The exercises take into account the rate of change (to the firm or its risk profile), and outcomes of previous exercises (if particular weaknesses have been identified and changes made). As a minimum the plans will be exercised and tested annually.

|  |  |  |
| --- | --- | --- |
| Test date | Remedial action required | Date action complete |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

# Plan Roles and Responsibilities

|  |  |  |
| --- | --- | --- |
| INCIDENT MANAGEMENT ROLES | | |
| Roles | Responsibilities | Accountability |
| **Incident Manager(s)** | Determining the overall response and recovery strategy  Activating and standing down the Busi-ness Continuity Plan  Ensuring key stakeholders are kept informed during an incident and in the recovery phase  Authorising the use of response and communication actions as agreed in this plan  Prioritising the recovery of key activi-ties disrupted by the incident  Safeguarding the welfare of all staff, Contractors and Visitors to Head Office where relevant  Staff welfare and employment issues  Responsible for effective communication with staff and other key stakeholders as necessary | Incident Managers have the delegated authority to authorise all decisions and actions required to respond and recover from the incident. |
| **Incident Logging (record keeper)** | Ensuring that all key decisions, supporting rationale and all actions taken in relation to the incident are recorded clearly, accurately and are able to withstand scrutiny e.g., in a Public Enquiry, Tribunal or under Freedom of Information legislation.  Ensuring the log is submitted for storage in accordance with the agreed procedure Ensuring that good practice for incident ‘logging’ is followed | Reports directly to the Incident Manager. |
| **Building Manager (or point of contact for Building Issues)** | Undertaking duties as necessary to ensure site security and safety in an incident  Liaison with the Incident Management Team to advise on any issues relating to the physical infrastructure of the building  Lead point of contact for any Contractors who may be involved in incident response. Coordination of inventory of damaged assets/equipment when/if safe to do so | Reporting directly to the Incident Manager. |
| **Emergency  Evacuation Marshall(s)** | To ensure everyone has evacuated the floor/building when required to do so, following the Evacuation Plan, making sure nobody is left behind  Report to the Incident Manager confirming their area of responsibility is completely evacuated (or that the search was not thoroughly completed)  Report to the Incident Manager the numbers and locations of any mobility impaired person(s) remaining in the building e.g. in a safe refuge | Reporting directly to the Incident Manager. |
| **First Aider(s)** | To ensure that the Emergency Services are immediately called when they are required to treat any casualties  To provide immediate ‘first aid’ in line with training received in order to preserve life, prevent the condition getting worse and to promote recovery  To keep individuals as comfortable as possible until professional help arrives | Reporting directly to the Incident Manager. |

# Plan invocation

The method by which the plan is invoked should be clearly documented, setting out the individuals who have the authority to invoke the plan and under what circumstances.

|  |  |  |
| --- | --- | --- |
| Method | Name | Circumstance |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

# Incident management

Document the tasks that will be required to manage the initial phase of the incident and the individual responsible for each task (as per the incident management roles). Set out the arrangements for communicating with staff, wider stakeholders and, if necessary, the media. Identify a robust location, room or space from which an incident will be managed. Once established, this location should be the focal point for our response. An alternative meeting point at a different location should also be nominated in case access to the primary location is denied. Each location should have access to appropriate resources, such as telecommunications, by which the incident team may initiate effective incident management activities without delay.

|  |  |  |
| --- | --- | --- |
| Task | Person responsible | Completed |
| Site evacuation |  |  |
| Mobilisation of safety |  |  |
| First aid |  |  |
| Evacuation assistance teams |  |  |
| Employee accounting |  |  |
| Ongoing communication with clients/staff |  |  |
| Safety briefings |  |  |
| Media liaison |  |  |
| Identify a robust location to manage the incident |  |  |

# Appendices

|  |  |  |
| --- | --- | --- |
|  | Content |  |
| A | Incident Impact Assessment Form |  |
| B | Log Template |  |
| C | Lost Property Form |  |
| D | Financial Expenditure Log |  |
| E | Contents of Emergency Box / ‘Grab bag’ |  |
| F | Staff Contact List |  |
| G | Emergency Key Contact List |  |

Appendix A

|  |  |
| --- | --- |
| INCIDENT IMPACT ASSESSMENT FORM | |
| **Completed By** |  |
| **Time/Date** |  |
| Consideration | Logged Response |
| **Which department/area is affected** |  |
| **What is the nature of the incident?** (Describe the type of incident, location and severity) |  |
| **Are there any staff casualties or fatalities?** |  |
| **How is the incident currently affecting business operations?**  **What is the estimated duration of the incident?** |  |
| **Do the Emergency Services need to be called?** |  |
| **Has access to the whole site been denied? If so, how long?** |  |
| **Have any work areas been destroyed, damaged or made unusable? Is there evidence of structural damage?** |  |
| **Are any systems and other resources unavailable?** (include computer system, telecoms and any other assets) |  |
| **Have any utilities been affected?** (E.g., gas, electricity, internet or water) |  |
| **Other Relevant Information** |  |

Appendix B

|  |  |
| --- | --- |
| LOG OF EVENTS, DECISIONS AND ACTIONS | |
| Incident |  |
| Completed By |  |
| Time/Date |  |
| Log Details |  |
| 1 |  |
| 2 |  |
| 3 |  |
| 4 |  |
| 5 |  |
| 6 |  |
| 7 |  |
| 8 |  |
| 9 |  |
| 10 |  |

Appendix C

|  |  |  |  |
| --- | --- | --- | --- |
| LOST PROPERTY FORM |  |  |  |
| Incident |  |  |  |
| Completed By |  |  |  |
| Time/Date |  |  |  |
| Name | Status (e.g. staff/client/visitor) | Details of possession(s) lost |  |
| Item | Cost |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Appendix D

|  |  |  |  |
| --- | --- | --- | --- |
| FINANCIAL EXPENDITURE LOG | | | |
| Completed By |  |  |  |
| Time/Date |  |  |  |
| Consideration | Logged Response | | |
| Expenditure Details  (what, for whom etc.) | Cost | Payment Method | Transaction made by |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

Appendix E

|  |  |
| --- | --- |
| CONTENTS OF OFFICE GRAB BAG | |
| Section | Details |
| **Business Continuity** | Business Continuity Plan (plus spare copies of forms in Appendices) |
| Key contact details, including: Staff, Clients, Suppliers etc. |
| **Organisational Information** | Staff Handbook (policies and procedures) |
| **Staff Information/Resources** | Medical Supplies for staff with specific needs |
| Key contact details (next of kin etc.) |
| **Financial Information** | Bank, insurance details, Payroll etc. |
| Invoices, purchase orders, etc. |
| Financial procedures |
| Assets Register and Insurance Policy(ies) |
| **IT / Equipment Information** | Software licence agreement(s) and key codes |
| Back-up rota and data restoration routine |
| IT Department Contact Details |
| **Equipment and other items** | Stationery including [ ] |
| First Aid Kit |
| Spare keys |
| Laptop with wireless connection |
| Pay-as-you-go mobile phone and battery powered mobile phone charger |
| Emergency cash or spare credit card |
| Contact details for taxi / transport providers |

Appendix F

| **STAFF CONTACT LIST** | | |
| --- | --- | --- |
| **Name** | **Role** | **Contact Details** |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |
|  |  | Mobile Number:  Email Address:  Out of Hours Contact Number:  Emergency Contact Details:  Home Address: |

Appendix G

|  |  |
| --- | --- |
| EMERGENCY CONTACT LIST | |
| Contact | Details |
|  |  |
|  |  |
|  |  |
| Other Local Contacts |  |
| **Police** | 999 / [local number] |
| **Fire & Rescue Services** | 999 / [local number] |
| **Local A&E** | [local number] |

vbdfb



**Lockton Companies LLP**

Authorised and regulated by the Financial Conduct Authority. A Lloyd’s broker.

Registered in England & Wales at The St Botolph Building, 138 Houndsditch, London EC3A 7AG.   
Company No. OC353198.

**global.lockton.com**