

Human Aspects of BCM



**A summary report of
the BCI Workshop**

Human Aspects Workshop

Part One – The Presentations

This report follows a BCI hosted workshop on the Human Aspects of Business Continuity. The event was geared towards highlighting the extent to which organisations factor people, their most important asset, into their business continuity strategies. A series of presentations highlighted the importance of encouraging interaction between the HR department and the BCM team to ensure that staff are a BCM priority. Participants were given an insight into an array of techniques which can be employed to integrate staff into their plans and shown the benefits that such measures can generate in terms of strengthening the relationship between employee and company.

The workshop was divided into six presentations:

- “Why Plan for People?”
- “So what is ‘Duty of Care’?”
- “People in BS 25999”
- “Managing and Motivating during Recovery”
- “Psychological Impacts of Disruption”
- “Case Study – Bringing it all Together”

and three discussion exercises:

- “BCM and HR – Working Together”
- “People Issues as Drivers for BCM”
- “Top Tips for Recovery Planning”

Each presentation or series of presentations was designed to highlight the key issues relating to that particular topic, while the following discussion exercises enabled participants to discuss the points made and to provide their own insight into these issues. The presenters represented a broad spectrum of organisations, including companies, financial institutions, law firms, associations and consultancies.

The purpose of this document is to provide an overview of the presentations. The PowerPoint slides which accompanied these presentations are available at www.businesscontinuitysigs.com.

Part 2 of this Report details the responses of the participants at the Workshop generated during the series of discussions exercises.

Opening exercise

To open the Workshop, participants were asked the simple question: “How do you know if your BCM programme is people-oriented?” This elicited a range of responses. All acknowledged that as people are a vital component of any organisation, they should therefore be an integral part of a BCM plan. Many were of the opinion that plans were often too focused on the technical issues, and a separate section relating to people should be incorporated, including details on staff welfare, counselling, relocation considerations etc. Participants also highlighted the importance of ensuring that BCM awareness programmes are implemented which serve to strengthen staff involvement in BCM plans. This can be done through induction programmes, newsletters, staff training exercises etc.

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Session 1 - "Why Plan for People?"

Presentation 1:

"The Importance of People in Abbey's BCM Planning"

Richard Bridgford, Corporate Business Continuity Manager

Philippa Cox, Head of HR Policy, Advice, & Risk

The presentation began by giving an overview of Abbey's approach to people from both a BAU (business-as-usual) perspective and a BCM perspective. In terms of BAU, Abbey acknowledges that people are key to the organisation achieving its goals. Describing the people processes within the organisation, it was explained that it is the role of HR to establish the policies and processes, while it is up to the line managers to implement those policies and manage the people. They also highlighted the importance placed by the organisation on Corporate Social Responsibility in this context and considered how they are also affected by legislation such as health & safety, duty of care and the recent Corporate Manslaughter Act. A further consideration was that of contractual requirements.

From a BCM perspective, they pointed out that HR was a core member of Abbey's Crisis Management team, with a silver level function during a crisis. The organisation's CM and BCM plans both incorporate people issues, and are an integral component of any scenario exercises. Richard highlighted a number of external factors which had served to push this, including the threat of a pandemic event and the London bombings of 07/07 (7th July 2005).

Richard impressed the importance of embedding people issues into BCM strategies, and also of establishing a central control for this. Unlike IT continuity which can be a relatively simple process to achieve in a crisis, he explained, dealing with people in a crisis can be a much more complex affair, and it is therefore essential to ensure that you co-ordinated people function embedded in your plans.

HR at Abbey are constantly reviewing the people-related policies, considering issues such as whether they will hold up during a crisis, whether they need to be amended, and if they do need to be amended are there any legal implications of doing so? HR review People Policies to reflect BCM scenarios, such as pandemic planning, and consider issues such as travel requirements and health & safety implications.

Other steps which Abbey employs to ensure that people are central to their plans include:

- Staff Information Line
- HR Incident Line
- Engagement of the Union in their approach to BCM
- Use of ongoing awareness processes – though induction, e-learning and staff guide books.

Philippa used a series of practical examples to demonstrate the role played by HR in the BCM context.

Crisis Management Team: As a core member of the CMT, HR provides guidance to the team on people-related issues, including evacuation, welfare, whether to invoke the HR Incident Line, alternative travel arrangements and what to communicate to staff.

HR Incident Line: Operated from within the centralised HR function, the incident helpline is invoked in those instances where there are possible casualties or missing staff as a result of an

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incident. Invoked by the CMT, the line is manned by qualified HR consultants trained in how to deal with distressed callers. All Abbey staff are provided with an emergency credit card, which includes the incident line number. Information on the hotline is updated on a regular basis. The facility enables line managers to keep the central crisis team up to speed on the whereabouts and well-being of staff.

Ongoing welfare and support for staff is also provided via an employee assistance provider.

Exceptional Travel arrangements: Abbey has considered transportation plans in the event of the need to relocate. Key staff have been identified including details of where they are located, and coach companies are on standby to transport them if required. There are also plans to ensure that if the relocation site changes that the new details are passed on to the coach companies.

In the event of a major incident in London, plans have been discussed with coach companies about how to tackle potential gridlock.

Avian Flu Pandemic: As part of the tripartite exercise conducted in 2006, Abbey had to tackle an absentee level situation which rose to 50%. The organisation has implemented a pandemic plan and also a specific HR pandemic plan. People audit has been conducted to identify critical staff, deputies, travel arrangements, carer commitments, and succession planning. Abbey has also prepared an occupational health and safety document, which provides guidance on general welfare and links to key information. Plans also include provision of a centralised 'absence' line to help monitor staff, and also to record information on reasons for absences. The potential for adapting policies and guidance in these extreme circumstances have also been considered, as standards policies would probably be insufficient. Finally, consideration has also been given to the provision of protective clothing and property cleaning products.

In conclusion, Richard highlighted what they considered to be the benefits of adopting this people focused approach to BCM. These included:

- The ability to recover & continue critical business functions
- Maintaining the confidence of : our people; our customers; our shareholders and our regulators
- Protecting our reputation
- Better control of the people aspects of BCM
 - a more effective planning, implementation & crisis management
 - leading to better business continuity

Effective BCM needs the people element to be involved because:

- people are key to making plans work
- management of people is essential
- HR & BCM should work together
- benefits to the organisation – customers & shareholders
- benefits to the organisation – people satisfaction & retention
- reduce risk of corporate manslaughter implications

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Session 2 - "So what is 'Duty of Care'?"

Presentation 1:

Statutory Requirements: BCM and Employees

Philip Bundy, Associate, Bircham Dyson Bell LLP

Philip began his presentation by examining the legal framework which underpins an organisation's duty of care, highlighting three statutory provisions:

- Health and Safety at Work Act 1974
 - Management of Health and Safety at Work Regulations 1999
 - Corporate Manslaughter and Corporate Homicide Act 2007
- ... all in conjunction with contract/employment legislation.

To help organisation's understand what constitutes a duty of care, Philip listed the following four questions:

- Does the law impose liability for carelessness?
- Is the perpetrator guilty of carelessness?
- Has the carelessness caused damage?
- Was that damage foreseeable?

If the answer to these questions is "Yes" then the matter is a duty of care issue.

Duty of care in employment is a positive duty to take care to protect the employee from harm including a duty to take care of the worker's mental as well as physical health on an individual basis, and also in certain cases extending out to the worker's family. As a result, the organisation is duty bound to provide a safe place of work, to provide for competent employees and to establish a safe system of work.

In establishing what constitutes an adequate standard of care, there are a number of factors which come into play, including:

- The circumstances
- What one knows
- What one ought to know
- The risk of harm occurring
- The likely seriousness of the harm
- The practicability and cost of preventative measures

Focusing on the legislation relating to duty of care, Philip considered first the Health and Safety at Work Act 1974. This applies general principles of duties between employers and employees; employers and non-employees; and covers the control of premises. The Act is enforceable in both criminal and civil law. If defending a claim made under the Act, the onus is on the employer to prove that in this particular instance it was not reasonably practicable to protect the employee from harm.

Turning his attention to the Corporate Manslaughter and Corporate Homicide Act 2007, Philip explained that this new piece of legislation creates an offence if the way in which an organisation's activities are managed results in death attributable to a gross breach of duty of care. Under the Act it is the role of the prosecution to prove that the death resulted from a gross breach of duty of care in the way in which senior management was running the operations. As there is, however, no clear definition as to what constitutes senior management, this could extend to any person who plays a key role in managing an activity.

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If found guilty the organisation can be fined between 2.5% and 10% of its turnover. Further provisions exist for publicity orders, which, although the details of those are not known, Philip referred to as the modern equivalent of being put in the stocks, and remedial orders which require that the organisation put in place measures to prevent the occurrence happening again.

In ascertaining whether an offence has been committed, an organisation should consider the following points:

- Is there a duty of care?
- Breach of Health and Safety Legislation?
- How serious was the breach?

If death has occurred as a result of the incident then it follows that it is probable that there may have been a gross breach if the company is found to be responsible.

Duty of care in a pandemic situation

Philip considered the potential legal implications which may arise during an avian flu pandemic scenario. He cited the following areas as being key issues in this context:

- Employment contract: express and implied terms
- HSWA 1974
- Statutory employment rights: unfair dismissal; discrimination; time off for emergencies
- Collective consultation: works councils, information and consultation; redundancies

From a safety responsibility perspective, the organisation will be expected to provide a safe workplace by implementing new rules on: health reporting, office and personal hygiene, protective equipment, social distancing and working hours.

During such a scenario, flexibility in relation to employees, Philip explained, would be important. However, a number of factors need to be considered when attempting to achieve flexibility. These include:

- What does the contract say about role/location?
- What happens in practice?
- Implied duty to be flexible
- Additional training
- Home working
- Risk assessments

If people refuse to accept this new approach then one must consider enforced flexibility, which will raise the following considerations:

- Dangers of unilateral variation
- Negotiating change: unions
- Negotiating change: individuals
- Increasing output: overtime and cancelled holidays due to low staffing levels
- Decreasing output: enforced holidays; lay offs; "frustration" (contract ends because its terms cannot be performed because of an unforeseen circumstance); redundancies

Philip concluded by highlighting a number of risk areas relating to employees which organisations should be aware of in the pandemic scenario.

1. Those willing but unable to work:
 - Do you continue to pay salary and benefits to those who

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- Are ill but not certified?
 - Quarantined? No direct guidance in the UK, but may be a requirement
 - Have domestic commitments? In many cases may be required to give time off to put care plan in place for dependents
 - Can't get to work? Up to the employee to sort this out
2. Those unwilling but able to work:
- Before taking action consider:
 - Have preventative measures been taken?
 - Has government guidance been followed?
 - Is there serious and imminent danger?
 - Risk of industrial action?
 - Statutory DPs
3. Vulnerable employees
- Should special considerations apply to employees who
 - Are pregnant?
 - Have dependent children?
 - Are disabled?
 - Have impaired immunity?
 - Are on secondment?
 - Are dealing with the public?
 - Are abroad?

Presentation 2:

People in BS 25999

Malcolm Cornish, FBCI FCA, Operations Director, Continuity²

Kim Jenkins,

Malcolm began with a brief introduction to BS 25999, Parts 1 & 2. BS 25999-1 he explained was a Code of Practice for BCM, providing organisations with a view of the mechanics of business continuity which they can look to comply with. BS 25999-2 provides the specification for companies to enable them to establish a business continuity management system, and if required to then achieve certification. By achieving certification, Malcolm stated, a company is going beyond simply good practice to having systems in place to ensure best practice.

The standard provides a BCM personnel definition, which captures a broad group of people. This includes those people:

- Assigned responsibilities in the BCMS
- Accountable for BCM policy and implementation
- Implement and maintain the BCMS
- Use or invoke the BC and IM plans
- Those with authority during an incident

The process also requires that BCM roles, responsibilities, competencies and authorities are all defined and documented, and furthermore, that all personnel assigned BCM responsibilities must be competent to perform their required tasks. In order to achieve the required standards of competency in relation to BCM personnel, an organisation must:

- Determine necessary competencies
- Conduct training needs analysis
- Provide training

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- Ensure necessary competence achieved
- Maintain records
 - Education
 - Training
 - Skills
 - Experience
 - Qualifications

In a group exercise, participants were asked to list all of the types of people they would expect or like to see involved in a BCM team. These included:

Business Continuity Officer	Chief Risk Officer
Representative from each Business Unit	Chief Executive Officer
Head of IT	Chief Information Officer
Head of HR	Finance Director
Facilities Manager	Head of Purchasing
Internal/External Communications Staff	Head of Marketing
Legal	Head of Legal
Auditor	Compliance Officer
CSR representative	Supplier representatives

Each table was then asked to complete a "competency" worksheet which required them to consider the following aspects:

- Roles, responsibilities and authorities
- Necessary competencies
- Approach to training needs analysis
- Appropriate training
- Ways of measuring necessary competence
- Suitable records of education, training, skills, experience and qualifications

...for each potential type of individual that may be involved in a BCM team. The results were as follows:

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Table-group: A

BCM people or group:	Resources required for business continuity and recovery – HR
Topic	Ideas
1. Roles, responsibilities and authorities	Telephone management Fatalities handling/counselling Resourcing Legislation
2. Necessary competencies	Documentation planning Change management HR CIPD certification Health and safety
3. Approach to training needs analysis	Counselling Training scenarios Desktop exercises Find out if managers know responsibilities for embedding BCM in community
4. Appropriate training	
5. Ways of measuring necessary competence	Audits Practical exercises Live invocation
6. Suitable records of education, training, skills, experience and qualifications	

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Table-group: B

BCM people or group:	Those with 'the authority to invoke each plan'
Topic	Ideas
1. Roles, responsibilities and authorities	Set out in plan Assigned to position
2. Necessary competencies	Knowledge of business Understanding impact Ability to analyse information Leadership
3. Approach to training needs analysis	Interview Previous experience Skills required Scenario – "what would you do if" impact analysis
4. Appropriate training	Sharing knowledge: <ul style="list-style-type: none"> o From above o From below o From outbound Exercising
5. Ways of measuring necessary competence	Assess practical Exercising Review capability following event
6. Suitable records of education, training, skills, experience and qualifications	

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Table-group: C

BCM people or group:	Top management
Topic	Ideas
1. Roles, responsibilities and authorities	Key department heads + deputies/alternates Divisional/executive directors + deputies/alternates BC Director <ul style="list-style-type: none"> o Declare crisis o Set strategy o Long term impacts / aftercare
2. Necessary competencies	Credibility, reputation, trust, understanding of BCM procedure Adaptability
3. Approach to training needs analysis	Post exercise reviews Lessons drawn
4. Appropriate training	Table top Scenario walkthroughs Full exercises
5. Ways of measuring necessary competence	Competency test Table top review
6. Suitable records of education, training, skills, experience and qualifications	Post exercise reports

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Table-group: D

BCM people or group:	Appropriate spokespeople – Communications
Topic	Ideas
1. Roles, responsibilities and authorities	CEO – Spokesperson PR and marketing Someone senior who is good at it Internal and external communications
2. Necessary competencies	Media training Write coherent briefs Be up-to-date with mission statement, value statement and general company blurb Consistency with message
3. Approach to training needs analysis	Identify gaps in knowledge and liaise with appropriate departments, whose message will be included (e.g. Health & Safety)
4. Appropriate training	
5. Ways of measuring necessary competence	
6. Suitable records of education, training, skills, experience and qualifications	

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Table-group: E

BCM people or group:	Named persons owning plan
Topic	Ideas
1. Roles, responsibilities and authorities	<p>Authority to exercise, maintain and to invoke plan (if specified)</p> <p>Communication, training and promoting awareness</p> <p>Fits with other plans/authorities</p> <p>Budget</p> <p>Ensure others are trained</p>
2. Necessary competencies	<p>Understanding of business and BC framework</p> <p>Proficiency and expertise in own function</p> <p>Trained</p> <p>Ability to communicate</p>
3. Approach to training needs analysis	<p>Corporate approach/strategy for BCM</p> <p>How is BCMS implemented</p> <p>Include Deputies</p> <p>Capability to exercise skills</p>
4. Appropriate training	See 3 (Approach to training needs analysis)
5. Ways of measuring necessary competence	<p>Through exercising</p> <p>Predefine success criteria and review</p> <p>Measure plan and people</p> <p>Range of exercise types</p> <ul style="list-style-type: none"> o Desktop o Simulation
6. Suitable records of education, training, skills, experience and qualifications	<p>Records of training participation</p> <ul style="list-style-type: none"> o Memberships o Formal qualifications o Personal development plans

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Table-group: F

BCM people or group:	Those who use and implement the plans
Topic	Ideas
1. Roles, responsibilities and authorities	Clear ownership and responsibility Maintenance Participation in exercises Awareness to their own staff Authority to act
2. Necessary competencies	Ownership Understanding of overall BC framework Understanding of roles and responsibilities
3. Approach to training needs analysis	Specific to each area and owned by each area
4. Appropriate training	
5. Ways of measuring necessary competence	
6. Suitable records of education, training, skills, experience and qualifications	

Session 3 – “Managing and Motivating during Recovery”

Presentation 1

Recovery Planning is all about People

John Sharp FBCI (Hons) FCMI MCIM, Senior Industry Advisor to ICM

John based his presentation on the experience of customers who had used the ICM recovery centres. ICM deals with over 200 invocations each year, and in one instance had to deal with two large organisations in one recovery centre for over one week.

When an organisation has moved to a recovery site the staff will find themselves in unfamiliar surroundings, away from the normal office environment that they are used to and without access to some of the normal business facilities. While for the first few days this may be considered exciting and something of a novelty, after the third day this will start to wear off, particularly if the new facility is located some distance from the original office. John said that in one instance a company lost all of its staff at the recovery centre due to the fact that it was simply too far away.

Travel: Firstly companies need to consider travel arrangements, and ascertain whether coaches will be required to transport staff. If the relocation centre is hard to reach, the journey time can eat into the company’s working day. It can also increase staff stress levels, particularly for those not used to travelling distances to work. Further factors to consider can include weather

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conditions – staff will not want to wait in the rain/snow for a coach – and car parking spaces – will there be sufficient space at the site and will you have to organise a car park attendant?

Catering: In terms of facilities at the recovery site, the priority must be to ensure that staff are fed. This may involve bringing in catering suppliers, or using on-site facilities – although it is important to check whether these facilities are sufficient for your requirements. Companies should also try to maintain variety in terms of the food supplied, as staff will quickly become sick of soup and rolls. Also consider offering treats and snacks as these can lift people's spirits. Make sure also that you have details of any food allergies staff may have, or food restrictions for religious reasons. It may also be necessary to introduce break shifts to avoid overcrowding in the kitchen area.

Toilets & Social Spaces: Other facilities to consider include toilets – you must make sure that standards of cleanliness are maintained and may need to consider employing cleaning contractors. Also think about the availability of social spaces – these will be particularly important as people will want to talk to each other in the aftermath of an incident, which can be cathartic.

Communication: During such a situation it is also important to keep people informed as to what is going on. Being unable to tell employees when they can expect to return to their old work environment can lead to frustration. Regular updates should be communicated to staff. Processes for communicating up the chain of command should also be established.

Health & Safety: Recovery centres tend to be relatively small spaces, which can create issues from a health and safety perspective. Maintaining health and safety levels can sometimes conflict with what staff want to be able to do.

Working environment: It may be necessary to consider measures to combat cold weather. This may include advising staff to wear warm or extra clothes. If people are bringing in winter coats, is there somewhere where they can be stored. If the weather is hot, is there an air conditioning system or sufficient ventilation as small sites can become very hot in such conditions.

Disabled staff: In a recovery centre, the concentration of desks may restrict wheelchair access. For people who are hard of hearing, increased noise levels in the new confined environment may prove problematic. You may also want to consider whether there are provisions for dogs for the blind.

Religious requirements: Organisations should also consider any religious requirements that may exist. Are there prayer rooms at the facility?

Call back home: If staff have come by coach are there means for getting them back home if there is an emergency? Are there cars on standby for such an event?

Social life: In a relocation event, it must be acknowledged that there has been a disruption not only to the social working group, but also a disruption to employees' social lives. Staff may need to take time off for appointments such as doctors, dentists etc.

Impersonal workspace: Staff will also be working at an impersonal working space, with personal belongings having been left at the previous site. You may need to consider restricting the amount of personal items on people's desks in your work place to limit this potential problem.

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Personal items: If personal items, such as keys or wallets, have been left or lost at the old site, you may need to consider arranging for locks to be changed or money to be made available for food etc.

Staff contracts: These should be reviewed to ensure that they include clauses relating to working off site in the event of an incident.

Support staff: Do staff have access to persons who can provide support and counselling? Is there a location at the site where this can be carried out?

Return to normal: You should consider ways of rewarding staff, and thanking them for all their cooperation during the relocation. Make a big event out of the return to the office.

Highlighting the importance of exercising, John listed the following points:

- Enables staff to be familiar with the recovery centre environment and technologies
- Test of transporting staff to the site
- Test of access arrangements
- Determine the adequacy of the catering

He also pointed out that in the majority of cases only large organisations with workspace recovery contracts carry out annual exercises, adding that those who do tend to modify their plans as a result. For example, one company which tested their recovery site facility with 300 staff discovered that due to the size of the entrance access to the building was so slow that they could not achieve their recovery time target. If you do not test your staff will be faced with the difficult prospect of having to move into completely unfamiliar surroundings.

It is important to make the rehearsal as realistic as possible. In one example, a company relocated to the recovery site and continued to function normally without having to tell their customers that they had done it.

BCM Team

John urged participants not to ignore the strain placed on their BCM team. They are under considerable stress and may not be able to return home for days. Consider putting in place a shift work system. Also do not forget that when staff are carrying out their BCM functions, their normal work may be piling up. Consider ways to spread their workload.

The more you can do to relieve stress the happier the workforce will be. This will also dramatically improve your chances of maintaining motivation levels if you go beyond the third day at the relocation site.

Recovery planning is all about people

- It is not just about a technical solution
- When developing your relocation plans please remember your staff have their own issues
- At the time of a major incident people do not always react as you have planned
- Exercising is key to successful relocation
- Don't forget that the BCM team have 'needs'

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In the follow-up **Q&A session** the following issues were raised:

Q: What if the invocation extends to weeks or months?

A: It is important during such an event to communicate with staff regularly. You should also allow people opportunities to air their grievances. Make sure that you have a HR representative on site and that you actually listen to what your staff are telling you.

Q: What if the facilities at the recovery site are limited?

A: On some occasions, if you are the only organisation in the facility the operator may consider opening up other areas of the site. If it is fully occupied this can be a major issue however.

John also raised the point that if we as BCM managers are driven by costs then we have to acknowledge that this problem will exist. Kitchens and social areas are 'dead space' as they reduce the number of desks. If they are to be included, facility operators will have to charge more.

Q: What if there multiple invocations at one site?

A: In the case of ICM, John explained that they operate a voluntary declaration system, which means that when you sign up to the site you know who else will be using it and how many people will be involved.

Session 4 - "Psychological Impact of Disruption"

Presentation 1:

Crisis Management

Larry McGonnell, Clinical Psychologist & Training Manager, Docleaf

Larry opened his presentation with a quote from Gerald Lewis PhD, which read: "You may get your phone lines back up and have your computers backed up... but your people may still be messed up."

When considering a business continuity plan, the impact of the crisis on your staff should be at the centre of your planning. How staff respond will determine the effectiveness of your ability to implement these plans, Larry explained.

As complex as plans for IT and other equipment / technical restoration may be, HT (Human Technology - those who actually deliver the product or service) recovery may be made even more complicated, he said, because "best practices" for mitigating the impact of crises on personnel are not well understood or even prioritised.

Organisations must challenge what Larry described as flawed thinking when it comes to dealing with people in a crisis. People do not react in a linear way during a crisis - we cannot therefore afford to think 'mechanistically' in anticipating the human response to crises. Experience

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teaches us that human reactions to crises can be identified, acknowledged and managed; but not 'controlled'.

When a crisis hits we are forced outside the normal parameters of our experience. This means that the highs and in particular the lows which we normally experience may be much more extreme than usual. Following an incident, people may be in shock, traumatised by the event and may respond in a very emotional manner which may affect those around them as well.

Larry then considered the potential psychological impact from the perspective of critical staff, non-critical staff and family. He warned of the dangers of considering the incident in a vacuum and not considering how it might affect family as well. This can affect the way in which we implement our BCM plans.

Critical staff

Critical staff will be under pressure to implement the crisis response. They are affected by a strong empowerment theme, in which they are in the thick of the action. Their focus is on minimising the impact of the event and getting the business back on track as quickly as possible. This requires an immediate response, where they must make key decisions under extreme pressure, all potentially under the glare of the media spotlight. They will be expected to deliver despite the severity of the situation. They will find themselves dealing with stressed, traumatised, confused and perhaps angry staff members, and may also have to deal with family members.

Larry highlighted the following list of issues which critical staff members will face:

- S**trategic Issues
- W**orkload Issues
- O**perational Issues
- R**elocation Issues
- D**isruption Issues

All of these issues, he explained, are high visibility contributors to the psychological and emotional stress generated by a major crisis.

Non-critical staff

In contrast, non-critical staff may feel will find themselves in a 'passive theme' where they may feel issues of disempowerment. They are recipients of the disruption caused by the incident, and may find themselves lacking direction during the crisis. They may experience levels of uncertainty and helplessness, feeling outside of the communication loop and more an observer than an active participant, as they had previously been in their 'business as usual' role.

Non-critical staff can act as a lightning rod for critical staff pressures, becoming a means of stress release - "Don't bother me now!" Previously approachable, the pressure of the situation may change this dramatically, which will further demoralise the non-critical staff.

Non-critical staff may feel adrift in the new location site, unsure as to where they fit in and feeling a diminished sense of value. This can be very ego-deflating as staff see themselves as only a small cog in a big machine. This can lead to anxiety about their future and job stability.

Families

Family members have a different perspective on the incident as they will see how the crisis has affected the staff member outside of the company environment. They may have to tackle issues of restlessness and low self esteem (particularly if they have been sent home). They may

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look to offload on their family as they are less likely to respond or react. The person may also become withdrawn. Normal domestic issues may become magnified. All of this could impact on the normal family processes and lead to increased stress levels for all family members.

Stages of Recovery

Larry defined the stages in the recovery process as follows:

- Survival *(Physiological)*
- Support *(Safety / Security)*
- Adjustment *(Belonging)*
- Reconciliation *(Resolution)*
- Recovery *(Balance)*

The first priority is survival, which involves physiological factors such as food, warmth, etc. Following this stage, the focus will be on support from a safety and security perspective. In the following weeks, there will be a period of adjustment, where things should be beginning to settle down, as the organisation returns to some form of normality and a sense of belonging returns. After this comes a period of reconciliation, where the person begins to accept that things have changed, for example, that there are new offices. The final stage is the recovery phase, during which the person will acknowledge that things will never be exactly the way they were before.

You should also factor in the potential for post event tension, Larry pointed out. Commonly, it is only when a workplace is back "on line" & fully functioning from a technical perspective that the repercussion on personnel is fully recognised. In the aftermath of a crisis, stress can produce troubling behavioural patterns. Managers need to be on the lookout for symptoms of "out of control" or stuffed emotions such as anxiety, panic, rage, mental confusion. Also self-destructive patterns including alcohol dependency, drug usage or domestic violence.

A further factor to consider is "scapegoating". Some incidents involving terrorism or crime can create finger-pointing & suspicion about who the culprits might be. The Media can draw attention toward certain groups or segments of the population which can raise tensions among employees. To prevent such situations, company leadership needs to be clear and direct about policies of discrimination.

Senior management must play a key role in dissipating tensions. Be open and supportive and offer staff the opportunity to come to you if they need help or counselling. People however may be afraid that if they do so it will reflect badly on how they are perceived – that they are not able to do their job.

Training & Exercising

Exercises offer a valuable experiential learning context, Larry explained, where the emotional & psychological impact of crises can be addressed and 'normalised'. This process can also help people to realize that they may react differently to the event than others. Ensuring that training is conducted across the company challenges the sense of disempowerment some workers experience in a crisis.

Building Human Aspects training into a BCM planning is not a luxury. Research shows that early intervention / response in dealing with the psycho-emotional impact of crises directly correlates with reported incidences of: (i) absenteeism, (ii) sick leave, (iii) decreased productivity issues, (iv) personal / professional conflict issues.

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Which way forward?

- Be sure that your BC Plan takes into account in your workplace: your staff
- Remember that a staff member may have family members who may be reacting to the incident and thus be an additional source of stress for the employee
- Be sure to have an EAP. Effective EAP's are a great resource for mitigating short & long term effects of trauma & crisis
- Provide training to your staff, enabling their participative response to a crisis
- Train managers & supervisors to recognise the signs and reactions of employees struggling towards recovery
- Ensure that supervisors, managers & heads of department have additional support for themselves. Your EAP may be able to help here

In the follow-up **Q&A session** the following issues were raised:

Q: What can you do to support non-critical people

A: By trying to involve as many people as possible down through the company in the training process, this can help reduce any sense of disempowerment. Such training at every level, while it can't stop anxiety, can help reduce it.

During a crisis it can be difficult to provide support to non-critical staff, as there may be other priorities, such as injuries, telephones, IT etc. Managers should be trained to check on staff, ask how they are, and try to personalise the process. They may not be able to help directly but it can draw them back into the process. Try to check up on them on a daily basis.

Q: How can you deal with tensions post recovery?

A: It is important to allow people to talk. Consider working with other people and organisations which may have been affected by the event (such as 9/11) – Traumatic bonding. These people will be more comfortable talking to each other as they have shared the experience. Talk through the event as part of any de-briefing process.

It is vital the companies allow space for this to happen. Talking will help people to normalise the problem and acknowledge that they are not alone in feeling the way they do. Build in the option of seeking external support.

Ensure that you conduct a post incident review.

It is very common that following a traumatic incident, people will consider leaving the organisation. It is important to make sure that the opportunity to talk through the incident is built into the BCM plan.

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Presentation 2

Case study – Working in partnership: Implementation and ongoing development of solutions that demonstrate a clear commitment to the Human Aspects of Business Continuity

Stephen Austin, UK Crisis Manager, Citi UK Consumer

Mandy Rutter, Clinical Manager, AXA ICAS

Mandy and Stephen opened by emphasising the fact that people are our most important asset. It is now becoming very clear following major disasters over the last few years, that addressing the 'human aspects' of a significant incident is of equal importance (if not more) as the traditional disciplines of Business Continuity, they explained. An often forgotten dimension of Business Continuity planning, it is therefore vital to understand the potential effects on staff and how they may respond to a traumatic event, in order to minimise long-term problems to the individual and the organisation. Plans for all their good intent will not themselves recover your business once things go wrong. Only people can do that.

It is therefore vital to get to grips with how people react and respond during a traumatic situation.

Given this fact, they then asked the simple question:

"How can we expect people to consider relocating to another site, to work additional hours / adopt differing shift patterns, and to work in a different way –adopting alternative or manual procedures

IF ...

We don't recognise the human aspects of Business Continuity, we don't look after people in adversity and we don't understand how people can feel, react and respond in the event of a traumatic situation?"

Case study

In 2001, EGG undertook a process to integrate people more effectively into their BCM plans. The company acknowledged that there was limited involvement with HR across the BCM programme. The HR director realised that in a crisis situation, everyone would look to them to resolve any potential staff issues, however, they may not be able to fully respond as expected by the business. This recognition of limitations by HR and a request then made of the BC Team prompted a change.

They began by considering bringing in external support and engaged the services of ICAS (as it was then), who then began talking to the employees to ascertain where help was needed.

Mandy explained that ICAS has previously focused on helping organisations in the aftermath of an incident to provide counselling and support. They would arrive after the incident and help those affected. The organisation began to consider ways in which they could help organisations to help themselves but putting in place measures that would enable them to tackle the impact of an incident on staff more effectively. They began to do much more preparation work in advance of a potential incident.

ICAS began by getting to grips with the culture within the organisation. She explained that in order to develop the human aspects of business continuity it is crucial to understand the:

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- Organisational culture
- Demographics of staff
- Expectations of staff during a crisis
- Organisational commitment to human aspects
- How much previous humanitarian underpinning to corporate decision-making?

What they discovered at egg was that the average age of staff was very low; it had a flat hierarchical structure; there were good levels of communication facilitated by the fact that all staff were on the same floor in an open plan office.

Having attempted to grasp the group dynamics, ICAS began to construct a plan that would sit well with the egg culture. To do this they involved the HR department in the development.

In attempting to ascertain how egg staff might respond during a crisis, it was necessary to consider the impact of a trauma from three different perspectives: physiological, psychological and relationships.

From a physiological perspective, in a crisis our initial reaction is driven by adrenaline which makes us act but reduces the effectiveness of the part of the brain that helps us think. Your first response is often to flee while your position may require you to stay and help. If people are aware of the fact that they will potentially have these feelings during a crisis they will be better placed to manage them.

Another chemical which is released is called oxytocin, which is a bonding hormone. It encourages us to talk and bond with those around us. This hormone is however restricted by testosterone, which is why men and women sometimes respond differently in traumatic situations.

In considering what staff need in a crisis, Mandy cited the findings of a survey of high risk occupational groups (Orner et al 2003):

- 80% of employees wanted to talk to someone about the incident
- 71% prefer to talk to colleague
- 72% prefer to talk to someone close to them
- 9% prefer to talk to independent professional
- 85% prefer to talk in free and flexible manner

About 10% she added will want to receive professional help.

A first response training programme was launched, which was rolled out across egg over a two-year period. It was designed to equip staff with the skills and abilities to support people safely and appropriately during a crisis. They chose people who were not BCM managers, but rather those with good communication skills, such as PAs, HR staff and Comms people. They were trained to listen to people more effectively and to ask the right questions.

Stephen explained that this new model enabled them to embed the human aspects of BC into the programme. Since 2001, AXA ICAS has trained over 50 staff covering all sites. These staff members proved invaluable when egg was faced with the challenges of 7/7. Provided the organisation with extra eyes and ears across the company as it dealt with the crisis. A re-launch of the First Response training programme is imminent within Citi UK Consumer (Citi acquired egg in May 2007).

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Other examples of how the organisation is seeking to enhance the Human Aspects of BC include:

- Embedding it within Crisis Management at Strategic, Tactical and Operational Level:
 - Bespoke HR Recovery Support Teams
 - Integral to exercises
- Crisis Leadership Training
- Other staff related training delivered by AXA ICAS

In summary, they reemphasised the fact that organisations should never forget that people are their greatest asset, and by ensuring that people are a key component of your BC plans you are clearly recognising and demonstrating your commitment to this fact both internally and externally.

Part Two – The Discussion Exercises

Session 1 - “Why Plan for People?”

Presentation

Richard Bridgford and **Philippa Cox** highlighted the importance of people in Abbey’s BC plans, a point which was emphasised by the prominent role played by HR in the make-up of the organisation’s crisis management team. The pair outlined the steps which Abbey have taken to ensure that people are central to their plans, before Philippa provided a series of practical examples which demonstrated the role played by HR in the BCM context.

Discussion exercise 1

BCM and HR – Working Together

In the first discussion exercise of the Workshop, participants were asked to consider how the BCM manager and the HR manager can work together effectively in the development and delivery of an effective BCM programme. Each table considered the ways in which the BCM team need HR to interact with the planning, testing and delivery of the plans, while also examining how HR view BCM in relation to their role, before considering how the two disciplines can best work together.

The results of the discussion exercise were as follows:

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Where can, and how should, BCM and HR be working together?

Integrating the disciplines

- HR must play an integral role in every part of the planning, testing and delivery of the BCM plan
- HR should take ownership of the people-related elements of the BCM plan
- A review of the roles and responsibilities of the HR team should be conducted to establish those areas where there is overlap with the BCM team
- A HR representative should be selected to liaise with the BCM team
- HR and BCM representatives should meet on a regular basis to discuss progress and any new issues
- If HR involvement in BCM is a new step, HR should be invited to review the existing to ascertain whether they are deficient in relation to people
- HR can play an important role in assessing and defining key roles and responsibilities within the BCM plans and in particular in selecting people to fill those roles and meet those responsibilities
- HR can help BCM in establishing lists of critical staff members in the event of a crisis
- HR should be involved in devising training and rehearsal scenarios

HR should help devise and implement plans to include BCM related elements in staff induction procedures.

Spreading the BCM word

- Due to the higher profile of HR than BCM in many organisations, HR can play a vital role in raising BCM issues at a higher rung on the corporate ladder

HR can play a key role in pushing BCM into other areas and divisions within the company as they have a central function and are much more 'visible' at all levels within the company

Managing change

- The HR team should work with the BCM team to make sure that they are fully up to speed on the organisation's policies and procedures relating to staff
- HR and BCM should work together to ascertain how these policies and procedures may need to be adapted in the event of an incident
- HR should advise BCM on the potential legal implications of making any changes to
- policies or procedures

If required in a relocation situation, HR should be involved in any contract amendments that may be required or temporary contract which are established

Gathering information

HR should provide BCM with people-related data, including contact details, medical requirements, next of kin information etc.

Practical aspects

- HR should be involved in the practical aspects of planning for people in a crisis, including establishing stores of necessary equipment and food and arranging travel plans
- HR should be involved in devising plans for supporting staff during and after a crisis, including counselling and first aid
- HR should assist in setting up and manning an incident help line

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- HR and BCM should work together to establish how best to facilitate an easy transition if people are required to relocate following an incident
- HR should be involved in any liaison with the emergency services
- HR should be involved in any liaisons with trade unions

Session 2 - “People Issues as Drivers for BCM”

Presentations:

Philip Bundy explored the legal framework which underpins an organisation’s duty of care, including the Health and Safety at Work Act 1974, Management of Health and Safety at Work Regulations 1999 and Corporate Manslaughter and Corporate Homicide Act 2007. He then considered the duty of care-related issues which may arise if a company was affected by an avian flu pandemic.

Malcolm Cornish and **Kim Jenkins** examined people in the context of BS 25999 Parts 1&2. They highlighted the BCM personnel definition contained within the standard and considered the processes required to define and document all of the BCM roles, responsibilities and competencies. In two separate group exercises, they invited participants to list all of the types of people they would expect or like to see involved in a BCM team and to complete a “competency” worksheet for each of these team members which considered their responsibilities, competencies and training.

Discussion exercise 2

“People Issues as Drivers for BCM”

In the second discussion exercise of the Workshop, participants were asked to think about the people-related factors that influence and shape your BCM programme. Delegates were asked to consider issues such as: How does an effective BCM programme improve the working environment? What are the economic consequences of failing to care for people? What are the social and environmental (CSR) benefits of your BCM programme? They were then asked to identify the most significant benefits and work out how the case for greater investment in the people aspects of BCM planning might be made on this basis.

The discussion produced the following list of benefits:

Making the case for people in BCM plans

- ✓ People are the most important asset in any company and must be protected accordingly
- ✓ When systems fail it is people that you must rely upon
- ✓ Ensuring that people are adequately trained to respond effectively in the face of a major incident can be the difference between a company surviving and a company failing
- ✓ There is a duty of care on organisations to ensure that their employees are able to work in an environment where their safety is a priority

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- ✓ Organisations have a legal responsibility to provide employees with a safe working environment – failure to do so can result in severe penalties and criminal charges
- ✓ By ensuring that all reasonable efforts are made to ensure that employees are safe, this will provide sturdy protection in the face of any potential litigation
- ✓ Failure to adequately care for staff if exposed can result in major reputational damage
- ✓ By providing a secure environment in which to work, this can enhance staff motivation levels and thereby create a more productive environment with reduced levels of absenteeism
- ✓ Failure to provide adequate protection for staff in your BCM programme could mean that in the aftermath of an incident due to reduced staff numbers you are unable to meet output targets and customers are therefore affected
- ✓ By having considered and identified people critical to particular processes within your organisation, and established deputies for these posts, you will be in a much stronger position to effectively handle a major incident. Having this knowledge across the organisation can enable you to mobilise staff from other divisions unaffected by the event to provide support
- ✓ Such an environment can result in greater efforts by staff to get a company back up and running in the aftermath of an incident
- ✓ By providing sufficient levels of care both during and after an event this can dramatically reduce the length of time that staff are off work as a result of the incident
- ✓ Employees will feel valued by the company and this will increase staff retention levels
- ✓ By promoting the fact that your company provides such an environment it can serve to attract talent to your organisation
- ✓ Such measures can provide organisations with a competitive advantage
- ✓ It can encourage a more proactive involvement on the part of employees in your BCM activities.

Session 3 – “Managing and Motivating during Recovery”

Presentation

Recovery Planning is all about People

John Sharp's presentation focused on the importance of people in the context of recovery planning. In a very practical-orientated discussion, John provided a checklist of key points to consider when relocating staff to a recovery centre. These included issues relating to travel, catering, health & safety, toilets, communication, social spaces, disabled staff and religious requirements.

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Session 4 - “Psychological Impact of Disruption”

Presentations

Larry McGonnell examined the potential psychological impact of a major trauma on staff, both from the perspective of critical business continuity members tackling the incident, and regular staff members. He broke down the stages of recovery in the aftermath of an incident, and emphasised the importance of training as a mechanism where the emotional & psychological impact of crises can be addressed and ‘normalised’.

Steve Austin and **Mandy Rutter** provided a case study which focused on the implementation and ongoing development of solutions that demonstrate a clear commitment to the human aspects of business continuity. The case study related to EGG, which in 2001 undertook a process to integrate people more effectively into their BCM plans.

Discussion exercise 3

“Top Tips for Recovery Planning”

In the third and final exercise of the Workshop, participants were asked to draw upon their experience of testing, exercising and conducting actual recovery events to compile a list of ‘top tips’ for managing, motivating and respecting the interests and welfare of employees and others involved in the recovery processes as drafted in their BCM plans. The discussion produced the following list:

1. Review staff contracts to make sure that they include clauses relating to working off site
2. Review the recovery site facilities to ensure that they are adequate for your requirements – consider technology, on site facilities, travel arrangements, car parking, security, health & safety issues etc.
3. Consider whether the site will cater for disabled staff members
4. Conduct regular rehearsals to familiarise staff with the site or if not possible make staff aware of the existence of the site, outline the facilities available, details of where it is located and photographs of the location so that they have a degree of familiarisation with it
5. Establish clear objectives, roles, responsibilities and expectations during the exercises
6. Identify possible stress factors and put in place plans to either pre-empt and avoid or to tackle when they occur
7. If possible, consider establishing a rota system so that if the invocation lasts for a long period of time, staff at the site can be rotated
8. Make sure that HR play a prominent role in both training and during an actual invocation at the recovery site
9. Consider how you will interact with suppliers and service providers while located at the recovery site
10. Consider how you will manage both incoming and outgoing postage at the new site
11. Consider short-term incentives to motivate staff at the recovery site, such as competitions, comfort food etc
12. Find out who else may be using the site and ascertain what the impact may be on the facilities of multiple invocations
13. Plan for flexibility in people’s work schedules to allow them to deal with travel, family or personal issues
14. For those who find it difficult to reach the new site consider providing hotel accommodation near the facility
15. Consider whether external caterers will be required to feed staff at the site

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16. Make sure that all of the technology in place at the recovery site is fully operational before staff arrive, including computers, telephones, fax machines, printers, coffee maker etc.
17. Include familiar faces at the site, including receptionist, security and cleaners where possible
18. Consider how you will store confidential material at the site
19. Make sure that all telephone calls have been diverted to the new site, and that they have been diverted to the correct person
20. Conduct regular meetings between senior management and the BCM team
21. Update staff regularly on progress relating to the incident itself and the timeframes for returning to the original premises and re-establishing business as usual
22. Conduct handover meetings to ensure the smooth return of operations to the original premises
23. Conduct regular health and safety-related meetings
24. Make sure that senior managers are visible at the site – talk to staff about their thoughts on the event that has happened and how they are finding the new facilities
25. Consider providing counselling services for staff and the facilities necessary for this – if it is not possible to have such counselling onsite, consider using offsite facilities or providing a telephone counselling service
26. Do not forget about the ‘non-critical’ staff who have not been moved to the new site – are plans in place for working from home and if so have you considered potential health and safety issues. Also make sure that they are involved in the communications loop.
27. Consider training your line manager in motivational techniques so that they can motivate staff at the recovery site
28. Do not be afraid to consider creative responses to overcome any unexpected hurdles that may arise
29. Establish clear communication channels both internally with staff and senior management, and externally with shareholders and press
30. Make sure that communications are consistent and as informative as possible – provide clear guidelines and instructions where required
31. Provide means for people to highlight any problems they may be experiencing in the new site and where possible try to solve these as quickly as possible
32. Put in place plans to reward staff for their cooperation during the invocation following a return to the office – this might include a party, weekend breaks or a team day out
33. Celebrate any milestones or successes achieved while at the recovery site
34. Consider the needs of the family of your staff members and consider providing services such as dry cleaning, fresh water which can be used by family members to incentivise staff
35. Take steps to reiterate the valuable role which employees play in the on-going success of the company – make sure that they feel valued and an integral component of the organisation
33. Make sure that information is captured during the invocation period which can be analysed after the event.