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OPERATIONAL CONTINUITY MANAGEMENT

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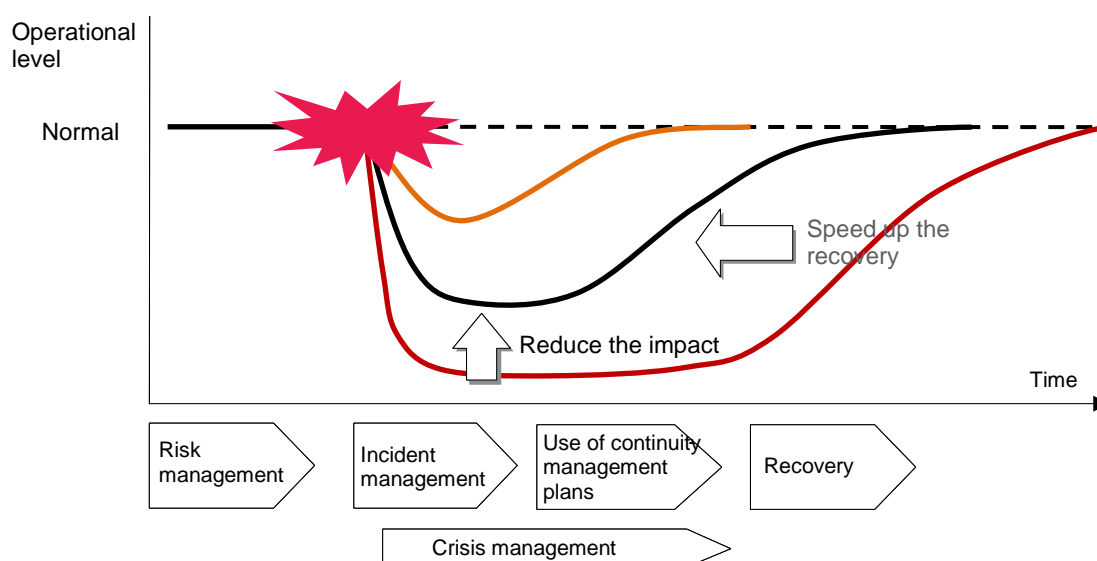
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1 Introduction

Guidelines for operational continuity management are intended to encourage and facilitate business enterprises and government organizations to strengthen operational preconditions and to safeguard the factors of production.

By complying with the recommendations, a company or government organization may on the one hand develop its capacity to prevent disruptions and on the other hand to reduce the effects of a disturbance on operation and speed up recovery from the effects of the disturbance.



Picture 1 Concept of incident preparedness and operational continuity management

Guidelines for operational continuity management are appropriate for both business enterprises and government organizations.

Operational continuity and continuity planning are features of normal high quality operation within companies and public authorities. Guidelines set the baseline for operational continuity and incident management. The aim is that as many organizations as possible develop their activities in such a way that the basic level is met. In this case, the resilience of a network built up of such actors is also improved in various threat situations and disturbances.

Guidelines for operational continuity management consist of common determinants suitable for all operators. Certain individual services may have operational continuity requirements that fall outside the scope of these general guidelines. These requirements should be included in the agreement of that service.



2 Scope

Guidelines for operational continuity management are intended for compliance by Finnish companies and government agencies.

Guidelines are to be complied with as referred to in a contract.

Requiring commitment to the guidelines in the tenders for service contracts from at least primary suppliers as well as their subcontractors and partner entities improves reliability.

Guidelines for operational continuity management can be referred to and guidelines can be set to cover the whole service production network in tenders and contracts.

Compliance with the guidelines for operational continuity management and the improvement of operations are supported with activities such as the maturity analysis of security of supply (HUOVI).

3 Guidelines for operational continuity management

Operational continuity planning is an integrated process driven from the top of the organization aiming, first, to prevent disruptions and, second, to reduce the impacts of a disruption to operation and secure the recovery of the organization's critical activities as quickly as possible after the disruption.

Operational continuity planning sets up a strategic and operational approach for an organization to enhance its own endurance against disruptions and thus improving its own production capabilities. Continuity planning serves the organization to achieve its short-term as well as long-term operational and business objectives.

The term "operational continuity planning" is used in the recommendations instead of "business continuity planning", since it has a wider meaning and thus creates the basis for use of the guidelines to improve activities in all kinds of organizations.

3.1 Leadership

The activities of the entire management create clarity and consistency in the continuity and preparedness planning process and moreover an environment where the management and personnel through all levels of the organization are aware of their responsibilities in preventing and managing serious incidents and disruptions.

Management organizes continuity planning and determines priorities within it.

Management improves, implements and monitors continuity management and its development. It will assess the ability to manage serious disruptions.

Management determines the objectives of continuity planning. Objectives are defined by analyzing both the business needs and customers' and other stakeholders' needs. Legal obligations shall be taken into consideration when setting the objectives.



The key role of the management is to establish the best possible conditions for the organization to be able to serve an ever-changing society. Management strives for opportunities to innovate and improve.

Recommendations on leadership and management

Strategic guidance

- Recommendation 1: **The organization has identified essential elements, constraints and dependencies that guide its continuity and incident management processes related to core functions and processes**
- Recommendation 2: **Continuity management requirements set by the core operational functions and processes have been determined**
- Recommendation 3: **Management requires that the organization plans continuity management of core functions and processes and critical support functions and processes**

Organization and Resourcing

- Recommendation 4: **Continuity management is organized and responsibilities defined as part of normal management, operation as well as management of the partnership network**
- Recommendation 5: **Responsibilities in coordination of continuity planning have been defined**
- Recommendation 6: **Resources with respect to continuity management have been made available**

Coordination of cooperation

- Recommendation 7: **Continuity management planning is implemented in coordination with the core and support functions**

Communication with stakeholders and reporting to management

- Recommendation 8: **The Communications and reporting responsibilities and approach to the key stakeholders have been defined and organized**
- Recommendation 9: **The management of the organization follows development of the continuity management, continuity planning as well as the impact and costs of measures**

Incident management

- Recommendation 10: **Incident management is organized and instructed and taken into account in operational models**

3.2 Operational control

The strategic planning process of the organization covers anticipation of serious disruptions. The organization's risk analysis focuses on both the internal and external operating environment. Risk analysis of critical functions and processes covers the risks of the organization's own activities as well as the risks of stakeholder activities. The



prioritization of risks to core and support functions and processes serves to guide the development of continuity management. The improvement of continuity management and preparing for abnormal conditions takes into account statutory obligations.

Management takes into account the improvement of continuity management as part of strategic planning.

Operational procedures and necessary technical solutions as a means of continuity management are developed to manage disruptions and are documented as per the operational continuity plan.

Management evaluates the consequences of disasters and makes decisions to improve capabilities.

Recommendations on operational control

Impact of the operational environment

Recommendation 11: **The interaction between the organization and its operational environment is taken into account in functions and processes**

Developing activities based on risk assessment

Recommendation 12: **Regular risk management procedures are in place**

Recommendation 13: **The results of the risk management process guide the development of continuity management**

Setting of objectives

Recommendation 14: **Measures to manage operational continuity support the objectives of the organization's core functions and processes**

Managing partners and suppliers

Recommendation 15: **Continuity management of services has been designed and agreed with partners and suppliers**

Incident management

Recommendation 16: **Specific procedures for incident management are designed**

Recommendation 17: **Crisis Communication procedures have been designed and practiced**

Recommendation 18: **Control guidelines for disruption management of critical activities have been prepared and trained and operation has been tested in exercises**

3.3 Personnel and human resources management

The staff constitutes the organization and is its most important asset. The way in which workers cooperate with each other and use existing resources will ultimately ensure the success of the organization.



The organization facilitates and supports the development of the competencies of the staff. The organization steers and trains the staff to work during major disruptions.

This will support the implementation of strategies and plans, and operational efficiency.

The activities of skilled personnel during disturbances are significant to the continuity of the organization. Individuals play key roles.

The organization creates opportunities for individuals to continually develop their skills, take responsibility and be proactive.

Improvement of continuity management is a joint effort to be done in cooperation between core functions and their support functions.

Human resource management has an important impact on human activity and motivation. Executives and managers of all levels carry this responsibility.

Recommendations on personnel and human resource management

The development of competence and awareness

Recommendation 19: **Role or task-based requirements for competencies related to continuity management are set, skill levels are known and developed**

Recommendation 20: **The organization encourages the staff to follow up and develop good practices in continuity management and information security**

Recommendation 21: **The organization has an agreed method in relation to control, security incidents and abuse situations**

Human resources and task management

Recommendation 22: **Key roles and key individuals have been identified and alternate arrangements are designed**

Recommendation 23: **The makeup of the staff and its use is designed to meet the minimum requirements of the continuity management of the core functions**

3.4 Partnerships

Critical production and activities of an organization need internal and external partnerships and resources.

Partners are used to support the organization's activities.

Resources such as facilities, technology, are needed to ensure efficient operation.

The activities of partners are important to the continuity of an organization.



The organization establishes processes to manage disasters in cooperation with a partner. The organization is responsible for ensuring the availability of an alternative partner.

Development of continuity management is realized in cooperation between the partner and the organization's core functions and, where appropriate, their support functions.

Governing partnerships has a major impact on the activity and motivation of people in charge of uninterrupted operation. The responsibility for this governance lies with the executives and managers in charge of the organization's partner activities.

Recommendations on partnerships

Contract management

Recommendation 24: **Partners, suppliers and resources critical to the organization's production have been identified**

Recommendation 25: **Requirements for the implementation of operational continuity management are included in agreements**

Recommendation 26: **The obligation of critical operational continuity management has been extended to cover the network of key suppliers**

Ensuring activities and functions during special circumstances

Recommendation 27: **Cooperation with partners to manage incidents and disruptions is organized and responsibilities are defined**

3.5 Evaluation of operational continuity management

Various assessments are regularly used to monitor operational continuity planning and its effectiveness. Evaluations can be made either by self-assessment or they can be given to a third party.

The HUOVI portal system developed by the National Emergency Security Agency supports the organization's self-assessments and the system should be actively used when improving the organization's activities and functions.

The tasks of setting up responsibilities in and monitoring of evaluations and any follow-up also belong to the organization's top management.

Recommendation on operational continuity management assessment

Recommendation 28: **Implementation and appropriateness of operational continuity management are monitored and evaluated**



4 Costs of operational continuity management

Companies' business interests drive their need to safeguard their operations. Top management will make improvement decisions on the basis of, for example, risk, impact and cost-benefit analysis.

Companies' preparedness for disruptions in normal conditions and abnormal conditions is based either on statutory obligations or on the company's own discretionary activities.

The costs to implement recommendations on operational continuity management at the basic level are included in normal performance improvement.

5 Internal Communications

The organization's own staff shall be informed of the organization's continuity plans and procedures to a sufficient extent to meet the objectives.

Internal communication is designed to promote the staff to take into account the objectives of operational continuity in its own actions. Communications must be planned so that the staff understands the organization's continuity planning and its importance in the organization's activities. Special attention is paid to operational continuity-related incidents.

Communications must take into account any confidential detail in operational continuity whose disclosure to all staff would be inappropriate.

6 Terms and definitions

6.1 vital function

The collective term for measures vital to the functioning of society. Securing the functions vital to society helps maintain national sovereignty, security in society as well as the livelihood of the population. Functions vital to society are:

- management of state affairs,
- international activity,
- national military defense,
- internal security,
- the functioning of the economy and infrastructure,
- the population's income security and capability to function, and
- psychological crisis tolerance.

[YETT]

6.2 special situation

A sudden or unexpected threat or event in normal or emergency conditions which may jeopardize the security of society or the livelihood of the population, and which may require non-standard management and communications.

[YETT]



6.3 **security of supply**

society's capability to maintain the basic economic activities that are indispensable for safeguarding the population's living conditions, for sustaining the functioning and security of the society, and for maintaining the material preconditions for defense in the case of serious disturbances and emergency situations.

[HVK]

6.4 **The Act on Safeguarding Security of Supply**

Government decision on the targets of security of supply 21.8.2008

6.5 **disruption**

counter-productive fluctuation of a constituent in an activity, in spite of which action may still largely continue

[HVK, VAHTI]

6.6 **continuity management**

all actions aimed at operational continuity. Continuity planning is the most important part of continuity management.

Continuity management consists of strategic and tactical activities approved by the organization's top management by which the organization is prepared to manage incidents in order to continue operations at an acceptable predefined level.

6.7 **continuity**

condition in which activities can be maintained in spite of various disturbances

6.8 **continuity plan**

Package of plans that defines the responsibilities and measures to manage a situation during and after a serious disruption.

6.9 **threat scenario**

A general description of abnormalities in the security environment which, upon materializing, possibly impinge on security.

[YETT]

The threat scenarios included in the Strategy for Securing the Functions Vital to Society are:

- a disturbance in the electricity grid
- a serious disturbance affecting health and income security of the population
- a serious disturbance in the functioning of the economy
- major accidents and natural disasters
- environmental threats
- terrorism as well as organized and other serious crime
- threats linked to migratory flows
- political, economic and military pressure, and
- the use of military force.

6.10 **preparedness**

activities to ensure as smooth management of operations as possible in all security situations



[VVS]

6.11 obligation to prepare

obligation to ensure one's own operations in various disturbances and abnormal circumstances

[HVK]

6.12 The Strategy for Securing the Functions Vital to Society (YETTS, YETT strategy)

The Government Resolution on The Strategy for Securing the Functions Vital to Society, November 23, 2006

The Government Resolution defines society's vital functions, determines their desired end states and improvement policies. These policies guide all administrative sectors in administering their strategic tasks in all security situations. The Government and each competent ministry, within its mandate, shall steer, monitor and coordinate the measures of securing the functions vital to society.

[Puolustushallinnon keskeisiä käsitteitä]

7 Entry into force

These recommendations have been approved by the Council for Security of Supply and Infrastructure on May 15, 2009. The Council recommends the adoption of the guidelines by both industry and government organizations.

These guidelines can be adopted immediately after they have been published.