

*NIAO Business  
Continuity Plan  
Version 2.7  
December 2018*

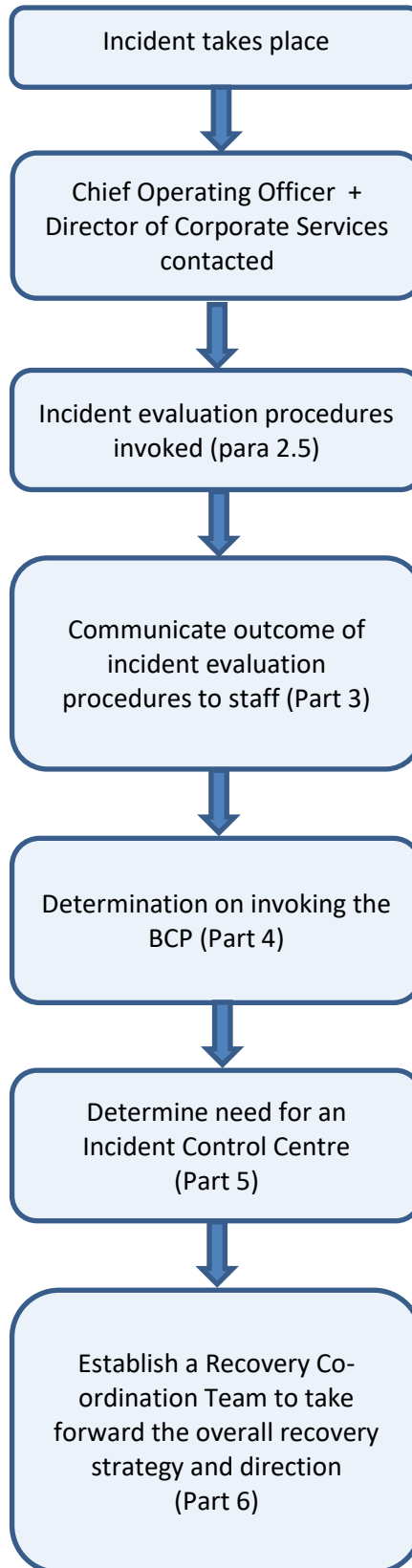
## Version History

Version	Description Changes	Date	Reviewed by
1.0	Major revision and reissue	March 2014	J Sides
1.1	Update to contact details, page numbering and additional cross-referencing	June 2014	J Sides
2.0	Clusters/staff changes	April 2015	J Sides
2.1	Instructions streamlined	September 2015	J Sides
2.2	Minor updates to: <ul style="list-style-type: none"> <li>• contact details</li> <li>• updated floor control officers</li> <li>• names of executive departments</li> <li>• names of clusters.</li> </ul> <p>Removal of MLA details – will require further update following election.</p>	April 2016	J Sides
2.3	Minor updates to: <ul style="list-style-type: none"> <li>• running order of process</li> <li>• contact details</li> <li>• update of MLAs</li> </ul>	September 2016	J Sides
2.4	Updates following BCP exercise conducted 21 <sup>st</sup> March 2017 including introduction of SMS communication	June 2017	J Sides
2.5	Updates following VES and corporate restructuring – COO to replace AAG function	March 2018	P McCreedy
2.6	Updates following walkthrough exercise 31/07/2018 <ul style="list-style-type: none"> <li>- enhanced clarifications</li> <li>- include contact re tribunal staff</li> <li>- verification of FSOs</li> <li>- update text contact details</li> <li>- clarification on IT Assist BCP arrangements</li> <li>- identification of need for MKI recovery testing</li> </ul>	August 2018	P McCreedy
2.7	Update to contact details	December 2018	P McCreedy

## List of Abbreviations

<b>BCP</b>	Business Continuity Plan
<b>C&amp;AG</b>	Comptroller and Auditor General
<b>COO</b>	Chief Operating Officer
<b>CSB</b>	Central Services Branch
<b>DoF</b>	Department of Finance
<b>FCO</b>	Floor Control Officer
<b>ICC</b>	Incident Control Centre
<b>IMT</b>	Incident Management Team
<b>PA</b>	Public Address
<b>RCT</b>	Recovery Co-ordination Team
<b>SMS</b>	Short Message Service
<b>SMT</b>	Senior Management Team

## NIAO Business Continuity Plan Key Action Points



# NIAO BUSINESS CONTINUITY PLAN

## 1. Overview

### Objective

- 1.1 The Business Continuity Plan (BCP or Plan) provides a framework for the Northern Ireland Audit Office (NIAO) and its Incident Management Team (IMT – see **Annex 1**) to deal with unpredictable events that disrupt the work of the NIAO including events that could render NIAO premises at University Street unusable. The responsibilities of the IMT are set out in **Annex 2**.
- 1.2 The key objective of the Plan is to provide a framework of actions which will ensure that NIAO responds to any incident in an efficient and effective manner and enable it to restore its core business if any interruption should occur.

### Scope

- 1.3 This Plan covers all NIAO business activities: Comptroller function, audit activities and support services (but excludes IT services, which are provided by IT Assist – see section 8).

### Ownership

- 1.4 This Plan is owned by the NIAO Senior Management Team (SMT), which includes the Comptroller and Auditor General (C&AG). The Chief Operating Officer (COO) has overall responsibility for ensuring annual review and maintenance of the BCP and for authorising the release of new versions after any significant change to the environment and/or risks to the environment.

### Copies

- 1.5 Under current practice, two copies of the BCP are issued to each staff member identified on the distribution list set out at **Annex 3**. One copy should be kept at work and the other at an off-site location. All members of the IMT who have been allocated tablets should download a copy of the BCP for ease of access.
- 1.6 A paper copy is filed in a fireproof cabinet in the Central Services Branch (CSB).
- 1.7 A copy of the BCP and one-page summary sheet are held on the NIAO intranet (NIAOmi) which is accessible by all staff.

## Change Request

- 1.8 Any changes to this Plan must be approved by the COO, using the form appended at **Annex 4**.
- 1.9 **Change Control:** Any changes to the BCP must be proposed, in writing, via one of the members of the IMT to the COO. These changes will be considered and applied where appropriate.
- 1.10 **On Receipt of Updated Copy:** Key personnel must dispose of all obsolete material.

## Assumptions

- 1.11 The following assumptions are made:
- Emergency procedures, such as fire drills, remain extant.
  - The emergency services, including Police Service for Northern Ireland, Northern Ireland Fire and Rescue Service and the Northern Ireland Ambulance Service retain primacy in the immediate response to any incident requiring their services.
  - The members of the IMT may also have to perform their regular day-to-day duties in addition to the demands of this BCP.

## 2. BCP Evaluation and Escalation

- 2.1 This exercise ~~plan~~ will be initiated by the COO who will assume responsibility upon learning that an alarm has been raised in relation to any of the following actual or potential incidents:
- fire
  - flood
  - severe weather damage
  - terrorism
  - structural failure
  - utility failure.
- 2.2 The incident management procedures will also ensure that appropriate immediate action required, such as an evacuation, is carried out in line with current policy (**see Annex 5**). If necessary, and where practicable, the NIAO SMT will be consulted on what action to take. The need for consultation will be dependent on the nature and scale of any incident.

## Incident Outside Working Hours

- 2.3 Should the incident occur when the office is closed the current key holder arrangements will be invoked to gain initial access and determine the extent of the incident. The alarm company (Chubb) will contact the security firm (G4S – the primary key holder), informing them of an incident. G4S will then proceed to the Office to investigate the matter. If it is minor in nature, they will deal with it, as appropriate, and produce a report for the Office. If

there is a major incident, in all likelihood the emergency services will already be in attendance. In such circumstances, G4S will contact the NIAO key holders (contact details at **Annex 6**).

- 2.4 If Chubb are unable to contact G4S when an alarm is raised, they will contact NIAO key holders directly. Both G4S and Chubb hold the contact details of these officers. All key holders are provided with instructions and training on accessing the building.

### **Incident Evaluation Procedures**

- 2.5 Where the incident is not of a minor nature, the following process should be followed:

1. The incident must be notified immediately to the Director of Corporate Services and COO by the security firm or the key holder, and preferably by telephone if outside working hours. (Contact details for key staff are at **Annex 6**.)
2. The Director of Corporate Services and the Chief Operating Officer will meet on site to assess damage to the building.
3. The Director of Corporate Services and the Chief Operating Officer will determine whether it is appropriate to call out the IMT (see **Annex 1**) immediately.
4. If the IMT is called out, responsible officers will initiate contact with relevant key parties (see **Annex 7**).
5. When the decision is taken to convene a meeting of the IMT, details of the venue and time will be communicated to all members by the Director of Corporate Services by SMS (text)/email/phone (all staff listed should have email/phone contact). (Email format is [firstname.secondname@niauditoffice.gov.uk](mailto:firstname.secondname@niauditoffice.gov.uk)) – see **Annex 6**).
6. The agenda for the meeting should be as set out at **Annex 8**.
7. The Director of Corporate Services will ensure that all relevant and available information on the situation, including that provided by emergency services, is available at the IMT meeting. This information should be collated on the Incident Assessment Sheet (see **Annex 9**).
8. Following this initial meeting the IMT will assume full managerial control of all subsequent remedial action.
9. The IMT will determine the initial response to the situation, which should include an assessment of staff welfare and the need to prepare any media statement (if appropriate).
10. The IMT will decide whether to invoke the BCP in full or in part (section 4). This will depend very much on the nature and anticipated duration of the incident.

11. If additional short term accommodation is required, a suitable member of the IMT should be appointed to carry out this exercise, seeking a site with requirements as set out in **Annex 10**. This will involve liaison with Properties Division, Department of Finance (DoF).
12. On site, security should be reviewed with the security supervisor (G4S).

### 3. Communicating with Staff

- 3.1 Key to maintaining the operational status of the Office in the event of a major incident is transparent and coherent communication with staff. There are various means through which the Office has the potential to communicate, even in such circumstances, for example:
  - SMS – a standard SMS application has been arranged through NIDirect for contacting the IMT and wider staff grouping (see **Annex 11**);
  - Email – all staff holding laptops at the time of the incident may utilise the facility of remote access from home or on audit location;
  - Ipads - all staff at Audit Manager grade and above hold these;
  - Personal mobile phones or telephones - **personal phone details are retained on PAMS system and will be made available through CSB**;
  - implementation of the Disaster Recovery Information Line (ext. 51097);
  - VOIP – with the introduction of the Voice Over Internet Protocol phone system, staff can access their phone across the NIGOV network;
  - Jabber, which provides the facility for staff to communicate by video call or text and provides a soft phone facility on laptops; and
  - The NIAO intranet.
- 3.2 Each of these options can be used, depending on the circumstances of the incident.
- 3.3 However, given that incidents can be of different levels of severity, and staff may or may not be on site when the incident occurs, the Office needs to have plans for different scenarios. Set out below are the various options for contacting staff in different circumstances:



	Premises unaffected	Premises affected
<b>Staff already on site</b>	Remain at desks. Do not go home or transfer off site until notified to do so.	Remain at the evacuation point until advised to go home or move to an alternative location.  Remain contactable.  Introduce Disaster Recovery Information Line (ext. 51097).
<b>Staff at work off site</b>	Contact staff by email/intranet.  Complete the assignment and return to Office afterwards or return immediately, if requested.	Contact staff by email/ intranet.  Complete the assignment and await further instruction.  Remain contactable.  Introduce Disaster Recovery Information Line (ext. 51097).
<b>Staff at home</b>	Contact staff by telephone if contact details available or by email.  Return to work as normal unless instructed otherwise.  Remain contactable.	Contact staff by telephone if contact details available or by email.  Do not return to work as normal, unless instructed otherwise.  Remain contactable.
<b>Staff on leave</b>	At line manager's discretion, may contact staff by telephone or email.	At line manager's discretion, may contact staff by telephone or email.

## 4. Invoking the BCP

- 4.1 This Plan will normally be invoked by the IMT if their initial assessment concludes that the incident severely threatens the delivery of NIAO business or significantly impacts upon staff welfare.
- 4.2 In determining the level of invocation, the IMT should consider the likely period of disruption. Options are set out below.
- **Short term disruption:** For incidents that are expected to last **up to five working days**, Corporate Services will generally arrange restoration of normal services, and the Disaster Recovery Information Line will be activated to convey operational status and other messages to NIAO staff. It is unlikely that an Incident Control Centre (ICC) will be established (see Section 5). All staff will be contacted through SMS using a single group set up on NIDirect for such an event (see **Annex 11**), or other alternatives as set out in Section 3.
  - **Medium term disruption:** This applies to incidents that are expected to last **from five working days to one month**. The BCP will be activated, an ICC will be established (see Section 5) and the IMT will assemble there. If accommodation additional to the ICC is required, a checklist is provided (**Annex 10**) that identifies the tasks to be carried out by the IMT. All staff will be contacted through SMS using a single group set up on NIDirect for such an event (see **Annex 11**), or other alternatives as set out in Section 3.

- **Long term disruption:** This applies to incidents / events that are expected to last **more than one month**. The BCP will be activated, an ICC will be established (see Section 5), the IMT will assemble there, and alternative accommodation will be sought for re-establishment of business activity, applying the checklist as set out in **Annex 10**. All staff will be contacted through SMS using a single group set up on NIDirect for such an event (see **Annex 11**), or other alternatives as set out in Section 3.

- 4.3 The assessment of the duration and severity of an incident can only be made on the information collected during the incident evaluation process. No two incidents will be the same and the considerations and suggested responses outlined above should be used as a guide only.
- 4.4 Once the decision has been taken to invoke the BCP, the IMT will decide upon the direction, priorities and scope of remedial action required. Given that there are resource implications in invoking the BCP, these decisions should be made at SMT level, taking into consideration advice and guidance provided by the IMT.

## 5. Establishing the Incident Control Centre

- 5.1 As set out in section 4.2, in the event of an incident arising which results in this BCP being invoked, it is advisable to establish an Incident Control Centre (ICC).
- 5.2 In such an event, Properties Division (DoF) will be contacted to obtain temporary accommodation for the ICC. As well as meeting the basic requirements of health and safety, a location providing connectivity for 10-20 staff should be sought.
- 5.3 The IMT will be located on these premises. The remaining staff will be located at this location, audited bodies' premises or work from home. Following the allocation of accommodation a meeting of the Incident Management Team will be convened at the ICC.

## 6. Stabilisation and Recovery

- 6.1 The IMT should identify a Recovery Co-ordination Team (RCT) to take forward the overall recovery strategy and direction. The work of the RCT will be overseen by the **COO**. Whilst general consensus on decisions is desirable, the RCT must ensure that critical recovery activity is not delayed by prolonged discussions.
- 6.2 The RCT will:
- take over from the invocation stage of the BCP;
  - initiate the stabilisation stage, determining the timescales, resources and activities required to recover to normal service levels;
  - initiate resumption of the business; and
  - consolidate all actions into full recovery.
- 6.3 Throughout the whole process contact will be maintained with staff as set out in **Annex 11** and through the use of the emergency number (ext 51097).

## 7. Unavailability of the Comptroller and Auditor General

7.1 In the event that the C&AG is not available to cover his statutory duties, the Audit (Northern Ireland) Order 1987, Schedule 1, Part II, paragraph 4(1) will apply:

*“Exercise of functions of Comptroller and Auditor General by staff*

4.(1) Subject to sub-paragraphs (2) and (3), anything which under any statutory provision is required or authorised to be done by the Comptroller and Auditor General may be done by a member of the staff of the Northern Ireland Audit Office authorised for that purpose by the Comptroller and Auditor General.

(2) An authority given under sub-paragraph (1) to certify and report on accounts for the Assembly:

(a) shall extend only to accounts in respect of which the presiding officer of the Assembly has certified to the Assembly that the Comptroller and Auditor General is unable to do so himself; and

(b) shall cease on a vacancy arising in the office of Comptroller and Auditor General.”

*Sub-para.(3) rep. by 1998 c. 47*

7.2 The C&AG advises the speaker of his nominated deputy in respect of 4(2) (a template letter is set out at **Annex 12**). In the event of the circumstances arising, the Office will request the speaker to action 4(2)(a).

## 8. IT

8.1 The Office’s IT services, are outsourced to IT Assist and are subject to its own BCP. Nevertheless, we have sought assurances that an annual business continuity desktop exercise was completed by IT Assist for 2017/18 financial year (1<sup>st</sup> December 2017).

8.2 This was conducted by external consultants who are fully accredited business continuity practitioners, who provided an impartial, independent service. We also received both:

- a PSN connection compliance certificate which confirmed that the IT Assist infrastructure is sufficiently secure; and
- an Assurance Accreditation Certificate confirming that the Risk Management and Accreditation Document Set (RMADS) meet current security requirements.

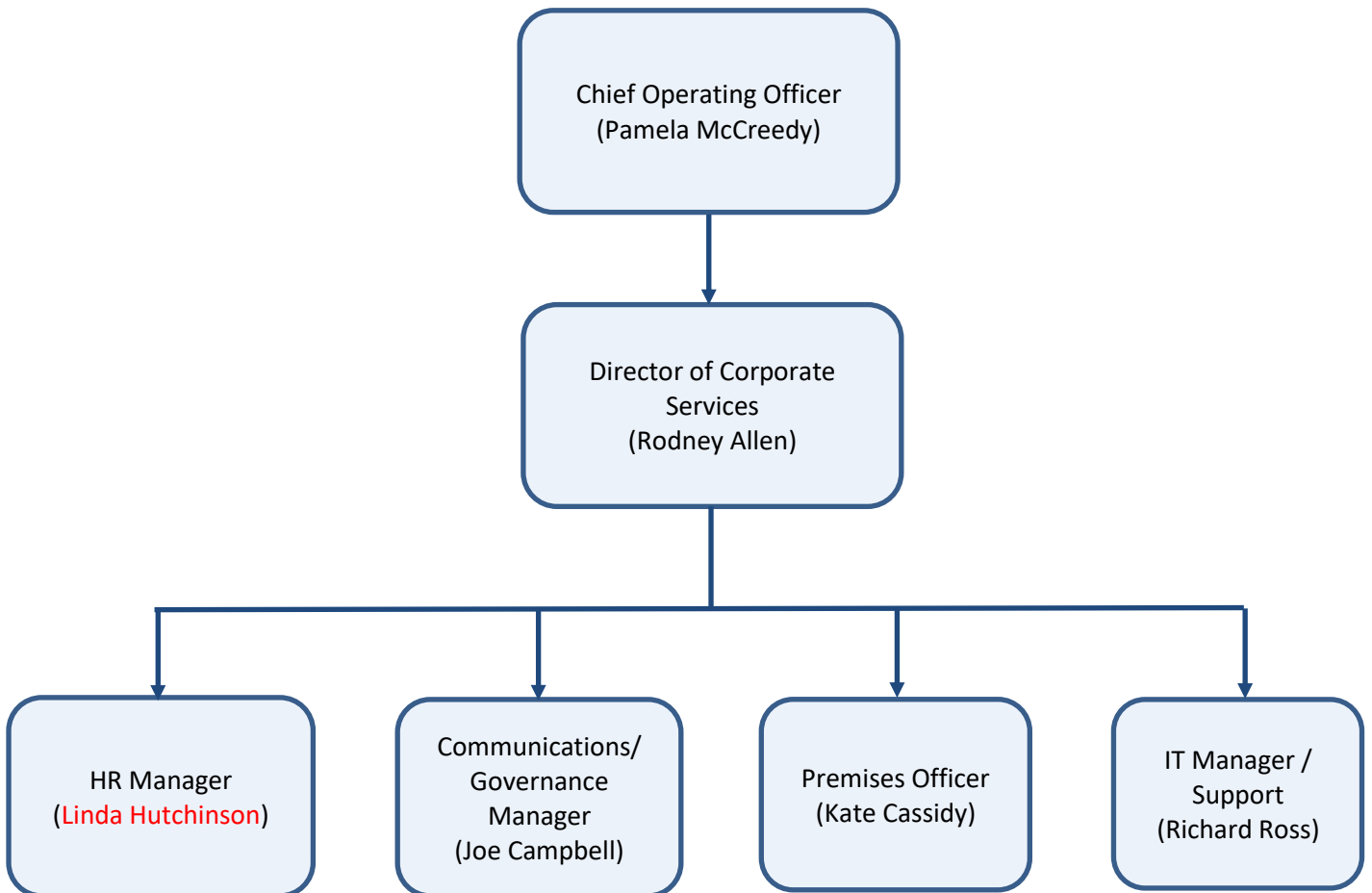
8.3 This was confirmed as part of our IT audit of IT Assist for 2017-18.

8.4 It should, however, be noted that Line of Business (LOB) applications, such as MK Insight, are not covered in the IT Assist BCP. Since this application is fundamental to Office operations, there is a need to test our ability to conduct a system recovery in the event of a software crash on an annual basis.

## 9. Other

9.1 Specific procedures have been established for an anthrax attack, as set out in **Annex 13**.

### Incident Management Team



For contact details, see Annex 6

## **Incident Management Team (IMT) Roles and Responsibilities**

The IMT is headed by the Chief Operating Officer (COO) and comprises members from key service areas, including HR, IT, communications, and business functions. **Annex 1** outlines the full membership of the team. Deputies should be nominated to act on behalf of members if they are not available for any reason.

The BCP is issued to all members of the IMT and nominated deputies. Recipients are advised to keep one copy of the plan at home and one copy at work. Distribution details for the BCP are outlined at **Annex 3**.

The following paragraphs outline the roles and responsibilities of those involved in the process.

The COO is the prime contact point with the SMT during any disaster situation and is responsible for:

- agreeing support arrangements with the SMT to enable it to operate under emergency;
- providing a strategic overview of the business continuity process; and
- providing leadership to the IMT.

The **COO** is responsible for the development of the BCP and for setting in place the mechanisms to restore business functions to the NIAO. The following outlines these key responsibilities:

### **Pre Disaster:**

- the development of a BCP;
- the operational management of the BCP;
- publicising the BCP within the NIAO;
- organising key personnel and forming necessary teams within the business continuity process; and
- liaising with all parts of the organisation to ensure that the NIAO's business continuity needs are met.

### **Post Disaster:**

Firstly, identify the extent of the problem and potential consequences for the NIAO. The key objective is to define the duration of the disaster or incident. In the event that access to University Street is not possible, the main task is to identify when the site can be re-occupied. In such circumstances, the Director of Corporate Services is responsible for:

- activating the BCP and the IMT;
- providing advice / guidance to the SMT;
- providing support arrangements to the SMT;
- providing information to NIAO staff as set out in Section 3;
- liaising with emergency services as required to ensure physical security of University Street; and
- monitoring and documenting the recovery operations.

Members of the IMT have the following responsibilities:

- assessing the risks to individual systems or functions;
- identifying key requirements for functions within their area;
- actioning short term working arrangements for key staff e.g. Exchequer function;
- identifying alternative working arrangements to cope with short term disruption; and
- maintaining up-to-date list of key personnel / contact points in each directorate team.

**Staff holding copies of the BCP**

<b>Team</b>	<b>Role</b>
	C&AG Chief Operating Officer
<b>Corporate Support</b>	Director of Corporate Services
	Audit Manager Communications/Governance
	Premises Officer
	IT Manager
	HR Advisor
<b>Directorate Teams</b>	Directors
<b>Security Guards</b>	Security (copy to be held in University Street and off-site)



**Change Request Form (Applying Principles as set out in paras 1.8 to 1.10)**

<b>Title of Document</b>	NIAO Business Continuity Plan
<b>Name</b>	
<b>Reason for Change</b>	
<b>Proposed Changes</b>	
<b>Signed</b>	
<b>Name</b>	
<b>Date</b>	

<b>For action by the</b>	Approved
<b>Chief Operating</b>	Rejected
<b>Officer</b>	Comments
	Date Agreed Rejected
	Signed
	Name
	Date

## **EMERGENCY AND EVACUATION PROCEDURES (PPC 05/08)**

### **Introduction**

1. The purpose of this circular is to provide a reminder to staff of:
  - the main facilities available in the event of an emergency;
  - evacuation procedures in the event of a bomb warning; and
  - evacuation procedures in the event of a fire alarm activation.
  
2. It should be borne in mind that the objective of an evacuation is to get all staff out of the building as quickly and safely as possible. It cannot cover every eventuality or legislate for fire alarms sounding at "inconvenient times of the day". Common sense and judgement are called for on the part of all staff. This circular is written in an attempt to minimise risk.
  
3. The building has the following facilities available in the event of an emergency:
  - (i) a public address (PA) system;
  - (ii) an alarm system with fire and bomb alert sirens located throughout the building. These have been upgraded as part of the recent accommodation review;
  - (iii) a fire alarm system with alarm points located throughout the building;
  - (iv) fire hoses and fire extinguishers, which are regularly serviced;
  - (v) emergency chairs and stretcher;
  - (vi) first aid equipment held by first-aiders and in the CSB;
  - (vii) a number of qualified first-aiders. The names of the Office's team of first-aiders are listed on the main notice boards and in Annex 5.1; and a rest room is located on the third floor beside the "cage". The key is available from the CSB;
  - (viii) emergency staircases and exits at both ends of the building (known as University Street Exit A and Westminster Street Exits B and C). All emergency exits are clearly indicated by an illuminated green sign. Staff must familiarise themselves with the location of emergency exits;
  - (ix) emergency gate at rear of car park; and
  - (x) access through the hotel car park leading to Westminster Street/University Street.

4. Staff faced with an emergency situation should act strictly in accordance with the procedures in this circular.
5. Ideally the CSB should be informed as soon as an emergency arises and staff there will activate whatever system is appropriate in the circumstances e.g. send a first-aider, call the fire brigade and evacuate the building. The security guard is aware of the contents of this circular and should be contacted if CSB staff are not in the building prior to 8.30am or after 4:00pm.
6. There are two designated assembly areas, as follows:
  - (a) University Street, opposite Fitzroy Presbyterian Church, on the corner of Wolseley Street and University Street; and
  - (b) the corner of Ormeau Road and University Street.

### **Evacuation Procedures**

7. There are two types of emergency evacuation:

- (a) response to the fire alarm siren; and
- (b) response to the bomb alert siren.

**Fire:** The Fire Service have instructed us that when the fire alarm siren sounds, the building should be evacuated immediately by all staff using the nearest available exit route and staff should assemble at assembly area (a) (see paragraph 6). No announcement will be made over the PA system in such emergencies unless it is a practice evacuation to test a particular exit route.

**Bomb:** When the siren sounds, staff will be told over the PA system which exit to use. Staff should make their way to the appropriate assembly area and should avoid passing the area where the suspect device is located.

8. During an evacuation, staff should not use the lift.
9. Staff should evacuate the building at a brisk walking pace using the nearest exit or as directed over the PA system (see paragraph 7).
10. Care should be taken when using the stairways.
11. Staff will be responsible for the safe evacuation of their visitors. On-the-spot arrangements should be made to deal with any visitors who are disabled, either by asking able-bodied visitors to assist or by asking members of the staff to help.
12. Designated Floor Control Officers (FCOs) will supervise the evacuation of their floors.

They will ensure that all offices and common areas such as the toilets, stairwells, the kitchen and the training suite are cleared. FCOs should wear their yellow waistcoats during the evacuation. A list of FCOs and their duties is shown at Annex 5.2.

13. Attempts by anyone to remain behind to collect personal belongings such as coats, handbags etc. should be firmly discouraged.
14. Under no circumstances should staff attempt to remove their cars from the car park until the all clear is given.
15. In a fire alarm situation, FCOs should report to a member of the CSB, who will be standing at the entrance to the access road, when their area of responsibility has been cleared. In a bomb alert situation, FCOs should contact the CSB in person or by phone, or as otherwise directed.
16. Once they have left the building, staff should make their way to one of the designated assembly areas (see paragraph 6).
17. FCOs will proceed to the designated assembly area and record the names of all staff who report there. On arrival at the assembly area, staff should report to their FCO. Line managers should inform FCOs of the whereabouts of any of their staff not at the Assembly point.
18. If after 5.00pm staff are unable to return to the building due to the continuing emergency, they are free to go home. They should report for duty at the normal time on the next working day. In such circumstances, cars may have to be left in the car park overnight.
19. Staff should not leave the assembly area and/or return to the building until the all clear has been given by the HR Advisor or a member of the CSB.

### **General**

20. This advice will be reviewed periodically and amended as necessary. Any queries on the contents of this circular should be addressed in the first instance to Kate Cassidy in CSB.
21. Annex 5.3 outlines useful points to remember in an emergency situation.
22. Staff at client bodies should follow the procedures operating in the premises where they are working. Staff should therefore familiarise themselves with the procedures operating in the client body's premises.

**FIRST AID OFFICERS [updated March 2017]**

<b>NAME</b>	<b>FLOOR</b>	<b>EXTENSION</b>
Kate Cassidy	Ground	51089
Gina O’Sullivan	Ground	51002
Victoria Frazer	First	51086
Donna Anderson	Ground/Second	51127
Louise Donnelly	Second	51131

**First Aiders should wear their armbands in an evacuation.**

## **DUTIES OF FLOOR CONTROL OFFICERS (FCOs) [updated August 2018]**

### **Westminster Wing FCOs**

Ground Floor: Peter O'Sullivan

First Floor: Sean Beattie

Second Floor: Joe Campbell

Third Floor: Tomas Wilkinson

External: Damien Prenter

### **University Street Wing FCOs**

Ground Floor: Alfred Knox

First Floor: Roger McCance

Second Floor: Colette Kane

Third Floor: Stephen Knox

External: **Brendan Nelson**

### ***Duties of FCOs***

1. ensure that all staff in their areas are familiar with emergency evacuation procedures (new staff will be shown emergency exit routes and informed of evacuation procedures by the CSB);
2. although ultimately the responsibility of the CSB, FCOs should periodically check window locks to ensure they are operational and report any defects to the CSB.
3. ensure they have the necessary equipment to facilitate evacuation.
4. ensure access route is clear.
5. provide cover during periods of absences by appointing a deputy who is familiar with the routine and has access to the yellow waistcoat.
6. carry out evacuation duties as in paragraph 7-19.
7. report to the CSB that floor area is clear as appropriate.
8. wear the yellow waistcoat.

### USEFUL POINTS TO REMEMBER

1. Except in extreme circumstances, staff **SHOULD NOT** attempt to tackle a fire unless it is very minor and they should never tackle it alone. Before tackling fire involving electrical equipment, if possible ensure the current is switched off. In most instances involving electrical apparatus, the isolation of the current alone will extinguish a fire. Furthermore, where burning persists after isolation of the current, it will then be possible to safely use water based extinguishers on the electrical apparatus.
2. When approaching a door behind which a fire is suspected, the handle should be touched carefully – if it is hot, do **NOT** open the door. Crouch down so that any hot gasses or flames which may be released will pass over your head, and open the door slowly. The influx of air may cause a sudden increase in the fire therefore use the door as a shield, open it the minimum amount and keep your fingers away from the door edges and frame. If the door opens outwards, place one foot about 75mm away from the opening edge so that it may be checked and, if necessary, quickly closed again.
3. When it is absolutely necessary to enter a room full of smoke, do so on hands and knees, keeping the head near the floor where the air will be clearest. Keep near the walls in case the floor has been burned away or weakened.
4. A person with clothing alight should lie down immediately and roll, with his/her hand over their mouth.
5. Never allow a person whose clothes are on fire to remain standing. They should be rolled quickly in a rug, coat or similar covering. Fatalities nearly always occur because flames around the head and face, and the inhalation of hot air, inflict serious injury and shock.
6. Trained first aid assistance should be summoned immediately to deal with any case of burns or injury. Urgent arrangements should be made for removal to hospital of any casualties.
7. The doors positioned across each corridor have been provided to resist the spread of fire and smoke in an emergency and should be kept closed at all times to maintain their effectiveness.
8. All incidents must be recorded in the Accident Book held in the CSB. First Aid boxes are held by all first aiders – list on notice boards.
9. Kate Cassidy is the Premises Officer and her deputy is Gina O’Sullivan. All communications in the first instance should be directed to them.

## Key Staff Contacts

Priority	Primary Contact	Secondary Contact
<b>Information Technology</b>	Director of Corporate Services (R Allen) (R Allen)	Richard Ross  Supported by Joe Campbell
<b>C&amp;AG</b>		
<b>Central Services</b>	Director of Corporate Services (R Allen) (R Allen)	Finance Manager Richard Ross  Human Resource Advisor Linda Hutchinson
<b>Facilities</b>	Finance Manager Richard Ross	Premises Officer Kate Cassidy
<b>Business Support</b>	Audit Manager Joe Campbell	Communications Officer Francis Casey
<b>Operational Staff</b>	Chief Operations Officer Pamela McCreedy	Directors: (R Allen) (C Kane) (T Wilkinson) (N Gray) (D Lynn)
<b>Key Holders</b>	G4S	Stephen Brannigan  Brendan Nelson



**ANNEX 7**  
(paragraph 2.5(4))

**Critical Contact Details**

This section of the Business Continuity Plan contains key contact information on providers of key support services to the NIAO. This directory is updated on a regular basis:

Miscellaneous Suppliers/Service Providers to be contacted

	<b>PRIMARY CONTACT POINT</b>	<b>ALTERNATIVE CONTACT POINT</b>	<b>WHEN CONTACTED</b>	<b>RESPONSIBLE OFFICER</b>
1	<b>Independent Neurology Inquiry</b> 106 University Street BELFAST BT7 IEU Tel No 028 90251133	Contact - Geraldine Quinn  07928662500	If an incident occurs when the premises are closed	Premises Officer
1A	<b>Postal/Couriers</b> Parcel Force Unit 24, West Bank Way Harbour Industrial Estate Belfast BT3 9PF  Customer ref. 2000092029	Parcel Force 0344 800 4666	If mail needs to be diverted or cancelled	Finance Manager
2	<b>Police</b> PSNI 276 Lisburn Rd Belfast BT9 6GG	Police Service (Lisburn Road) <a href="mailto:southbelfast@psni.pnn.police.uk">southbelfast@psni.pnn.police.uk</a> ;  <b>Tel No</b> – general exchange 028 9065 0222 / 101	If an incident occurs requiring a police presence, or when the premises are closed	Finance Manager
3	<b>Local Authority</b> Belfast City Council Contact – All Departments  <b>Tel No.</b> 028 9032 0202		If an incident occurs when the premises are closed	Finance Manager

4	<b>Security</b> G4S Security Services 12 Heron View Airport Road West BELFAST  <b>Tel No.</b> 0844 811 0118		If an incident occurs requiring a security presence, or when the premises are closed	Finance Manager
5	<b>Security Systems (Alarm)</b> Chubb NI <b>Tel No.</b> 028 9078 1811  Contract No. 5653310	Contact – Janice Smyth	If an incident occurs requiring a security presence, or when the premises are closed	Finance Manager
6	<b>Bank</b> Danske Bank Ltd Donegall Square West Belfast BT1 6JF  <b>Tel No.</b> 028 9004 5000 <b>Tel No.</b> 028 9032 7477	Contact:  Bryan Deacon (Relationship Manager). <b>Tel No.</b> 028 9004 8614 <b>Mob No.</b> 07717 511230 Email – <a href="mailto:bryan.deacon@danskebank.co.uk">bryan.deacon@danskebank.co.uk</a> <b>Mob No</b> – 07717 511230	If the office loses its BACS facility	Finance Manager/IT Manager
7	<b>Consolidated Fund</b> DoF (Consolidated Fund) Room S.21 Rathgael House 43 Balloo Rd, Bangor, BT9 7NA	Contact: Pamela Bannon <b>Tel No.</b> 028 9127 7688 Ext: 69088	If the office is closed	Finance Manager

If we need to set up an Incident Control Centre, the key contact is as follows:

	INCIDENT CONTROL CENTRE	ALTERNATIVE CONTACT POINT	WHEN CONTACTED	RESPONSIBLE OFFICER
8	<b>Incident Control Centre (ICC)</b> DoF Properties Division Northland House 3-5a Frederick Street Belfast BT1 2LW <b>Tel No:</b> 028 9025 7048	Contact: Jim McCreesh Grade 6 Causeway Exchange Enterprise Shared Services <b>Tel No.</b> 028 9025 7003  Niall Hobbs <b>Tel No.</b> 028 9025 7004	If the IMT determines that an ICC is required	DoF contacted by Premises Officer

If there is a major IT Issue, the key suppliers in order of priority are as follows:

	PRIMARY CONTACT POINT	ALTERNATIVE CONTACT POINT	WHEN CONTACTED	RESPONSIBLE OFFICER
	<b>IT NETWORK</b>			
9	<b>IT Assist</b> ICT Shared Services Craigtantlet Buildings Stormont Estate Belfast	0300 1234 155	If the incident affects the network provision	IT Manager
10	<b>Website</b> Paul Reihill   Intranet and Search Digital Development   Digital Shared Services Enterprise Shared Services   DoF <b>Annexe C   Dundonald House   Belfast   BT4 2SF</b>	Ali Elder   Intranet and Search <b>Tel No.</b> 028 9037 8534	If the incident affects website provision	IT Manager

## All Major Incidents

	PRIMARY CONTACT POINT	ALTERNATIVE CONTACT POINT	WHEN CONTACTED	RESPONSIBLE OFFICER
11	<p><b>Speaker of the Assembly</b> Robin Newton MLA Speaker of the Assembly Ballymiscaw, Stormont Belfast BT4 3XX</p> <p><b>Tel No 028 90 521377</b></p>	<p>Adviser to the Speaker:</p> <p>Robin Ramsey <b>Tel No. 028 9052 1551</b></p> <p>robin.ramsey@niassembly.gov.uk</p>		C&AG
12	<p><b>Chair of the Assembly Audit Committee</b> <b>Position to be filled</b> Chair of the Assembly Audit Committee Northern Ireland Assembly Parliament Buildings Belfast BT4 3XX</p> <p><b>Tel No</b> Constituency Office.</p>	<p>Clerk of the Assembly Audit Committee:</p> <p>Shane McAteer <b>Tel No. 028 9052 1843</b></p>		C&AG
13	<p><b>Chair of the PAC</b> <b>Position to be filled</b> Chair of the Public Accounts Committee Northern Ireland Assembly Parliament Buildings <b>Ballymiscaw, Stormont</b> <b>Belfast BT4 3XX</b></p> <p><b>Tel No.</b></p>	<p>Clerk of the Public Accounts Committee:</p> <p>Lucia Wilson <b>Tel No. 028 9052 1208</b></p>		C&AG
14	<p><b>Chair of Audit Committee</b> Áine Gallagher aine.gallagher@outlook.com 07740 586359</p>			C&AG

## Software Houses

	PRIMARY CONTACT POINT	ALTERNATIVE CONTACT POINT	WHEN CONTACTED	RESPONSIBLE OFFICER
15	<b>MK Insight - Morgan Kai Group</b> West One Wellington Street Leeds LS1 1BA UK Tel: +44 (0) 113 245 5558		If the incident affects MKI provision	IT Manager
16	<b>Team21 - Wolters Kluwer</b> Wolters Kluwer, 145 London Road, Kingston upon Thames 020 7981 0519 Account No – NORTH00003		If the incident affects Team 21 provision	IT Manager
17	<b>IDEA - Auditware Systems Ltd</b> Unit E, The Winery, Lamberhurst Vineyard, Furnace Lane, Lamberhurst, Kent, TN3 8EW Account no N028	Contact: Bevan Walsh <a href="mailto:Bevan.Walsh@auditware.co.uk">Bevan.Walsh@auditware.co.uk</a> Tel No. 01892 893 950	If the incident affects IDEA provision	IT Manager (in conjunction with IDEA Auditor – John Latimer)
18	<b>Time</b> Timewatch (Time & Space Maintenance Services) Contact details: Timewatch plc, Manor Farm Business Centre, Poynings, Brighton Tel No 01273 857771	Contact: London Office 140-142 John Street Clerkenwell London EC1V 4UB Tel No. 020 7400 4450 (Martin Black)	If the incident affects CentralTime provision	IT Manager
19	<b>PAMS/ESS</b> Hallmark Solutions Unit 14 McKibbin House Eastbank Road, Carryduff, Belfast, County Antrim BT8 8BD 028 9081 2618		If the incident affects PAMS provision	HR Advisor

20	<b>SQL Navigator</b> DELL Software, City Gate Park, Mahon, Co. Cork, Ireland  Tel - 013 4486 0456 Customer no 33515.	Martha Hayes, Tel No - 00353 2120 64270	If the incident affects SQL Navigator provision	IT Manager
21	<b>Sage (UK)</b> Sage (UK), North Park, Newcastle upon Tyne, NE13 9AA Customer reference no FH67910 0845 111 5555		If the incident affects Sage provision	IT Manager (in conjunction with Office Manager)

If there is a major telecoms issue, the key suppliers in order of priority are as follows:

**Telecommunications**

	PRIMARY CONTACT POINT	ALTERNATIVE CONTACT POINT	WHEN CONTACTED	RESPONSIBLE OFFICER
22	<b>IT Assist</b> ICT Shared Services Craigantlet Building Stormont Estate Belfast  Tel No 0300 1234 155 (external) Tel No x. 155 (internal)	Contact: Stephen Gilliland Tel No. 028 9052 7518 (external) Tel No. x. 27518 (internal)	If the incident affects the telecoms provision	IT Manager (in conjunction with Office Manager)

23	<b>Vodafone</b> IT Assist – see details above		If the incident affects the mobile provision	IT Manager
24	<b>EE</b> IT Assist – see details above		If the incident affects the mobile provision	IT Manager

To be contacted if there is an issue relating to utility provision

	UTILITIES/SERVICES	ALTERNATIVE CONTACT POINT	WHEN CONTACTED	RESPONSIBLE OFFICER
25	<b>Electricity Supplier</b> Power NI 50 Newforge Lane, Belfast BT9 5NW  Tel No. 0845 745 5455 Account No. 3921000000	Contact – Helen Gamble  Tel No. 028 9068 5052	If there is a break in electricity supply or potential danger to staff	Premises Officer
26	<b>Building Accommodation</b> DoF 028 9081 6666 Emergency (out of hours) Mechanical & Electrical 07702 682828 Building 07702 682829		If the incident results in damage to the building and/or potential danger to staff	Premises Officer

27	<b>LCC Power Ltd</b> 16 Churchtown Road Cookstown Co Tyrone BT80 9XD  Lynn Barker Tel No 07912 390059		If there is a break in gas supply or potential danger to staff	Premises Officer
28	<b>Water Supply</b> Water Service Westland House 40 Old Westland Road, Belfast, BT14 6TE Tel No. 03457 440088  waterline@niwater.com		If there is a break in water supply or potential danger to staff	Premises Officer
29	<b>Cleaning</b> Resource/Noonan Edgewater Business Park 8 Edgewater Road Belfast BT3 9VQ Tel No. 028 9077 4799		If the office is damaged or closed as a result of the incident	Premises Officer

If an incident occurs requiring advice relating to the incident and/or the building

	ADVISERS	ALTERNATIVE CONTACT POINT	WHEN CONTACTED	RESPONSIBLE OFFICER
31	<b>Property Advisers</b> Land & Property Services (LPS) 7 Lanyon Place Belfast BT1 3LP  Tel No. 0300 200 7801		If there is an issue around the condition of the building	LPS contacted by Director of Corporate Services



32	<b>Legal Advisers</b> DoF Solicitors DSD Victoria Hall 12 May Street Belfast BT1 4NL  Tel No. 028 9025 1251		If the incident requires legal advice	Director of Corporate Services
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If an incident occurs where the C&AG is unavailable

NO	UNAVAILABILITY OF THE C&AG	ALTERNATIVE CONTACT POINT	WHEN CONTACTED	BY WHOM
33	<b>Speaker of the Assembly</b> Robin Newton MLA The Speaker's Office Northern Ireland Assembly Parliament Buildings Ballymiscaw, Stormont Belfast BT4 3XX Tel No 028 90 521377	<b>Adviser to the Speaker:</b> Robin Ramsey Telephone: +44 (0)28 9052 1551 robin.ramsey@niassembly.gov.uk	If C&AG is unavailable and his role needs to be undertaken by other staff (see Annex 12)	COO
34	<b>Chair of the Assembly Audit Committee</b> Position to be filled	<b>Clerk of the Assembly Audit Committee:</b> Shane McAteer Tel No +44 (0)28 9052 1843	If C&AG is unavailable	COO
35	<b>Chair of the PAC</b> Position to be filled	<b>Clerk of the Public Accounts Committee:</b> Lucia Wilson Tel No +44 (0)28 9052 1208	If C&AG is unavailable	COO
36	<b>Chair of Audit Committee</b> Áine Gallagher aine.gallagher@outlook.com 07740 586359		If C&AG is unavailable	COO

**Issues to address in IMT agenda**

The following outlines the **basic agenda for the initial meeting** of the IMT:

- a. date & time of meeting;
- b. attendees;
- c. overview of the incident;
- d. likely duration of the incident;
- e. communication with the SMT;
- f. support arrangements for the SMT and key staff;
- g. business priorities; and
- h. personnel status.

At the initial meeting, a number of **key questions and issues** will need to be considered including:

1. Define the problem, the extent of disruption, its consequences and the probable impact of the incident on the business in the future (short / medium or long term) - see para 4.2.
2. Personnel status – are there any injuries?
3. Contact appropriate Emergency Services if used and seek briefing
  - Police Service (Lisburn Road), [southbelfast@psni.pnn.police.uk](mailto:southbelfast@psni.pnn.police.uk), 028 9065 0222
  - Belfast City Council, Environmental Health Services – 07850 499622 or 028 9027 0428
  - City Hospital – 028 9032 9241
  - Royal Victoria Hospital - 028 9024 0503
  - Mater Hospital - 028 9074 1211
  - Musgrave Park Hospital - 028 9090 2000.
4. Ascertain impact on University Street site and its operations.
5. Determine when the site can be accessed permanently or temporarily to retrieve contents.
6. Ensure activation of communication procedures as set out at Section 3 and Annex 11 and seek information from staff on who has access to NIAO laptops at home.
7. Consider workload status – what is the impact on the core business of the NIAO?
8. Establish hardware /equipment status – what has been damaged? How should it be allocated?

9. Contact IT Assist with a view to determining provision of additional hardware and decide allocation<sup>1</sup> (0300 123 4155)
10. Action to support business priorities. This will include the identification of support arrangements required by the SMT to enable them to operate under emergency conditions.
11. Agree emergency expenditure levels for key personnel (taking account of the scale of the incident).
12. Address issue of accommodation – where can the ICC be accommodated? Discuss options with Properties Division DoF.
13. Agree team objectives until University Street or an alternative site is available.
14. Agree media release and/or briefing paper for C&AG/COO to enable them to brief media and audited bodies.
15. Provide a welfare contact (Inspire Workplaces, helpline 0800 389 5362) for any staff distressed as a result of the disaster.

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<sup>1</sup> IT Assist do not hold laptops (or desktops) in reserve specifically for an emergency/contingency situation. The Laptop Refresh Team in Client Services and the Laptop SR Team in 2<sup>nd</sup> Line do hold significant levels of stock to support normal operations. On a 'best endeavours' basis, some of this stock may be re-directed to where the need is in times of emergency.

**Incident Assessment Sheet**

To be completed by the Director of Corporate Services or nominated deputy – where a yes / no answer is required, circle the relevant response:

Step	Action	Response	Comment / Action
1	Is the site totally destroyed?	Yes / No  What caused the incident?  How/When?	
2	Is the site partially destroyed?	The following areas of the site are unusable / inaccessible  Westminster ground floor - yes/no  Westminster 1 <sup>st</sup> floor - yes/no  Westminster 2 <sup>nd</sup> floor – yes/no  University Street ground floor- yes/no  University Street 1 <sup>st</sup> floor –yes/no  University Street 2 <sup>nd</sup> floor –yes/no  3 <sup>rd</sup> Floor – yes/no  Car Park – yes/no	
3	Is there a problem with access to the site?	Yes / No  a. What is the cause of the problem?  b. When will the site be available for access?	
4	Is any of the site accessible to retrieve essential items?	Yes / No	
5	Is there a need to enhance site security?	Yes / No  Brief Details:	Yes = Contact G4S Security
6	Can you log into the NIGOV Network?	Yes / No  Other details:	<b>Note</b> – record any error messages

7	What computer applications are unavailable?	Brief details:	
8	Is the telephone equipment destroyed or service denied?	Yes / No	
9	What is the extent of the damage to voice and data communications?	Brief details:	
10	What is the status of the office environment?	Brief details:	
11	Has there been serious disruption to the business?	Yes / No What type of disruption?	
12	Keep staff informed on position via the Disaster Recovery Information Line	Yes / No	
13	Provide initial briefing for the SMT	Yes / No	
14	Agree support arrangements for the SMT	Yes / No	Date:  Time:
15	Contact Key Personnel and other key contacts	Yes / No	
16	Establish an ICC when required, to support the SMT and/or the IMT	Yes / No	Date:
17	Arrange initial meeting of the IMT	Yes / No	Date:

Director of Corporate Services

Nominated Deputy

Signed

Signed

Date

Date

**Short Term Accommodation – Checklist**

To be completed by the Director of Corporate Services or nominated deputy in the event that additional short term accommodation to the Incident Control Centre is required. The following checklist identifies the key tasks to be carried out upon gaining access to the accommodation:

Step	Action	Completed Signature / Date / Time
1	Confirm size, location and general condition of the alternative premises	
2	Produce an environmental status report on internal systems: <ul style="list-style-type: none"> <li>• electricity – lighting</li> <li>• electricity – power points</li> <li>• raised flooring / IT cabling</li> <li>• water supply</li> <li>• gas supply</li> <li>• heating &amp; ventilation</li> <li>• security systems</li> <li>• fire protection</li> </ul>	
3	Identify status of telecommunications equipment	
4	Prepare inventory and organise replacement of telecommunications equipment as required	
5	Prepare status report on availability of IT equipment	
6	Organise replacement of IT equipment as required	
7	Organise the replacement of stationery and office equipment	
8	Review the provision of office services – cleaning, mailroom, messenger, reception, building maintenance and security	
9	Ensure all documentation / information is available to the Incident Management Team	

### **SMS Message(s) to Staff**

In order to communicate with staff in an efficient and effective manner in the event of a major incident, it is possible to set up group SMS messages through NIDirect.

These may include:

- the details of the incident;
- how long the Office may be closed;
- informing staff of IT availability and connectivity;
- ascertaining access to IT hardware;
- communicating business priorities;
- where staff should report to; and
- who staff should report to.

These messages will be agreed by the IMT.

SMS Groups have been established for the Incident Management Team, SMT and the wider staff cadre. This will be controlled centrally and avoid the need for crossover and cascading of information through line management.

Mr Robin Newton  
The Speaker of the NI Assembly  
Northern Ireland Assembly  
Parliament Buildings  
Ballymiscaw  
Stormont  
Belfast  
BT4 3XX

Dear [Name]

**Comptroller and Auditor General Functions**

As I am sure you are aware, my key statutory function is to carry out the certification and laying of accounts before the Assembly. However, as part of my Business Continuity Plan, I need to put in place arrangements should I become unable, for whatever reason, to fulfil this duty. I am therefore requesting that, in such circumstances, you action the Audit (Northern Ireland) Order 1987, Schedule 1, Part ii, paragraph 4(1). This requires you to certify to the Assembly that I am unable to carry out my duties and seek authorisation for an individual to carry out the certification and laying of accounts on my behalf. In such circumstances, the individual I am nominating is Pamela McCreedy, my Chief Operating Officer.

If you need any further information on this matter, please do not hesitate to contact me.

Yours sincerely

C&AG



## **Anthrax in Letters and Parcels – Response to a Threat Posed to the Northern Ireland Audit Office**

### **1. Immediately Contact the Emergency Services**

When an envelope or package is opened and is thought to contain anthrax, the following action will be taken:

- Contact the emergency services - dial 999
- Belfast City Council, Environmental Health Services – 07850 499622 or 028 9027 0428

In the event that local medical services need to be advised, contacts are as follows:

#### **Local Hospitals**

- City Hospital – 028 9032 9241
- Royal Victoria Hospital - 028 9024 0503
- Mater Hospital - 028 9074 1211
- Musgrave Park Hospital - 028 9090 2000

### **2. Handling**

Once the suspected package has been identified **it should not be touched any further** in order to reduce the risk of spreading any substance.

### **3. Incident Control Officer**

The Director of Corporate Services is the nominated Incident Control Officer. In his/her absence, this role will be undertaken by Finance Manager.

### **4. Incident Control**

In the event of the receipt of a suspected anthrax package, the Incident Control Officer will:

- arrange for the air conditioning system to be shut down;
- encourage staff in the area to remain calm;
- discourage any physical contact between staff in the area;
- ensure that movement in the area is minimised, to prevent anthrax spores rising in the air;
- ensure that all fire doors and windows in the building are closed – action by PA System announcement; and
- restrict access to the building to emergency staff.

## 5. Evacuation

In the event of any suspected biological contamination the Incident Control Officer will arrange the following action:

- Personnel outside of the contaminated room will be evacuated from University Street as soon as possible.
- Anyone who has touched or has been in contact with the suspect package will remain temporarily where they are until advised by the Incident Control Officer.
- Staff in the immediate area of the contamination will be evacuated to a **containment area** – depending on the numbers involved this could range from a cellular office to a wing of the building; instructions will be provided at the time.
- Prior to the arrival of the Emergency Services, staff who have come into contact with suspicious material should wash with ordinary soap and water if possible [movement outside of the containment area is to be avoided].
- Any decision on further evacuation of the building will be taken in consultation with the Emergency Services.

**Note – in the event of suspected biological contamination staff will evacuate the building.**

## 6. Record of the Incident

The Incident Control Officer will record the names of all staff present and details of their proximity to the incident.

## 7. Emergency Services

The Incident Control Officer will liaise with the Emergency Services to ensure that the person who opened the item of post is able to give as full an account of the incident as possible.

**Note – staff involved can relay detail of incident to the Emergency Services by telephone.**

## 8. Medical Treatment

The Emergency Services will determine what subsequent action should be taken. This will include assessment of the incident, further decontamination measures, testing, and **IMMEDIATE** treatment for anyone who is believed to have come into contact with a suspicious substance, or is concerned that they might have done.