

AFP National Guideline on business continuity management

1. Disclosure and compliance

This document is classified **UNCLASSIFIED** and is intended for internal AFP use.

Disclosing any content must comply with Commonwealth law and the [AFP National Guideline on information management](#).

Compliance

This instrument is part of the AFP's professional standards framework. The [AFP Commissioner's Order on Professional Standards \(CO2\)](#) outlines the expectations for appointees to adhere to the requirements of the framework. Inappropriate departures from the provisions of this instrument may constitute a breach of AFP professional standards and be dealt with under Part V of the [Australian Federal Police Act 1979](#) (Cth).

2. Acronyms

AFP	Australian Federal Police
AOCC	AFP Operations Coordination Centre
BC	Business continuity
BCC	Business continuity custodian
BCM	Business continuity management
BCP	Business continuity plan
BCRT	Business continuity recovery team
BIA	Business impact analysis
CBA	Critical business activity
MTPD	Maximum tolerable period of disruption
NMSC	National Manager Support Capability
SPOKES	SharePoint Organisational Knowledge Exchange System

3. Definitions

AFP appointee – means a Deputy Commissioner, an AFP employee, special member or special protective service officer and includes a person:

- engaged overseas under s. 69A of the [Australian Federal Police Act 1979](#) (Cth) (the AFP Act) to perform duties as an AFP employee
- seconded to the AFP under s. 69D of the AFP Act
- engaged under s. 35 of the AFP Act as a consultant or contractor to perform services for the AFP and determined under s. 35(2) of the AFP Act to be an AFP appointee.

(See s. 4 of the AFP Act.)

Business continuity custodian (BCC) – means an AFP appointee assigned responsibility for maintaining a functional/office business continuity plan.

Business continuity management (BCM) – means the development, implementation and maintenance of policies, frameworks and programs to assist the AFP to manage a business

disruption. It is the capability that assists in preventing, preparing for, responding to, managing and recovering from the impacts of a disruption.

Business continuity plan (BCP) – means the documented collection of procedures and information to enable the relevant AFP business area to continue to deliver its critical business activities within the Maximum Tolerable Period of Disruption (MTPD). BCPs are all hazard plans which are designed around 3 main scenarios (loss of infrastructure, personnel and information and communications technology (ICT)).

Business impact analysis (BIA) – means the identification and documentation of critical business activities and the resources required to resume such activities in the event of an incident or disruption within the agreed MTPD. The gathered data informs the required coverage of the relevant BCP.

Continuity Director – means the chair of Operation Obtineo. The Continuity Director is responsible for the activation and direction of Operation Obtineo. The Continuity Director is National Manager Support Capability (NMSC). NMSC can delegate this position to another person in extenuating circumstances.

Critical business activities (CBA) – means the activities that are essential to the AFP in meeting its objectives. Each CBA supports one or more key objectives.

Disruption – means an incident that causes an unplanned, negative deviation from the expected delivery of services according to the AFP's objectives. Disruptions are likely to come from 3 main scenarios (loss of infrastructure, personnel and ICT). The disruption may:

- cause harm to people, or damage to property/environment
- adversely impact the AFP's financial position
- cause close media or government scrutiny
- interfere with normal operations and absorb significant management time and/or financial resources
- jeopardise the AFP's reputation, services or appointees and therefore negatively impact the AFP's ability to achieve its government-mandated objectives
- adversely impact the ability of the AFP to deliver/maintain business as usual.

Exercise – means an activity in which a business continuity plan is rehearsed fully, or in part, to ensure that the appropriate information is contained and the desired result is produced when activated. There are various forms in which a BCP can be exercised (for example desktop, live exercises, questionnaires).

Incident – means an event that has led to, or could lead to, a significant disruption to AFP business or loss of capability. It is also described as an event that encompasses all risks and/or all hazards.

Maximum tolerable period of disruption (MTPD) - means the maximum allowable time that the AFP's critical business activities cannot be delivered before the impact is deemed unacceptable. MTPD is expressed in either hours or days.

Operation Obtineo – means the AFP's Senior Business Continuity Coordination Team. The group consists of managers from members from Technology & Innovation, Chief Financial Officer, People Strategies, Safety and Protocol, Security, Legal, Government Communications, Commercial Support, AOCC and ACT Policing. Operation Obtineo is chaired by the National Manager Support Capability. For each incident membership is flexible and at the discretion of the Continuity Director.

State office – refers to any AFP facility, office, or station outside of the ACT region.

Risk – is defined in the [AFP National Guideline on risk management](#).

Workaround – means a temporary fix or technique (typically non-ICT based) to enable a critical business activity to continue in a reduced state.

4. Guideline authority

This guideline was issued by the National Manager Support Capability using power under s. 37(1) of the [Australian Federal Police Act 1979](#) (Cth) as delegated by the Commissioner under s. 69C of the Act.

5. Introduction

This guideline outlines the obligations for AFP appointees aimed at ensuring AFP operations are safeguarded by a robust and consistent approach to business continuity management in the AFP.

The guideline is intended to operate independently, or in conjunction with the [AFP National Guideline on the Incident Coordination Centre](#) where an incident requires an AFP operational response.

6. Work health and safety

In addition to the provisions contained in this guideline, AFP appointees must comply with the AFP's [work health and safety obligations](#).

7. Security

In addition to the provisions contained in this guideline, AFP appointees must comply with [AFP Security Governance](#), including [security reporting obligations](#), upon and during the enactment of a business continuity plan (BCP).

8. Policy

This guideline forms part of the AFP's overall risk management framework and in the event of an incident or significant disruption, aims to ensure either the:

- uninterrupted availability of all AFP services
- rapid restoration (in a planned, timely and effective manner) of the AFP's critical business activities.

This guideline has been informed by:

- the [Australian Government Protective Security Policy Framework](#) (GOV-11)
- [ISO22301: Societal security – Business continuity management systems – requirements](#)
- the [Business Continuity Institute Good Practice Guidelines 2013](#).

9. BCM Framework

As an operational policing agency, the AFP is required to ensure that critical business activities are maintained in the event of a disruption.

Business areas and regional offices must ensure that all Critical Business Activities (CBAs) are captured within a functional BCP which must be updated at least once every 12 months.

At a minimum, all BCPs must specify:

- Critical Business Activities (CBAs)
- maximum tolerable period of disruption for each activity
- alternative work locations
- minimum staffing requirements
- critical equipment requirements and alternative storage arrangements (including emergency kits, computers and motor vehicles)
- local BCC responsibilities
- manual workarounds where available
- communication approach with AFP appointees and stakeholders
- interdependencies with other areas of the AFP
- any external stakeholders, including references to, or attachments of, formal agreements with external stakeholders (for example alternative location arrangements)
- recovery checklists.

Each business area and regional office must nominate a member to perform the duties of a BCC.

Each local BCC must:

- undertake a defined, documented and appropriate method for determining the business impact of any loss, interruption or disruption to their activities by completing a business impact analysis (BIA)
- ensure any incidents of unscheduled loss, interruptions or disruption to their activities are reported to the AFP Operations Coordination Centre (AOCC) and notify their functional/state manager
- review and update the completed BIA/BCP at least every 12 months
- determine the number of BCPs that are required to address their identified critical activities
- complete the required BCP(s) for their function/office, upload them to the [Business Continuity SPOKES site](#) and inform the Strategic Risk Team
- communicate BCP requirements and responsibilities to staff covered by the BCP
- conduct an exercise, and update BCP(s) at least every 12 months to ensure they are current and fit for purpose
- maintain an exercise schedule and debrief/learning outcomes register
- invoke and coordinate recovery procedures outlined in their BCP(s)
- undertake relevant training to ensure competency in BC principles.

The Strategic Risk Team located within the Capability Development Office will maintain the AFP critical business activity register which contains details of all functional CBAs.

The Strategic Risk Team must provide the necessary tools, techniques and guidance material to BCCs to develop and exercise BCPs. BCCs must utilise the guidance materials including templates located on the AFP [BCM Hub page](#).

In the event of a local BCP activation, any unscheduled outage, or interruption of services, BCCs (or line management) **must** notify the AOCC. The AOCC must then notify the National Manager Support Capability (NMSC), who is the Continuity Director. The Continuity Director must determine whether further action is required, and if Operation Obteineo should be activated (see section 9.1 Roles and Responsibilities).

The Continuity Director chairs Operation Obtineo which is the AFP's Senior Business Continuity Coordination Team. For major incidents impacting on multiple business functions, the Continuity Director, in consultation with AFP Senior Executive, determines if activation of Operation Obtineo is required or if the incident can be managed by the function or office. If activation of Operation Obtineo is required, a business continuity recovery team (BCRT) may be set up to provide coordination support to Operation Obtineo.

To support Operation Obtineo, the BC Recovery Priorities Model has been implemented. The Priorities Model is a way to normalise critical business activities across the AFP. The model has four levels which are applied to the AFP's critical business activities: Priority 1, Priority 2, Priority 3 and a Nil Priority rating. This priority ranking assists Operation Obtineo by determining which critical business activities have the most damaging impact on the community, AFP operations and reputation if they are not resumed as quickly as possible.

The AFP's BC Priorities Model



9.1 Roles and Responsibilities within the Business Continuity Management Framework

Position	Roles and Responsibilities
Commissioner	<ul style="list-style-type: none"> maintain communications with government and other jurisdictions in the event of a BCM incident.
Deputy Commissioners	<ul style="list-style-type: none"> as members of the Senior Executive, inform the Continuity Director on operational priorities during the recovery period.
Continuity Director	<ul style="list-style-type: none"> Continuity Director and chair of Operation Obtineo performed by National Manager Support Capability on behalf of the Commissioner, and in consultation with the Senior Executive, lead the AFP's recovery process of core supporting functions following a disruption until the incident/disruption is declared over assess the impacts of any unscheduled outages and/or interruptions and determine whether local BCCs are to initiate their BCPS determine and direct priority resourcing for critical business activities across the AFP in the event of a BCM incident

	<ul style="list-style-type: none"> develop and maintain the BCM framework including this guideline.
Deputy Continuity Director	<ul style="list-style-type: none"> Deputy Continuity Director for Operation Obtineo performed by Chief Financial Officer conduct all or any of the duties of the Continuity Director, as outlined above, in the absence of the Continuity Director or as directed by the Continuity Director.
Operation Obtineo	<ul style="list-style-type: none"> chaired by NMSC membership is defined in Part 3. Definitions supporting members of Operation Obtineo include the Strategic Risk team, the Business Continuity Recovery Team, National Manager Workforce & Development (NMWD) and Emergency Procedures Advisor focus on the restoration of critical business activities and core supporting functions that required for the AFP to continue operations Prioritise recovery efforts based on advice and data provided by the Strategic Risk Team. the specific roles and responsibilities of Operation Obtineo members are detailed in the Operation Obtineo Guide (available upon request from the Strategic Risk Team)
Business Continuity Recovery Team (BCRT)	<ul style="list-style-type: none"> provide support to Operation Obtineo, including coordination and management of tasks from Operation Obtineo and preparation of situation reports for the Continuity Director the BCRT comprises staff from the Capability Development Office. the BCRT membership and response capability is managed by the Strategic Risk team.
National Managers, state managers, airport commanders and Protection Establishment managers	<ul style="list-style-type: none"> Ensure BCPs for areas of responsibility are fit for purpose for any activity deemed critical.
Managers	<ul style="list-style-type: none"> ensure BCPs for areas of responsibility are fit for purpose for any activity deemed critical sign off relevant BCP(s) to confirm effectiveness in maintaining AFP strategic objectives in the event of an incident select a suitable appointee to perform the role of BCC and ensure they undertake relevant training in BC inform the Continuity Director, if requested, of critical business activities for their business area in the event of a BCM incident.
Business continuity custodians (BCC)	<ul style="list-style-type: none"> assigned by the relevant National Manager, state manager, airport commander, Manager Protection

	<ul style="list-style-type: none"> Establishments and/or delegates maintain familiarity with the business continuity (BC) templates ensure the functional BCP is reviewed, exercised and updated ensure all AFP appointees are aware of their role or likely stand-down should a BCM incident occur develop an effective communication system to facilitate contact with all relevant AFP appointees during a BCM incident ensure the AOCC is notified of any unscheduled outages or interruptions to services, a BCM incident and/or the enactment of a BCP regional offices must ensure, in addition to notifying the AOCC, that NMSC is informed of any unscheduled outages or interruptions to services, a BCM incident and/or the enactment of a BCP maintain appropriate BC related equipment and expertise.
Strategic Risk Team	<ul style="list-style-type: none"> develop and maintain the BCM framework monitor and advise on the AFP's level of overall preparedness provide administrative support to Operation Obtineo and BCRT as required foster a culture and awareness of BCM within the AFP and promote the practice of BCM as a routine part of business/operations management ensure best practice BCM in the AFP provide reports to the Audit Committee on the BCM framework every six months.
AOCC	<ul style="list-style-type: none"> Manager AOCC informs the Continuity Director of any unscheduled outages or interruptions to services, a BCM incident and/or the enactment of a BCP notify Manager Security of reported incidents, including any incidents of unscheduled outages or interruptions provide initial communications to AFP appointees during an incident provide coordination to assist the smooth establishment and functioning of the BCRT that supports Operation Obtineo (if requested by the Continuity Director) engage with the Attorney-General's Department (AGD) on the Australian Government Crisis Management Arrangements.
Security and Technology & Innovation	<ul style="list-style-type: none"> assist in preventing, preparing for, responding to, managing, and recovering from, the impacts of an incident provide specialist advice and services to ensure AFP appointees, assets and information are protected against unacceptable risk during the enactment of a

	BCP.
AFP Audit Committee	<ul style="list-style-type: none"> determine whether a sound and effective approach has been followed in establishing the AFP's BCM arrangements, including whether business continuity and disaster recovery plans have been periodically updated and tested.
AFP appointees	<ul style="list-style-type: none"> be familiar with emergency evacuation procedures for the building/facility know the members of their local BCC adhere to relevant business continuity procedures outlined in applicable BCPs.

10. Business Continuity Management Process

All AFP Functions and offices have an obligation to ensure they can continue to meet their key business objectives in the face of significant disruption. Managers must ensure their functional areas participate in an annual exercising and review of their business activities and objectives to determine what (if any) their critical activities are and to employ planning and identify workarounds to apply in the event of a disruption to business.

The AFP's BCM Process consists of five key steps:

1. Conduct an Initial Assessment to determine what activities are undertaken at the business level
2. Conduct a Business Impact Analysis (BIA) of Critical Activities to define and analyse the work a Business area does to meet the AFP's objectives
3. Collate BIA and attachment to prepare a Business Continuity Plan (BCP), as an emergency-ready guide
4. Apply the BCP through regular exercises to ensure it is an appropriate contingency for the business
5. Regularly review, update and improve the BCP to adapt it to changes within the Business area

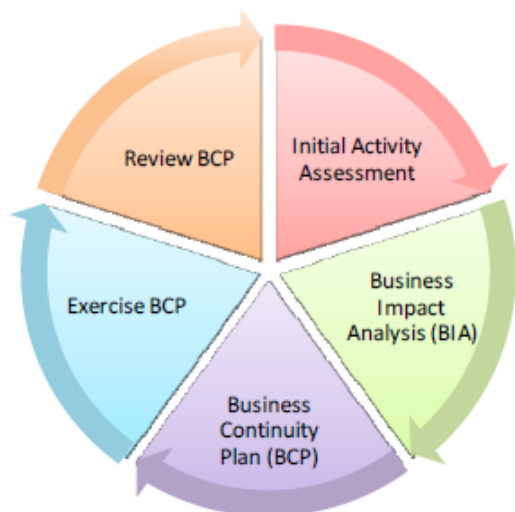
The AFP [Business Continuity Management User Guide](#) provides step-by-step guidance to assist any AFP appointee to undertake the BCM process.

Business continuity process

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11. Further advice

Queries about the content of this guideline should be referred to the Coordinator Strategic Risk, Team Leader Strategic Risk or to the [Strategic Risk Team](#).

12. References

Legislation

- [Australian Federal Police Act 1979](#) (Cth).

AFP governance instruments

- [AFP Commissioner's Order on Professional Standards \(CO2\)](#)
- [AFP National Guideline on information management](#)
- [AFP National Guideline on risk management](#)
- [AFP National Guideline on the Incident Coordination Centre](#).

AFP guidance material

- [AFP Pandemic Influenza Contingency Plan](#)
- [BCM Hub page](#) with further details on AFP's BCM framework (including [BCM User Guide](#))
- Operation Obtineo Guide (available upon request from the Strategic Risk Team)
- Business Continuity [SPOKES](#) site
- [Better Practice Guide on Emergency Procedures](#).

Other sources

- [Australian Government Protective Security Policy Framework](#).
- ISO22301: Societal security – Business continuity management systems – requirements
- The Business Continuity Institute Good Practice Guidelines 2013.

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