



ROCK COMPLIANCE

BUSINESS CONTINUITY POLICY

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BUSINESS CONTINUITY POLICY

Rock Compliance Limited has assessed the most significant risks that have the potential to impact key business operations. The table below details the risks and potential impacts on the business, as well as the mitigating processes and practices we have in place to manage the risks which ensures that the business will continue to operate during an unplanned disruption in service:

	Risk Type	Potential Problem/s and Cause	Potential Impact	Action taken to mitigate risks
1	Workplace	Fire or flood damaging a regional office or preventing access.	Loss of working office space. Damage to equipment paper records and equipment.	<p>11 Regional offices enable business functions and storage to be transferred to other regions and members of staff to work from home where applicable. High stocks of essential equipment and materials are held in all offices and can be transferred to local employees and new local storage facility immediately.</p> <p>A fully electronic Operations Model, which is continuously backed up, minimises disruption caused by loss of paper records which are scanned on receipt where necessary.</p> <p>Office staff work from laptops which can be utilised from home.</p>

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2	Information Technology	Loss of data due to failure of systems.	Inability to maintain service visits and disruption to all operations managed by EPIC.	<p>Disaster recovery and emergency planning issues are encompassed within management systems. All systems and firewalls are maintained to the highest standards.</p> <p>All computer data is backed up to the cloud daily with critical functions backed up every 4 hours. Alerts are raised in the event of back-up failures.</p> <p>Back up restores are undertaken in accordance with the requirement of the data type.</p> <p>24/7 EPIC testing environment can be deployed as fail-over from the latest back-ups in the event of severe production outage.</p> <p>Systems can be restored from back up within 4 hours.</p> <p>All processes are reviewed at least annually.</p>
3.	Information Technology	Ancillary equipment failure – firewall, router, switches	Disruption of service	All ancillary equipment is covered by a support agreement, provided by MFM-IT, according to incident severity - down to instant call-back for the most critical issues.

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4	Information Technology	Virus infection on servers	Downtime and loss of data, equipment failure	<p>All PCs/Laptops throughout the group run centrally monitored anti-virus software and monitoring agents with mobile device management software on roll-out.</p> <p>Primarily cloud-based system architecture ensures continuously updated security patches</p> <p>Support company e-mail warnings when received from AV software companies allowing emergency AV patches to be loaded if needed.</p> <p>User cyber security awareness programme in effect to minimise risk from malicious actors.</p> <p>Service Packs and Updates applied to all servers during course of preventative maintenance visits.</p> <p>Computer Use Policy prohibits the use of unauthorised disks/ programs to reduce probability of virus infection and also to avoid breach of copyright law.</p>
5	Information Technology	Disaffected user	Some loss of data	<p>Rock Compliance operates a principle of least privilege, with granular permission structure in place.</p> <p>Automated offboarding process revokes access across all devices.</p> <p>Back-ups in place for key business data.</p>
6	Information Technology	Breach of Security. Passwords being compromised, failure of firewall	Data loss or corruption	<p>Company-wide mandated Multi-factor Authentication.</p> <p>User cyber security awareness programme in effect to minimise risk of credential compromise.</p> <p>Use of Cloud-based storage for shared documents ensures any local compromise is isolated.</p>

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7	Information Technology	Support company fails	In short term, minimal impact unless there is a problem with the system	Rock Compliance operates a hybrid support model with internal and external IT support persons. Issues are escalated by internal support, so context and knowledge can be passed on to another provider if need be.
8	Exposure to legionella hazard	Risk of developing legionellosis to employees, customers and damage to business reputation	Illness and potential fatalities to employees and customers, loss of business due to damaged reputation.	Adequate qualified and competent persons employed to carry out the tasks of the company. The implementation of safe systems of work and risk assessments carried out. All procedures for all tasks documented and made known and available to all employees. Operating to highest industry standards and Risk Management incorporated within bespoke Legionella Control Management software (EPIC).

	Risk Type	Potential Problem/s and Cause	Potential Impact	Action taken to mitigate risks
9	Staff Shortages	Staff leaving or increase in work demand. Staff absenteeism	Inability to maintain contractual commitments or take on new works. Damage to reputation through failure to meet with site visit arrangements and reduced profitability due to re scheduling process of planned visits.	<p>Constantly assess labour requirements covering all aspects of the business and plan ahead through recruitment when required. Ensure skill levels are monitored and undertake training where required. Ensure high levels of employee engagement are maintained - Hold regular staff meetings. Have performance appraisals. Provide positive and constructive feedback to staff. Praise in public, reprimand in private. Avoid key person dependency by multi-skilling staff. Regularly assess remuneration of staff to ensure that market place packages are provided.</p> <p>Staff turnover rates are closely monitored. Processes in place to effectively manage absenteeism. It is the responsibility of all staff to telephone their line manager on the first day of absence by the normal starting time of their shift and give a specific reason for their absence and their anticipated date of return to work. It is the responsibility of Supervisors to manage the work pattern to avoid missed visits, to plan in advance and to reduce the impact of absenteeism.</p> <p>The use of EPIC enables the transfer of planned site visit information and reports to another member of staff seamlessly and the use of vehicle tracking equipment enables location of employees to determine best means of re allocation of time critical works.</p>

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10	Immediate loss of Key contract personnel	Loss of key operational and account management staff	Negative impact on effective management of key contracts	We are reliant upon the competence and relationships that exist both internally and externally. Robust management structures and processes are in place across the business to ensure engagement of staff.
11	Working with Vulnerable People	Lack of training or poor working practices endanger vulnerable people and lead to contractual conflicts	Legal disputes, emotional distress and potential loss of business through contractual failures.	Rock Compliance engineers are trained to give consideration and respect to property, possessions and cultural differences practiced within properties. Working with Vulnerable People policy document provided to employees and tool box talks provided to employees entering sites/properties with Vulnerable People present. All Rock site operatives are DBS checked.

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12	Suppliers	Ineffective management of supply chain impacts the quality of Rock Compliance service delivery and conflicts with the company ethos	Damage to business reputation and impact on productivity and subsequent profitability.	<p>All suppliers to Rock Compliance undergo a supplier approval process which includes a questionnaire and is overseen by the Rock Compliance Quality Manager.</p> <p>Approved status depends upon a variety of factors including the systems in place to ensure a safe working environment, a robust continuity plan, accredited quality and environmental systems implemented to ensure that the product has minimal or no impact on the environment and that the products sustainability has been accounted for throughout the supply chain.</p> <p>The evaluation of competence will be augmented by site inspections, audits, and spot checks to ensure that suppliers of goods and services comply with all legislative requirements.</p> <p>During the supplier selection process, all relevant trade associations and accreditations are requested to ensure that the company has the required level of expertise and procedures for carrying out the works. We are committed to working across our supply chain, with customers and business partners to promote and share best practice on ethical behaviour, sustainability procurement, health and safety.</p>

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13	Fleet – Van & Car	Vehicle breakdown or damage through collisions	Inability to maintain workload	Regular assessment of vehicle fleet requirements. Vehicles are well maintained and have breakdown cover. We replace vehicles over 4 or 5 years, from new, dependant on mileage. Maintain spare van capacity to cover routine maintenance within fleet. If ever required short term hire is utilised.
14	Epidemic	Illness to employees and clients impacts our ability to deliver services and remain profitable.	Impact on service delivery and profit as well as employee welfare.	Events are somewhat outside of our control, but steps are taken to minimise risk by undertaking a 'risk assessment' and taking all reasonable steps to prevent harm to our staff and customers.
15	Covid 19	Illness to employees and clients impacts our ability to deliver services and remain profitable.	Impact on service delivery and profit as well as employee welfare.	Rock Compliance developed a Risk Assessment that details all risks and control measures and provided the Risk Assessment to employees and consulted with them on proposed changes to working practices. The Risk Assessment is regularly updated and any changes communicated to all staff, suppliers and clients. It has proved to be effective in ensuring our business has been able to maintain growth, profitability and safety during a difficult trading period for many businesses.