TECHNICAL SPECIFICATION

ISO/TS 22330

Security and resilience — Business continuity management systems — Guidelines for people aspects of business continuity

Sécurité et résilience — Systèmes de gestion de la poursuite des activités — Lignes directrices concernant les aspects humains de la poursuite des activités

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Foreword

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The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

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For an explanation on the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 292, *Security and resilience*.

Introduction

The purpose of this document is to expand the guidance on managing the people aspects of an organization's preparation and response to disruptive events provided in ISO 22301 and ISO 22313. It assumes that the organization is aware of the principles of business continuity management and has established, or intends to establish, a business continuity management system (BCMS) aligned to these standards. The guidance is relevant to all levels of the organization: from top management to individual members of the workforce; from those organizations with a single site to those with a global presence; from small-to-medium enterprises (SMEs) to organizations employing thousands of people.

In general, the English words "people" and "human" are frequently interchanged. In this document, the term "people" is referenced as it puts the focus on the individual person rather than a group intimated by the term "human".

People are a key driver of organizational success and, at the same time, are always an interested party in any activity supporting delivery of organizational objectives. The organization, therefore, should pay particular attention to people, recognizing the two-way relationship it has with them. This applies to an organization's business continuity goals.

This document is relevant to business continuity and human resources professionals, and managers responsible for organizational resilience, people management and people development. It is not a definitive guide to managing an incident, but a review of the implications for managing the impacts on the workforce and others who could be affected.

The guidelines in this document provide a uniform approach to developing the broad range of knowledge, skills, behaviours and practices required of capable people to deliver effective business continuity management.

Security and resilience — Business continuity management systems — Guidelines for people aspects of business continuity

1 Scope

This document gives guidelines for the planning and development of policies, strategies and procedures for the preparation and management of people affected by an incident.

This includes:

— preparation through awareness, analysis of needs, and learning and development;

— coping with the immediate effects of the incident (respond);

— managing people during the period of disruption (recover);

— continuing to support the workforce after returning to business as usual (restore).

The management of people relating to civil emergencies or other societal disruption is out of the scope of this document.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 22300, *Security and resilience — Vocabulary*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 22300 and the following apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at http://www.electropedia.org/

3.1
duty of care
moral or legal obligation to ensure the safety, well-being or interests of others

3.2
employee assistance programme
contracted support service provided to organizations to assist them in addressing productivity issues, and to assist employees in identifying and resolving personal concerns, including health, marital, family, financial, alcohol, drug, legal, emotional, stress or other personal issues that could affect job performance

Note 1 to entry: Adapted from the International Employee Assistance Professionals Association (EAPA).

3.3
nominated emergency contact
person nominated by an individual staff member who is their chosen first point of contact in the event of the organization needing to make contact

Note 1 to entry: This may be the legal next of kin.

3.4
people aspects of business continuity
elements associated with the management of people involved in, or affected by, an incident in order to minimize distress, maximize productivity and recovery, and achieve the recovery objectives of the organization's business continuity programme

3.5
psychological critical incident
event or series of events that could cause significant emotional or physical distress, psychological impairment or disturbance in people's usual functioning

Note 1 to entry: Mental health professionals working in this field would normally refer to a "traumatic event" as a critical psychological incident. The term "critical psychological incident" is preferred as it implies an incident that may or may not be traumatic to the individual involved. Although there are several definitions of a traumatic event within the psychiatric and scientific world, critical psychological incident provides a more real world definition.

3.6
psychological education
provision of advice and guidance relating to psychological well-being

Note 1 to entry: It would usually include an overview of common reactions to distressing events in order to normalize them, reduce anxiety, provide simple self-help strategies to facilitate recovery in the first few days and provide where and when to seek further support.

3.7
psychological first aid
temporary, supportive intervention comparable to the concept of physical first aid

Note 1 to entry: Its goals include stabilizing the crisis situation, reducing emotional distress, providing advice on self-care and *psychological education* (3.6), identifying people who may need professional assistance and referring for further assistance, as necessary.

3.8
shelter in place
action to move people to predetermined areas inside the building/site in order to protect them from external dangers during an incident

Note 1 to entry: This may be referred to as invacuation.

3.9
workforce
anyone engaged in the delivery of the organization's objectives, including direct employees, agency staff, contractors and volunteers

4   People aspects overview

4.1   General

This clause identifies the background within which the people aspects of business continuity management are considered. Whatever the nature of disruption, the common factor is that people will always be affected.

A business continuity management system (BCMS) considers the resources required for the response to any disruptive event. People are an essential resource for the entire process and the organization will depend on their response as individuals to disruptive events and as members of response, recovery and restoration teams.

The people aspects approach also recognizes that everyone affected by a disruptive event is a potential casualty in some way, whether physically or psychologically impacted or by being subjected to change which has a longer-term effect on their daily lives and expectations. This includes people who are not members of the workforce but are directly affected by consequences of the event, e.g. clients or workforce family members.

As resources, casualties or both, people are also interested parties in the activities of the organization with opinions and expectations of their own. The approach recognizes that in the abnormal circumstances of a disruptive event, the impact of destabilization on an organization will lead to changes in the expectations of and on individuals. This applies not only to continuity activities in affected parts of an organization, but also to business as usual operations in apparently unaffected areas.

4.2   The need for a people aspects approach

ISO 22301 establishes the overarching requirements for people aspects of business continuity and addresses competence, awareness and communication, and the organization's duty of care.

In considering people aspects, it is important to understand at the outset what is at stake: what happens if the organization on the one hand, or its people on the other, fails to meet the expectations of the other. The potential impacts could be damaging to the organization and result from either real or perceived weaknesses.

— Failure to deliver duty of care in line with people's needs and expectations.

— Loss of willing, timely support from the workforce if people management is perceived as ineffective.

— Damage to reputation if consideration of people requirements is perceived as being neglected.

— Damage to the organization's long-term ability to retain, recruit and motivate the workforce.

Failure to manage people aspects could lead to the organization being unable to do the following.

— Prepare: Plans are not fit for purpose due to inadequate provision of competent and available resources.

— Respond: Immediate response is ineffective due to lack of training, poor understanding or motivation.

— Recover: Barriers to changes in working arrangements arising from poor understanding, motivation or capacity prevents successful implementation of recovery strategies.

— Restore: Unable to restore the organization to full capability through insufficient attention to people related issues.

In all people considerations, at all stages in the BCMS, the organization should consider and understand events and issues that could adversely impact:

— ongoing safety, security and productivity;

— discretionary effort;

— retention and development of skills and talent;

— recruitment of people;

— engagement and morale.

4.3 Structure

Figure 1 illustrates the structure of the arrangements needed to establish an effective approach to the management of the people aspects of business continuity. It is divided into two logical sections:

— the precursor steps required to establish the overall approach and capability;

— the detailed processes.

As indicated in the figure, each section is discussed in more detail in clauses that follow in this document.
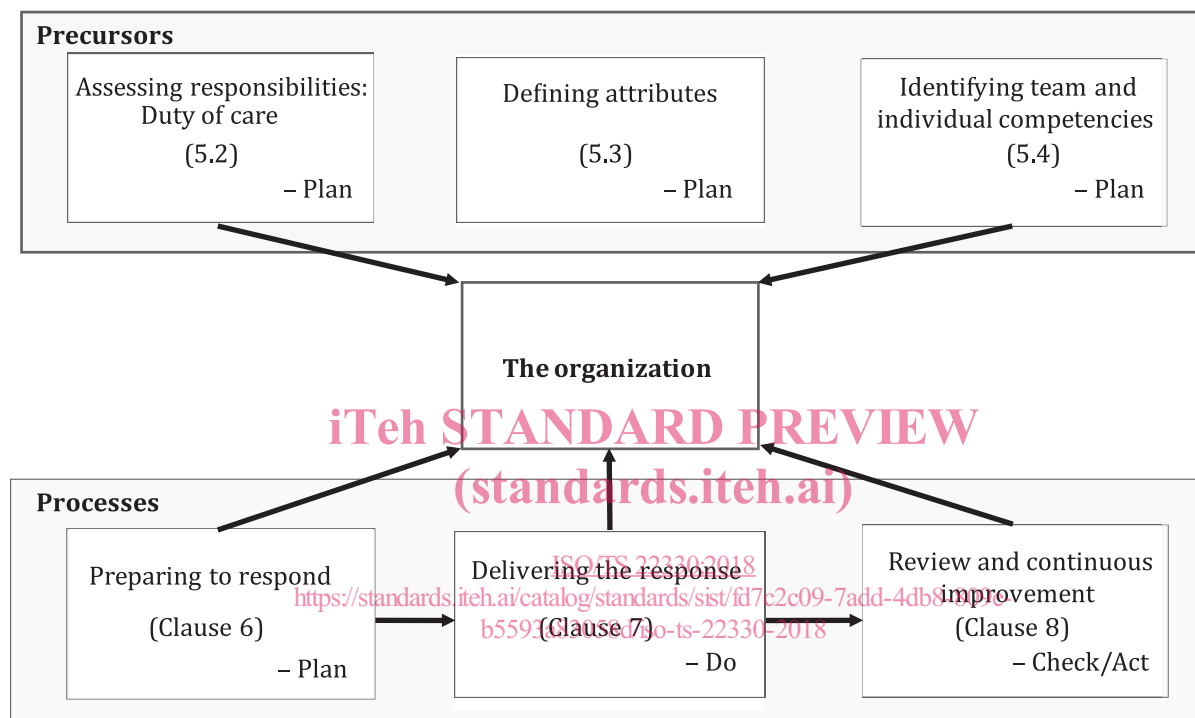
Figure 1 — Structure to manage people aspects of business continuity

Precursors establish the strategic approach to the people aspects of business continuity as identified by top management.

The development of the processes makes use of established techniques, including risk assessment, business impact analysis and preparation of incident management, business continuity and crisis management plans.

Post-event actions will address the review and continuous improvement activities necessary following a disruptive event or a near miss. Exercising will validate capability, rehearse people in their required tasks and identify learning needs to assist in the development or enhancement of competencies.

5 Precursors

5.1 General

Precursors are the arrangements and planning an organization should put in place to frame its approach and attitude to the people aspects of business continuity. They require top management to:

— analyse its responsibilities with regards to duty of care;

— describe the attributes it sees as important to the organization;

— define the competencies, including technical and not-technical skills and behaviours that individuals and teams should demonstrate.

Disruptive events place unusual pressures on people affected, either directly or indirectly. Active development of capabilities, both skills and behaviours, better prepares people as individuals and as members of a response team to cope with the unexpected.

In turn, a focus on the application and development of management and leadership attributes that deliver desired skills and behaviours offers additional value by enhancing the reputation of the organization.

5.2 Duty of care

In the response to any disruptive event, as part of its responsibilities, the organization owes a duty of care to a wide range of people who are interested parties both internal and external to the organization.

EXAMPLE 1   Evacuated workforce members who require a safe, effective procedure to be in place to ensure an efficient evacuation and proper accounting for people.

EXAMPLE 2   Response team members who require coping mechanisms to counter the stresses of managing the response.

EXAMPLE 3   Residents adjacent to a site that is on fire who are affected by the smoke and other residue.

Table 1 identifies groups of people who could be affected and their needs, expectations or demands. It is not an exhaustive list and the organization should identify the communities that could be affected by any incident.

NOTE   Responsibility for care for contractors and visitors will transfer to their parent organization after the immediate response phase.

Table 1 — Duty of care responsibilities

Group	Their needs, expectations and demands
Immediately impacted	
a) Immediate physical threat (workforce, customers, visitors) – at risk of harm	— A safe and secure location away from the immediate threat
b) Actual physical harm (workforce, customers, visitors) – injured	— Medical care, including first aid and prompt transfer to medical facilities when required
c) Evacuees/those sheltering in place (workforce, customers, visitors)	— Practical support (water, shelter, transport, food)
	— Lines of communication (two-way)
d) Outside site boundary (neighbours) – potentially affected	— Accurate information and appropriate advice
e) Families	— Leadership
f) Witnesses to injury, threat or death	— Psychological education

Table 1 *(continued)*

Group		Their needs, expectations and demands
Subsequently impacted		
a)	Same site, unaffected location (workforce, customers, visitors) – not physically threatened	— Accurate information and practical advice
b)	Rest of organization (other sites)	— Direction on requirements and intentions
c)	Workplace family (close colleagues/friends, those who had a near miss)	— Leadership
d)	Contractor organizations	— Two-way communication
e)	Visitors' organizations	— Psychological education
f)	Other external interested parties where there is an effect on people (customers, suppliers)	
Incident responders		
a)	First responders: workforce (first aiders, fire marshals, trained responders) and emergency services	— Authority through invocation
b)	Incident management teams: incident management, communications, relatives response	— Accurate information — Risk assessment — Objectives and how they change over time
c)	Key workforce members (as identified in the business continuity plan)	— Communication pathways
d)	Supporting workforce – facilitating recovery and restoration	— Resources to deliver response, recovery and restoration
e)	Top management and line management	— Psychological education — Own well-being, including consideration of fatigue, working hours and critical incident stress — Feedback on progress and recognition of contribution involving engagement with senior management

5.3 Attributes of the organization

An organization that recognizes the importance of people aspects of business continuity should demonstrate the ability to:

— assess identified threats and control resultant risks to people related to disruptive events;

— ensure a safe working environment;

— recognize the role and added value of people in contributing to business continuity;

— promote and embed business continuity management through workforce engagement and involvement led by top management, supported by line management across the organization;

— make the protection of people on site during a disruptive event a priority;

— recognize the importance of engagement with families of those involved (casualties and responders);

— prepare and encourage individuals and teams to respond to the unexpected;

— commit to exercising and testing response arrangements;

— ensure efficient and effective communication (internally and externally) is a priority.

5.4 Team and individual competencies

Competencies refer to the skills and behaviours required by teams and individuals to deliver business continuity. This includes those with specific roles to deliver incident response and recovery, and, more widely, an awareness of individual responsibilities across the organization. These competencies are developed through both directed and experiential learning. The steps for this process are:

— organization-wide awareness programme on business continuity objectives and individual roles and responsibilities;

— identification of specific roles and responsibilities;

— learning needs analysis to identify skills and behaviours required;

— a programme to develop specific competencies;

— validation through exercising and assessment (in terms of quality and quantity acceptability by interested parties);

— maintenance programmes to ensure retention and continued availability of competencies.

6 Preparing to respond

6.1 General

The precursors provide the foundation from which to build the specific people elements into the organization's BCMS. The organization should identify, acquire and develop people with the right competencies to deliver the capability. The organization should consider the specific locations where this capability is required and plan for adequate strength and depth in resources for the time when they are needed.

People aspects should be given in-depth consideration at each stage of the business continuity management process. The organization should identify whom to involve in these activities and should aim for a broad participation of those disciplines that bring people-related expertise and insight to the process that is relevant and accurate:

— top management;

— line management;

— other process owners;

— safety, security and resilience professionals;

— human resources specialists;

— communications teams;

— technical specialists;

— occupational health and welfare departments;

— other interested parties (internal, e.g. legal, compliance, and external, e.g. third-party partners).

6.2 Business impact analysis

A business impact analysis (BIA) compiled in line with good practice should take full account of the contributions made by different people. Even where key people have been identified, the organization should be alert to the assumptions made about the ability, capability or even willingness of these people to respond in accordance with the developed business continuity plan (BCP).