

Departmental Business Continuity Framework

Part 2 – Working Guides

Departmental Business Continuity Framework

CONTENTS

| | |
|--|----|
| Guide to business impact analysis..... | 3 |
| Guide to business continuity planning | 7 |
| Guide for projects | 21 |
| Guide to business continuity and IT service continuity management..... | 29 |
| Guide for category and contract managers..... | 32 |
| Guide to localised incident response | 35 |
| Guide to incident response involving Emergency Services | 40 |
| Guide to exercising a business continuity plan | 43 |
| Guide to business continuity validation and assurance process..... | 58 |

Departmental Business Continuity Framework

Guide to business impact analysis

Departmental Business Continuity Framework

Guide to business impact analysis

Purpose

1. The purpose of this guide is to explain the process for the identification of key products and services and the critical activities and resources that support them. This process should ensure that the business continuity management programme is aligned to the Departmental objectives, obligations and statutory duties.
2. A business impact analysis must be completed before starting work on developing a business continuity plan. This guide should be read in conjunction with the Business Continuity Framework Guide to Business Continuity Planning.
3. A business impact analysis template and notes for completion is available on the business continuity management intranet site
4. Due to the size of the Department varying levels of business impact analysis are appropriate and this guide gives a flavour of the elements and steps to consider but is not intended for use by all as explained below:
 - Jobcentre Plus, Pension, Disability and Carers Services, Shared Services and Financial and Commercial agreed a consistent approach for developing a business impact analysis at a corporate level. This is an end-to-end, process driven approach; and
 - Pension, Disability and Carers Service are developing their own template, approach to support the overall Pension, Disability and Carers Service business impact analysis.
5. If the decision is made to develop a business impact analysis that is specific to the business unit it must comply with the principles and elements that are set out in this guide and BS25999.

Projects

6. Every project is responsible for updating or developing a business impact analysis together with the appropriate Executive Agencies, Client Groups and Corporate Directorates. The business impact analysis will inform the development of business continuity and contingency capabilities for new or reviewed business processes or IT systems. Further details can be found in the Departmental Business Continuity Framework Guide for projects.

Principles

7. Section one of the the Departmental Business Continuity Framework entitled 'Policy' explains that Departmental business continuity management is based on a number of mandatory principles with which every Executive Agency, Client Group and Corporate Directorate must comply. The Department expects every Executive Agency, Client Group and Corporate Directorate to develop and maintain a business impact analysis on the end to end process for their critical activities and

Departmental Business Continuity Framework

Guide to business impact analysis

priorities, which directly support the Departmental priorities. The aim of this is to ensure that Departmental priorities can be maintained at all times.

8. The outcome of all business impact analysis must be the identification of the maximum tolerable period of disruption and the recovery time objective for each critical activity. This will help to inform the development of disaster recovery objectives and contingencies that meet business needs and timescales.

Elements of the business impact analysis

9. Every Executive Agency, Client Group and Corporate Directorate must have its own business impact analysis which is supported by lower level business impact analysis and must contain the elements described in the following paragraphs.
10. To ensure a consistent approach a business impact analysis template is available that supports the completion of the business continuity plan. A copy of the business impact analysis template can be found in the Departmental Business Continuity Framework templates folder. Guidance notes are incorporated in the business impact analysis template. If the decision is made not to use the template the guidance notes that support the template may be useful as a checklist, product description or guide to establish that all the key elements have been included.

Accountable owner and sign off

11. An accountable owner must be clearly documented in the business impact analysis.
12. To ensure that the work has been appropriate and is a true reflection of the business unit the Executive Agency, Client Group and Corporate Directorate business impact analysis should be signed off by the Business Continuity Director. For other parts of the organisation the business impact analysis should be signed off at least by a grade 7.

Business priorities

13. A fundamental stage in the business continuity process is to consider the impact of an incident / disruption on the business area.
14. It is essential that the business unit identifies and understands business priorities. This may be done through reference to Departmental priorities and consulting with the team and business area, and referring to business plans. This research enables business units to:
 - identify their, stakeholder obligations, statutory duties and the environment in which the organisation operates;
 - identify the activities, assets and resources, including those outside the organisation, that support the delivery of these activities and services;
 - assess the impact and consequences over time of the failure of these activities, assets and resources;

Departmental Business Continuity Framework

Guide to business impact analysis

- identify and evaluate the perceived threats that could disrupt the organisation's key products and services and the critical activities, assets and resources that support them;
 - identify the key risks to business critical functions/priorities; and
 - continue to carry our business critical functions/priorities should an incident or disruption affect the capacity to work normally.
15. When the business priorities have been identified, the business unit should categorise them as follows:
- Immediate work that must be resumed between 0 – 24 hours of the incident occurring. For example the payment of benefit to DWP customers.
 - Urgent work that must be resumed between 24 hours to one week of the incident occurring.
 - Routine work that must be resumed between one week – one month of the incident occurring.
 - Pending work that can be put on hold and resumed sometime later than one month.
16. As some tasks are more critical at certain times of the year or month the business unit should identify tasks where there may be fluctuations.
17. Using the information gathered the business unit should break it down further to the resources required:
- a. people;
 - b. premises;
 - c. technology, including telephony;
 - d. key suppliers and partners; and
 - e. supplies

People

18. An incident or disruption could cause a temporary or permanent loss of the business unit's staff, including those with specialist skill or knowledge. The business impact analysis should document the minimum number of people required to maintain the critical activity.

Premises

19. An incident or disruption could cause a partial or complete loss of the premises occupied. The business impact analysis should document the current location where the critical activity is performed.

Technology

20. All business units may find themselves heavily dependent on technology to deliver their business priorities. The business impact analysis should document the IT

Departmental Business Continuity Framework

Guide to business impact analysis

applications, infrastructure and hardware, including printers, used to support and deliver the critical activity.

Key suppliers and partners

21. The Department relies heavily on key suppliers and partners for example to deliver its post, courier mail and manage our accommodation. The business impact analysis should identify and document the key suppliers and partners used to support the delivery of the critical activity. These may be localised in nature.

Supplies

22. The Departmental Business Continuity Framework defines supplies as core supplies to support critical activities including claim forms, printed outputs and secure print. The business impact analysis should identify and document the supplies required to support the delivery of the critical activity.

Output

23. To capture the end to end process for the critical activity the final output should be recorded. For example, this could be payment into a customer's account and associated correspondence delivered to the customer's home address. This can be used as a check that all technology, key suppliers, partners and supplies have been correctly identified and recorded.

Completed business impact analysis

24. Once completed the business impact analysis can be used as a basis for populating the tables contained within the 'threats and contingencies' section of the Departmental business continuity plan template.

25. The business impact analysis should be considered a 'live and working' document.

Reviewing, amending and updating

26. When the business impact analysis has been signed off by Senior Management an officer should be nominated who is responsible for reviewing, amending and updating it at regular intervals. This in turn will drive and inform the review of the business continuity plan.

Departmental Business Continuity Framework

Guide to business continuity planning

Departmental Business Continuity Framework

Guide to business continuity planning

Purpose

1. This purpose of this guide is to give an understanding of the principles of business continuity planning. Appendix one gives an overview of how business continuity plans fit together within the Department. This guide clarifies those parts of the plan that need varying levels of details according to the type of business plan being developed to ensure continuity of critical activities and management of an incident.

Principles

2. The Departmental Business Continuity Framework states that Departmental business continuity management is based on a number of mandatory principles with which every Executive Agency, Client Group and Corporate Directorate must comply. They must:
 - plan for the effects of an incident or disruption, rather than planning for its cause;
 - have their own business continuity plan which is supported by lower level plans and must contain the following elements:
 - an accountable owner and invocation arrangements;
 - a communications strategy including roles, responsibilities and contact information for key individuals;
 - interdependencies;
 - business priorities; and
 - threats and contingencies for managing a loss of people, premises, technology, key suppliers and partners and supplies.

Planning for the effects

3. To plan for the effects, ensure a consistent approach and to provide a suitable audit trail, each business unit is required to:
 - fully examine its business by completing a business impact analysis. See Business Continuity Framework Guide to business impact analysis; and
 - draw up a business continuity plan based on the template contained in the Departmental Business Framework. If the decision is made not to use this template the guidance notes that support the template may be useful as a checklist, product description or guide to confirm that all the key elements have been included.

Departmental Business Continuity Framework

Guide to business continuity planning

Elements of the business continuity plan

4. Every Executive Agency, Client Group and Corporate Directorate must have its own business continuity plan which is supported by lower level plans and must contain the elements described in the following paragraphs.

Accountable owner and invocation arrangements

5. An accountable owner and the invocation arrangements should be clearly documented in the business continuity plan together with the roles and responsibilities of the officers and teams having authority during and following the incident.
6. The persons or groups covered by a plan should be clearly defined. Consideration should be given to:
 - clearly defining and recording how and when a disruption should be escalated if it cannot be contained within your own business areas. This would normally be through your usual line management channels. Further escalation would depend on the nature / scale of the incident;
 - who you need to tell about the incident or seek assistance from;
 - who else needs to be contacted e.g. staff in other areas, customers, external contacts, suppliers, customer interest groups etc;
 - who has overall responsibility for managing the incident, including nominated deputies wherever possible;
 - clearly documenting the method by which the business continuity plan is invoked. This process should allow for the business continuity plan to be invoked in the shortest possible time following the occurrence of a business disruption;
 - establishing and documenting clear guidelines and a set of criteria regarding which individual(s) have the authority to invoke the plan and under what circumstances. The invocation process may require the immediate mobilisation of organisational resources. The plan should include a clear and precise description of: how to mobilise the disruption forum; immediate rendezvous points; and subsequent team meeting locations and details of any alternative meeting locations; and
 - documenting a clear process for standing down the disruption forum once the incident is over and returning to business as usual.

Communication strategy

7. It is essential when developing a business continuity plan, that a robust communication strategy is in place.
8. It should be noted that in some incidents/disruptions, usual communication channels may not be available, e.g. loss of IT functionality will affect email facility. If the incident occurs outside of office hours, effective plans should be in place to

Departmental Business Continuity Framework

Guide to business continuity planning

notify staff. It should be noted that staff do not have any obligation to provide a contact number for outside office hours. This information should only be gathered on a voluntary basis.

Interdependencies

9. Identify all plans that are interdependent or linked to your business continuity plan. This could include Executive Agencies, Client Groups, Corporate Directorates, building or campus site plans etc. When reviewing your plan it is important that you consider the impact of any changes on interdependent plans. Document owners of these plans, should be included in your key contacts list. Appendix 1 shows the hierarchical structure of business continuity plans in the Department.

Business priorities

10. When developing the business continuity plan it is essential that you understand and identify your business priorities. This should be completed when developing the business impact analysis by consulting with your team, business area business plan and in line with the Departmental priorities. This research enables business units to:
 - identify the key risks to business critical activities;
 - continue to carry out business critical activities should an incident or disruption affect the capacity to work normally;
 - respond to any such event in a planned and exercised manner; and
 - minimise anxiety for staff and customers throughout the incident or disruption.

Threats and contingencies

11. When establishing the threats and developing the contingencies consider the type of plan you are developing when determining the level of information that should be documented.
12. If you are developing a high level plan, you will not need to list exactly how many people are within each individual office and what IT requirements they all have. This information is captured in the lower level plans. The high level plans should provide a more strategic overview, identifying business critical activities which support Departmental priorities. The lower level plans provide the operational requirements for delivering and maintaining these priorities.
13. With the information gathered in the business impact analysis the resources required for business continuity and business recovery should be identified at different points in time for:
 - a) people;
 - b) premises;
 - c) technology, including telephony;

Departmental Business Continuity Framework

Guide to business continuity planning

- d) key suppliers and partners; and
- e) supplies

Loss of people

14. An incident or disruption could cause a temporary or permanent loss of the business unit's staff, including those with specialist skill or knowledge.
15. The information contained in the business impact analysis should identify all business critical activities in priority order to allow the business continuity plan to show the minimum number of people required to undertake the roles. The names of the staff members who currently work within the identified work area should be recorded.
16. The business continuity plan should show the names of all staff who have the skills and the training required to carry out this work but may not currently be working within the identified work area. In the event of a disruption that affects staffing levels within business critical areas, the manager has all the information required to consider redeploying staff from other duties to cover priority work.

Loss of premises

17. An incident or disruption could cause partial or complete loss of the premises occupied. There are various options that should be considered:
 - A 'do nothing' strategy may be acceptable for certain businesses with a lower priority as identified in the business impact analysis;
 - Make use of existing accommodation in other locations. This could be accommodation such as training rooms, or similar areas, or increasing the office density by temporarily sharing work areas with other teams. This will require careful planning and some technical preparation. Guidance should be sought from Estates Group to ensure that any arrangements made do not infringe Departmental policies e.g. health and safety in the workplace;
 - Displacement involves displacing staff performing less urgent business processes to accommodate staff performing a higher priority activity. Care must be taken when using this option that backlogs of the less time-critical work suspended do not become unmanageable;
 - Remote working includes the concept of "working from home" and working from other non-departmental locations e.g. other government buildings, hotels. Internet Cafes should not be considered. Working from home can be a very effective solution, but in considering all the above, care must be taken to ensure departmental guidance is complied with e.g. Departmental IT security and home working policies;
 - Reciprocal agreements with other business units can work in some circumstances, but arrangements need to be managed carefully. Procedures must be in place to ensure that periodic checks are performed to ensure that

Departmental Business Continuity Framework

Guide to business continuity planning

the required arrangements have not changed and the agreement is still acceptable to both parties;

- Generic approach. A generic approach has been agreed with Executive Agencies and Client Groups. This agreement recommends that if a large site is lost, e.g. more than 100 staff in residence, for a considerable time the following steps should be considered:
 - Based on a completed business impact analysis Executive Agency and Client Groups should inform Estates of their requirements for the relocation of staff in order for estate providers to source alternative premises. Corporate IT should also be notified of the requirements for IT and telephony kit in line with the completed business impact analysis; and
 - Staff should be contacted about any decision to stay at home or move to new location on detached duty terms.
 - Decisions on the redeployment/relocation of staff across Executive Agency and/or Client Groups in order to mitigate the impact of disruption on delivery of agreed Departmental priorities will be made by the appropriate Disruption Executive. Such decisions will need to take account of the:
 - number and location of available staff;
 - existing skills and knowledge of available staff;
 - potential training requirements; and
 - the capacity and capability to deliver additional training during a disruption scenario.

18. The level of plan you are developing will determine the amount of detail that is listed within this section. If you are developing an Executive Agency, Client Groups or Corporate Director or a Divisional/Business Unit Plan, you should use this section to refer to the fact that detailed information is contained within command level/lower level business continuity plans.

19. If you are developing a high level plan, you will not need go into as much detail as listing IT, telephony requirements as your lower level/command level plans will have collated and documented this information already. However you should list your key office locations and staff in post.

20. The table below shows the level of detail that should be documented in the business continuity plan.

| Timescales | |
|-------------------|--|
|-------------------|--|

| | |
|--|---|
| | Using the business impact analysis identify the immediate, urgent and routine business/tasks that are carried out in your current location. Against each task and timeframe document: |
|--|---|

Departmental Business Continuity Framework
Guide to business continuity planning

| | |
|-------------------------------|---|
| | <ul style="list-style-type: none"> • the location and type of premises needed to main this function; • the minimum number of staff need to carry out the work objective and key jobs/tasks; • the technology, telephony, office furniture and other equipment; • the contingency options; and • any central guidance/instructions. |
| Immediate requirements | Document the type of premises needed to relocate staff within 24 hours of a disruption. This may include details of an emergency relocation arrangement you may have with another business or, if appropriate, working from home arrangements. When determining staff numbers consider the minimum number of staff who need to relocate to an alternative work area within 24 hours. |
| Urgent requirements | Document the type of premises needed to relocate staff from 24 hours to one week. Consideration should be given to other areas of work that may have been a lower priority immediately following the incident/disruption, but may become more urgent, the more time that passes. |
| Routine requirements | Document the type of premises needed to relocate staff form one week to one month of the incident or disruption. |

Loss of technology

21. All business units may find themselves heavily dependent on technology to deliver their critical activities.
22. Using the business impact analysis identify, the immediate, urgent and routine business/tasks that currently use technology. Against each task and timeframe document:
 - the IT applications, infrastructure and hardware used, including telephony;
 - the business impact if the IT applications, infrastructure and hardware is unavailable;
 - the contingency option for fall or partial loss of the technology; and
 - any central guidance/instructions.

Departmental Business Continuity Framework

Guide to business continuity planning

23. Consider carefully the full impact that the unavailability of the technology would have on your internal and external customers and the delivery of the Departmental priorities.

Loss of key suppliers and partners

24. The Department relies heavily on key suppliers and partners to deliver its post, courier mail and manage our accommodation.

25. Using the business impact analysis identify, the immediate, urgent and routine business/tasks that currently rely on key suppliers and partners. Against each task and timeframe document:

- the key supplier(s) and partner(s);
- the business impact if the service cannot be provided;
- the contingency option; and
- any central guidance/instructions.

Loss of supplies

26. The Departmental Business Continuity Framework defines loss of supplies as stationary that supports critical activities. This includes claim forms, printed outputs and secure print.

27. Using the business impact analysis identify the immediate, urgent and routine business/tasks that currently use supplies. Against each task and timeframe document:

- type of supplies used, e.g. stationery, claim forms;
- the business impact if the supplies cannot be provided;
- the contingency option; and
- any central guidance/instructions.

Forms and annexes

Contact details

28. Each plan must contain or provide a reference to the essential contact details for all key stakeholder.

29. A comprehensive and up to date contacts list is crucial in managing an incident and ensuring the overall effectiveness of your business continuity plan and contingency arrangements. The contacts list should contain:

- key contacts for managing the disruption;
- escalation contacts; and
- interdependent contacts, e.g. business areas who need to know the plan has been invoked as it may impact on their business.

Departmental Business Continuity Framework

Guide to business continuity planning

30. Good practice is to categorise the key contacts into their specialist areas to ensure that they are easily identifiable in the event of a disruption.

31. The contact list should be updated quarterly.

Out of hours contact details

32. Out of hours telephone numbers should only be included in 'Restricted Management' versions of the contacts list and should not be subject to general distribution. It may therefore be necessary to complete an abridged version of the contact list that has home numbers and personal mobile numbers omitted.

33. Guidance on the use of protective markings in the DWP can be found on the Departmental Security intranet site.

Incident log

34. The business continuity plan should include an incident log or forms for the recording of vital information, especially in respect of decisions made.

35. During any disruption to business it is important that a record is maintained of the disruption as it is managed from start through to finish. A generic log sheet can be used and adapted for this purpose and should be included in your business continuity plan. An incident log template can be found and downloaded from the Business Continuity Management intranet site.

36. This incident log can be amended to suit your own business unit requirements.

Completed plan

37. Once you have completed your plan hard copies should be given to the appropriate key contacts to keep off site. The business continuity plan should be:

- considered a "live and working" document; and
- a vital enabler and source of information for all decisions regarding the management of an incident /disruption.

Reviewing, amending and updating

38. When the business continuity plan has been published an officer should be nominated who is responsible for reviewing, amending and updating the business impact analysis at regular intervals. This in turn will drive and inform the review of the business continuity plan.

Exercising

39. To validate your business continuity plan as being fit for purpose it is imperative that it is exercised and reviewed on a regular basis. For further information, please refer to the guide in the Departmental Business Continuity Framework called 'Exercising a business continuity plan'.

Departmental Business Continuity Framework
Guide to business continuity planning

Business continuity planning for projects

40. A project or programme, as a newly formed team, needs to ensure that up to date business continuity planning, protects the delivery of its business. A separate team plan is not required if the project's business continuity requirements are already part of an existing operational, directorate or programme level plan.
41. More detailed instructions for projects about business continuity can be found in the Business Continuity Framework Guide for projects.

Departmental Business Continuity Framework
Guide to business continuity planning

Appendix 1

Hierarchical structure of Business Continuity plans in the Department

The hierarchical structure of business continuity plans in the Department is shown in the diagram below:

Departmental Business Continuity Plan

This sets the strategic view for the Department and contains a strategic overview on how the Department will maintain key work priorities.

Executive Agency/Client Group/Corporate Directorate business continuity plans

This supports and aligns with the Departmental business continuity plan. It sets the direction for the Executive Agency/Client Group/Corporate Directorate and provides instruction on maintaining Executive Agency/Client Group/Corporate Directorate business critical functions which support the delivery of Departmental priorities.

Individual business units, i.e. Divisional Heads, Functional Heads, Directors.

This supports the Executive Agency/Client Group/Corporate Directorate business continuity plan in maintaining business critical functions.

It should be noted that loss of premises information should be cross referenced to the detail held within command level / lower level plans.

Command level business continuity plan, i.e. call centre/local office managers, Grade 7 commands within central Directorates. These plans support the individual business unit plans.

Lower level plans, if necessary.

Managers may consider there is a need for developing a lower level business continuity plan dependent on their own individual business area's priorities.

Interdependent plans, separate building, cross building/site level plans, when appropriate.

This is a plan that has been developed for a multi occupier site or multi-occupier building that takes account of the different priorities and accommodation needs for each co-located business area.

Departmental Business Continuity Framework

Guide to business continuity planning

The level of detail contained within the finished business continuity plan will depend on your business and the organizational level of the plan. For example, Executive Agency/Client Group/Corporate Directorate plans will not contain specific details/numbers relating to relocation of staff following loss of premises. This level of detail will be contained within the command/lower level plans. It is important that interlinked plans are cross referenced to ensure accuracy of the information.

Authors/owners of interdependent/linked plans should be incorporated into key contacts lists to ensure that they receive revised versions of plans following review. This will enable authors to consider the impact that any changes may have on their plans/documented processes.

Departmental Business Continuity Plan

The Departmental Business Continuity Plan is the top-level plan, which outlines the management of an incident or disruption affecting the Department's core business processes. It outlines the Departmental priorities to be followed at such times and is owned by the Departmental Business Continuity Manager.

Executive Agency, Client Group, Corporate Directorate Business Continuity Plans

Executive Agency, Client Group and Corporate Directorate Business Continuity Plans sit below the Departmental Business Continuity Plan and reflect the core business priorities for their business area, which in turn support the overarching Departmental priorities. There will only be one plan at this level in each organisation. Each Executive Agency, Client Group and Corporate Directorate should have in place a process that ensures all business areas/teams within their operational areas have a Business Continuity Plan in place and that it is exercised and reviewed on a regular basis.

Individual Business Unit plans

Individual Business Unit plans, e.g. Divisional Heads, Functional Heads, Directors, should reflect the processes and priorities provided within the Executive Agency, Client Group and Corporate Directorate Business Continuity Plan. There is no need for this level of planning to fully replicate the detail held within lower level plans.

Command Level Business Continuity Plans

Command level plans support the priorities identified within the individual Business Unit plans. They provide information on how the command will continue to maintain its business in the event of an incident or disruption.

Lower level plans

Lower level plans, e.g. call centre managers, local office managers, Grade 7 command managers within Central Directorates, should contain the full level of information to support the work undertaken within their area of responsibility. They

Departmental Business Continuity Framework

Guide to business continuity planning

will rely upon generic guidance contained within the individual, Executive Agency, Client Group, Corporate Directorate and Departmental business continuity plans and by completion of a business impact analysis will document the business critical functions / priorities of the team.

The majority of the detail will be held within the 'threats tables'. Changes to this information should be reported up the line as necessary.

Interdependent plans

It may be necessary to merge parts of a business units business continuity plan into a coordinated building or cross building /site plans. In buildings or cross building/site locations where there is more than one business unit, it is expected that the 'major occupier' takes the lead in developing a coordinated document for the estates provider. This document should:

- outline Departmental requirements for the building; and
- provide a relevant contact list.

Premises containing more than one business unit normally fall into the categories of:

- Multi occupied site plans. A multi occupied site is defined as a site within a security perimeter with buildings that house different business groups, e.g. Norcross or Peel Park. The Business Continuity Manager for a multi occupied site is appointed by the Senior Responsible Officer of the major DWP occupier within that site.
- Multi occupied buildings. A multi occupied building is defined as a stand alone building that houses different business groups, e.g. Quarry House in Leeds or Steel City House in Sheffield. The Business Continuity Manager for a multi occupied building is appointed by the Senior Responsible Officer of the major DWP occupier within that building.
- Cross site plans. Cross site plans contain the level of information required to manage locations when a number of DWP sites are closely located, as in the North West. They can provide accommodation for priority staff during times of disruption.
 - The Senior Responsible Officer of the DWP major occupier within the cross site locations, i.e. the DWP Business Unit that employs the most staff, will appoint the Business Continuity Manager for a cross site plan.
 - An example of a cross site plan is the North West cross site plan that provides options for loss of individual buildings or sites. This plan covers Peel Park and Norcross.
- Cross building plans. Cross building plans cover a number of DWP buildings and contain the level of information required to manage locations when a number of DWP buildings or sites are closely located, as in a City Centre. They can provide accommodation for priority staff during times of disruption.

Departmental Business Continuity Framework
Guide to business continuity planning

- The Senior Responsible Officer of the DWP major occupier within the cross building locations, i.e. the DWP Business Unit that employs the most staff, will appoint the Business Continuity Manager for a cross building plan.
- Two examples of cross building site plans are the London Head Office and Sheffield Office plan. Details of these plans are shown in the table below.

| Cross building plan: | Details |
|-----------------------------------|--|
| London Head Office plan | <p>The London Head Office plan and London Head Office Building plans, whilst providing options for loss of individual buildings, also contains specific arrangements for Departmental Ministers and senior officials during any general major London HO disruption. This plan covers the following central London buildings:</p> <p style="padding-left: 40px;">The Adelphi; Richmond House; Caxton House; New Court; and Tavis House.</p> |
| Sheffield Head Office plan | <p>The Sheffield building and cross Sheffield Estate plans provide options for loss of individual buildings and cover the following Sheffield Buildings:</p> <ul style="list-style-type: none"> • Rockingham House; • Porterbrook House; • Kings Court; • Steel City House; • Mayfield Court; • Moorfoot; and • Hallamshire Business Park. |

Building, cross building and cross site business continuity plans normally require detailed planning in the initial development stage, as the business priorities of many different business units need to be considered. This requires the Business Continuity Manager appointed by the Senior Responsible Officer for the building,

Departmental Business Continuity Framework

Guide to business continuity planning

group of buildings/site to take the lead in bringing together all the DWP Business Continuity Managers from the various DWP occupiers to agree priorities and draw up plans.

Departmental Business Continuity Framework Guide for projects

Departmental Business Continuity Framework Guide for projects

Purpose

1. The purpose of this guide is to give an outline of:
 - how projects identify business continuity requirements;
 - how projects identify, and set about producing, the business continuity products needed to satisfy business continuity requirements;
 - the five staged approach for addressing business continuity requirements and producing business continuity products;
 - how the production of business continuity products aligns with the DWP Change Lifecycle; and
 - the role of the Departmental Business Continuity Management Team and the support it provides to projects.
2. All project managers should read this module. Where projects are part of an overarching programme of change, the Programme Board may wish to consider implementing a coordinated approach to business continuity planning.

Benefits of effective business continuity planning

3. Implementing effective and appropriate business continuity arrangements is vital in helping the Department to:
 - improve its organisational resilience;
 - continue to deliver critical activities; and
 - avoid damage to the Department's reputation.
4. All those involved in the management of projects have a key role to play. This ensures that business continuity is:
 - applied to business change; and
 - viewed as an integral part of programme or project business.

Roles and Responsibilities

Projects

5. Project business continuity leads have a key role to play in protecting Departmental priorities by ensuring that:
 - the Departmental Business Continuity Management Team and/or Executive Agency, Client Group Business Continuity Management teams are identified as a stakeholder;
 - business continuity is considered as an integral part of all project activity;

Departmental Business Continuity Framework

Guide for projects

- business continuity solutions and products satisfy the business continuity requirements that result from the project undertaking business impact analysis;
- effective business continuity solutions and products are delivered; and
- ensuring that business continuity solutions and products support the needs of delivery businesses.

The Departmental Business Continuity Management Team

6. The Departmental Business Continuity Management Team provides advice to projects on the requirements of the Departmental Business Continuity Framework. The Framework has been reviewed to align with the British Standard for Business Continuity Management, BS25999.
7. The Departmental Business Continuity Management Team works closely with:
8. Executive Agency, Client Group and Corporate Directorate business continuity teams to ensure that their business impact analysis is impacted by the new IT system or process being implemented by the project;
 - Corporate IT to ensure that appropriate IT service continuity management arrangements have been set in place; and
 - Departmental Security as part of the accreditation process.
9. The Team seeks early engagement with projects, taking a corporate lead on business continuity for corporate and business critical projects whose delivery supports Departmental priorities. The Team will support such projects throughout the gated review process for the lifecycle of the project.
10. Where a project is specific to a particular Executive Agency or Client Group, it is possible that the relevant Agency Business Continuity Management Team will provide this support, but this will need to be agreed with the Departmental Business Continuity Management Team, in advance of any activity taking place.

Corporate IT - IT Service Continuity Management Team

11. The IT Service Continuity Management Team provides advice and guidance to projects delivering IT change. This includes providing advice on the ITSCM products expected from the project. The Outsourced SIAM team (EDS) are responsible for providing assurance that the IT Service Continuity and disaster recovery arrangements being proposed by projects meet the Department's approach for systems recovery. This approach means that the recovery of an IT service should be affected in sufficient time to meet the business need. This is established via the business impact analysis and the identification of the recovery time objective, which is the target time for the resumption of the IT service, before it impacts business delivery.

Departmental Business Continuity Framework

Guide for projects

Business continuity requirements and products

12. When identifying and agreeing the business continuity requirements and products the nature, size, and business criticality of the project will be taken into consideration.
13. There is a five staged approach that corporate and business critical projects are expected to follow to satisfy Departmental business continuity requirements:
 - undertaking a business impact analysis;
 - developing a business continuity strategy;
 - developing a contingency plan (if identified from the BC strategy);
 - exercising and reviewing the contingency plan; and
 - handing over to live operations.
14. All business continuity products must be agreed and reviewed by the Departmental Business Continuity Management Team and key stakeholders.

Stage 1 – Undertaking a business impact analysis

15. Business impact analysis is the foundation stage of business continuity planning. It identifies, quantifies, and qualifies the business impacts of a loss, interruption, or disruption to business activities, and provides data from which appropriate continuity strategies can be determined. Essentially, it helps to identify business continuity requirements.
16. Projects should contact the Departmental Business Continuity Management Team who will explain the requirements, help facilitate workshops, and identify appropriate stakeholders including relevant business unit business continuity management teams. The Team can also provide examples of good practice.
17. The business impact analysis process will identify:
 - all stakeholders (where change impacts on other government departments, they also should be included);
 - the end to end view of how the change introduced by the project impacts on business delivery areas, critical activities, IT systems, and supporting services;
 - all critical activities supported by the process or the IT system introduced by the project;
 - the impacts over time on critical activities following the loss of the process or IT system introduced by the project;
 - and categorise the nature of any impacts using the following categories: financial, service delivery; reputation, health and safety, information security, statutory or regulatory obligations; business objectives and suppliers;
 - maximum tolerable period of disruption for each critical activity identified from the business impact analysis process, i.e. the maximum period of time the

Departmental Business Continuity Framework

Guide for projects

business can manage without these activities (or when these activities must be resumed by);

- priority order in which activities must be recovered;
- dependencies between critical activities, IT systems, suppliers and business partners;
- recovery time objectives – that is target times for the resumption of critical activities identified as part of the business impact analysis process. Recovery time objectives must be in advance of (i.e. shorter than) maximum tolerable periods of disruption and allow sufficient enough time for recovery actions to be completed; and
- identify the resources required to support the recovery of each critical activity in terms of people, premises, technology, suppliers, business partners and supplies.

18. On project closure, the business impact analysis documentation must be handed over to the system or process owner so that it can be updated as and when required, normally following significant business change.

Stage 2 - Developing a business continuity strategy

19. The next step for projects is to develop a business continuity strategy. The strategy must provide a plan of action to satisfy the business continuity requirements that emerged from the business impact analysis.

20. The business continuity strategy defines the project approach to meeting its business continuity and IT service continuity obligations. It describes how effective business continuity and IT service continuity arrangements and products will be delivered, tested, and handed over to the business. The Departmental Business Continuity Management Team will provide advice on approach and content.

21. The business continuity strategy must:

- identify existing business continuity arrangements and products, including existing IT Service Continuity Management products;
- identify gaps in existing business continuity arrangements and products i.e. identify where existing arrangements and products require revision;
- describe how the project will ensure the new or revised contingency plan will be delivered, giving consideration to people, premises, technology, key suppliers and partners and lastly supplies (this relates to secure print, printed output etc);
- make reference to the IT service continuity management products for projects introducing IT change;
- detail who will be involved in delivering any new or revised contingency plan, detailing all roles and responsibilities;

Departmental Business Continuity Framework

Guide for projects

- describe how the project intends to prove that the business continuity arrangements and products it delivers are fit for purpose through exercising and reviewing its plans;
- confirm that the resource is available to deliver the strategy;
- describe the “handover” process i.e. how new or revised business continuity arrangements and products will transfer to live operations; and
- provide an outline plan describing when activity is likely to take place to achieve this.

Stage 3 – Developing a contingency plan

22. A contingency plan is required to cover gaps in existing business continuity arrangements as a result of the introduction of a new process or IT system. It will outline the management response and the contingencies, including alternative working practices that are required in the event of a disruption to an IT system or process.
23. Where the business continuity strategy has identified the need for a contingency plan, it must include:
- Purpose and scope;
 - Ownership and invocation arrangements;
 - Interdependencies;
 - Management of any disruption including liaison with the Department’s disruption forum;
 - Roles and responsibilities;
 - Critical activities and essential services to be maintained during disruption;
 - Description of the contingency arrangements which allows business to maintain essential services and critical activities;
 - Details of resources required to implement the contingency; including people, premises, technology, suppliers, business partners and supplies ;
 - Communications strategy;
 - Recovery and stand down arrangements; and
 - Key contacts list.
24. Guidance and user instructions for staff and line managers may also be required, these can form part of the contingency plan or, if preferred, be a separate product.
25. The project is responsible for ensuring that the contingency arrangements for the new system or process is documented within the business continuity plans owned by operational business units. The Departmental Business Continuity Management Team can advise on this and provide examples of best practice.

Departmental Business Continuity Framework

Guide for projects

Stage 4 – Exercising and reviewing the contingency plan

26. All contingency plans must be exercised and proven fit for purpose. The business continuity strategy describes the exercise and review arrangements that apply. The Departmental Business Continuity Management will advise on exercising and scenarios.

Stage 5 – Handing over to live operations

27. The business continuity strategy will have described the process the project will follow to handover responsibility for the maintenance of business continuity arrangements and products to live operations. Handover to live operations can be completed once:

- key stakeholders and business continuity contacts are satisfied with the outcomes of any exercising that has taken place;
- key stakeholders and business continuity contacts have signed off all business continuity products;
- ownership has been discussed and agreed with the business; and
- new ownership details have been communicated to the user community.

Summary of Business Continuity Requirements by Lifecycle

28. The paragraphs that follow give a summary of the business continuity requirements at each stage.

Gate zero

29. Before Gate zero projects should make contact with the appropriate team lead within the Departmental Business Continuity Management Team. The contact details can be found on the team organisation page on the business continuity intranet site. They should be recorded as a stakeholder.

30. At Gate zero the Departmental Business Continuity Management Team contact will need sight of the:

- Project initiation document; and
- Strategic outline business case.

Preliminary design review

31. Before the Preliminary Design Review gate, work should have started on the business impact analysis. As the work on the business impact analysis progresses this should start to influence the content of the business continuity strategy.

32. The Departmental Business Continuity Management Team will need sight of the:

- Outline business case; and

Departmental Business Continuity Framework

Guide for projects

- High level business requirements, including non functional requirements for business continuity.

Critical design review

33. Before the critical design review gate the Departmental Business Continuity Management Team will expect work to have been completed on the first two stages of the business continuity requirements and the project would be expected to have started on the development of the contingency plan.
34. At the critical design review gate, the following is required:
- Business impact analysis completed;
 - Business continuity strategy completed; and
 - Assurance provided that development of the contingency plan has begun.
35. During the Design Changes Stage, the Departmental Business Continuity Management Team will need to quality assure and provide sign off for:
- full business case; and
 - detailed business requirements.

Operational readiness review

36. At the operational readiness review gate, the following is required:
- completed business impact analysis and business continuity strategy to have been kept under review; and
 - contingency plan completed, exercised and reviewed accordingly.
37. During the develop and test changes stage, the Departmental Business Continuity Management Team will need sight of the:
- updated Business Case; and
 - confirmation that IT Service Continuity arrangements have been successfully tested.

End project review gate

38. At the End Project Review gate the processes and procedures put in place will need to be handed to the respective business unit to incorporate the new processes into their operating models. These arrangements should be included in the handover documents produced at this stage.
39. During the Implement Changes Stage, the Departmental Business Continuity Management Team will need sight of the handover documents that confirm business continuity arrangements are handed over to the respective Executive agency, Client Groups or Corporate Directorates.

Departmental Business Continuity Framework

Guide for projects

Project business continuity plan

40. A project, as a newly formed team should have a business continuity plan to protect the delivery of the project itself. A separate plan is not required if the team's business continuity requirements are already part of an existing operational, directorate or programme level plan.
41. If a separate business continuity plan is required it should be developed as early as possible and completed by the Preliminary Design Review stage. A Framework Guide on Business continuity plans and planning is available.
42. As projects are finite these plans do not need to be subjected to a full scenario exercise. A desk check exercise of the procedures in the plan should be held to ensure that it is fit for purpose and understood by all key players.
43. A Framework Guide on Exercising a business continuity plan is available.

Departmental Business Continuity Framework
Guide to business continuity and information technology service continuity management

Departmental Business Continuity Framework
Guide to business continuity and IT service continuity management

Purpose

1. The purpose of this guide is to explain the relationship between business continuity and IT service continuity management.
2. The Department and its Agencies are heavily dependent upon IT systems to support and deliver key business processes. IT service continuity management is not just about the provision of reactive measures, but also about the following proactive measures:
 - reducing the risk of a disaster;
 - providing sufficient resilience that represents a value for money solution based on business requirements; and
 - ensuring Departmental IT is resilient and that DWP has the capability to withstand an IT disaster and maintain its reputation.
3. The Service and Integration Management Outsourced Team provides assurance across all suppliers and key elements of the Departmental live environment, so that in the occurrence of an IT service continuity event the impact to IT services is managed and that all stakeholders are prepared for the response.
4. For further information on IT service continuity management, see roles and responsibilities outlined on the Corporate IT intranet site. Guidance, processes and products for IT service continuity management can be found on the Corporate IT Change Lifecycle website.

Departmental approach for system recovery

5. All IT resilience arrangements and disaster recovery solutions should adhere to the Department's IT Service Continuity Management Policy Principles and Standards.
6. The Departmental approach for systems recovery is that recovery of an IT service should be effected in sufficient time to meet the business need. This is established via business impact analysis and the identification of the recovery time objective, which is the target time for the resumption of the IT service, before it impacts business delivery.
7. So for example, where business criticality requires IT to support payments to customers, the business may require the service to be up and running in one hour, in which case the IT solution should be fully resilient with automatic fail over within an hour.

Departmental Business Continuity Framework
Guide to business continuity and information technology service continuity management

Roles and responsibilities

Service providers

8. IT service providers are responsible for ensuring that technical recovery solutions are put in place to meet business requirements. These should be tested on a regular basis, in accordance with the contractually agreed annual testing schedule. Where solutions require engagement across service 'towers', e.g. hosting, network, desktop, application development and support, the DWP IT partner takes the lead supplier role.

Senior officers

9. All business units must have a senior officer who has responsibility for each IT system or systems. Their responsibilities include:
 - ensuring operational business continuity plans describe how the business unit will manage any threats to processes. This includes the loss of IT systems that support or deliver key business processes;
 - ensuring that all IT and telephony systems are supported by appropriate IT service continuity management arrangements. This ensures end to end business services are available when the business requires them;
 - representing the business unit in IT service continuity management related negotiations, meetings, and test exercises;
 - ensuring a contingency plan is in place to run in parallel with and support the IT provider's IT service continuity management plan and associated technical recovery plans; and
 - maintaining and updating IT systems to ensure that IT service continuity management arrangements meet the Departmental approach to achieve system security accreditation.

Resilience and disaster recovery solutions

10. Resilience and disaster recovery solutions are already in place for key IT systems that support Departmental core business including:
 - VME heritage legacy systems, primarily the benefit systems;
 - IBM legacy systems;
 - IBM systems running on the ACCORD platform, including the Child Support System, Child Support 2 and the Labour Market System;
 - Multi Function Server Farm;
 - Desktop applications; and
 - Customer Information System (CIS), and all associated infrastructure, including network connections and integration services.

Departmental Business Continuity Framework
Guide to business continuity and information technology service continuity management

11. The Departmental IT systems are currently based across two data centres at separate locations. From 2010, the older of these data centres will be replaced by a 'state of the art' data centre at another location. In the event of a disaster or major IT loss at one site, the other site can take over to provide service continuity.
12. Printed outputs are issued from one data centre and a separate print centre at another location. If one site fails, the other can be set up to handle all payment outputs and non payment printed outputs.
13. Details of the arrangements in place for complete or partial loss of a data centre are outlined in Part two of the Departmental Business Continuity Plan Major IT Loss which can be found on the Departmental Business Continuity Management Team intranet site.
14. Current disaster recovery arrangements are subject to annual technical exercises. Collaborative working groups, comprising of business representatives and service providers, are set up for each exercise to plan and implement the technical exercises and associated user testing.

Departmental Business Continuity Framework Guide for category and contract managers

Departmental Business Continuity Framework Guide for category and contract managers

Purpose

1. The purpose of this guide is to explain the business continuity aspects that need to be considered when setting up goods and service contracts. The provisions of this guide apply to both category and contract managers. For simplicity, the guide will refer to contract managers only.
2. Business continuity management is not just about ensuring that business continuity plans are in place across the Department. It is also vitally important to ensure that effective business continuity arrangements are present in goods and services contracts. There are many contracted activities, services and products, which are vital and often critical in directly supporting key Departmental business priorities. Examples of these are:
 - postal services;
 - secure print;
 - accommodation; and
 - courier services.
3. Contract managers need to maintain a schedule of business critical suppliers and keep this updated as new contracts are awarded or contracts concluded.

New contracts

4. Contract managers are responsible for ensuring that all contracts have terms in them covering business continuity and recovery plans. This is especially important for those contracts where a supply failure would seriously impact the Department's ability to function effectively. The level and depth of business continuity requirements is determined by assessing the impact and risks should the supplier/service fail.
5. Departmental contract managers are responsible for the evaluation and assessment of business continuity arrangements of prospective suppliers, when negotiating and letting new contracts. One method of doing this is to obtain evidence of the viability of key suppliers' continuity plans and their exercising and maintenance programmes.
6. Contract managers should expect contractors to be aligned to BS25999 and/or to provide evidence of:
 - business continuity strategy, business continuity plan(s), incident response and business recovery plan(s) to support the continuity of their own business;
 - contingency plans in place to ensure that they can continue to provide the contracted service product;
 - arrangements for regular maintenance and testing; and

Departmental Business Continuity Framework

Guide for category and contract managers

- confirmation that subcontractor business continuity arrangements are robust.
7. A Departmental contingency plan may also be required in the event of critical supplier failure and in certain cases may involve the use of an alternative supplier. Again, such contingency planning should not be completed without engaging the appropriate Departmental stakeholders. Contract Managers should discuss Departmental business continuity and contingency arrangements with contractors, as required, to progress mutually advantageous arrangements for contingency planning to protect contracted activities, services and products.
8. A questionnaire has been developed for use by contract managers when reviewing contracts. This questionnaire may also be useful during the early stages of negotiating and letting of a new contract.

Reviews of existing contracts

9. Contract managers should review suppliers' business continuity and contingency arrangements, to obtain assurance that the Department can rely on the suppliers' ability to manage disruption and continue to provide the contracted goods and services. Such reviews should also cover alternative suppliers.
10. Contract managers should take a risk management approach to the periodicity for reviewing existing contracts, targeting most efforts on business critical suppliers, including single points of failure. Such reviews should be completed at least on an annual basis and more frequently if required by the criticality of the contract. This could be done by:
- using a questionnaire approach to support face-to-face meetings; or
 - by correspondence, enabling contract managers to obtain responses in a standard format.
11. For existing contracts that do not contain business continuity provisions, contract managers should conduct an ad hoc review of the supplier's business continuity and contingency arrangements as outlined above. Business continuity provisions should be included at contract renewal.
12. A questionnaire for contract managers to use when reviewing suppliers' business continuity arrangements is available as a download from the Departmental Business Continuity Team intranet site.

Evaluation

13. Contract managers should:
- evaluate suppliers' responses to their questions/questionnaires in the light of the significance of the risk of losing the contracted provision;
 - ask to see further evidence and plans as required;
 - assess the nature of the contract and identify the business links and interdependencies; and

Departmental Business Continuity Framework

Guide for category and contract managers

- develop a good working knowledge of the supplier's business continuity arrangements, including an understanding of the dependencies and single points of failure.
14. If inadequate business continuity and contingency arrangements exist, contract managers should work with the supplier to improve the position, particularly in relation to contingency measures and single points of failure. This can be done by engaging the appropriate Departmental stakeholders and including the relevant business continuity teams in the process. This should ensure that any arrangements put in place meet business needs.
15. The Departmental Business Continuity Team is available to provide further advice to contract managers. Contact details can be found on their intranet site.

Departmental Business Continuity Framework

Guide to localised incident response

Departmental Business Continuity Framework

Guide to localised incident response

Purpose

1. The purpose of this guide is to outline the necessary steps to manage any localised incident and the arrangements needed to continue delivery of priority business.
2. This guidance aligns with the incident response structure as outlined in the British Standard on Business Continuity Management, BS 25999.

Notification

3. Notification of a disruption may come from a variety of different sources and the first task is to assess the immediate impact. As much information as possible should be obtained from the original source and this should be logged for future reference and audit purposes.
4. It is important to obtain the name and contact number of the person reporting the incident in order to establish the reliability of the information received. Before any business continuity plans are invoked, the information should be verified with the appropriate authority.
5. The Business Continuity Manager should notify their Executive Agency, Client Group or Corporate Directorate business continuity teams of localised disruption and when local business continuity plans are invoked. This will enable the teams to:
 - determine the impact of the disruption;
 - liaise with the appropriate specialist area responsible for managing the disruption; and
 - determine at what point the disruption becomes a business continuity event that warrants the invocation of the Executive Agencies, Client Groups and Corporate Directorates Business Continuity Plan.

Incidents involving the Emergency Services

6. If an incident is defined as an emergency by the Emergency Services, special arrangements will be implemented by one or all of the Emergency Services. Such an emergency will generally include the involvement, either directly or indirectly, of large numbers of people and will involve the large scale combined resources of the Police, Fire Brigade and Ambulance Service. An example of this is a fire, bomb or flood. The business continuity plan will still need to be invoked, but special provisions apply where the Emergency Services are involved. These can be found in the guide entitled 'Guide to incident response involving Emergency Services'. This guide includes details of the role of the incident control officer. Their contact details should be recorded in the business continuity plan key contacts list.

Departmental Business Continuity Framework

Guide to localised incident response

Invocation

7. The senior manager of the business unit or the business continuity manager would invoke the business continuity plan. This is required in circumstances where disruption to business critical activities has actually occurred or is deemed likely to occur.
8. Events that may lead to the invocation of a business continuity plan include those that will have an immediate impact on the business and threaten business critical activities. These can be categorised as those:
 - impacting on the ability to maintain business critical activities immediately, e.g. loss of electricity supply;
 - with the potential to affect the continuity of business critical activities e.g. loss of a major IT system; or
 - which escalate beyond normal management containment e.g. unavailability of staff due to a flu epidemic.
9. It is possible that a disruption may occur outside of normal office hours. As a consequence, it is important for all team members to be aware of business continuity arrangements and for all staff involved in decision making to have access to the business continuity plan at all times.
10. Many disruptions that occur within a building, division or team are managed by local management practices and will not result in the immediate invocation of a business continuity plan. However, these disruptions should be monitored to ensure that they do not escalate further.

Management

11. The appropriate business area should undertake management of a disruption. Incidents only become business continuity events when the initial disruption escalates into a situation that prevents business critical activities from functioning or threatens activities as outlined in the business continuity plan. Business continuity managers should be kept informed of potential disruptions, so they can be ready to invoke their business continuity plan, if required.
12. A key principle is that disruptions should be handled at the lowest level and the local business continuity plan will outline who should lead the management response and chair the business disruption forum. This would normally be a senior manager or the business continuity manager for the affected business area. It is recommended that an incident log of key issues and actions is kept, to assist when analysing the event and assessing any lessons learned.
13. The business continuity manager will set up the meeting of the business disruption forum, including the appropriate specialist area to manage the response and recovery for the affected business area. Roles and responsibilities for the business disruption forum should have been agreed in advance and documented in the business continuity plan. Good communications are vital in a disruption and are covered in more detail later in this Guide.

Departmental Business Continuity Framework

Guide to localised incident response

Incident Recovery Process

14. The recovery process begins when the cause of the disruption has been resolved. An action plan should be produced as part of the recovery process. The action plan should detail all backlogs of work, with explanations of how arrears will be cleared, by whom, and by when.
15. The decision to stand down and return to normal business operations should be made only when the senior manager of the business unit or the business continuity manager is satisfied that the disruption is over and the recovery process has been completed.
16. Any decision should be informed by available management information, which should be collected from key business contacts on a regular basis. When made, the decision to stand down should be communicated as quickly as possible to all key stakeholders with instructions for further distribution within their business units.
17. If the disruption has required the evacuation of all, or part of, normal work premises, it may be necessary to adopt a phased approach for the return of staff to their normal place of work. This should be done in accordance with business unit requirements as detailed in the local building plan by:
 - returning the most critical or sensitive groups of staff, or staff temporarily accommodated at an unsuitable alternative location;
 - returning key members of non critical groups of staff next: and
 - returning the remainder of staff after the return of other staff categories has been completed.

Lessons learned

18. A lessons learned report must be completed following consultation with all Business Continuity Team members and appropriate key stakeholders. This report should provide the following information:
 - What caused the disruption?
 - What went well?
 - Issues raised during the management of the incident.
19. In producing the lessons learned report, the incident log must be examined to obtain a clear picture of how the incident escalated and the actions that were taken to counteract it.
20. The existing response to loss of resources e.g. people, premises or technology in the business continuity plan should be reviewed to establish if they are correct and fit for purpose. Amendments must be made to the business continuity plan where appropriate and a revised version issued to all key contacts.

Departmental Business Continuity Framework

Guide to localised incident response

Communications

21. Communications need to be closely controlled during local business disruptions or incidents. Clear messages must be given to those affected and information regarding the impact and ongoing management should be clear to all staff.
22. The following paragraphs detail the specific communication responsibilities of groups and individuals.

Business continuity managers

23. Business continuity managers play a pivotal role in directing communications and actions during a disruption. They should ensure that their business continuity plan key contacts list is regularly updated at least quarterly and is stored in a suitable location, preferably securely off-site. Copies of the key contacts that include personal telephone numbers should be marked 'Restricted - Management'. Guidance on the use of protective markings in the DWP can be found on the Departmental Security intranet site.
24. Arrangements for customer telephony messages and telephony calls rerouting should be included in business continuity plans and brought into play immediately as a disruption to telephony occurs. This could include use of telephony messaging to control demand.
25. If a message is required on the staff emergency information line, the business continuity manager should contact the Departmental Business Continuity Manager who will agree and place the message and appropriate updates on the line. This service is available at all times, including out of hours.

Senior managers

26. Senior managers should ensure that effective mechanisms are in place to cascade information to all staff within their business area. These should be tested regularly.

Line managers

27. Line managers have a responsibility to maintain an awareness of Human Resources guidance and procedures that could relate to their staff. For Business Continuity purposes, managers should ensure hard copies of staff contact details are securely stored in the office and at home. This is to ensure staff can be kept informed of developments or alternative arrangements put in place to enable them to continue working. It should be noted however that staff are under no obligation to provide out of hours contact details.
28. Managers should ensure that all staff have a copy of the Departmental Staff Emergency card. Further details on how to obtain copies of these cards can be obtained by accessing the business continuity intranet site and selecting Emergency Information from the options available.

Departmental Business Continuity Framework

Guide to localised incident response

29. In instances where a message is placed on the DWP staff emergency information line, managers should ensure that staff are made aware the line is being used to provide updates on incidents / disruption that affect them.

Staff

30. Staff must maintain contact with their line managers and offices in line with local communications arrangements, which should be clearly defined by the business. To this purpose staff should ensure that they have access to their line manager's contact details at all times. The Departmental staff emergency card contains space for staff to record their manager's contact details.

31. In the event that the staff emergency information line is used to provide information on a major national / local disruption, staff should ensure that they regularly dial into the line for updates / information. Local management will advise on whether the staff emergency information line is being utilised.

32. For further information on the staff emergency card, staff emergency information line and general advice on what to do during a disruption, staff should access the emergency information link on the business continuity management intranet site. This can be located by accessing the DWP home page and selecting business continuity from the A-Z menu.

Regional Press Offices

33. Regional Press officers will support the business continuity manager in keeping customers up to date on the impact to customer service via local media channels. During the initial stages of a disruption, the local media may make requests for interviews or statements. Local managers, business continuity managers or staff must not deal directly with any requests of this type. Where local papers or community publications seek information direct from managers, they should be referred to the Regional Press Officers. They will provide support to local managers and help provide a consistent media message.

Departmental Business Continuity Framework
Guide to incident response involving Emergency Services

Departmental Business Continuity Framework **Guide to incident response involving Emergency Services**

Purpose

1. The purpose of this guide is to give a background of the special provisions that apply in the event of a major incident involving the Emergency Services.
2. Incident scene management at a major incident is the responsibility of the Emergency Services. Incident Control Officers must be aware of the command and control structures operated by the emergency services at the scene of an incident if confusion is to be minimised.

Incident Control Officer

3. For any such incident, the key contact will be the Incident Control Officer. The main duties of the Incident Control Officer are:
 - making an assessment of the incident;
 - contacting appropriate key staff;
 - liaising with Emergency Services;
 - establishing the number, if any, of casualties; and
 - establishing if buildings have been evacuated.
4. Local business continuity plans should provide the name, location and contact number for this nominated person.
5. In buildings covered by the PRIME Contract, where Trillium have an on site presence then they may act as the Incident Control Officer for the site.
6. Where Trillium do not have an on site presence, the role of the Incident Control Officer will fall to the appropriately nominated officer. In buildings where there is multi occupancy the nominated officer will be within the group considered to be the major occupier, which may in some instances be another government department.

Role of Emergency Services

7. A major incident may be declared by any officer of one of the Emergency Services. Despite the fact that what is a major incident to one of the Emergency Services may not be so to another, each of the other Emergency Services will attend with an appropriate pre-determined response.
8. Most major incidents can be considered to have four stages:
 - initial response;
 - consolidation phase;
 - recovery phase; and
 - restoration of normality.

Departmental Business Continuity Framework

Guide to incident response involving Emergency Services

9. In the event of a major incident being declared, all three Emergency Services will attend the scene, irrespective of whether the incident impacts on their area. Each of the Emergency Services adopts functions entitled gold, silver and bronze. These are role not rank related and equate to 'strategic', 'tactical' and 'operational' and are summarised as follows:
- **gold** is the commander in overall charge of each service. They are responsible for formulating the strategy for the incident. Each gold has overall command of the resources of their own organisation, but delegates tactical decisions to their respective silver;
 - **silver** will attend the scene, take charge, and be responsible for formulating the tactics to be adopted by their service; and
 - **bronze** will control and deploy the resources of their service within a geographical sector or specific role. They will implement the tactics defined by silver.
10. At each major incident, co-ordinating groups of the emergency service gold's are formed away from the incident. Their aim is to direct overall strategy. Close to the scene of the incident, a co-ordinating group of silvers will form a Joint Emergency Service Control Centre. They will jointly exercise their authority in a co-ordinated way. Both groups are chaired by the Police and will be supplemented with relevant senior local authority representatives.

Police cordons

11. Cordons are established around a scene to:
- guard the scene;
 - protect the public;
 - control sightseers; and
 - prevent unauthorised interference with property or evidence.
12. The Police will set up cordons with the other Emergency Services and agencies. There are likely to be three cordons:
- inner cordon;
 - outer cordon; and
 - traffic cordon.
13. Incident control officers and other key staff needing to enter buildings must seek permission to cross a cordon from the Police at the Scene Access Control point. This will be established outside the outer cordon. The Scene Access Control point will be responsible for checking the authenticity of and issuing cordon passes to non-emergency staff. Departmental staff seeking authority to cross cordons must only do so with the agreement of the Incident control officers and must liaise with the Emergency Services Liaison Officer if they require access, they must not deal directly with the Police.

Departmental Business Continuity Framework
Guide to incident response involving Emergency Services

Departmental casualties

14. Any casualties at the scene of a major incident will be the responsibility of the Ambulance service. If necessary, the Police will establish a Casualty Bureau where details on casualties, survivors etc will be collated and any enquiries fielded. The Emergency Services Liaison Officer will be the focal point for providing the Casualty Bureau with any information or documentation on the Department's staff.
15. In such emergencies, the Human Resources Major Incident process will be invoked, setting up a helpline for line managers to ring about staff who are unaccounted for.
16. In the event of casualties, managers should consider the use of counselling services offered by Right Corecare, telephone 0800 652 3304.

Security of people

17. The security and safety of people is paramount. In a major incident staff:
- should follow the instructions of the Emergency Services at all times;
 - could be separated from their valuables during the evacuation of a building or site. The Incident Control Officer should liaise with the police to establish how valuables can be retrieved; and
 - may seek assistance to travel home. Managers should make whatever arrangements are possible to ensure the safe passage of staff to their homes.

Security of premises

18. Security of premises is the responsibility of the local Facilities Manager for the major occupier or accommodation provider. In a disruption, they would be responsible for providing security for evacuated Departmental sites, subject to the direction of the Emergency Services.

Security of documents

19. No attempt should be made to remove papers from the scene of an incident unless agreed by the Emergency Services. However any papers with a protective security marking displaced at the scene should, with the agreement of the police, be retained securely by members of staff and advice sought from the Departmental Security Office about retention.

Departmental Business Continuity Framework **Guide to exercising a business continuity plan**

Purpose

1. The purpose of this guide is to explain:
 - why business continuity plans need to be exercised;
 - how to conduct an exercise; and
 - how to develop a scenario.

Why business continuity plans need to be exercised

2. A business continuity plan needs to be exercised to ensure that it is effective. The benefits of performing exercises are that they:
 - build confidence by providing practical training and awareness;
 - clarify roles and responsibilities;
 - confirm lines of communication;
 - allow specific details and actions to be checked;
 - provide valuable experience of responding to an incident/disruption;
 - enable validation of plans; and
 - ensure effective business recovery.
3. For assurance purposes a full exercise of the business continuity plan should be undertaken at least annually. In addition individual components/strategies may be exercised on an adhoc basis if required e.g. testing the communication strategy. The following paragraphs provide further details on the different types of exercises.

Desk check exercise

4. On completion of your business continuity plan or following any review of the plan, a desk check exercise should be undertaken to review and challenge the content of the plan. This should ensure that:
 - the plan is clear and makes sense to others;
 - all the people involved are accounted for;
 - any communication problems are identified;
 - any gaps in the plan are addressed; and
 - that the business recovery process is documented.
5. The desk check exercise involves reading through the plan from beginning to end to ensure that it is clear, concise and fit for purpose. A scenario is not required for a desk check exercise but it may be advisable to develop a checklist in advance to ensure that the plan reflects user requirements.

Departmental Business Continuity Framework

Guide to exercising a business continuity plan

Communications exercise

6. A communications exercise can be undertaken on an adhoc basis. This will involve developing a scenario specifically aimed at testing the communication strategy detailed within the plan to ensure that:
 - all contact details are correct;
 - key contacts/stakeholders fully understand their roles and responsibilities;
 - communication processes are clear and concise; and
 - the plan accurately reflects the agreed process for cascading / escalating important messages relating to an incident or disruption.
7. When exercising a communications strategy the following points should be considered:
 - who will need to be involved e.g. business continuity forum convened during a disruption, external contacts, senior managers;
 - what notice, if any, should be given to participants;
 - if the exercise will take place within normal business hours or out of hours;
 - if the lead contact for each area is unavailable to take part in the exercise, consider if deputies should be contacted; and
 - what information you would like participants to provide e.g. latest copies of business continuity plan, key contact lists etc.
8. A message should be sent to all participants detailing the scenario and any actions required. All recipients of the message should be asked to acknowledge receipt within an agreed time limit. At the end of the exercise, the returns may be analysed to identify:
 - how many recipients successfully received the message;
 - what time it was received; and
 - what time an acknowledgement of receipt was received.
9. The communications exercise could be run via email as opposed to the telephone or alternatively, a combination of both.
10. Any communication or message delivered during this type of exercise should make clear to people who are contacted that they are taking part in an exercise and not a real disruption.

Walk-through exercise

11. A walk through exercise should be completed at least annually and is an opportunity to test and challenge the completed plan with all stakeholders in response to a predetermined scenario. Dependent upon the type of exercise, e.g full or partial, a scenario should be developed that will test all/certain aspects of the plan.

Departmental Business Continuity Framework

Guide to exercising a business continuity plan

12. A full exercise should test the full end to end business continuity process identified within the plan from the initial outbreak of the incident / disruption through to the completion of lessons learned and the business recovery process.

Partial walk-through exercise

13. A partial walk-through exercise may be undertaken on an adhoc basis and is designed to test individual components of the plan to ensure that they are accurate and fit for purpose. For example, a scenario may be developed that would test the invocation and escalation process within a business continuity plan.

14. Dependent on your organisational structure, the plan may need to be exercised with different teams separately before moving on to run a full/partial walk-through exercise, involving all key stakeholders. This type of exercise should help:

- to establish how the plan responds to a given scenario; and
- check that the plan enables practical recovery.

15. It is important that a different scenario is used for each exercise to ensure that all components of the plan are fully tested.

Defining exercise objectives

16. Objectives for the exercise should be defined from the outset to ensure all participants are clear on what outcome the exercise has been designed to achieve. For example, objectives could be to:

- confirm an overall understanding of the plan;
- confirm that all key people understand their roles and responsibilities in the operation of the plan;
- confirm communication arrangements outlined in the plan are fit for purpose;
- identify the impact on any linked / interdependent plans;
- confirm equipment, accommodation and services as documented in the plan are appropriate and available; and
- test the effectiveness of recovery and the ability to resume business.

17. Once objectives have been established and agreed, a suitable scenario should be developed to test the plan and achieve the required objective(s).

How long should an exercise take?

18. Exercises run using simulated time. This allows time to be compressed so that a plan can be tested in one session. Two hours should give enough time to carry out an effective exercise.

Invitation to attend the exercise

19. When the objectives have been established, the appropriate stakeholders should be invited to participate in the exercise.

Departmental Business Continuity Framework

Guide to exercising a business continuity plan

20. In reality an incident or disruption can happen without warning, so if a key stakeholder is not available to attend the exercise a deputy should be invited. This ensures that all key business areas are fully represented.
21. The participants should receive formal notification of the exercise in advance. This should:
- give the proposed date;
 - state the objectives; and
 - confirm the participant's role/ what is required of them.

Role of the facilitator

22. The facilitator is responsible for the running / coordination of the exercise. It is not necessarily the person who has written the plan.
23. The facilitator sets the scene of the exercise and provides participants with a briefing stating the purpose, aims and objectives. The facilitator should also state what, if any, additional documentation the findings of the exercise will feed into e.g. lessons learned, assurance reports etc.
24. The facilitator should reveal the events in stages throughout the period of the exercise. The events listed in the scenario will call for action and response from the teams involved in the exercise. It may be useful for the facilitator to devise a range of prompts in advance to promote discussion on various aspects of the scenario and the potential impact. Examples of how these have been incorporated in the scenarios are shown in Appendices 1 to 4.

Role of the scribe / minute taker

25. A scribe / minute taker, who is not involved in the exercise should record key issues / action points that emerge. These will then be used to inform the lessons learned report and subsequent action plan.

Lessons learned

26. Lessons learned should always be identified as part of any exercise. The purpose of this is to:
- record the results of the exercise so that corrective action can be taken when appropriate;
 - perform a check at a later date to ensure that this corrective action has been carried out;
 - identify the impact on any linked/interdependent plans; and
 - identify any areas of the business continuity plan that may need reviewing/revising.
27. All participants involved in an exercise should be provided with a copy of the results of the event. Consideration should also be given to providing other

Departmental Business Continuity Framework

Guide to exercising a business continuity plan

relevant managers, e.g. at Executive Agency, Client Group, Corporate Directorate level etc with any lessons learned reports that have been issued.

28. The regular exercise of business continuity plans forms part of the assurance required for completion of the Departmental Statement of Internal Control. For further information see the document called 'Guide to validation and assurance'.

How to develop a scenario

29. In order to conduct a full / partial exercise of your business continuity plan it is necessary to develop a suitable scenario. The scenario should open with a brief description that identifies the nature of the incident / disruption and provides an indication as to the severity e.g. 'there is a sudden power failure affecting the office'.

30. This will enable participants to gauge the initial impact and identify immediate actions that can be taken as part of the invocation / escalation process.

31. The scenario should be:

- a narrative containing a sequence of events that is likely to occur as a result of the incident; and
- written with the aim of prompting participants to respond to a series of events that unfold over a course of time.

32. A scenario should be kept brief and should not be written in a way that tells participants how they should respond or in a way that leads them down a particular course of action.

33. Examples of appropriate scenarios which may be adapted to suit requirements can be found in the attached Appendix. Alternatively you may prefer to develop your own scenario to be more in line with local business continuity planning requirements.

Appendix 1

Flu Pandemic Scenario

Background

This scenario focuses on a National flu pandemic. As the scenario develops, consideration should be given to what impact reduced staffing levels could have on core businesses priorities and business critical functions. This scenario may be used to highlight how a disruption can escalate to a point where the Executive Agency/Client Group/Corporate Directorate/Departmental plans are invoked.

When working through the scenario, consideration should be given to what local business functions support the Departmental priorities and how these functions can be maintained with reduced staffing levels.

Phase 1

| | |
|-------------|-------------|
| Insert date | Insert time |
|-------------|-------------|

Line managers are reporting high levels of staff absence due to sickness. Staff are phoning in sick with flu symptoms or requesting time off to look after children as many schools have had to close due to staff illness.

Facilitator prompt:

- What action would be taken at this time?

Phase 2

| | |
|----------------|-------------|
| One week later | |
| Insert date | Insert time |

Notification has been received that the Departmental Business Continuity Plan has been invoked as the situation has escalated to a National level.

Facilitator prompt:

- What impact would this have on local business processes/plans?
- What action would be taken on a local level to maintain Departmental Priorities?

Phase 3

| | |
|-----------------|-------------|
| Five days later | |
| Insert date | Insert time |

Departmental Business Continuity Framework Guide to exercising a business continuity plan

Localised staff absence has now reached 50%

Facilitator prompt:

- What impact would this have on local business processes/plans?
- What action would be taken on a local level to maintain Departmental Priorities?

Phase 4

| | |
|-----------------|-------------|
| One month later | |
| Insert date | Insert time |

90% staff have now returned to work. The decision has been made to stand down the Departmental Business Continuity Plan and begin the recovery process.

Facilitator prompt:

- What impact will this have on local business processes/plans?
- How will the decision to stand down contingencies be communicated to staff/customers?
- What additional action needs to be undertaken to facilitate the recovery process?

Additional points for consideration

Local plans would be invoked when an incident / disruption occurs that affects a specific office/region.

When exercising local plans, consider:

- the impact that a higher than average staff absence would have on your core business priorities and at what stage contingency process would be applied; and
- how the invocation of a high level plan can impact your core business priorities and ensure that this is reflected in your business continuity plan.

Examples of scenarios involving local plans could include:

- high levels of sick absence due to isolated infectious disease outbreak;
- prolonged severe weather resulting in staff unable to attend office and school closures;
- implementation of emergency service cordons preventing staff attending their usual place of work e.g. bomb threat, major gas leak, white powder incident etc.

Appendix 2

Loss of premises scenario

Background

The following scenario focuses on a local disruption involving a fire in a Departmental building. When working through the scenario, consideration should be given to how long contingency options can be maintained before alternative accommodation must be secured for all staff.

Phase 1

| | |
|-------------|-------------|
| Insert date | Insert time |
|-------------|-------------|

During the night there is a fire on one of the floors of the office. The fire brigade are called and Estates have been notified. At 08.00am the situation is as follows:

- The fire brigade have put out the fire but will not permit access until they complete their assessment.
- The Business Continuity Manager has been informed by Estates of the situation and any further information will be communicated to the Business Continuity Manager via the Incident Control Officer.

Facilitator prompts:

- What initial action should be taken/if any?
- How would you deal with requests from media companies / enquiries about this incident?
- What are your Business Unit priorities?
- How will you decide who should be able to access the building and what Departmental items they will be allowed to remove?
- How have you kept customers informed of this situation?

Phase 2

| | |
|---------------|-------------|
| One day later | |
| Insert date | Insert time |

Following an assessment of the damage, Health and Safety have advised that the building is likely to be closed for a minimum period of two months for repair and refurbishment. This information has been communicated to the business continuity manager via the Incident Control Officer.

Facilitator prompts

Departmental Business Continuity Framework
Guide to exercising a business continuity plan

- In view of this information what action if any would you take to re-house staff at other locations?
- What communication messages need to be made available?

Phase 3

| | |
|------------------|-------------|
| Two months later | |
| Insert date | Insert time |

Full access to the building has now been made available.

Facilitator prompts:

- What is your strategy for ensuring a smooth and co-ordinated return of all staff to your building?
- Is there any thing else you need to consider, e.g. IT requirements etc?
- What do you tell Departmental staff, suppliers, third parties and customers?

Additional points for consideration

This scenario may be adapted to test your plans response to short term loss of premises.

Dependent on the severity of the incident the building may remain open, in which case consideration should be given to invoking team plans for those areas of the building directly impacted. In instances where the whole building is impacted i.e. severe fire etc, it is likely that the building plan will be invoked, to facilitate the short term / long term relocation of staff.

To ensure consistency of approach, it is imperative that any changes to your team / section relocation requirements that are identified during the exercise, are reflected in all interdependent / linked plans.

Examples of scenarios involving local plans could also include:

- Partial flooding of Departmental building; or
- Asbestos contamination for older buildings.

Appendix 3

Power cut scenario

Background

This scenario focuses on a loss of power and the impact that has on our premises and service to customers.

Phase 1

| | |
|-------------|-------------|
| Insert date | Insert time |
|-------------|-------------|

During the night there is a major power cut affecting electricity suppliers within _____ area. By morning the electricity is still off. The electricity board state that they are working on the problem but cannot give a time when normal service will be resumed.

Staff at offices within the locality are unable to access their IT systems. Fax facilities are also unavailable. Schools within the area have advised that they will be closed and members off staff with child care responsibilities are requesting time off.

Facilitator prompts:

- What immediate action can be undertaken?
- What messages would go out to customers?
- How would these messages be communicated?
- What health and safety implications need to be considered?
- What options are available?

Phase 2

| | |
|-----------------|-------------|
| Two hours later | |
| Insert date | Insert time |

Electricity providers have provided an update to state that power cut has been caused by a fault in underground cables and it is anticipated that it will take another 24 hours before this can be repaired.

Facilitator prompts:

- What action would you take?
- What messages need to go out to staff / customers?
- How would these messages be communicated?
- What further action can be taken?

Departmental Business Continuity Framework
Guide to exercising a business continuity plan

Phase 3

| | |
|----------------|-------------|
| 24 hours later | |
| Insert date | Insert time |

Electricity providers have confirmed that the problem has been fixed and they are operating a phased switch on to customers to prevent a power surge. They have confirmed that DWP is 'priority 1' and will have power restored immediately.

Facilitator prompts:

- What action needs to be taken to return to business as usual?
- How messages need to go out to customers and staff?
- How will these messages be communicated?
- What about staff who have children in schools that are still closed?
- What follow up action will need to be taken as part of the lessons learned / recovery process?

Further points for consideration

Consideration should be given to the time of year. In winter months, the daylight hours are shorter and this could impact on health and safety decisions on keeping offices open.

Other examples include:

- Loss of water / gas supply; or
- Fuel disruption.

Appendix 4

Postal dispute scenario

Background

The following scenario is based on a Departmental contingency process, the Alternative Distribution Channel, that is available to provide alternative means for delivering cheques to customers in the event of a prolonged disruption to postal deliveries. When working through this scenario, consideration should be given to the impact the invocation of a National contingency would have on local plans / processes.

Phase 1

| | |
|-------------|-------------|
| Insert date | Insert time |
|-------------|-------------|

Notification has been received that there has been an unofficial walkout of Royal Mail staff at _____ delivery office. Both delivery and collection services are affected.

Affected Post code areas are _____ and _____.

Facilitator prompts:

- What impact will this have on your business?
- What immediate action can be taken?
- How will this information be communicated to staff and customers?
- What messages will need to go out to the media (if any)?
- How will the situation be monitored?
- What action needs to be taken re urgent / next day payments e.g. arrange counter payments etc.?

Phase 2

| | |
|-------------|-------------|
| Insert date | Insert time |
|-------------|-------------|

Four hours later notification is received that other delivery offices have also walked out in support of their colleagues.

Post codes affected are _____

Royal Mail contacts confirm that management are currently meeting with the Communications Workers Union representatives in an attempt to resolve the situation. The Departmental Business Continuity Management Team is monitoring the situation in the event of further escalation.

Facilitator prompts:

Departmental Business Continuity Framework
Guide to exercising a business continuity plan

- What preparations would need to be made in the event the Alternative Distribution Channel is invoked for prolonged localised / national postal disruption?
- Consider any media messages / lines to take required at this stage?
- What information will be communicated to staff / customers?

Phase 3

| | |
|----------------|-------------|
| 24 hours later | |
| Insert date | Insert time |

The situation has escalated further and several more delivery offices have walked out. The Postal Contingencies Forum has confirmed that Alternative Distribution Channel will be invoked for the affected postal areas.

Facilitator prompts:

- What impact will this have on your business priorities?
- What messages will need to be communicated to customers and how these will be distributed?
- What information will need to be given to staff about the invocation of Alternative Distribution Channel and the impact it will have on customers?

Phase 4

| | |
|----------------|-------------|
| One week later | |
| Insert date | Insert time |

Following successful negotiations, Royal Mail has confirmed that all staff will return to work with immediate affect.

Facilitator prompts:

- What action will need to be taken to facilitate return to business as usual?
- What messages will need to be communicated to media re customers impacted by Alternative Distribution Channel invocation i.e. when will they revert back to receiving cheque payments delivered to home addresses?
- What other action needs to be taken?

Appendix 5

Loss of technology scenario

Background

The scenario below focuses on the loss of legacy benefit systems in a local office.

Phase 1

| | |
|-------------|-------------|
| Insert date | Insert time |
|-------------|-------------|

Staff arriving for work find they have no access to benefit processing systems within their building. The FLLS or CSO explains that the IT provider is investigating the cause of the problem but confirmed the problem is isolated to one location.

At 12.00pm, the IT provider is still investigating the reason for the loss of IT. Indications are that the problem will not be resolved today.

Facilitator prompts:

- What action would be considered appropriate at this stage?
- What actions do you now take?
- What information do you need to make informed decisions?
- Would you invoke your business continuity plan?

Phase 2

| | |
|---------------|-------------|
| One day later | |
| Insert date | Insert time |

The incident has not been resolved overnight. The FLLS or CSO explains that the IT provider has confirmed it knows what the problem is but cannot complete a fix until the next morning.

Facilitator prompts:

- What do you tell customers?
- Do any other organisations/people need to know what is happening?
- What contingencies do you have available in order to keep your key business functions working?

Phase 3

| |
|---------------|
| One day later |
|---------------|

**Departmental Business Continuity Framework
Guide to exercising a business continuity plan**

| | |
|-------------|-------------|
| Insert date | Insert time |
|-------------|-------------|

Staff now have access to their benefit processing systems.

Facilitator prompts:

- How is this information communicated to staff and customers?
- How do you manage the return to steady state working?

Other examples of loss of technology could include:

- Loss of telephony; or
- Loss of Intranet facility.

Departmental Business Continuity Framework
Guide to business continuity validation and assurance process

Departmental Business Continuity Framework
Guide to business continuity validation and assurance process

Purpose

1. The purpose of this guide is to provide an overview of accountability and assurance in relation to Business Continuity Management arrangements across the Department.
2. It should be noted that the effectiveness of the Departmental Business Continuity Plan depends on the robustness of all the underlying business continuity plans and contingency arrangements.
3. This guide describes the validation and assurance process up to 29 May 2009. Further guidance will be issued after this date to align with the principles contained in the Departmental Business Continuity Framework and with BS25999.

Accountability and ownership

4. As part of effective governance, Executive Agencies, Client Groups and Corporate Directorates, Chief Executives and Heads of Profession manage the key risks to deliver their agreed business objectives and targets. A key component of this responsibility is ensuring that the business continuity process is correctly introduced, adequately supported and established as part of the Department's culture.
5. Business Continuity Directors and Managers have a responsibility to provide assurance to their Executive team members that business can be maintained in the event of a disruption.
6. The Departmental Business Continuity Management Team is responsible for:
 - policy and guidance for business continuity management across the Department;
 - maintaining the Departmental Business Continuity Plan;
 - seeking assurance that Executive Agency, Client Group and Corporate Directorate business continuity plans and processes are in place and fit for purpose;
 - providing assurance to the Departmental Business Continuity Director that all business areas within the Department have in place robust business continuity arrangements; and
 - overall accountability for business continuity management and for ensuring the continued success and monitoring performance of this capability.

Departmental Business Continuity Framework

Guide to business continuity validation and assurance process

Formal validation and assurance process

7. A formal validation and assurance process must be established to ensure that lower level business continuity plans are consistent and underpin Executive Agencies, Client Groups and Corporate Directorates' high level plans.
8. To achieve the required levels of validation and assurance business continuity managers must be able to demonstrate that:
 - business continuity plans are in place within their business areas, they are robust and fit for purpose; and
 - business continuity plans comply with the principles detailed within the Departmental Business Continuity Framework.
9. The business continuity validation and assurance process outlines the steps that should be followed to help obtain the appropriate levels of validation and assurance.
10. Business units may develop their own methodology to meet their own business area's validation and assurance requirements. For example, Pension, Disability and Carers Service uses its own Business Continuity Assessment Framework and Assessment Programme as the means for validating and providing assurance on its business continuity plans. However sufficient information must be available to enable:
 - completion of the Business continuity assurance certificate; and
 - senior officers to complete letters of assurance.
 - Details of the Letters of Assurance process can be found on the Law, Governance and Special Policy Group intranet site using the Governance A – Z. [Letters of Assurance](#)

Departmental Business Continuity assurance certificate

11. When the validation process has been concluded, it is **mandatory** that a business continuity assurance certificate is completed. A separate document can be found called 'Business Continuity Assurance Certificate' as part of the Departmental BC Framework on the Departmental Business Continuity Team intranet site. This document can be downloaded and completed as necessary.
12. The certificate should be completed by the Business Continuity Director or Manager responsible for business continuity, based on the information supplied to them by business continuity planners at all levels.

Business Continuity Management validation process

13. A validation process ensures that plans are checked by an independent source to ensure that they conform to specified guidelines in the Departmental Business Continuity Framework.
14. The Business Continuity Director for each Executive Agency, Client Group and Corporate Directorate should decide what percentage of validation will give them

Departmental Business Continuity Framework

Guide to business continuity validation and assurance process

the level of assurance needed to determine that plans are current and fit for purpose.

15. Validation levels should be realistic and set criteria used as a benchmark for validation. Executive Agency, Client Group and Corporate Directorate business continuity teams are responsible for: -
 - determining the selection criteria that should encompass a cross section of their business areas - teams may either visit business continuity managers or ask to see electronic copies of business continuity plans; and
 - reviewing selected plans to establish if they have been developed in line with the Departmental Business Continuity Framework;
 - identifying areas where business continuity plans are not in place;
 - identifying any risks and addressing immediately;
 - analysing and reporting their findings to their Business Continuity Director/Manager.
16. The Departmental Business Continuity Team will validate Executive Agency, Client Group and Corporate Directorate high level plans to ensure that they conform to Departmental requirements.
17. An example of a business continuity validation form, which may be used to support this process, can be found as a separate document on the Departmental Business Continuity Team intranet site, under 'Plans and Guidance, Departmental BC Framework'. The document can be downloaded and completed as necessary.

Business Continuity Management assurance process

18. When the validation process is completed, a report based on their findings should be provided to the Business Continuity Director or Manager.
19. An assurance certificate should also be sent with the report to the Business Continuity Director or Manager for sign off. On receipt of this report, the Business Continuity Director or Manager will consider the findings of the validation exercise and complete the business continuity assurance certificate.
20. The assurance certificate covers the previous twelve months starting from 1 April and finishing on 31 March. The completed certificate should then be sent to the lead Departmental Business Continuity Team contact for your Executive Agency, Client Group or Corporate Directorate.
21. On receipt of all assurance certificates the Departmental Business Continuity Manager will include a report on business continuity assurance in the quarterly update on security and business continuity for the Executive Team and the strategic risk register.