

Departmental Business Continuity Framework

Part 3 - Templates and Completion Notes

Departmental Business Continuity Framework

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Version: 1.00

Departmental Business Continuity Management Team

Issue date: April 2009

Business Impact Analysis

<Business Unit Name>

Business impact analysis

Version no:

Date:

Author:

Owner:

Version: 1.00

Departmental Business Continuity Management Team

Issue date: April 2009

Business impact analysis template

Priority, e.g 1 to 4 – see guidance notes	Critical activity	Minimum number of staff	Premises	Technology	Key suppliers and partners	Supplies	Output
Example - 1	Example - Benefit processing	Example - 10	Example - Operation site	Example - Customer Information System	Example - Royal Mail	Example - Claim form	Example - Benefit payments to customers

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Departmental Business Continuity Framework

Notes for completing a Business Impact Analysis

Priority rating: Note: When considering your priority rating, input notes to show any fluctuations, eg some tasks are more critical at certain times of the year/month.	1	Immediate work that must be resumed between 0 - 24 hours of the incident occurring. For example, the payment of benefit to DWP customers.
	2	Urgent work that must be resumed between 24 hours to one week of the incident occurring.
	3	Routine work that must be resumed between one week -one month of the incident occurring.
	4	Pending work that can be put on hold and resumed sometime later than one month.
Critical activity	Consider your business plan, targets, service level agreements etc and identify all critical activities.	
Minimum number of staff:	Show the minimum number of staff needed to perform the key tasks.	
Premises:	Show the location where these tasks are performed.	
Technology:	List technology that the critical activities identified are reliant upon, eg Income Support Computer System (ISCS), Pension System Computer System (PSCS), Customer Information System (CIS), Resource Management (RM), and printers	
Key suppliers and partners:	List the key suppliers and partners that these tasks are dependent upon, for example, the Department is reliant on Royal Mail to deliver correspondence and payments.	
Loss of supplies:	List the supplies that tasks identified are reliant upon. This includes claim forms, secure print and printed output stationery.	
Output:	Show details of the output of this task and where delivered to/provided. For example DWP benefit payments to customers via cheque / direct payment into bank accounts / Post Office Card Accounts (POCA).	

Departmental Business Continuity Framework

Business Continuity Plan Template

Reminder – Before completing the Business Continuity Plan you should have completed a the Business Impact Analysis. Use the attached link to find a copy of the Business Impact Analysis Template .

[View Guidance notes for completing the Business Continuity Plan Template.](#)

<Business Unit Name>

Business Continuity Plan

Version no:

Date:

1. Document Control

Document title	
Author	
Owner	
Authority to invoke	
Doc version/status	
Date issued	

Version history

Version	Date	Summary of changes

Distribution

- All key contacts will receive an abridged version of the plan
- Key contacts marked with an asterix * will receive a controlled version of the plan

Note: Controlled copies of the key contacts (which 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.

Business Continuity Plan maintenance

Key contacts list	Quarterly
Full review	Annually
Ad hoc review	Following plan rehearsal

History of Business Continuity Plan tests (exercises and actual invocations)

Exercise date	Type of exercise and location
<i>Example:</i> 01/11/06	<i>Example: Loss of IT systems due to power surge at RDC</i>

Interdependencies and linked plans (plans that may impact on your Business Continuity Plan or processes)

Document title	Contact *
<i>Example: Legal Group Business Continuity Plan</i>	<i>Mr A.N Other – Tel Number:</i>

*any numbers included in here should be incorporated in the contact list

Contents

Section	Page number
Abbreviations	
Purpose and scope	
Strategic aims and objectives	
Roles and responsibilities	
Communication arrangements	
Threats and contingencies	
Loss of people	
Loss of premises	
Loss of technology	
Loss of key suppliers and partners	
Loss of supplies – stationery and secure print supplies	
Annex 1 Contact List and plan distribution	

Abbreviations

<i>BCP</i>	<i>Business Continuity Plan</i>

2. Purpose and scope

3 Strategic aims and deliverables

4 Roles and responsibilities

5 Communication arrangements

6 Threats and contingencies

- Loss of people

Note: to be completed in consultation with the business impact analysis

Critical activity as identified in the Business impact analysis	Priority Rating	Minimum number of people required to undertake this role	Name(s) of person in job currently undertaking this role	Names of staff who have the skills / training required to cover this area of work
<i>Briefing ministers</i>	<i>1</i>	<i>1</i>	<i>Staff member A</i>	<i>Staff member B,C&D</i>

- Loss of premises

Location 1: Note: Copy and paste the table as needed to cover more staff locations if you have them. If completing a high level plan you will not need to provide specific details on IT, telephony and office equipment requirements as this information will have been captured in lower level plans. Instead you should adapt and populate this table to provide a strategic overview of your business requirements.

Period of unavailability	Critical activity as identified in the business impact analysis	Staffing numbers	Location and type of premises	IT and telephony, Office furniture and other equipment	Contingency options (e.g. buddying arrangements, reciprocal agreements etc)
Immediate within 0 - 24hrs					
Urgent from 24 hrs - one week					
Routine From one week – one month					

Departmental Business Continuity Framework - Business Continuity Plan Template

- Loss of technology

Period of unavailability	Identified critical activities that use IT applications, infrastructure and hardware	IT applications, infrastructure and hardware used	Business impact if IT applications, infrastructure and hardware not available	Contingency	Central Guidance/ Instructions
Immediate within 0 – 24 hrs					
Urgent from 24hrs – one week					
Routine From one week – one month					

- Loss of key suppliers and partners

Period of unavailability	Identified critical activities that are dependent on key suppliers and partners	Name of key supplier or partner used to deliver business/task	Business impact if key supplier or partner cannot provide service	Contingency	Central Guidance/ Instructions
Immediate within 0-24hrs					
Urgent From 24 hrs – one week					
Routine From one week – one month					

Departmental Business Continuity Framework - Business Continuity Plan Template

- Loss of supplies – stationery and secure print supplies

Period of unavailability	Identified critical activities that use supplies	Type of supplies used, e.g. stationery, claim forms	Business impact if supplies cannot be provided	Contingency	Central Guidance/ Instructions
Immediate within 0-24hrs					
Urgent From 24 hrs – one week					
Routine From one week – one month					

Annex 1 Contacts list and Business Continuity Plan distribution

Note – Contact lists containing out of office details should be marked 'Restricted Management' and not be subject to general distribution

First name	Surname	Role/responsibility	Office telephone	Email address
Executive Agency/Client Group or Corporate Directorate Business Continuity Management Team				
Business Continuity Contacts				
		Departmental business continuity manager		
		Deputy Departmental business continuity manager		
Interdependent or Linked Plan Owners Contacts				
Key Emergency Numbers				
		Incident Control Officer		
Right Corecare				
DWP Emergency Information Line				

Departmental Business Continuity Framework

Notes for completing the Business Continuity Plan template

1	Document control
Summary	Incorporates the following elements: <ul style="list-style-type: none">• Document title;• Author;• Owner;• Name of person with authority to invoke plan and their nominated deputy;• Document version number and if the product is Draft or Final; and• Date plan was issued.
Version history	Table incorporating versions of plan and notes box for details of why version was commissioned. For example, Version 3 reviewed following annual rehearsal.
Distribution	Cross reference to contacts list as all key contacts should receive a copy of the plan.
Plan maintenance	Approved schedule for the maintenance of plan. This section should detail how often the plan should be reviewed. It may be appropriate that specific aspects of the plan will be reviewed more frequently than others, e.g. the key contacts list. It is important that when reviewing certain sections of the plan, consideration is given to how the changes impact on other areas of the plan.
History of Business Continuity Plan tests (exercises and actual invocations)	This section should be used to record the dates and outcomes of exercises and invocations. It may be appropriate to cross reference to the lessons learned documentation for each exercise / invocation.
Interdependencies and linked plans	List all plans that are interdependent or linked to your plan. This could include Executive Agencies, Client Groups, Corporate Directorates, building plans 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.
Contents Abbreviations	List the full contents of the document in sequential order. If using abbreviations throughout the document, an abbreviation list should be included at the beginning of the document, immediately after the contents list. Throughout the document, the

words to be abbreviated should be printed in full, the first time used, following that an abbreviation may be used. If abbreviations are not used within the document, an abbreviation list will not be required.

2

Purpose and scope

Insert a brief paragraph outlining the purpose of the document and what the aims and objectives are. This should include where this plan fits into other organisational / departmental plans. An example of the text that may be used is shown within the template document.

3

Strategic aims and deliverables

Strategic aims and objectives must be used to identify business critical activities and processes which will enable you to mitigate potential disruption to these areas. In order to plan effectively it is essential that you understand your business and are able to identify what activities or processes are essential. This information could come from your business plan and should include business unit or directorate service delivery priorities. The impact of any anticipated changes should also be analysed and incorporated wherever appropriate.

4 Roles and responsibilities

Roles and responsibilities should have been considered in advance and documented within the plan:

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 has overall responsibility for managing the incident, including nominated deputies wherever possible?
- who has authority to invoke the plan and in their absence who would have authority. This should not be restricted to two people and needs to show the pecking order as who would be the next in the chain of command to take responsibility for invoking the plan.
- 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.

5 Communication arrangements

It is essential when developing a Business Continuity Plan, that a robust communication strategy is in place.

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 notify staff.

Note: 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.

6 Threats and contingencies – to be completed in consultation with the Business Impact Analysis

Before completing this section, you should ensure that you have completed a business impact analysis.

When completing the tables contained within the threats and contingencies section, you should consider the type of plan you are developing when determining the level of information that should be documented.

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.

Unavailability of people

This table should be completed in line with the business impact analysis and should incorporate all business critical activities identified in priority order.

Within this table the minimum number of people required to undertake the roles should be identified. The names of the staff members who currently work within the identified work area should be recorded in the fourth column.

The final column 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

When completing this section, 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 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:
 1. 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
 2. 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.

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.

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.

Current requirements for premises:

This section should list details of what premises which are currently being used. Staff numbers of team within each site

should be recorded in addition to critical activities that are normally conducted from this location.

For ease of reference you should also list what IT and telephony is in use currently, in addition to office furniture and equipment. Immediate requirements in the event of a disruption / loss of premises within 0- 24 hours:

This section of the template should be used to record 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 recording staff numbers within the immediate requirements section, you should record the minimum number of staff who need to relocate to an alternative work area within 24 hours. In order to populate this, you will need to consider the business critical activities that you have identified within your Business Impact Analysis and how many staff you require to complete these work areas.

You will also need to record details of your immediate requirements in relation to telephony, IT, fax machines etc. Departmental mobiles phones and laptops etc could be used to enable staff to work remotely.

Urgent requirements from 24 hours - one week:

This section should be used to record what type of premises you would need for staff to relocate to after 24 hours up to one week e.g. other government building, portacabin etc. When completing this section, consideration should be given to other areas of work that may have been lower priority immediately following the incident / disruption, but may become more urgent, the more time that passes.

All work objectives, key jobs or tasks that need to be covered within one week of the disruption should be recorded, as well as additional numbers of staff required to relocate in order to carry out these work areas.

Additional IT / telephony / furniture requirements may need to be recorded to ensure that the alternative working site is fully operational and available for use.

Routine requirements from one week - one month:

This should detail premises requirements for a period after one week. As with the previous section of the template, consideration should be given to information recorded on the Business Impact Analysis and urgent tasks / key jobs that need to be completed within a month of the disruption.

This may also impact on the number of staff for relocation which will also impact on the IT / telephony requirements for a more prolonged disruption.

Loss of technology

This table should be used to record details of the technology which your business is dependent on e.g. IT systems. When completing this table you should consider, carefully the full impact that the unavailability of the process would have on your internal and external customers and the delivery of the Departmental priorities.

In addition to the immediate impact you should also consider the impact on business if the process was unavailable for a significant period of time.

Details of all contingencies and alternative arrangements should also be recorded together with references to central guidance / instructions where available.

Loss of key suppliers and partners

The Department relies heavily on suppliers and service providers, e.g. Royal Mail, EDS, and BT, to support the delivery of its business. These key suppliers and partners will have their own Business Continuity Plans and arrangements to ensure that they have the capacity to continue to support Departmental business in the event of a disruption to their operations. Despite this, it is vital for the Department to have contingency options, should a key supplier or partner be unable to meet its obligations to the Department.

This table should be used to detail the following information:

- Details of the service providers or suppliers on which your business is dependent. Also the type and level of service expected to be provided;
- Details of contingency / alternative arrangements that can be deployed to reduce the business impact; and
- References to central guidance / instruction where available.

When completing this section careful consideration should be given to the impact that the unavailability of this service would have on internal/external customers and the delivery of Departmental priorities.

Annex 1

Key contact list

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
- interdependencies contacts, e.g. business areas who need to know the plan has been invoked as it may impact on their

business.

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.

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

Note: Receipted copies of the key contacts (which 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.

Departmental Business Continuity Framework

Key contacts list

First name	Surname	Role/responsibility	Office telephone	Email address	Out of office
Executive Agency/Client Group or Corporate Directorate Business Continuity Management Team					
Business Continuity Contacts					
		Departmental business continuity manager			
		Deputy Departmental business continuity manager			
Interdependent or Linked Plan Owners Contacts					
Key Emergency Numbers					
		Incident Control Officer			
Right Corecare					
DWP Emergency Information Line					

Questionnaire for Contract Managers to use with non-IT critical supply and service contracts

Contract Managers are responsible for ensuring that all contracts have terms in them covering business continuity arrangements. This questionnaire has been produced to help Contract Managers when reviewing any existing contracts as well as when considering awarding new contracts. Contract Managers should agree the timescales for completion with the supplier. For further information please see Departmental Business Continuity Framework – Guide for Category and Contract managers.

Completion notes

The supplier is asked to complete the attached questionnaire and to answer attached questions as fully as possible. The Contract Manager may also wish to see current plans at a later date.

The document is in MS Word with expandable boxes to allow sufficient room for completion electronically.

Contract:

Contract Manager contact details for return:

Business Continuity Questionnaire For Contractors			
Submitted by: (Supplier Contact)		Date returned:	
Title:		Date Provided to Contract Management Team:	
Company name:			
Point of Contact:			
Services provided to DWP:	Reference Number:	Service/Product description	

Business Continuity Management			
1	Which of your identified critical business functions/processes provide major input to the production of products/services provided to DWP, and what is each process' Recovery Time Objective? (RTO)	Critical Business Process	Recovery Time Objective
2	<p>Is there a Business Impact Analysis in place as per the Business Continuity Institute standards? (BS25999)</p> <p>If yes, does it:</p> <ul style="list-style-type: none"> cover all the business functions identified at Q1? cover loss of staff? cover loss of Premises? cover loss of processes both IT and non IT? cover loss of your supplier? (If appropriate.) <p>Please provide examples as appropriate</p>		
3	<p>Does your organisation have a Business Continuity Strategy?</p> <p>If yes, does it:</p> <ul style="list-style-type: none"> list your business priorities? 		

Business Continuity Management		
	<ul style="list-style-type: none"> • identify any interdependencies? • identify potential risks? • cover loss of staff, premises, providers and IT? • cover flu pandemic? <p>Please provide examples</p>	
4	<p>Is there a Risk Management Strategy in Place?</p> <p>If yes, does it identify:</p> <ul style="list-style-type: none"> • potential risks to the organisation? • mitigation actions? • continuity risks due to suppliers and outsourced providers? <p>Please provide examples</p>	
5	<p>Can you demonstrate that your organisation has a clearly defined and documented Business Continuity Plan including:</p> <ul style="list-style-type: none"> • a comprehensive contact list? • a communication strategy covering media, staff, and internal and external stakeholders? • clearly defined invocation, escalation and recovery procedures? • clearly defined third party supplier activities? • how often is this information reviewed/updated? • who updates it? • who holds copies of it? 	

Business Continuity Management		
	Please provide information to support your answers	
6	<p>People</p> <p>Are the roles/responsibilities for key staff clearly defined? Do key staff fully understand their roles?</p>	
7	Describe how your Business Continuity plan, covers for the unavailability of staff.	
8	<p>In the event of a disaster or significant disruption to your critical business processes, does your organisation have documented plans for recovering your critical business processes and IT? (e.g. IT Service Continuity Management Plan.) Please provide an example. If no, please explain.</p>	
9	<p>Premises</p> <p>Do your recovery plans cover some, most, or all locations from which you provide DWP contracted services or products? If your answer is "Some" or "Most", please explain.</p>	
10	<p>IT</p> <p>Is your main IT facility or data centre located in the same building or office complex occupied by your main business or operations staff? If no, please explain.</p>	

Departmental Business Continuity Framework - Contract management questionnaire

11	Within the time frames listed, what percentage of normal business throughput can reasonably be expected to be recovered?	Time	Percent of services/production output restored
		<4 Hours	
		<24 Hours	
		<3 Days	
		<5 Days	
12	Does your recovery plan account for interdependencies both internal and external (e.g. critical vendors/suppliers) to your organisation? If yes, please also answer question 25.		
13	Do you have a dedicated business continuity team? If yes: <ul style="list-style-type: none"> • how many members of staff? • are they members of the BCI or seeking to attain BCI membership? 		
14	Exercises Do you regularly exercise your organisation's Business Continuity Plan? What type of exercise do you carry out? Do you exercise your plan with your suppliers? How often do you carry out these exercises? How do you test your plans?		
15	Training and Awareness Describe your Business Continuity training and awareness arrangements for your organisation i.e. Do you have dedicated training		

Departmental Business Continuity Framework - Contract management questionnaire

	<p>for the BC team? Do you have staff awareness sessions? Do you provide BC induction training for new recruits?</p>		
Incident response			
16	Do you have a documented incident management process within your organisation?		
17	If you do, does this process cover internal and external communications during an incident?		
18	How would DWP be notified if an incident at your company was assessed as affecting our contracted services/products?		
19	How would you notify DWP of an outage?		
Recovery Facilities/Strategies			
20	Do you have a back up site? If so, where is it? If no, does your organisation plan on using a commercial recovery site?		
21	What is the approximate distance between your primary data centre and the data centre recovery site?		
22	Is the processing capacity of your back-up facility equal to that of your primary facility and capable of maintaining DWP need?		
23	If the answer to question 22 is "No", what is the capacity ratio of your back up to your primary facility?		
24	Is your organisation planning to		

	align to, or seek, BS25999 accreditation?		
Third Party Suppliers			
25	<p>Can you provide assurance that your third party suppliers can support the Recovery Time Objectives for your critical functions and processes they support? Please provide an example of how you would provide the assurance to DWP.</p>		
26	<p>Do you use a third party supplier provider to handle part of your planning and recovery needs?</p> <p>If yes, have you:</p> <ul style="list-style-type: none"> • had sight of their BC Plan? • tested their plan? 		

Departmental Business Continuity Framework

Business Continuity Plan - Incident log template

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. The following generic log sheet can be used for this purpose and should be included in your business continuity plan.

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

Incident log

Description of incident:						Date:	
Ref No	Issue/Action required	Raised by	Business Area	Time raised	Action taken/Issue response/Comms issued	Date cleared	Further action
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							

Business Continuity Assurance Certificate

**Name of Executive Agency,
Client Group or Corporate
Directorate:**

Within my Executive Agency, Client Group or Corporate Directorate I can confirm that the following apply:	Yes	No	If your answer to any question is 'no' please provide information
1. There is a high level Business Continuity Plan in place.			
2. The high level Business Continuity Plan has been sent to the Departmental Business Continuity team for validation			
3. Each Business Area has a Business Continuity Plan in place			
4. Key Business risks have been identified and appropriate contingencies have been put in place to mitigate risks			
5. All Business Continuity Plans conform to the standard specified with the Departmental Business Continuity Framework			
6. All Business Continuity Plans are exercised and reviewed on a regular basis			
7. Business Continuity roles and responsibilities are clearly defined and understood			

The Business Continuity Plans listed below were validated by: [insert name of Executive Agency, Client Group or Corporate Directorate] to support the Business Continuity validation and assurance process.
We hold a completed Business Continuity validation form for each Business Unit, Campus Site, Building Plan or Multi Occupied Site that we selected for validation in this exercise, these are listed below:

No	Name of Business Unit	Location	Further comments
1			
2			
3			

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4			
5			
6			
7			
8			
9			
10			
Total number of Business Continuity Plans validated:	Percentage total of Business Continuity Plans validated:		

I confirm that this is true and accurate picture of the current status of Business Continuity planning with:

 [insert name of Executive Agency, Client Group or Corporate Directorate]

for the period 1 April	(insert year)	
to 31 March	(insert year)	
Signature:	Print name:	Date:
Grade:	Position:	

Note: If you cannot provide full assurance and are only able to provide partial assurance, please provide details of what action is being taken to address those areas where you cannot provide full assurance.

Business Continuity Validation Form

Name of Business Unit:

Date of validation check:

**Validation check
performed by:**

Completion notes

This form is divided into four separate criteria. It may be used to help in the annual validation of Business Continuity Plans within your Executive Agency, Client Group or Corporate Directorate, to confirm that plans are fit for purpose and that any issues are identified. On completion copies of this form should be retained by : -

Business Unit being validated; and
Executive Agency, Client Group or Corporate Directorate Business Continuity Team performing the validation check.

Criterion One: Business Continuity Plan and Arrangements			
The Departmental Business Continuity Plan states that the successful invocation and operation of this plan is very much dependent upon the robustness of those lower level Business Continuity Plans that sit below it throughout the DWP.			
Through examination of this units Business Continuity Plan I can confirm that the following are in place:	Yes	No	Other comments or observations
1. A Business Continuity Manager for this plan has been appointed.			
2. The invocation and escalation process for this plan is clear.			
3. It is clear for the person responsible for invoking this plan when invocation should take place.			
4. Core business is listed in priority order.			
5. A communication and escalation strategy is in place.			
6. All plan interdependencies are listed.			
7. Awareness sessions take place at this Business Unit to make new staff aware of Business Continuity arrangements.			

Criterion Two: Risk Management			
It is important that any risks that may cause disruption to your business are identified and recorded within your Business Continuity Plan.			
Through examination of this units Business Continuity Plan I can confirm that the following are in place:	Yes	No	Other comments or observations
1. This plan reflects business priorities in the event of a disruption.			
2. Key business risks have been identified within this plan.			
3. Contingencies identified within this plan cover: <ul style="list-style-type: none"> • People • Premises. • Technology. • Key Suppliers and Partners. • Supplies. 			

Criterion Three: Roles and Responsibilities			
It is important that key roles and responsibilities assigned are understood and performed.			
Through examination of this units Business Continuity Plan I can confirm that the following are in place:	Yes	No	Other comments or observations
1. The plan details key roles and responsibilities.			
2. Appropriate personnel have been appointed to perform the key roles and responsibilities within this plan.			
3. Key personnel understand their roles and responsibilities and have the skills and knowledge to perform them.			
4. Deputies have been appointed to all key roles and responsibilities within this plan.			
5. Those with responsibilities receive support and relevant training to help them perform their roles effectively.			
6. Arrangements are in place for sharing of expertise and good practice on business continuity issues.			
7. The key contact list in this plan is reviewed quarterly.			

Criterion Four: Maintenance and Exercising			
It is important that effective arrangements are in place to maintain, exercise and review the Business Continuity Plans.			
Through examination of this units Business Continuity Plan I can confirm that the following are in place:	Yes	No	Other comments or observations
1. This Business Continuity Plan is exercised at least once every 12 months.			
2. Maintenance and review procedures have been developed to confirm that this plan continues to be fit for purpose.			
3. Realistic exercise scenarios have been prepared.			
4. There is adequate documentation of the result of exercises.			
5. Lessons learned from exercises are documented and acted upon.			