



Shared Business Services

A partnership with Steria

Business Continuity Management strategy

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1. Purpose

Business Continuity Management is an essential part of any business, particularly where services are outsourced. The purpose of this document is to provide a strategy for the implementation, documentation and maintenance of Business Continuity Management (BCM) for NHS Shared Business Services (NHS SBS) to the benefit of our employees, clients, shareholders and other key stakeholders.

This strategy aligns with Business Continuity requirements of BS7799 (Security), ISO15000 (Service Management) and the IT Infrastructure Library (ITIL) standards.

There is a higher level of requirement promoted by the British Standards Institute (BSI) in conjunction with the Business Continuity Institute. Our Business Continuity Management process is in line with this standard, known as PAS56.

Our BCM strategy applies to NHS SBS and any sub-contractors undertaking work for NHS SBS, where this work relates directly to NHS SBS and has a material effect on our ability to deliver services for clients.

Any exceptions to this strategy will be agreed with the Business Continuity Manager and will be revised if necessary as part of the design process of any relevant project or programme.

2. Policy

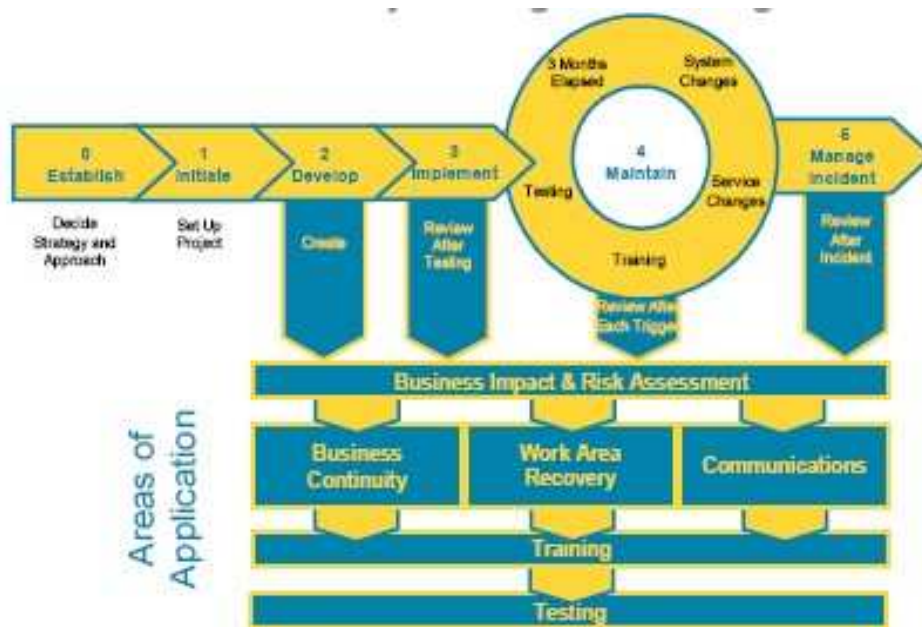
NHS SBS Business Continuity policy is that as far as practicable NHS SBS will provide and maintain Business Continuity plans and procedures to protect its business, employees, clients and other key stakeholders from the risk and consequences of any incident at any NHS SBS office.

In addition NHS SBS will co-operate in all practicable ways to assist clients if an incident at a client site impacts NHS SBS and the services NHS SBS provides.

3. Stages

This strategy is formed around the six stages of Business Continuity Management and the six areas of application. The following diagram outlines the stages of Business Continuity Management and how they relate to the areas of application.

Business Continuity Management stages



3.1 Establish

NHS SBS Business Continuity Management (BCM) strategy adopts the business as usual (BAU) risk management approach to Business Continuity, with recovery of unavailable work areas in other areas of the same building, wherever possible.

Alternatively recovery will be to an agreed alternative location within planned timescales should the building be rendered unusable.

The business as usual approach will, wherever possible, include resilient communications and IT hardware as well as multiple locations where each location has in-built resilience across multiple work areas and floors, and sufficient staff to ensure that smaller teams are supported with cross-trained staff from other teams.

Backups of both data and documentation will also be maintained to ensure recovery is completed with the minimum of interruption to the service.

This strategy is reviewed annually to ensure its appropriateness.

3.2 Initiate

A project has been established to manage the delivery of the documentation and ensure that this strategy is applied across NHS SBS. In addition a work stream will be established by each programme or project which is introducing change to the services provided by NHS SBS to ensure that Business Continuity Management is updated in line with this strategy.

3.3 Develop

The development of Business Continuity Management will include the following activities (details of what this involves are outlined in Section 4 below):

- Business impact and risk assessment
- Business continuity (business as usual) planning
- Work area recovery planning
- Business continuity communications planning

3.4 Implement

The Business Continuity training plan will be created and the workforce will be trained in the processes involved in incident management. A Business Continuity test plan will be created and tested as appropriate.

The Business Continuity Manager will be appointed to co-ordinate the Business Continuity Plan and ensure compliance with this strategy, reporting to the Commercial Director.

The Business Continuity Manager shall be contactable at all reasonable times and have a nominated deputy to cover agreed periods of absence and other such periods of non-availability that may occur.

Recovery plans will include details of named responsibilities in the event of an incident, together with the Communication Plan with such detailed information.

The Business Continuity Management plans and processes will be published on the central servers and hard copies printed, with at least one copy being held off site at all times by the owner of each set of plans.

A Business Continuity Management Steering Group has been established to ensure the ongoing Business Continuity Management in business as usual.

3.5 Maintain

Training for new staff and periodic refresher training of existing staff will take place in accordance with the BC Training Plan. Testing of BC plans will take place regularly.

Business Continuity Management documentation reviews will be undertaken every 3 months or whenever a trigger (a system change or incident) arises resulting in a review being required.

Steria's Delivery Governance framework will be the basis for ensuring the quality of the Business Continuity documentation and plans.

3.6 Manage Incident

The following table identifies which actions will be taken depending on the level of incident. (Details of these incident levels are outlined in Section 4.4 below)

Activity /Level	BAU	Low	Minor	Major	Severe
Evacuate office (if necessary)		X	X	X	X
Inform/alert (as appropriate)	X	X	X	X	X
Impact Assessment	X	X	X	X	X
Implement Business Continuity Plan	X	X	X	X	X
Implement Communications Plan	X	X	X	X	X
Convene Location Incident Management Team			X	X	X
Detailed Assessment			X	X	X
Implement Work Area Recovery Plans			X	X	X
Manage Communications				X	X
Incident Reporting	X	X	X	X	X

The following are the basic steps that will be followed when an incident occurs:

- The incident will be reported to line management via the appropriate communication channels
- Managers will liaise and assesses the incident, estimate impact on relevant mission critical activity and manage the re-allocation of work or people in line with relevant workarounds and service restoration
- The incident will be escalated to the appropriate level as outlined in the communications plan and in line with incident management procedures

The characteristics of the interruption will be ascertained and a workload impact completed on a case by case basis when an incident occurs. Workarounds will be implemented as appropriate. Service restoration processes will be implemented in order to fully restore the service.

The Incident Management Team will take responsibility for the management of the implementation of the work area recovery plan.

3.7 Key Incident types

- **Non-availability of key personnel**

All key personnel will have a nominated deputy who will be listed in the communication tree. These will be the primary source of resource should a key resource be unavailable.

If necessary, resources will be pulled from non-essential activities until such time as their services are no longer required to support essential work.

In the event of a Pandemic situation, although NHS SBS staff are not identified as Priority 1 or Priority 2 within NHS Disaster Planning, NHS SBS will work with clients to provide continuity of service.

- **Non-availability or reduced performance of key IT infrastructure**

The risks will be identified and mitigating workarounds agreed wherever possible in order to effect the minimum interruption to services or operations. NHS SBS senior management team will be responsible for maintaining any mitigations and service restoration plans to offset any backlog in work.

The non-availability or reduced performance of key IT Infrastructure will be covered in detail in the IT Business Continuity Plan.

- **Non-availability or reduced performance of key IT systems**

Backup procedures for each system will be created along with recovery schedules and timings. Mitigating workarounds will be agreed wherever possible in order to mitigate possible risks and effect the minimum interruption to the assignments operations. The NHS SBS service or project managers will be responsible for maintaining any mitigations and service restoration plans to offset any backlog in work.

The non-availability or reduced performance of key IT Systems will be covered in detail in the IT Business Continuity Plan.

- **Non-availability or reduced quality of key information**

Alternative procedures, e.g. copying of key information, will be defined to mitigate possible risks and effect the minimum interruption to the service's operations. Key information includes all data required to undertake the process that is not directly accessed on appropriate IT systems.

The service or project managers are responsible for maintaining any mitigations and assignments restoration plans to offset any backlog in work to be processed.

4. Areas of application

4.1 Business Impact and Risk Assessment

As part of the project to implement the strategy a business impact and risk assessment will be undertaken and maintained covering the following areas.

- **Analysis of the Service**

Mission critical activities and resources will be identified and interdependencies within and between activities and resources will be identified.

- **Business Impact**

A normal state business impact assessment, which will form the basis for decision making and prioritisation during an incident, will be undertaken. As a result of this decisions can be made regarding escalation and potential invocation of work area recovery plans.

- **Vulnerable Enablers**

An analysis of the enablers, with particular note of the vulnerabilities, within the end-to-end solution will be undertaken and the impact of the failure of a vulnerable enabler will be noted. The review of the vulnerable enablers will consider the following scenarios:

Non-availability of a resource

A reduction in the performance or partial availability of a resource

- **Risk Assessment**

An analysis of the risks to NHS SBS end-to-end solution will be undertaken. Where possible mitigations, i.e. what can be done to avoid or prevent the risk arising, will be outlined. These mitigations may be implemented, but will require a business case to do so, or the risk may be accepted and the mitigations noted but not implemented. Additionally, contingencies will be identified. These could involve workarounds, service restorations or implementing work area recovery.

A review of the services and their known reliability, or the reliability of similar services, will be undertaken.

4.2 Business Continuity Planning

The Business Continuity Plan (BCP) has been maintained, audited and is reviewed regularly.

Business continuity is planned to ensure continuity of service and to minimise the impact on the service of any interruption or period of degradation.

Business continuity is pre-defined and covers all human resources, technological infrastructure and systems needs, procedures, activities, roles and responsibilities and those of the facilities in which all resources are located.

The actions that the plans focus upon once an incident has occurred include:

- Implementation of any workarounds that have been designed to mitigate the effects of interruptions
- Restoration of the service to normal levels.

Business Continuity Plans will always be applied in the event of invoking the work area recovery plan as part of the recovery process once the site has been established.

The characteristics of each business process will be defined as part of the process design documentation and include:

- Resources required (human, IT, etc)
- Type and destination of the inputs to the process (reports, phone, etc)
- Timescales over which the process is carried out
- Type and destination of the outputs of the process (reports, letters, etc)
- Anticipated volumes associated with the process
- Any workarounds that can be implemented to maintain the service.

Resilience

Wherever possible no vulnerable enablers, particularly if they are single points of failure, will be built into the design of any infrastructure or service delivery, whether IT, business process or facilities.

As a result there will be built in resilience. However, it is recognised that the business case for high level resilience cannot always be proven and exceptions can be agreed and will be noted in the relevant business continuity plan.

Backups

Regular backups will be taken of all data. The backup schedules and the off-site storage location will be identified in the business continuity plan.

Workarounds

Workarounds will be identified, where possible, to mitigate the effects of any interruption to, or degradation of, an IT system or a part of the service so that the service may continue to function at either the same or a reduced level.

4.3 Work Area Recovery Planning

A work area recovery plan will be drawn up and maintained as part of the business continuity plan.

The work area recovery plan will be reviewed and agreed before a management overview is presented for approval and will be made available should further details be required by the approvers.

Work area recovery will be pre-defined and documented to ensure the efficient recovery of the operational capability following an incident which will cause one or more mission critical activities to be breached and for the work area to be relocated to another part of the same building or to the recovery site.

The decision to invoke work area recovery will be made in line with the escalation procedures outlined in the business continuity communications plan.

- **Impact**

The Incident Management Team will assess the impact of the incident and plan for the restoration of the service according to the severity of the incident and following the agreed steps in the business continuity plan.

- **Away Team**

An away team will be formed that will consist of those individuals who will re-establish the service should it become necessary to invoke work area recovery.

- **Restoring the Service**

The prioritised interim service will be re-established within an agreed time period of the invocation of the work area recovery plan as per the business continuity plan, and discussion with stakeholders where appropriate.

- **Work Area Recovery Sites**

A work area recovery site is another work area within the same location or at a different location. The work area recovery sites will be identified and listed in the work area recovery plan in order of preference.

- **Force Majeure**

NHS SBS will immediately notify Steria, the Department of Health and its clients of a Force Majeure incident and implement its incident management processes and procedures and make plans for the recovery of services and systems to facilitate the continued performance of services.

Force Majeure will apply when any cause affecting the performance by NHS SBS of its obligations arising from acts, events, omissions, happenings or non-happenings beyond its reasonable control result in a work area being inaccessible or accessible but without all major services.

In the event of a work area recovery scenario occurring where Force Majeure is applicable NHS SBS will endeavour to set up a work area recovery site by making use of the existing work area recovery site options until such time that a planned return to the original site can be executed. The restoration of the service will follow the same procedures as those taken for work area recovery although the timescales will be extended.

4.4 Business Continuity Communications Planning

The Business Continuity Communications (BCC) plan is maintained, audited and regularly reviewed to ensure currency of communications streams. The BCC plan will facilitate the communication of incidents to all key stakeholders during either an incident or work area recovery scenario.

The BCC plan will be initiated when an incident has occurred and will be used to escalate information as well as to communicate the implementation of Business Continuity or work area recovery plans to the relevant teams and stakeholders.

4.5 Business Continuity Training Planning

The Business Continuity Training plan is maintained, audited and regularly reviewed. It outlines the type of training that needs to be carried out in order to ensure that the key members of the team are able to maintain services and implement the Business Continuity and work area recovery arrangements and that the communications plan works effectively.

The NHS SBS Executive Board and senior management team will ensure that their teams are appropriately trained to ensure BC awareness at least once a year.

4.6 Testing

The Business Continuity Testing plan is maintained, audited and regularly reviewed. It outlines the type of tests that need to be carried out in order to test communications, Business Continuity and work area recovery arrangements in place.

Responsibility for organising all aspects of Business Continuity testing belongs to NHS SBS Business Continuity Manager.

5. BC Documentation

Site based Business Continuity plans include:

- Risk assessment
- Initiation plan
- Incident management guidelines
- Work area recovery plan
- Communication plan
- Test plan
- Training plan

Services are divided into a number of assignments, each of which has a set of documents produced. Site plans will be created for:

- Site based business processes
- IT Services including end-to-end infrastructure

Assignment plans will be consolidated to form a corporate plan for NHS SBS. The overall Business Continuity plan consists of the above plus:

- Training plan
- Test plan
- Communications plan

6. Responsibilities

The main responsibility of management is to ensure that Business Continuity Management is being undertaken and to co-ordinate the various parties involved in resolving an incident and in maintaining good, effective communications with all of the stakeholders. This will be enacted through the establishment of a Business Continuity Management Steering Group, to ensure the business as usual aspects of Business Continuity Management, and an Incident Management Team.

The primary responsibility of the assignment managers (i.e. service managers, project managers, process managers, team leaders, etc) is to ensure the day to day running of the assignments and to implement any workarounds or service restorations as well as to coordinate all of the various parties involved at an assignment level in resolving the incident and in maintaining good, effective communications with all of the stakeholders.

Printed copies of the plans will be held by the owners, their nominated deputies and the NHS SBS Business Continuity Manager. A copy of the plans will be kept off-site by their owner.

7. Change Management

The Business Continuity Manager will be responsible for maintaining the BC plans and should authorise any changes.