



# **Business Continuity Planning for Sponsored Bodies - the Step by Step Approach**

***Third Stage Workshop –  
Business Continuity Plan Production***

**27<sup>th</sup> April 2006  
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- Exercise 2
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  - things to watch out for
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  - business continuity plan sign-off
- Summary and next steps
- Open forum discussion - & “Surgeries”

# The overall approach to business continuity planning

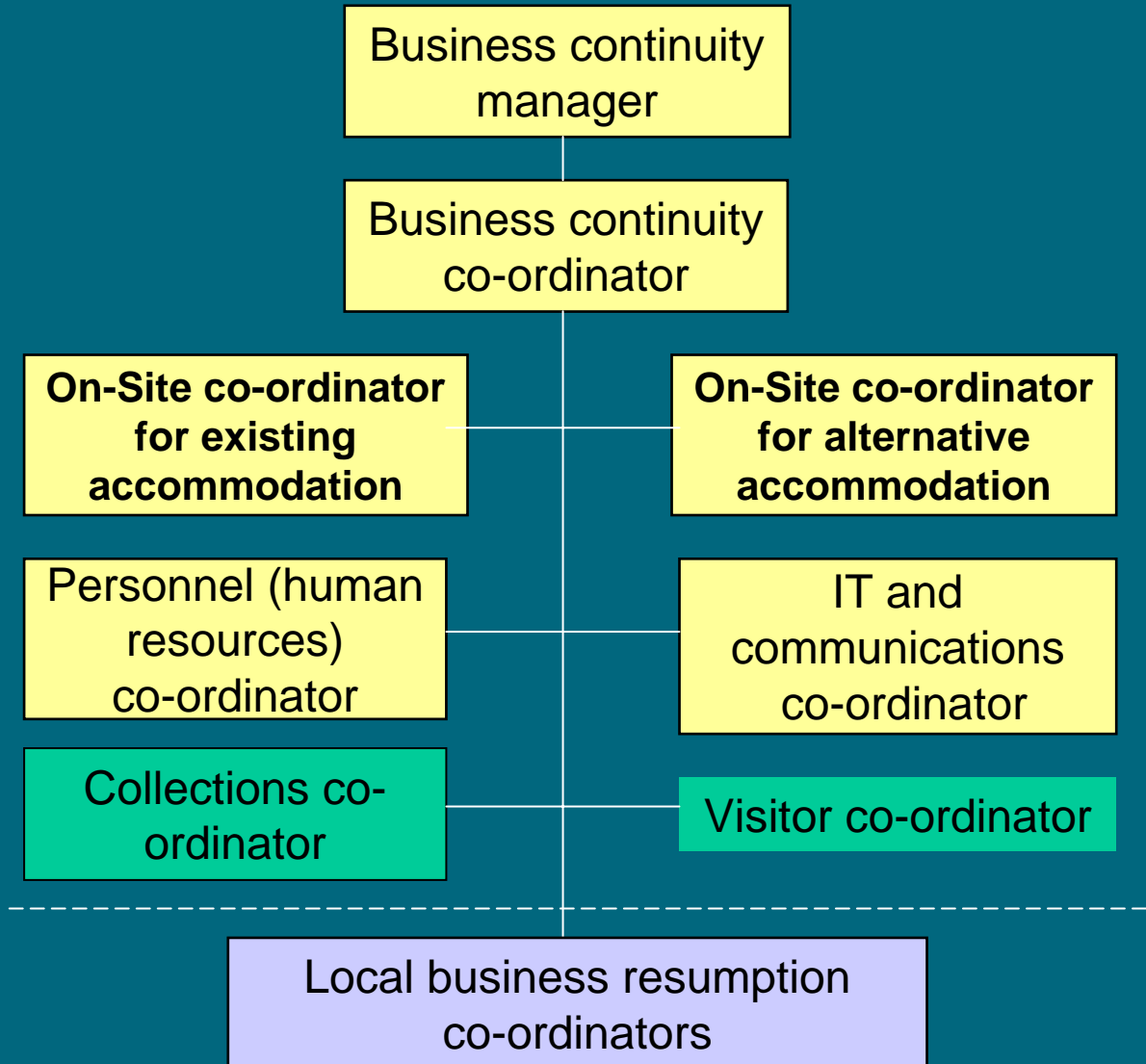




## Third stage: business continuity plan production - key tasks

- Determine and document business continuity plan (s) describing:
  - most appropriate business continuity organisation and related responsibilities
  - key logistical decisions
  - specific detailed action task lists to enable business to recover
  - all resources, facilities, etc. required to enable the plan (s) to work for recovery in event of disaster/failure
- Deal with related tasks
- Ensure that the business continuity plan (s) are formally signed off

# Third stage: business continuity plan production – business recovery organisation

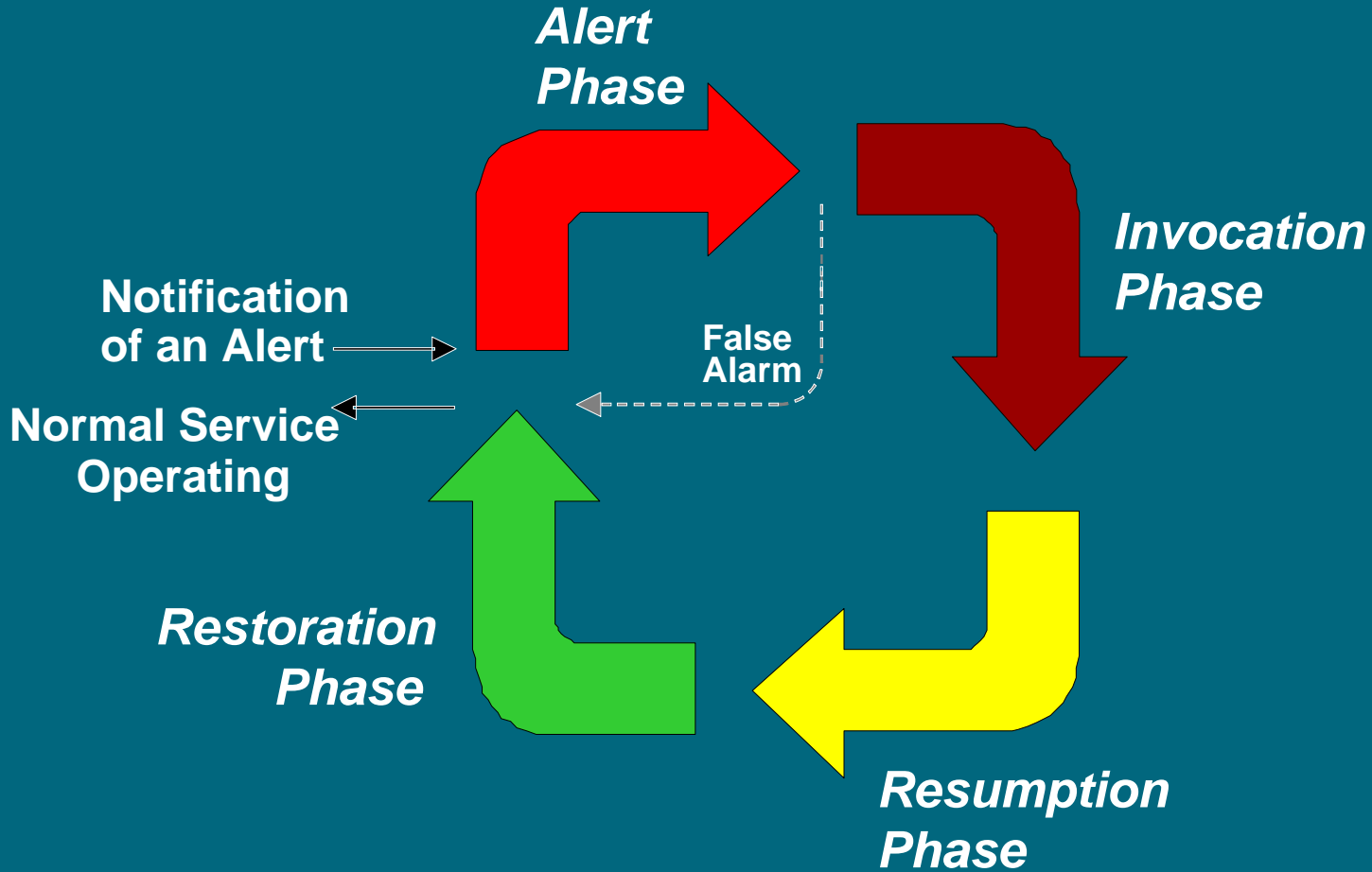


Direct links with Finance and 'Press Office'

Example business continuity co-ordination team



## Third stage: business continuity plan activation cycle phases





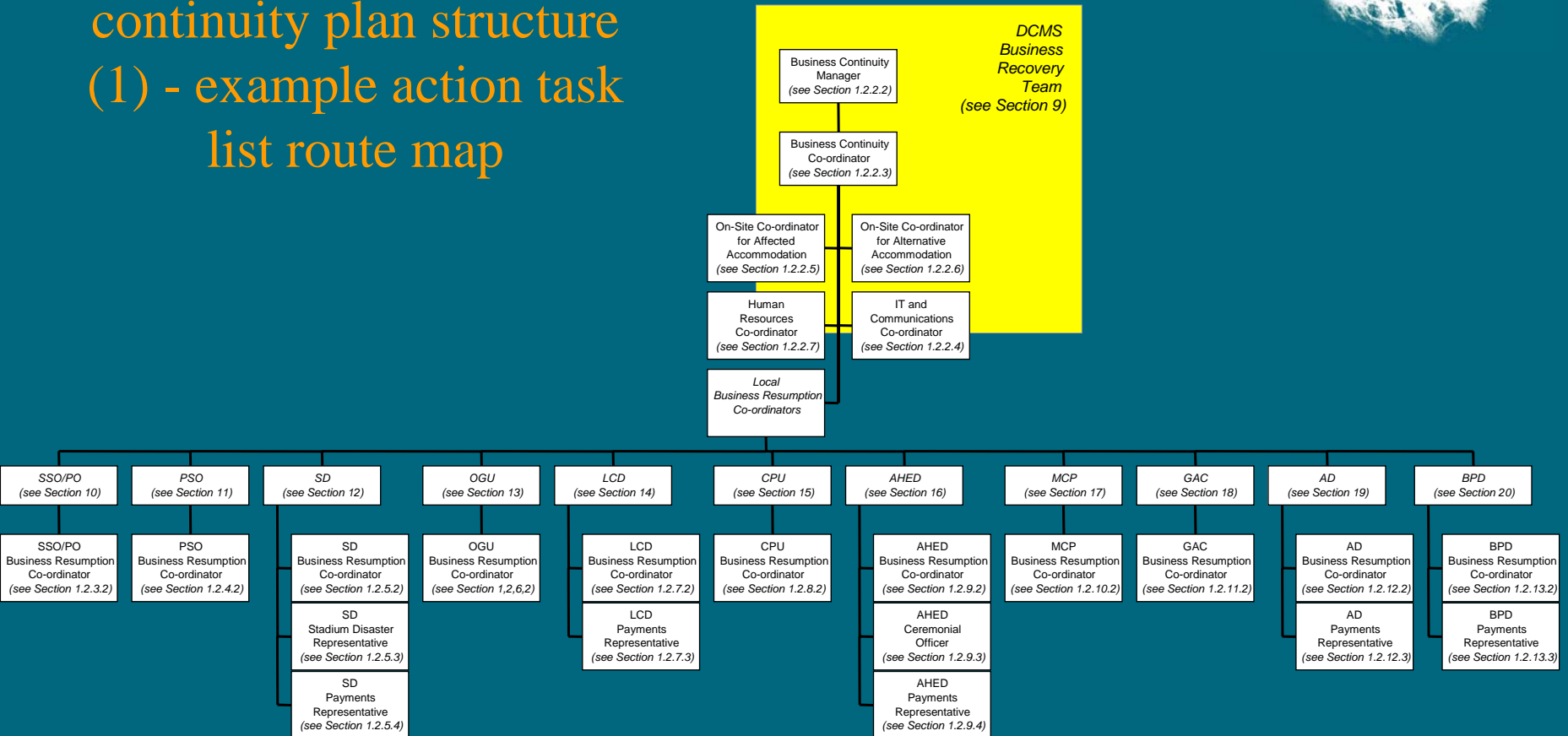
## Third stage –business continuity plan structure (1)

- Instructions for use of plan (incl. action task list route map)
- Introduction (including purpose, objectives and scope of plan; responsibilities for activation; structure of plan)
- Context
  - disaster/failure scenarios
  - summary of key business priorities
  - business requirements by location
- Summary of agreed business continuity strategy
- Business continuity organisation
- Logistics
  - centres of operation
  - management of key post holder and contact details
  - public relations
  - transport arrangements
  - expenditure control/emergency purchasing
  - remuneration/personnel policies in a disaster or failure
  - security procedures in a disaster or failure



# Third stage –business continuity plan structure

## (1) - example action task list route map





## Third stage –business continuity plan structure (1) - example action task list route map

### *Business Continuity Co-ordinator*

- BRT.Alert.2 (Receive request from key staff to come into DCMS offices) (p.64)
- BRT.Invocation.3 (Invoke non-IT/Comms/PPS resumption plan) (p.76)
- BRT.Invocation.5 (Gain authorisation to activate alternative accommodation) (p.80)
- BRT.Invocation.6 (Co-ordinate activation of alternative accommodation and provide advice to staff) (p.81)
- BRT.Resumption.2 (Relocate Business Recovery Team) (p.84)
- BRT.Resumption.6 (Authorise use of contract taxi service) (p.90)
- BRT.Resumption.7 (Authorise use of contract courier service) (p.91)
- BRT.Resumption.8 (Change DCMS recorded message/status web page) (p.92)
- BRT.Resumption.9 (Advise staff of disaster) (p.93)
- BRT.Resumption.10 (Co-ordinate retrieval of key information) (p.94)
- BRT.Restoration.2 (Co-ordinate Restoration Phase) (p.96)



## Third stage –business continuity plan structure (2)

- Documentation and media security
  - key documentation and operational records
  - routine security of magnetic media
  - access to backup copies of magnetic media, documentation and operational records
- Maintenance and testing of plan
  - maintenance of plan
  - testing of plan (initially then periodic)
    - testing strategy
    - planning of tests
    - undertaking of tests
    - review of tests
- Action task lists detailing the actions to be taken in the event of a disaster or failure



## Third stage –business continuity plan structure – (3)

- Action Task Lists for Business Continuity Co-ordination Team
  - Introduction
  - General Plan of Action (overview)
    - Introduction
    - Alert \*
    - Invocation \*
    - Resumption \*
    - Restoration \*

*(\* including list of applicable task lists by reference number, title and who assigned to)*



## Third stage –business continuity plan structure (4)

- Action Task Lists for Business Continuity Co-ordination Team
  - Task Lists, examples (a)
    - Co-ordination Alert 1 (Receive notification of a disaster or failure)
    - Co-ordination Invocation 1 (Invoke IT & Communications resumption plan)
    - Co-ordination Invocation 2 (Invoke FM resumption plan)
    - Co-ordination Invocation 3 (Invoke non-IT/Communications/FM resumption plan)
    - Co-ordination Invocation 4 (Ensure welfare of staff and relatives in the event of a disaster)
    - Co-ordination Invocation 5 (Gain authorisation to activate alternative accommodation)



## Third stage –business continuity plan structure (5)

- Action Task Lists for Business Continuity Co-ordination Team
  - Task Lists, examples (b)
    - Co-ordination Invocation 6 (Co-ordinate activation of alternative accommodation and provide advice to affected staff)
    - Co-ordination Resumption 1 (Activate alternative accommodation)
    - Co-ordination Resumption 2 (Relocate Business Continuity Co-ordination Team)
    - Co-ordination Resumption 8 (Change recorded message/status web page)
    - Co-ordination Resumption 9 (Advise staff of disaster or failure)
    - Co-ordination Restoration 1 (Activate restoration phase)



## Third stage –business continuity plan structure (6)

- Action Task Lists for each business area
  - Introduction
  - General Plan of Action (overview  
(then actual action task lists, as appropriate)
  - Alert
  - Invocation
  - Resumption
  - Restoration
- Action Task List Summary
- References
- Appendices
- Lists of figures and tables

**ACTION TASKLIST NUMBER:** Co-ordination Alert 1

**ASSIGNED TO:** Business Continuity Manager

**TIMESCALE FOR COMPLETION:** (Steps 1-5) Within 2 hours

**ACTIONED BY:**

<b>STEP</b>	<b>TASK</b>	<b>DATE and TIME (Start/End)</b>	<b>COMMENTS</b>
1.	Complete as much of Disaster/Failure Alert Form (see Appendix 'a'), as possible, and provide the informant with an Alert reference number.		
2.	Decide whether to convene the Business Continuity Co-ordination Team. If so, then determine location and time, and notify members of the Business Continuity Co-ordination Team (see Appendix 'b') of the meeting.		
3.	If a meeting is held, assess in conjunction with other members of the Business Continuity Co-ordination Team the scale of, and situation surrounding, the disaster or failure. Then, determine whether to invoke (or modify) alternative conditions operational in a disaster or failure, covering aspects such as: <ul data-bbox="190 1142 1009 1342" style="list-style-type: none"><li>• suspension of certain lower priority activities;</li><li>• changes to delegated levels of authority;</li><li>• changes to remuneration conditions.</li><li>• confirm immediate action plan for response.</li></ul>		

4. Assign responsibility for resolution of (aspects of) the disaster or failure to member(s) of the Business Continuity Co-ordination Team. Pass them the details on the (name of organisation)'s Disaster /Failure Form (or a copy of the form itself). In general:
- if the disaster or failure relates to IT/data communications or voice/fax/pager/mobile communications, the alert should be passed to the person responsible for IT and communications co-ordination (the **IT and Communications Co-ordinator**) to progress the relevant aspects (see Co-ordination Invocation 1),
  - if the disaster or failure has resulted in injury or death, the alert should be passed to the person responsible for human resources co-ordination (**the Human Resources Co-ordinator**) to address staff welfare needs (see Co-ordination Invocation 4).
  - If the disaster or failure relates to building utilities/services/facilities or theft at (name of organisation)'s location(s), the alert should be passed to the person responsible for co-ordination at the normal accommodation (**the On-site Co-ordinator for Affected Accommodation**) to progress the relevant aspects, if relevant in conjunction with any FM contractor (see Co-ordination Invocation 2).
  - for all other disasters or failures (i.e. transport, building access restrictions or other non-IT/communications/FM issues, the alert should be passed to the **Business Continuity Co-ordinator** to progress (see Co-ordination Invocation 3).

If responsibility is not clear, meet with the team first to decide who is most suitable to resolve the problem. Then record the person to whom the alert has been passed for resolution on the Disaster/Failure Alert and then Tracking Forms.

5.	<p>If the disaster or failure is likely to significantly affect (name of organisation)'s business functions, contact Z (the person responsible for dealing with 'press' matters (see Appendix 'b') and advise him/her of:</p> <ul style="list-style-type: none"> <li>• the nature of the disaster or failure,</li> <li>• the business functions affected,</li> <li>• timescale for resolving the disaster or failure.</li> </ul> <p>Depending on the degree of the disaster or failure, contact the members of the (name of organisation)'s Board and similarly appraise them of the situation.</p>		
6.	<p>Monitor progress of resolving the disaster or failure, recording status in Part B of the Disaster Alert Form. If necessary, keep Z (the person responsible for dealing with 'press' matters (see Appendix 'b') informed of the situation. (This action may be delegated to the Business Continuity Co-ordinator.)</p>		
7.	<p>After the disaster or failure has been resolved, contact the person who initially raised the alert and advise them that the disaster or failure has been resolved (as appropriate). If necessary, also inform the (name of organisation)'s Board and Z (the person responsible for dealing with 'press' matters that the disaster or failure has been resolved.</p>		
8.	<p>Authorise closure of the alert by completing the Disaster/Failure Alert Closure Form.</p>		
	<p>END OF TASKLIST</p>		



Third stage: business continuity plan production –  
exercise 1

- Produce action task lists for the topics you have been given
- Present your results



Third stage: business continuity plan production –  
exercise 1 – group allocations (1)

## Group 1 (& Group 5):

### Alert

Co-ordination Alert 2 (Receive request from key personnel to come into museum location)

### Invocation

Co-ordination Invocation 4 (Ensure welfare of staff, public and relatives in the event of a disaster)

Co-ordination Invocation 5 (Gain authorisation to activate alternative accommodation)

## Group 2 (& Group 6):

### Invocation

Co-ordination Invocation 2 (Invoke FM resumption plan)

### Resumption

Co-ordination Resumption 1 (Activate alternative accommodation)

Co-ordination Resumption 2 (Relocate Business Continuity Co-ordination Team)



Third stage: business continuity plan production –  
exercise 1 – group allocations (2)

## Group 3 (& Group 7):

### Resumption

- Co-ordination Resumption 4 (Respond to non-theft related disaster/failure at museum location)
- Co-ordination Resumption 5 (Gain access to museum location)

### Restoration

- Co-ordination Restoration 1 (Activate Restoration Phase)

## Group 4:

### Resumption

- Co-ordination Resumption 6 (Authorise use of contract taxi service)
- Co-ordination Resumption 9 (Advise staff of disaster or failure)

### Restoration

- Co-ordination Restoration 2 (Co-ordinate Restoration Phase)



## Boulton Museum Case study

- Exercise 1 – specimen answers  
(copy later)



Third stage: business continuity plan production

# Business continuity issues faced by the Victoria and Albert Museum

Martin Bastone

Senior Safety Advisor and Emergency  
Planning Manager



## Third stage: business continuity plan production – exercise 2

- List the appendices that you consider should be included with a business continuity plan (same for all groups)
- Short discussion on your results
- Exercise 2 – specimen answers  
(next slides & copy later)



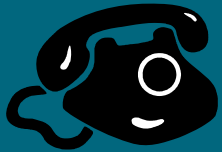
## Third stage –business continuity plan structure (7)

- Supporting appendices (example exercise 2 answers) including (a):
  - abbreviations
  - key post holders
  - key contact details
  - general business continuity/emergency information for staff
  - supplier lists
  - checklists, floor plans, maps and directions for normal and alternative accommodation
  - business continuity alert, alert tracking and alert closure forms
  - draft statements for releases to the media, messages to staff
  - inventories
  - incident report form



# Emergency Information Contact Card

The following contact systems should be used in the event of a disaster or failure affecting the normal business operations of [insert name of organisation]



0800 xxx xxxx or 0845 xxx xxxx



Web: [www.xxxxxx.xxxxxx.xxx.uk](http://www.xxxxxx.xxxxxx.xxx.uk)

Login: xxxxxxxxxx Password: xxxxxxxx

These systems are for staff use only – do not disclose them to anyone else

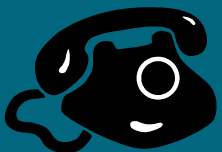


# Emergency Information Contact Card

Read your building evacuation instructions  
Who is your Business Continuity Manager (or  
*Business Resumption Co-ordinator*)?

Does the Manager (or Co-ordinator) know how to  
contact you?

Do you know how to contact the Manager (or Co-  
*ordinator*)



(London) Travel xxx xxxx xxxx NHS Direct 0845 4647

Counselling xxx xxxx xxxx Security xxx xxxx xxxx

# Third stage –business continuity plan structure: alert forms (1)



[insert logo] (Insert name of organisation) **Disaster/Failure Alert Form**

**Alert Ref No:**

If you receive an alert of a potential disaster or failure, use this form to document all pertinent information.

**Source of the Alert**

Name:		Date:	Time:
Contact telephone	E-mail address:	Location:	
Notification of alert taken by:			

**What is the nature of the disaster or failure?**

<ul style="list-style-type: none"> <li><input type="checkbox"/> IT and data communications failure                             <ul style="list-style-type: none"> <li><input type="checkbox"/> IT general applications</li> <li><input type="checkbox"/> IT bespoke applications</li> <li><input type="checkbox"/> Building LAN (s)</li> <li><input type="checkbox"/> Inter-building communications</li> <li><input type="checkbox"/> Third party services (specify)</li> <li><input type="checkbox"/> IT support service/helpdesk</li> <li><input type="checkbox"/> Other external communications services (specify )</li> </ul> </li> <li><input type="checkbox"/> Utility failure (power, water, waste disposal, etc.) (specify )</li> <li><input type="checkbox"/> Building loss</li> <li><input type="checkbox"/> Building access restrictions                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Temporarily accessible but not usable</li> <li><input type="checkbox"/> Not accessible at all</li> </ul> </li> <li><input type="checkbox"/> Staff unavailability                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Not known/other (specify )</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Voice communications failure                             <ul style="list-style-type: none"> <li><input type="checkbox"/> over private exchange</li> <li><input type="checkbox"/> over the PSTN</li> <li><input type="checkbox"/> using mobiles</li> <li><input type="checkbox"/> using pagers</li> <li><input type="checkbox"/> using fax machines</li> </ul> </li> </ul>
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## Third stage –business continuity plan structure: alert forms (2)

What caused the disaster or failure, and what is the type(s) of damage?

*(Provide narrative, referring to as much cause specifics as known ... e.g. major IT operating system 'x' failure, major voice communications service 'y' failure, fire, vandalism, bomb threat for building next door, staff sickness epidemic – and similarly regarding the type of damage)*

What has been affected?

*(Provide as much narrative detail as known, including on such as what items are affected – e.g. location structure; location decorations, fittings, etc.; plant; IT; collections, and whether other locations are also affected)*

What was the state of the location at the time of the disaster or failure?

*(Provide narrative on whether closed unoccupied, closed but with security personnel on duty, open occupied by staff, open with members of the public inside, etc.)*

When was the disaster or failure first noticed?

What is the impact of the disaster or failure?

*(Provide as much detail as known in narrative and where possible in financial terms (e.g. on value of that destroyed or damaged, costs estimates of replacement, refurbishment, conservation, etc.)*

Is there a 'workaround' to the disaster or failure?

*(If the answer is Yes, provide as much detail as known)*

Alert reference number provided to person making the alert

Plus alert tracking and alert closure forms



## Third stage –business continuity plan structure (8)

- Supporting appendices (example exercise 2 answers) including (b):
  - if collections involved, others including:
    - list of emergency equipment, and details of where this is stored
    - contact details of internal and external conservators and specialists available for instant call-out
    - contact details for calling up transport at short notice to move items
    - priority list of collection items to be re-located
- **Once plan (s) produced – appropriate number of copies stored in remote location (s)!!**

## Third stage: business continuity plan production - things to watch out for



- Plan may be used in emergency by people:
  - under significant distress and/or
  - not familiar with plan – people familiar not available or incapacitated
  - .... and the plan may be large
- Thus sensible to:
  - include a route map
  - construct plan so people can be given only parts that they need
  - above all keep plan simple!!
    - easy to understand
    - unambiguous
    - include all steps however trivial they may seem
- Prove plan during testing, including with ‘unfamiliar’ people



## Third stage – business continuity plan related tasks - third party plans

- Other organisations may be responsible for providing supporting service elements, such as:
  - people
  - accommodation
  - IT and data communications services
  - voice services
- Third parties should confirm they have own business continuity plans – and you should review them
- Your organisation may need to include business continuity planning requirement in contracts with service providers



## Third stage – business continuity plan related tasks - tools to aid production (1)

- Two options for aids to help produce business continuity plan
  - software tool
    - advantage - easily extract and update data from an electronic database
    - disadvantage - other than simple circumstances output may not be particularly user friendly or practical
  - ‘manual’ approach with a Word template
    - advantage - will always have a simple and readily understandable document - still held electronically and can be updated quite easily
    - disadvantage – may be more time-consuming



## Third stage – business continuity plan related tasks - tools to aid production (2)

- On balance - with key requirement of a simple and readily understandable document, lean towards ‘manual’ approach if good template

BUT

- Not to preclude using a software tool if one found that offers benefit



## Third stage – business continuity plan sign-off and review of implementation plan for supporting measures and controls

- Formal sign-off of business continuity plan by senior ‘Board’ level management
- Review, and if necessary update of, implementation plan for supporting measures and controls – and if updated formal sign-off by senior ‘Board’ level management



## Third stage: business continuity plan production - summary

- Checklist to ascertain your business continuity planning status
- Visible senior ('Board level') management backing at outset for business continuity programme & then all key documents from the various stages
- Senior management aware & reminded of importance of an effective business continuity programme & consequences if not in place ... & indeed that effective business continuity management a strategic issue
- All business areas & related senior personnel involved, particularly to ensure all key areas covered
- Work to produce the business continuity plan (s) not commenced until first two business continuity stages completed and business continuity strategy report formally signed off by senior ('Board' level) management
- Results from third stage, i.e. the business continuity plan (s), signed off by senior ('Board' level) management
- **Above all keep it simple!**

## Third stage: business continuity plan production - next steps



- Produce your business continuity plan (s)
- Time for completion & resolving queries
- Obtain 'Board' level sign-off
- Next workshop – business continuity plan testing, awareness and ongoing maintenance – 2<sup>nd</sup> June 2006



## Further advice

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## Third stage: business continuity plan production

# Open forum discussion