CAPITA
Business Continuity Plan

Test Operations Service

LOSS OF CRITICAL FACILITIES   Go to Section
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EVACUATION   Go to Section
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Capita will provide STA, during Set-Up, with a copy of the Business Continuity Plan for STA's review and approval.
The Business Continuity Plan will set out the conditions and circumstances under which the Business Continuity Plan will be invoked outlining, the system recovery procedures to be followed in the event of a major system failure, and the alternative processes (including business processes) that the Supplier shall adopt in the event of disruption to the Services;
The Business Continuity Plan will be designed:
(i) to prevent any loss of data prior to the date on which any disruption occurs to a maximum of 4 hours before the time of the last successfully completed transaction prior to the disruption occurring;
(ii) so systems are recovered within a maximum of 24 hours;
The BC Plan will:

- be based upon risk profiles developed during set up;
- address the various possible levels of failure or disruptions to services, and the steps taken to remedy the different levels of failure and disruption;
- highlight the STA key contacts that Capita must inform in the event of a failure or disaster, along with detailed recovery instructions, locations of any STA Data or other data to be restored and any media or software;
- outline the steps that Capita will take upon resumption of Services, such steps designed to address any residual effect of the disruption (including a root cause analysis); and
- be designed so that the STA Security Requirements continue to be adhered to when such Business Continuity Plan is invoked;

and will be designed and reviewed in line with the process detailed in clause 26 of the Agreement.

In addition to supplying STA with a copy of the Business Continuity Plan during Set-Up Capita will review and update the plan annually, in the event of any material change to the Services and after any invocation of the BC Plan.

At present this draft version documents Capita's current Business Continuity Plan for the site in Fort Dunlop, Birmingham and for reference we have included the following draft documents with our BAFO submission:
Annex 8a – BC Plan Darlington
Annex 8b – BC Plan Communisis
Annex 8c – BC Plan Granby
Annex 8d – BC Plan Parcelforce
Annex 8e – BC Plan SQA
Annex 8f – BC Plan Civica

Contents

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Plan Details

Plan Location and Ownership

Plan Location:	**G:\Drive\Managers\BCP**
Plan Owner:	**Philip Knight**
Plan Author:	**Andrew Neighbour**
Plan Maintenance:	**Andrew Neighbour/John Greenhalgh**
Version:	**V0.2**
Last Updated:	**December 2016**

Senior Management Representative:	**Philip Knight**

Change History

Version	Author of Change	Date of Change	Reason for Change
V0.1	Joanne Macaulay	Oct 15	First draft
V0.2	Joanne Macaulay	Apr 16	Created to support Capita's bid
V0.3	Andrew Neighbour	Dec 16	Re-draft in light of dialogue sessions

Plan Distribution

Copy No.	Name	Comments
1	Patrick Elliott	
2	Philip Knight	
3	Andrew Neighbour	
4	TBC	
5	TBC (STA)	
6	Battle Box	

Plan Contributors

Copy No.	Name	Comments
1	Andrew Neighbour	(M) 07900 XXXXXX
2	Philip Knight	(M) 07765 XXXXXX
3	John Greenhalgh	(M) 07919 XXXXXX
4	Paul Evans (GRBA Continuity Manager)	(M) 07825 XXXXXX
5		
6		

Plan Sign off

Plan Owner: Philip Knight

Plan Author: Andrew Neighbour

Version: v0.3

Date:19/12/2016

Introduction

Description of Operation

The Standards & Testing Agency has appointed Capita to run the Test Operations Service (TOPS). The service includes printing, collation and despatch of National Curriculum Assessment materials and external marking. The subject matters are summarised below:

    i.   PSC, which is administered to year 1 pupils;

    ii.   KS1 assessments in Mathematics, English Reading and Grammar, Punctuation and Spelling. These are marked internally by schools and the results used to inform their Teacher Assessment judgements; and

    iii.   iKS2 assessments in Mathematics, English Reading and Grammar, Punctuation and Spelling together with the collection of data relating to Teacher Assessment judgements. These are externally marked and the results published to schools on a fixed date.

Pressure Times

Yearly – March to August

Monthly – The last full working week of the month MI is produced for governance meetings

Plan Scope

This draft Plan covers the activities related to an incident within the business operation and covers the following:

- Initial response to an Incident
- Building evacuation and staff safety
- Relocation of the operation to an alternative location
- Operational functional recovery activities

It does **NOT** include technical recovery of IT and Telephony services, which are detailed in separate plans.

The Plan will be developed during Set Up to incorporate elements from Key Subcontractor Plans. These draft Key Subcontractor Plans should be read in conjunction with this document.

Business Continuity Strategy

Business Strategy

In the event of a disaster being declared, the communications route in section F will be used, Capita will liaise with STA on the circumstances and agree priorities.

The main thrust of recovery action will be to restore as quickly as possible a service capable of supporting the contract and agreed performance targets.

The level of overall service required in the event of any declared incident will, of necessity, be geared to the nature of the incident and the time of year.

Loss of Building

Where it is deemed necessary to invoke the recovery site will be invoked for the Birmingham based staff this will be available, for occupation within 4 hours of invocation.

In all cases, emphasis will be placed on the recovery of the call centre, with a holding message being placed on the IVR for incoming calls until service is recovered.

Back-office activity will be managed by overtime, using overnight and weekend working where necessary.

If additional seating is required at the recovery site, at the height of peak volumes, the purchase of those seats will be negotiated with the recovery service provider.

Loss of IT

Key systems are Advantage Digital, MarkManager, File & Print server, Internet and Email. In the event of any of these systems being affected by such an event, the STA will be contacted to inform them of the situation if it is likely to affect service levels.

The senior management team will liaise with IT Services throughout the incident, and ensure that plans are invoked promptly (if required) to minimise service disruption.

For loss of Advantage Digital and MarkManager, call centre staff will answer general enquiries and if more information is being asked around records etc, details will be taken and will complete call backs once the systems have been retrieved.

Any backlogs encountered as a result of such failures, will be managed using overtime and extended hours. Some back office staff have been cross-trained so they can provide additional support to the call centre if required.

In the event of a major IT failure, such as server room damage/failure, loss of telecoms etc., where the building is deemed unusable, the "Loss of Building" plan will be invoked.

* *IT recovery plans are in place, with key systems replicated for minimal disruption to service.*

Loss of Telephony

As telephony services are critical to the operation, any significant loss of those services, especially if it affects the Helpline, will be treated as *loss of building* and the appropriate plan will be invoked.

In all cases, emphasis will be placed on the recovery of the call centre, with a holding message being placed on the IVR for incoming calls until service is recovered.

If a partial outage is experienced, which does not affect the Helpline, staff will use mobile phones for communication, as there is less dependency on telephony for the back-office functions.

Loss of Staff

For an isolated loss of staff (e.g. travel problems, team sickness etc.), the emphasis will be on maintaining the Helpline services and all experienced and cross-trained resource from back-office functions will be used to supplement the Helpline.

Any backlogs encountered as a result of such failures, will be managed using overtime and extended hours.

Where only back-office staff are affected, processes will be prioritised and staff diverted as appropriate.

Note: *A separate plan has been developed for a Pandemic situation, which impacts the UK as a whole, rather than just an individual business. However, that plan can also be used in extreme circumstances where all TOPS operations are impacted by an event (e.g. UK-wide weather or strike action).*

Critical Processes		
Process	**Recovery Time Objective**	**Recovery Point Objective**
Advantage Digital system –	4 hours	24 hours
MarkManager – onscreen marking system	4 hours	24 hours
Access to all relevant scheme email boxes	4 hours	24 hours
Access to Fort Dunlop G:Drive	24 hours	24 hours
Access to Image Repository	24 hours	24 hours
Access to CMS (Telephony)	24 hours	24 hours
Management Information (Client & Operational Reports)	5 Days	N/A

Non Critical Processes		
Process	**RTO**	**RPO**
Business Support – Training	5 Days	N/A
Business Support – Recruitment	5 Days	N/A
Access to QM and WFM & Access to Scanning	5 Days	N/A

Assumptions, Issues and Risks

Assumptions

1   IT Recovery plans are in place to recover core systems

2   Telephony service interruptions will be local.

3   Access to the Off-Site Recovery facility will be available at all times

6   An incident whose impact on the business is closure lasting more than 24hrs will generate additional calls for consecutive days.

7   Seat numbers at ICM. There are currently 50 seats booked which would be more than enough even when running at full capacity in peak period. Each desk will have a phone but if more desks are required, this can be arranged direct with Phoenix.

Risks

1   As a result of a major incident (e.g. fire/flood, IT comms failure, utilities failure) there is a risk of an inability to recover business processes or systems
Leading to failure of Service Levels, increased cost, financial penalties and reputational damage

2   As a result of a pandemic, key staff may not be able to get to work
Leading to failure of Service Levels or delays to the distribution of materials

3   One of Capita's sub-contractors might cease to trade
Leading to an inability to perform the contract

4   As a result of a major incident (e.g. fire/flood, IT comms failure, utilities failure) there is a risk of an inability to recover business processes or systems
Leading to failure of Service Levels, increased cost, financial penalties and reputational damage

Plan Audience

The primary audience for this plan will be all those involved with the Incident Management process, namely:

- Incident Management Team
- Senior Management Team
- Business Continuity Team
- Departmental Emergency Teams

The **Incident Management team** is the primary *Incident Controller*, managing the actual incident to conclusion.

The **Business Continuity team** with the support of the Senior Management Team and the Departmental Emergency Teams will control the business's response to the incident, and any recovery actions required.

During a severe incident, with widespread company or social implications, the **Senior Management Team** will take overall control of the situation, supported by the other teams.

Definitions

For the purposes of the plan we have defined an incident as the following:

Any event that may be, or may lead to, a business interruption, disruption or loss.

Likewise, *Incident Management* is defined as:

The process that an Organisation responds to and controls an incident using Emergency Response Procedures.

The key steps of Incident management are:

1. Report the Incident
2. Form an appropriate Management Team
3. Appoint an Incident Manager
4. Notify affected parties/users
5. Conduct an Impact assessment
6. Assess the severity of the incident
7. Brief necessary management levels
8. Send status report to the affected parties

References

- o   TOPS Agreement, Clause 26
- o   Capita Group Business Continuity Policy and Guidelines

Criticalities & Escalation

*ALL INCIDENTS WHICH INVOLVE INJURY, POTENTIAL INJURY OR IMMEDIATE LOSS OF STAFF ARE CLASSED AS **CRITICALITY 1** AND MUST BE ESCALATED TO THE SENIOR MANAGEMENT TEAM IMMEDIATELY.*

Criticalities	Definition	Management and Escalation		
		Manage	Assist	Direct/Escalate
Criticality 1	An incident which causes major disruption to business operations. Normal operations affected for more than 7 hours.	BC Team	Business management	Senior Management team
Criticality 2	An incident which causes temporary disruptions to business operations. Normal business operations expected to be restored within 7 hours	BC Team	Business management	Senior Management team
Criticality 3	An incident which causes minimal effect on business operations.	Business management	BC Team	Senior Management team

While the normal escalation process is laid out as above, the structure which has been implemented is flexible & can be adapted to meet any potential incidents which may occur.

Incident Process

During Working Hours

- **Staff** report the incident to line manager

- **Line Manager:**
    o Contacts Incident Controller with details of the incident

- **Incident Controller:**
    o Assesses situation and evacuates building if necessary
    o Contacts Emergency Services, if appropriate
    o Contacts Incident Control Team (Fire officers and First Aiders), if appropriate
    o Contacts Primary Cascade Contacts with details of the incident

- **Primary Cascade Contacts:**
    o Make decision over invocation of recovery plans
    o Contact Functional Managers (Business Continuity Team) and Executive Management with details and impact

- **Functional Managers (Business Continuity Team):**
    o Inform teams of the situation
    o Invoke functional BC plans
    o Manage functional recovery activities

Staff out of the building
If a member of staff is out of the building for any reason, and cannot get back to the roll call point, they should go to the area as indicated on the Fire and Bomb Evacuation Map in Section A and make themselves known to the Fire Controller as soon as they see them.

Staff not yet arrived at the workplace
If, on approaching work, it is evident that the building or street is cordoned off, then staff should:

- Call the Emergency Staff Telephone Number: **07765XXXXXX (P Knight)**
  Meet Me: 0800 0322910 (or 0208 939 4260 from an O2 mobile) / Chair Code: 92940903 # / Participant Code: 91913823 #
- advise of their whereabouts
- receive instructions on what to do from the above number

Further updates and information will be provided to staff via functional management.

Outside of Working Hours

- **Team Leader on duty contacts the Emergency Out-Of-Hours Contact**
  - o Assesses situation and evacuates building if necessary
  - o Contacts Emergency Services, if appropriate
  - o Contacts Incident Control Team (Fire officers and First Aiders), if appropriate

- **Emergency Out-Of-Hours Contact:**
  - o Contacts Incident Controller with details of the incident

- **Incident Controller:**
  - o Assesses situation and evacuates building if necessary
  - o Contacts Emergency Services, if appropriate
  - o Contacts Incident Control Team (Fire officers and First Aiders), if appropriate
  - o Contacts Primary Cascade Contacts with details of the incident

- **Primary Cascade Contacts:**
  - o Make decision over invocation of recovery plans
  - o Contact Functional Managers (Business Continuity Team) and Executive Management with details and impact

- **Functional Managers (Business Continuity Team):**
  - o Inform teams of the situation
  - o Invoke functional BC plans
  - o Manage functional recovery activities

Further updates and information will be provided to staff via functional management.

Notification to RIDDOR - Health & Safety Executive

As an employer, or someone in control of work premises, the business has legal duties under RIDDOR that requires it to report the incident as soon as possible:

- By phone: **0845 300 99 23 (local rate)**
- Online: HSE RIDDOR - Report online
- By email: riddor@natbrit.com
- By Post: Incident Contact Centre,
  Caerphilly Business Park,
  Caerphilly
  CF83 3GG

You must report:

- deaths;
- major injuries;
- over-3-day injuries – where an employee or self-employed person is away from work or unable to perform their normal work duties for more than 3 consecutive days;
- injuries to members of the public or people not at work where they are taken from the scene of an accident to hospital;
- some work-related diseases;
- dangerous occurrences – where something happens that does not result in an injury, but could have done;

Cases of over-three day injuries must be notified within ten days of the incident occurring.

Cases of disease should be reported as soon as a doctor notifies you that your employee suffers from a reportable work-related disease.

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Business Continuity Team

Function	Primary		Deputy	
Business Continuity/Operations Manager	**Philip Knight**	Mobile: 07765XXXXX Home: - Office: -	**TBC**	Mobile: Home: Office:
Call Centre	**TBC**	Mobile: Home: Office:	**TBC**	Mobile: Home: Office:
IT / Telephony	**John Greenhalgh**	Mobile: 07919 XXXXXX Home: - Office: 01253 330 328	**Chris Holgate**	Mobile: 07702 XXXXXX Home: - Office: -
Back Office	**TBC**	Mobile: Home: Office:	**TBC**	Mobile: Home: Office:

Senior Management Team

Role	Primary		Deputy	
Operations Director	**Philip Knight**	Mobile: 07765XXXXXX Home: - Office: 01375XXXXXX	**TBC**	Mobile: Home: Office:
Business MD	**Philip Knight**	Mobile: 0776XXXXXX Home: - Office: 01375XXXXXX	**Patrick Elliott**	Mobile: 07802 XXXXXX Home: 01483 XXXXXX Office: -
Director, Central Government Services	**Patrick Elliott**	Mobile: 07802 XXXXXX Home: 01483 XXXXXX Office: -	**Philip Knight**	Mobile: 07765XXXXXX Home: - Office: 01375XXXXXX

Command Centres (BC Team Meeting Places)

Primary Meeting Place (Within the building)	Meeting Room 5
Secondary Meeting Place (Away from the building)	Spitfire Island or alternative

Virtual Meeting Facility	(for Operations Manager and Senior Management Team)

Incident Management Team

Capita Facilities Management/ Incident Controller (Building)

Name	Office phone	Mobile Phone	Home phone
Laura Walker or Natalie Cunningham (in Laura's absence)		07860 XXXXXX 07827 XXXXXX(NC)	-
Natalie Cunningham		07827 XXXXXX	-

Incident Controller (IT)

Name	Office phone	Mobile Phone	Home phone
John Greenhalgh		07919 XXXXXX	-
Chris Holgate		07702 XXXXXX	-

Cascade Control Officer

Name	Office phone	Mobile Phone	Home phone
Vicky Wilkinson	01732 426422	07740XXXXXX	01827 XXXXXX 0121 XXXXXX

Fire Safety Officers
Fire Wardens are identified by their fluorescent waistcoats - Refer to the Capita Emergency Fire Plan for details

Name	Office phone	Mobile phone	Location / Department
Vicky Wilkinson	01732 426422	07740 XXXXXX	Fort Dunlop, Birmingham
Gulrez Kiyani	N/A	07534 XXXXXX	Fort Dunlop, Birmingham
Asif Ali	N/A	07525 XXXXXX	Fort Dunlop, Birmingham

First Aiders
Refer to the Capita Emergency Fire Plan for details

Name	Office phone	Mobile phone	Location / Department
Maggie Jenkins	01732 426416	07816XXXXXX	Fort Dunlop, Birmingham
Geraldine Smith	01732 426408	07870XXXXXX	Fort Dunlop, Birmingham
Danny Stokes	01732 426599	07849 XXXXXX	Fort Dunlop, Birmingham

Business Continuity Plan

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Birmingham

Recovery Priorities and Resources

Processes and Systems

Criticality Definitions

Critical:
Low tolerance to interruption

High:
Can be substituted with a manual process but only for a short period

Medium:
Can be performed manually at a tolerable cost for an extended time period

Low:
Not high priority in a recovery situation

Process	Critical Rating	Recovery Time (RTO)	Recovery Point Objective (RPO)	Details of Dependency on Others Who and what for…	IT Systems or Services used by Process	IT System Recovery Times
Call processing	Critical	4 Hours	N/A	o ITS	o Telephony o Avaya CMS o Advantage Digital o	4hrs
Advantage Digital System	Critical	4 Hours	24 Hours	o CSS o 6Degrees	o Advantage Digital o VPN Link o File transfer to Hartshead	4hrs
MarkManager	Critical	4 Hours	24 Hours	o Civica	o Internet	4hrs
Scheme Group Email boxes	Critical	4 Hours	24 Hours	o ITS	o Capita Network o Internet (Office365 users)	4hrs
Fort Dunlop's G:Drive	Critical	24 Hours	24 Hours		o File & Print server at FD	24hrs
Image Repository	Medium	24 Hours	24 Hours		o EMS server at FD	24hrs
Sharepoint	Medium	4 Hours	24 Hours	o ITS	o Capita Network	24hrs
Management Information – Client and Operational Reports	Medium	5 Days	N/A		o Advantage Digital o File and Print Server o EMS	24hrs

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Business Support – QA	Medium	2 Days	N/A	Call Centre – call processing.	o Email o FD G:Drive o Email o Advantage Digital o WFM o Telephony	24hrs

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Birmingham

Business Continuity Plan

Resource Requirements

Emergency Staff Requirements

Business Function	Staff Required		Emergency Location	Comments
	Emergency	Normal		
TBC	TBC	TBC	Phoenix	
TBC	TBC	TBC	Phoenix	
TBC	TBC	TBC	Phoenix	
TBC	TBC	TBC	Phoenix	
Total in team	**TBC**	**TBC**		

Test Operations Service
Birmingham

Resource Requirements (Peak Period)

Emergency Staff Requirements

Business Function	Staff Required		Emergency Location	Comments
	Emergency	Normal		
TBC	TBC	TBC	Phoenix	
TBC	TBC	TBC	Phoenix	
TBC	TBC	TBC	Phoenix	
TBC	TBC	TBC	Phoenix	
Total in team	**TBC**	**TBC**		

Test Operations Service
Birmingham

Field Code Changed

Workstations Required For Recovery (Desk, Chair, PC and Telephone)

Business Function	Number of desks required after each of first 10 days										Max no. of desks required	At how many days
	1	2	3	4	5	6	7	8	9	10+		
TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	1
TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	1
TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	1
TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	1
Total	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	TBC	

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Staff on site with no workstation (sharing/floor walking)

Business Function	1	2	3	4	5	6	7	8	9	10+
Total										

Staff able to Work from Home

Function	1	2	3	4	5	6	7	8	9	10+
Total										

ACD Headsets Required For Recovery

	Number of headsets required after each of first 10 days										Max no. of headsets req'd days	At how many days
Function	1	2	3	4	5	6	7	8	9	10		
TBC	41	41	41	41	41	41	41	41	41	41	41	
Total	41	41	41	41	41	41	41	41	41	41	41	

Test Operations Service
Birmingham

Telephony Required for Recovery

Line description	Normal number	Daily call volume	Principle callers	Divert to?	Comments
Main enquiry line	Xx	Xx	Schools, Local Authorities		
Marker helpline	Xx	Xx	Markers		

Critical Documents

Document description	Where stored	Backup store	Comments
BCP	G:\Drive\Managers Sharepoint	Phoenix	
FAQ's, Business Rules, How to Guides, Templates, Manual Escalation Forms	G:Drive	Sharepoint	

Emergency Stationery Supplier

Item	Reference	Quantity	Capita A/C No.	Supplier Contact Details
Office Depot			CAP30	Via email/website

Other Critical Equipment or Items

Equipment/Items Required	Process that uses it	Speed of Recovery	Comments
Print & File Server	Business Support – QA, Training		

Battle Box

Maintained by:	
Last Checked / Modified:	

Location 1

Recovery Contact Details	Name:	
	Phone:	
	Fax:	

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o   Please see page 129 onwards for full content list

Location 2

Recovery Contact Details	Name:	
	Phone:	
	Fax:	

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Business Continuity Plan

Emergency Stores

For items that the team will need, to recover their processes - e.g. documents, instructions for manual procedures

Description of Items to be Recovered and relocated to the recovery site if possible

TBC

Field Code Changed

Section A - Loss of Critical Facilities

Initial Impact Meeting Agenda

Before doing anything else, convene the **Business Continuity Team members** and consider the agenda points below:

- **Agree on what has actually happened**

- **What is the known impact so far?**
  - Impact on facilities and buildings
  - Impact on ability to conduct business – here and elsewhere
  - Impact on staff
  - What is the message from the Incident Management Team and Business Areas?

- **How might the situation develop?**
  - What might make things worse?
  - What might make things better – what manual or other workarounds can be deployed?
  - How long will workarounds be sustainable for?
  - Who else could help us from within or outside the business?
  - How long can we sustain this situation - when do we need to be back up and running?
  - How much can we afford to lose?
  - What do we not have, that we might need to help us recover?
  - How minimise further disruption and ease recovery – minimise backlog
  - Does the alternative recovery site need to be invoked?
    - Do transport arrangements need to be initiated?
    - Does overnight accommodation need to be arranged?
  - Do we have the Battle Box – how can we get to it?

- **Communications**
  - What message to give out to staff - who and when?
    - Activate Staff Information Line
  - Has the client been informed?
  - Has IT Services been informed?
  - Who else needs to know
    - Other Business Areas / Operations
    - Capita Press Office
    - Other Stakeholders
    - Third Parties, suppliers etc.
  - Contact with Senior Management Team
    - What is the impact?
    - Do we need to relocate?
  - Do incoming calls need to be diverted to another location?
  - Do we need to put messages on-line for our Customers, Partners etc?

Continued over page......

- **The Team**
    - Where to position the Business Continuity Team – Business location or elsewhere?
    - Agree roles for each member of the BC Team

- **Approach**
    - What to do now (wait, dismiss staff, request direction etc?)
    - Are we prepared for relocating:
        - Impact on staff
        - When to relocate
        - What has been agreed about relocating to Recovery Site?
        - Do we know who will go to Recovery Site?
    - Will workarounds be effective – how long for?
    - Is there anything that other teams should be doing now

- **Agree next meeting date/time**
    - Inform Senior Management Team of outcome
    - Ensure all relevant Managers and staff know of outcome
    - Record outcome in incident log if likely to be a protracted evacuation or relocation

Utility Services

For use when essential services are lost, including Gas, Electricity, Water, Heating, but the building has not been evacuated.

Electricity
If mains electricity fails, detail how long, if applicable depending on site, UPS (Uninterruptible Power Supply) and Generator will last for and which systems they maintain.

Issues and Questions	Actions
How long does generator last?	72 hours on a full tank of diesel

UPS	
Who has overall responsibility for the UPS (Capita/client/building landlord)?	Service Birmingham Facilities team.
Contact details for maintenance contract included in Section E (Contacts)	Service Birmingham Facilities team.
SLA for callout times for maintenance	4hr rapid response, 24/7, 365 days/year
UPS Coverage *e.g. systems/telephones only, whole building etc.*	The generator will supply all electrical equipment in Quadrants 2, 3 and 4 (both offices on M6 side and TPR)
UPS running time	193mins
Additional information	Responsibility for all utilities lies with Service Birmingham.

Generator	
Who has overall responsibility for the Generator (Capita/client/building landlord)?	Service Birmingham Facilities team.
Contact details for maintenance contract included in Section E (Contacts)	Service Birmingham Facilities team.
SLA for callout times for maintenance	4hr rapid response, 24/7, 365 days/year
Has generator started automatically?	If not, and mains outage is expected to be longer than UPS will hold, IT should initiate controlled power down.
How long will the generator run for between refuelling?	72 hours
Can the generator be refuelled during use?	Yes
Contact details for the fuel supplier included in Section E (Contacts)	Service Birmingham Facilities team.
SLA for provision of fuel if you have a contract for supply?	N/A
Generator Coverage *e.g. Floors, quadrants, systems/telephones only, whole building etc.*	Whole building.
Additional information	The business is reliant on Service Birmingham for the above utility services.

Gas

If mains gas fails, detail, if applicable depending on site, if there is an internal gas tank on site and how long this would last for.

Issues and Questions	Actions
Internal gas tank? How long would this last?	There is no gas supply to the building
What services would end if mains gas lost?	N/A
Workarounds?	N/A

Water

If mains water fails, detail, if applicable depending on site, if there is an internal water tank on site, how long this would last for and if it can be refilled.

Issues and Questions	Actions
Internal water tank? How long would this last?	There is no backup for water supply. If it goes off, we lose all supply.
What services would end if mains water lost?	Toilets, Catering, Tap water. Air conditioning would not be affected.
Workarounds?	Bottled water for drinking? Portaloos?

Immediate Actions

Situation Assessment

Are IT systems or Telephones affected?

- If IT is affected, e.g. a software supplier has gone out of business - go to *Loss of Critical IT* (Section D Page 72)
- If Telephones are affected, go to *Loss of Telephony.* (Section D Page 76)
- If normal systems testing is taking place, this must cease immediately to allow for resources to be used where the may be needed.

Does the situation require relocation?

- If the building has to be evacuated and relocation is required, go to *Relocation.* (Section C Page 56)

Communications

Establish communication with BC team.

Who will you talk to? – refer to BC team.

How and when will you be in contact?

Establish a BC Team routine

- Who will be responsible for what?
- How, when and where will the BC team receive updates - e.g. time and format of early morning brief, midday and end of day briefings.
- Consider likely duration of stay - shift work, overnight on-call for updates etc.
- Determine content, template, audience and timing of all communications - when should first formal communications go out?

Establish communication with your team

How, when and where will the team receive updates?

Do all team members have each others contact details?

Obtain key messages from BC team

- What is the current situation?
- What do we want people to do immediately (e.g. early lunch & back by specified time, go home, etc.)
- What we want people to say to customers who are impacted.
- Remind staff to refer media enquiries to Media Relations (Refer to section E of this plan)

Regular update briefings

When where and how will next update be given?

Issue updates promptly when received.

Update staff who are at home

Consider recording a message on the Staff Emergency Line

Capita employee information line on 07765 XXXXXX (P Knight's mobile)

Impact Assessment and Recovery Planning

Emergency team responsible for implementing plan

Meet and assess the impact
- Who do you need to make impact assessment & determine approach.
- Get understanding of status of all business areas and report this to the BC Team using the *Situation Report* templates.
- Does the BC Team understand the situation
- Can the BC Team give direction regarding the approach to be taken.
- Ensure deputies are available and on stand-by.

Ascertain existence of any contingency plans
- If contingency plans exist for loss of the supplier, invoke contingency plans.
- Look into alternative suppliers (e.g. couriers to cover for Royal Mail interruption)

Where is the BC Team meeting & how can it be contacted?
- Prepare emergency meeting room.
- Communicate location & contact details to Business Areas and BC Team.
- Confirm to BC Team that contact has been established with all Business Areas.

Do departmental team BC Plans need to be invoked?

Report issues/success to BC Team.

Are there any workarounds that can be implemented

Royal Mail issue - Can couriers be used for critical mail

Are there any processes that can be transferred to other sites

Consider moving staff engaged in critical work to an area covered by UPS/Generator supply

Monitor progress
- Check status of all Business Areas and report to BC Team.
- What can be achieved today, what are the targets?
- Prepare for next day's activities and communicate intention to the business and BC Team.
- Ensure communications have been initiated by all areas to respective stakeholders and Third Parties.

Fact finding to determine recovery approach

Staff availability

Who is available?

Who has the skills to complete critical processes?

Who can work from another Capita site or from the Recovery Site, if required?

Who has key skills that will be required by other areas?

Can staff from other business areas be utilised to assist with recovery?

Information required from BC Team:-

- When power will be restored?
- When systems will be restored?
- Has Recovery Site been invoked
- Impact on other business teams?

Consider placing IT DR supplier/Recovery Site on stand-by.

How many seats can we have and from when?

Work Priorities

Review existing work priorities:-

- What is current state of work - deadlines, current work in progress, any special jobs in progress or planned?
- Consider moving staff engaged in critical work to an area covered by UPS/Generator supply
- What are the requirements to identify and re-build existing work in progress?
- What are the processes to store, sort and prioritise incoming work?
- Monitor work throughput and quality. Report against recovery time objectives.
- What are the actions and communications to manage customer / distributor expectations for incoming work?
- What is the plan to resolve backlogs?
- What support is available from Senior Management team where requirements apply across business areas?

What are the current and likely customer, distributor and team impacts and requirements?

- Are there any manual workarounds that can be implemented?
- How many customers likely to have been unable to contact us?
- What methods we can use to get information to them (e.g. content of holding message, internet, call out on mobile phones to specific contacts)?
- If phones are unavailable, investigate whether customer facing and other phone-dependant people can be deployed to help other unaffected teams?

Process priorities

Specify recovery objectives

By reference to Recovery Priorities in this plan, specify which time critical processes have to be recovered, to what level and how quickly

Also refer to IT Recovery plan

Communications

Maintain communications with Senior Management team and Business areas

When will next report be due?

Format of report – written, oral, etc?

Keep Senior Management team advised of issues, risks, success and incidents

Request updates from Business areas

Sign-off recovery approach

What is the proposed recovery approach and priorities:-
- Communicate to Senior Management and BC Teams for agreement.
- Report status to Senior Management and BC Teams, concerns and issues that require their attention (e.g. agree what we are to say to any external parties that must be contacted).
- Are there any specialist or additional resources required to implement recovery.

Relocation plan

Decision made to relocate to Recovery Site or other location?
- Go to Section B *Relocation*.

Record keeping

Record events, issues & decisions. Keep a log of events, issues and decisions.
- Remind people to record additional expenses.

Field Code Changed

Critical IT

Actions for loss of systems due to power outages; please refer to Loss of Utility.
Actions for loss of telecoms & phones; please refer to Loss of Phones
Immediate Actions

Communications
Establish communication with BC team (BCT).

Who will you talk to?

How and when will you be in contact?

Establish a BC Team routine
- Who will be responsible for what?
- How, when and where will the BC team receive updates - e.g. time and format of early morning brief, midday and end of day briefings.
- Consider likely duration of stay - shift work, overnight on-call for updates etc.
- Determine content, template, audience and timing of all communications - when should first formal communications go out?

Establish communication with your team

How, when and where will the team receive updates?

Do all team members have each others contact details?

Obtain key messages from the BCT
- What is the current situation?
- What do we want people to do immediately (e.g. early lunch & back by specified time, go home, etc.)
- What we want people to say to customers who are impacted.
- Remind staff to refer media enquiries to Media Relations (Refer to section E of this plan)

Regular update briefings

When where and how will next update be given?

Issue updates promptly when received.

Update staff who are at home

Consider recording a message on the Staff Emergency Line

Capita employee information line on 0776XXXXXXX (P Knight's mobile)

Incoming phones

Is there an impact on incoming customer call answering

Set up appropriate message to customers, if possible

Update message if outage continues into second day or beyond

Impact Assessment Recovery Planning

Emergency team responsible for implementing plan
Who needs to be involved?
Assemble key people to make impact assessment & determine approach.
Ensure deputies are available and on stand-by.
Where is the team meeting & how can they be contacted?
Do you need to retrieve emergency stores if required by the team?
Do you need to prepare emergency meeting room?
Communicate location & contact details to your people and the BC team.

Process priorities
Specify recovery objectives
By reference to Recovery Priorities in the functional BC plans, specify which time critical processes have to be recovered, to what level and how quickly
Also refer to IT Recovery plan

Fact finding to determine recovery approach
Staff availability
Who is available?
Who has the skills to complete critical processes?
Who can work from another Capita site or from the Recovery Site, if required?
Who has key skills that will be required by other areas?
Can staff from other business areas be utilised to assist with recovery?
Information required from BC Team:-   • When systems will be restored?   • Has Recovery Site been invoked   • Impact on other business teams?
Consider placing DR supplier/Recovery Site on stand-by.
How many seats can we have and from when?

Field Code Changed

Work Priorities

Review existing work priorities:-
- What is current state of work - deadlines, current work in progress, any special jobs in progress or planned?
- What are the requirements to identify and re-build existing work in progress?
- What are the processes to store, sort and prioritise incoming work?
- Monitor work throughput and quality. Report against recovery time objectives.
- What are the actions and communications to manage customer / distributor expectations for incoming work?
- What is the plan to resolve backlogs?
- What support is available from BC Team where requirements apply across business areas?

What are the current and likely customer, distributor and team impacts and requirements?
- Are there any manual workarounds that can be implemented?
- How many customers likely to have been unable to contact us?
- What methods we can use to get information to them (e.g. content of holding message, internet, call out on mobile phones to specific contacts)?
- If phones are unavailable, investigate whether customer facing and other phone-dependant people can be deployed to help other unaffected teams?

Sign-off recovery approach

What is the proposed recovery approach and priorities:-
- Communicate to BC Team for agreement.
- Report status to Management Team, concerns and issues that require their attention (e.g. agree what we are to say to any external parties that must be contacted).
- Are there any specialist or additional resources required to implement recovery?

Relocation plan

Decision made to relocate to Recovery Site or other location?
- Go to *Relocation*.

Record keeping

Record events, issues & decisions. Keep a log of events, issues and decisions.
- Remind people to record additional expenses.

Telephony

Actions for loss of systems due to power outages; please refer to Loss of Utility.

Immediate Actions

Communications
Establish communication with BC team.
Who will you talk to?
How and when will you be in contact?
Establish a BC Team routine • Who will be responsible for what? • How, when and where will the BC team receive updates - e.g. time and format of early morning brief, midday and end of day briefings. • Consider likely duration of stay - shift work, overnight on-call for updates etc. • Determine content, template, audience and timing of all communications - when should first formal communications go out?
Establish communication with your team
How, when and where will the team receive updates?
Do all team members have each others contact details?
Obtain key messages from BC team • What is the current situation? • What do we want people to do immediately (e.g. early lunch & back by specified time, go home, etc.) • What we want people to say to customers who are impacted. • Remind staff to refer media enquiries to Media Relations (Refer to section E of this plan)
Regular update briefings
When where and how will next update be given?
Issue updates promptly when received.
Update staff who are at home
Consider recording a message on the Staff Emergency Line
Capita employee information line on Insert Phone Number

Incoming phones
Is there an impact on incoming customer call answering
Set up appropriate message to customers, if possible
Update message if outage continues into second day or beyond

Field Code Changed

Impact Assessment Recovery Planning

Emergency team responsible for implementing plan

Had software failed completely or has suppliers gone out of business (software still working)?

If software has failed; follow plan to restore/recover software – with IT support

If supplier has gone out of business;
- Assume software still working but now will be unsupported
- Legal to review escrow agreements from original contract
- BC Team to evaluate risk on using unsupported software
- Will in-house support suffice?
- IT to look at alternative software

Who needs to be involved?

Assemble key people to make impact assessment & determine approach.

Ensure deputies are available and on stand-by.

Where is the team meeting & how can they be contacted?

Do you need to retrieve emergency stores if required by the team?

Do you need to prepare emergency meeting room?

Communicate location & contact details to your people and BC Team.

Process priorities

Specify recovery objectives

By reference to Recovery Priorities in this plan, specify which time critical processes have to be recovered, to what level and how quickly

Also refer to IT Recovery plan

Fact finding to determine recovery approach

Staff availability

Who is available?

Who has the skills to complete critical processes?

Who can work from another Capita site or from the Recovery Site, if required?

Who has key skills that will be required by other areas?

Can staff from other business areas be utilised to assist with recovery?

Information required from BC Team:-
- When systems will be restored?
- Has Recovery Site been invoked
- Impact on other business teams?

Field Code Changed

Consider placing IT DR supplier/Recovery Site on stand-by.

How many seats can we have and from when?

Work Priorities

Review existing work priorities:-
- What is current state of work - deadlines, current work in progress, any special jobs in progress or planned?
- What are the requirements to identify and re-build existing work in progress?
- What are the processes to store, sort and prioritise incoming work?
- Monitor work throughput and quality. Report against recovery time objectives.
- What are the actions and communications to manage customer / distributor expectations for incoming work?
- What is the plan to resolve backlogs?
- What support is available from BC Team where requirements apply across business areas?

What are the current and likely customer, distributor and team impacts and requirements?
- Are there any manual workarounds that can be implemented?
- How many customers likely to have been unable to contact us?
- What methods we can use to get information to them (e.g. content of holding message, internet, call out on mobile phones to specific contacts)?
- If phones are unavailable, investigate whether customer facing and other phone-dependant people can be deployed to help other unaffected teams?

Sign-off recovery approach

What is the proposed recovery approach and priorities:-
- Communicate to BC Team for agreement.
- Report status to BC Team, concerns and issues that require their attention (e.g. agree what we are to say to any external parties that must be contacted).
- Are there any specialist or additional resources required to implement recovery?

Relocation plan

Decision made to relocate to Recovery Site or other location?
- Go to *Relocation*.

Record keeping

Record events, issues & decisions. Keep a log of events, issues and decisions.
- Remind people to record additional expenses.

Service from a 3rd Party Supplier

*For use when a service from an essential supplier (e.g. Royal Mail) is interrupted, either temporarily (such as industrial action) or permanently (such as a company going out of business). For loss of a Utility service (Gas, Electric, Water), please go to **Loss of Utility***

Assumption - The building has not been evacuated.

Immediate Actions

Situation Assessment

Are IT systems or Phones affected?
- If IT affected, e.g. a software supplier has gone out of business - go to *Loss of Critical IT*
- If Phones affected, go to *Loss of Telephony*.

Does the situation require relocation?
- If the building has to be evacuated and relocation is required, go to *Relocation.*

Communications

Establish communication with BC team.

Who will you talk to?

How and when will you be in contact?

Establish a BC Team routine
- Who will be responsible for what?
- How, when and where will the BC team receive updates - e.g. time and format of early morning brief, midday and end of day briefings.
- Consider likely duration of stay - shift work, overnight on-call for updates etc.
- Determine content, template, audience and timing of all communications - when should first formal communications go out?

Establish communication with your team

How, when and where will the team receive updates?

Do all team members have each others contact details?

Obtain key messages from the BC Team
- What is the current situation?
- What do we want people to do immediately (e.g. early lunch & back by specified time, go home, etc.)
- What we want people to say to customers who are impacted.
- Remind staff to refer media enquiries to Media Relations (Refer to *section E* of this plan)

Regular update briefings

When where and how will next update be given?

Issue updates promptly when received.

Update staff who are at home

Field Code Changed

Impact Assessment and Recovery Planning

Emergency team responsible for implementing plan

Meet and assess the impact
- Who do you need to make impact assessment & determine approach.
- Get understanding of status of all business areas and report this to the BC Team using the *Situation Report* templates.
- Does the BC Team understand the situation
- Can the BC Team give direction regarding the approach to be taken.
- Ensure deputies are available and on stand-by.

Ascertain existence of any contingency plans
- If contingency plans exist for loss of the supplier, invoke contingency plans.
- Look into alternative suppliers (e.g. couriers to cover for Royal Mail interruption)

Where is BC Team meeting & how can it be contacted?
- Prepare emergency meeting room.
- Communicate location & contact details to Business Areas and BC team
- Confirm to BC Team that contact has been established with all Business Areas.

Do departmental team BC Plans need to be invoked?

Report issues/success to BC Team.

Are there any workarounds that can be implemented

Royal Mail issue - Can couriers be used for critical mail

Are there any processes that can be transferred to other sites

Monitor progress
- Check status of all Business Areas and report to BC Team.
- What can be achieved today, what are the targets?
- Prepare for next day's activities and communicate intention to the business and BC Team.
- Ensure communications have been initiated by all areas to respective stakeholders and Third Parties.

Work Priorities

Review existing work priorities:-
- What is current state of work - deadlines, current work in progress, any special jobs in progress or planned?
- What are the requirements to identify and re-build existing work in progress?
- What are the processes to store, sort and prioritise incoming work?
- Monitor work throughput and quality. Report against recovery time objectives.
- What are the actions and communications to manage customer / distributor expectations for incoming work?
- What is the plan to resolve backlogs?
- What support is available from the BC Team where requirements apply across business areas?

Field Code Changed

What are the current and likely customer, distributor and team impacts and requirements?
- Are there any manual workarounds that can be implemented?
- How many customers likely to have been unable to contact us?
- What methods we can use to get information to them (e.g. content of holding message, internet, call out on mobile phones to specific contacts)?
- If phones are unavailable, investigate whether customer facing and other phone-dependant people can be deployed to help other unaffected teams?

Communications

Maintain communications with BC team

When will next report be due?

Format of report – written, oral, etc?

Keep BC team advised of issues, risks, success and incidents

Request updates from BC team

Sign-off recovery approach

What is the proposed recovery approach and priorities:-
- Communicate to BC Team for agreement.
- Report status to BC Team, concerns and issues that require their attention (e.g. agree what we are to say to any external parties that must be contacted).
- Are there any specialist or additional resources required to implement recovery?

Record keeping

Record events, issues & decisions. Keep a log of events, issues and decisions.
- Remind people to record additional expenses.

Field Code Changed

Section B – Evacuation

Field Code Changed

Evacuation Assembly Points

The Assembly Point is located in the fee-paying car park at the back of Fort Dunlop. It is the in the corner of the car park near the Micro Building.

Immediate Actions in the Event of an Evacuation

All Staff

- When you hear the alarm, leave the building immediately using the nearest designated escape route.

- If you are at your desk only take essential personal possessions with you (e.g. mobile, handbag, wallet). If you are not near your desk, do not return for your belongings

- Do not try and use the lifts

- Follow the instructions issued by the building Evacuation Officers. After reaching safety, go quickly to your agreed assembly point, detailed later in this section.

- Once at the assembly point, your manager will tell you what to do next.

Business Managers and Team Leaders

- Ensure that all staff and visitors are accounted for – Team Leaders should be collating details and reporting to the manager.

- Ensure evacuated staff are all at the pre-arranged assembly point detailed later in this section.

- If you have anyone you cannot account for – inform the Fire Safety Officer immediately – The Fire Safety Officer is identified by the high-visibility waistcoat he/she is wearing.

- Ensure staff do not leave/return until authorised by you.

- Ensure evacuated staff remain contactable at all times

- *Be mindful of the emotional impact this incident may be having on your staff*

- Request likely length of evacuation from Incident Controller.

- Arrange a meeting with your Team Leaders in order to assess the impact and response – use the *"Agenda for Initial Impact Meeting"* below.

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- Arrange for collection of your Battle Box and BC Plan. Refer to your departmental BC plan for location.

- Arrange telephone messages for incoming calls, where possible.

- Consider who else may need to be contacted – Other departments, managers, Clients, 3rd Parties etc. Refer to **Section D (*Emergency Contacts)***

- If appropriate, arrange meeting with Functional Managers and Executive Team in order to agree impact and approach

- Contact the **BC Team** in order to provide status of team and to give details of the impact to your area and obtain advice and direction. Contact details are in **Section D (*Emergency Contacts)*.**

- Discuss viability of waiting, closing up or relocating with **BC Team**. Any message to relocate will come directly from the **Senior Management Team**. Contact details are in **Section D (*Emergency Contacts).***

- Ensure Business Unit Team Leaders communicate proposed approach to staff – e.g. go home, prepare to relocate, come back in one hour etc.

- Be explicit with timings and actions when communicating to staff, particularly if they are required to reconvene at a set time

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Business Continuity Team

General points

- Ensure safety of staff and of yourself at all times, follow instructions given by Emergency Evacuation Team – They are identified by their high-visibility waistcoats.

- Make your way to your evacuation point, detailed later in this section, or as directed by the Emergency Evacuation Team, and follow the instructions within your Team Evacuation Plans.

- Notes relating to bomb and CBRN* threats are in **Section E (*Reference Documents and Forms)*.**

   * CBRN = Chemical, Biological, Radiological, Nuclear

All Members of Emergency Team

- Once you have confirmed the status of your business area and are happy that a deputy is covering you, continue with this plan.

- The Incident Management Team will be managing the incident. It has its own response plan for such incidents.

- Refer to **Section E (*Reference Documents and Forms)*** for bomb/CBRN related information, where appropriate.

- Make contact with your **Emergency Team Leader** at the designated meeting place. Contact and meeting place details are in your departmental BC Plans.

- Be explicit with timings and actions when communicating to staff – particularly if they are required to reconvene at a set time

- Be mindful of the emotional impact this incident may be having on your staff

- Remind your staff of the importance of redirecting Media enquiries – Media details are in **Section E (*Reference Documents and Forms*)**.

- Ensure that staff are kept informed regarding likely duration of evacuation, what they should do now and timings for reconvening

Emergency Team Leader or Deputy

- Review location of evacuated staff – consider weather conditions. A list of Evacuation Assembly Points is detailed earlier in this section.

- Ensure incoming call messages are activated as required – Detailed in departmental BC plans.

- Account for all staff in your departments. Report any missing staff immediately to the Evacuation Team or Incident Manager.

- Assign an individual to initiate a *Situation Report*. A template is provided in **Section E (*Reference Documents and Forms*)**

- Arrange a meeting point to co-ordinate attendance by all **Emergency Team Leaders**. Where a Team Leader is unavailable, arrange for deputy to attend.

- Make contact with **BC Team**, see **Section E (*Emergency Contacts*)** stating that **Emergency Team Leaders** are now convened and what the status of staff is etc.

- Request guidance from **BC Team**, such as approach, likely length of evacuation etc.

- Ensure each member of the Team understands their role, essentially:
  - Keep close to their own Business Area and represent them on the BC Team – maintain information flow between the two
  - attend regular meetings
  - convene with **BC Team Leaders** once relocated

  Specific roles are detailed in Section E (Reference Documents and Forms)

- Ensure all Business Units and the **BC Team** know the location of **Emergency Team Leaders** (if deemed appropriate)

- Ensure that the **BC Team** aware of status of your own Business Area.

- Follow the "*Agenda for Initial Impact Meeting*" below.

- After meeting with **BC Team Leaders**, communicate proposed approach to staff.
  Use the *Points of Contact* and *Communications* checklists in **Section E (*Reference Documents and Forms*)** to track communications.

- Any instruction to relocate should come via the BC Team or Senior Management Team.

Initial Impact Meeting Agenda

Before doing anything else, convene the **Business Continuity Team members** and consider the agenda points below:

- **Agree on what has actually happened**

- **What is the known impact so far?**
  - Impact on staff – have all been accounted for?
  - Impact on buildings and assets
  - Impact on ability to conduct business – here and elsewhere
  - What is the message from the Incident Management Team and Business Areas?

- **How might the situation develop?**
  - What might make things worse?
  - What might make things better – what manual or other workarounds can be deployed?
  - How long will workarounds be sustainable for?
  - Who else could help us from within or outside the business?
  - How long can we sustain this situation - when do we need to be back up and running?
  - How much can we afford to lose?
  - What do we not have, that we might need to help us recover – documents, staff etc?
  - How minimise further disruption and ease recovery – minimise backlog
  - Does the alternative recovery site need to be invoked?
    - Do transport arrangements need to be initiated?
    - Does overnight accommodation need to be arranged?
  - Can we salvage/obtain anything – from the building, from staff, from other areas?
  - Do we have the Battle Box – how can we get to it?

- **Communications**
  - What message to give out to staff - who and when?
    - Activate Staff Information Line
  - Has the client been informed?
  - Has IT Services been informed?
  - Who else needs to know
    - Other Business Areas / Operations
    - Capita Press Office
    - Other Stakeholders
    - Third Parties, suppliers etc.
  - Contact with Senior Management Team
    - Are we all safe?
    - What is the impact?
    - Do we need to relocate?
  - Care of staff – Next of Kin, hospital visits etc
  - Do incoming calls need to be diverted to another location?
  - Do we need to put messages on-line for our Customers, Partners etc?

- **The Team**
  - o Where to position the Business Continuity Team – Business location or elsewhere?
  - o Agree roles for each member of the BC Team

- **Approach**
  - o What to do now (wait, dismiss staff, request direction etc?)
  - o Are we prepared for relocating:
    - Impact on staff
    - When to relocate
    - What has been agreed about relocating to Recovery Site?
    - Do we know who will go to Recovery Site?
  - o Will workarounds be effective – how long for?
  - o Is there anything that other teams should be doing now

- **Agree next meeting date/time**
  - o Inform Senior Management Team of outcome
  - o Ensure all relevant Managers and staff know of outcome
  - o Record outcome in incident log if likely to be a protracted evacuation or relocation

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Field Code Changed

Section C – Relocation

Relocation Activities

Safety and Welfare of People

Issues and Questions	Actions
Have all people been accounted for?	Include staff, visitors and contractors. Account for people and report to the **Business Continuity Team (BCT)**.
Has anyone been injured?	In conjunction with BCT and HR: o Ensure HR is aware of the situation (Their contact number is in Section C of this plan) o Assign a person to stay with them, monitor progress and update your team. o Arrange aftercare & visiting, e.g. in hospital. o Check status of any injured staff - ensure you have communicated with families and Next of Kin.
If staff assembled outside	Review suitability of where they are, taking account of weather conditions. o Are there people who don't have their coats, cash, keys, other important personal possessions? o Ascertain any problems, and report to the BCT o Where should staff go during initial hours of the incident? (e.g. disperse and re-assemble at a given time, go home, etc.)
Are any people traumatised by the incident?	Ascertain any problems, and report to the BCT.

Communications

Issues and Questions	Actions
Establish communication with the BCT	Agree who you will talk to for updates and how & when you'll be in contact.
Where is BCT meeting & how can it be contacted?	Prepare emergency meeting room. Communicate location & contact details to Business Areas.
BCT meets and assesses the impact	Assemble **Business Continuity Team (BCT)** members to make impact assessment & determine approach. Obtain understanding of status of all business areas using the *Situation Report* template in section D of this plan. Ensure understanding of situation with Incident Manager and obtain direction from the Senior Management Team regarding the approach to be taken. Ensure deputies are available and on stand-by.
Establish communications with all Business Areas	What is the current situation? Best estimate of when building will be available What do we want people to do immediately (e.g. disperse and re-assemble at a given time, go home, etc.)?
Formulate core communications message	Remind all about contact with the media. Establish communications with other Registrars locations, where appropriate.

Communications Continued....

Issues and Questions	Actions
Record message on the Staff Emergency Phone Line	Operations Team Manager to ensure there is a suitable message on phone line.
Communication to teams and Media	Ensure staff are reminded how to deal with Media enquiries. Set up lines of communication with Group Media team. Ensure that staff are receiving the correct messages.
Has a message been set up that callers will hear?	Activate call plan to ensure appropriate message is set up for incoming callers.

Relocation

Issues and Questions	Actions
Agree recovery approach with Site Manager and Incident Controller	Formulate proposed recovery approach and priorities and agree with Site Manager and Incident Controller. Record status, including concerns and issues that require attention. Assign actions to team members. Request any specialist or additional resources required to implement recovery.
Who will be relocating?	For staff going to the Recovery Site: o Ensure teams are identifying who will be going. o Obtain names of all staff (each team has these details in their departmental BC plans). o Send details to the IT recovery team. Record who will be going to other locations instead of the Recovery Site - track and monitor progress.
Communicate transport arrangement to Business Areas.	Confirm transport arrangements are in place, such as coach services. Encourage use of public transport where possible. Ensure that Business Areas know where to go for their transport to the Recovery Site. Ensure that staff who are going to other Capita locations have transport arranged. Confirm requirements for using own car on company business (e.g. insurance).

Relocation Continued....

Issues and Questions	Actions
Communicate to staff	Confirm policy on expenses & overtime.
	Ensure that staff who aren't currently required are briefed as to what they're expected to do.
	Confirm which priority processes will be completed at the recovery site.
Confirm seating capacity/requirements	Check seating availability against requirements and prioritise where appropriate.
Establish communications at Recovery Site	Establish land line communications with Recovery Site teams, once they are in place.
	Ensure that BCT has relevant contact numbers.
Actions to deal with existing and new work.	Specify to Postal Services where post is to be delivered to,
	Order stationery from suppliers.
	Liaise with other functional managers where requirements apply across business areas.

Salvage

Issues and Questions	Actions
Actions to retrieve work, equipment and personal possessions from the building, once given permission to do so by the Incident Controller	List items to be retrieved, in priority order.
	Obtain most accurate information available as to where items can be found.
	Obtain keys for any items that will be locked in desks or cupboards.
	Identify people who will go into the building to salvage when given authorisation.
	Ensure salvaged items are recorded, along with where they are now stored.

Security

Issues and Questions	Actions
Security of affected site	Ensure affected site is secure – in conjunction with Site Manager and Facilities Management.
Security at Recovery Site	Ensure Team is happy with security of the Recovery Site.

Back to Base

Issues and Questions	Actions
Determine approach for return to normal office environment	This is more than a reverse of the BC Plan. Consider:
	o priority of relocation
	o keeping skeleton staff in place while re-populating the building.
	o staying at Recovery Site an extra day so that weekend can be used to return?

West Midlands
Business Continuity Centre

☉ phoenix

Birmingham
West Midlands

Phoenix House
No.2 Golden Cross, 220 Chester Street,
Aston, Birmingham B6 4AH
Call: 0844 863 1000
Fax: 0844 863 1001
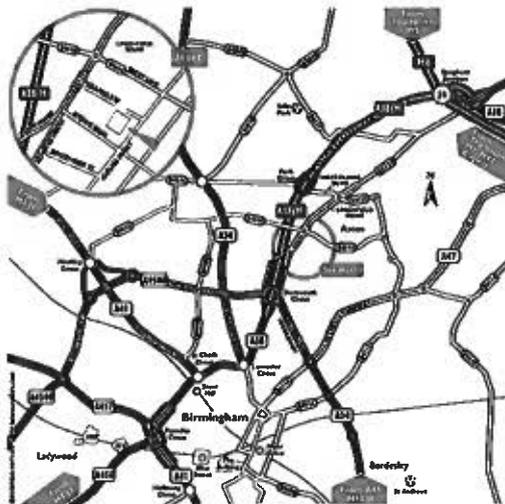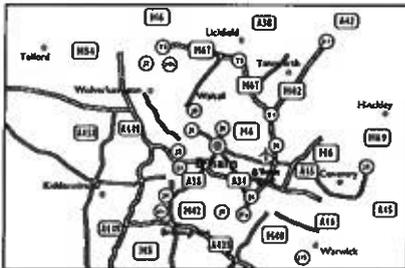
How to find us

From M6
• Leave the motorway at junction 6,
 (signed to A38(M), City Centre).
• Join the A38(M) Aston Expressway.
• Take the next slip road exit (Park Circle)
 and turn left at the roundabout onto
 the B4132, Waterlinks Boulevard.
• At the roundabout take the third exit
 onto the A5127, Lichfield Road.
• At the next roundabout take the first
 exit onto the B4132 Rocky Lane
• Take the first right onto Chester Street.
• We are the second building on the right.

From the M5
• Travel northbound on the M5 to its conclusion
 and join the M6 at junction 8 (signed London
 M1 & M40, Birmingham N & E and the M6).
• Join the M6 towards London (M1).
• Leave the M6 at junction 6 and
 then follow as above.

By Train
• The nearest stations are New Street,
 Moor Street and Snow Hill.
• We are a short taxi ride from all stations.
• For further information on train times
 and fares, please telephone the National
 Rail Enquiries line on 08457 48 49 50.

More information: If you would be interested in learning more about Phoenix and how we could support your business, please contact us

Call 0844 863 3000   Email enquiries@phoenix.co.uk   Visit phoenix.co.uk

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Recovery Site Invocation

Invocation procedures are held separately by the following Managers.				
Name	**Function**	**Mobile Phone**	**Home Phone**	**Office Phone**
Philip Knight	Operations Director (Birmingham)	07765XXXXXX	-	01375XXXXXX
Patrick Elliott	Managing Director, Central Government Services	07802XXXXXX	01483 XXXXXX	-

Field Code Changed

Transportation and Accommodation Arrangements

Capita Business Travel

Capita Business Travel		
Address:	Meridian Court 18 Stanier Way The Wyvern Business Park Derby DE21 6BF	**Office Hours:** 8.30am – 6pm After 6pm transfers to out of hours team.
Hotels:	Tel: 0871 521 9816	Email: capitahotels@capita.co.uk
Rail:	Tel: 0871 521 9869	Email: capitarail@capita.co.uk
Flights:	Tel: 0871 521 9835	Email: capitaair@capita.co.uk
Emergency:	In the event of an emergency outside of the hours detailed you can call the relevant number above, which will auto divert to our Emergency team. In the event of an emergency if calling **from abroad** please dial: **01332 644900**	
Notes:	A £10 charge will be raised to use the Emergency Number	

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Field Code Changed

Field Code Changed

Hotel Accommodation at Recovery Location

Capita Business Travel		
Address:	Meridian Court 18 Stanier Way The Wyvern Business Park Derby DE21 6BF	**Office Hours:** 8.30am – 6pm After 6pm transfers to out of hours team.
Hotels:	Tel: 0871 521 9816	Email: capitahotels@capita.co.uk
Emergency:	In the event of an emergency outside of the hours detailed you can call the relevant number above, which will auto divert to our Emergency team.	
Notes:		

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To be used in the first instance for all hotel bookings

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Local Hotel Details

Capita Business Travel		
Address:	Meridian Court 18 Stanier Way The Wyvern Business Park Derby DE21 6BF	**Office Hours:** **8.30am – 6pm** After 6pm transfers to out of hours team.
Hotels:	Tel: 0871 521 9816	Email: capitahotels@capita.co.uk
Emergency:	In the event of an emergency outside of the hours detailed you can call the relevant number above, which will auto divert to our Emergency team.	
Notes:		

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To be used in the first instance for all hotel bookings

Seating Arrangements at Recovery Location

Suite 5

Recovery 5
(100 Positions)

| 87 | | 88 | 91 | | 92 | 95 | | 96 | 99 | | 100 |
| 86 | | 89 | 90 | | 93 | 94 | | 97 | 98 | | |

| 85 | 84 | 83 | 82 | | 81 | 80 | 79 | 78 | 77 | 76 | 75 |
| 64 | 65 | 66 | 67 | | 68 | 69 | 70 | 71 | 72 | 73 | 74 |

| 63 | 63 | 61 | 60 | | 59 | 58 | 57 | 56 | 55 | 54 | 53 |
| 42 | 43 | 44 | 45 | | 46 | 47 | 48 | 49 | 50 | 51 | 52 |

| 41 | 40 | 39 | 38 | | 37 | 36 | 35 | 34 | 33 | 32 | 31 |
| | | 22 | 23 | | 24 | 25 | 26 | 27 | 28 | 29 | 30 |

| 21 | 20 | 19 | 18 | 17 | | 16 | 15 |
| 8 | 9 | 10 | 11 | 12 | | 13 | 14 |

| 7 | 6 | 5 | | 4 | 3 | 2 | 1 |

Full Height Glazing

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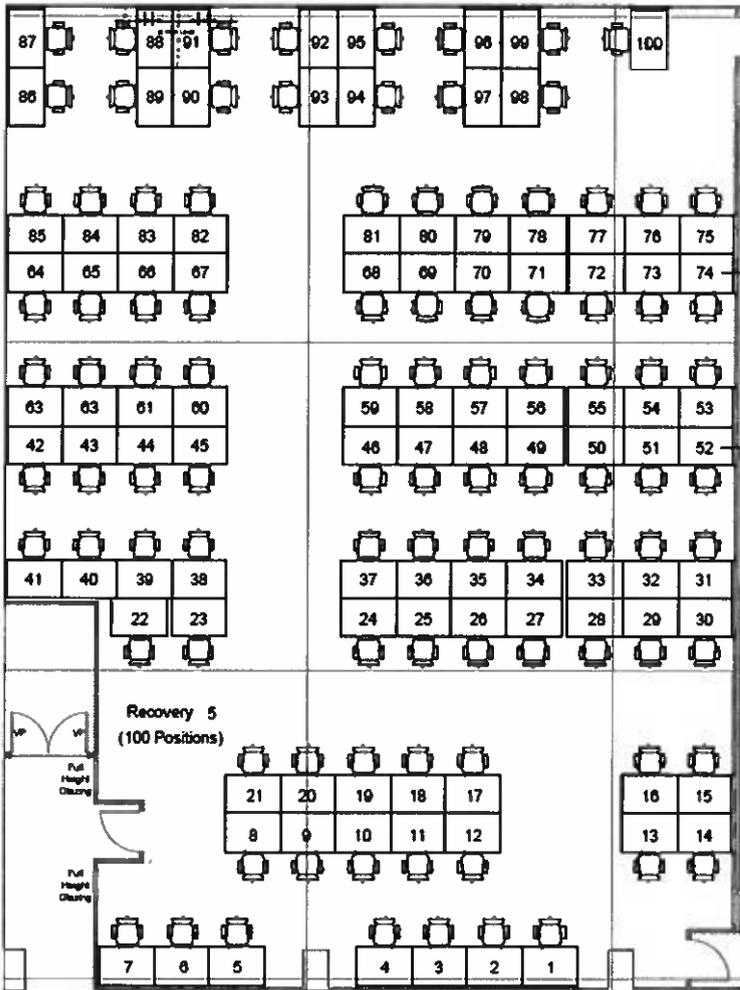
Section D – Functional Recovery

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Loss of Building or Facilities

Immediate Actions:

Determine impact on work - Time of day / duration of loss
Determine key processes and assess impact on each
Call Centre diversion

Decision to send staff home or not:
  o How long is the outage going to last?
  o Do staff need to be on standby?

Formulate messages to be given to staff, client and third parties – B.C. Team
Inform staff of situation and who is to do what
Contact client and keep updated
Update Senior Management on situation and impact
Liaise with Service Birmingham Facilities team – **B.C. Team**
Consider advising HR / Risk / Insurance / Press officer / SH&E – **Senior Management Team**
Manage access to the premises – Ensure security is maintained – **B.C. Manager**
Manage the salvage of and access to paper records / current work – **B.C. Team**
Remind all staff that any calls from the Press are referred to line managers or Group Marketing/Press – **Staff to take contact details for a call back**
Keep log of contacts made and message given

Relocation:

Identify key staff to help recover work and inform them of when and where they will be needed - **Refer to staff contact details**

Nominate two members of staff (**at least 1 I.T. Support and 1 Operations Manager**) to attend the recovery site (in advance of other staff relocating) to liaise with IT and to assist in the invocation and transition process
  o Recover Battle Box
  o Test Systems/E-mail/Internet access/Telephones
  o Liaise with IT for system issues
  o Report back to B.C. Team
  o Check links to printers
  o Log all issues, problems and solutions

Ensure staff moving to recovery site have transport arranged

Assess current state of work
  o Backlogs, deadlines, current work in progress
  o Any special jobs in progress or planned
  o Additional staff to help recover – Internal / Temps..

Assess the impact of the unavailability of the premises, including physical security of files and any loss of data. – Liaise with Service Birmingham Facilities and ensure security of quadrant is maintained (cabinets locked?) Salvage: contents of filing cabinets – do they get sent to Darlington (CTDS or other storage facility)?
Re-prioritise outstanding work

Obtain update from team at recovery site:
   o *Have systems / telephony been recovered?*
   o *Are staff able to access systems?*
   o *Has telephony been tested and is working?*
   o *Start to move staff to recovery site:*
       • *Consider who is to go?*
       ▪ *Has transport been arranged?*
       ▪ *Do they know the location/address?*
       ▪ *Do they all have staff ID cards?*

Ensure welfare of staff at recovery site
Keep log of contacts made and message given

On-Going:
Update staff sent home with current situation – Are they required next day?
Consider rotation of staff at recovery site
Consider additional shifts – Evenings and weekends
Ensure transport to/from recovery site continues
Ensure welfare of staff at recovery site   *Comfort*   *Food and drink*   *H&S considerations*
Remind all staff that any calls from the Press are referred to line managers or Group Marketing/Press
Decide on frequency of communications with staff and key stakeholders, including client.   *Use the "**Communications Log**" in Section F of this plan*

Update interested parties:
   o *Client*
   o *Senior Management*
   o *Other operations in the Business*
   o *Capita Press Office*
   o *Facilities (Service Birmingham)*
   o *Group Risk / HR / Insurance / SH&E*
   o *3rd party suppliers – Deliveries, couriers etc. Stationery, Tape Backup from Iron Mountain*
   o *Capita Suppliers – Service Birmingham, ITS, Capita Comms*

*Ensure mail delivery is diverted to recovery site or is collected daily- **Liaise with Service Birmingham***
*Ensure regular stationery supplies, and that they are diverted to recovery site – **Office Admin***
Consider any meetings / visits planned in foreseeable future – rearrange as necessary
*Maintain security at normal premises- **Liaise with Service Birmingham***

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Continue to manage the salvage of and access to paper records / current work

Identify issues and record problems
   o *Ensure they are documented*
   o *Ensure they are assigned an owner and timescales to resolve*
   o *Escalate to Executive management where appropriate*

Track all costs and expenses incurred in connection with the incident.
Prioritise next day's work – Manage Backlogs
Keep log of contacts made and message given

Immediate (Building)

Communication	Responsibility	Date/Time Completed
Staff will notify the Line Manager of the incident. The Line manager will contact the Incident Manager who will then assess the situation and advise the BC team.	Everyone	
BC Team to contact Senior Management and inform of incident. BC Team will communicate the incident to staff and advise on what to do next.	Cascade Controller	
Recovery	**Responsibility**	**Date/Time Completed**
BC Team to discuss and agree recovery procedure. Keep staff updated of new developments at all times. Determine who is available and what skills they have. Determine who can work from the recovery site if required.	BC Team	
Contact third party suppliers and determine how long incident will last. Consider putting the recovery site on stand-by.	Incident Controller	
Workload	**Responsibility**	**Date/Time Completed**
Call Centre manager will determine calls received up to point of incident and review forecasted calls to determine the workload.	Call Centre Manager	
Back Office Manager to review how much work there is in the queue and inform BC Team.	B/O Manager	

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Loss of IT

Loss of Internet

Critical processes and systems such as Advantage Digital depend on the internet being available. Therefore:

Short Term - refer to loss of building without evacuation.

Long Term – refer to loss of building.

Communication	Responsibility	Date/Time Completed
Staff will notify the Line Manager of the incident. The Line manager will contact the Incident Manager who will then assess the situation and advise the BC team.	Everyone	
BC team to inform IT services of the loss.	Incident Manager	
BC Team to contact Senior Management and inform of incident.	Cascade Controller	
Inform Press Office to notify other Capita Businesses.	Incident Manager	
Recovery	**Responsibility**	**Date/Time Completed**
- IT Services to determine how long the outage will be and inform BC Team. - Assess the impact to the business (call centre/ back office).	BC Team	

Loss of Advantage Digital

Advantage Digital is a core applications dependent on an internet connection being available at Fort Dunlop. If the connection was not available, then treat as above. However, if the connection was available but any of the systems are down, treat as above (short term) and contact IT Services for possible invocation of IT DR plan.

Communication	Responsibility	Date/Time Completed
Staff will notify the Line Manager of the incident. The Line manager will contact the Incident Manager who will then assess the situation and advise the BC team.	Everyone	
BC team to inform IT services of the loss.	Incident Manager	
BC Team to contact Senior Management and inform of incident.	Cascade Controller	
Recovery	**Responsibility**	**Date/Time Completed**
- IT Services to determine how long the outage will be and inform BC Team. - Assess the impact to the business (call centre/ back office).	BC Team	
Workload	**Responsibility**	**Date/Time Completed**
Determine workload and check what staff are available.	B.O./C.C Managers	

Loss of Email

Short/Long Term -- refer to loss of building without evacuation. However, the steps below should be taken.

Communication	Responsibility	Date/Time Completed
Staff will notify the Line Manager of the incident. The Line manager will contact the Incident Manager who will then assess the situation and advise the BC team.		
BC team to inform IT services of the loss.	Incident Manager	
BC Team to contact Senior Management and inform of incident.	Cascade Controller	
Inform Press Office to notify other Capita Businesses.	Incident Manager	
Recovery	**Responsibility**	**Date/Time Completed**
- IT Services to determine how long the outage will be and inform BC Team. - Assess the impact to the business (call centre/ back office). - Determine availability of phones (landline/mobile).	BC Team	

System / Service

Immediate (IT)

Communication	Responsibility	Date/Time Completed
Inform I.T. of loss. Inform staff of the incident and how long I.T. estimate it will last for. Remind staff not to speak to the media (If applicable). (Managers to cover for each other's teams if absent).	Functional Managers	
Recovery	**Responsibility**	**Date/Time Completed**
In office – assess what systems or telephony has been affected and impact to the Contact Centre	BC Team.	
Workload	**Responsibility**	**Date/Time Completed**

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Loss of Telephony

Immediate (Telephony)

Short Term – refer to Loss of Building without evacuation.

Long Term – refer to Loss of Building.

Communication	Responsibility	Date/Time Completed
Ensure all agents are informed and kept up to date with developments. Ensure I.T. are informed of the incident. Ensure telephony company has been informed of incident. Remind agents not to speak to the media.	BC Team	
Prepare to invoke recovery site if necessary.	BC Team	
Recovery	**Responsibility**	**Date/Time Completed**
Workload	**Responsibility**	**Date/Time Completed**

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Loss of Staff

For Short term situations (e.g. Weather/transport etc) follow steps below. For longer term or more severe incidents (e.g. Pandemic Flu) refer to Flu Plan.

Bad Weather/Transport Disruption/Small Team Sickness

Immediate Actions:
Determine impact on work - Time of day
Call Centre diversion?
Decision to send staff home or not: o   *How long is the bad weather going to last?* o   *Do other not in work staff need to be on standby?*
Formulate messages to be given to staff, client and third parties – B.C. Team
Inform staff of situation and who is to do what
Contact client and keep updated
Update Senior Management on situation and impact
*Liaise with Service Birmingham Facilities team – **B.C. Team***
*Consider advising HR / Risk / Insurance / Press officer / SH&E – **Senior Management Team***
*Manage access to the premises – Ensure security is maintained – **B.C. Manager***
*Remind all staff that any calls from the Press are referred to line managers or Group Marketing/Press – **Staff to take contact details for a call back***
Keep log of contacts made and message given

Relocation:
*Identify key staff to help recover work and inform them of when and where they will be needed - **Refer to staff contact details***
Assess current state of work o   *Backlogs, deadlines, current work in progress* o   *Any special jobs in progress or planned* o   *Additional staff to help recover – Internal / Temps..*
Assess the impact of the unavailability of the premises, including physical security of files and any loss of data. – Liaise with Service Birmingham Facilities and ensure security of quadrant is maintained (cabinets locked?) *Salvage: contents of filing cabinets – do they get sent to Darlington (CTDS or other storage facility)?*
Re-prioritise outstanding work
Ensure welfare of staff at recovery site
Keep log of contacts made and message given

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On-Going:
Update staff sent home with current situation – Are they required next day?
Consider additional shifts – Evenings and weekends
Remind all staff that any calls from the Press are referred to line managers or Group Marketing/Press
Decide on frequency of communications with staff and key stakeholders, including client. *Use the "Communications Log" in Section F of this plan*

Update interested parties:
  o *Client*
  o *Senior Management*
  o *Other operations in the Business*
  o *Capita Press Office*
  o *Facilities (Service Birmingham)*
  o *Group Risk / HR / Insurance / SH&E*
  o *3rd party suppliers – Deliveries, couriers etc. Stationery, (Tape Backup)*
  o *Capita Suppliers – Service Birmingham, ITS, Capita Comms, Manchester/Darlington*

Consider any meetings / visits planned in foreseeable future – rearrange as necessary

Identify issues and record problems
  o *Ensure they are documented*
  o *Ensure they are assigned an owner and timescales to resolve*
  o *Escalate to Executive management where appropriate*

Track all costs and expenses incurred in connection with the incident.
Prioritise next day's work – Manage Backlogs
Keep log of contacts made and message given

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Loss of 3rd Party Suppliers or Services

For use when essential suppliers or services are lost, which do NOT affect the availability of IT systems, phone services or the building.

- If access to the building is affected, go to section 4 (Loss of Building)
- If IT systems availability is affected, go to section 5 (Loss of IT Systems)
- If Phone services are affected, go to section 6 (Loss of Phones)

3rd party supplier	Service supplied	Maximum Tolerable Interruption Time	Actions to be Taken	Alternative Suppliers and Contact Details	Date Supplier BCP checked
CSS / 6Degrees	Advantage Digital & Connect Admin system	4 hours	• Liaise with IT Support Team and Senior Management	N/A	September 2015
Civica	MarkManager	4 hours	• Liaise with the STA	N/A	Contact is Adrian Storton
Blue Arrow	Agency staff supplier	3 days	• Refer to second tier supplier is Blue Arrow unable to provide staff • Consider Capita Internal Resourcing	N/A	TBA
Office Depot	Office Supplies	1 week	• Setup account with alternative supplier	Refer to Office Supplies DR Plan at end of document.	TBA
Granby	Collation	1 day	• Invoke Granby DR procedures (Appendix xx)		
Communisis	Printing	1 day	• Invoke Communisis DR procedures (Appendix xx)		
Parcelforce	Delivery/collection	1 day	• Invoke Parcelforce DR procedures (Appendix xx)		

Operational Processes

Most of the processes used rely heavily on the system being available. Without the system, very little could be done.

Application fulfilment
All details relevant to this section should be collated on an excel spreadsheet and then sent over via email to Cap Comms for dispatch.

Change of Circumstances requests
Paper forms to be completed by the CSR receiving the call. These can later be dispatched by team manually.

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Section E – Emergency Contacts

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Test Operations Service
Birmingham

Business Continuity Plan

Capita Contacts

Capita people you must contact in an emergency, including teams that rely on you, or on whom you rely

Business

Function	Contact Name	Office Phone	Mobile Phone	E-mail address	
Building Facilities	Laura Walker Natalie Cunningham	-	07827 XXXXXX 07827 XXXXXX	laura.walker@servicebirmingham.co.uk natalie.cunningham@servicebirmingham.co.uk	Field Code Changed Field Code Changed
IT Service Desk	John Greenhalgh	-	07919 XXXXXX	John.Greenhalgh@capita.co.uk	Field Code Changed
ITS Service Manager	Chris Holgate	-	07702 XXXXXX	chris.holgate@capita.co.uk	Field Code Changed

Capita Group

Function	Contact Name	Office Phone	Mobile Phone	E-mail address	
Contract HR Advisor	Catherine Fraser	-	07824 XXXXXX	catherine.fraser@capita.co.uk	Field Code Changed
Group HR	Justine Bates	-	07725 XXXXXX	justine.bates@capita.co.uk	Field Code Changed
Capita Group Press Office	-	0870 240 0488	-	N/A	
Group Media Relations	Shona Nichols	020 7654 2306	07710 XXXXXX	shona.nichols@capita.co.uk	Field Code Changed
Group Insurance Claims	Chris Barnett	0870 402 7514	07968 XXXXXX	chris.barnett@capita.co.uk	Field Code Changed
Group Safety, Health & Environment	John Kost	-	07795 XXXXXX	john.kost@capita.co.uk	Field Code Changed
Head of Resilience	Paul Evans	-	07825 XXXXXX	paul.evans4@capita.co.uk	Field Code Changed
Group Risk Director	Chris Terry	02076542389	07736 XXXXXX	chris.terry@capita.co.uk	Field Code Changed

Client Emergency Contacts

Clients you must contact in an emergency, including teams that rely on you, or on whom you rely

Refer to Senior Management Team

Client	Contact Name	Phone Numbers	E-mail address
Standards & Testing Agency	TBC	TBC	TBC

Business Continuity Plan

Third Parties or Suppliers

Company / Address				Services Provided		
3rd Party Contact Names	Office phone	Mobile phone	Fax	E-Mail Address	Capita Person Responsible for Contact	
Capita Software Solutions (CSS)						
Chris White	08701 631804	07801 XXXXXX	N/A	chris.white@capita.co.uk	N/A	
Civica						
TBC	TBC	TBC	N/A	TBC	N/A	
Blue Arrow 61 New Street, Birmingham, B2 4DU			**Staff recruitment**			
Irene Kapetanaki	0121 632 4477	N/A	N/A	Irene.kapetanaki@bluearrow.co.uk	Vicki Wilkinson	
Office Depot (No address known)			**Office Supplies**			
Melanie Bandey	0844 391 3924	N/A	N/A	capita.helpdesk@officedepot.co.uk	Vicki Wilkinson	
Iron Mountain (Tape storage) Unit 33, Electra Park, Off Electric Avenue, Aston, Birmingham, B6 7EB			**Data backup**			
Adam Wattley	0121 322 4232	07879XXXXXX	0121 322 4221	awattley@ironmountain.co.uk	Carl Gough	

Test Operations Service

Birmingham

Local Hotel Details

Capita Business Travel
Meridian Court
18 Stanier Way
The Wyvern Business Park
Derby   DE21 6BF

Hotel: 0871 521 9816 (Main Number)
Rail: 0871 521 9869
Flights: 0871 521 9835
Fax: ....
Email: capitahotels@capita.co.uk

Test Operations Service
__Birmingham__

Business Continuity Plan

Local Contacts and Services

Emergency Services

Service	Contact	Telephone	Comments
Ambulance	TBA	999	
Hospital	TBA	999	
Fire Service	TBA	999	
Police	Erdington Police	0845 113 5000	

Essential Services

Service	Contract?	Supplier	Contact	Telephone	Comments
UPS					
Generator					
Electricians	Refer to Service Birmingham facilities team.				
Electricity Board					
Gas Board					
Water Company					
Royal Mail					

Test Operations Service
Birmingham

Other Services

Service	Contract?	Supplier	Contact	Telephone	Comments
N/A					

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Section F – Reference Documents and Forms

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Capita Media Plan

Any requests from the media, during an incident, should be dealt with as follows:

- **All Communications and Publicity matters should in the first instance be referred to the Communications Manager in the Senior Management Team, who will progress with the Capita Group Press Office on:**

0207 654 2399 (24/7 line)

- The Capita Group Press Office maintains an emergency communications plan to ensure that appropriate and prompt action is taken to control and manage communications with the outside world.

- On receipt of notification of an incident, Capita Group Press Office will assume sole responsibility for dealing with the media.

- On no account should unauthorised staff make any comment directly to the press, and must refer all enquiries to the **Capita Group Press Office, as above.**

- Staff approached by the Media must immediately inform the Communications Manager in the Senior Management Team (or any member of the Senior Management Team).

Shona Nichols
Corporate Communications Director

The Capita Group Plc,
71 Victoria Street,
London, SW1H 0XA

Office: 0207 654 2306

Mobile: 07710XXXXX

E-Mail: shona.nichols@capita.co.uk

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Guidelines – Parcel & Letter Bombs

Postal Deliveries

These guidelines should be read in conjunction with any advice received from local police Crime Prevention Officers.

Nothing in these instructions should be taken as authority for staff to put themselves, their colleagues, Capita's property or its customers at risk.

Departmental Managers must ensure that all staff are aware of the procedures which should be followed in the event of an incident.

Delivered items, which include letters, parcels, packages and anything delivered by post or courier, have been commonly used devices to disrupt business operations.

Delivered items may be explosive or incendiary (the two most likely kinds), or conceivably chemical, biological or radiological. Anyone receiving a suspicious delivery is unlikely to know which type it is, so procedures should cater for every eventuality. A delivered item will probably have received fairly rough handling in the post and so is unlikely to detonate through being moved, but any attempt at opening it may set it off. Unless delivered by courier, it is unlikely to contain a timing device. Delivered items come in a variety of shapes and sizes; a well-made one will look innocuous but there may be tell-tale signs.

Indicators of a suspicious delivered item:

- it is unexpected or of unusual origin or from an unfamiliar sender
- there is no return address or the address cannot be verified
- it is poorly or inaccurately addressed, e.g. incorrect title, spelt wrongly, title but no name or addressed to an individual no longer with the company the address has been printed unevenly or in an unusual way the writing is in an unfamiliar or unusual style
- there are unusual postmarks or postage paid marks
- a Jiffy bag, or similar padded envelope, has been used
- it seems unusually heavy for its size. Most letters weigh up to about 30g, whereas most effective letter bombs weigh 50–100g and are 5mm or more thick
- it has more than the appropriate value of stamps for its size and weight
- it is marked 'personal' or 'confidential'
- it is oddly shaped or lopsided
- the envelope flap is stuck down completely (a normal letter usually has an un-gummed gap of 35mm at the corners)
- there is a pin-sized hole in the envelope or package wrapping
- there is any unusual smell, including but not restricted to almonds, ammonia or marzipan
- it has greasy or oily stains on the envelope
- wires or tinfoil protruding
- Loose powders

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What you can do

Although any suspect item should be treated seriously, remember that the great majority will be false alarms and a few may be hoaxes. Try to ensure that your procedures, while effective, are not needlessly disruptive. Take the following into account in your planning:

- seek advice from your local police or Counter Terrorism Security Adviser (CTSA) on the threat and on defensive measures

- consider processing all incoming post and deliveries at one point only. This should ideally be off-site or in a separate building, or at least in an area that can easily be isolated and in which deliveries can be handled without taking them through other parts of the building

- make sure that all staff who handle post are briefed and trained. Include reception staff. Encourage regular correspondents to put their return address on each item

- ensure that all sources of incoming post (e.g. Royal Mail, couriers, hand delivery) are included in your screening process

- ideally, post rooms should have independent air conditioning and alarm systems, as well as scanners and x-ray machines. However, while post scanners may detect devices for spreading chemical, biological and radiological (CBR) materials (e.g. explosive devices), they will not detect the CBR materials themselves. A range of commercial CBR detection technology is available. In the first instance, seek advice from your local police force CTSA. Post rooms should also have their own washing and shower facilities, including soap and detergent

- staff need to be aware of the usual pattern of deliveries and to be briefed of unusual deliveries. Train them to open post with letter openers (and with minimum movement), to keep hands away from noses and mouths and always to wash their hands afterwards. Staff should not blow into envelopes or shake them. Packages suspected of containing CBR material should ideally be placed in a double-sealed bag

- consider whether staff handling post need protective equipment such as latex gloves and face masks (seek advice from a qualified health and safety expert).

- make certain that post opening areas can be promptly evacuated. Rehearse evacuation procedures and route, which should include washing facilities in which contaminated staff could be isolated and treated

- prepare signs for display to staff in the event of a suspected or actual attack.

The following page should be published in post and mail opening areas:

POST ROOM WARNING

LETTER/PARCEL BOMBS AND SUSPECT PACKAGES

Pay particular attention to:

- **OILY STAINS**
- **LOPSIDED OR UNEVEN ENVELOPE**
- **FOREIGN MAIL AND SPECIAL DELIVERIES**
- **RESTRICTIVE MARKINGS – CONFIDENTIAL, PERSONAL ETC.**
- **EXCESSIVE POSTAGE**
- **EXCESSIVE USE OF WRAPPING MATERIAL**
- **EXCESSIVE WEIGHT**
- **INCORRECT TITLES**
- **TITLES BUT NO NAMES**
- **MIS-SPELLINGS OF COMMON WORDS**
- **HANDWRITTEN OR POORLY TYPED ADDRESSES**
- **PROTRUDING WIRES OR TINFOIL**
- **LOOSE POWDER**
- **NO SENDERS ADDRESS**

UNEXPECTED DELIVERY

If you are concerned, immediately contact a Supervisor or Senior Manager.

Do not attempt to open the package.

Vacate the room immediately, leaving the package where it is.

Contact Details

Name	Function	Mobile Phone	Office Phone	Home Phone

Guidelines - Telephone Threats and Hoax Calls

If you receive a bomb threat via telephone do not panic and do not hang the phone up.

Information you can gain about the bomb threat will assist investigators.

If you receive a telephone bomb threat, you should adopt the following procedure:

- let the caller finish speaking without interruption
- write the message down exactly as given and, if possible, get it repeated
- If the caller is prepared to continue the conversation, encourage them to do so and try to ascertain:

    a) where the device is located

    b) what it looks like

    c) what time it is set to go off

    d) when and how it was placed

    e) why it has been placed

    f) whether there are any code words.

Listen for clues to the following:

- the caller's age and sex
- any peculiarities of speech (accents, etc.)
- caller's location (traffic, voices, machinery, etc.).

On completion of the call:

- Contact the site manager or another senior manager on-site immediately.
- Remain on site so that the police can interview you if needed.
- Do not discuss the call with other staff.
- The police should always be called if a bomb threat is made, and they will advise site management if they consider the call to be a hoax or if the evacuation procedure should be instigated.
- The final decision, however, lies with site management.

Contact Details

Name	Function	Mobile Phone	Office Phone	Home Phone

Telephone Threat Record

TELEPHONED THREAT RECEIVED (SF112)

Alert a colleague to inform a manager

Time	
Date	
Tel No receiving	

NATURE OF THREAT

BOMB ☐   Other ☐

Specify

WORDING OF THREAT   Exact ☐   Near ☐

QUESTIONS TO ASK		CALLERS VOICE			
When is it due to explode?	....	Calm	☐	Nasal	☐
Where is it now?	....	Angry		Stutter	
What does it look like?	....	Excited		Lisp	
What kind of bomb is it?	....	Rapid		Deep	
What will cause it to explode?	....	Soft		Ragged	
Did you place the bomb?	....	Loud		Clearing throat	
Why?	....	Laughing		Deep breathing	
What is your address?	....	Crying		Cracking voice	
What is your name?	....	Normal		Disguised	
		Distinct		Slurred	
Sex of caller	....	Tel Booth		Familiar	
Age	....	What accent?	....		
Call duration:		Who did it sound like?			

REMARKS	BACKGROUND SOUNDS				
	Street	☐	Office	☐
	Crockery		Factory	
	Voices		Animals	
	PA system		Clear call?	
	Music		Static	
	House		Other	
	LANGUAGE USED			
	Well spoken	☐	Incoherent	☐
	Foul		Taped	
	Irrational		Read out	
	Is call on tape?	☐ Yes	No ☐	

For use by Emergency Control:				
POLICE INFORMED	By:		Time	No
Security		Services	Personnel	

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Witness Statement

Location of occurrence:			
Date:		**Time:**	
Action taken and people notified:			
Services called to site:			
Fire	Call Time:	On Site:	Off Site:
Ambulance	Call Time:	On Site:	Off Site:
Police	Call Time:	On Site:	Off Site:
Alarm engineer	Call Time:	On Site:	Off Site:
Customer contact	Call Time:	On Site:	Off Site:
Others (specify)	Call Time:	On Site:	Off Site:
TO BE COMPLETED BY SECURITY CONTACT			
Time Informed of incident:		Date:	
Action taken by security contact:			
Senior management informed:			
Signature:			
MANAGEMENT COMMENTS			
Date:		Signature:	

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Situation Update Log

Completed by: **Date:**

Location: **Time:**

Event:

What has happened?

Actions Completed:

Actions Outstanding:

People:

Systems:

Customer Impact:

What concerns do you have?

Issues that need your action

Next Update: **Date:**   **Time:**

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Test Operations Service
Birmingham

Business Continuity Plan

Points of Contact Log

Use this log to gather details of today's Points of Contact (POC) within each area

Ensure that the following have been contacted and obtain relevant details for reference

Stakeholder/Teams	Location of Team	Name and Contact Number of POC	Contact Established?	Has Team Been Informed of CM Team Leaders' location?	Where Does Team Need to Go?	Issues and Actions

Business Continuity Plan

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Test Operations Service
Birmingham

Business Continuity Plan

Communications Log

Use this to record the time and detail of communications to each area listed

Stakeholder/Teams	Method	Frequency	Date/Time Communications Made				
			1st	2nd	3rd	4th	5th

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Test Operations Service
Birmingham

Business Continuity Plan

Procedures – Location of Missing Staff

Important Notice: By using the following instructions, you will not alarm members of a family unnecessarily if the employee is working at the time of the disaster.

ACTIONS: *Place call and record information*

	RESULT AND INFORMATION
CONTACT MADE May I speak with _____ *(staff member name)*? **Provide the staff member with the following information:** □ Brief description of problem □ Location of the Incident Control Centre □ Telephone number at the Incident Control Centre □ Any immediate action requirements □ Inform staff member to make no public statement regarding the situation □ Inform staff member that no calls are to be made to other employees *This will avoid premature notification to families of personnel working at the time of the disaster*	
IF NOT AVAILABLE Where may I reach _____ *(staff member name)*? □ If at any location other than work, get phone number, make call and provide the above information □ If individual is at work, indicate you will reach the individual at work ***Do not discuss disaster situation with person answering the phone*** □ Notify the CM Exec or Management teams Immediately	
NO ANSWER □ Record the time attempted contacts were made □ Periodically recall until contact is made	
INVALID CONTACT INFORMATION e.g. wrong number, phone disconnected etc. □ If person has moved, try to get new telephone number and contact the individual □ Notify the CM Exec or Management teams of incorrect information	

Test Operations Service
Birmingham

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Useful Websites

Business Continuity information

http://www.continuitycentral.com/ — Field Code Changed

http://www.thebci.org/ — Field Code Changed

http://www.fsc.gov.uk/ — Field Code Changed

http://www.phoenix.co.uk — Field Code Changed

Emergency Planning News and Information

http://www.ukresilience.info/ — Field Code Changed

http://www.londonprepared.gov.uk/ — Field Code Changed

http://www.homeoffice.gov.uk/security/current-threat-level/ — Field Code Changed

http://www.mi5.gov.uk/output/Page16.html — Field Code Changed

Pandemic News and Information

http://www.dh.gov.uk/en/PandemicFlu/index.htm — Field Code Changed

http://www.who.int/csr/disease/avian_influenza/en/index.html — Field Code Changed

News Services

http://news.bbc.co.uk/ — Field Code Changed

http://news.sky.com/skynews/home — Field Code Changed

http://uk.reuters.com/ — Field Code Changed

http://www.guardian.co.uk/ — Field Code Changed

http://www.timesonline.co.uk — Field Code Changed

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Roles & Responsibilities

Incident Controller (Building/Facilities)

The Incident Controller (IC) is a LOCAL Senior Manager or trained H&S deputy. A deputy is also assigned to cover the absence of the IC.

The responsibilities of the IC include:

- Triggering the Cascade Process or alert the BCT
- Overall control and co-ordination of the *incident*
- Assessment of the incident and likely developments
- Updating the Business Continuity Team and Senior Management Team on the situation and any actions taken
- Contacting the Emergency Services
- Ensuring that the main entrance is clear for immediate entry of the emergency services
- Control of contracted security staff
- Reviewing availability of public utilities
- Receiving guidance from UK Risk and the emergency services
- Liaison with police and civil authorities
- Record details of the incident and ongoing events, including location, event, damage caused, number of casualties, seriousness of injuries and the name of the caller
- Recommendation to Business Continuity Team and Senior Management to relocate, if required
- Ensure all utility services are made safe or kept operational as required throughout the duration of the incident
- Ensure provision of necessary facilities for the Business Continuity and Senior Management teams (e.g. catering, washroom, rest area etc.)
- Make available plans/drawings of the buildings to the emergency services
- Arrange, in conjunction with Insurance Services, for suitable salvage, recovery and clean up services to attend site, and manage their activities
- *Evacuation:*
  - o Determine the level of evacuation required
  - o Ensure availability of evacuation routes
  - o Implement and control the evacuation plan
  - o Determine the priority of areas to be searched and the level of search to be carried out
  - o Implementation and control of searches
  - o Dissemination of intelligence to the Evacuation Officers
  - o Ensure the Fire Officers have been able to account for all staff and visitors to the offices
  - o Liaison with emergency services regarding staff who may still be in the building, or missing
  - o Liaison with the building security company
  - o Arrange de-activation of the site if it is not possible to reoccupy
  - o Provide advice to the Business Continuity and Senior Management team regarding the decision to re-occupy and return to normal operations
  - o Control of the building re-occupation

Incident Controller (IT Infrastructure)

The Incident Controller (IC) for IT is a LOCAL IT Manager or deputy.

The responsibilities of the IC include:

- Overall control and co-ordination of the incident and recovery of technology
- Assessment of impact on IT Systems and likely developments
- Updating the Business Continuity Team and Senior Management Team on the situation
- Invoking IT disaster recovery plans

- Recommendation to relocate, if required

Site Manager

The Site Manager is the primary contact when an incident occurs and is responsible for co-ordinating and managing the activities of the Incident Controller and the Business Continuity Team.

- Liaison with the Incident Controller using the ERP and information available
- Ensure that the ERP is followed
- Agree the course of action dependent on the type of incident
- Liaise with *Facilities Management* to ensure that damaged premises and contents are secured, and oversee the salvage of equipment and assets from the site, where appropriate
- Maintain continuous communication with the Business Continuity and Senior Management team and ensure that they are appraised of all developments
- Manage and co-ordinate the activities of the BC Team, ensuring that all decisions taken are properly implemented
- Assist with managing the Incident and running the Emergency Operations Centre
- Ensure that all management and staff are informed of decisions and actions
- If required, assist in interviewing all the witnesses and in taking statements
- Ensure maintenance of Incident Logs

Business Continuity Team (BCT)

The *Business Continuity Team* (BCT) is the operational team, with representations from the various operational and supporting functions within the organisation affected by the incident.

Essentially, the BCT is responsible for managing the recovery of the various business functions during and after the incident. It takes advice and guidance from the Senior Management Team and is also responsible for interacting with Third Parties such as suppliers, business partners and clients.

Business Continuity Team also has a responsibility to ensure that departmental BC plans are maintained and regularly tested in accordance with company standards, and that departmental Emergency Team members are adequately trained in their roles.

During an incident, the BCT is responsible for:

- Assessing the level of the incident
- Managing staff and internal communication, as directed by the Senior Management Team
- Managing external communication as advised and directed by the Senior Management Team
- Providing emergency staff assistance including transport home if necessary
- Overall co-ordination of the emergency services, first aid staff, restoration and recovery teams
- Calling relatives of hospitalised staff to provide all possible detail
- Co-ordinating the contact of relatives/next of kin for fatalities
- Reporting incident to enforcing authority
- Regularly briefing the Senior Management Team
- Monitoring Incident response requirements
- Assisting, supporting and regularly briefing the functional Emergency Teams
- Initiating business recovery on the Senior Management Team's advice
- Co-ordinating relocation activities if required
- Maintaining Incident Logs

Senior Management Team

The Senior Management Team comprises Executive managers. Its primary responsibilities include the safety and welfare of staff, support for the operational recovery teams, strategic decision making and senior-level communication.

During an incident, the Senior Management Team is responsible for:

- Monitoring control of staff welfare and business priorities throughout incident
- Briefing the Business Continuity Teams as appropriate and supporting the recovery process
- Making strategic decisions based on situation updates and Senior Management Team briefings
- Deciding on escalation levels to the wider Division or Group
- Managing external communications
- Revising and communicating priorities against changes in the business needs
- Authorising emergency expenditure
- Authorising any major changes to working processes and practices
- Notification of Capita Insurance Services of the incident
- Assume responsibility for instructing loss adjusters and/or legal representation
- Obtain approval from Insurable services/external insurers to issue immediate authorisation for expenditure to be incurred in recovering the situation
- Maintaining a log of decisions and events

After an incident, the Senior Management Team is responsible for:

- Determining business priorities for resumption, and assess any impact on the business
- Debriefing with the Business Continuity Team
- Assigning responsibility for conducting a post-incident review
- Producing a report with recommendations for strategic changes or plan amendments
- Produce a report to include all recommendations from emergency services and the BCT
- Co-ordinate amendment of plans

Fire Controller / Wardens

- Identify and account for all staff and visitors who were present when the disaster occurred
- Liaison with Incident Controller regarding staff who may still be in the building or missing
- Mustering of the search team when ordered by the Incident Controller
- Briefing the teams on the level of the search to be carried out
- Logging the progress of the search
- Reporting the progress of the search to the Incident Controller
- Maintaining contact with the Incident Controller during evacuation
- Ensuring all personnel are evacuated by the nominated route as directed by the Incident Controller
- Ensuring any staff and visitors that are not accounted for are located
- Liaison with the Emergency Services and the Incident Controller regarding staff who may still be in the building or missing

First Aid Staff

- Ensure safety and comfort of injured staff.
- Report injuries and fatalities to the Emergency Services and the Incident Controller

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Appendix A – Battle Plan

Business Continuity Plan

Test Operations Service
Birmingham

Date	Time	Location	Item	Owner	Comments	Contingency Actions	Completed confirmation/ "on the day" comments
Day 1	0 Hour	FD	Raise Helpdesk call for BCP and request full IT support at Aston site	Managing Director	PK unless otherwise due to holidays/sickness etc.		
	0 Hour	FD	Advise Phoenix that we are coming over to site.	Managing Director	PK unless otherwise due to holidays/sickness etc.		
	0 Hour	FD	Ensure Snr Management team are aware that BCP is invoked	Managing Director	PK unless otherwise due to holidays/sickness etc.		
	0 Hour	FD	Contact location of Battle Box and request it is made available immediately	Ops Manager			
	0 Hour	FD	Identify which team members are required at Aston or those that can be sent home/stood down	Ops Manager	In conjunction with Ops senior management and reference to overall BCP document. Business managers to identify staff who are multi skilled against call and back office systems and processes, multi scheme. Need to be able to do Advantage Digital.	Identify extra people in case of sickness	
	0 Hour	FD	Order buses through Capita Travel to get staff to Aston site	Admin	Not enough parking at Aston for individual staff cars – order for now plus 3.5 hours		
	0 Hour	FD	Initiate contact of all staff	Ops Manager	If not on site, otherwise clear building and advise of bus collection time		
	+0.5 Hours	FD	Order last days tape backups from Iron Mountain for EMS	Desktop support	To be handed over to Sean Chandiram (Phoenix).		
	+0.5 Hours	FD	Collect Battle Box from storage& send to Aston site	Ops Manager	To'be handed over to Sean Chandiram (Phoenix).		

Test Operations Service
Birmingham

Business Continuity Plan

Date	Time	Location	Item	Owner	Comments	Contingency Actions	Completed confirmation/ "on the day" comments
	+0.5 Hours	Aston	Arrange for backup tapes goes to Aston site	Ops Manager	To be handed over to Sean Chandiram (Phoenix).		
	+ 1 Hour	Aston	IT Support on site	IT Support Manager	ITS Support should be on site at Aston to help arrange for all connectivity to be brought up, starting with telephones.		
			Commence desktop rebuild from image held	Phoenix	Image for Capita required to be maintained with Phoenix		
	+ 2 Hours	Aston					
	+3.5 Hours	FD	Staff ferried to Aston	Ops Manager/Admin			
	+ 4 Hours	Aston	Complete rebuild of domain controller and file/print server	Desktop engineer			
	+ 4 Hours	Aston	Establish connection to Capita Network	Network engineer			
	+ 4 Hours	Aston	Configure telephony	Network (MVS)	Requires network to complete		
	+ 4 Hours	Aston	Staff get into the right part of the building – 50 seats available	Phoenix			
	+ 4 Hours	Aston	Staff can start to work from Aston				
	Day End	Aston	Ensure buses are available to transfer staff home/back to FD	Admin	Will be required in relays to allow for shift coverage		
Day One/Two	Day End	Aston	Run overnight backups	Phoenix	Supported by ITS (desktop)		
Day Two		Aston	Continue with BAU activity on site until FD is made available again				

Test Operations Service
Birmingham

Business Continuity Plan

Date	Time	Location	Item	Owner	Comments	Contingency Actions	Completed confirmation/ "on the day" comments
Completion		Aston	Return Battle Box to offsite location	Ops Manager	Templates to be replaced with new blanks if required. Headsets to be counted to ensure same number are put back in the Box		

Service Desk number: 0870 010 3314 – open Mon – Fri 07:00 – 21:00; Sat & Sun 08:00 – 17:00

Executive Escalation Team

Initial	Name	Contact Number	Role
PK	Philip Knight	07765 XXXXXX	Operations Director
PE	Patrick Elliott	07802 XXXXXX	Business Director

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Appendix B – Staff Contact Details

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Retain as a separate document to avoid having to re-issue the whole plan when staffing changes

Phase 1 - Alert and initial assessment

Name	Home Phone	Mobile Phone	Office Phone

Phase 2 - Management and all Staff informed and communication process starts

Name	Home phone	Mobile phone	Office phone	Home E-mail	Who contacts this person?	Back-up to contact this person

Staff required at Recovery Site

Team	Individual	Processes covered	Transport requirements	Working restrictions

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Business Continuity Plan

DR Battle Box Contents List

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CAPITA

Business Continuity Plan

Part A
Introduction

Document and Information Services

Darlington
Faverdale Industrial Estate, Darlington, DL3 0UR, DL3 0PS, DL3 0QN

If there has been an incident, go <u>now</u> to Part B

Emergency Response Plan — **Part B**

Business Continuity Plan — **Part C**

Reference Information — **Part D**

V8.0 – November 2015

Contents of Part A

Plan Details

Release date of this Plan:	01/07/2015

Plan Location:	Faverdale Industrial Estate, Darlington

Plan Owner:	A Lamb

Plan Author:	D G Bellshaw

Plan Maintenance:	D G Bellshaw / M Davison

Senior Management Sign Off:	A Lamb

Review and Change History

Version	Author of Change	Date of Review/Change	Reason for Review/Change
V1.0	D G Bellshaw	30.06.2015	New format.
V2.0	E Shearing	05.05.2011	Document review and change I.T controller
V3.0	E Shearing	14.12.2011	Document review.
V4.0	E Shearing	23.05.2012	Document review due to appointment of new operations manager.
V5.0	E Shearing	14.12.2013	Review following structural/role and site changes.
V6.0	M Davison	21.03.2014	Changes following plan review.
V7.0	D G Bellshaw	05.11.2014	Amendments following LRQA ISO 22301 audit.
V8.0	M Davison	26.10.2015	Amendment to new group template.
V8.1	M Davison	19/02/2016	Remove Reference to Third Party DR Site

Test History

Date of test	Date next due	Type of test (desktop, live, comms etc)	Test lead	Test report reference
*See testing log for details.				

Plan Distribution (hard copies)

Copy No.	Name	Comments
1	A Lamb	Warehouse 2
2	J Toole	Warehouse 1
3	B Ryder	Warehouse 3
4	G Palmer	Warehouse BCP Controller W3

5	A Beal	Warehouse BCP Controller W2
6	P Rudd	Warehouse BCP Controller W1
7	D Bellshaw	Compliance
8	M Davison	Administration

| Template version: | 2.0 Last updated by GRC Sep 14 |

1. Introduction

Although day to day risk management activity will help business units to identify the impact/likelihood of a risk and the best way to manage that risk, it is widely acknowledged that some high impact risks cannot be predicted, and cannot be easily mitigated; hence the requirement for business continuity management and business continuity recovery plans.

Every process will be reliant in some way on an activity or item, without which there could be a catastrophic and costly failure of the business. It is down to each business unit to be aware of what these critical areas are, how much they can afford to lose, and how long they can sustain an outage. Additionally, each business unit needs to be aware of the risks posed to these critical areas, so that the likelihood and impact of a risk event can be reduced and where required a recovery plan produced.

2. Plan Scope

This BC Plan covers the activities related to an incident within the business operation and covers the following:

- Initial response to an Incident (but not the incident management process)
- Building evacuation and staff safety
- Relocation of the operation to an alternative location
- Operational functional recovery activities for processes detailed in Part D of this Plan ☐ 'Return to base'

The activities to be recovered are detailed in Part D of this Plan, along with recovery time and point objectives for each.

It does NOT include technical recovery <u>actions</u> of IT and Telephony services, which are detailed in separate plans maintained by Chris Kirschnick.

Where individual team plans have been produced, these will be invoked in parallel with this Plan. Team Plan owners will report to the main BC Team and will be directed by them as appropriate. The Individual Team Plans are as follows:

- TFL (Transport for London) ☐   TVL (TV Licencing)

3. Planning Assumptions

The following assumptions have been made:

- The incident has not affected the recovery site
- This Plan is reviewed at least annually, and is kept updated by means of formal change control and regular review as per Capita BC Policy
- Risks that may force the invocation of this BC Plan are being actively managed as part of the Business Unit's risk management framework
- A Business Impact Analysis has been conducted by the Business Unit in order to identify critical processes, systems etc as well as recovery time objectives and resources required for recovery of each ☐ BC arrangements are tested at least annually, in accordance with the Capita BC Standard

4. Plan Audience

The primary audience for this plan will be all those involved with the Incident Management and Business Recovery processes, namely:

- Incident Management Team
- Senior Management Team
- Business Continuity Team
- Departmental BC Teams, where these are in place

The **Incident Management Team** manages the actual incident to conclusion.

The **Business Continuity Team,** with the support of the **Senior Management Team** and the **Departmental Emergency Teams,** will control the business's response to the incident and any recovery actions required.

Additionally, the following must be familiar with the workings of the Plan as well as their responsibilities during a BC Plan invocation:

- Team Leaders and Managers – full awareness and able to deputise for above
- All other staff – awareness of their responsibilities, decant sites etc and contents of the Plan

5.   How to use this Plan

If there has been an incident of any kind, go to **Part B** and use the **Emergency Response Plan**. This Part of the Plan has a checklist that you should work through, referring to various parts of the Plan as prompted.

Part B will also direct you to **Part C - Recovery Plan** – should it be required

Part D contains reference information that may be of use throughout the incident or the recovery process

6.   Summary of Operation

☐ Warehousing and logistics for the storage and transport of hard copy information within Warehouse 1, Stead House and Warehouse 3/4. See Client lists for storage clients.

☐ Mailroom provisions for the receipt of client and customer mail and the digitisation of mail for receipt of the client within Warehouse 1, Stead House and Warehouse 3/4. See Client lists for mailroom clients

☐ A range of scanning services for the creations of electronic documents and data for a host of clients completed within Warehouse 1, Stead House and Warehouse 3/4. See Client lists for scanning clients.

☐ IT support for the infrastructure and facilities used in the day to day activities of Warehouse 1, Stead House and Warehouse 3/4. IT support is internally employed by CDIS.

7.   Pressure Times

> *No scheduled pressure times however during the engagement of a new contract there can be a period of adjustment.*

8.   Summary of critical processes

IT
Telephony
Scanning
Mail

9.   Summary of BC strategy

Loss of Access to/Use of Building for unacceptable period

In the event of loss of buildings or utilities as a result of an incident the main areas to be affected would be the office accommodation for CDIS. In this situation we can maintain business continuity by moving office and warehousing activity to the alternative warehouse in our split site location in Faverdale industrial estate.

Royal Mail will be contacted immediately, following invocation of DR, to re-direct incoming post to an alternative CDIS site in Faverdale Darlington
Immediately, following invocation of DR, to re-direct incoming post to an alternative CDIS site in Faverdale Darlington

Loss of IT for unacceptable period

Should we lose computer equipment at any CDIS site in Darlington, it could cause significant disruption to our daily business operating activity. Back up facilities are in place and in this situation we can maintain business continuity by moving office and warehousing activity to the alternative warehouse in our split site location in Faverdale industrial estate.

Loss of Staff for unacceptable period

Mobilise cross trained staff in a structured fashion to the appropriate processing location within Darlington. Ensure that staff monitoring is in place and that relevant precautions have been enacted to ensure continued quality of work. Vetted agency staffing companies are available should the need arise or the lost of staff is ongoing for an extended period. Use the Staff Skills matrix containing details of all staff training on relevant contracts and processes to assign staff to work that they have had relevant experience in to avoid downtime.

Loss of Telephony for unacceptable period

Loss of main telephony lines can be deferred to existing mobile telephones already held by key staff and supported by our alternative warehouse sited within Faverdale.

Loss of key supplier for unacceptable period

Key supplier contacts would be contacted in the event of a DR/BCP situation. All current key suppliers duties can be met by selected third parties should the need arise including Transport, equipment, software and other such suppliers.

For emergencies or situations where deliveries are impacted, we have more than one vehicle at our disposal and loss of a single vehicle would not cause great difficulty. Hired van agreements are in place via Group Procurement (Fleet) and additional or replacement vans can be sourced within a short period of time. If loss of the vehicle is due to an accident or breakdown then a further vehicle will be sent to collect the load. Capita staff have been briefed and should stay with a load carrying vehicle in the event of a breakdown. Drivers are provided with mobile phones to ensure contact with CDIS transport is maintained.

Fuel Shortages for unacceptable period

In the event of a fuel shortage any business travel that can be avoided should be ceased in order to preserve the remaining fuel available. Deliveries should be prioritised and third party delivery services contacted to assess the current situation. Communication with suppliers and clients should be continuous throughout the period of shortage. Electronic copies of documentation can be used in some cases where the physical document may not be needed by the client as a priority.

Consideration should be given to loss of staff during this period as some staff may not be able to make it into work and as such plans for loss of staff may need to be enacted.

10.   Roles and responsibilities

INCIDENT MANAGEMENT

Incident Controller (Building/Facilities)

The Incident Controller (IC) is a LOCAL Senior Manager or trained H&S deputy. A deputy is also assigned to cover the absence of the IC. **The responsibilities of the IC include:**

- Triggering the Cascade Process or alert the BC Team
- Contacting the Emergency Services
- Overall control and co-ordination of the *incident*
- Assessment of the incident and likely developments
- Updating the Business Continuity Team and Senior Management Team on the situation and any actions taken
- Ensuring that the main entrance is clear for immediate entry of the emergency services
- Receiving guidance from UK Risk and the emergency services
- Record details of the incident and ongoing events, including location, event, damage caused, number of casualties, seriousness of injuries and the name of the caller
- Ensure all utility services are made safe or kept operational as required throughout the duration of the incident
- Make available plans/drawings of the buildings to the emergency services
- Arrange, in conjunction with Insurance Services, for suitable salvage, recovery and clean up services to attend site, and manage their activities
- **Evacuation:**
    - o   Implement and control the evacuation plan o   Implementation and control of searches
    - o   Dissemination of intelligence to the Evacuation Officers
    - o   Ensure the Marshalls have been able to account for all staff and visitors to the offices o   Liaison with emergency services regarding staff who may still be in the building, or missing o   Liaison with the building security company/landlord o   Arrange de-activation of the site if it is not possible to reoccupy
    - o   Provide advice to the Business Continuity Team regarding the decision to re-occupy and return to normal operations
    - o   Control of the building re-occupation

Incident Controller (IT Infrastructure)

The Incident Controller (IC) for IT is a LOCAL IT Manager or deputy. **The responsibilities of the IC include:**
- Overall control and co-ordination of the incident and recovery of technology
- Assessment of impact on IT Systems and likely developments
- Updating the Business Continuity Team and Senior Management Team on the situation
- Invoking IT Disaster Recovery plans
- Recommendation to relocate, if required

On site facilities and security staff

- Advise on nature of facilities related incidents and recovery (e.g. what caused the fault, who will fix and how long will it take)
- Ensure that facilities are in steady state prior to reoccupation
- Manage third parties and Emergency Services etc that are required to attend site
- Ensure that security staff are securing building, assisting with evacuation management
- Ensure local Police are aware of prolonged absence from building
- Manage re-occupation

Scribe

- Complete the Incident Logs and ensure that all actions are captured and timings documented
- Ensure log is available to BC Teams at all times
- Ensure log is available for Post Incident Review ☐   Assist BC Team Manager as requested

Other potential staff as dictated by the incident:

- HR Rep – advise on casualty, employment policy, staff contracts, travel and accommodation for decanting staff next of kin, comms etc
- Specific Subject Matter Experts as requested by BC Team – to advise on their subject area and to liaise with team members
- IT Services representatives – to assist with ITDR
- Site/Duty Manager – to assist BC Team especially out of hours

BUSINESS CONTINUITY TEAM

The *Business Continuity Team* (BC Team) is the formally appointed operational team, with representations from the various operational and supporting functions within the organisation affected by the incident.

The BC Team will be responsible for continuity of business, rather than incident management. They must however, maintain communications with the IC team and assist where required. Additionally, the BC Team will include senior members of the Management Team that are able to provide strategic direction and authority – such as the MD.

Essentially, the BC Team is responsible for managing the recovery of the various business functions during and after the incident. It takes advice and guidance from the Senior Management Team and is also responsible for interacting with Third Parties such as suppliers, business partners and clients.

The BC Team also has a responsibility to ensure that BC plans are maintained and regularly tested in accordance with the Capita BC Standard, and that BC Team members are adequately trained in their roles.

Senior Management Executive (part of, or engaged with the BC Team)

- Provision of strategic direction and prioritisation
- Provision of authority for Plan Invocation, WAR Site invocation etc

- Release of funds/resources as required
- Provide communications link to Board/Group and clients as necessary
- Oversight of the recovery process
- Approval of costs – e.g. of movement of staff, invoking third party etc
- Long term strategy direction in event of prolonged recovery situation ☐   Assist with communications to 3ʳᵈ parties where escalation is required

BC Team Manager – with appropriate authority to invoke the BC Plan

- Leads BC Team formation and arranges dial in conference call where required
- Leads impact assessment ☐   Invokes the BC Plan
- Ensuring immediate contacts internally and externally are informed in good time and kept informed of progress etc
- Manage and co-ordinate the activities of the BC Team, ensuring that all decisions taken are properly implemented
- Maintain continuous communication with Senior Management team and ensure that they are appraised of all developments
- Maintains compliance with the BC Plan ☐   Ensure maintenance of Incident Logs
- Liaise with *Facilities Management* to ensure that damaged premises and contents are secured, and oversee the salvage of equipment and assets from the site, where appropriate
- Ensures BC Team has possession of Grab Pack/Battlebox
- Liaises with Main Incident Manager and Emergency Services
- Arranges communications to all appropriate staff and agencies – maintains updates at regular intervals in accordance with existing escalation/communications processes
- Ensures that any recovery/relocation measures undertaken are managed effectively
- Assist with managing the Incident and running the Emergency Operations Centre where required
- Provides a report of the incident and chairs Post Incident Review

Deputy BC Team Manager

- Assist and stand in for BC Team Manager if required (if so, nominate a new deputy) ☐ Remain aware of all activities, actions etc
- Assist relocation of staff or other recovery approaches under direction of Plan Manager

Comms Manager

- Manage all communications to all staff, third parties, clients etc
- Manage content and timing of messages online (for staff, Capita Group, clients and customers), staff emails, employee information lines etc

Operations Manager

- Oversee recovery of services at alternate sites
- Oversee unaffected services and minimise conflicts etc
- Report on KPI/SLA breaches as appropriate

Logistics Manager

- Ensure staff are aware of where to go, how to get there etc
- Ensure staff that arrive at alternate site(s) know what to do once there
- Arrange transport, accommodation etc
- Liaise with HP site staff to facilitate access, placing teams together etc

Team Leaders or Team POCs – where considered necessary

- Represent and report on own team progress – ensure BC Team know who can relocate, where staff are, what critical deadlines the team may have etc
- Ensure cross site handover and decant of staff is executed and report to BC Team Manager accordingly
- Provide Plan Manager with Impact Assessments as required
- Provide 2 way communications between own teams and BC Team – particularly giving heads up to own teams regarding requirements to relocate, go home etc

Managers from other Sites – i.e. other sites part of your Business or recovery sites

- To assist and form up BC Team with affected site Managers if required *(especially if they will be assisting with recovery)*
- Provide assistance, direction etc with communications, incident resolution, capacity at site for relocating staff, processes etc – ease the pressure from affected site
- In response to requests from affected site, assess number of spare desk positions and attempt to free up more spaces
- Escalate issues with third parties etc on behalf of affected site
- To stand in for the BC Team in the event that affected site Managers are unavailable

On site facilities and security staff

- Advise on nature of facilities related incidents and recovery (e.g. what caused the fault, who will fix and how long will it take)
- Ensure that facilities are in steady state prior to reoccupation
- Manage third parties and Emergency Services etc that are required to attend site
- Ensure that security staff are securing building, assisting with evacuation management ☐ Ensure local Police are aware of prolonged absence from building ☐ Manage re-occupation

Scribe

- Complete the Incident Logs and ensure that all actions are captured and timings documented
- Ensure log is available to BC Teams at all times
- Ensure log is available for Post Incident Review ☐ Assist BC Team Manager as requested

### Other potential staff as dictated by the incident:

- HR Rep – advise on casualty, employment policy, staff contracts, travel and accommodation for decanting staff, next of kin, comms etc
- Specific Subject Matter Experts as requested by BC Team – to advise on their subject area and to liaise with team members
- IT Services representatives – to assist with ITDR
- Site/Duty Manager – to assist BC Team especially out of hours

11. Incident and Recovery Processes

When an incident of any kind occurs, the business unit should invoke its existing incident management process. This should then lead, if required, to a decision as to whether the BC Plan needs to be invoked.

It is important that the Incident Management process links to the BC Plan as it will be the main trigger for the BC Plan invocation. This can be better facilitated by ensuring that prospective Incident Managers are aware of the requirement to contact the Recovery Team (BC Team).

This is a summary of a typical incident and recovery response.
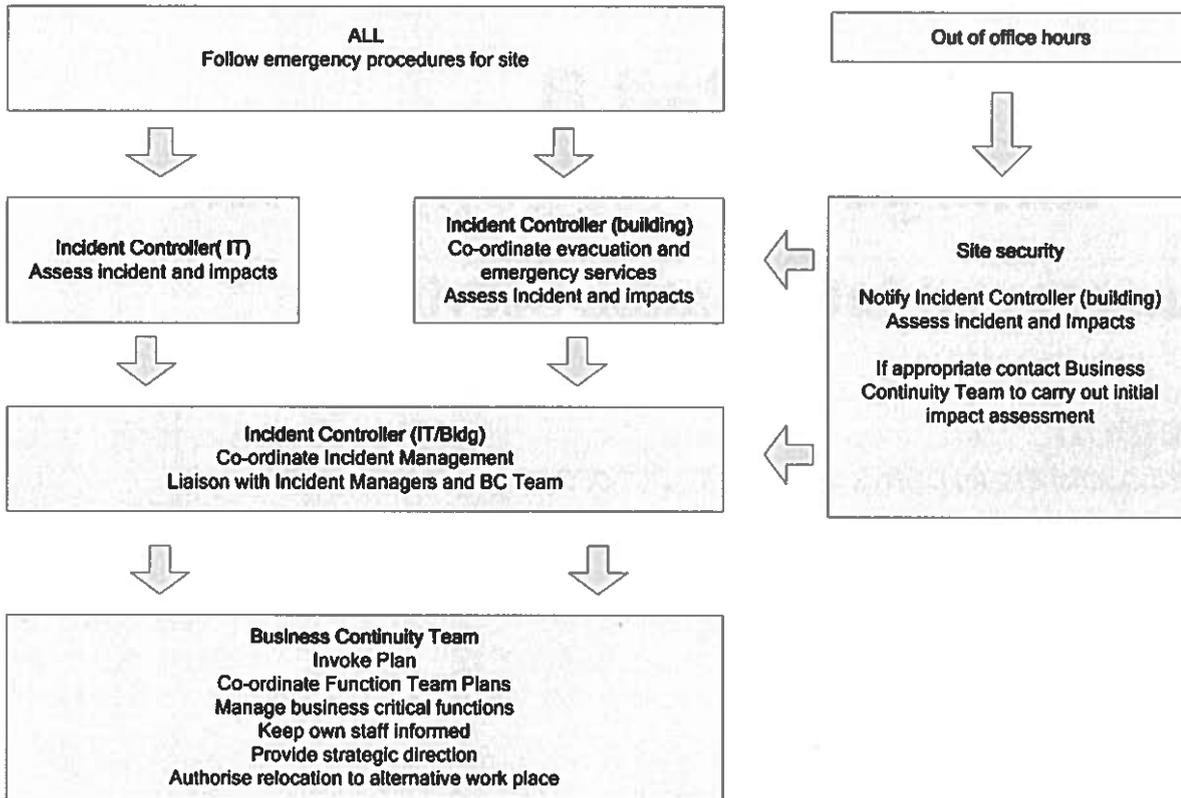
12.   References

- Capita Group Business Continuity Policy
- Capita Group Business Continuity Standard
- Capita BC Management Guidance
- ISO 22301