

**Business Recovery Guide
Spring 2007**

Date of issue

**This document expires on
and obsolete copies must be shredded**

BUSINESS RECOVERY GUIDE

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1 Overview of the Business Recovery Guide

This document sets out the strategy and framework the Company will use to facilitate recovery in the event of a major incident affecting any premises throughout the UK. This guide should be used as an 'aide memoir' in conjunction with your Business Continuity Plan. It is not intended to provide a step-by-step guide at the time of an incident.

This guide should be used in conjunction with:

- Business Continuity Plans – which detail the requirements of each particular business function or location

Definitions

An incident within this document is defined as: "Is deemed by the Recovery Manager to be sufficiently business threatening to recommend invocation of their Business Continuity Plan".

Limitations

This guide does not deal with emergency procedures that will ensure evacuation of endangered buildings or the response to bomb threats. *(Refer your separate fire/bomb evacuations procedures document)*

This document does not encompass a catastrophic event, which makes the majority of the staff unavailable, in addition to the physical premises. This would fall under the definition of a 'Crisis' as set out in the Company Crisis Management Policy.

This guide deals with the recovery of critical business requirements in the immediate aftermath of a major incident. Full recovery of a lost location is outside the scope of this document.

The long-term viability of a site (whether to repair, rebuild or find an alternative permanent premises) and the viability of an operation (does the business wish to continue with the operation at that location in the long-term) would be a strategic matter to be addressed by the Executive Leadership (GOLD) Team.

2 Strategy and Decision Process

This guide adopts a system modelled on the UK emergency services' "GOLD SILVER BRONZE" system.

The 'gold silver bronze' system aims to reduce duplication of effort and clearly distinguish strategic, tactical and operational roles, thereby reducing layers of management/escalation.

The model also aims to maximise use of our resources and expertise at the various levels to aide recovery.

The decision to invoke recovery plans is a business decision. Before initiating plans the business will be able to consider the possibility of workload switching, staff working from home etc. The Recovery Manager will be responsible for co-ordinating this decision with the Business Continuity Manager. This decision process is detailed in the Incident Response Process (Section 6).

The temptation to invoke in "panic" mode has to be avoided and it is recommended that a decision to invoke should not be made until a full assessment of the situation has been made.

On notification of the incident the Business Continuity Manager will immediately assess the situation and decide on the level of response required.

On invocation the Silver Team will send personnel to the scene and recovery sites if it is felt this will aide the recovery process.

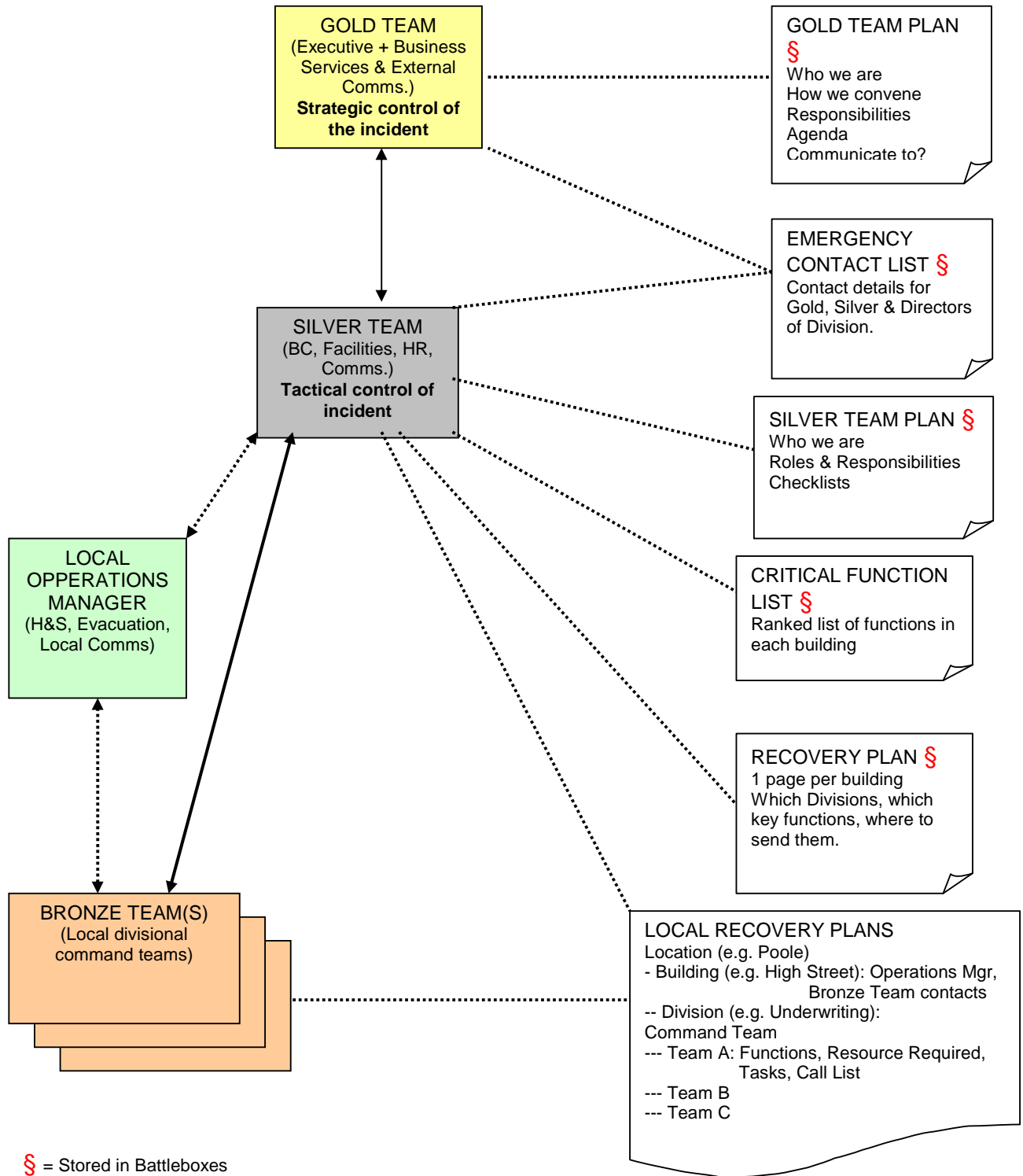
For minor incidents the Silver Team will support the local recovery team and co-ordinate the necessary support for the location.

For major or multiple incidents the Incident Command (Silver) Team will be assembled. This team will manage the recovery process and co-ordinate the activity of the on the ground recovery personnel and recovery teams (Bronze teams).

The composition of the Silver team is flexible and will vary to suit the incident. The team need not necessarily be in the same location.

Escalation will be to the Executive Leadership (Gold) Team who will provide strategic support.

3 Gold, Silver, Bronze - Control Structure & Related Documents



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Gold – Executive Team (Strategic)

Role

Whilst the Silver Team will focus purely on recovery, the Gold Team will take a wider view. They will formulate long term strategy ensuring recovery can take place alongside normal business as usual activities. They will authorise the recovery plan for the specific recovery situation, as provided by the Silver Team, and ensure the Silver Team are empowered and have the resources to carry it out. The Gold Team will also decide the permanent (long-term) recovery of the affected site(s).

Silver – Incident Command Team (Tactical)

Composition and Role

This team will form the command and control element to facilitate recovery from a major incident. All resources required and decisions (such as WAR site location, space allocations, availability time scales) will be managed by this team. This then 'frees up' the Bronze Team(s) to concentrate on supervising staff, moving equipment, etc.

Co-ordinated by the Business Continuity Manager the focus of this team is on the needs of the business, service provision, their staff and suppliers. To accomplish this the team will include members from the critical service areas as deemed necessary for the particular recovery situation (for instance the media team, health and safety, personnel, property management unit).

The Silver Team has been designed to operate at a level, which will allow normal day-to-day operations to continue, but also to enable decision-making without the need for referral. This is to reflect the fact that the Company could have a major incident at one location and need to maintain business as normal throughout the remainder of the UK.

The full Silver Team, whilst flexible, will consist of the following:

- Business Continuity Manager
- Human Resources
- Facilities
- IT
- Media Relations
- Internal Communications
- Administrator/Secretariat

The responsibilities of each member of this team are detailed in the **Silver Team Responsibilities** section of this document.

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Silver - Gold Link.

The chairperson will maintain the link between the Silver and Gold teams.

The role of the Business Continuity Manager is to relieve the Gold Team of much of the work in developing policy and guidelines, managing incidents and allowing the business to continue relatively normally.

Principally the Business Continuity Manager will be the focus for information, will keep a diary of events and decisions, help facilitate the Silver - Gold link, submit papers to the Gold team and act as third party liaison. If the Crisis Management Committee is invoked they will also act as the centre for information regarding the incident.

Bronze - (Operational)

All teams involved in the immediate incident or recovery activity will be known as bronze teams. These will include the business unit to be recovered and any support teams involved.

The main categories of Bronze Teams are:

Bronze - Business Recovery Teams (see section 4) (aka Local Recovery Teams)

Each individual business unit will have a continuity plan filed with the business continuity team. The Recovery Team will carry out this plan, as instructed by the Silver Team. The plan will state the criticality of the business unit and describe the resources required for business continuance. The size and complexity of the business unit will determine the size and structure of the team.

The Business Recovery Team may form naturally following the start of an incident (e.g. following evacuation for a fire), at the request of the Silver Team (e.g. following an incident out of hours) or at the request of the Recovery Manager in response to a developing situation.

These teams will be carrying out normal recovery procedures in line with their business as usual role, IT engineers, electricians etc, reporting in this case to their representative on the Silver Team.

Report actions/status/problems to Silver Team
Ensure contact with Silver Team is maintained at all times

Bronze – Building Incident Team

The Operations Manager as the nominated manager responsible for Health & Safety, Security and Business Continuity, will ensure that all staff are safely evacuated from a building, if required, and will act as the contact point for the Emergency Services or other statutory agencies (e.g. HSE). For a prolonged evacuation the Operations Manager will liaise with other agencies to provide shelter, if necessary, until either re-occupation of the site or staff are sent home. The Operations Manager will liaise with the Bronze Teams to co-ordinate communication to staff. The Operations Manager will pass responsibility to the Facilities Manager (or their representative) on their arrival at site.

The Operations Manager should recruit a team to help / deputise this responsibility.

Plan for an incident

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- Invocation process
- Site-specific plans for generic procedures - Bomb threats, suspect mail etc.
- Assemble any equipment needed.
- Check plans with local Police.
- Arrange plan rehearsals with Business Continuity Manager

Incident responsibility

- Ensure staff safety.
- Ensure building security.
- Co-ordinate with emergency services.
- Co-ordinate with Central Support Office.
- Assess the situation.
- Ensure local plans are followed. Revised as required for immediate circumstances.
- Decide (in co-ordination with local Police and the Business Continuity Manager) what course of action should be taken.
- Engage with any Incident co-ordinator sent to site.
- Issue any all clear / stand down instruction

Post incident

- Act as co-ordination for any follow up investigations (if required)
- Host a review.

4 Business Recovery Team Responsibilities (Bronze)

Each of the individual representatives on the Bronze Team has the following primary focus but may be called upon to perform other activities depending on the type and level of incident.

Recovery Manager (Operations Manager)

- Chair the team meetings
- Invoke pre-planned short term/immediate response actions (e.g. emergency call plans, work transfer)
- Contact and convene the team
- Act as primary contact point for the Silver Team
- Collate recovery requirements and feed through to Silver Team
- Provide meeting facilities for the team

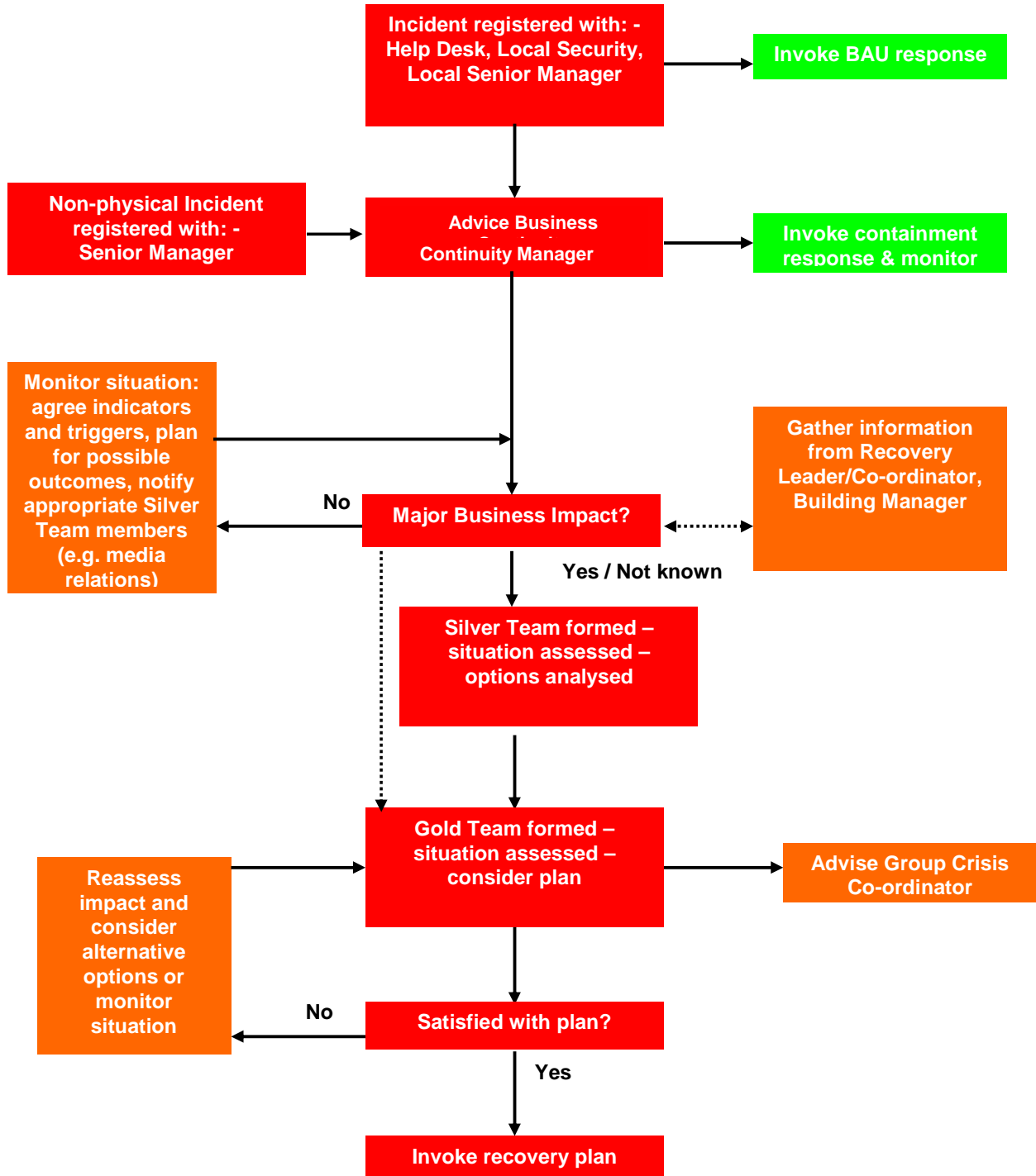
Secretariat

- Ensure all actions are logged

Team Member

- Cascade briefings to affected staff
- Confirm recovery requirements based on plans and current work position
- Organise staffing for recovery actions
- Prioritise work to be performed as part of recovery actions

5 Incident Response Process



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6 Incident Phases

This framework recognises five phases of an incident, as below. Typical high level tasks for the different individuals or teams involved are outlined for each phase. Note: these are typical activities and may not be appropriate or needed for every type of incident.

The framework is structured so that the same processes can be used for virtually any incident. This makes sense since many major incidents start as a smaller problem, or only escalate to be a major incident due to the length of disruption. Therefore many incidents handled using this framework will not progress beyond the first one or two phases, particularly those involving service interruption e.g. power cut, IT services failure.

1. Containment (Pre - Invocation)

Actions before the business decision is made to invoke

- ♦ Ensure staff are safe
- ♦ Call emergency services
- ♦ Ensure scene is secure
- ♦ Confirm reports
- ♦ Log incident
- ♦ Access incident
- ♦ Dispatch personnel to site if necessary
- ♦ Take actions to contain the incident
- ♦ Notify other business units
- ♦ Invoke or place Silver Team on Standby
- ♦ Monitor situation
- ♦ Place Recovery Teams on standby

2. Incident Assessment (Pre-Implementation)

Actions once the business decision has been made to invoke

- ♦ Consider staff welfare & communicate to staff
- ♦ Liaise with Emergency Services/Statutory Agencies
- ♦ Convene & establish communication with Business Continuity Manager
- ♦ Consider & invoke local actions e.g. work transfer plans
- ♦ Consider work priorities & confirm business requirements
- ♦ Convene & liaise with business unit Silver Team(s)
- ♦ Full assessment of impact of incident on service
- ♦ Produce recovery implementation plan

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3. Implementation

Actions when agreement for specific recovery strategy is received

- ♦ Brief staff
- ♦ Callout Service & Specialist Recovery/Bronze Teams
- ♦ Set up alternative service infrastructure

4. Initial Recovery Phase

Actions to progress the commencement of business operations

- ♦ Send Recovery Site Co-ordinator to recovery site
- ♦ Communicate with key contacts
- ♦ Monitor service resumption progress & report problems
- ♦ Inform business units of availability of alternative facilities
- ♦ Manage rectification of problems

5. Subsequent Recovery Phase(s)

This will continue until more permanent solutions are determined and control is passed back to normal management structures and procedures.

- ♦ Ongoing support of continuity service (Seamless)
- ♦ Recovery of less critical business activity
- ♦ Arrange Employee Support
- ♦ Rest Critical Staff

7 Silver Team Responsibilities

Each of the individual representatives on the Silver Team have the following as their primary focus but may be called upon to perform other activities depending on the type and level of incident.

IT Director

- Form and supervise Incident Command Team (Silver)
- Supervise the establishment of an incident log
- Decide in conjunction with businesses course of action
- Contribute to the completion of a statement to be placed on the HR helpline for staff
- Enlist admin staff as message handlers for Silver Team
- Keep all relevant areas of business informed with progress
- Debrief the Gold Team
- Write report on the incident detailing conclusions, recommendations and findings as necessary
- Co-ordinate recovery across all IT platforms and equipment residing at the Data centre
- Contact Data centre operations (out of hours) and Major Problem Team

Business Continuity Manager

- Keep log of actions
- Ensure communications channels open to other Silver and Bronze Teams
- Liaise with incident site co-ordinator for latest information at site
- Obtain relevant Business Continuity plans and impact information. For example, recovery plans, service plans, stack plans, maps
- Advise recovery contractors (Seamless) of a potential invocation
- Ensure the recovery site is operational for the business unit
- Co-ordinate travel to the recovery site
- Cancel relevant rooms bookings for rooms being commandeered
- Co-ordinate specialist salvage services
- Co-ordinate locksmith issues for staff
- Assist other team members

Human Resources

- Contact emergency services Casualty Bureau
- Liaise with other business unit HR departments
- Special staff needs
- Arrange overnight accommodation and travel
- Issue guidelines (terms and conditions) for staff at the recovery site
- Update rep bodies
- Obtain full staff list
- Set up Helpline for staff & relatives
- Hospital liaison

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Internal Communications

- Draft statement for Switchboard, Internal Communication
- Record activity
- Communications timetable

Media Relations

- Alert UK press function
- Brief spokesperson(s)
- Pro-actively brief local media
- Record activity
- Alert stakeholders
- Communications timetable

Facilities

- Building maintenance callout
- Alert Furniture, Moves and Security Teams
- Alert Property Management Team
- Formulate security plan
- Building survey both initial and detailed
- Facilities salvage
- Cleaning
- Recommissioning of the building
- Co-ordinate temporary security issues
- Ensure legal compliance for recovery site, command site and return to original site

Recovery Site Co-ordinator

- Keep log of action
- Alert/invoke Recovery
- Co-ordination of onsite facilities
- Assign Co-ordinator at recovery site for sign in/sign out of staff
- Brief staff on Recovery Site Health & Safety and fire evacuation, etc.
- Ensure catering is organised
- Onsite risk assessment
- Update Silver Team
- Assist other team members as required
- Co-ordinate site closedown

Administrator/Secretariat

- Contact Silver team and log their responses
- Print copies of the log prior to invocation of the Silver team
- Set up Incident Room – paper, pens, etc
- Prep whiteboards with information and titles e.g. Site contacts, Issues, Problems, etc
- Update 'live' incident log