

# DWP Business Continuity and Resilience Policy 2018

This policy is split into ten sections. You can read the complete policy or use the guide below to skip to a specific section.

## 1. Introduction

- 1.1** To help us meet strategic business objectives, the DWP Business Continuity and Resilience (BC&R) Policy drives the Department to create and maintain continuity in our services. It sets out best practice for keeping available the processes and assets we rely upon such as people, buildings, IT systems and business procedures.
- 1.2** DWP BC&R Policy governs how we respond to disruptive incidents, address known threats and deal with risks to service delivery. It establishes requirements for the annual DWP Business Continuity Management (BCM) Programme, which is directed and governed by the DWP Continuity and Resilience Board (CARB).
- 1.3** CARB meets on a monthly basis and is chaired by the DWP Business Continuity Director, who is usually the Director General of DWP Operations. Members are DWP Directors, appointed to perform the role of BC Director in addition to their existing role and responsibilities.
- 1.4** As a strategic steering committee CARB is responsible for ensuring that the DWP BCM Programme is adequately resourced and directs the work of the central DWP Business Continuity and Resilience Team (BC&R Team). This team ensures all BCM Programme activity is managed and co-ordinated.
- 1.5** So that we work together to strengthen organisational resilience, the BC&R Team is represented at a senior management level on additional technical resilience, operational delivery and security-related DWP governance boards.
- 1.6** The DWP BCM Programme follows the global best practices described by The Business Continuity Institute (BCI) and aligns with the International Standard for Societal Business Continuity (ISO 22301), which forms the basis of DWP's BC Controls Framework.

## **2. Purpose**

**2.1** This Policy defines business continuity (BC) methods for ensuring that DWP continues to operate when disruption happens. It ensures we have:

- processes to establish, maintain and improve business continuity activities
- appropriate business continuity plans in place to manage disruption before it happens
- a suitable culture, approach and structure in place to withstand disruption, recover quickly and learn lessons so that we become stronger as a result.

## **3. Policy objectives**

**3.1** The Business Continuity and Resilience (BC&R) Policy ensures that, when disruption occurs, colleagues understand:

- how to protect DWP people, facilities, systems and assets
- how, when and in what order to bring these back
- individual roles and responsibilities (before, during and after disruption)
- how to plan ahead to manage and reduce potential impacts
- what constitutes a safe separation distance between priority assets
- how to learn lessons from real events and apply these to improve resilience longer-term
- the potential risks and costs to local business areas and services, and to DWP as a whole, of not recovering effectively.

## **4. Scope and definition**

**4.1** The scope of the BC&R Policy is the entire DWP organisation including all sites irrespective of location, functions and business activities undertaken

**4.2** Based on the BC&R Policy, the aspirations, reach and content of the annual BCM Programme is published at the outset of each financial year, having been agreed with members of the DWP Continuity and Resilience Board (CARB) and the DWP BC Director.

**4.3** In accordance with the requirements of the annual BCM Programme, DWP business continuity processes must be incorporated into general business process development and operating procedures.

**4.4** Whilst the annual BCM Programme reflects yearly requirements, these may fluctuate in any one year to take account of emerging business needs and any

changes in the priorities and direction set by the DWP Continuity and Resilience Board in response to actual events.

**4.5** In accordance with this Policy, the DWP Business Continuity and Resilience Team runs a set of Business Continuity and Resilience Controls from the centre to ensure:

- priority business services are sustained at pre-defined, acceptable levels
- disruptive impacts are managed efficiently and effectively, according to pre-defined recovery timescales and business continuity solutions.

## **5. Audiences**

**5.1** DWP B&R Policy is mandatory. It has basic requirements of all DWP people and specific requirements of those in designated roles such as Senior Responsible Officers, BC practitioners, line managers, Data Protection Officers, suppliers and strategic business partners.

**5.2** DWP has a large community of Business Continuity practitioners whose roles and responsibilities are documented in DWP Business Continuity Plans. This community must fulfil BCM Programme obligations by adhering to the BC Controls that are run centrally by the DWP BC&R Team for compliance purposes.

**5.3** Roles across DWP with designated BC and resilience-related responsibilities are described in the Roles and Responsibilities section of the BC&R intranet.

**5.4** The suppliers and partners on whom DWP relies to deliver services and products, and to maintain infrastructure, are subject to the DWP BCM Programme because they are integral to the effectiveness of our service delivery.

## **6. Accountabilities**

**6.1** All DWP people have a personal responsibility to know:

- who manages business continuity arrangements in their business area
- how to contact a line manager in an emergency or disruptive incident.

**6.2** All DWP people must carry a DWP Emergency Information Card.

**6.3** General BC Awareness training suitable for everyone is available on Civil Service Learning (CSL). Line managers must encourage their people to

undertake this as part of the induction process and to refresh awareness through this training at least annually thereafter.

- 6.5** The large community of local business continuity champions and practitioners support business areas. They perform their BC roles in addition to the duties of their main employment. This arrangement helps to establish and maintain a strong BC culture and accords with our principle of managing disruption at the lowest appropriate level and escalating upwards as required.
- 6.6** Director Generals, Senior Responsible Officers, Continuity and Resilience Directors, Business Continuity Managers and Co-ordinator's, and those responsible for leading significant change projects and programmes are each accountable for establishing and maintaining adequate business continuity planning for the services or functions that they lead, including ownership of relevant Business Continuity Plans.
- 6.7** Suppliers must have BC plans in place, which are subject to, and compliant with, DWP's BC&R annual assurance regime.
- 6.8** Suppliers must submit their BC plans for scrutiny by a DWP BC practitioner upon request. Such requests may be made prior to, at the point of appointment and afterwards in accordance with business needs.

## **7. Policy statements**

- 7.1** The BCM Programme is delivered on an on-going basis via the BC lifecycle of professional activities. Lifecycle stages are:
  - Policy and Programme Management (to set in place and run a robust, annual BC Management Programme)
  - Analysis (to understand the organisation)
  - Design (to develop and define recovery arrangements)
  - Implementation (to document recovery arrangements in BC Plans and manage incidents)
  - Assurance and validation (to assure the BCM Programme on an annual basis and carry out an annual exercising programme)
  - Embedding (awareness-raising and engagement).
- 7.2** Where it is useful to document DWP's approach, Lifecycle activities are the subject of DWP BC&R Sub-Policies on Analysis, Design, Incident Management, Exercising, Assurance (Validation) and Civil Readiness.
- 7.3** The order in which we bring things back during or after serious disruption, where impacts are cumulative or varied, is guided by eight DWP Business

Priorities. These priorities, of which maintaining our ability to make payments is number one, apply across all DWP business areas. They are reviewed annually to take account of impacts arising from incremental business change.

- 7.4** In addition to adhering to Business Priorities, DWP strives to keep all offices open throughout disruption.
- 7.5** DWP requires 'safe separation distance' between priority assets and processes to be considered in the design of business continuity solutions for priority products and services. Safe separation distance is determined by the scale of incident that the DWP process or asset plans to survive. Given our national spread of offices, activities and networks, every effort must be made to design solutions that optimise safe separation distances (such as for data centres, key sites and teams of specialist personnel).
- 7.6** At all times, DWP must be able to meet Cabinet Office directives for fall-back facilities and in-built organisational resilience. Arrangements are documented in the DWP Civil Readiness Sub-Policy.
- 7.7** The implementation stage of the BC Lifecycle covers the documentation of recovery solutions via BC plans and the DWP model for Incident Management.
- 7.7** DWP manages all disruption at the lowest appropriate level within the organisation and escalates whenever the consequences cannot be managed at the lower level.
- 7.7** DWP operates a 24/7 incident response and management service with the support of DWP leaders, technical and business experts, security and business continuity professionals who work together to minimise impacts.
- 7.8** DWP's hierarchy of BC plans reflects the structure of our organisation, how we deliver services to customers and our principle of managing disruption at the lowest level and escalating upwards. At the top of the hierarchy is the departmental DWP BC Plan. DWP BC Plans align with the three levels of incident management (bronze, silver, gold) described in the DWP Incident Management Sub-Policy.
- 7.9** DWP requires a Disaster Recovery (DR) Plan for all critical IT infrastructure, systems and applications that support delivery by DWP of its Business Priorities. Where suppliers are responsible for any of these, they must include DWP's Continuity and Resilience Team as a stakeholder when developing, exercising or reviewing relevant disaster recovery plans.

- 7.10** To ensure DWP business objectives continue to be met, the DWP BC&R Team sets the parameters for DR requirements as a result of carrying out Business Impact Analysis, including the recovery targets for IT systems.
- 7.11** DR Plans must be made available to DWP BC practitioners on demand.
- 7.12** Every Business Continuity (BC) Plan and Disaster Recovery (DR) Plan must be reviewed sufficiently at least annually and, ideally, more regularly. As a minimum each plan must be either:
- a) the subject of a documented exercise with stakeholders once a year
- OR
- b) adequately tested through its use to manage a major incident over the same period.
- 7.13** Whenever a plan has been exercised or used, the plan owner must carry out an assessment of the lessons learned in order that lessons may be learned as part of a continuous improvement regime.
- 7.14** DWP supports government-wide continuity arrangements and uses a number of horizon scanning intelligence sources to understand future risks and to plan for them. For example, the DWP Continuity and Resilience Team:
- attends the cross-government Domestic Horizon Scanning Committee, led by the Civil Contingencies Secretariat, Cabinet Office
  - uses the National Risk Assessment produced by the Cabinet Office to inform DWP BC planning and capability development
  - leads a cross-government Business Continuity Forum share resilience insights and best practice.
- 7.15** To embed a strong BC culture across DWP, the central DWP Business Continuity and Resilience Team develops materials and opportunities for awareness-raising activities, and supports and encourages all BC practitioners across DWP to develop promotional activities.

## **8. Compliance**

- 8.1** It is the role of the DWP Continuity and Resilience Board (CARB) to maintain oversight of the BCM Programme, how the Department's business areas perform against it and how well the Programme is delivered and managed by the central DWP BC&R Team.

- 8.2** Chaired by the DWP BC Director, CARB meets on a monthly basis to review the progress of the BCM Programme.
- 8.3** CARB works with DWP's Executive Board to ensure DWP sustains a strong business continuity culture and continuously improves and strengthens activities that drive organisational resilience overall.
- 8.4** To ensure compliance with BC best practice the central DWP Business Continuity and Resilience Team operates an annual quality assurance programme, wherein every BC plan is reviewed and rated along with the performance of business continuity responsibilities in each part of our organisation.
- 8.5** BC quality assurance findings and rankings are published and reported to the DWP Continuity and Resilience Board, which in turn determines what action will be taken to address concerns, resolve issues and improve the performance of business areas that are identified as failing in their business continuity activities.
- 8.6** Once every two years, the BCM Programme is subject to an independent audit process. Audit reports are provided to the DWP Continuity and Resilience Board, which is responsible for reviewing and acting on findings and recommendations.

## **9. Management information**

- 9.1** The DWP Continuity and Resilience Team collects and analyses performance metrics and data from across DWP to assess and report the performance of the BCM Programme, score the status of maturity in DWP's Organisational Resilience (OR), and for compliance purposes.
- 9.2** Qualitative and quantitative performance metrics are used to assess how well BC activities are performing, such as the number and type of completed plan exercises, plans reviewed and updated, the nature of risk mitigations and lessons learned, experiential feedback regarding management of actual incidents, lessons learned and awareness-raising initiatives. Details are published in the DWP BC&R Management Information Framework.
- 9.3** Measures must demonstrate achievement against the Key Performance Indicators that are described in the annual DWP BC&R Team Business Plan.
- 9.4** Findings are reported to the DWP Continuity and Resilience Board, which meets monthly and governs performance of the DWP Business Continuity Management Programme.

- 9.5** Business Continuity Institute (BCI) insights are used by the DWP BC&R Team such as the industry's annual Horizon Scanning Report.

## **10. Related policies**

- 10.1** DWP Business Continuity and Resilience Policy integrates with the policies of other DWP functions, organisational, legal and regulatory requirements. Key related policies and requirements include:

- Health and Safety at Work Act 1974
- Occupiers Liability Act 1957
- Common Law Obligations
- General Data Protection Regulation 2018
- Security Policy and Standards including:
  - DWP Acceptable Use Policy
  - DWP Information Security Policy
  - DWP Physical Security Policy
  - Remote Working Policy
  - Social Media Policy
  - DWP Technical Vulnerability Management Policy
  - Response Levels Security Policy
  - Software Policy.
- DWP Health, Safety and Wellbeing Policy Statement
- DWP Human Resources policies including:
  - Working Patterns
  - Managing Industrial Action Policy.

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## **Want to ask a question?**

## **Review and ratification**

Title, Purpose, Author, Owner, Date of last review, review frequency, references *(to be set up on the intranet page)*

## **Version history** *(to be set up on the intranet page)*