

**NHS England
Emergency Preparedness,
Resilience and Response
(EPRR)**

**Business Continuity
Workshop Facilitators Guide**



OFFICIAL

This is published as part of a suite of documents published under Gateway Reference 04416.

Business Continuity Workshop Facilitators Guide

Version number: 2.0

First published: January 2014

Updated: July 2015

Prepared by: NHS England EPRR

Classification: OFFICIAL

This material should be read in conjunction with the NHS England Emergency Preparedness Framework. All material forming the guidance is web based and prepared to be used primarily in that format. The web-based versions of the Guidance including underpinning materials have links to complementary material from other organisations and to examples of the practice of and approach to emergency planning in the NHS in England.

The web version of the guidance is available at
<http://www.england.nhs.uk/ourwork/epr/>

Please leave this disclaimer below in but delete this instruction

The NHS Commissioning Board (NHS CB) was established on 1 October 2012 as an executive non-departmental public body. Since 1 April 2013, the NHS Commissioning Board has used the name NHS England for operational purposes.

Contents

Introduction.....	5
Slides Overview and Speaking Notes.....	6

Introduction

This is only a guide and the delivery of the session is entirely flexible and down to the individual facilitator to ensure that the outcomes of the workshop are met, and that the material gained from the workshop are used appropriately in the development of the business continuity incident response plans.

The workshop can be run in numerous formats. All delegates will require a table to sit around to allow them to complete the workshop workbook.

- **Small Groups** – groups of between 4-6 can be delivered in a seminar room around one table to allow discussions. This is ideal for surgeries, small departments and services
- **Medium Groups** – groups of between 6-20 can be run splitting them into 2 or 3 groups, this is for larger departments, with a number of wards, services, or variable delivery methods such as radiology or pathology.
- **Large Groups** – groups of up to 30 can be facilitated using a number of tables. This will require additional subject matter experts from the local health economy to assist the facilitation of the activity sessions. This session is for those organisations who are implementing a cross organisation or hosting a number of organisations such as a commissioning support unit (CSU) or Clinical Commissioning Group (CCG).

Slides Overview and Speaking Notes

Slide 1 – Title Slide

Slide 2 – Housekeeping

This slide provides the basics health and safety briefing at the beginning of the workshop. Facilitators to add any additional information as needed.

Slide 3 – Introduction

This is a basic introduction to the day and asking the group to maintain confidentiality. The reason for this is that there may be risks identified which may affect the organisations reputation. These need to be identified but confidentiality maybe required to be maintained.

Slide 4 – Course Objectives

These are the generic; the facilitator can add additional objectives to this slide to ensure that their organisation meets the requirements from the workshop

Slide 5 – Ice Breaker

An icebreaker has been included. This is ideal for medium workshops for up to 15 people. Above this number get them to introduce themselves in their groups on their tables, and then the facilitator randomly picks from each table.

Slide 6 – What is Business Continuity?

This is the definition from ISO 22313 which is the guidelines behind the specification document ISO 22301.

Slide 7 – What is a Business Continuity Management System?

This is the definition from ISO 22313 which is the guidelines behind the specification document ISO 22301.

Slide 8 – Elements of Business Continuity Management

These are the elements and where they are addressed in ISO22313:

a) **Operational planning and control**

Effective operational planning and control is at the heart of business continuity management. It should be led by a responsible person nominated by top management.

b) **Business impact analysis and risk assessment**

Gaining agreement and understanding of priorities and requirements for business continuity is achieved through business impact analysis (BIA) and risk assessment (RA). The BIA enables the organisation to prioritise for resumption, the activities that support its products and services. Risk assessment promotes understanding of the risks to prioritised activities and their dependencies and the potential consequences of a disruptive incident. This understanding enables the organisation to select appropriate business continuity strategies.

c) **Business continuity strategy**

The identification and evaluation of a range of business continuity strategy options enables the organisation to choose appropriate ways of preventing disruption of its prioritised activities and dealing with any

disruptions that take place. Selected business continuity strategies will provide for the resumption of activities at an acceptable level of operation and within agreed timeframes.

NOTE The chosen strategies need to take into account any risk treatment that is already in place within the organisation.

d) Establish and implement business continuity procedures

Implementing business continuity arrangements results in the creation of an incident response structure, the means for detecting and responding to an incident, business continuity plans and procedures for returning to 'business as usual.

e) Exercising and testing

Exercising and testing provide the opportunity for the organisation to:

- promote personnel awareness and competency development;
- ensure that business continuity and business continuity procedures are complete, current and appropriate; and
- identify opportunities to improve its business continuity.

Slide 9 – Plan Do Check Act Cycle

The ISO 22301 and ISO 22313 use this cycle. The support information behind this slide is:

Plan

Context of the organisation - this sets out what the organisation has to do in order to make sure business continuity meets its requirements, taking into account all relevant external and internal factors including:

- The needs and expectations of interested parties
- Its legal and regulatory obligations
- The required scope of business continuity management systems

Leadership - sets out the key role of management in terms of demonstrating commitment, defining policy and establishing roles, responsibilities and authorities within the organisation

Planning describes the actions required to establish strategic objectives and guiding principles for the business continuity management systems as a whole. These set the context for the business impact analysis and risk assessment and business continuity strategy.

Support – identifies the key elements that need to be in place to support the business continuity management systems, namely: resource, competence, awareness, communication and documented information.

Do

Operation – identifies the elements of business continuity management that are needed to achieve business continuity

Check

Performance evaluation – provides the basis for improvement of the business continuity management systems through measurement and evaluation of its performance.

Act

Improvement – covers the corrective action needed to address nonconformity identified through performance evaluation.

Slide 10 – Plan Do Check Act Cycle Diagram

Plan Do Check Act illustrates how a business continuity management system inputs the business continuity requirements and expectations of the interested parties and, through the necessary actions and processes, produces business continuity outcomes that meet those requirements and expectations.

Illustrates how the BCMS takes interested parties' (NHS Stakeholders) requirements as inputs for business continuity management (BCM) and, through the required actions and processes, produces business continuity outcomes (i.e. managed business continuity) that meet those requirements.

Slides 11 - 13 – Activity 1

Please allow approximately 15 minutes for this exercise.

The activity allows you to reinforce the legal and statutory duties. You can mention the Cardiff Ruling in terms of the NHS England Guidance. For more information on this ruling contact your NHS England Head of EPRR.

Slide 14 – Interested Parties

This is a diagram to show an example of interested parties to be considered in the health sector.

The List is not definitive and an example only. Each organisation will have additional stakeholders who they will need to engage with. It is taken from a stakeholder diagram in ISO22313. There is an example of good practice for organisations to engage with when producing site, and organisational business continuity incident response plans.

Slides 15 – Business Impact Analysis

This section here onwards describes the elements of the Business Impact Analysis

Slides 16 – Business Impact Analysis

Gaining agreement and understanding of priorities and requirements for business continuity is achieved through business impact analysis (BIA) and risk assessment (RA).

The BIA enables the organization to prioritize for resumption, the activities that support its products and services.

Risk assessment promotes understanding of the risks to prioritised activities and their dependencies and the potential consequences of a disruptive incident. This understanding enables the organization to select appropriate business continuity strategies.

Slide 17 – Understanding the Organisation

Through understanding itself better, the organisation is able to ensure that its business continuity aligns with its purpose, statutory duties and obligations to its interested parties.

Understanding is achieved through the processes of business impact analysis and risk assessment.

These processes provide the information that the organisation needs to determine and select business continuity strategies.

The BIA and risk assessment should enable the organisation to identify measures that:

- limit the impact of a disruption on the organisation;
- shorten the period of disruption; and
- Reduce the likelihood of a disruption.

The context, evaluation criteria and format of the outcome of the BIA and risk assessment should be defined and agreed in advance. Information collected should be regularly reviewed, particularly during periods of change.

Slide 18 – Business Impact Analysis (BIA) Template

A BIA is the process of analysing activities and the effect that a business disruption might have on them.

Discuss the time in which the activity needs to be recovered in both in partial and in full.

Slide 19 – Business Continuity Analysis

Discuss the prioritisation of activities to help in the BIA

Slide 20 – Workshop Activity 2

This activity is the key stage in the workshop. Allow approximately 30 minutes for this activity.

Using the questions facilitate the identification of the critical services/activity, the resources required to deliver them, and risks that are foreseeable or known.

Once identified ask the groups how they are going to deliver these critical services or activity if a disruptive incident occurs, i.e. loss of power, supply chain failure, flooding, fuel shortage etc.

Slide 21 – Elements of Business Continuity Management

The identification and evaluation of a range of business continuity strategy options enables the organisation to choose appropriate ways of preventing disruption of its prioritized activities and dealing with any disruptions that take place.

Selected business continuity strategies will provide for the resumption of activities at an acceptable level of operation and within agreed timeframes.

NOTE the chosen strategies need to take into account any risk treatment that is already in place within the organisation.

Slide 22 – Business Continuity Strategy Options

Facilitator to have a tailored discussion on the strategies they may now need to follow for their organisation to ensure they have robust plans.

The questions are to ensure that they are thinking about possible solutions for their critical activities.

Slide 23-24 – Workshop Activity 3

Allow approximately 30 minutes for this activity.

The aims of this activity are to reinforce the organisations ownership and embedding of business continuity into daily activity.

Refer to the NHS England Core Standards for EPRR.¹

Slide 25 – Business Continuity Management

Implementing business continuity arrangements results in:

- the creation of an incident response structure,
- the means for detecting and responding to an incident,
- business continuity plans and
- procedures for returning to 'business as usual'

Slide 26 - 27 – Workshop Activity 4 – Business Continuity Requirements

Allow approximately 30 minutes for this activity. This element of the workshop can be carried in both in groups or as an individual.

Using the table in their work book ask the delegates to categorise their risks, critical activities/services into the different categories.

This will then enable delegates to develop their business continuity incident response plans.

Slide 27 can be used to help stimulate further questions against each of the risk, activity/service.

The facilitator may find that the 'issue' may fit more than one element.

Slide 28 – Terminology

For the facilitator to give further information and background to the terms:

- RTO – Recovery Time Objective – target time set for resumption of product, service or activity delivery after an incident
- MTPD – Maximum Tolerable Period of Disruption – duration after which an organisations viability will be irrevocably threatened if a product and service delivery cannot be resumed

Slide 29 – Impact Mitigation – Sudden Disruptions

Facilitator to discuss the stages and the varying impact, with the group.

An example of this is a major fire.

¹ <http://www.england.nhs.uk/ourwork/epr/gf/>

Slide 30 – Impact Mitigation – Gradual Disruptions

Facilitator to discuss the stages and how they differ, from the previous slide, with the group. A business continuity plan may be activated as a result of a sudden incident with no advance warning (for example a fire), or rising tide incident developing over time (an example of this is pandemic influenza or measles).

Slide 31 – Incident Timeline

This slide aims to get the group to ensure early escalation to a point that executive leadership is present.

The effective use of the on call management structure is one example.

Slide 32 – Workshop Activity 5

Allow approximately 15 minutes for this activity.

Facilitate a group discussion initially between themselves and then as a group on the potential examples.

These will vary depending on NHS environment/organisation.

Slide 33-36 – Case Examples

Give an overview of these incidents to groups if time permits, you may replace these with appropriate local examples to make these more relevant to your own organisation.

Slide 37 – Activity 6: Business Continuity Strategy

Allow approximately 20 minutes for this activity.

Facilitator to have a tailored discussion on the strategies they may now need to follow for their organisation to ensure they have robust plans.

The questions are to ensure that they are thinking about possible solutions for their critical activities.

Slide 38-40 – Business Continuity Response Plans

These slides describe the next stage in the development of robust business continuity.

Refer also to the NHS England Business Continuity Response Plan Checklist document which will assist them in ensuring they have the minimum parts required in a business continuity response plan.

Slide 41 – Business Continuity Management

Exercising and testing provide the opportunity for the organisation to:

- promote personnel awareness and competency development;
- ensure that business continuity and business continuity procedures are complete, current and appropriate; and
- Identify opportunities to improve its business continuity.

Slide 42-45 – Business Continuity Exercising

These slides are to ensure the delegates understand that the process is on-going.

The delegates need to understand that they need to exercise and test different parts of their business continuity response plans regularly.

This is in line with NHS England Core Standards for EPRR.

Slide 46 – Embedding your BCP

These slides are to ensure the delegates understand that the process is on-going and there is a requirement to embed and communicate business continuity plans.

Embedding ensures that the organisation embeds business continuity into its routine operations and management processes, regardless of its size. This ensures that business continuity management becomes part of its core values and effective management.

Embedding can be achieved by raising the awareness of business continuity and communicating the importance of;

- Meeting business continuity objectives
- Confirming to business continuity policy
- Continual improvement

Slide 47 – Reviewing Business Continuity

These slides are to ensure the delegates understand that the process is on-going, highlighting the need for continual development and review of the business continuity management system.

Slide 48 – Maintaining Business Continuity

These slides are to ensure the delegates understand that the process is on-going, highlighting the need for developing a maintenance programme for the business continuity management system.

Slide 49-50 – Record Keeping

An opportunity for the facilitator to reinforce the understanding that the delegates need to log during a business continuity response, not just in a major incident response.