

BUSINESS CONTINUITY POLICY

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APPROVER	██████████
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CLASSIFICATION	INTERNAL

Document Control Box

Version	Author	Changes made	Approved by	Date
8.0 DRAFT	TD	Draft of new BCP		
8.0		Approval of Policy	LH	06/06/2023
9.0	TD	Change to Runbook 1 title for description accuracy and addition of Loss of network functions. Re-numbering version to align with old version.	LH	20/06/2023
10.0	TD	Addition of Landlords details and RPO/RTOs	LH	08/08/2023
11.00	TD	Missing Runbook 11	LH	19/09/2023

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Purpose and Scope

The purpose of this policy is to ensure that the organisation has identified, assessed, implemented, and tested impactful scenarios which could result in the loss of continued business for clients. This must be done by:

- Clarifying the guiding principles, we have adopted around business continuity and disaster recovery, including our requirements for information security during continuity events.
- Document the procedures for key continuity scenarios.
- Document the review and verification process for these procedures.

The scope of this policy applies to all staff, all systems and all interested parties as detailed further in this policy.

Responsibility

Teams	Responsibilities
All Staff	Awareness of this Policy and contribution/participation with the policy
Business Continuity Team (BCT)	Assess the scenario. Authority to invoke specific plans (runbooks) and manage these. Communication with internal and external interested parties. Conduct lessons learned. Approve testing schedule.
ISMS Co-ordinator	Update and maintain relevant documentation. Maintain testing schedule.

Business Continuity Team Details

NAME	MOBILE	HOME
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]

Operational Controls

The organisation has identified four phases which form this policy. These have all been detailed below and associated documents (Runbooks & Test Schedule) are held separately to allow for ease of access and regular updates where required.

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Phase 1 – Critical Functions

The organisation has identified its critical functions and associated information assets required to continue business operations for its clients, and are listed below:

Business Critical Function	Description	Associated Assets	RP/TO
Symphony	Primary customer-facing system, extremely high impact to loss of availability, including a potential of breaching contractual requirements to maintain availability. RTO relates to an outage during working hours. RPO of 5 minutes is the 'worst' outcome for SQL Azure, lower cannot be achieved.	Azure platform	RPO: 5 minutes RTO: 1 hr
ASE M365 Office (email, Sharepoint etc)	Primary customer-facing function, high impact to loss of availability, including a potential of breaching contractual requirements to maintain availability.	M365 platform	RPO: 8 hrs RTO: 2 hrs
SAGE	Financial accounting including AP and AR, banking and payroll.	Onsite dedicated server	RPO: 24 RTO: 5 days
People	ASE Staff	Laptops, PCs and mobile phones	RPO: 24 hrs RTO: 1 day
Glazier	Manufacture of glasses	OpsysWeb (not ASE owned), frames, lenses, BBGR AS400	RPO: 24 hrs RTO: 1 day
Optical Network	Affiliated optical practices (conducts sight test and place order for glasses)	Business deliverables (sight test and dispense)	

Phase 2 – Control Dependencies

These are the operating controls which are in place and are monitored and reviewed to ensure dependency and reliability assurance for the purpose of business continuity.

Associated Assets	Operating Controls	Annex A References
Azure platform (Symphony)	Supplier Management Backup Monitoring Technical vulnerability management	A.15.2 • A.12.3.1 • A.12.4 • A.12.6.1
Azure platform (ASE M365)	Supplier Management Backup Monitoring Technical vulnerability management	A.15.2 • A.12.3.1 • A.12.4 • A.12.6.1
Onsite dedicated server (SAGE)	Supplier Management Backup Monitoring Technical vulnerability management	A.15.2 • A.12.3.1 • A.12.4 • A.12.6.1

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Laptops, PCs and mobile phones	Supplier Management Maintenance of the Asset Register Intune Policy Management	A.15.2 <ul style="list-style-type: none">• A.8.1.1• A.6.2
OpsysWeb, frames and lenses (Glazier)	Supplier Management	A.15.2
Business deliverables (sight test and dispense) (Optical Network)	Optical Network Management	A.18.1.1

Phase 3 – Scenarios

Having established the critical functions required to continue the business and the associated controls required to manage the assets used to deliver the critical functions, Phase 3 details the scenarios which could impact the business and invoke this policy.

Scenario	Impact to the business	Associated Runbooks
Issue with Symphony	ASE unable to process Optician unable to process Client unable to process	Runbook 1 – Issue with Symphony
Loss of Azure Platform for Symphony	ASE unable to process Optician unable to process Client unable to process	Runbook 2 – Loss of Internet Connectivity Runbook 3 – Loss of Power Runbook 4 – Symphony Failure by Azure
Loss of network functions	ASE unable to process	Runbook 2 – Loss of Internet Connectivity Runbook 3 – Loss of Power
Loss of SAGE	ASE Finance reporting Client Invoicing Optician Payments ASE Purchase orders	Runbook 2 – Loss of Internet Connectivity Runbook 3 – Loss of Power Runbook 5 – SAGE server failure
Loss of Hardware	Service Delivery	Runbook 11 – Loss of Hardware
Loss of People	Service delivery	Runbook 6 – Pandemic Runbook 7 – Mass resignation
Loss of Glazier	Service Delivery	Runbook 8 – OphysWeb Failure Runbook 9 - Liquidation
Loss of Optical Network	Service Delivery	Runbook 10 – Reduction of Optical Network
Total Loss of Bodiam Office	ASE unable to process Finance processing Opticians payments ASE purchase orders Service Delivery	Runbook 6 - Pandemic Runbook 5 – Sage server failure

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Process to Avoid Scenarios

In some instances, there may be controls that the organisation can manage effectively enough to reduce the likelihood of certain identified scenarios occurring. These have been identified below and will form part of the review process to ensure the organisation is conducting the best avoidance approach as possible.

Runbook Reference	Mitigating Controls	Control References
Runbook 6 – Pandemic	Maintain strong awareness of guidance issued by government bodies	A.6.1.4
Runbook 7 – Mass Resignation	Ensure staff appraisals capture future goals in terms of learning and development. Review salaries to ensure alignment with economical situations.	Clause 7.2 Clause 4.1
Runbook 5 – SAGE Server Failure	Move from on-premises server to the Cloud which will enable use of cloud IT technical controls.	A.12
Runbook 10 – Reduction of Optical Network	Provide training on ASE Products and optical platform. Ensure prompt payments for services and alignment with market value. Support queries efficiently.	Clause 4.1 A.16

Phase 4 – Testing

To ensure the recovery steps listed in the runbooks remain effective and aligned to our recovery time objectives, several types of tests against these run books must be conducted. Based on this, the organisation has created, implemented, and reviewed an annual test schedule ensuring lessons learned are fed back into the system to enhance the Business Continuity Phases.

This test schedule is approved by the BCT and will be adhered to unless other business needs require greater attention. This will have to be approved by the BCT and the aim would be to reschedule any missed tests at the earliest opportunity.

Exceptions

All exceptions to this Document will have to be authorised by the Managing Director.