

Business Impact Analysis (BIA)

Surrey Pension Team



July 2024

Providing our customers with
a better tomorrow

SPT – Business Impact Analysis

Date	1 July 2024
Version	1.0
Author/BC Lead	Siva Sanmugarajah Risk and Compliance Manager
BC Deputy	Colette Hollands, Interim Head of Accounting & Governance
Owner	Neil Mason, Asst Director, LGPS Senior Officer
GSC	Official Sensitive

Distribution List

Pension Senior Leadership Team (PSLT)

Job Title	Name – currently in post
Asst Director, LGPS Senior Officer	Neil Mason
Head of Accounting & Governance	Colette Hollands
Head of Change Management	Nicole Russell
Head of Investment & Stewardship	Lloyd Whitworth
Head of Service Delivery	Tom Lewis

Extended Leadership Team (ELT)

Job Title	Name – currently in post
Deputy Head of Accounting & Governance	Keevah Dumont
Deputy Head of Investment & Stewardship	Mel Butler
Deputy Head of Service Delivery	John Coombes
Deputy Head of Service Delivery	Jim Woodlingfield
Risk and Compliance Manager	Siva Sanmugarajah

Document Control

Owner	Neil Mason Assistant Director, LGPS Senior Officer
Author	Siva Sanmugarajah Risk and Compliance Manager
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Head of Service Statement

I am in receipt of Surrey Pension Team's BIA version 1.0. I have read the contents and am satisfied with the arrangements laid out within the document.

I will ensure that this BIA is communicated to all relevant persons within the Surrey Pension Team. I will ensure that it is reviewed fully on an annual basis and when any significant change occurs within the service e.g. a service restructure. I will ensure that the key contacts in Contact Details are reviewed and updated on a quarterly basis. I will ensure that all service personnel assigned business continuity responsibilities are competent to perform the required tasks. I will ensure that records of service business continuity exercises and business continuity training for members of the SPT Service Recovery Teams are recorded, kept and shared with the Emergency Management and Resilience Team.

Signed _____

Neil Mason, Assistant Director LGPS Senior Officer

Date: _____

A signed copy of this plan is kept in TBC and a copy has been sent to the Emergency Management and Resilience Team (EMRT). The current Business Continuity Plan (BCP) based on this BIA is version 1.0 dated 1 July 2024.

Record of Amendments

Version	Amendments	Amended by	Release date
v.1.0	Created		1 July 2024

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Section 1

Service Overview

Service Details

Head of Service:	Neil Mason, Assistant Director, LGPS Senior Officer
Directorate:	Resources
CRRF Representative:	Siva Sanmugarajah, Risk and Compliance Manager

Service Responsibilities

- Maintaining accurate information securely of all staff, their roles and responsibilities, risks and mitigations in each team, access levels to IT systems, procedures for reviewing, maintaining up to date information and reviewing frequency.
- Maintaining accurate information securely of all scheme members of Surrey Pension Fund (SPF), processing (paying/refunding) their entitlements correctly and on time, communicating with scheme members and relevant third parties in a timely and secure manner.
- Maintaining third party information (SPF employers, suppliers (vendors) of goods and services of SPF, customers receiving goods and services from SPF) in secure IT and non-IT systems and communicating/transacting in a secure manner.
- Regularly liaising with SPF's Global Custodian (Northern Trust) and investing surplus funds to yield healthy returns for SPF while monitoring investment manager performance.
- Maintaining a professional relationship and accountability with BCPP of which SPF is a member.
- Submitting statutory and non-statutory returns/information.
- Be accountable and provide assurance to all internal and external stakeholders of the SPF including SCC as the Administering Authority of the SPF.

IT systems in use for SPT and SPF activities

Business Unit	IT system used	Purpose	Provider
Accounting & Governance (A&G)	Hymans Frontier	Portal to access SPF's Actuary's (Hymans Robertson) System	Hosted by Hymans Robertson
A&G	i-Connect	SPF employer portal	Heywood
Investment & Stewardship (I&S)	Northern Trust Global Cash Movement (GCM) portal	Maintain SPF investment transactions	Northern Trust (SPF's Global Custodian)
Service Delivery	Achiever	CRT function	SCC Contract
SD		Address tracing	DWP
SD	Altair	SPF's pension administration	Heywood (hosted)
SD	Altair Pension Payroll	SPF's Pensioner Payroll System	Heywood (hosted)
SD	Crown Agent Bank	Mortality screening	
SD	Tell Us Once	Mortality screening	Owned by Gov.UK
SD	i-Connect	SPF employer portal	Heywood (hosted)
SD	MSS portal	SPF scheme member access to	Heywood (hosted)
SD	NI Database	To check other LGPS Fund	LGA
SD		Payments to Overseas	Equinity
SD		Foreign currency payments to	Western Union
SD		AVC provider	Prudential
SD		AVC provider	Utmost Life
SCC IT system	BACS	Financial Transactions -	SCC Banking
SCC IT system	Docmail	Document management	SCC IT
SCC IT system	Email	SCC network	SCC IT
SCC IT system	Microsoft applications	SCC network	SCC IT
SCC IT system	NFI Data matching	SCC Fraud prevention via	SCC IT
SCC IT system	SPF website	SCC network	SCC IT
SCC IT system	Telephony	SCC network	SCC IT

Number of Staff

Total number of Staff:	Location Based:
Establishment 77	Designated base location is Dakota, 11 De Havilland Drive, Weybridge, Surrey KT13 0YP. Due to agile working staff also work from home and in various SCC offices (Woodhatch, Fairmount, Quadrant Court).

Critical Staff

Number of Critical Staff:	Locations Based:
PSLT members 5 ELT members 5	Designated base location is Dakota, 11 De Havilland Drive, Weybridge, Surrey KT13 0YP. Due to agile working staff also work from home and in various SCC offices (Woodhatch, Fairmount, Quadrant Court).

Service Business Unit

The business units listed below undertake the identified prioritised activities for the service, these are expanded on later in this plan with the addition of activity numbers to the business units.

Business Unit:	Summary of work:
<p>A – Accounting & Governance (A&G)</p> <p>A1 - Governance A2 - Technical A3 - Employer A4 - Finance A5 - Risk & Compliance</p>	<p>A – Head of A&G Team is responsible for ensuring adequate overall accounting and governance arrangements.</p> <p>A1 – Ensuring adequate governance arrangements are in place for effective SPT operations. A2 – Ensuring LGPS technical requirements and legislation is complied with. A3 – Ensuring SPF employers’ (approx. 350) and scheme members’ (127k) obligations are met. A4 – Ensuring all finance related activities of SPF and SPT are maintained at all times. A5 – Ensuring adequate risk identification and compliance arrangements are in place.</p>
<p>B – Investment & Stewardship (I&S)</p>	<p>B – Responsible for overseeing the investments of the SPF.</p>
<p>C – Service Delivery (SD)</p> <p>C1 – Systems Team C2 - Customer Relationship Team C3 – Immediate Benefits Team</p> <p>C4 – Future Benefits Team C5 – Membership and Data Team</p>	<p>C – Overall management of service delivery of pension administration of SPF scheme members.</p> <p>C1 – Maintains appropriate IT systems in SD. C2 – Responsible for first point of contact for all stakeholders.</p> <p>C3 – Responsible for processing immediate pension benefit entitlements in line with relevant regulations. C4 - Responsible for processing future pension benefit entitlements in line with relevant regulations. C5 - Responsible for maintaining membership data and entitlements in line with relevant regulations.</p>

D – Change Management (CM)	D – Planning and delivering strategic direction of the SPT.
D1 - Project Management D2 – Communications D3 - Learning & Development	D1 - Facilitating continuous improvement utilising project management tools and best practice. D2 – Providing stakeholders with required information as and when needed using multiple media channels. D3 – Providing learning and development and addressing change to meet business and workforce needs.
E – Pension Senior Leadership (PSLT)	E – Heads of Service for A&G, I&S, SD and CM reporting to Assistant Director, LGPS Senior Officer to provide leadership, strategy and overall risk management.

Business Unit:	Location/ Locations delivered from:	Number of staff based in these locations:	Number of staff within this business unit unable to work flexibly:
A - A&G	Designated base location is Dakota and work from home.	10	0
B - I&S	As above.	1	0
C - SD	As above.	55	1
D - CM	As above.	5	0
E – PSLT	As above.	6 (inc Business Support Officer)	0

Business Unit	Activity Number	Risk Category*	Activity	MTPD	RTO	Does the activity depend on, or influence the activities of other services within the organisation or external agencies? If yes, then please list these.	Contingency Arrangements
A4 Fin	1	4	Transactions for Capital calls - Access to NT GCM portal is via portal manager, and HSBC is via CHAPS	<12 hours	1-10 hours	Yes, NT (GCM portal); SCC; Treasury; Email; Authorising Officers; Approvers.	Refer to SCC Treasury for assistance on authorising/approving of portal manager via HSBC.
B I&S	1	4	Monitoring Market Value	1 day	1 day	Northern Trust	Officers would rely on other external internet access.
B I&S	2	4	Transactions	1 day	1 day	Northern Trust and Fund Managers	Officers require Sharepoint and email availability.
B I&S	3	4	Capital Calls	1 day	1 day	Northern Trust and Fund Managers	Officers require Sharepoint and email availability.
SD C1-C5	1	5	Access to Altair	1 hour	<1 hour	Yes. Heywood (provider of Altair), SPT, Surrey Pensioner Payroll.	Disaster Recovery Procedure, access to Backup System.
SD C1-C5	2	5	Access to SCC Network including internet & Microsoft applications	1 hour	<1hour	Yes. SCC's ICT, SPT, Surrey Pensioner Payroll.	Disaster Recovery Procedure within SCC protocol.
SD C1	3	4	Access to i-Connect	12 hours	<12 hours	Yes. SPF Employers and their payroll providers, Employer Team.	Delayed uploads, communication to users of downtime. Longer term delays in collecting data manually via secure email.

*Use the Critical Activities table in the SCC BIA Guidance when establishing the Risk Category

MTPD – Maximum Tolerable Period of Disruption

RTO – Recovery Time Objective

Dependencies

Critical Activity Reference:	Who relies upon your service for this critical activity being delivered:	Contingency Arrangements in place:
A4 - 1	SPT, SCC services, numerous third parties including SPF employers	Personnel within SPT, SCC, third parties and access to their systems.
B1	Surrey Pension Fund	Officers rely on other external internet access.
B2 & B3	Surrey Pension Fund and Fund Managers	Officers require Sharepoint and email availability.
C1 – C5 / 1	Pensioners in pay, SPF employers and scheme members, SD Team staff	Repeat previous month's payment manually if no access to system, members can't access Member Self Service (MSS) Portal, Reliant on Heywood to provide disaster recovery assistance.
C1- C5 / 2	SD Team staff	If no SCC network access, hosted area of Altair can't be accessed. Long term arrangements may include commercial direct access to Altair system but would require totally new security requirements and hardware. Laptops and equipment provided by SCC cannot be used.
C1 / 3	SPF employers and members, SD Team staff	No access to i-Connect site and no alternative other than manual.

Critical Activity Reference:	Who do you rely upon to deliver this critical activity:	Contingency Arrangements in place:
A4 - 1	Access to NT GCM portal via Portal Manager, access to HSBC via BACS/CHAPS, SCC's Network, Treasury, Email, Approvers and Authorising Officers.	Officers rely on other external internet access but require access to SCC network email and Share Point facility.
B1	Internet and Northern Trust, BCPP	Officers rely on other external internet access.
B2 & B3	SCC email & Sharepoint, Internet, Northern Trust, Fund managers, BCPP	Officers require Sharepoint and email availability.
C1 – C5 / 1	Heywood, SCC's Network and Payroll Service	Heywood's Disaster Recovery (DR) Policy, other teams in SPT, Altair Pensioner Payroll.
C1 – C5 / 2	SCC IT	SCC's DR Policy.
C1 / 3	Heywood	Disaster Recovery Policy with Heywood for i-Connect.

Section 2

Resources Identified

Staffing Resource

Critical Activity Reference:	Roles / Specialist Skills Required:	Minimum number of staff needed to perform each role:	Can outside staff assist in performing this role? And if so who:	SPOF
A4 - 1	LGPS Finance Knowledge.	1	Yes, with suitable experience.	No
B1	Northern Trust login and software portal training.	1	Northern Trust.	No
B2	Share Point access, SPF inbox access, Administration training.	1	Northern Trust and Fund Managers.	No
B3	Administration training, Reconciliation.	1	Northern Trust and Fund Managers.	No
C1 to C5 / 1 - 3	As per Org Structure – current SD structure is fit for purpose and includes contingencies for appropriate levels of leave/absence. Head and Deputy Heads of SD to determine.	5	Yes, administrative work and subject to commercial licences from software provider.	No

Workspace Resource Required

Critical Activity Reference:	Detail alternative working arrangements already in place: <i>Including those who can work flexibly, and any arrangements made?</i>	Number of staff who unable to work flexibly, would need alternative office arrangements to be made:	Minimum workspace requirements needed: <i>Include laptops/ PCS, Phones, Meeting Rooms needed?</i>
A4 - 1	WFH or at alternative SCC office	0	Laptop, telephone, access to external internet for HSBC.
B1	WFH or at alternative SCC office	0	Laptop, mobile phone with Okta Verify App.
B2 – B3	WFH or at alternative SCC office	0	Laptop.
C1 – C5 / 1 - 3	WFH or at alternative SCC office	1	Laptop, Internet connection.

Business Systems Required

- O365 services such as email, calendars, SharePoint and OneDrive are considered resilient as they are a cloud-based services and are hosted outside of the SCC infrastructure. These services can also be accessed from any internet connected device.
- IT&D run Backups daily. These backups are run overnight. Data created or updated in the window between backup runs could be lost if there was a need to restore from the previous backup.
- IT&D operate 2 data centres with many services replicated from the primary to the secondary centre for Disaster Recovery scenarios.
- Microsoft Office applications are installed locally on all devices. Access to a device will provide access to these applications so they do not need to be included in the table below.

System Name:	Critical activity reference	Data needed to carry out Critical Activity: <i>What databases/ inboxes/ records need to be accessed?</i>	Impact: <i>Detail the impact caused if you were unable to access particular software applications?</i>
SCC Network – email, MS applications, Sharepoint	All staff can access MySurrey to book leave, claim expenses and access their payslips. A4 – 1; B1 – B3; C1 – C5	N/A Altair Database and Outlook accounts.	Maintain manual log temporarily. Unable to pay (i) benefits to pensioners, (ii) refunds owed to members and (iii) transfers out leading to breaches. Unable to accept and receive incoming payments for contributions, transfers in, overpayments and unfunded liabilities to employers.
Altair	C1-5/ 1, 2 and 3	Altair Database holds all SPF member details to process pension benefits and pay pensioners.	Unable to process benefits and pay pensioners.

IT Hardware Required

Hardware:	Critical activity reference	Impact: <i>Detail the impact caused if you were unable to access particular software applications?</i>
SCC Laptops with suitable access to required applications	All staff	Unable to work; statutory deadlines and relevant actions may not be met leading to potential financial loss and damage, reputational damage, breaches and fines.
SCC laptops and mobile phones	B1	Laptop, mobile phone with Okta Verify app. No access to forms, audit trail or approval process and unable to transact.
SCC laptops and mobile phones	B2 and B3	Laptop. No access to forms, audit trail or approval process and unable to transact.
SCC Laptops	C1 – C5 / 1-3	Personal devices - TBC
SCC Printer / Scanner	All staff	Unable to produce physical correspondence for those members opted out of electronic method of communication. Docmail can be used as an alternative means to physical printing/scanning.

Other Resources Required

Critical Activity Reference:	Detail other SCC recourses required:	Detail any external resources required:	SPoF
A4 - 1	Extended period of disruption to call on SCC resources as available	Draw on third parties as necessary e.g actuary, Heywood, global custodian Northern Trust.	No
B1 to B3	BCPP	Northern Trust and Fund Managers, BCPP.	No
C1 – C5 / 1	SCC Payroll to process SPF Pensioner Payroll	5 x employees processing SPF pensions payroll.	No
C1 – C5 / 2	SCC IT Provisions	SCC Network hence need their assistance for any issues	No

Date Storage

Critical Activity Reference:	Are there any essential documents or records required to carry out this activity:	Where are these documents stored:	How can they be accessed:	Back up options: <i>Describe and detail what these are and who can access them</i>
A4 - 1	Regulations / Guidance	Government websites, SPF Sharepoint site	Internet, SCC Network	None
B1	No	SPF Sharepoint site	Online	N/A
B2 & B3	Yes	SPF Sharepoint site	Online	Forms for transactions
C1 – C5 / 1	Member documents relating to pension administration	In Altair hosted on Heywood servers	via Altair	Back up controlled and co-ordinated by Heywood every night
C1 – C5 / 2	Documents held in Sharepoint and network drives	Sharepoint, network drive, (G Drive), One Drive	via SCC Network	SCC backup policies and Data Storage Strategy

Appendix A

Critical IT Software and Application Restoration Priority List

During the first 24-48 hours of an incident, that impacts the operation of IT software and applications, the Incident Management Team (IMT) will work to restore their systems to regain the capacity to reinstate the following priority list of critical software systems and applications.

During the response to the incident, the CRRF and IMT will meet to decide the subsequent software and application restoration that will follow the completion of the below list as this may differ depending on the incident.

Timeframe*	Software and Applications
< 24-48 Hrs	IT systems restored: <ol style="list-style-type: none"> 1. Critical SCC Network infrastructure including internet. 2. Email 3. Sharepoint 4. IMT File Storage. 5. IMT Printing 6. Critical Finance Applications <ol style="list-style-type: none"> a. BACS b. Altair
< 5 days	CRRF and IMT will meet to decide on software and application restoration once the above list has been restored.

*Timeframe listed above is only a guide. These may vary depending on the incident.