Handover to Business as Usual

(BAU)

*Purpose of document*

* *To provide a check that all relevant operational requirements are in place before handover to the Informatics Operations Section.*
* *NB. Systems may be handed over to support with some items outstanding however the final decision on whether those items are classed as essential to the support process or not lay with the relevant support team managers e.g. Service desk, software support, server and network support*
* *This document is to be started at the beginning of a project and sections can be completed throughout the project process*

Version Control

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Version no.** | **Description of version change** | **Date** | **Author** | **Approvers** |
|  |  |  |  |  |
| 0.1 | Initial version | 03/11/20 | Natasja Dumay |  |
| 1.0 | Service catalogue amendments | 26/09/2023 | AS / RG |  |

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| **Requirements** | **Completed? Y/N** | **Date of Sign-off** | **Accepted by** |
| **Senior Managers’ requirements** | | | **Directorate Manager / Service Manager / Informatics Managers** |
| Initial Project timeline and key stages |  |  |  |
| **Information Governance sign-off**  *The Informatics Development team are responsible for completion of this section for all applications developed by them.* | | | **Information Governance Manager** |
| Data Protection Impact Assessment (DPIA) |  |  |  |
| Digital Technical Assessment Criteria (DTAC) |  |  |  |
| Information Sharing Protocol  *Unless a suitably robust contract is in place, which must be evidenced and signed off by IG Manager* |  |  |  |
| IG Data Flow map |  |  |  |
| List of Users and their access rights |  |  |  |
| Business continuity/ disaster recovery (Appendix E) |  |  |  |
| Audit of Information Asset Register  *Identification of the IAA & IAO and confirmation of addition to the directorate system asset register.* |  |  |  |
| ***Please follow Information Governance processes, guidance for which can be found under:***  [**Information Governance Policy and Strategic Management Framework**](http://ig/FlippingBooks/IG_Policy_and_Strategic_Management_Framework/index.html) **(IG)**  ***If you require assistance with any IG templates please contact the Information Governance team for support via sft.information.governance@nhs.net*** | | | |

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| **Requirements** | **Completed? Y/N** | **Date of Sign-off** | **Accepted by** |
| **Application Support sign-off** | | | **Application Support Manager** |
| User training undertaken |  |  |  |
| Sys Admin training undertaken if appropriate |  |  |  |
| Account Management process agreed and documented (Appendix C) |  |  |  |
| Issues Log created |  |  |  |
| Known errors and fixes documented |  |  |  |
| Business Continuity/Disaster Recovery Plans documented (Appendix E)  *These plans are the responsibility of the Information Asset Owner (IAO) and Information Asset Administrator (IAA)* |  |  |  |
| Topology diagram received (see example Appendix I) |  |  |  |
| Services Folder created on Share |  |  |  |

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| **Requirements** | **Completed? Y/N** | **Date of Sign-off** | **Accepted by** |
| **Infrastructure sign-off** | | | **IT Operations Manager** |
| Infrastructure Training  *Training needs identified* |  |  |  |
| Training completed |  |  |  |
| Database Administration  *Maintenance plan in place* |  |  |  |
| Database Acceptance forms completed (see Appendix F) |  |  |  |
| Support documentation Received |  |  |  |
| Restore procedure documented |  |  |  |
| Backup  *Backup requirements received from Project Manager (see Appendix G)* |  |  |  |
| Backup plan documented and in place |  |  |  |
| Retention period agreed |  |  |  |
| Restore process tested satisfactory |  |  |  |
| Application tested |  |  | **Not for infrastructure -application support or testing team.** |
| Tested against all applications |  |  | **Not for infrastructure -application support or testing team.** |
| Server  *Build sheet signed off* |  |  |  |
| Service Packs and patches up to date |  |  | **Automated patching in place, if not ensure risk is raised added to reduced device control, ensure AV and MDE and ITHAD in place and functioning.** |

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| **Requirements** | **Completed? Y/N** | **Date of Sign-off** | **Accepted by** |
| **Training sign-off** | | | **IT Training Manager / Departmental Trainer** |
| *Please see Appendix H for full details of requirements* | | |  |

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| **Requirements** | **Completed? Y/N** | **Date of Sign-off** | **Accepted by** |
| **Service Support sign-off** | | | **IT Operations Manager** |
| Service catalogue completed (*Appendix A*) |  |  |  |
| Installation instructions documented and received |  |  |  |
| Call logging process identified and documented (*Appendix B)* |  |  |  |
| Escalation process documented |  |  |  |
| Training undertaken |  |  |  |
| Supplier SLA received |  |  |  |
| Release/go-live date |  |  |  |

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| **Requirements** | **Completed? Y/N** | **Date of Sign-off** | **Accepted by** |
| **Information Services sign-off** | | | **Business Intelligence Manager** |
| Schema Guide or similar received |  |  |  |
| Reporting requirements received |  |  |  |

# **APPENDIX A** – Service Catalogue

|  |  |
| --- | --- |
| Name of Application/service | *This section to be completed by the PM* |
| Critical Asset | *Yes or no* |
| Who will use the software and for what purpose. | *Please indicate all departments that will use the application / process and approximate number of users.* |
| Where is the Application hosted | *Hosted onsite or cloud based via an internet connection* |
| Method of software deployment | *Consider if this software can be packaged and deployed remotely. If internet based will the link be added to internet short cuts for all users or provided as a favourite.* |
| Log on method | *is this AD aware if not is a risk in place and who owns the risk?* |
| Service Times  (Department/Application) | When will the service use this application ..e.g 24/7 etc ? |
| Informatics cover | *What is the expected cover informatics will provide for IT support* |
| Out of hours cover – Yes or No | *If yes what cover can the service users expect and does the supplier provide out of hour support?* |
| Account management  (Remember to complete the IT User Request form) | *Please indicate the department and staff responsible for account management – e.g. department’s own system administrator or Application Support team?* |
| Password resets | *Please indicate the department and staff responsible for password re-sets* |
| Project / Service Manager |  |
| Information Asset Admin (IAA) |  |
| Information Asset Owner (IAO) |  |
| Supplier details |  |
| Supplier hours of support |  |
| Supplier call logging process |  |
| **Infrastructure and dependencies** |  |
| Pre-requisites |  |
| Interfaces |  |
| **Software Licensing** |  |
| Server Licensing |  |
| Client software licensing |  |
| Installation Date |  |
| System Live Date |  |
| System Live version number |  |
| Software details |  |
| Client software location |  |
| **Server details** | Duplicate rows if more than one server |
| Production server name and location |  |
| IP Address |  |
| Development server name and location |  |
| IP Address |  |
| Training server name and location |  |
| IP Address |  |
| Database details |  |
| Database type |  |
| Database Name |  |
| Database Location |  |
| Backup |  |
| Responsibility |  |
| Type |  |
| Location | *e.g. where is the backup physically located* |
| Frequency |  |
|  |  |
| **TRAINING** |  |
| Training undertaken by |  |
| Type of Training |  |
| Contact number |  |
| Responsibility for ongoing training |  |
|  | |  |
| Other Considerations | |  |
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# APPENDIX B – Call Logging Process (Helpdesk)

# APPENDIX C - Account Management Process

*The purpose of this appendix is to describe and map the account management process to ensure that only authorised users have access to this system.*

# APPENDIX E – Disaster Recovery Plan

*This plan is to be completed if the Infrastructure SOP for disaster recovery is insufficient.*

The procedures to be followed in the event of a disaster affecting system [*insert application name]*

**General details**

|  |  |
| --- | --- |
| **Author of this plan** |  |
| **Plan authorised by** |  |
| **Date of issue** |  |
| **Due date for revision of plan** |  |
| **Date of test of plan** |  |
| **Due date for the next test of plan** |  |
| **Disaster Recovery Team for this system** |  |
| **Contact details for Disaster Recovery Team** | As Above |
| **Escalation Process** |  |

The plan is divided into the following sections outlining what will be required in the following events:

1. Short-term failure – up to 24 hours
2. Medium-term failure – between one and two working days
3. Long-term failure – greater than two working days
4. Identify hardware/software failure points
5. Test plan
6. Communication Plan Out of Hours
7. Communications Plan During office hours

## Short-term failure

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| **Description of short-term failure** | **Actions to be taken** | **By Whom** |
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## Medium-term failure

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| **Description of medium-term failure** | **Actions to be taken** | **By Whom** |
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## Long-term failure

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| **Description of Long-term failure** | **Actions to be taken** | **By Whom** |
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## Communications Plan (Out of Hours) – Outages

*If a project Communication Plan has been created using a project template, please insert a hyperlink to that completed document in this section and remove the table below. If a separate Communication Plan has not been completed, the table below must be completed.*

*The purpose of this document is to define the process and form the basis for its overall management. This communication plan is to be used when system changes or outages occur or are planned. All system change communications to be accompanied by relevant Change Control Notice. This communication plan is to be used when system outages occur.*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Communication Plan** | | | | | |
| **System:** |  | | | | |
| **System Owner:** |  | | | | |
| **Department affected:** |  | | | | |
| **Last updated:** |  | | | | |
| **Company/Department** | | **Staff to be contacted** | **Contact information** | **Role** | **Required** |
| **System Supplier 1** |  |  |  |  |  |
| **System Supplier 2** |  |  |  |  |  |
| **System Supplier 3** |  |  |  |  |  |
| **System administrator:** |  |  |  |  |  |
| **Service provider 1** |  |  |  |  |  |
| **Service provider 2** |  |  |  |  |  |
| **Service provider 3** |  |  |  |  |  |
| **SITE Coordinator** | | **Switchboard** | **Dial 0** | **Site co-ordinator** | **Mandatory** |
| **DIT On call technician**  **(Out of Hours only)** | | **IT On Call** | [sft.itservicedesk@nhs.net](mailto:sft.itservicedesk@nhs.net)  *[Insert designated ‘on call’ mobile number]* | **IT On call technician** | **Mandatory** |
| **Other:** *(as required)* | |  |  |  |  |
| **Other:** *(as required)* | |  |  |  |  |

**Note: Where the system interfaces with other systems, all interested/affected parties need to be made aware**

# APPENDIX F – Database Acceptance Form

*This plan describes the information required for database acceptance*

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Database Name** |  | | | | | | | |
| **SQL version compliance**  **e.g. 2008** |  | | | | | | | |
| **Initial population DB size** |  | | | | | | | |
| **Or select range** | <50Mb |  | 51-500Mb |  | 502Mb-4Gb |  | 4Gb |  |
| **Estimated Growth Rate**  i.e. 50Mb/month/10%per annum |  | | | | | | | |
| **Estimated No. of concurrent users** |  | | | | | | | |
| **Database logins** | *Please list all database and SQL logins created for this application or fro process use. Do not list user logins.* | | | | | | | |
| **Database Objects** | *Please list all bespoke jobs, stored procedures, DTS/SiSS packages (if necessary please continue on a separate sheet* | | | | | | | |

# APPENDIX G – BACKUP SCHEDULE

*Only to be completed if the infrastructure defaults are insufficient*

*This plan describes the information required for database acceptance*

Trust Standard Backup Schedule

* Daily backups - run Monday to Thursday @ 17:15 (or a time specified by the project manager) and are Differential.
* Weekly backups - run Fridays @ 17:15 (or a time specified by the project manager) and are Full.
* Monthly backups - are a weekly set of tapes that have been put to one side and re-labelled as Monthly. Then a new stack of tapes are assembled to replace the weekly tapes.

Monthly tapes are kept in the data store with the newest 6 months in the fire proof safe. Tapes are kept for 12 months then re-used.

|  |  |
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| **Data\Backup Retention (If Known)**  (e.g. how long to keep the backup tapes for - 6months, 1 year) |  |
| **Backup Frequency**  (Daily, Weekly, Monthly – Trust standard is Daily) |  |
| **Drives\Folders**  (location/s of data to be backed up e.g. C:\Data) |  |
| **Backup Exec License**  (e.g. 10d, 12 or 12.5) |  |
| **When would you like the backup job to start?** (server go-live date etc) |  |

# Appendix H – IT Training Checklist

*Training Checklist: To be Agreed by Project Manager and IT Training Manager*

|  |  |  |
| --- | --- | --- |
| **Task:** | **Detail:** | **Progress:** |
| **Training Plan** | What? Who? Where? When?  Overall plan and Timescale  Sponsor?  Subject matter expert(s) to support project |  |
| **Training Methodology** | **How to train?**  e.g. classroom, e-learning, peripatetic, open sessions |  |
| **Is a Training Database required?** | **If Yes:**  Where is it located?  How many records are in it  How is it going to be populated  How is it going to be updated  **If No:**  What will be used for training exercises/demonstrations |  |
| **Training Design** | What existing resources can be used?  What support materials are needed?  Has the Training package been sign off? By whom?  How do we test user competency?  How do we evaluate the training? |  |
| **Transition** | Train the Trainer  Training of support teams (e.g. Service Desk; Application Support)  Update Roles Matrix  Update Account Mgt System  Update MLE (subject/module/workshop)  Detailed planning of rollout training  Plan for inclusion within support training |  |
| **Operational Training** | Support materials availability e.g. Intranet, shared drive  Support training requirements  Training Script Review Cycle  Training materials Review Cycle  E-learning Review Cycle |  |

## **Appendix I –Topology Diagram**

*Include a diagram to show the technical architecture that supports the application that is being implemented. For example:*

(Note this should be collected as part of DTAC)