BUSINESS CONTINUITY MANAGMENT POLICY

Purpose and Context

This policy defines the broad framework for the implementation of the University's Business Continuity Management System to minimise the impact of business disruption to critical activities and functions. Full compliance with this policy will ensure procedures exist for recording, assessing and managing business continuity risk; identifying and prioritising critical activities; responding to business disruptions or incidents, regardless of cause; and maintaining essential services (or restoring services to a minimum acceptable level).

CONTENTS

Business Continuity Management Policy

1. Introduction

Increasingly, there is a requirement for organisations to have in place formal systems which prepare them for disruptive events and which set out the arrangements designed to minimise the effects of such events.

Business continuity management (BCM) improves the University's resilience by identifying in advance potential threats and planning for the possible impacts of sudden disruptions to key services and critical functions. It provides confidence to funding bodies, stakeholders and the university community as well as safeguarding the reputation of our University.

The diagram below identifies the BCM lifecycle, and the key steps required to successfully develop Business Continuity plans and integrate BCM into the organisational culture of the University.

BCM Lifecycle; BS 25999

In addition, there is an overarching University Major Incident Plan describing the central arrangements for responding to major disruptive events, managing the effects on the University's business and the circumstances in which the School and Services local business continuity plans should be invoked.

Strategic oversight of the BCM programme resides with the Deputy Vice Chancellor supported by a Business Continuity Management Group.

2. Purpose and Scope

This policy provides the strategic framework for the implementation of BCM across the University. It follows the recognised best practice and business continuity lifecycle model depicted on the previous page.

All schools and services play a key part in maintaining the delivery of critical functions. The requirement to plan applies to all functions identified as critical in the strategic business impact assessment.

Business continuity plans (BCP's) contain the recovery arrangements which will enable the University to perform its critical functions and provide a minimum level of service in the event of an emergency or disruption.

BCP's will focus on service and school areas and will not be incident or interruption specific. In addition there are 'events' rather than functions e.g. open days and graduation ceremonies that are critical to the continued success of the University. These will be included as critical activities.

BCP's complement the University's Major Incident Plan and the Campus Incident Response Plan.

3. Definitions and Abbreviations

Business Continuity (BC): the concept that critical functions or activities carried out by the University remain deliverable in the event of a business disruption.

Business Disruption – Any event that has the potential to disrupt the day to day activities of the university. It is commonly recognised that the main causes are; loss of staff, loss of buildings/accommodation, loss of IT services, loss of utilities and failures of suppliers, contractors or partners

Critical Function – Activities, services or events that are vital to the successful delivery of the University's business and Strategy Map, the loss of or interruption of which could cause significant financial, legal and reputational damage to the university or affect the health, safety and welfare of staff, students and others. Critical Functions have been agreed by the BCMG and are listed in Appendix 1. These must be resumed as soon as possible, ideally within 6 hours of the disruption.

Business Impact Analysis (BIA): This is a process that allows functions to be analysed so that their criticality can be determined, the impact of their loss understood and the arrangements required to minimise the effect of the disruption and reinstate identified critical functions/activities

Business Continuity Plan (BCP): An agreed plan that ensures Schools and Services can continue to deliver their critical functions/activities to an acceptable pre-defined level following a disruption.

Business Continuity Management Group (BCMG); a cross-University group which aims to co-ordinate business continuity and emergency planning efforts across the University

Major Incident Plan (MIP):- This plan sets out the arrangements for a co-ordinated action by the University in response to major incident on campus.

Campus Incident Response Plan (CIRP):- plan containing procedures for dealing with the response to and management of minor incidents on campus.

4. Roles and Responsibilities

Role	Responsibility
Deputy Vice Chancellor	• University Emergency Management Team Co-ordinator • Owner of the University's emergency management plan and business continuity framework
Business Continuity Management Group	• To oversee programme and policy work development • See Appendix 2 for terms of reference
Deans of Schools, and Directors and Heads of Service	• Internal drivers and supporters of BCM who will lead on the completion of the BCM process in their respective areas and the further embedding of business continuity across the University
University Staff	• Contribute to the business continuity planning process • Share information on how their functions are delivered • Have awareness of BC plans and procedures once developed • Work in accordance with any BC plans and procedures should they be activated following a business interruption
Director of Estates and Facilities	• Responsibility for identifying and sourcing alternative accommodation for teaching and office space, if required
Director of Marketing & Communications	• Responsibility for maintaining an Incident Communications Response Plan, for effective communication with staff, students and other stakeholders
Director of Computing and Library Services	• Responsibility for the provision and maintenance of data, telecommunications and IT systems and networks, and for ensuring a robust and suitable response to data and/or telecoms failures.
Director of Student Services	• Responsibility for arranging the provision of essential student services during and following an emergency.
Director of Finance	• Responsibility for managing emergency expenditure and liaison with the University Insurers

5. Threats and Triggers

There is a hazard matrix at Appendix 3 which identifies the key hazards which could cause a disruption but the main triggers for plan activation will be one or more of the following:

Partial or total loss of one or more of the following
1. staff and/or students
2. buildings, facilities or equipment
3. utilities or other critical services e.g. water or electrical suppliers
4. Communications or computer systems e.g. data, network, servers, telecommunications
5. Business critical suppliers, contractors or partners

6. Business Continuity Management Process

The following process will be used to embed business continuity across the University. The process follows the Business continuity lifecycle depicted on page 2 and will be the approach used for implementation in the University
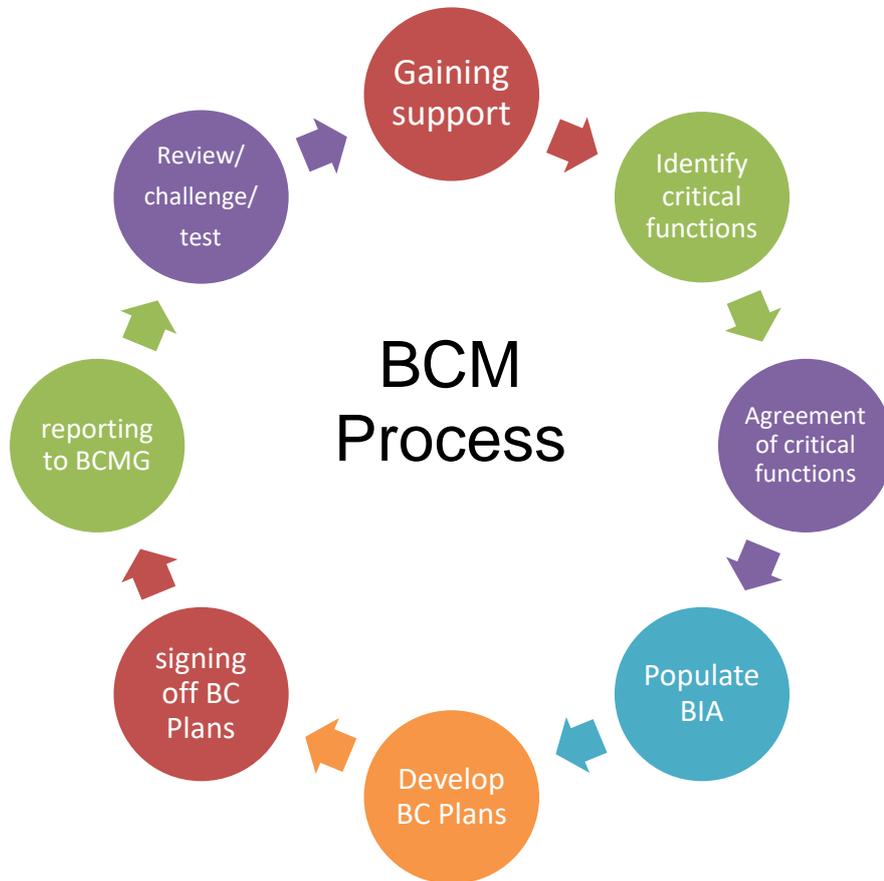
The process involves 8 key stages

Stage 1 - Gaining support: The DVC chairs the BCMG who collectively agree the business continuity management process, the identified critical activities and the work programme.

Stage 2 - Identify Critical Functions: The BCMG carries out an initial scoping exercise to identify critical functions that form the prioritised work plan.

Stage 3 - Agreement of Critical Functions: The views of the 'Lead owners 'of critical functions identified in the scoping exercise are sought and reported to the BCMG.

Stage 4 - Populating the BIA: Where critical functions have been agreed, meetings will take place with the 'Lead owners' to populate the risk and BIA template. This will be reviewed by the BCMG to endorse recovery time objectives and ensure adequate arrangements are in place

Stage 5 - Developing BCP's: After populating the BIA, BC Plans or disaster recovery plans will be developed if needed for each critical function

Stage 6 - Signing off BCP's: Where BCP's have been developed these will be signed off by the Dean or Director to which they relate. Deans and Directors will be expected to highlight any issues to the BCMG that have wider business continuity implications for the University

Stage 7 - Reporting to the BCMG: Following sign off by Deans/Directors a summary of completed plans along with any issues that need to be brought to the attention of the BCMG will be reported to the BCMG.

Stage 8 - Review, Challenge, Test: In order for a BCP to remain current it should be exercised on a regular basis. Reports on the outcomes of exercise should be submitted to the BCMG

7. Business Impact Analysis (BIA): - Before plans can be drafted an activity analysis must be made to gather information on critical activities. The University has carried out a strategic BIA which identifies critical functions and events. These are listed in Appendix 1

The BIA process considers the following:

- All functions that are undertaken, where these are carried out and what it involves
- How long the University could manage without the function
- Whether there are any time sensitivities i.e. critical time periods when the function is more important and must be reinstated quicker than others
- The impact of losing the function
- The type of interruptions that threaten the delivery of the function (loss of staff, buildings, IT, utilities and third party suppliers)
- The actions already in place to mitigate against any disruption and
- Additional actions that may need to be put in place to further mitigate or reduce the consequences of a disruption
- The resources (staff, accommodation, IT) required to reinstate the function
- Dependents and dependencies
- Single points of failure

Critical functions and events identified in the strategic BIA are reviewed by the BCMG to ensure arrangements are in place to mitigate against the consequences of a disruption and to decide if a specific BC plan is required. The owners of critical activities and events identified in the BIA will be expected to take the lead in the event of a disruption.

8. Business Continuity Plans

A BCP is an agreed plan to ensure that schools and services can deliver their critical functions in the event of a business interruption. The plans should be flexible enough so they can be adapted for use in any situation. BCP's are the responsibility of the school or service and it is up to the Dean or Director together with the Lead Owner to ensure they are up to date, the plans have been shared with those who have a role and responsibility in it.

9. Training and Exercising

In order to embed business continuity into the University and to ensure plans remain fit for purpose training and exercising events will take place as well as regular failover testing of key IT systems and processes.

APPENDIX 1 Critical Activities identified by the Strategic Business Impact Assessment

Services	Critical Functions/Events	Description
VCO	Statutory incident reporting	Reporting of specified incidents with in statutory reporting time scales (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations)
Computing and Library services	IT and information systems including Telecoms	Management of the IT service provision across the university
Estates and Facilities	Security	Physical security of the estate, staff and students
	Incident response to campus emergency, utility or estate infrastructure failure	Action to respond and recover from incidents affecting the University Estate
Financial Services	Procurement	Procurement of goods, services and work
	Student Records	Processing of enrolment, payment of fees etc.
Human Resources	Payroll	Processing and payment of staff
Marketing and Communications	Open days including post grad open days, applicant visits and study fairs	Campus activities to recruit students
	Clearing	Process to place students as part of the UCAS processing system following publication of A level results
	Public relations	Release of agreed information to the media including social media and ensuring a website presence
	Student Recruitment	Processing of student applications
Registry	Examinations	Working with schools (and PINS) to schedule examinations in suitable locations at suitable times
	Graduation ceremonies	Organisation of award ceremonies
Research and Enterprise	Research contracts	- Submission of bids for external funding and - completion of grant and research contracts
Planning and Information Services	Statutory data returns	Submission of mandatory returns to sector agencies/bodies
	Time tabling	Establishing and maintaining the timetabling system, working in partnership with schools and services to ensure al activities are suitably accommodated
Student Services	Support to vulnerable students	Mental health support to vulnerable students
International Office	International Admissions	Processing of international student applications
	Immigration and Compliance	Tier 4 Visa checks

Schools	Critical Functions/Events	Description
Applied Sciences	Teaching including specialist facilities	Teaching of courses
	CABs and awards	Examinations, assessments and course assessment boards
	Student experience	Attendance monitoring, disability, student support, time tabling
	Research activities	Research activities critical to REF or other stakeholders
Art Design and Architecture	Teaching including specialist facilities	Teaching of courses
	CABs and awards	Examinations, assessments and course assessment boards
	Student experience	Attendance monitoring, disability, student support, time tabling
	Graduate shows	'Catwalk' display of final course assessment work
	Research activities	Research activities critical to REF or other stakeholders
Business School	Teaching including specialist facilities	Teaching of courses
	CABs and awards	Examinations, assessments and course assessment boards
	Student experience	Attendance monitoring, disability, student support, time tabling
	Research activities	Research activities critical to REF or other stakeholders
Computing and Engineering	Teaching including specialist facilities	Teaching of courses
	CABs and awards	Examinations, assessments and course assessment boards
	Student experience	Attendance monitoring, disability, student support, time tabling
	Research activities	Research activities critical to REF or other stakeholders
Education and professional Development	Teaching including specialist facilities	Teaching of courses
	CABs and awards	Examinations, assessments and course assessment boards
	Student experience	Attendance monitoring, disability, student support, time tabling
	Research activities	Research activities critical to REF or other stakeholders
	Placements	The organisation and management of student placements
Human and Health Sciences	Teaching including specialist facilities	Teaching of courses
	CABs and awards	Examinations, assessments and course assessment boards
	Student experience	Attendance monitoring, disability, student support, time tabling
	Research activities	Research activities critical to REF or other stakeholders
	Healthcare social care placements	The organisation and management of student placements
Music, Humanities and Media	Teaching including specialist facilities	Teaching of courses
	CABs and awards	Examinations, assessments and course assessment boards
	Student experience	Attendance monitoring, disability, student support, time tabling
	Research activities	Research activities critical to REF or other stakeholders

Appendix 2   Business Continuity Management Group

Terms of Reference

The Group will:

- Review the University Business Continuity Management Plan and develop a corporate business impact assessment;
- Review the Emergency Management Plan;
- Review any skills and competence requirements and training needs;
- Agree an annual programme of work to review BC and EM arrangements;
- Communicate with Schools and Services at both strategic and operational level in order to ensure that colleagues across the University are aware of the purpose of the Group and to encourage a corporate approach to Business Continuity management.
- Meet regularly (bi-monthly) until policies and procedures have been agreed and then once a year.
- Report at least annually to University SMT and University Audit Committee

Membership and Circulation of Minutes

Membership of the Group will provide expertise in the following key areas: risk management, legal and compliance, health and safety, estates and facilities management, Information Systems and records management, student services, marketing and communication and school management. The standing membership will include the following:

- Deputy Vice-Chancellor (Chair)
- University Secretary
- Head of Health and Safety
- Director of Estates and Facilities
- Deputy Director of Computing and Library Services (Head of Computing Services)
- Director of Student Services
- Director of Marketing and Communication
- School representation – Dean, Applied Sciences; School Manager, Human and Health Sciences

Visiting members may be invited and sub-groups formed to work on discreet areas of activity, including:

- Director of Human Resources;
- Director of Research and Enterprise;
- Director of Finance
- Head of Registry

Minutes of meetings will be shared with Risk and Asset Owners (Deans and Directors) with responsibility for Business Continuity within their School/Service. The Chair will provide reports to the University's Senior Management Team. Any policies to be implemented will require the approval of SMT (Schools and Services)

Appendix 3   University Hazard and Threat Matrix

	Hazard	Likelihood			Impact			Response triggers	Response actions	BC issues (impact if fails)
		Almost Certain	Possible	Rare	Major	moderate	Minor			
Major health incident (DVCO)	Pandemic/major health outbreak	X			X			Communicable disease notified by PHE	- Implement Communicable diseases protocol	Loss of staff and students Increased cleaning regimes (infection control)
Major weather incident (DofE&F)	Extreme weather events e.g. wind damage, flooding, or snow, disruption lasting more than 24hr		X			X		Reports of structural/building damage Weather forecasts	- Salvage operations - Source alternative accommodation - Communications Plan	Loss of buildings impact on office and teaching space Utility interruption – power supply Road/transport disruption impact on staff and students ability to get to campus
Major incident within UoH campus (DVCO)	Fire/serious building damage		X		X			Emergency services/Incident response team	- Building Evacuation then as above	Loss of buildings Impact on office and teaching space
	Utility failure e.g. power failure, loss of water	X			X			Incident response team	- Supply of generators Close buildings	Loss of facilities e.g. lifts Access to PC's equipment Welfare issues e.g. lighting, heating Loss of building(s)
	Terrorist attack		X		X			Police/Incident response	- Invacuation/evacuation/police led	Loss of buildings impact on office and teaching space
	Hostage situation		X		X			Police/Incident response	- Invacuation/evacuation/police led	Loss of buildings impact on office and teaching space
	Bomb threat	X				X		Police/ Incident response	- Invacuation/evacuation/police led	Loss of buildings impact on office and teaching space
	Leaks from hazardous materials		X		X			Emergency Services/Incident response team	- Emergency Management Plan	Loss of area of campus impact on office and teaching space
	Industrial action/student protests		X			X		Notification from Unions	- Manage situation	Loss of staff impact on teaching Loss of students attending lectures etc. Loss of buildings impact on office and teaching space
Major IT failure (DC&LS)	Loss of IT		X		X			IT – availability impaired	- IT DR plan activated	Access to information, data, communications, teaching materials, on line exams, assessments Web site, internet access
	Loss of mobile telephones		X		X			No telephone service	- Use landlines and email	Impact on communication
	Loss of land lines		X					No telephone service	- Use mobiles and email	Impact on communication
	Cyber-crime (major and successful)		X		X			Slowness and non-responsive IT systems	- Close down website	Loss of data, no access to IT
Major incident outside UoH campus (DVCO)	Off-site incident e.g. incident abroad or town centre incident		X		X			Contact via third party e.g. police, FCO	- Set up helpline - Communications Plan	Possible impact on service delivery Loss of staff and students Closure of campus
	No access to student accommodation		X		X			Contact via third party	- Rest centre provision - Alternative accommodation	Loss of students (return home) Private provider to have BC plans in place
	Fuel Shortage		X		X			Via media or local resilience forum	- Provide services remotely	Loss of staff (& students), impact of staff undertaking critical activities and getting to campus
	Collapse of major supplier or 'service provider'		X			X		Via media or 'notice period'	- Find alternative suppliers/providers	Impact on service delivery

POLICY SIGN-OFF AND OWNERSHIP DETAILS

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Related Policies/Procedures:	

REVISION HISTORY

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V1.0	May 2018	First major redraft under the new Policy Framework	Head of Health and Safety