



Emergency Response and Business Continuity Management Policy

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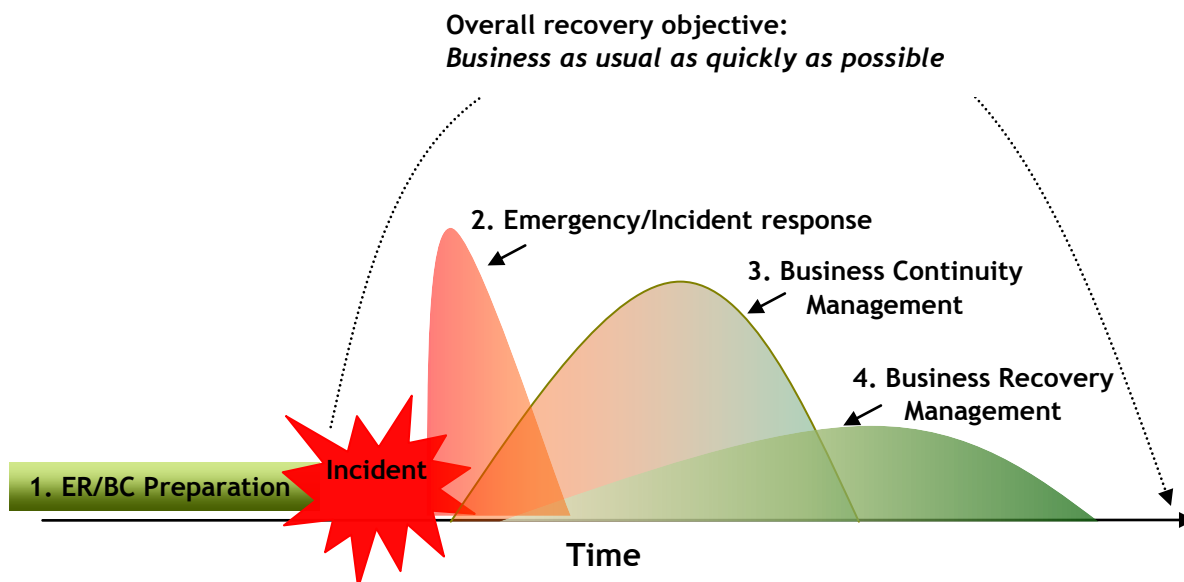
Date	Version	Author	Changes
<i>To be populated as document is altered and updated</i>			
Sept 12	4	M Richards	Included risks for staff/students working off Campus
Nov 12	5	M Richards	Changed title as BR is now included in BCM

University of Sussex Emergency Response and Business Continuity Management Policy

1. Introduction

Business Continuity Management (BCM) is a holistic process that identifies potential threats to the University of Sussex and evaluates the potential impact these adverse events would have on the University's objectives and operation if they were realised. The emergency response (ER) phase focuses on the protection of life and University property and assets. The BCM strategy ensures plans are in place to allow the University to deliver its objectives during a period of business interruption and the business recovery management (BRM) plan should identify the activities necessary to allow the University to return to 'business as usual' as quickly as possible. The ER/BCM/BRM process provides a framework for building resilience and the capability to respond effectively to business interruptions.

The diagram below illustrates the University of Sussex's concept of business ER / BCM / BRM:



- 1.1 The Emergency Response (ER), Business Continuity (BC) and Business Recovery (BR) Planning activities take place before a business interruption.
- 1.2 Depending on the nature of the incident or business interruption, an emergency response may be required as soon as it occurs. Individual University schools and services should have detailed emergency response plans in place (eg. for building evacuation or dealing with a hazardous substance release/pollution incident). Where appropriate, a Local Incident Management Team (LIMT) should be constituted to deal with such emergencies.

The University also has a responsibility for the health and safety of persons:

- a. working on the University's behalf or;
 - b. engaged in activities related to their study,
- and who may be working or studying off Campus.

The Schools or Services responsible for these persons must have emergency procedures in place to ensure that:

- there are plans in place to address emergencies involving or affecting staff and students working or studying off Campus;

- they can make contact with persons working or studying off Campus - the whereabouts of such persons must be known to the responsible person in the University who authorised the trip, study or work placement and contact arrangements must be in place prior to travel;
- persons working or studying off Campus know what action to take in the event of a range of reasonably foreseeable emergencies;
- the emergency contact in the University knows what advice to give to the persons working or studying off Campus during emergencies and also knows the correct actions to take once aware of the emergency.

1.3 In acute emergencies (crises), once persons are accounted for, casualties dealt with and the situation has been assessed and contained (if possible) then the Business Continuity Plan (BCP) should be invoked by the University Incident Management Team (UIMT), with central support from the appropriate University body. In some 'slow-burn' business interruptions, with no emergency phase, the BCP will be invoked as soon the interruption occurs or it is known that it will occur. The fact that the ERP/BCP has been invoked should be communicated to the University's Vice-Chancellor's Executive Group.

1.4 If dealing with a crisis, once the emergency phase of the operation is over, and service levels have been restored as much as possible, the recovery of the work environment, personnel and processes necessary to regain business as usual (BAU) should begin. Schools and services should ensure that a plan for business recovery is included in their business continuity plan.

2. Purpose and Objectives

The purpose of this policy is to formalise the Emergency Planning and Business Continuity programme of the University of Sussex and to provide guidelines for developing, maintaining and exercising Emergency and Business Continuity Plans (EPs & BCPs).

This policy establishes the basic principles and framework necessary to ensure emergency response, resumption and recovery, restoration and permanent recovery of the University's operations and business activities during a business interruption event.

The policy objectives are to have arrangements in place to identify and control risks to:

- the lives of persons affected by emergency situations;
- the safety of persons working or studying abroad on University business;
- the buildings, assets and infrastructure of the University;
- the interests of key stakeholders;
- the environment;
- the continuity of teaching, research and commercial activities; and
- the reputation and brand of the University.

3. Scope

This policy applies to all University of Sussex staff, facilities and support systems at all locations.

There are many possible causes of business or service disruption. As a general guide, emergency response, business continuity and business recovery planning must be carried out to minimise the effects of a number of potentially disruptive events, for example:

- National disaster, epidemic or terrorist attack;
- Fire, flood, extreme weather conditions;

- Major spill or accidental release of hazardous substances;
- Loss of supply chain;
- Loss of utilities, including IT and telephone systems;
- Industrial and student action;
- Major disruption to staffing: epidemic, transport disruption, industrial action, mass resignations.

It must be understood that these events may not be mutually exclusive, for example extreme weather may lead to loss of electricity, disruption to transport, staff unable to get to work and so on.

The causes and consequences of a business interruption could be very local in nature, such as a fire rendering only a single building or service inoperable, but some are national, international or global, such as a strike, earthquake or pandemic. In these cases, business criticalities such as the supply chain must also be considered.

4. Policy Statement

Emergency response and business continuity policy and planning are fundamental to ensure against organisational and reputation risks to the University of Sussex arising from incidents and business interruptions.

All University central management functions, schools, services, associates and support groups must be aware of the actions to take in emergencies. Where appropriate, schools and services must also develop, exercise, test and maintain plans for dealing with emergencies and the resumption and recovery of business functions and operating resources. Resumption and recovery plans must be based on a risk assessment that considers potential losses due to the unavailability of service(s) versus the cost of resumption. These plans shall anticipate a variety of probable scenarios ranging from local to regional crises.

Business continuity policy and planning complement emergency response and crisis management in recognising that the University's staff and students are its most important asset and ensuring that the University is able to continue critical business processes in spite of an emergency or to resume them before their unavailability disrupts the work of the affected University sector(s) or the University itself.

5. Glossary of Terms

- **Business continuity plan (BCP)** - a documented collection of information and procedures that is developed and maintained in readiness for the affected area of the University to implement when threatened with service interruptions/disruptions and which allows it to continue to deliver its critical services at an acceptable pre-defined level. The impact of foreseeable interruptions on the work of the University, school or service should be determined by business impact analysis.
- **Business impact analysis (BIA)** - process of analysing business functions and the effect that a business/service interruption may have on them
- **Business or service interruption or disruption** - an anticipated (eg. student protest or extreme weather event) or unanticipated (eg. building fire or loss of power) incident or event which causes an unplanned, negative deviation from the normal business processes and services, with potentially adverse consequences for the delivery of the University's objectives.
- **Business Recovery (BR)** Recovery is the key to getting the University back to normal operation as soon as is practicable. The personnel and strategies required to effect

recovery may change with the nature of the business interruption. The requirements for BR will be determined by the BIA and risk assessment.

- **Crisis** - A Crisis is defined as 'a time of acute danger or difficulty', a 'turning point'. It may involve an event that has outstripped the ability of an LIMT to manage or may have extended to include areas of the University occupied by other Schools. A Crisis may impact beyond the University or be an external event which adversely impinges onto the University.
- **Critical activities** - those activities which enable the University to meet its most important and time-sensitive objectives.
- **Emergency Response and Business Continuity Coordinator** - locally appointed member of staff who will assist with the development, maintenance and exercising of the emergency response and business continuity plan.
- **Emergency Response Plan (ERP)** - The plan in place to deal with sudden, unplanned and unwanted incidents that could threaten the health and safety of the staff, students and others on University premises or working/studying off Campus on University business. The ERP identifies the people, actions and resources necessary to allow the University, schools and services to respond to internal and/or externally generated hazards. Potential hazards will be determined by risk assessment.
- **Exercise** - activity in which the ERP or BCP, or an aspect of these, is rehearsed to ensure it is fit for purpose and produces the desired result when put into effect.
- **Incident** - Incidents are events such as spillages, floods, fires and explosions that generally happen quickly, unexpectedly and demand immediate action. Although incidents can be major and serious they do not generally have serious ongoing implications for the whole business. They may or may not cause business interruption. Events like these can usually be handled by the Local Incident Management Team (LIMT).
- **Local incident management team (LIMT)** Comprises members appointed by the Management of the School from across the various operations within the School. It is responsible for drawing up and maintaining an Emergency Response Plan. The LIMT will operate autonomously in the event of an incident.
- **Incident controller** - a member of the local incident team or university incident management team who takes charge of the incident and who acts as the liaison with internal management or external bodies during the incident.
- **Invocation** - act of declaring that the BCP needs to be put into effect in order to continue delivery of key services.
- **Maximum tolerable period of disruption** - the longest period for which an interrupted or disrupted service could be unavailable or compromised without serious detriment to a sector of the University or to the University itself.
- **Recovery time objective (RCO)** - the target time set for the resumption of a service or a pre-established performance level after a disruption/interruption.
- **Resilience** - the ability of the University to resist being seriously affected by an incident or interruption.
- **Risk** - something that might happen and which will affect University objectives if it does. The **likelihood** of the risk event and the potential of its effect if realised (the **impact** of the risk) are usually multiplied to give the **magnitude** of the risk.
- **University Incident Management Team (UIMT)** - - The group of senior managers/key operators that deals with business disruptions, major Incidents and emergencies/ crises affecting the entire Organisation or which are beyond the coping strategies of an LIMT.

6. Roles and Responsibilities

Business Continuity and Recovery Management complement risk management and emergency planning arrangements in the University and many of the risk and emergency responsibilities of strategic and operational managers will already be documented in these policies. ER and BCM are not the sole responsibility of senior managers and all personnel with management and operational responsibilities should be involved in the ER/BCM process.

6.1 Responsibilities of the Vice-Chancellor's Executive Group

The VCEG is responsible for:

- Appointing one or more competent persons to oversee the development, implementation and application of this policy and related guidance;
- Endorsing this policy and making it extant in the University of Sussex;
- Ensuring that appropriate constituent parts of the University have developed emergency, business continuity and business recovery plans and that these plans are realistic and reflect the actual criticalities and interdependencies of individual business, school and service units; and
- Communicating University policy and information about emergency response, business continuity and business recovery management to all staff, subsidiary organisations, external partners and others who may be affected by University disruptions and subsequent business continuity actions.

6.2 Responsibilities of the University Incident Management Team (UIMT)

Each member of the UIMT has a set of pre-defined roles and responsibilities identified in the University emergency response and business continuity plans. The work of the team is supported by the Emergency Planning and Business Continuity Manager. The team/team members will:

- monitor incidents in schools and services, and/or incidents that may affect their staff and students working or studying off Campus, and be prepared to act in case incidents escalate into more serious events;
- take steps to contain the incident (without putting themselves at risk) whilst awaiting the arrival of the emergency services;
- decide which persons and services will be mobilised to manage emergencies that are likely to affect multiple parts of the University;
- decide whether to set up an incident control room in order to manage an emergency;
- liaise with the emergency services;
- take details of injuries and provide next-of-kin details;
- take action to provide for the welfare of staff and others who may be affected during an emergency;
- keep a log of actions taken during an emergency;
- keep VCEG informed of the incident and the actions taken to deal with it;
- assess damage and contact insurers/loss adjusters
- decide and approve the invocation of the University BCP;
- work together during a business interruption and invocation of the plan to mitigate the adverse consequences of the business interruption and return the service to

business as usual (BAU) in line with the recovery time objectives identified in the plan;

- organise or facilitate business recovery activities;
- liaise with LIMTs and external bodies as determined by the particular business interruption and in accordance with the required actions identified in the ERP and BCP; and
- participate in ER/BCP tests and exercises.

6.3 Responsibilities of Heads of Schools and Services

Heads of Schools and Services are responsible for ensuring compliance with University policies. The degree to which Heads comply with the following arrangements will depend on the size and nature of the school or service and how embedded it is in another school or service's building.

Small schools and services which have been assessed as low risk should ensure they can follow the University's emergency plan and arrangements.

Schools and services in which there are higher risk materials or activities should develop detailed emergency plans detailing how these risks are controlled and the response to be taken in the event of an internally or externally generated emergency.

Schools and services which authorise persons to work or study off Campus should have emergency plans in place that detail how to maintain the health and safety of these persons in emergencies.

All heads of schools and services must ensure that their staff, students etc. are familiar with the emergency plan and know what to do in the case of an emergency.

Where identified as necessary by risk assessment of school or service activities, heads of schools and services have a responsibility to ensure that they:

- appoint a local incident management team;
- appoint a member of the team to act as the 'incident controller'
- formulate emergency plans;
- regularly test the emergency plans through exercises; and
- maintain the plans to ensure they continue to be relevant and reflect realistic potential emergencies.

Heads of schools which have higher risk profiles and are dependent on specialised areas/materials such as labs and laboratory equipment and essential internal or external services must plan to deal with business interruptions. They must:

- appoint a member of staff to act as the business continuity co-ordinator;
- identify a group of staff who will coordinate the business continuity response;
- conduct business impact analyses and risk assessments;
- formulate business continuity plans;
- regularly test the business continuity plans through exercises;
- maintain the plans; and
- disseminate BCM information to staff and other stakeholders, encourage awareness of BCM and BR and ensure that individual and collective BCM responsibilities are understood.

Heads of schools and services where the provision of teaching and research relies on unique collections or resources must communicate the details of these to the University

Registrar. Schools/services should have local arrangements in place to safeguard essential, rare or unique materials or artefacts.

6.4 Responsibilities of the Local Incident Management Team (LIMT)

Each large school or service engaged in higher risk activities should have an LIMT, whose members are appointed by the Management from across the various operations within the School. These could be: the head of school or service, the school administrator, the local health and safety coordinator, local specialist safety advisers, local fire wardens and the premises assistant.

The team is responsible for:

- drawing up and maintaining emergency response plans;
- coordinating the response to incidents;
- operating autonomously in the event of an incident;
- keeping a log of actions taken during an emergency and reporting to the University Incident Management Team.

6.5 Responsibilities of Local Emergency Response and Business Continuity Coordinators (ER/BCC)

Large schools and services engaged in activities which have been identified as ‘higher risk’ will be expected to appoint an emergency response and business continuity coordinator.

The ER/BCC will, as appropriate:

- ensure that all local activities and dependencies are addressed by the plans;
- have administrative responsibility for the plans;
- coordinate routine updates to the detailed information supporting the emergency response and business continuity procedures (eg. risk assessments, contact lists, personnel assignments, hardware and software specifications, network diagrams, vital records, inventory lists, off-site backup schedules, etc.);
- coordinate electronic access to, and hard copy distribution of, the ER and BC plans and procedures;
- ensure relevant persons are aware of the plans and their role in any post-disruption BR activities identified by the plans;
- protect the confidentiality, integrity and availability of the emergency response and business continuity plans and associated procedures;
- ensure that service agreements with other stakeholders, emergency services and business continuity service providers are agreed and in place;
- ensure that out-of-hours emergency responsibilities are addressed and understood; and
- ensure that any new or changed business or academic activities are subject to a business impact analysis and that possible emergencies arising from, or the consequences of disruptions to these activities are addressed by the plans.

6.6 Responsibilities of all staff

All staff must:

- ensure they are aware of the University Emergency Response arrangements

- make themselves familiar with their individual roles as set out in this policy and procedure;
- use the normal back-up processes of the University and good working practices to prevent loss of data or research samples, artefacts, etc;
- make themselves familiar with their individual roles as set out in Individual school and service emergency response and business continuity plans; and
- attend ER/BCP training and exercise sessions as required.

7. Training

- Staff involved in emergency response and business continuity/recovery management will be offered training;
- Persons taking on the roles of incident controllers and business continuity coordinator will be offered specialised training and given assistance to develop plans and exercises.

8. Reporting

All incidents requiring invocation of the Emergency Plan should be reported on the University's incident reporting system

9. Monitoring

The effectiveness of the policy will be monitored via audit and post exercise/test analysis. The policy will be reviewed every three years or as the result of the findings of investigations into unplanned incidents and emergencies, and how they were handled.

10. Use of templates to build Emergency Response and Business Continuity Plans

This policy is supported by guidance on developing emergency response and business continuity plans. Additionally, templates for:

- emergency response planning risk assessments;
- business impact analysis, risk assessment and mitigation strategies, and
- business recovery activities

can be found in the appendices to the emergency planning and business continuity planning guidance documents.

Each central management function, school, service and support group is required to carry out an analysis of their unique hazards and vulnerabilities. High risk and business critical areas should also assess their core functions using the templates in the Business Continuity Guidance as a guide. They can then complete their emergency and business continuity plans which should detail the strategies for dealing with and recovering from the significant risks identified.

11. Review

Schools and services business impact analysis, risk identification and business continuity plans must be reviewed and revised after an invocation of the plan or at least annually. They should also be subject to review and revision if there is a major service development or change to activity.

12. References:

BSI (2006) BS 25999-1:2006: *Business Continuity Management, Part 1: Code of Practice*, London, BSI.

BSI (2007) BS 25999-2:2007: *Business Continuity Management, Part 1: Specification*, London, BSI.

BCI (2008) *Good Practice Guidelines* Business Continuity Institute
HEFCE (2008) *Planning for and Managing Emergencies*.