



## Business Continuity Management Policy and Framework

Version:	7
Produced by:	University Business Continuity Manager with the assistance of the Business Continuity Operational Group
Date Produced:	11 <sup>th</sup> March 2010
Approved by:	Business Continuity Steering Group (14 December 2010)
Updated:	5 July 2010, 14 December 2010, 19 May 2011, 5 April 2012, 21 September 2012, 3 January 2013, 30 January 2014

This document consists of

- Policy Statement: outlining the approach of the University to Business Continuity Management (BCM)
- Operational Framework: explaining the management of the University's BCM Programme and the roles and responsibilities of those involved in the delivery of the programme

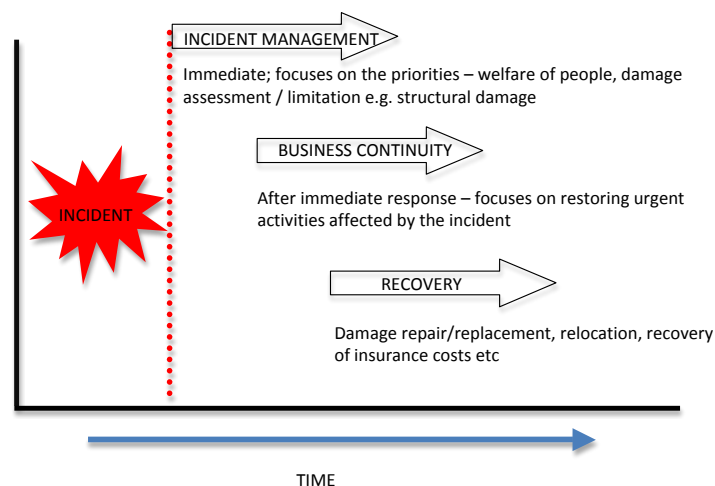
The Business Continuity Operational Group will review the Policy and Framework on an annual basis; it will also be reviewed when significant changes occur within the University. The Business Continuity Steering Group is responsible for formally approving this document and it will be re-issued when revisions are made. This document is intended for to all staff at the University.

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## Introduction

Business Continuity Management (BCM) is a process that enables the University of Sheffield to proactively identify and plan to minimise the impact of risks that could affect its objectives, operations and infrastructure. BCM provides the capability for the University to ensure continuity of teaching and research, together with support for its students, staff, departments and faculties following any disruptive event. Whilst the University does not have a statutory duty to undertake BCM, it is a business imperative; also the University has legal and moral responsibilities for staff, students and visitors and recognises the importance of this process in ensuring it can continue its urgent activities after a disruption and to protect its reputation as a leading university in the UK.

The Business Continuity process starts with “Incident Management” – for which the University also has a Major Incident Plan - as illustrated below<sup>1</sup>:



The University of Sheffield has defined two types of incident:

**1. Minor incidents** are interruptions / disruptions that are sufficiently disruptive to require the implementation of business continuity arrangements. They can be addressed by a departmental response - using business continuity plans. They are smaller scale events, affecting one or a small number of departments e.g. a localised computer virus, a minor power cut for a short period etc. However sometimes minor incidents can become major incidents.

**2. Major incidents** require the implementation of the University's Major Incident Plan, when they meet the plan's criteria of causing serious harm to staff, students, the University community, property or its reputation. This plan is focused on larger scale events e.g. a national emergency, a power cut affecting the campus etc. Using the power cut example, the Major Incident Team (MIT) would focus on the immediate priorities i.e. the welfare of people and the safety / security of buildings. In addition, a business continuity response would be required in terms of how the University would continue its urgent functions – those that need to be recovered first - and the Major Incident Team may require sub group/s to deal with specific issues.

<sup>1</sup> This diagram is intended to show the considerations after an incident - the timescales may change and in reality there may be overlap between phases e.g. the business continuity stage could start earlier.

## **Policy Statement**

### Aim and Objectives

Business Continuity Management is concerned with improving the resilience of the University of Sheffield. This means developing its ability to detect, prevent, minimise and where necessary deal with the impact of disruptive events. In the aftermath of an incident it will enable the urgent or priority activities of the University to continue; in the longer term it will help the University to recover and return to “business as usual” as soon as possible. The University of Sheffield aims to develop, implement and resource a BCM Programme that will enable it to respond to and manage any disruptions that occur.

The Business Continuity Management Programme has the following key objectives:

- To raise the profile of BCM within the University of Sheffield. This will include arrangements to make staff aware of plans, their roles in them and are trained appropriately
- To identify urgent or priority (time critical) activities across the University and develop suitable business continuity arrangements for them
- To establish defined structures to plan for and respond to incidents
- To have ongoing BCM arrangements that are subject to regular reviews, audits and exercises
- To develop and review the Programme for continuous improvement, with reference to best practice, such as the Business Continuity Institute’s Good Practice Guidelines and ISO22301<sup>2</sup>
- To embed Business Continuity into the culture of the University so it becomes an integral part of decision making

### Scope

It has been agreed that the scope of the Business Continuity Management Programme will operate across the Institution, covering the five Faculties, all departments within them and Professional Services based in Sheffield. CiCS will remain responsible for specific Disaster Recovery arrangements relating to the recovery of IT servers/applications that they operate.

The University of Sheffield works with a number of partner institutions to deliver its services and a risk-based approach will be adopted in terms of the University’s expectations on these organisations, focusing on those for which the University has primary responsibility for the building and would be considered the greatest risk.

The BCM Programme is focused on protecting and recovering the critical activities of the University and links to the aim of the University outlined in “Our Shared Vision” of being firmly positioned amongst the world leading universities, internationally recognised for both its teaching and research. Therefore a priority activity is one that would impact on the reputation of the University or have a serious impact on the finances or customers of the University if it was not performed or resumed within an appropriate defined period. This definition includes some activities in the following areas: teaching (including assessment), research, services provided to students and support services such as IT, HR and Estates.

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<sup>2</sup> ISO22301:2012: Societal Security, Business continuity management systems - Requirements

## **Operational Framework**

### Management of the Business Continuity Management Programme

- The Programme will follow the Business Continuity Lifecycle set out in ISO22301 and will align<sup>3</sup> itself as considered appropriate with the requirements of the Standard
- Whilst Faculties may oversee planning, it is expected that all University departments will go through the Business Continuity process. This will involve identifying their priority activities, the resources required and appropriate arrangements in the event of a disruption
- The Programme will be co-ordinated by the University Business Continuity Manager, however individual departments will be expected to nominate appropriate people to co-ordinate the development of their department's Business Continuity arrangements
- All documentation will be reviewed as a minimum on an annual basis, and will also be updated when there are significant changes to personnel, premises, suppliers etc
- Exercises of Business Continuity Plans will be held on an annual basis
- Training and awareness will be a key and ongoing part of the Business Continuity Management Programme

## **Roles and Responsibilities**

### University Business Continuity Manager

The University Business Continuity Manager is responsible for co-ordinating the Business Continuity Programme on behalf of the University. This involves:

- Raising the profile of Business Continuity across the University as an ongoing responsibility and ensuring that information is available to staff (with the aim of embedding BCM into the activities of the University)
- Providing advice and assistance throughout the BCM process
- Developing appropriate templates for the University to detail its arrangements, ensuring consistency in the Programme with flexibility to recognise the differences across faculties and departments
- Supporting departments in completing the documentation from a Business Impact Analysis (BIA) to developing a Business Continuity Plan (BCP)
- Assisting in the development of overarching plans/arrangements to support departmental plans
- Ensuring that the University's arrangements are regularly reviewed and exercised
- Providing training to appropriate staff and leading on the development of corporate exercises to review arrangements that have been put in place
- Monitoring the level of Business Continuity planning in the institution and reporting to the Business Continuity groups on this
- Reviewing the Programme to ensure it remains fit for purpose and to continuously improve the arrangements in place

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<sup>3</sup> "Alignment" to the standard has not been officially defined, but the University of Sheffield has interpreted it as following the principles of the standard and adopting practices that fit with the approach of the institution

### Business Continuity Lead

The Registrar and Secretary is the lead for Business Continuity across the University. This involves:

- Being the “champion” in terms of business continuity at strategic level by endorsing and supporting the Business Continuity Management Programme
- Assisting with raising the profile of Business Continuity at a strategic level
- Chairing the Business Continuity Steering Group
- Reporting on the BCM Programme and the state of readiness to University Executive Board

### Business Continuity Steering Group (BCSG)

As the senior decision making group, the Business Continuity Steering Group is responsible for:

- Supporting and endorsing the BCM Programme and awareness raising regarding Business Continuity with the aim of embedding it into the culture of the University
- Ensuring there is a consistent approach to Business Continuity across the University, in accordance with the Programme
- Supporting the continuous improvement of the Programme
- Approving recommendations from and allocating actions to the Business Continuity Operational Group as appropriate
- Ensure that a risk assessment approach is taken in the development of arrangements

### Business Continuity Operational Group (BCOG)

The Business Continuity Operational Group is the tactical group and will be responsible for:

- Making recommendations to the Business Continuity Steering Group regarding the BCM Programme and taking forward actions on its behalf
- Assisting with the review and development of the Business Continuity Management Programme and support continuous improvement of the Programme including
  - Updating this Business Continuity Policy as appropriate
  - Receiving status reports on Business Continuity and identifying any actions
  - Identifying cross cutting issues and co-ordinating planning including prioritising actions from BCSG, incidents, exercises etc.
- Supporting the Business Continuity Manager in raising the profile of Business Continuity by ensuring that the departments in Faculties and Professional Services are engaged
- Supporting the exercising of plans to ensure that they remain up to date and fit for purpose
- Ensuring there is a consistent approach to Business Continuity across the University, in accordance with the BCM Programme
- Leading on the development of the University’s Incident Management planning arrangements including the review and development of the Major Incident Plan, reporting on the arrangements in place and ensuring the plan is exercised on an annual basis (unless a major incident occurs that has “tested” arrangements in the plan)
- Acting as Business Continuity Representatives for the department/Faculty that they represent (their responsibilities are outlined below)

#### Business Continuity Representatives (Faculty/Professional Services department level)

The role of the Business Continuity Representative is to assist the University Business Continuity Manager in “championing” BCM by:

- Acting as a single point of contact within the Faculty / department for Business Continuity issues
- Being able to explain how it works, the benefits of undertaking it and ensuring that the faculty / department is engaged with the process
- Acting as a conduit for any queries / issues raised
- Providing feedback on progress either directly at BCOG (if a member) or through the BCOG member for the department / Faculty

#### Business Continuity Co-ordinators (Department level)

The Business Continuity Co-ordinators are the people nominated to lead on Business Continuity for a specific department. They also require a deputy. It is expected that this will be the Head of Department (or appropriate deputy.) This will include:

- Attending relevant training and awareness sessions to develop knowledge and understanding of Business Continuity Management
- Completing the required documentation, with assistance/involvement from other members of the department
- Ensuring Business Continuity documentation remains fit for purpose and up to date
- Attending corporately run exercises and participate/lead in the running of exercises for the individual department as appropriate
- Attending, participating and sometimes leading debriefs and other events as required to review and test the plan
- In some instances the Co-ordinator will also be the Business Continuity Representative

#### Staff

It is important that everyone at the University is aware of the BCM Programme. Staff should be aware of any arrangements in their department’s plan that may affect them e.g. how they will be contacted / notified of an incident, where they should report to if they are not able to access their usual place of work etc.

## **Links to Other Areas**

### Risk Management

Business Continuity Management and Risk Management work closely together, as both are concerned with good governance and raising awareness about risks. However the focus of the two areas is different; Business Continuity Management is only concerned with managing those risks that could cause a disruption to the University's operations - sometimes termed as threats, whereas Risk Management has a wider remit. Also for each risk there is a potential opportunity. BCM can be used as a treatment of some risks identified in University risk registers and is noted on the University's Corporate Risk Register. Priority when developing business continuity arrangements should be given to treating threats identified as being most likely and having the greatest impact.

### Internal Audit

As part of the review and monitoring of the Programme, in addition to the reviews undertaken by the University Business Continuity Manager, Internal Audit has an important role in ensuring that the Business Continuity Management Programme achieves its objectives as set out in this document.

### Information Security

Information security covers the protection of all forms of information and is concerned with ensuring its confidentiality, availability and integrity. A key part of the Business Continuity process focuses on protecting against a potential loss of resources, including important information, thereby ensuring it is stored appropriately and remains available after a disruption. Information Security should be considered when developing alternative arrangements to store/access key information. The loss of University information – either by a loss of access to it or by someone else being able to access it - could have serious implications and dependent on the severity, would be classed as an incident at department level and also potentially for the University.

## Reporting Structure

