



# Business Continuity Policy

## Document Summary

This policy ensures that the University of Glasgow's Business Continuity Management arrangements are developed and implemented in a safe, prioritised and structured manner with the commitment of the senior management team.

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<b>Contents</b>	<b>Page</b>
Scope	3
Introduction	3
Principles	3
Strategic BCM aim	4
Strategic BCM Objectives	4
Statement of intent	4
Roles and responsibilities	5
Incident reporting and Debriefing	8
Insurance	8
Procurement	8
Governance	8
Training, awareness, exercising, maintaining and review	8
Monitoring compliance with this document	9
References	9
Appendix A – Definitions	10
Record of Amendments	11
Abbreviations	12

## **1. Scope**

This document applies to all four Colleges and University Services (herein referred to as “Colleges and Services”) within all of the University of Glasgow (herein referred to as “the University”) sites with the exception of the International estate.

Each Business Area will formulate their own scope for their Business Continuity Plans (BCP(s)), taking into account this document and associated guidance. Subject to approval by the Business Continuity Governance Board (BCGB) at Strategic level, each Business Area may exclude parts of their operations that they consider fall outside the scope of their BCP’s provided that such exclusions are documented and do not negatively impact on the University’s ability to deliver its Themes.

This policy does not seek to replace or supersede existing relevant policies or planning (e.g.’ site-specific documents). Instead, it advocates the use of existing risk registers and appropriate incident reporting mechanism’s and will link closely with policy on the University’s Emergency preparedness activities.

## **2. Introduction**

The aim of having a Business Continuity Management System (BCMS) is to ensure that the University is able to maintain its activities in the face of disruptive challenges. Therefore, all Colleges and Services are expected to prepare, exercise, maintain and review BCP’s based on the principle that each business area should be able to maintain its own critical activities which are key to contributing to the Strategic intention of the University.

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

## **3. Principles**

The University’s Business Continuity (BC) planning is devised to deal with the impact(s) of an event/situation/disruption as opposed to addressing the potential causes and such BC arrangements are crucial to the successful management of the University.

The strategic responsibilities for BC rest with the Secretary of University Court and are governed by the BCGB, however the viability of the University’s BCMS is determined by the commitment and ownership demonstrated by Colleges and Services.

The University’s BCGB through its Business Continuity Officer (BCO) will ensure that BCP’s are reviewed at least annually, or earlier if subject to significant change and that any new system or activity has documented BC procedures that augment wider Business Area planning.

The University through its BCO will provide adequate education and training as well as testing and exercising to validate its plans at regular intervals to ensure awareness of the requirements of this policy.

On completion of BCP’s they should be stored securely with both an electronic and hard copy available locally as well as utilising existing software within the resilience portal of the University Intranet and properly version controlled by the BCO.

BC planning is a dynamic, iterative, composite process, which allows for further development and adaptation as circumstances change or risks evolve.

#### **4. Strategic BCM Aim**

To develop, implement and manage a robust and effective BCMS to protect University operations, including its staff, students, visitors and contractors where reasonably practicable.

#### **5. Strategic BCM objectives**

The University's strategic business continuity objectives are to:

- Provide a framework for the development, implementation and monitoring of a Business Continuity Management System (BCMS).
- Identify, assess and minimise business continuity risk.
- Ensure that a three-tiered (Operational/Tactical/Strategic) BCMS adequately addresses planning, processes, training and continuous improvement to manage disruptions that may affect the University or its interests.
- Support the delivery of the University Strategy.
- Safeguard the University's reputational integrity.
- Raise awareness of Business Continuity and the interdependencies between Teaching, Research and University Services.
- Recognise the Civil Contingencies Act 2004, its non-statutory guidance and align with the International standard for business continuity, BS ISO 22301:2012 and its guidance, BS ISO 22313:2012.

#### **6. Statement of Intent**

The University is committed to developing, implementing and managing a robust and effective BCMS as a key mechanism to:

- Ensure a formal, consistent, co-ordinated and cost effective approach to the continuity of its teaching, research and logistical activities within the Higher Education environment.
- Identification of the critical activities of its Business Area activity via robust Business Impact Analysis (BIA) and Risk Assessment (RA)
- Protection, maintenance and recovery of Business Area critical activities as recognised in relevant BIA.
- Developed BC plans will ensure continuity of activities at a minimum acceptable level and within specified timeframes.
- Develop a culture of Business Continuity Management (BCM) that feeds into the University's planning and management processes.
- Maintain the confidence of staff, students and visitors.
- Protect and uphold the reputation of the University and manage an up to date and relevant BCMS.

The BCGB through the leadership of the secretary of university court will endorse and empower the development of a strong BC culture, which is an essential ingredient to providing an effective BCMS.

The University through its BCO will implement a programme of training, exercises, maintenance and review, which will be delivered through an annual work plan.

Directors of Services, Schools and Institutes will ensure that nominated Business Continuity Coordinators (BCC) maintain BC plans for critical activities within their areas of responsibility.

The development of the University's BCP's will incorporate the following:

- British Standards Institute, 2012. ISO 22313 Societal Security – Business Continuity Management Systems – Guidance.
- British Standards Institute, 2012. ISO 22301 Societal Security – Business Continuity Management Systems – Requirements.

BCC's will maintain and review BC Plans including the Business Impact Analyses on an annual basis or sooner if significant change is required due to circumstances.

All staff expected to respond to a disruption working for and on behalf of the University must be aware of the BCP appropriate for their areas of business and their role in preparation for an event/disruption.

## **7. Roles and Responsibilities**

This section outlines the roles and responsibilities for relevant staff in respect of BCM.

### **7.1 Principal**

The Principal has overall responsibility for Business Continuity Management within the University however delegates this Strategic responsibility to the Secretary of University Court to ensure implementation of this policy throughout the University estate. The secretary of University Court chairs the Business Continuity Governance Board.

### **7.2 Business Continuity Governance Board**

The Business Continuity Governance Board will:

- ensure appropriate structures are in place to implement effective Business Continuity arrangements
- monitor the implementation of this policy
- raise issues of resource necessary for the adequate control of severe BC risks at the appropriate budgetary forums

### **7.3 Director of Health, Safety and Wellbeing**

The Director of Health Safety and Wellbeing has Tactical and Operational responsibility to implement the requirements of this policy and that:

- the BCGB is provided with reasonable assurance or is kept informed of any significant business continuity risks and any associated significant developments, concerns or issues.

- There is specialist advice on business continuity matters via the Business Continuity Officer and that this is available to the University's Colleges and Services
- There is appropriate documentation identifying policy and guidance
- With the director of finance, ensuring financial support is available if BC arrangements are invoked

#### **7.4 Business Continuity Officer**

The Business Continuity Officer is responsible for the development and implementation of the Business Continuity Management System, advising on compliance with non-statutory guidance and working in partnership with IT Services Division and will:

- Provide specialist advice and guidance on BCM issues including the co-ordination, development, implementation and review of BC plans, processes and procedures
- Provide accessible reference data by way of the recognised University Intranet system.
- Meet with identified Business Area representatives to establish routine and structure as well as the review of business Impact analysis and plans on an annual basis or when necessary
- Work in partnership with Head of Security where necessary to risk assess current and future threats identified through horizon scanning and intelligence gathering
- Co-ordinating annual update of departmental BC plans
- Embed a Business Continuity culture through communication and the provision of awareness sessions, training and exercises to staff, according to their roles and needs
- Facilitate training, tests and exercises
- Audit compliance of BC plans
- Provide recommendations and other management feedback as appropriate
- Represent the University in the wider Higher Education Business Continuity arena

#### **7.5 Local Business Continuity Management Teams**

As part of the planning and response arrangements for any incident necessitating the invocation of BC plans, critical business stream representatives and coordinators roles will be nominated by the Directors of University Services and Directors of College Professional Services.

These individuals having taken part in workshops to understand the methodology behind the preparation of Business Impact Analysis and Risk Assessment will form the teams which will effect the BC response upon the occurrence of an incident and conduct the annual review of arrangements pertinent to their Business Streams.

#### **7.6 Emergencies Response Co-ordinating Group (ERCG)**

Upon the occurrence of a disruptive event involving wider consequences across the University estate, it may be necessary to escalate the response. The University ERCG, whose

representatives are pre-determined from across the University Services, and invited from the Teaching and Research estate affected, will convene to provide leadership, Co-ordination, communication and decision making during such a disruptive event.

A nominated individual will be identified to represent the University during multi-agency coordination of emergency response.

## **8. Incident reporting and debriefing**

Business continuity incidents should be reported if the appropriate criteria are met (criteria for reporting is contained within the associated guidance manual) and debriefs co-ordinated to ensure that learning and review informs continuous improvement.

## **9. Insurance**

As part of the Risk Assessment, development, implementation and review of Business continuity plans any decision to treat, tolerate, terminate or transfer risk for indemnification purposes must be documented and appropriate consultation sought with the insurance and risk manager.

## **10. Procurement**

The University has a number of suppliers and partners on whom it relies upon to provide a continued service. In order to minimise any risk of disruption by failure to supply a product or service, suppliers and partners identified as critical in the relevant Business Impact Analysis will be requested to provide assurances that they have BC arrangements in place. Any organisation tendering for University contracts may be asked to complete a BC planning questionnaire.

Those responsible for commissioning or procuring goods or services from external suppliers should consult contracts management colleagues to ensure contracts and/or service level agreements contain the appropriate clauses in respect of business continuity.

## **11. Governance**

A Business Continuity Governance Board will convene quarterly to oversee the implementation and monitoring of the University's BCM Strategy. This group will be chaired by the secretary of University Court and comprise a membership of cross-university representation and suitable ex-officio members as detailed in the terms of reference.

## **12. Training, Awareness and Exercising Maintenance and Review**

BC plans are to be validated at regular intervals to determine whether any changes are required to procedures and responsibilities. Planned review periods should not exceed 12 months.

The Business Continuity Officer will:

- Develop or source a suitable programme of training in BCM and BC risk management.
- Identify appropriate levels of training and awareness for BC Coordinators, to enable cascade through their areas of activity to effect a strong BC culture across the University.
- Organise exercises of the BC Plans, and advise on local exercising arrangements
- Prepare and monitor the annual resilience work/ action plan.

### 13. Monitoring compliance with this document

The table below outlines the University's monitoring arrangements for this policy document. The University will commission additional work or change the monitoring arrangements to meet organisational needs.

Aspect of compliance or effectiveness being monitored	Monitoring method	Individual responsible for monitoring	Frequency of monitoring activity	Group /Committee which will receive the findings/ monitoring report	Group/committee/individual responsible for ensuring that the actions are completed
Policy Cohesion	Peer review	Business Continuity Officer	Annually	Business Continuity Governance Board	Director, Health, Safety and Wellbeing

### 14. References

- The Business Continuity Institute good practice guidelines 2013 global edition. A Guide to Global Good Practice in Business Continuity.
- British Standards Institute, 2012. ISO 22313 Societal Security – Business Continuity Management Systems – Guidance.
- British Standards Institute, 2012. ISO 22301 Societal Security – Business Continuity Management Systems – Requirements.
- British Standards Institute, 2011. PAS 200: 2011 Crisis Management. Guidance and good practice.
- British Standards Institute, 2011. PD 25111; 2010 Business Continuity Management – Guidance on the Human aspects of Business Continuity.
- British Standards Institute, 2011. PD 25222; 2011 Business Continuity Management – Guidance on supply chain continuity.
- British Standards Institute, 2011. PD 25888; 2011 Business Continuity Management – Guidance on organisational recovery following disruptive incidents.
- Data Protection Act 1998
- Protecting Scotland

## **15. Appendix A - Definitions**

### **Business Continuity Management System (BCMS)**

An ongoing Management and governance process supported by the University Senior Management Team and appropriately resourced to implement and maintain Business Continuity Management.

### **Business Continuity Management (BCM)**

The holistic management process that identifies potential threats to the University and provides a framework for building resilience and the capability for an effective response that safeguards the interests of its Colleges and Services, reputation and value creating activities.

### **Business Continuity (BC)**

The capability for the University to plan for and respond to incidents and business disruptions in order to continue business operations at an acceptable predefined level.

### **Business Continuity Incident (BCI)**

An event or occurrence that disrupts an organisations ability to deliver normal service and where contingency arrangements are required to return them to an acceptable level.

### **Business Continuity Governance Board (BCGB)**

A strategic level group convened by the Secretary of University Court to direct the University's Business Continuity Management System

### **Business Continuity Plan (BCP)**

A clearly defined, documented and predetermined plan for use when business operations are disrupted by an event. Typically, the plan covers loss of premises, information, people, stock or other technologies.

### **Business Impact Analysis (BIA)**

The process of analysing business activities which support wider organisational products and services, determining threats and risks and the effect business disruption may have on organisational viability

### **Risk**

Identification of potential vulnerability based likelihood and impact.

### **Risk Assessment (RA)**

The overall process of risk identification, analysis and evaluation

### **Maximum Tolerable Period of Disruption (MTPD)**

The point at which an organisations viability will be irrevocably threatened if the critical activities cannot be resumed.

### **Recovery Time Objective (RTO)**

The target time for the resumption of a critical activity after an event.

**RECORD OF AMENDMENTS**

This record should be completed following approval of each amendment.

Date	Version	Page	Section	Description of change	Requested By	Approved by	Date Re-issued

Abbreviations	
BC	Business Continuity
BCM	Business Continuity Management
BCMS	Business Continuity Management System
BCGB	Business Continuity Governance Board
BCP	Business Continuity Plan
BCO	Business Continuity Officer
BIA	Business Impact Analysis
BS	British Standard
RA	Risk Assessment
RR	Risk Register
DPA	Data Protection Act 1998
FOIA	Freedom of Information Act 2000
ISO	International Standardisation Organisation
ISO 22301	Societal Security - Business continuity management systems – Requirements
ISO 22313	Societal Security - Business continuity management systems – Guidance
IT	Information Technology
ICT	Information and Communications Technology
RTO	Recovery Time Objective
MTPD	Maximum Tolerable Period of Disruption

[BCM Toolkit](#)