

BUSINESS CONTINUITY MANAGEMENT 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).

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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 Schools 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 School and Service 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.

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	<ul style="list-style-type: none"> • University Emergency Management Team Co-ordinator • Owner of the University's Major incident plan and business continuity framework (appendix 4)
Business Continuity Management Group	<ul style="list-style-type: none"> • To oversee programme and policy work development • See Appendix 2 for terms of reference
Deans of Schools, and Directors and Heads of Service	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Responsibility for identifying and sourcing alternative accommodation for teaching and office space, if required (See Appendix 1 for more details to add) • Security • The estate and facilities
Director of Marketing & Communications	<ul style="list-style-type: none"> • Responsibility for maintaining an Incident Communications Response Plan, for effective communication with staff, students and other stakeholders
Director of Computing and Library Services	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Responsibility for arranging the provision of essential student services during and following an emergency.
Director of Finance	<ul style="list-style-type: none"> • Responsibility for managing emergency expenditure and liaison with the University Insurers

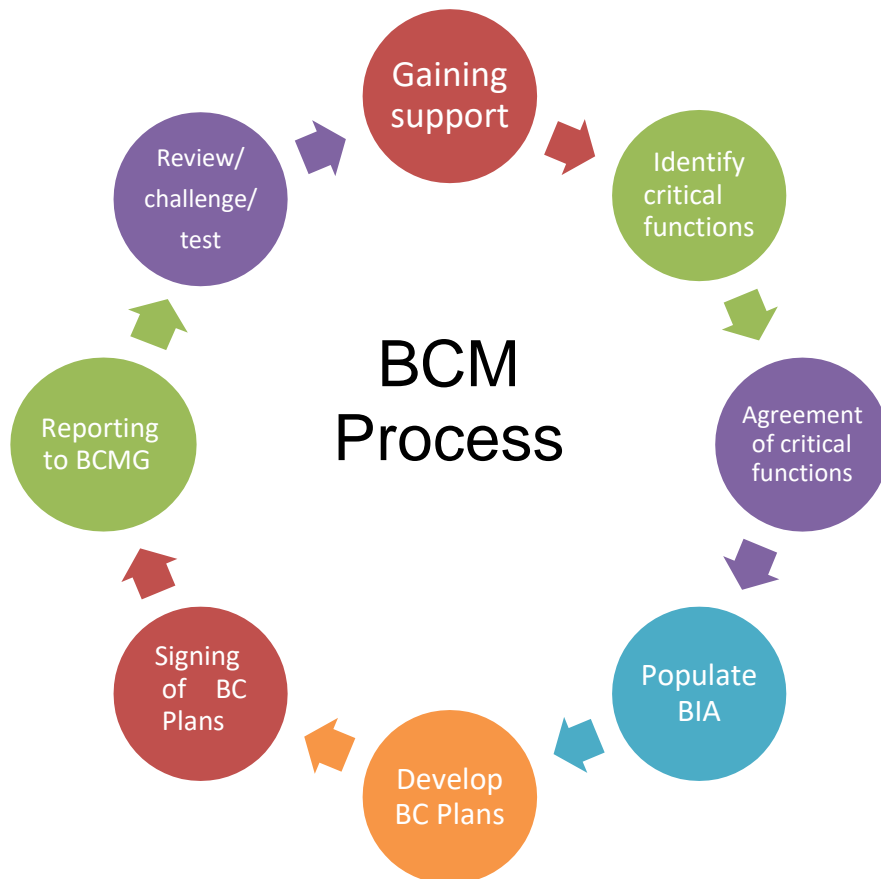
5. Threats and Triggers

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 is involved.
- How long the University could manage without the function.
- Whether there are any time sensitivities e.g. 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 (e.g. 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 (e.g. 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 within 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 List of critical activities identified by the Strategic Business Impact Assessment

Activity Owner	Activity	Description	Potential Consequences				
			Major financial loss	Regulatory breach	Loss of reputation	Safety and welfare issue	Student dissatisfaction
VCO	Statutory incident reporting	Reporting of specified incidents within 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	√	√	√		√
	Library access and use of systems	Management of Library access, use of services such as printing, online books, journals and resources, books, laptops		√	√		√
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			√		√
	Course Assessment Boards	Confirmation and publication of student results			√		√

Research Innovation & Knowledge Exchange	Research Services	Funding claims/financial reports to funders	√		√		
	Directorate, Innovation and KE	Staffing – customer relations, staff record keeping, storing committee papers/legal documents, invoicing/orders, potential loss or delay in generating revenue	√		√		
	Enterprise	IT, telecoms and specialist equipment	√		√		
	Research and Innovation Culture	Pure system records all Research activity	√		√		
Planning and Information Services	Statutory data returns	Submission of mandatory returns to sector agencies/bodies		√	√		
	Timetabling	Establishing and maintaining the timetabling system, working in partnership with schools and services to ensure al activities are suitably accommodated					√
Student Services	Learning specialist needs	Learning Support to disabled students to fully engage in teaching, learning and research				√	√
	Student Comms	Access key information via students.hud.ac.uk, e.g. timetables, emails, Brightspace access etc				√	√
	Wellbeing Support	Mental health support to vulnerable students				√	√
International Office	International Admissions, Immigration and Compliance	Processing of international student applications, Tier 4 Visa checks	√	√	√		√
Combined School BIA's	Timetabling	Loss of access to Scientia, MyDay, MS authenticator impacting on scheduling of student activities and locations for teaching and learning					√
	Student guidance and support	Loss of access to data sets, Safeguarding Policy, exam papers., Use of Teams/email/telephone/social media, text messaging service and/or Brightspace announcements impacting on arrangements for teaching, Learning, Welfare and Wellbeing advice and help	√		√	√	√
	Placements	Loss of key data sets and placement information, current existing bespoke placement solutions (replacements), access to H&S, DBS and occupational health checks impacting on periods of work experience which is an integrated and assessed part of a student's degree			√		√
	Home student recruitment activities	Loss of IT access to software and systems and buildings/labs, impacting recruitment of home students are British/Irish citizens meeting residency criteria	√		√		√
	Course Assessment Boards	Loss of access to key network drives, ASIS (inc. SSRS reports), Unifunctions or Brightspace, communication with			√		√

		external examiners, related reporting requirements (inc. PSRB's, Ofsted, NHS etc. Confirmation and publication of student results, impacting the meeting at which all credit, progression and awarding decisions are made in relation to student academic profiles					
	Attendance Monitoring	Loss of access to key network drives, Wisdom, Attendance Monitoring and swipe card readers, impacts on Home Office monitoring of attendance, impacting the monitoring of requirements on students to attend timetables sessions and for the University to facilitate this	√				√
	Admissions and Clearing	Loss of access to key network drives, including SharePoint and/or Teams sites with relevant documentation. Impacts on the UCAS cycle but with specific pinch points around January (UCAS deadline) and August (Main Clearing activity), impacting clearing, which matches applicants to university places that are yet to be filled and admissions, as the process through which students enter higher education at the university	√	√	√		√
	Graduate School-PGR provision	Loss of access to key network drives, PGR Brightspace dummy module, PGR Handbook and Graduate School website, for postgraduate researchers undertaking research degrees	√		√		√
Graduate School	Research	No access to networks/data and key software and systems, MSOffice, Brightspace, ASIS, Agresso, Skillsforge. Access to equipment/facilities and impact on business and PGR labs. Impacts potentially on communication, service delivery and PGR provision. Loss of ASIS, Skillsforge, Apollo and access to key UCAS contacts are potential issues. See Graduate School BIA for related activity specific to the School.	√	√	√		√
Applied Sciences	Teaching, Learning and Research	No access to Brightspace, Wisdom and other key systems required for assessment and examinations, including any online examination software packages. Failure to be able to deliver specialist teaching and research activity which relies on both specialist and general systems/software. Damage to sensitive equipment that requires either a constant power, water or gas supply, potential damage to sensitive research equipment including chemical or other hazards. Loss of staff with subject specialist knowledge. Inability to deliver specialist teaching/assessment/research if facilities or materials unavailable. See School BIA for related activity specific to the School.	√	√	√	√	√
Arts and Humanities	Teaching, Learning and Research	No access to Brightspace, Wisdom and other key systems required for assessment and examinations, including any online examination software	√	√	√	√	√

		packages. Failure to be able to deliver specialist teaching and research activity which relies on both specialist and general systems/software and staff. See School BIA for related activity specific to the School.						
Huddersfield Business School	Teaching, Learning and Research	No access to network drives, key software and systems (MSOffice, Sharepoint, Brightspace, Wisdom, ASIS, Refinitiv, SAP, Refinitiv, Global Capabilities, Qualitrics). Inability to deliver teaching, research and placement support. Unable to access the Trading Room or other specialist research facilities. Impacts on research projects, funding, research opportunities, REF/league tables, student retention, etc. Inability to submit research bids, papers, claims, reports, etc by advertised deadlines. See School BIA for related activity specific to the School.	√	√	√	√	√	√
Computing and Engineering	Teaching, Learning and Research	Access to networks/data and key software and systems (e.g., MSOffice, Brightspace, SharePoint ASIS. Impacts on meeting Course reaccreditations. Impact on research equipment/facilities. See School BIA for related activity specific to the School.	√	√	√	√	√	√
Education and professional Development	Teaching, Learning and Research	No access to networks/data and key software and systems, MSOffice, Brightspace, Wisdom and other key systems required for assessment and examinations, including any online examination software packages. Inability to deliver exams, teaching, research and placement support. See School BIA for related activity specific to the School.	√	√	√	√	√	√
Human and Health Sciences	Teaching, Learning and Research	No access to Brightspace, Wisdom and other key systems required for assessment and examinations, including any online examination software packages. Inability to deliver specialist teaching/research and procure deliveries of consumables for skills training. Inability to deliver teaching, research and placement support. See School BIA for related activity specific to the School.	√	√	√	√	√	√

Appendix 2 Business Continuity Management Group

Terms of Reference

The Group will:

- Review the University Business Continuity Management Plan and develop a strategic business impact analysis
- Review the Major Incident Plan.
- Review any skills and competence requirements and training needs.
- Agree an annual programme of work to review Business Continuity and Emergency Management.
- 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 and emergency procedures.
- Meet regularly (monthly) until policies and procedures have been agreed and then once a year.
- Report at least annually to University SLT 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)
- Pro Vice-Chancellor (Teaching and Learning)
- University Secretary
- Head of Health and Safety
- Director of Estates and Facilities
- Director of Digital Information
- Director of Student Services
- Director of Marketing and Communication
- Director of Human Resources
- School representation – Dean, Applied Sciences, Head of School Administration
- Programme Manager
- Head of Procurement

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

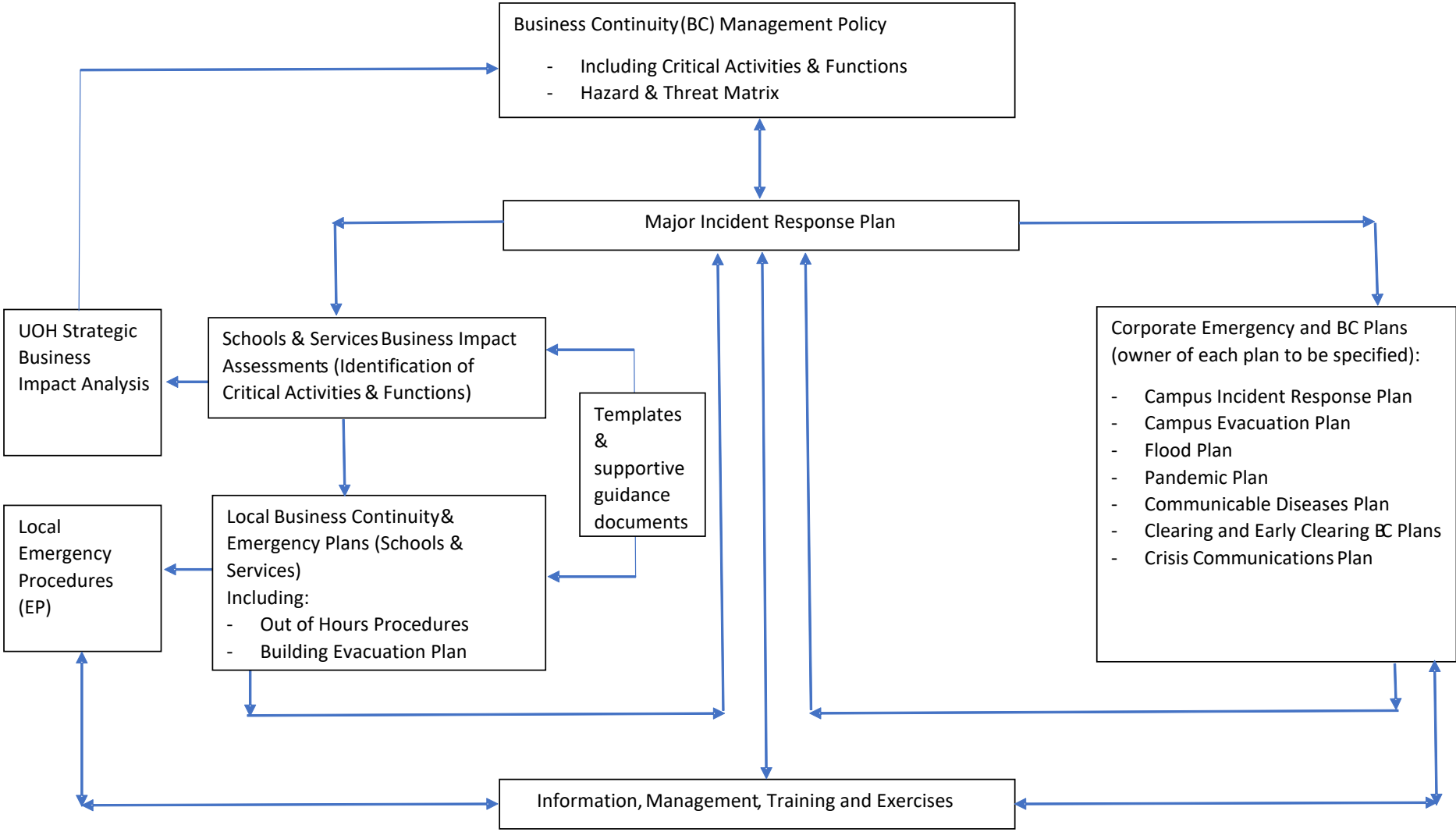
- Director of Research Innovation & Knowledge Exchange
- Director of Finance
- Head of Registry
- Director of International

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 Leadership Team. Any policies to be implemented will require the approval of SLT (Schools and Services)

Appendix 3 University Hazard and Threat Assessment / Matrix

Threat	Hazard	Likelihood			Impact			Response triggers	Response actions	BC issues (impact if fails)
		Almost Certain	Possible	Rare	Major	Moderate	Minor			
Major health incident	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	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	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, water, toilets, hygiene, etc 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	Loss of IT		X		X			IT – availability impaired	IT DR plan activated	Access to information, data, communications, teaching materials, online exams, assessments Web site, internet access
	Loss of telephony		X		X			No telephone service	Use of email and mobile phones	Impact on communication
	Cyber-crime	X			X			Slowness and non-responsive IT systems	Network and systems will be shutdown. BIA will need to be activated	Loss of data, no access to IT
Major incident outside UoH campus	Off-site incident e.g. incident abroad or town centre			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

Business Continuity Planning and Emergency Procedure Framework and Arrangements



POLICY SIGN-OFF AND OWNERSHIP DETAILS

Document name:	Business Continuity Management Policy
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Author:	Head of Health and Safety
Owner (if different from above):	
Document Location:	https://www.hud.ac.uk/media/policydocuments/Business-Continuity-Management-Policy.pdf
Compliance Checks:	Monitoring via the BCMG and post-incident reviews
Related Policies/Procedures:	University BIA, Major Incident Plan, Campus Incident Plan

REVISION HISTORY

Version	Date	Revision description/Summary of changes	Author
V1.0	May 2018	First major redraft under the new Policy Framework	Head of Health and Safety
V1.1	June 2023	Policy Update and Review – addition of Appendix 4	Head of Health and Safety