Business Continuity Planning and Management

Guidelines

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Introduction

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Terminology

- **Action Plan** is a component of a Business Continuity Plan (BCP). An Action Plan is a detailed plan which specifies the recovery requirements of a particular critical process including the infrastructure/resources (including people) required to enable a process to function at a minimum acceptable level.

- **Area** refers to the individual business unit for which a particular Business Continuity Plan applies. Areas include (but are not limited to): Faculties / Divisions / Colleges / Institutes / Schools / Business Groups.

- **Business Continuity** is the uninterrupted availability of all key resources supporting essential business functions. Business Continuity is sometimes referred to as Service Continuity.

- **Business Continuity Plan (BCP)** is a collection of procedures and information that is developed, compiled and maintained in readiness for use in the event of a disruption/critical event. Associated terms include Business Recovery Plan and Recovery Plan. A BCP is made up of (but is not limited to) a Business Impact Analysis (BIA) and Action Plans.

- **Business Continuity Planning and Management (BCP&M)** provides for the availability of processes and resources in order to ensure the continued achievement of critical objectives.

- **Business Continuity Planning and Management Coordinator** ensures co-ordination and ongoing maintenance of the BCP&M program.

- **Business Continuity Plan Owner** is responsible for the implementation and the periodic review of the BIA and the BCP.

- **Business Continuity Plan Sponsor** provides guidance and support for the BCP&M Program and development of a BCP&M culture through communications and reporting.

- **Business Impact Analysis (BIA)** is a detailed risk analysis that examines the nature and extent of disruptions and the likelihood of the resulting consequences. A BIA includes consideration

of the divisions/faculties business functions, people, processes, infrastructure, resources, information, interdependencies and the nature and extent of capability loss over time.

- **Critical Event** means an event identified as critical by the Vice-Chancellor or the Head of Facilities Management Division on the grounds that it has caused, or threatens to cause, serious harm to students, staff or visitors to the University and/or significant physical or environmental damage. An event may be Natural, Accidental, Commercial or Wilful. Examples include (but are not limited to): Active Shooter; Ash effect from Volcanic eruption; Bomb Threat; Fire to whole building; Flood/weather bomb; Gas Explosion; Major Chemical Spill; Major Food Poisoning Event or Infectious Disease Outbreak; Major Vehicle Accident; Occupation; Pandemic; Severe Earthquake; Total Prolonged Electricity Outage (greater than 4 hours) Note: the terms "event" and "emergency event" have the same meaning as "critical event".

- **Critical Processes** are those processes and/or functions that are critical for the survival of the organisation, and, if not performed for a time period longer than the identified maximum tolerable outage (MTO), would lead to a risk with a consequence of Moderate or greater. For simplicity, critical functions listed in this Framework are those functions with a maximum tolerable downtime (MTDT) of two weeks (10 working days) or less. Associated term includes "Processes". Examples of critical processes include: Facilities Management - Electricity, Water Supply, Sewerage; Human Resources – Payroll; Finance - Accounts Payable/Receivable, Taxation Compliance; Student Services (Formally SASD) - Student Accommodation, Health; Information Technology (IT) - Data Centre, Network (Phone/Data/Security); Communications (CME) - Communications, Events, University Website; Faculty - Delivery of Teaching, Enrolment, Enquiries

- **Information Technology Disaster Recovery Plan (IT DRP)** refers to the plan and arrangements for restoring information technology assets following a technology interruption. Arrangements may include business continuity arrangements being activated at alternate production facilities. The responsibility for this plan is Information and Technology Services Division.

- **Maximum tolerable outage (MTO)** means the maximum period of time that an organisation can tolerate the disruption of a critical business function before impacts become significant (for example 3 weeks). Accordingly there will likely be a linear connection between the MTO and the Impact determined for the critical process (for example, a process which has an MTO of 3 weeks will likely have a moderate or low priority in terms of action needing to be taken). Disruption may include both the discontinuance of an activity, or the inability to perform it to

an acceptable quality or with sufficient reliability. Associated term includes "maximum tolerable period of disruption".

- **Policy** means **Critical Event and Business Continuity Policy.**
- **Plan Owner** means the owner of the Business Continuity Plan. This person holds the most significant authority over a specific unit (usually the Director, Head or Dean).
- **Stakeholders** are those people and organisations that may affect, or be affected by, or perceive themselves to be affected by, a decision or activity.
- **University** means The University of Waikato. Associated term includes "UoW".

Outline

The University of Waikato's BCP&M framework applies to all University operations/functions, regardless of the location in which they are undertaken. The Framework is in place to ensure that in the event of a disaster or major interruption to operations the University can meet its obligations with respect to:

i. the welfare of students, staff and/or visitors to the University,

ii. the protection of the University's assets, and

iii. the continuity of core business and, in turn, the safeguarding of the University's reputation.

BCP&M is also a continuous improvement process of establishing and maintaining BCPs and other measures in order to respond to and recover from disruptions that threaten key resources, locations and functions. Collectively these measures are referred to as the University's BCP&M capability. This capability contributes to the University's Emergency Management arrangements/responsibility; collectively they comprise four components of response and recovery:

- **Emergency Response** – the immediate response to an event with a focus on ensuring the safety of people followed by the protection of assets (refer to the Critical Event and Business Continuity Policy and the University of Waikato Emergency Preparedness Guidelines for more information);
- **Crisis Communications** – (refer to the Critical Event and Business Continuity Policy and the University of Waikato Emergency Preparedness Guidelines for more information);
- **Business Continuity** – the process of restoring critical elements of University services and functions within the University's core business processes;
- **Holistic Recovery** – the broad activities required to restart, rebuild and regenerate the affected stakeholders, not just the restart of business operations.

The relationship between these four components of the University's Emergency Management and BCP&M capability is outlined in the diagram below.
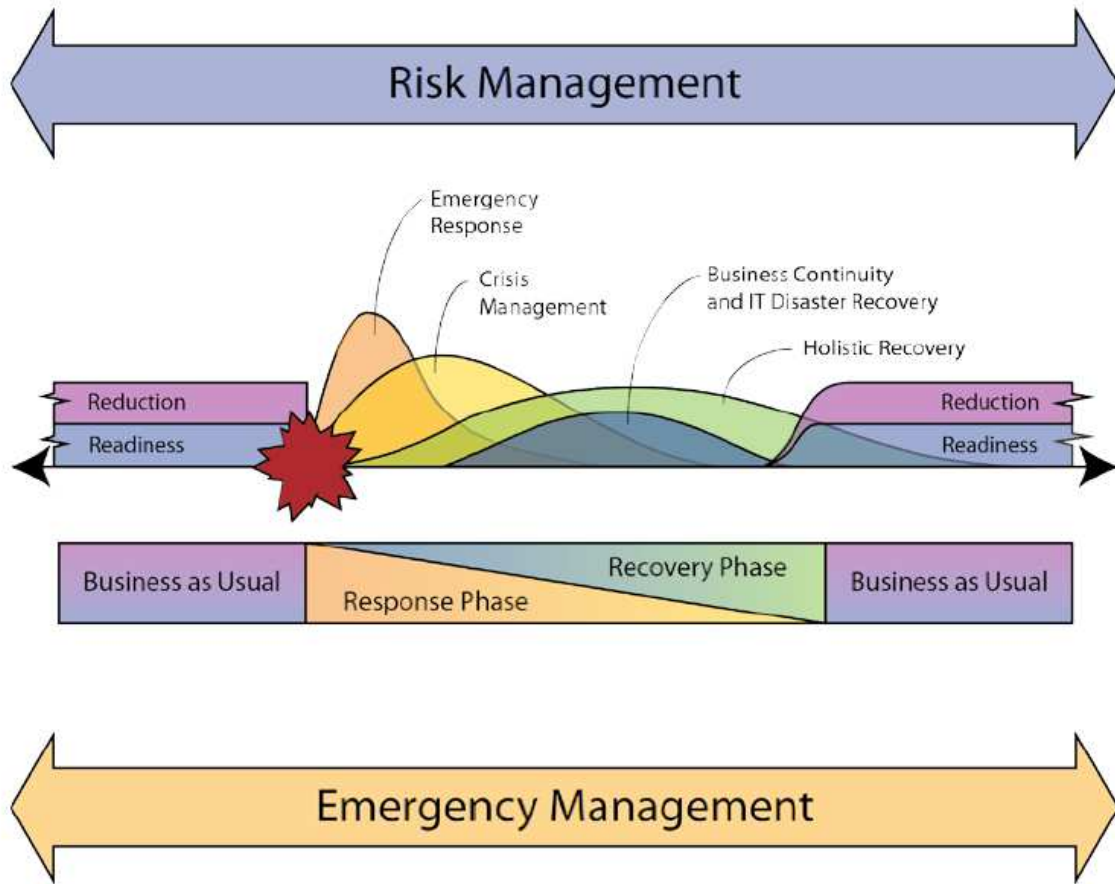
It's important also to note that BCP&M is not just about putting in place procedures so that the University has a greater chance of withstanding a crisis. The BCP&M process allows areas to understand the business of the University better, identifying where the risks are, what impact they might have, and whether enough is being done to mitigate them. The process of developing plans and regularly updating them and testing them helps the University build organisational resilience.

Business Continuity Planning and Management Framework

Business Continuity Planning and Management consists of:

- Business Impact Analysis (BIA)
- Critical Business Process Action Plans (Action Plan)
- Training
- Review

- Testing

Business Impact Analysis (BIA)

The Business Impact Analysis (BIA) provides the background upon which a Business Continuity plan is developed (Refer to http://www.waikato.ac.nz/operations/staff/business-continuity/business-continuity-plan-guidelines for a sample BIA). In the analysis, areas are responsible for identifying the key business processes, the MTO (the maximum amount of time the University can tolerate a disruption to the process before experiencing significant negative impacts) and analysing the impacts of a critical event to service delivery. The BIA should identify:

- The business goals
- The primary business processes
- The role that has responsibility for that process
- Any sub-processes
- Critical times of year that relate to the process.

To complete a BIA:

a) Identify **all** business processes and sub-processes

b) Identify **critical time(s)** of the year

c) Establish **Maximum Tolerable Outage** (MTO) for business processes

d) Identify **critical** processes (based on impact assessment)

In completing a BIA, important things to consider include:

- The damage to the University (or the area) resulting from a critical event.
- Whether the process deliverable is required by legislation.
- Identification of the importance or criticality of the goals.
- Your definition of the maximum tolerable "down time" for each process and prioritisation of recovery – MTO.
- The impact of exceeding the MTO.

Critical Business Process Action Plan (Action Plan)

The Critical Business Process Action Plan is a detailed Action Plan for each of the critical processes identified in the BIA (Refer to http://www.waikato.ac.nz/operations/staff/business-continuity/business-continuity-plan-guidelines for a sample Action Plan). Action Plans act to minimise the number of ad hoc decisions that are made immediately following a severe disruption. Each

individual Action Plan outlines the recovery requirements for the critical process and the infrastructure and resources required to enable the University to continue to function at a minimum acceptable level.

In addition to critical events, the following could also impact critical business processes:

- Temporary or long term absence of staff
- Access to part or all of any of the University's buildings is denied
- Critical assets (such as IT systems and/or other equipment) are inaccessible or destroyed

To complete an Action Plan:

a) Identify **responsibilities**
b) Identify critical **resources** – people, IT, equipment, facilities
c) Identify any **dependencies**
d) Identify **response plans and resources required**
e) Identify **actions required to be ready to deal with event**

In completing an Action Plan, important things to consider include:

- Determine and document the process, along with tolerable lengths of unavailability.
- Determine and document the resources (people, systems, equipment, space, partners, other processes) required to support those critical processes and systems under normal circumstances.
- Identify and document single points of failure in critical functions (for example dependence on the involvement of any specific person or piece of equipment in the critical function).
- Document the MTO and the potential impact to the organisation if that time is breached.
- Determine and document dependencies both internal and external – those areas or processes that are dependent on this critical process and those that it is dependent on.
- Determine and document alternate methods (automated or manual) to perform critical processes, along with sources of resources required to support those alternate methods
- Identify and document the people, skills, resources and suppliers needed to assist in the process of resuming critical operations in <u>an alternate mode</u> and <u>in a normal mode</u>.
- The plans should include contact details of all key contacts both internal and external
- Ensure that BCP&M representatives for your area have clearly defined roles. This is particularly important in terms of training and when testing your BCP.

Questions which are useful in developing an Action Plan:

- Space: How would you carry out the critical process if your usual space is not available?

- Staff: How would you carry out the critical process if the relevant staff member/s is absent for a number of weeks.

- Unique skills: Does the performance of the critical process require specific skills or knowledge of any particular staff member(s) (or his/her files)? If so how will you deal with their absence? (*Cross-train someone else in the department? Outsource? Other?*)

- Working from home: Could the critical process be performed by staff working from home? At present? If some additional arrangements were made?

- Network access: How would you carry out the critical process if the data network is not available?

- Critical resource: Is there any particular resource that you COULD NOT perform the critical process without?

- University Closure: If the University had to be officially closed, including all operations (except non-stoppable activities), for at least a month, is it possible for your area to simply cease doing the critical process?

- Risk: Will any of your proposed mitigations expose the University to risk? If so please explain and suggest how to prevent/mitigate this risk.

- Additional vulnerabilities: is there anything else that could prevent you from continuing or restarting the critical process?

Approval Process

To ensure a robust BCP&M program, acknowledgement by the Plan Owner that their BCP adequately represents their area/business unit is required. The Plan Owner is required to complete a BCP Approval Cover Sheet which will assess whether components appear to be adequately / inadequately represented in the BIA and Action Plans. Upon completion, the cover sheet accompanied with BIA and Actions are to be sent to the Business Continuity contact person who will review your BCP for any deficiencies and return for amendment if any deficiencies are found. If there are no deficiencies which need to be amended, the Business Continuity contact person will approve the documents, allocate a version number and upload these on to google drive.

Education and Training

BCP&M training and training will be provided to all staff through both a passive and active curriculum. The following constitutes the BCP&M education and training programme for the University:

Active Curriculum

Induction training upon appointment for Plan Owners and/or Local BCP&M Representatives will be provided through the staff induction sessions held by Professional Development (POD). Following induction, a one on one follow up session will be organised by the University Business Continuity person. During this session these guidelines will be provided and gone through together.

Familiarisation training sessions for Plan Owners and/or local BCP&M Representatives will be held biannually in the form a 2 hour work group session.

Exhibits where hand-outs/giveaways will be implement will take place from time to time in affiliation with various University events. Exhibits create an approachable environment for every day staff to enquire about business continuity.

From time to time special guests who have a background in Business Continuity will be brought in to talk at BCP&M community of practice sessions with operational level staff in attendance (local BCP&M Representatives).

A half hour "An introduction to Business Continuity at UoW" presentation biannually will be provided to key administrators within Faculty and Divisions biannually to upskill and create awareness around BCP&M at the frontline staff level. The presentation will take place for each area.

Table top exercises and drills also make up the active curriculum in terms of formal training and awareness tools. Each area will perform a table top exercises annually (Refer to Table Top Exercises below). Emergency drills conducted by Ray Hayward (including evacuations) will be used as a lead into a business continuity drill where hand outs and other information will be provided to employees while they wait for clearance to return to work.

Passive Curriculum

The Business Continuity web portal (Business Continuity Web Portal) will be used as a vehicle to promote Business Continuity, provide the most current resources around plan development and communicate best practice around Business Continuity at the University.

On an as needed basis (but at least on a 3 monthly frequency) official circular and community newsletter publications will keep staff aware of Business Continuity as an initiative as well as any developments in that space.

Review

All areas are required to review their Business Continuity Plans annually to ensure they are current (Review Guidelines). The review is to take place 6 months from a Table Top Exercise performed by the area. Any changes to systems or processes observed are then to be incorporated in an area's plan.

Table Top Exercises

All areas are required to perform a table top exercise of their Business Continuity Plan annually to ensure they are effective. Any changes to systems or processes should be incorporated into the Plan.

The University will run Pan University periodic testing of Business Continuity Plans commencing 2016 however at least annually areas are required to complete their own table top exercises internally.

A Table Top Exercise approach (Table Top Exercise Guidelines) requires participants to discuss the application of BCPs for responding to a presented hypothetical major disruptive event scenario. The activity does not require the activation and mobilisation of any associated resources or personnel. An observer will record the learnings from the test. BCPs should be amended to incorporate the learnings gain from the exercise.

The AVC (Student Information and Services) Office will oversee the Table Top Exercise Programme and will retain documentation such as minutes of each exercise.

Audit

Internal Audits from time to time may review processes and procedures around the BCP&M framework as required by the University's Internal Audit Plan. The first BPC&M Audit took place in August 2015.

Building and Embedding a Business Continuity Management Culture

General

Building and embedding a BCP&M culture within UoW is critical for the establishment of an effective and robust business continuity programme. Implementing cultural change is a challenging and continuous process and its success within the University is primarily dependent upon the following:

i. BCP&M becoming an integral part of the University's strategic and day-to-day management ethos;

ii. Education, awareness training and participation being used to effect cultural change (merely documenting a BCP&M strategy and plan represents a narrow and limited method of developing a BCP&M culture);

iii. Preparation and delivery of a programme to create organisational awareness and enhance the skills, knowledge and experience required to implement, maintain, manage and execute BCP&M;

iv. Communication of the Critical Event and Business Continuity Policy and the visible proactive support from the University's executive, senior and middle management;

v. Ownership of BCP&M by the various areas where operational risk originates and resides (not just within Facilities Management and/or IT Services);

vi. Commitment to maintain and review the University's Critical Event and Business Continuity Policy, Framework, plans and solutions on a regular basis;

vii. Appreciation and recognition of the importance of BCP&M to the University and the role of individuals within it;

viii. Communication to all external stakeholders (and third parties) upon whom the University depends, in both normal and major disruptive events, of the importance of BCP&M to the University and their roles.

If these approaches are adopted, all those associated with the University should have confidence in its ability to manage the continuity of its operations during an event, and have in place the appropriate behaviour and culture to promote business resilience.

Outcomes

The outcomes from a BCP&M cultural development programme should include:

- A clearly defined and documented Critical Event and Business Continuity Policy agreed and signed-off by the University's executive or senior management;

- Acceptance and implementation of BCP&M as a professional management discipline;

- An understanding of the University's BCP&M Framework, Policy and supporting plans and management structures;

- An organisational culture that ensures BCP&M activities and considerations are integral to the business-as-usual activities throughout the University at all levels;

- Proactive "hands-on" promotion of BCP&M by the University's executive, senior and middle management;

- An organisational, managerial and staff BCP&M competence to execute the organisation's BCP&M strategy;

- An awareness and understanding by the University's management and staff of the importance of BCP&M and their roles, accountabilities, responsibilities and authority within it;

- An understanding of the coordination activities that are required between the University's Emergency Management Teams, Business Continuity Area Representatives and the IT Disaster Recovery Team in the event of a major disruptive event;

- An understanding of which Business Continuity Teams are dependent on one another for performance;

- Applicable internal documents and plans as well as external standards and guidelines;

- Ongoing BCP&M education and awareness promotion;

- A performance management and appraisal system (and a rewards and recognition system) that explicitly recognises and reinforces the importance of BCP&M;

- Job descriptions and associated skills that include BCM at specified levels within the organisation;

- An ongoing programme of BCP&M training for those directly involved in the implementation, maintenance and execution of the University's BCP&M capability;

- A clearly defined and documented management information system to monitor and evaluate the BCP&M awareness and competency of the University's staff and managers;

Relationship to Other Policies and Procedures

The following policies and procedures are relevant to either preparing a BCP or for the implementation of BCP&M within the University:

Policy/Procedure	Responsibility
Risk Management Framework	Assistant Vice-Chancellor (Executive)

University Emergency Response Plan	Facilities Management Division
Critical Event and Business Continuity Policy	Assistant Vice-Chancellor (Student and Information Services)
Business Continuity Management Framework (this document)	Assistant Vice-Chancellor (Student Information and Services)
BIA and Action Plan Templates	Assistant Vice-Chancellor (Student Information and Services)
BCP&M Plan Exercise and Review Guidelines	Assistant Vice-Chancellor (Student Information and Services)
ITS Disaster Recovery Plan	Information Technology Services Division
Local Business Continuity Plans	Assistant Vice-Chancellor (Student Information and Services)

Relationship to the Risk Management Framework

Business Continuity Management supports the University of Waikato's Risk Management Framework and provides a means of mitigating certain risks should they occur and impact a Campus, business processes, business operations or IT systems. BCP&M provides plans to minimise the impacts and allow the University's processes to recover from the incident in a planned manner.

BCP&M also supports the University's Emergency Management arrangements, and more specifically, BCPs can be activated during or immediately after an emergency event that is being managed in accordance with the University's Emergency Response Plans.

Alternative Sites

Specific requirements in terms of space should be evaluated by the Plan Owner as a part of their continuity strategy and should be facilitated in consultation with Facilities Management.

In the case of events that result in the failure of the room or building that houses the affected function and/or supporting systems and services, continuity options have been developed to utilise alternative sites. Three alternative site options are generally considered in the BCPs which are:

• Alternative site on-Campus
• Alternative site off-Campus (University owned)

- Alternative site off-Campus (may be third-party owned).

Requirements specific to your area should be facilitated in consultation with Facilities Management Division.

BCP&M Representatives

The following position holders are responsible for BCP&M Framework concerning their area:

Area	BCP&M Area Plan Owner	BCP&M Area Representative
Business Continuity Planning and Management Program Sponsor	Assistant Vice Chancellor (Student Information and Services)	
Business Continuity Planning and Management Contact	Assistant Vice Chancellor (Student Information and Services) - Business Manager	
Assistant Vice Chancellor (Student Information and Services)	Assistant Vice Chancellor (Student Information and Services)	Assistant Vice Chancellor (Student Information and Services) - Business Manager
Pro-Vice Chancellor Māori	Pro-Vice Chancellor Māori	Manager - Strategy, Policy and Engagement
School of Māori and Pacific Development	Dean - School of Māori and Pacific Development	School Manager - School of Māori and Pacific Development
Te Kotahi Research Institute	Business Manager - Te Kotahi Research Institute	Operations Manager - Te Kotahi Research Institute
Faculty of Science and Engineering	Dean - Faculty of Science and Engineering	Faculty Manager - Faculty of Science and Engineering
Faculty of Computing and Mathematical Sciences	Dean - Faculty of Computing and Mathematical Sciences	Faculty Registrar - Faculty of Computing and Mathematical Sciences
Faculty of Arts and Social Sciences	Dean - Faculty of Arts and Social Sciences	Faculty Manager - Faculty of Arts and Social Sciences

Faculty of Education	Dean - Faculty of Education	Faculty Manager - Faculty of Education
Centre for Tertiary Teaching & Learning	Director - Centre for Tertiary Teaching & Learning	Director - Centre for Tertiary Teaching & Learning
Waikato Pathways College	Director - Pathways College	College Manager - Pathways College
Faculty of Law – Te Piringa	Dean - Faculty of Law – Te Piringa	Faculty Manager - Faculty of Law – Te Piringa
Faculty of Management / Waikato Management School	Dean - Faculty of Management / Waikato Management School	Faculty Manager - Faculty of Management / Waikato Management School
Marketing and Communications Division	Head of Marketing and Communications Division	Communications Adviser - Internal
Information and Technology Services	Head of Information and Technology Services	Personal Assistant to the Head of Information and Technology Services
Facilities Management Division	Head of Facilities Management	Space & Asset Manager
Gallagher Academy of Performing Arts	Manager - Gallagher Academy of Performing Arts	Manager - Gallagher Academy of Performing Arts
Financial Services Division	Head of Finance	Personal Assistant to the Head of Finance
Human Resource Management Division	Head of Human Resource Management	Personal Assistant to the Head of Human Resource Management
Library (Teaching and Research)	University Librarian	Associate University Librarian – Teaching and Research
Academic Office	Director - Academic Office	Director - Academic Office
Research Office	Director of Research and Innovation	Personal Assistant to the Director of Research and Innovation