# POLICIES AND ASSOCIATED PROCEDURES

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| **POLICY NUMBER:** | POP080512000 |
| **POLICY NAME:** | Business Continuity Management ('BCM') |
| **DATE APPROVED:** | 15 May 2008 |
| **POLICY TYPE AND CATEGORY:** | General (Property and Facilities) |
| **RESPONSIBLE OFFICER:** | Pro Vice-Chancellor and Chief Information Officer |
| **MANAGER RESPONSIBLE FOR IMPLEMENTATION, COMPLIANCE AND REVIEW:** | Project Manager, Pro Vice-Chancellor and Chief Information Officer |

## 1.0    PURPOSE

This policy provides a framework for restoring the University's operational capability whenever an event (internal or external) disrupts the normal course of business.

## 2.0    BACKGROUND

This policy deals with the development and maintenance of organisation-wide procedures aimed at enabling the University to:

- manage effectively a range of disruptions to normal business operation (other than an emergency); and
- restore operational capability as soon as possible following a disruptive event (including an emergency).

For the purposes of this policy:

- disruptions may be planned or unplanned, and may range from day-to-day interruptions that may be rectified promptly and with minimal inconvenience to affected areas to major events that may have the potential to impact significantly on the University's operational capability;
- planned disruptions, or interruptions in advance, may include:
  o capital or refurbishment projects undertaken by the Facilities department,
  o Information Technology infrastructure developments undertaken by the Information Technology Services department,
  o organisational change resulting in restructuring of organisational units,
  o relocation of organisational units,
  o change of supplier or contractor;
- unplanned disruptions may occur at any time in consequence of unforeseen events and may be major or minor in extent, as indicated below:
  o major disruptions may include loss of the use of a campus, major building or significant part of a building due to flood or fire, loss of Information Technology infrastructure (major building/campus/University-wide),

- o minor disruptions may include inconveniences at local/unit level, loss of Information Technology network/connectivity, water leakage, equipment or air conditioning malfunction, inadequate or absent service provision by supplier or contractor;

- planned and unplanned disruptions may have multiple impacts, e.g. loss of a building may include loss of:
    o office/teaching/research space,
    o voice and data systems,
    o critical documentation, etc.;
- the nature and extent of major business disruptions will be defined; all other disruptions will be considered minor.

## 3.0   DEFINITIONS

**BCM**
Business Continuity Management.

**Business Continuity Management Team ("BCMT")**
An ad hoc team appointed by the Pro Vice-Chancellor and Chief Information Officer to facilitate development and maintenance of appropriate recovery procedures in readiness for implementation in the event of a major business disruption, including an Emergency.

**Business disruption**
An interruption to University operations (other than an Emergency) that may be planned or unplanned, and may range from day-to-day interruptions that may be rectified promptly and with minimal inconvenience to affected areas to major events that may have the potential to impact significantly on the University's operational capability.

**Emergency**
An immediate threat to the safety and security of people and property requiring prompt action to contain, manage and ameliorate. Emergencies include fire, flood, storm, gas leak, accident, building mishap, bomb threat, explosion, biohazard, abduction, armed intrusion, siege, extortion, large scale violence, murder, and so on.

**Facilities**
The University's Facilities department.

**ITS**
The University's Information Technology Services department.

**Organisational Unit**
This includes, but is not limited to, the University's faculties, schools, departments, centres, institutes and branches.

**Responsible Officer**
An officer of a Service Unit who has designated responsibility for managing a business disruption.

**Senior Officer**
Those persons holding the positions (whether substantive or acting) of Vice-Chancellor, Deputy Vice-Chancellor, Pro Vice-Chancellor, Executive Director, Executive Dean, Dean, Director, Associate Director or University Librarian.

**Service Unit**
The organisational unit responsible for the management of a business disruption, normally Facilities (in relation to property, plant and equipment) or ITS (in relation to Information Technology systems and infrastructure).

**Supervisor**
Officer of a Service Unit who has designated responsibility for managing the performance of a Responsible Officer.

**University**
Victoria University.

**Visitors**
Those persons other than staff and students who are on, in or using any premises or property of the University.

## 4.0    KEY WORDS

Business continuity
Business disruption
Business recovery

## 5.0    POLICY

### 5.1    Intent

Victoria University aims to do all things practicable to maintain operational capability whenever an event (internal or external) disrupts the normal course of business.

Business continuity management procedures will be established and maintained to prepare the University for planned and unplanned business disruptions. The intent of the procedures will be to enable the University, in the event of a disruption, to move expeditiously from 'Preparedness' to 'Response' in order to maintain core business activities and to protect the interests of the University.

### 5.2    Management of minor business disruptions

The management of minor business disruptions will normally fall under the bailiwick of two Service Units:

- Facilities (in relation to property, plant and equipment);
- Information Technology Services (in relation to Information Technology systems and infrastructure).

These Service Units are expected to maintain appropriate workaround/recovery procedures aimed at ensuring that, in the event of a business disruption deemed by the applicable Service Unit's Responsible Officer to be minor, the problem is rectified promptly and with minimal inconvenience to the affected area. Routine business recovery procedures will form an integral part of each Service Unit's planning, and will be specified in schedules to this policy. The procedures will be reviewed at least biannually, or as required in response to projected or changed circumstances, to ensure maximum effectiveness.

### 5.3    Management of major business disruptions

### 5.3.1   Planned disruptions

In the event of a planned disruption, such as a capital project or infrastructure development, the applicable Service Unit/s will implement appropriate procedures in consultation with affected organisational units to ensure that there is minimal interruption to business functions and that the affected area is returned to normal operation within the designated recovery period.

### 5.3.2   Unplanned disruptions

Business disruptions that constitute an Emergency will be managed in accordance with University policy POP060323000 *Critical Incident and Emergency Management*.

Business disruptions caused by an influenza pandemic, or similar health crisis, will be managed in accordance with University policy POA061003000 *Emergency Management: Pandemic Influenza*.

All other major business disruptions, and the implementation of recovery procedures as required following an Emergency, will be managed in accordance with this policy.

### 5.3.3  Planning and coordination

The Pro Vice-Chancellor and Chief Information Officer will oversee the University's Business Continuity Management protocol, which includes the:

- establishment and maintenance of continuity management procedures in readiness for implementation in the event that major business disruptions (planned or unplanned, internal or external) disrupt the normal course of business; and
- management of major business disruptions (including Emergencies if appointed by the Vice-Chancellor as the Emergency Manager) and recovery operations in accordance with accepted procedures and in conjunction with relevant Principal Officers and heads of organisational units.

The Pro Vice-Chancellor and Chief Information Officer will coordinate a Business Continuity Management Team ("BCMT") as required to facilitate development and maintenance of appropriate disruption and recovery management procedures in readiness for implementation in the event of a major business disruption, including an Emergency. The BCMT will comprise:

- Pro Vice-Chancellor and Chief Information Officer – Chair;
- Senior Deputy Vice-Chancellor ( Education Services) and Director, TAFE;
- Senior Deputy Vice-Chancellor (Education Programs);
- Pro Vice-Chancellor Students;
- Director, Facilities;
- Director, Human Resources;
- Director, Information Technology Systems;
- Project Manager, Office of the Vice-President (People and Culture) – Executive Officer; and
- other Principal Officers and Senior Officers considered appropriate for effective business continuity planning and management.

All standing members of the BCMT will designate alternates to act when the members are unavailable.

In the event of a major disruption, the BCMT may be convened by the Pro Vice-Chancellor and Chief Information Officer to facilitate the recovery process. Once convened, the BCMT will remain active until the Pro Vice-Chancellor and Chief Information Officer, in consultation with the Vice-Chancellor, is satisfied that recovery has concluded and the BCMT is no longer required, or when it is considered appropriate for recovery procedures to be managed by relevant organisational units.

As an integral part of the planning process, the Pro Vice-Chancellor and Chief Information Officer will oversee the development and maintenance of appropriate disruption and recovery management procedures in response to pre-determined scenarios (reasonably possible events) such as fire, flood, major power failure, loss of Information Technology infrastructure, etc. These business continuity management procedures will be:

- developed and maintained in conjunction with applicable Service Units (Facilities and/or Information Technology Services) and affected organisational units;
- specified in schedules to this policy; and
- reviewed at least biannually, or as required in response to projected or changed circumstances, to ensure maximum effectiveness.

## 6.0   PROCEDURES

### 6.1   Procedures for managing an unplanned business disruption

Staff, students and visitors are obliged promptly to report a business disruption that is:

- Information Technology-related to the Information Technology Services department; and
- property-related (such a disruption caused by fire, flood, power failure, faulty plant and equipment, security breakdown/equipment malfunction) to the Facilities department.

### 6.1.1  Indicative procedure for managing property-related business disruptions (other than an Emergency)

Once notification has been received by Facilities, the following procedure will apply:

- A Responsible Officer (e.g. Facilities Coordinator, Facilities Officer, Campus Security, depending on the nature and extent of the reported disruption) will be assigned promptly to:
  - o   assess the nature and extent of the situation; and
  - o   manage the situation and the restoration of normal operational capability in accordance with the applicable schedule to this policy.

- If the Responsible Officer believes he/she is not able effectively to manage the situation and/or the restoration of normal operational capability without instruction and/or further assistance, the Responsible Officer will:
  - o   promptly notify his/her Supervisor; and
  - o   manage the situation and/or the restoration of normal operational capability as directed/in accordance with the applicable schedule to this policy.

- If the Supervisor believes that he/she is not able effectively to manage the situation and/or the restoration of normal operational capability without instruction and/or further assistance, the Supervisor will:
  - o   promptly notify the Director – Facilities; and
  - o   manage the situation and/or the restoration of normal operational capability as directed/in accordance with the applicable schedule to this policy.

- If notified by the Supervisor that he/she is not able effectively to manage the situation and/or the restoration of normal operational capability without instruction and/or further assistance, the Director – Facilities will:
  - o   instruct and assist the Supervisor as required to manage the situation and/or the restoration of normal operational capability; and
  - o   promptly advise the Pro Vice-Chancellor and Chief Information Officer of the nature and extent of the disruption and the procedures being implemented to manage the situation/the restoration of normal operational capability.

- If notified by the Director – Facilities that a major business disruption has occurred, the Pro Vice-Chancellor and Chief Information Officer will promptly:
  - o   in consultation with the Director – Facilities, assess the nature and extent of the disruption and the procedures being implemented to manage the situation/the restoration of normal operational capability; and
  - o   determine whether or not to convene the BCMT.

- If the Pro Vice-Chancellor and Chief Information Officer determines that the BCMT is not required, the Pro Vice-Chancellor and Chief Information Officer will instruct and assist the Director – Facilities as required to manage the situation/the restoration of normal operational capability in accordance with the applicable schedule to this policy.

- If the Pro Vice-Chancellor and Chief Information Officer determines that the BCMT is required, the will coordinate management of the situation/the restoration of normal operational capability in accordance with the applicable schedule to this policy.

- In each of the above, the nature and extent of the disruption and the effectiveness of the response will be analysed and changes implemented as required to improve situation/recovery management.

### 6.1.1.1 Business recovery

#### *6.1.1.1.1 Minor business disruptions*

If the disruption is determined by the Responsible Officer or Supervisor to be minor (and manageable), Facilities will do all things reasonable to return the affected area to normal business operation as soon as possible, preferably within the designated recovery period for such an occurrence.

In the event of a protracted recovery period, Facilities will implement appropriate operational arrangements in consultation with the affected organisational unit/s and in conjunction with relevant Service Units, such as Information Technology Services, in order to assist the affected organisational unit/s to continue to operate. Such arrangements may include temporary relocation to another part of the campus or to another campus. In the intervening period, Facilities, in conjunction with relevant Service Units, will do all things reasonable to return the affected area to normal operation as soon as possible.

#### *6.1.1.1.2 Major business disruptions*

As indicated above under 'Planning and coordination', the Pro Vice-Chancellor and Chief Information Officer will take charge of the recovery process and implement procedures commensurate with the nature and extent of the disruption.

## 6.1.2 Indicative procedure for managing Information Technology-related business disruptions

### 6.1.2.1 Minor business disruptions

Minor business disruptions will be managed in accordance with Business System Disaster Recovery Plans, which will be specified in a schedule to this policy.

### 6.1.2.2 Major business disruptions

If the business disruption is determined by the Responsible Officer or Supervisor to be major, the recovery procedures will be based on the indicative procedure for managing property-related business disruptions (above), and will be specified in a schedule to this policy.

## 6.2 Critical considerations in the continuity management process

## 6.2.1 Anticipated campus operations

It is reasonable to assume that campuses, or parts of campuses, will alternate between three modes of operation during a major business disruption:

- as normal (with appropriate workaround procedures in place);
- on a reduced scale (with appropriate workaround procedures in place);
- closure.

The impact of business disruptions on campus operations will be monitored constantly by applicable Service Units (particularly Facilities and Information Technology Services) in consultation with organisational units. As indicated below, the mode of operation on each campus will be determined by the nature and extent of a business disruption, the capacity of affected organisational units to continue normal business operations, and the capacity of essential suppliers (such as electricity supply companies) and contractors (such as those providing cleaning, security and building maintenance) to fulfil their obligations to the University. Prudent management procedures will be applied during the three modes of operation to minimise the impact of the disruption on staff, students and University operations.

### 6.2.1.1    Normal operations

Campuses will operate as normal, with necessary workaround procedures in place, during periods in which organisational units are capable of providing normal service functions and essential suppliers and contractors are able expeditiously to service campus requirements.

In the event of a minor disruption to normal business, appropriate workaround procedures will be implemented by the applicable Service Unit/s with the aim of returning the affected unit to normal operation as soon as possible, preferably within the designated recovery period.

### 6.2.1.2    Reduced operations

Individual organisational units providing the University's core activities (the provision of education, training and research programs) rendered incapable of providing normal service functions in the event of a business disruption will be required where possible to activate alternative means of program delivery, such as on-line or remote learning/research arrangements, in accordance with pre-determined procedures.

The campus will continue to operate as normal for organisational units that are capable of providing core activities via normal service functions, provided that:

- the building or part of the building to be used or occupied by the unit is habitable;
- organisational units providing essential service and administrative functions to the campus (such as Facilities, Finance, Human Resources, Student Services and Information Technology Services) are capable of maintaining the infrastructure required to support core activities, including the alternative means of program delivery indicated above; and
- essential suppliers and contractors are able within a reasonable period to service necessary campus requirements.

The nature and extent of further reductions in campus operations will be contingent upon the condition of the building or part of the building to be used by the organisational unit, and the capacity of individual service and administrative units, suppliers and contractors to maintain essential campus infrastructure. The impact of the disruption will be monitored constantly by the Pro Vice-Chancellor and Chief Information Officer in conjunction with the BCMT, and appropriate action implemented by the Pro Vice-Chancellor and Chief Information Officer or the Vice-Chancellor, as appropriate.

### 6.2.1.3    Closure

Buildings, parts of buildings, and, in extreme circumstances, campuses will be closed on an individual basis when:

- the building or part of the building to be used or occupied by the unit is not habitable;
- organisational units providing essential service and administrative functions to the campus (such as Facilities, Finance, Human Resources, Student Services and Information Technology Services) are not capable of maintaining the infrastructure required to support core activities, including the alternative means of program delivery indicated above;
- essential suppliers and contractors are not able within a reasonable period to service necessary campus requirements;
- the University is required by government to cease operations at the campus.

All education, training and research units will be required where possible during closure to activate alternative means of program delivery in accordance with pre-determined procedures (or contingency plans in the event of unforeseen circumstances). Applicable units providing essential service and administrative functions during closure will endeavour to maintain the infrastructure required to support these activities.

In the event of an extreme business disruption that renders campus infrastructure incapable of providing core activities such as specialist practical training, and this kind of activity cannot be readily provided in another building, or at another campus, or through alternate means such as on-line delivery, the University will activate, where possible, predetermined arrangements with appropriate institutions.

### 6.2.2   Up-scaling University operations

The University's operations will be scaled-up or returned to normal when the Vice-Chancellor determines, on advice from the Pro Vice-Chancellor and Chief Information Officer, that it is appropriate to do so.

### 6.2.3   Maintaining core activities during scale-down and closure

Organisational units providing education, training and research programs will be required to propose how they intend to deliver essential activities at applicable campuses during periods in which:

- the unit is rendered incapable of providing normal service functions; or
- staff and students are excluded from entering the campus or a defined part of the campus.

In making their proposals, Senior Officers will need to consider the method of operation of the unit and requirements for face-to-face interaction, and the capital resources (educational, physical, electronic, etc.) required to provide alternative means of program delivery. Under the coordination of the Pro Vice-Chancellor and Chief Information Officer, responses will be analysed in consultation with applicable units providing essential service and administrative functions and incorporated, where practicable and appropriate, into coherent business continuity management procedures that will be specified in schedules to this policy.

### 6.2.4   Maintenance of essential functions

Organisational units affected by a major business disruption will be expected to implement procedures in conjunction with applicable Service Units aimed at enabling the Unit to continue to provide essential functions during the recovery period. Units will need to determine at what point the nature and extent of the disruption renders unmanageable the provision of essential functions through existing means, and to propose alternative procedures for providing these functions where possible. In developing their procedures, Senior Officers will need to consider, for example, that:

- managers might be affected by the disruption (such as the result of a fire or explosion) to the extent that they might not be able to attend work for varying periods of time, and staff who are able to attend work might not be responsible for, or have limited or no capacity to provide, essential functions;
- staff may need to be redeployed, or temporarily relocated to another workplace at the campus or another campus, to enable the unit to continue operations, albeit on a reduced scale;
- contingency training programs may need to be undertaken by the unit to facilitate this process.

As indicated above under 'Anticipated campus operations' and 'Maintaining core activities during scale-down and closure', the essential functions expected of applicable service and administrative units during major business disruptions will be influenced by the requirements of organisational units providing education, training and research programs.

### 6.2.5   Staff attendance and alternative workplace arrangements

If the University's operations are scaled down in consequence of a major disruption, staff in affected areas will be expected to attend their normal workplace unless alternative workplace arrangements are approved by the Senior Officer of their organisational unit.

Senior Officers will be expected to plan for adverse events that preclude, or severely impede the capacity of, individual staff from working in his/her normal workplace, and to ensure that affected staff are sufficiently prepared to work in an alternative University environment (such as another building or campus), at home, or at an alternative institution (in the event that such arrangements are made by the University, for example, to facilitate continuity in the delivery of education, and/or training and/or research programs).

If the Senior Officer and the staff member agree that the staff member might work at home, the staff member will be required to confirm formally to his/her Senior Officer prior to commencement – by way of conducting an inspection of the proposed home workplace and completing the applicable checklist/s attached to the OHS Safe and Healthy Working policy and the OHS Equipment Safety Management policy – that the proposed home workplace is safe and appropriate to undertake designated tasks. (The University's OHS Team will be available for consultation during this process.) Normal employment conditions, and applicable University policies, will continue to apply during any home-based work period.

### 6.2.6 Communication

Staff and students will be updated regularly/as required about the University's policy and procedures and pertinent information about business continuity management.

A range of communications tools will be implemented, including, for example:

- posting information/direction on the University's internet and intranet websites, with links to other relevant intranet sites including Finance, Human Resources, Facilities, Marketing and Communication, Student Services and faculty webpages;
- posting information/direction on the University's global email system via University General Announcements and ad hoc announcements by the Vice-Chancellor or the relevant Principal Officer;
- posting information/direction on the University's logon compliance page, and the default screensaver and PC lockout facility;
- providing an enhanced telephone hotline service with voicemail capability for providing relevant information/direction to internal and external enquirers;
- providing global voicemail messages to staff via the University's PABX system;
- text messaging information/direction to staff and students' mobile phones;
- displaying posters and circulating hand-outs in commonly-used locations including reception areas, meeting rooms, staff offices and common rooms, student lounges, cafeterias, libraries, teaching and research facilities;
- providing relevant information to organisational units for:
  - o circulation to new and existing staff and students,
  - o posting on staff and student noticeboards,
  - o presentation and discussion at staff and student forums.

The University's Information Technology system (data and telephony) will be used as the primary tool for providing information/direction when required during a major business disruption. Staff and students will be advised to log onto the University's IT network regularly in order to receive up-to-date information and direction. Backup/alternative communications systems will be explored as part of the University's business continuity management process and specified in a schedule to this policy.

Organisational units will be required to develop and maintain mechanisms to ensure staff, students and visitors are kept informed of the University's business continuity management procedures.

### 6.2.7 Business risk mitigation

Organisational units will be required to review, and to amend where possible, all contracts with creditors and partner organisations to minimise losses and risk of exposure to litigation in the event that a business disruption renders the unit incapable of meeting its contractual obligations.

## 7.0   CONGRUENCE WITH LEGISLATION AND RELATED POLICIES

This policy is consistent with relevant provisions of the:
- following Victoria University policies:
  - o  POP060323000 Critical Incident and Emergency Management,
  - o  POA061003000 Emergency Management: Pandemic Influenza,
  - o  POF040809004 Risk Management – FU 08;
- Australian Standard for Business Continuity Management (HB 221:2004).

## 8.0   ACKNOWLEDGEMENT

Nil.

## 9.0   CONSULTATION

The draft policy was considered by the Finance and Infrastructure Committee, and was made available to the University community for comment for two weeks prior to further consideration by the Finance and Infrastructure Committee and final recommendation to the Vice-Chancellor.

## 10.0   REVIEW

This policy will be reviewed biannually or as required to ensure maximum effectiveness.

## 11.0   ACCOUNTABILITIES

### 11.1   Responsibility

Responsibility for effective implementation of this policy rests with the Pro Vice-Chancellor and Chief Information Officer.

### 11.2   Implementation Plan

This policy will be implemented from the date of approval.

### 11.3   Training Plan

All staff and students will be advised of their obligations in respect of this policy during induction, on a day-to-day basis as required via broadcast emails, and by awareness programs conducted at least annually.

### 11.4   Compliance

This policy is binding on all staff, students and Visitors of Victoria University.

### 11.5   Effectiveness of this policy

The effectiveness of this policy will be tested by reviewing the management of planned and unplanned business disruptions.

## 12.0   FORMS

Nil.

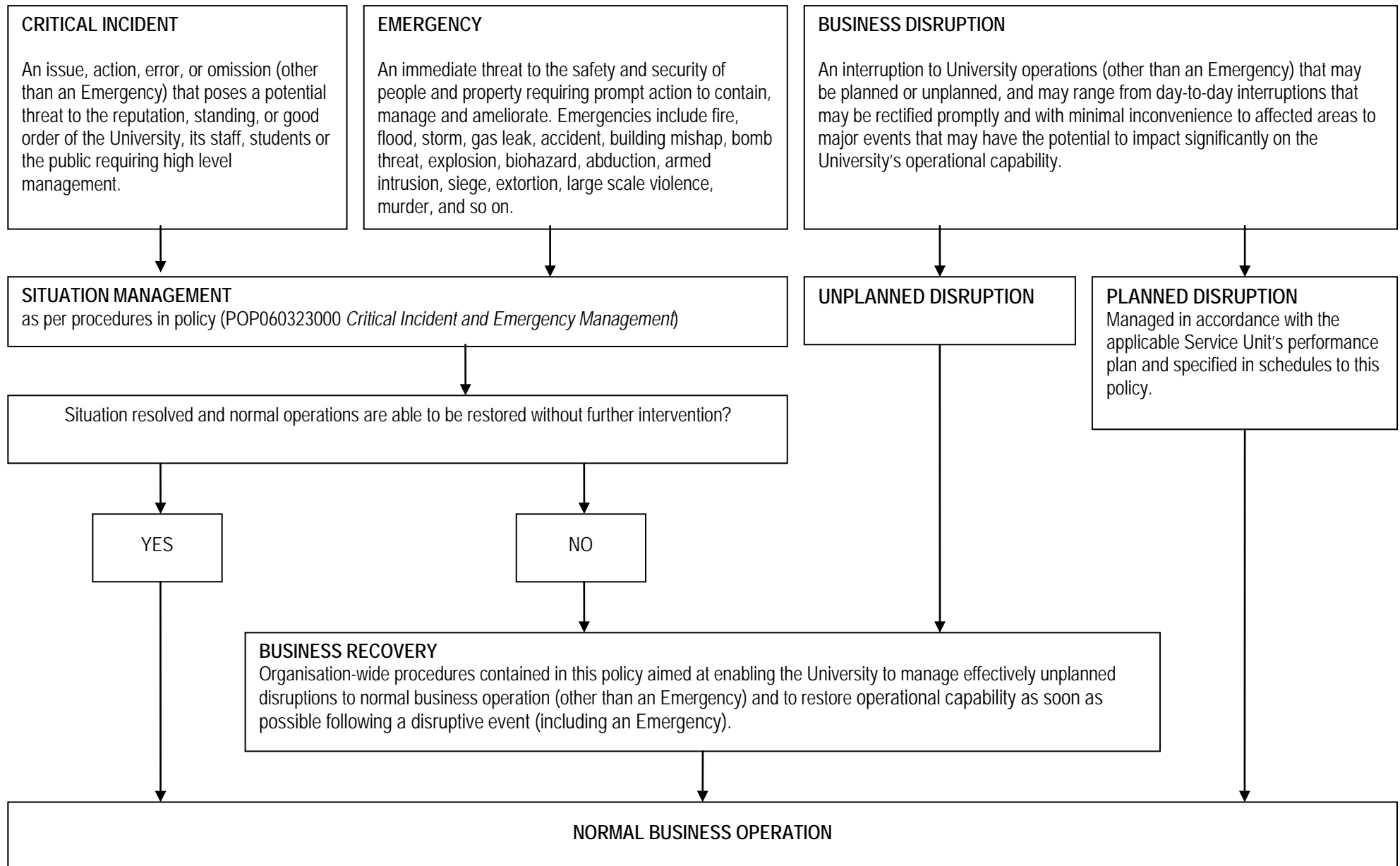## 13.0   APPENDICES

13.1   Linkages between emergency management protocols, business continuity/recovery and critical incident management.

13.2   Business Continuity Management planning pro forma (to be completed by organisational units).

Linkages between emergency management protocols, business continuity/recovery and critical incident management

**CRITICAL INCIDENT**

An issue, action, error, or omission (other than an Emergency) that poses a potential threat to the reputation, standing, or good order of the University, its staff, students or the public requiring high level management.

**EMERGENCY**

An immediate threat to the safety and security of people and property requiring prompt action to contain, manage and ameliorate. Emergencies include fire, flood, storm, gas leak, accident, building mishap, bomb threat, explosion, biohazard, abduction, armed intrusion, siege, extortion, large scale violence, murder, and so on.

**BUSINESS DISRUPTION**

An interruption to University operations (other than an Emergency) that may be planned or unplanned, and may range from day-to-day interruptions that may be rectified promptly and with minimal inconvenience to affected areas to major events that may have the potential to impact significantly on the University's operational capability.

**SITUATION MANAGEMENT**
as per procedures in policy (POP060323000 *Critical Incident and Emergency Management*)

**UNPLANNED DISRUPTION**

**PLANNED DISRUPTION**
Managed in accordance with the applicable Service Unit's performance plan and specified in schedules to this policy.

Situation resolved and normal operations are able to be restored without further intervention?

YES

NO

**BUSINESS RECOVERY**
Organisation-wide procedures contained in this policy aimed at enabling the University to manage effectively unplanned disruptions to normal business operation (other than an Emergency) and to restore operational capability as soon as possible following a disruptive event (including an Emergency).

**NORMAL BUSINESS OPERATION**

## APPENDIX 2
## PRO FORMA

| Business Continuity Management: Proposed action plans (to be completed by organisational units) | | | | |
|---|---|---|---|---|
| **Business Unit:** | | **Responsible Officer:** | | |
| **Building** | | **Room/Space** | | |
| **Business Function**: e.g.<br>• Teaching<br>• Research<br>• Administration | **Current space usage**: e.g.<br>• general purpose classroom<br>• lecture theatre<br>• dedicated facility (details)<br>• office<br>• other | Proposed arrangement for continuing the business function in the event that the **current space** is unavailable | **Critical IT system** | Proposed arrangement for continuing the business function in the event that the **critical IT system** is unavailable |
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