Business Continuity Framework

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Introduction

Business Continuity Management (BCM) is a systemised approach to ensuring that critical business functions can be maintained or recovered in a timely fashion in the event of a disruption. Its purpose is to minimise the financial, legal, regulatory, reputational and other material consequences arising from a disruption. The Business Continuity Framework outlines the University's approach to Business Continuity Management.

Aims and objectives

The Business Continuity Framework seeks to minimise the impact and minimise the disruption that an unplanned event could have on the critical business functions of the University, including its teaching and learning, research and operations.

The objectives of the Business Continuity Framework are to:

   i.   Provide an overview of the BCM process
   ii. Describe the minimum requirements of a Business Continuity Plan
   iii. Identify roles and responsibilities
   iv. Outline processes and procedures

Business Continuity Planning

The assumptions made for this Framework are as follows:

   i.   In the event of a major business disruption and/or disaster, the University of Adelaide will not be operating at normal capability and performance. The University of Adelaide will be operating at reduced capacity, or a level which is sufficient to perform and maintain critical business functions. Non-critical business operations will require time to resume full capability, capacity and performance.
   ii. The University adopts a model that includes an organisation wide, high level Business Continuity Plan and Specialist Recovery Plans where required.
   iii. Areas have identified the Recovery Time Objective and Maximum Allowable Outage for specific operational activities as well as the minimum resource requirements (including staff, equipment, systems and applications) and vital records in their respective Business Impact Analyses.
   iv. Resources will be prioritised and made available based on the minimum requirements of all Faculties and Divisions in a disruption environment.
   v.   Alternate Site(s) have been identified for the resumption of critical business functions. The University of Adelaide has made its best efforts in preparing and equipping Alternate Site(s) with the minimum resource requirements.
   vi. The procedures and processes documented in Business Continuity Plan (BCP) and any other Specialist Recovery Plans have been tested, maintained and updated on a regular basis.

In accordance with the BCM lifecycle and best-practice standards, the University of Adelaide's approach to BCM incorporates the following elements:

Element	Responsibility	Frequency	Requirements
Threat Assessment	Faculty / Divisional representatives	Initial, then every two years	• Identify any threats that have the potential to harm the University of Adelaide and necessitate the use of a Business Continuity Plan and Specialist Recovery Plans. • Identify sources of disruption risk that have greatest potential to result in activation of a Business Continuity Plan. • Identify disruption scenarios which will form the basis for developing strategies that feed into the Business Continuity Plan and Specialist Recovery Plans.
Business Impact Analysis	Faculty / Divisional representatives	Initial, then every two years	• Identify recovery priorities. • Identify Critical Business Functions, Recovery Time Objective and Maximum Allowable Outage and required resources. • Assess potential business continuity events in relation to financial, student, staff, reputational, legal, operational and environmental impacts.
Business Continuity Plan Specialist Recovery Plans	Faculty / Divisional representatives	Initial, then every two years	• Provide a guide to recover critical business functions during a business disruption including prevention, preparation, response and recovery/restoration. • Allow for a consistent structure and layout, containing unique Faculty and Division considerations based on outputs from the BIAs. • Provide a standardised protocol for managing disruption events.
Recovery strategies	Faculty / Divisional representatives	Initial, then every two years	• Identify strategies to recover critical business functions including stabilising the situation and continuing or resuming critical business functions.
Training	Faculty / Division representatives IMTG	Initial, then every two years	• Maintain an overall awareness and understanding of business continuity principles and preparations.

Testing and exercising	IMTG	Initial, then every two years	• Testing and exercising should include:
			  o Critical business functions, resources, infrastructure.
			  o Recovery strategies.
			  o Communications strategies outlined in the BCP and supporting recovery plans.
			  o Recovery and support arrangements with third parties.

Element	Responsibility	Frequency	Requirements
Review and Evaluation	Chief Operating Officer Executive Team IMTG	Every two years or immediately following an incident	• Facilitate prompt action when adverse trends are detected, or a non-conformity occurs. • Ensure that the Business Continuity Program continues to be an effective system for managing disruption-related risk.

Activation of the Business Continuity Plan

Activation of the BCP and supporting specialist recovery plans will be in response to an actual or potential disruption to the University's critical business functions. Potential scenarios include:

    i. Loss of key people/human loss.
    ii. Denial of access to premises (temporary/permanent).
    iii. Sustained loss of IT and/or communications systems.
    iv. Loss of material/critical service.
    v. Loss of research.

Escalation

The following table outlines the incident level criteria (and/or) as a guideline for taking action.

Incident Level	Criteria / Description of possible events	Who to Activate	Who to Notify	Plan to activate
0 – BAU	• Business as usual (BAU) • Minimal impact to University • Can be managed within SOP's • Can be managed by Emergency Response Plans, and ECO • Likely response will be less than 4 hours			Standard Operating Procedures (SOP)
1 – Minor (Tactical)	• Incident affecting more than 1 building • Incident affecting multiple University functions • Requires coordination of large number of people • Relocation from areas of the campus • Harassment incidents • Emergency services may be notified to respond • Likely response will be less than 24 hours	Emergency Control Organisation (ECO)/ Security/Facilities/ Incident Response Team / Critical Incident Team	Incident Response Team / Critical Incident Team/ Emergency Director/ Incident Management Task Group	Emergency Management Plan
2 – Major (Operational)	• Coordination required for complete campus evacuations or lockdowns • Requires management at off campus locations • Media exposure at local or state level • Likely response will be more than 24 hours	Incident Response Team / Critical Incident Team / Incident Management Task Group	Emergency Director Vice-Chancellor	Emergency Management Plan Business Continuity Plan Specialist Recovery Plan Disaster Recovery Plan

Incident Level	Criteria / Description of possible events	Who to Activate	Who to Notify	Plan to activate
3 – Critical (Strategic)	• Multiple serious casualties or fatalities • Large scale impact on University functions and assets • Loss of critical services • Major impact on operations, reputation, financial and strategic objectives • Requires management of key stakeholders • Media exposure at national or international level	Incident Response Team / Critical Incident Team / Incident Management Task Group	Emergency Director Vice-Chancellor Council	Emergency Management Plan Business Continuity Plan Specialist Recovery Plan Disaster Recovery Plan

Roles and Responsibilities

The University of Adelaide has implemented the team structure below to minimise the impact that an unplanned event could have on the viability of the University and provision of its services, with allocated roles and responsibilities to assist.

Who	Responsibility
University of Adelaide Executive Team	Develop, implement and manage the organisation's Business Continuity Framework as part of its corporate governance role. Support and endorsement for Business Continuity by communicating the importance of effective BCM and promoting continual improvement. Provide appropriate financial and people resources to establish and manage an effective framework. Integrate Business Continuity into the organisation's business processes. Review the Business Continuity Framework and activities on a periodic basis. Allocated appropriate resources to facilitate resumption of critical business functions within approved Recovery Time Objectives.
Incident Management Task Group (IMTG)	Manage critical incidents. At the direction of the Emergency Director and/or relevant team member, assemble at the given date/time/location. Appoint a member of the IMTG to oversee the activation of the Business Continuity Plan and provide support to the CIT and IRT in the operational management of a business continuity event.
Critical Incident Team (CIT), Incident Response Team (IRT)	Respond to the disruption and direction of the IMTG.
Emergency Control Organisation (Wardens)	Activate the emergency response procedures as per the Emergency Management Plan.
Faculty / Division Representative	Provide leadership, guidance and support to their Faculty / Division during a Business Continuity event. Activate plans where relevant and manage local level recovery efforts. Coordinate updates to Business Continuity Plans/Specialist Recovery Plans to reflect changes in respective Divisions or Faculties.

Who	Responsibility
Chief Operating Officer	Approve the content of, and any subsequent amendments to, the Business Continuity Policy and Business Continuity Framework and distribute to the University of Adelaide.
	Coordinate reviews and testing of the validity, integrity and practicality of implementing the Business Continuity Plan and/or Specialised Recovery Plans.
	Coordinate the regular review and assessment of the recovery strategies outlined in BCP as well as the adequacy of associated insurance, financial and resource provisioning.
	Ensure that material changes evidenced in review and assessments are documented in the BCP.
	Maintain the currency of the Business Continuity Framework.
	Report on the performance of this Business Continuity Program to the University of Adelaide.

Definitions

'Business Continuity Plan (BCP)' Documented procedures that guide organisations to respond, recover, resume, and restore to a pre-defined level of operation following disruption

'Critical' A qualitative description used to emphasise the importance of a resource, process or function that must be available and operational constantly or at least at the earliest possible time after an incident, emergency or disaster has occurred.

'Critical Business Functions (CBF)' Key business activities and processes that must be restored in the event of a disruption to ensure the ability to protect the organisation's assets, meet organisational needs, and satisfy regulations.

'Disruption' An incident that interrupts normal business functions, operations, or processes, whether anticipated (e.g. storm, political unrest) or unanticipated (e.g., blackout, terror attack, earthquake).

'IMTG' A trained group of people with defined roles and responsibilities for implementing the organisation's Emergency Management Plan and Business Continuity Plan. This team manage the operational and strategic responses to an incident.

'Specialist Recovery Plans' Documented specialized procedures that guide Divisions/Faculties to respond, recover, resume, and restore to a pre-defined level of operation following disruption