

Policy

Resilience Policy

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Introduction

- 1 Buckinghamshire New University is a professional and creative university, shaping higher education for the benefit of people and employers. The University's mission is to put its students first and work responsively with the very best partners to influence, inspire and nurture talent for professional and creative careers. The University has students and employees dispersed across its High Wycombe, Uxbridge and Aylesbury campuses, Missenden Abbey, and its halls of residence. Additionally, a significant number of students are accommodated in tenanted accommodation. Employees and students regularly travel both within the UK and overseas and a proportion of international students are attending educational programmes at the University. The University also hosts many visitors and guests at its sites during and outside normal operating hours and periods.
- 2 Universities have specific risk profiles due to the unique nature of their activities and their range of stakeholders. These risks are related to the environment in which they operate, what they do, how they do it, and with what resources. The University has specific and implied responsibilities and legal requirements placed upon it as an employer and in its role and position in its operating environment. It also has a direct responsibility for the students and visitors who are on site, or studying with the University at any time.
- 3 The objective of this Resilience Policy is to provide the mandate for the protection of our students, employees and stakeholders and their interests. The Resilience Policy is designed to allow the University to **anticipate, respond and recover from** the effects of unplanned or undesired events and to follow systematic, resourced processes to mitigate them.

Policy Statement

- 4 Being a fully resilient organisation is an extremely important element of the maintenance and improvement of the University's viability, and of our duty to protect students, employees and visitors. By stating the requirement to work together, with a clear and focused direction, our Resilience Policy will make a direct and constant contribution to the University's strategic and management objectives. Therefore, the University attaches appropriate priority and resource to supporting policy and programme management, design, development and implementation, as well as validation, training, awareness and cultural change.
- 5 The Council of Buckinghamshire New University believes that the health, safety and welfare of its employees, students and visitors are its highest priorities.
- 6 The University commits itself to allocating the resources necessary to meet this Policy objective.
- 7 Employees and students are encouraged to familiarise themselves with the Policy. The policy helps all employees and students to understand the University's Resilience responsibilities towards them and what these mean to the work that they undertake.
- 8 To achieve the level of capability required to deliver this Policy, the University will ensure the effective management of risk through the development of management

systems which define the roles and responsibilities of senior employees, line managers, employees; students and visitors.

Vision Statement, Values and General Principles

Vision

- 9 We will provide a safe and secure University community through a professionally managed and implemented Resilience process.

Values

- 10 The University's values in respect of Organisational Resilience are to:
- Protect the safety and security of, and service to, our students, employees and stakeholders
 - Build and maintain effective anticipation, prevention, recovery and response across all levels and functions
 - Build and maintain partnerships and collaborations internal and external to the University to support Resilience
 - Protect the University's assets, infrastructure and property
 - Respect the diversity of those affected by policies, plans and procedures
 - Ensure the accountability and transparency of the University's Resilience management arrangements

General Principles

- 11 The Policy is underpinned by the following general principles:
- Resilience will be achieved by taking a comprehensive, all agencies approach and by a balance of planning and management processes, suited to multiple and varied incidents, and using established structures and partnerships
 - Preparation of employees and students who understand their roles and what is required of them
 - Consultative planning
 - Decisive management
 - A systematic, multi-discipline approach to risk and impact assessment and management
 - The application of governance responsibilities at all levels and the commitment to continuous improvement of policy, programmes and service delivery

Scope of the Policy

- 12 This Policy applies to all activities for which the University has direct responsibility. We will also seek to promote this Policy with all partners, stakeholders and contractors.
- 13 Under this Policy, the following Resilience Management activities are incorporated:
- Business Continuity Management
 - Crisis/Incident Management
 - Emergency Response and Recovery

- Security Management
- IT Disaster Recovery

The University's Organisational Resilience Commitment

- 14 The University accepts its responsibilities to students, employees and stakeholders for Organisational Resilience planning and management.
- 15 The University is committed to ensuring that critical services will continue to be delivered.
- 16 The University will comply with the Civil Contingencies Act 2004, Corporate Manslaughter and Homicide Act 2007 and all other laws, regulation and statutory guidance in respect of Organisational Resilience planning and implementation.
- 17 The University will adopt and promote best practice for anticipation, prevention, recovery and response, including minimising impacts upon the wider community.
- 18 The University will aim to comply with relevant British Standards related to Organisational Resilience Management.
- 19 The University will provide information, instruction, training and supervision for students and employees where required to allow them to understand their role in Organisational Resilience processes and activities and to allow them to contribute positively to organisational preparedness.
- 20 The University is committed to the effective management of contracts and their performance to ensure preparedness and Organisational Resilience standards in their business arrangements with us.
- 21 The University is committed to working closely with all employees to develop and implement preparedness and Organisational Resilience measures that ensure organisational capability to deal with events, incidents and disruptions.

Communicating the Policy

- 22 The University Organisational Resilience Policy is to be held centrally as a University Formal Document and promulgated on the University website. FMTs and Directors are to ensure that the Policy is communicated to employees in their areas of responsibility for further dissemination where necessary. This Policy will also be offered as evidence of the University's commitment to and planning for Organisational Resilience in support of audits, partnership agreements and contract negotiations if required.

Responsibilities

Council

- 23 As the University's governing body, Council carries ultimate responsibility for continuity of operations and the protection of its employees, students and other individuals whilst on the institution's premises and in other places where they might be affected by the

University's operations. Council has fully delegated to the Vice Chancellor the delivery of the Policy.

24 Council will:

- receive regular reports on Organisational Resilience from the Senior Management Team
- be notified of significant incidents and of any enforcement action taken against the University in respect of such incidents or enforcement action

Vice Chancellor & Chief Executive

25 As the principal academic and administrative officer of the University, the Vice Chancellor has a legal responsibility, alongside Council, for ensuring that the University complies with relevant legislation and, in particular, for:

- ensuring that the University has a general policy for Organisational Resilience Management and that this policy is communicated to all employees
- ensuring that appropriate structures, systems and procedures are in place to secure effective implementation of that policy
- providing an annual Organisational Resilience Report to Council
- ensuring that an appropriate priority is given to Organisational Resilience in University strategic planning
- promotion of a positive preparedness and Organisational Resilience culture

26 The Vice Chancellor also has the authority to take executive action if it is necessary to prevent impacts to individuals or to the University. This may include closing down or change to the use of University buildings, sites, operations or activities.

Deputy Vice Chancellor

27 On a day-to-day basis, the Deputy Vice Chancellor acts on behalf of the Vice Chancellor in discharging responsibilities for Organisational Resilience and is the Senior Management Team link to the Resilience Management Group.

Head of Department of Security and Organisational Resilience Advisor

28 The Head of the Department of Security and Organisational Resilience reports to the Deputy Vice Chancellor on all matters related to Organisational Resilience, and is responsible in particular for:

- Chairing and managing the activities of the University Resilience Management Group (RMG)
- Developing plans, measures and processes to implement this Policy
- Providing specialist advice and guidance to SMT to assure the achievement of the University's commitment to preparedness and Organisational Resilience
- Ensuring that the University's Organisational Resilience policies and plans are reviewed regularly, that they remain appropriate and fit for purpose, and that they comply with legislative and governance requirements
- Ensuring through RMG that effective communications, implementation, inspection and audit systems are in place, and that good practice is disseminated

- Ensuring through RMG that implementation of the University's Organisational Resilience Policy is appropriately and regularly monitored and evaluated
- Ensuring that appropriate training is provided to members of the University who have responsibility for Organisational Resilience
- Undertaking performance measurement in Organisational Resilience activities
- Representing the University in local, national and international liaison and Organisational Resilience fora and planning activity
- On behalf of SMT, coordinating the response of the University to emergencies, incidents and threats to business continuity
- Tactical oversight of security incidents in co-ordination with relevant University directorates and departments and recommending further courses of action.

Faculty Management Teams (FMTs)

29 FMTs are responsible for the implementation of Organisational Resilience processes within their Faculties. They are required to ensure that Faculties are prepared to deal with the impacts of events that will have negative effect on them and their people. In particular they are responsible for:

- Mandating compliance with Policy requirements to fulfil the University's commitment to effective Organisational Resilience
- Promoting a preparedness and Organisational Resilience culture, and encouraging activities that develop the Organisational Resilience of the Faculty in line with SMT requirements

Heads of Academic Department, Directors of Services and equivalent managers

30 HoADs / DoS and equivalent managers are responsible for:

- Promoting a preparedness and Organisational Resilience culture, and encouraging activities that develop the Organisational Resilience of the Faculty in line with SMT requirements
- Ensuring that their area's needs, responsibilities and obligations are reflected in departmental and directorate business continuity, security and emergency plans
- Ensuring that Organisational Resilience responsibilities in their areas are properly assigned and fulfilled and that job descriptions reflect these responsibilities
- Ensuring that all employees are aware of Organisational Resilience issues that may impact upon them
- Ensuring that employees who need training for the effective management of business continuity, security or emergency events are released from mainstream duties where necessary
- Support the Faculty/Directorate RMG representative in analysis, planning and performance review to assist the development and reporting processes

Other Employees with Line Management Responsibilities

31 All employees with line management responsibilities including unit/section leaders have an important role in setting performance standards for their specific area of responsibility and monitoring for standards in these on an on-going basis. As directed by HoS / DoS they will ensure that appropriate Organisational Resilience activities in

their area are completed, that employees are aware of them and that employees adhere to all relevant policies and arrangements.

All Employees

- 32 All employees should be aware of the Organisational Resilience responsibilities of the University as stated in this Policy and are required to familiarise themselves with and understand the specific plans that affect them and their areas of work or activity.

Students

- 33 All students should be aware of the Organisational Resilience requirements of the University as stated in this Policy and are required to familiarise themselves with and understand the specific plans that affect them and their areas of study, social activity and residence if they are owned, managed or otherwise the responsibility of the University.

Students' Union

- 34 The Students' Union is governed by this Organisational Resilience Policy in that its premises form part of the University's premises and facilities. The Union will be required to ensure compliance with this Policy in liaison with the RMG.
- 35 The Chief Executive of the Students' Union is accountable to the Vice Chancellor for conforming to this policy through the RMG and, as an equivalent to a Director of Service, for providing strategic, operational and tactical Organisational Resilience capability.

Putting Policy into Practice

- 36 The implementation of this Policy requires the proactive development, maintenance and devolution of business continuity, security and emergency management planning within the University. Managers are expected to encourage and facilitate the active participation of staff in Organisational Resilience planning and response and must ensure that key personnel are able to perform competently during a disruptive event. There is therefore a requirement to develop a group of Organisational Resilience Plans to ensure that the University meets all requirements. The concept of integrated Organisational Resilience works on the principles that every incident will have the potential to develop beyond its apparent start point, and that response is normally required from various stakeholders. This means that, in planning and response, the focus will be on considering potential impacts across all University operations and functions, and applying resource to managing each element in accordance with its potential consequences.
- 37 All plans are sub-components of the Organisational Resilience response; and will be linked in that they will each refer and cross refer to the other where applicable. It is important to emphasise that clear distinctions remain between the planning requirements, although the responses and planning assumptions may be similar. Detailed distribution and action requirements will be contained in the preamble to each plan.

- 38 Overall responsibility for developing University Organisational Resilience Plans lies with Chair of the RMG. RMG representatives are responsible for co-ordination and implementation of Planning in their relevant areas in liaison with FMTs, HoADs and other managers. The Organisational Resilience Management Structure is outlined at Appendix 1.
- 39 In detail; the following Faculty and Directorate Plans are to be produced and maintained by the relevant RMG member:
- Senior Management Team
 - Faculty of Design, Media & Management
 - Faculty of Society & Health
 - Academic Quality Directorate and One Administration
 - Student Services Directorate
 - Learning & Teaching Directorate
 - Marketing & Student Admissions Directorate
 - Strategic Development and Planning Directorate
 - Finance Directorate
 - Estates and Facilities
 - Missenden Abbey
 - Human Resources
 - IT
- 40 These plans are to reflect University wide Organisational Resilience requirements for Business Continuity, Crisis and Emergency Management. The plans will be written in accordance with a standard, specified format to ensure commonality and coherence and will be the responsibility of each area listed above to maintain. These plans will be submitted to RMG for assurance and content checks in the following months:
- February
 - May
 - September
 - December
- 41 This will allow oversight and reporting at key stages in the academic year and provide assurance that plans have the required content and currency to meet Organisational Resilience requirements.
- 42 These tactical plans will form a management 'bridge' from SMT to the operational level and will also allow the organisation to maintain the flow of direction and feedback as events develop. The plans at this level will need careful co-ordination, monitoring and management in use to ensure that actions are appropriate and timely.
- 43 The plans will also be used to measure and identify the effectiveness or otherwise of the mitigation in place. By undergoing assessment of capability through RMG in the months indicated above, the University Risk Register can be updated appropriately to reflect both positive and negative developments in the University's overall organisational resilience. This in turn will allow strategic level assessment of required actions and resource allocation by Council and SMT.

Business Continuity Plan

- 44 Business Continuity (BC) is defined by ISO2230:2012 (Societal Security – Business Continuity Management Systems – Requirements) as a:
- “holistic management process that identifies potential threats to an organisation and the impacts to business operations those threats, if realized, might cause, and which provides a framework for building organisational Resilience with the capability of an effective response that safeguards the interests of its key stakeholders, reputation, brand and value-creating activities”*
- 45 Within this Policy, Business Continuity encompasses the requirements for crisis and emergency management, although some BC issues will not necessarily be an emergency or crisis. An effective business continuity management system will ensure that the University can continue to operate through the impacts of large events but also those which may be triggered by less obvious problems. Looking longer term, there are slow-burning issues that may be caused by supply chain issues, IT serviceability and even changing levels of student enrolment – all require a planned anticipation, response and recovery process to be implemented within specific timescales.
- 46 Each Faculty and Directorate will therefore develop and maintain its own BC Plan and this will be based upon the requirement to ensure that the University’s strategic aims can be maintained during routine and unexpected events. These plans will be developed in consultation with the Resilience Management Group.
- 47 As these plans are pivotal to the University’s cohesion and co-ordinated efforts to maintain continuity they will depend on being clear and their documented actions capable of being communicated across, up, down and external to the organisation.

Crisis / Incident Management Plan

- 48 The Crisis/Incident Management Plan will provide guidance for University response to incidents at several levels. It will involve the requirements placed upon the University to manage and respond to incidents and to communicate effectively with external and internal stakeholders. The plan will work on management requirements and will involve the actions necessary to respond at the levels of SMT, RMG, and Incident Management Group within the University.
- 49 The plan will also be required to provide the appropriate response instructions at the operational level to ensure that all members of the University are able to not only respond effectively, but continue operations safely and securely. There will therefore be separate sub activities within the plan based upon their level of application and of the detailed response necessary.
- 50 This plan in particular will also require a detailed sub plan for crisis communications.

Emergency Response and Recovery Plan

- 51 The Emergency Response and Recovery Plan will be required to ensure that the University has the ability to anticipate, respond and recover from unwanted events at various levels. Within the emergency plan there will be specific responses for events which may have a potentially damaging effect upon personnel and infrastructure; and will necessarily involve external liaison and input into the overall plan.

- 52 This plan will therefore require multiagency inputs and liaison including development of collaborative and support activity with local, regional and perhaps national Category One Responders such as the emergency services and policing agencies.
- 53 By necessity, the plan will also need to ensure that there are separate and distinct instructions for those who are responsible for management and for those who require direction and protection such as employees, students, guests and visitors. There will therefore be significant detail at these various levels which will distil into instructions and procedures for responses to various potential emergencies and incidents.

Security Management Plan

- 54 The role of security management is to prevent loss as opposed to that of the police or other law enforcement agencies that react to and where necessary apprehend criminal or malicious adversaries. However, most organisations are exposed to criminal activity at some stage and thus need to ensure that they have comprehensive mitigation and protection plans in place.
- 55 Open access to University campuses is an essential ingredient of academic life, but is not without risks. Some security measures are therefore necessary to maintain a safe and secure environment for our staff, students and visitors. To increase the feeling and/or perception of security the University will develop and apply security controls, and procedures which will be widely published. Security is not intended to be a hindrance to academic activity. It is an essential ingredient for the safe and efficient operation of the University.
- 56 The University Security Management Plan will be designed to incorporate assessment and mitigation planning for all potential security risks that may face the University. These risks will be assessed and prioritised according to their probability of occurrence and their impact, alongside the capability of the University to mitigate and control them. The response to the wide range of potential security risks will differ due to a range of influencing circumstances, and therefore the main Plan and supporting/enabling plans will be required to incorporate flexibility and the ability to involve external agencies where required.
- 57 Security plans, particularly when dealing with the actions of individuals, will be carefully co-ordinated with wider University strategies, including those for HR and student disciplinary requirements to ensure that due process is served and followed.

IT Disaster Recovery Plan

- 58 The IT Disaster Recovery Plan will be put in place and managed separately by the Head of IT Services as a discrete and technical planning programme. However, there will be multiple synergies with this Policy and the resultant mandated activities; and there will be direct management by Head of Security and Resilience/Head of IT Services, reporting to the Deputy Vice Chancellor concerning collaborative and linked activities to ensure overall organisational resilience.

Training, Maintenance and Review

- 59 Plans without exercised and trained key and supporting personnel to execute them will not be effective. Processes in plans are to be tested and practiced to ensure that

when pressure is applied, an incident has occurred and impacts are felt, the University can meet its Organisational Resilience objectives.

- 60 The plans will be tested and exercised incrementally to ensure that overload of subjects and excessive disruption to routine operations and procedures is avoided. When exercised, all plans will have failings exposed or areas for refinement identified.
- 61 Maintaining the plans and associated processes is essential to the continued viability of the University. Because change can happen and because normal operations can often ignore the need to maintain continuity, maintenance will be conducted proactively. Review of, for example, assumptions, external services, time-critical components and training and awareness issues will be essential activities in the maintenance process. Plans will require constant refinement to ensure effectiveness and to provide a basis upon which they can be updated and maintained at appropriate periodicities.
- 62 Importantly, plan management process is to be rigorously applied and followed. This will be most important in the context of legal, regulatory and compliance issues.
- 63 In meeting audit requirements, the University's Organisational Resilience plans will be required to ensure that:
- They are compliant with regulation, standards and this Policy
 - The plan solutions are effective
 - That responsible persons and departments are compliant
 - Verifiable exercise, maintenance and review activities are taking place
 - Deficiencies and issues are identified and resolved.
- 64 To enable University employees to carry out their responsibilities and hence ensure compliance with statutory requirements; the University will provide essential training and development.
- 65 Head of Department, Security and Resilience, is responsible for devising and co-ordinating training for Organisational Resilience.

Reviewing the Policy

- 66 This Policy will be reviewed annually and submitted for approval to SMT, along with a report on Organisational Resilience incidents and responses, in the month of March each year.

Appendix 1: Organisational Resilience Management Structure

The University Organisational Resilience Management Structure is designed to meet the requirements for planning and management of incidents and impacts. The structure is set at three levels as follow:

- Strategic
- Tactical
- Operational



The three level structure allows for the transmission of information and management actions to be enacted at the required point of impact. Although particularly effective for Emergency Response and Incident Management the tiered structure will be extremely useful in all Organisational Resilience phases and processes. At any stage, as there will be in 'non-incident' routine operations, there will normally be a need for direction from the higher levels and information flow from the lower levels which may in turn inform any shifts or changes in strategic direction and activity.

Strategic Level

The University's Strategic Management Level is **Council** and the **Senior Management Team (SMT)**, who will conduct activities in response to incidents on the advice of the **RMG** and in the wider context of the University's overall strategy.

Tactical Level

The **RMG** is responsible for translating the University Organisational Resilience Policy and strategy into tactical planning, direction and response to events and incidents. It will provide information and guidance to **SMT** and will direct operational level activity through liaison with internal and external stakeholders and through **Incident Management Groups** which will be activated to manage specific incidents.

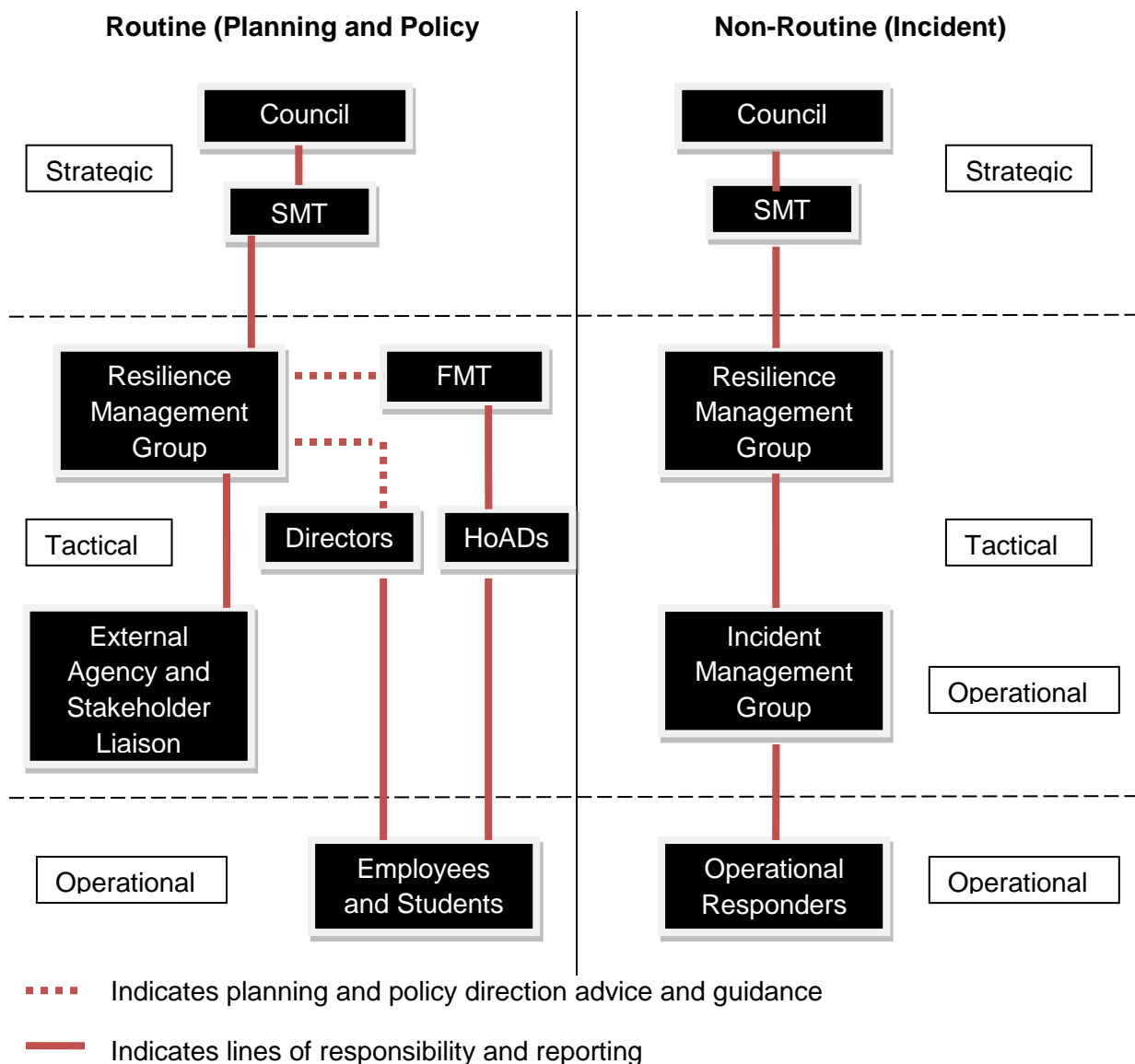
The tactical level forms a management ‘bridge’ from Strategic to Operational level and will also allow the organisation to maintain the flow of direction and feedback as events develop. This level is pivotal to the organisation’s cohesion and overall Organisational Resilience capability.

Operational Level

Operational level functions will provide the ‘front line’ and immediate capability necessary for the organisation to respond to incidents. **Incident Management Groups** will be drawn from RMG and other University and external sources if necessary dependent on the specific nature of an incident and will act upon information and instructions within detailed University and departmental plans and defined requirements which will have been identified and prioritised.

Hierarchy

The Organisational Resilience Hierarchy reflects the three levels and is applicable in routine and non-routine activity as follows:



Detailed compositions, instructions, responsibilities and TORs for each group, function and level are included in the University Organisational Resilience Plan.