# Disaster Plan and Business Recovery Procedures Manual
# 2014/15

**Last Reviewed: October 2014**

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# INTRODUCTION & OBJECTIVES

## Introduction

UCB is a leading University of Higher and Further Education delivering learning across a broad range of curriculum areas. While it is recognised that the delivery of the core business functions could be diminished or seriously impaired following a major incident (either at UCB premises or at an external location where staff and/or students are involved in educational visits), it is also accepted that competent pre-planning can mitigate the effects of an unforeseen event on the business and speed up the return to normality.

The purpose of this document is to establish the procedures necessary to deal with the aftermath of a significant event and protect the on-going activities of the University.

For this purpose it has been divided into three significant areas:

- **The Disaster Plan.** To minimise the immediate impact on the business as a consequence of a significant event
- **The Business Recovery Plan.** To re-establish the normal workings of the University in a timely and cost effective manner
- **Appendices.** Detailing key information concerning building, procedures and personnel

***Please Note:*** The decision to initiate the Disaster and Business Recovery Plans will be taken by the Vice-Chancellor and Principal or in his absence the Deputy Vice-Chancellor (Corporate Services).

## Objectives

The primary objectives of this Plan are as follows:

- take all the necessary steps to protect and preserve the health, safety and lives of all employees, students and others on or about the premises or in external locations
- take the appropriate actions necessary to secure the premises and protect University assets
- assign responsibilities for actions including dealing with the emergency services, the media, and, where appropriate, the repatriation of staff and students etc
- detail tasks for damage assessment, salvage and recovery
- set out the key tasks for business continuity
- identify internal and external communication needs
- establish business service needs in order of priority and direct the restoration efforts based on the risks to the University
- collate data and information for insurance recovery purposes
- keep students, parents, employees and suppliers informed of recovery efforts and operational capability
- identify lessons learnt and incorporate into future planning and operational procedures

**Relationship between the Disaster and Business Recovery Plans**
The Disaster Plan details the immediate action(s) taken after a serious occurrence taken place.

The Business Recovery Plan details the subsequent series of actions which may need to be taken to re-instate the business of the University.

It is accepted that there may be an overlap between the two Plans depending on the nature and severity of the event.

**Staff Training**
UCB has a comprehensive range of internal procedures and 'facilities' to reduce the likely occurrence and subsequent impact of a serious occurrence.

Although it is unlikely that a major incident or event will occur, it is essential that nominated staff receive appropriate training and personal development. Therefore, as a priority, nominated staff (or groups of staff) will be required to undertake adequate training to allow them to perform their duties as described in the Plan. Such training will be in the form of internal and/or external events as required.

Appropriate time and resources will be allocated for such training activities.

Training activities, coordinated by the Personnel Department, will include (but not limited to):

- Verbal and non-verbal communication skills
- Operational systems and project management
- Logistics management
- Information Technology recovery
- Public relations and customer liaison

# DISASTER PLAN

# Introduction

This document sets out the operational procedures which will be initiated in the event of a 'serious occurrence' which impacts on either the operational effectiveness of the University or the well-being of its students, employees or clients.

**Aim of the Disaster Plan**
Simply put, the ultimate aim of the Disaster Plan is to ensure that the impact of a serious occurrence is minimised on both the well-being of the personnel and business of the University.

**Identification of Potential Eventualities**

The University has reviewed with its insurance advisers those serious occurrences that are likely to have significant consequences for the business.

The key events could be:
- Earthquake
- Fire (including arson fire)
- Explosion
- Riot/Civil Unrest
- Aircraft
- Terrorism
- Serious accidental injury or death to staff, students or associated third parties
- Storm & Tempest
- Flood
- Impact
- Acts of Sudden Violence
- Major Service Failures
- Accidental or Deliberate Contamination Incidents
- Information Technology related incidents (eg virus, hacking, failure of IT systems)

It is accepted that the degree of impact upon the business will vary depending on the:

- degree and depth of exposure
- timing of the event
- location of the event (e.g. on UCB premises or external)

# Initiation of Plan

**Key principles:**
- The decision to initiate the Disaster Plan will be taken by the Vice-Chancellor and Principal or in his absence the Deputy Vice-Chancellor (Corporate Services).
- The implementation of the Plan will take precedence over all other UCB activities.

- The Disaster Planning procedures will only come into force in the event of a real incident.

**Initiation Procedures (normal working hours)**

Where a decision has been made to initiate the Disaster Plan during normal working hours the following process will be followed:

- The switchboard operator will contact as many members of the identified Control Team as possible and tell them to report to the nominated Control Centre. The security staff at Summer Row and Richmond House will also need to be contacted immediately.

**Initiation Procedures (out of normal working hours)**

Where a serious event occurs out of normal working hours the following process will be followed by the key holder.

The key holder will:

- will ensure the emergency services have been contacted and then, depending upon availability, call either the Vice-Chancellor and Principal or the Deputy Vice-Chancellor (Corporate Services).
- will then assist the emergency services in any safe way possible to minimise the impact of the incident.
- will collate emerging information regarding the progress of the incident and its impact, and pass this in a timely manner to the Vice-Chancellor and Principal or Deputy Vice-Chancellor (Corporate Services).

# Key Personnel

## Organisational Structure

The Disaster Plan organisational structure is detailed in Fig. 1 below.

# *Disaster Plan: Organisational Structure*

## *Disaster Plan Committee*

**Vice-Chancellor and Principal (Head of Emergency Procedures)**

**EMT**
**Director of Capital Projects, Estates & Sustainability**
**Dean of School of Hospitality, Tourism & Events Management**
**Dean of School of Sport and Creative Services**

## Control Team 1 (On Site)

Deputy Vice-Chancellor (Corporate Services)
Director of Capital Projects, Estates & Sustainability
University Secretary
Head of Marketing
Head of Student Services
Director of Learning Services
Pro-Vice-Chancellor (Finance)
Pro-Vice-Chancellor (Information

## Control Team 2 (Educational Trips )

Deputy Vice-Chancellor (Corporate Services)
University Secretary
Dean of School of Hospitality, Tourism and Events Management
Pro-Vice-Chancellor (Finance)
Dean of School of Hospitality, Tourism and Events Management
Head of Marketing
Director of Recruitment in Asia
Recruitment Manager (EU)
Head of Student Services
Emergency Translation Support (see Page 13)

## Additional Call Out / Deputy Staffing

**Overall Head of Emergency Procedures**

The Vice-Chancellor and Principal will retain the role of overall Head of the Disaster Plan. In the absence of the Vice-Chancellor and Principal, the Deputy Vice-Chancellor (Corporate Services) will assume this role until the Vice-Chancellor and Principal is available.

It is the responsibility of the Head of the Disaster Plan to ensure the delivery of the Plan.

**Disaster Plan Committee**

The Disaster Plan Committee will support the Vice-Chancellor and Principal in the delivery of the Disaster Plan and will consist of the following personnel:

| Name | Position | Responsibilities |
|---|---|---|
| Ray Linforth | Vice-Chancellor and Principal | Overall business direction & responsibility for the University |
| Michael Harkin | Deputy Vice-Chancellor (Corporate Services) | Management responsibility for Information Services, Personnel, Student Services Estates and Marketing Unit |
| Gary Wood | Deputy Vice-Chancellor (Academic Affairs) | Timetabling and course delivery |
| Alex Lofthouse | Pro-Vice-Chancellor (Performance & Partnerships) | Supporting quality, academic and curriculum matters with Deputy Vice-Chancellor (Academic Affairs) |
| Tim Barker | Pro-Vice-Chancellor (Finance) | Financial Planning and Control |
| Amin Pradhan | Pro-Vice-Chancellor (Info Ser) | IT infrastructure, student records and data protection, telephones |
| Richard Riley | University Secretary | Governance issues, insurance, etc |
| Roland Barrett-Price | Director of Capital Projects, Estates & Sustainability | Premises and Health & Safety |
| Melvyn Pryer | Director of the International Student Centre | Residential visits, expeditions and adventure activities |
| Joseph Young | Deputy Director of the International Student Centre | Residential visits, expeditions and Adventure activities |
| Elaine Penn | Dean of School of Sport and Creative Services | Curriculum, timetabling and issues associated with Richmond House |
| Paul Russell | Dean of School of Hospitality, Tourism and Events Management | |

**Control Teams**

The primary function of the Control Teams is to provide an effective and practical response to a serious occurrence, whilst also ensuring that any interventions identified by the Disaster Plan Committee are implemented.

There are two Control Teams defined by location of the event:
- Team 1: Events that occur on UCB premises
- Team 2: Events that occur off-site (e.g. educational trips abroad)

In both instances the Deputy Vice-Chancellor (Corporate Services) will assume the co-ordinating role of the teams. The key function of this position will be to allocate specific responsibilities and roles to the individual team members.

**Please note:** In addition to the personnel listed below, dictated by the circumstances and nature of the event, other staff (support staff) may be seconded to the individual teams as deemed appropriate.

## Control Team 1 (For events occurring on UCB premises)

Control Team 1 will comprise any combination of the following, according to individual availability:-

| Name | Position | Extension No:/Mobile No: |
|---|---|---|
| Michael Harkin | Deputy Vice-Chancellor (Corporate Serv) | Ext 2234, Mobile 07825 954650 or 07771 858185 |
| Tim Barker | Pro-Vice-Chancellor (Finance) | Ext 2219, Mobile 07785 240096 |
| Amin Pradhan | Pro-Vice-Chancellor (Info Ser) | Ext 2361, Mobile 07788 414008 |
| Roland Barrett-Price | Director of Capital Projects Estates & Sustainability | Ext 2223, Mobile 07765 407549 |
| Richard Riley | University Secretary | Ext 2362, Mobile 07540 671943 |
| Eileen Pryer | Head of Marketing | Ext 2336, Mobile |
| Drew Linforth | Head of Student Services | Ext 2436, Mobile 07780 657439 |
| Alison Piggott | Director of Learning Services | Ext 2256, Mobile 07702 371875 |

**Functions of the Control Team 1**

1.    **Leadership**

- Allocate primary functions to the Control Team members
- Confirm that Emergency Services have been contacted
- Act as "Nerve Centre" for operations
- Establish communications, including dealing with the media – see Appendix 1
- Liaise with overall Head of Emergency procedures

**2.     Evacuation and Security**

- Liaise with Emergency Services
- Confirm that evacuation procedures have worked and that buildings are empty
- Confirm that Gas supplies to building have been disconnected (if appropriate)
- Ascertain whether boiler shutdown has occurred or is safe to do and act accordingly (if appropriate)
- Ensure that nobody but Emergency Services enters the affected buildings

**3.     Logistics**

- Ascertain whether there are any casualties and organise first aid as appropriate
- Clear and organise suitable large room(s) in appropriate building for assembly or evacuees/casualties
- Ensure that "spectators" are kept well away from the site
- Organise transport to get evacuees away from the site as quickly as possible
- Organise suitable arrangement for evacuees who cannot go home immediately

## Control Team 2 (for events involving staff/students off site)

Control Team 2 will comprise any combination of the following, according to individual availability:-

| Name | Position | Extension No:/Mobile No: |
|---|---|---|
| Michael Harkin | Deputy Vice-Chancellor (Corporate Services) | Ext 2234, Mobile 07771 858185 or   07825 954650 |
| Richard Riley | University Secretary | Ext 2362, Mobile 07785 240097 |
| Melvyn Pryer | Director of the International Sport & Tourism | Ext 2259, Mobile 07789 912082 |
| Tim Barker | Pro-Vice-Chancellor (Finance) | Ext 2219, Mobile 07785 240096 |
| Paul Russell | Dean of the School of Hospitality Tourism and Events Management | Ext 2318, Mobile 07949490909 |
| Eileen Pryer | Head of Marketing | Ext 2336, Mobile |
| Martin Stanton | Recruitment Manager (EU) | Ext 2311, Mobile 07789 910782 |
| Sarah Chiu | Director of Recruitment in Asia | Ext 2316, Mobile 07900 241514 |
| Drew Linforth | Head of Student Services | Ext 2436, Mobile 07780 657439 |

**Emergency Translation Support**

| Staff Member | Languages | Home Number | Mobile Number |
|---|---|---|---|
| Sarah Chiu | Cantonese Mandarin | 0121 553 5311 | 07900 241514 |
| Valentina Basile | Italian German Spanish French | 0121 240 0678 | 07877 078090 |
| Carnette Richardson-Jacquet | French Spanish | 0121 244 2948 | 07979 863531 |
| Craig Deeley | French German | 0121 429 2585 | 07748 661689 |
| Daniel Valles-Capdevila | French Spanish | 0121 707 6730 | 07753 616025 |
| Jane Johnson-Sinn | French German | 0121 679 6231 | 07868 260984 |
| Julia Clifford | French Spanish | 0121 476 6863 | 07740 334476 |
| Martin Stanton | French Spanish German + some European languages & Danish | 0121 684 3641 | 07789 910782 |

**Functions of the Control Team** (for events involving staff/students off site)

**1.    Leadership**

- Establish communications with key personnel

- Act as "Nerve Centre" for operations and holder of feedback and information from all sources

- Allocate primary functions to Control Team members

**2.    Information**

- Obtain a copy of the visit manifest containing information about group members, contact numbers, medical conditions etc.  A copy of the manifest is in the safe in the security control room.

- Contact the tour/transport operator as appropriate in the event of activities other than expeditions.

- Establish communications with the incident site

- Obtain information on the nature of the incident, those involved and an assessment of any injuries/fatalities.

- Feed information to the Central Communications Point who will deal with appropriate responses in liaison with the Head of Emergency Procedures

- Ensure that all personnel are aware that they DO NOT discuss:

  - potential causes of the incident
  - those involved
  - injuries
  - any of the arrangements to deal with the incident

3.   **Resolution**
- Contact the University's insurers

- Contact relatives

- Provide an outline brief for governors

- Consider making arrangements for relatives to come to the University or to go directly to the incident site

- Nominate a member of University staff to visit the incident site

- Formulate a continual press briefing strategy.  There should be one single point of contact, namely the Central Communications Point.

- Begin making arrangement to repatriate staff and/or students.  This may involve:

  - Arranging transport from the incident site to the University
  - Liaising with ferry/airport authorities for reception of staff/students/families at entry point
  - Arranging hotel accommodation (if appropriate)
  - Nominating a member of staff to meet the students and make necessary arrangements on their behalf
  - Arrange for staff/students/family members to access counselling services at the earliest opportunity

# BUSINESS RECOVERY PLAN

## Introduction

The Business Recovery Plan (BRP) is the overarching institutional plan which is applied when there has been a significant occurrence which has impacted upon the normal business operations of the University. The BRP identifies critical areas and provides procedures for business resumption and recovery in the event of any disruption to normal business operations. The procedures have been designed to recover critical business activities within a time frame that poses no major risk to customer service, cash flow or market share.

In addition the BRP supports the delivery of the individual Business Continuity Plan detailed for each of the University's business areas.

The BRP does not attempt to qualify every potential eventuality, either by the nature of the significant occurrence or its impact. The BRP is intended to provide a framework to support the management in reacting to a specific event.

## Plan Initiation

The initiation of the BRP will be considered immediately following the implementation of the Disaster Plan procedures.

The key stages to establish whether the BRP is initiated are:

- Organise an immediate survey of the disaster site if safely practicable to assess the extent of the damage to the facility and its contents. Instruct individuals to:

    o Obtain facility and content damage reports.

    o Obtain injury reports.

    o If access is restricted, obtain an estimate of when access will be allowed by local authorities, police, or fire service.

    o Formulate a Business Recovery Plan activation or Termination recommendation.

In the first instance this information will be largely provided by the appropriated personnel engaged through the respective Control Teams as detailed above. The decision to activate the BRP will be made by the Head of Emergency Procedures supported by the Disaster Planning Committee.

### After assessment

The following, potentially highlighted in the assessment, have been identified as posing a significant threat to the business:

- loss of practical facilities
    - loss of other teaching areas
    - major loss of public utilities sub-station

- failure of other essential services
- computer server virus

There are three main courses of action which can be taken after all the necessary information has been collated:

- **Limited Recovery** – A narrow range of activity will be commissioned reflecting the limited impact of the significant occurrence.

- **Long Term Recovery** – Where impact is assessed to be significant the full BRP procedures will be initiated. The goals and objectives for the recovery operation will have been identified and the specific activities will be driven by the recovery tasks set out within the different Business Continuity Plans.

- **Termination of Disaster Plan activity** - If no further recovery activities are required, all recovery activities are terminated.


## Recovery Management Team

**Personnel**
If the decision is taken to activate the BRP the Recovery Management Team (RMT) will be created. The composition will be the same as the Disaster Plan Committee but the Deputy Vice-Chancellor (Corporate Services), designated the Business Recovery Manager, will lead up this team.

> ### *Recovery Management Team*
>
> *Lead: Deputy Vice-Chancellor (Corporate Services)*
>
> **EMT**
> **Director of Corporate Projects, Estates & Sustainability**
> **Dean of School of Hospitality, Tourism & Events Management**
> **Dean of School of Sport and Creative Services**
> **Dean of School of Education and Community**

In addition to this leadership team a number of other key individuals will be engaged depending upon the nature and scope of the incident. A full list of these personnel are detailed in Appendix 9

Initial Meeting

The Business Recovery Manager's implementation meeting with the Business Recovery Team (BRT) will consider the following items:

- Information to date

- In the event of personal injuries or worse, team members to be allocated to organise support

- Review recovery requirements, allocate responsibilities and provide appropriate approvals

- Decide which public relations statements all personnel will use, and distribute to appropriate staff

- Ensure that all personnel are aware that they DO NOT:

  o Discuss the cause

  o Estimate the monetary loss

  o Discuss the safety programme

  o Discuss injuries

  o Allow the news media into areas where confidential material may be exposed

  - Any other related business

**Tasks and Responsibilities**
The following functions outline the key areas that may need to be considered when the BRP has been initiated. The Business Recovery Manager will be responsible for the delegation of these functions to the appropriate staff.

**Leadership**

- Manage the recovery programme

- Collect, collate and implement all appropriate local Business Continuity Plans

- Collect, collate and maintain a true record of the actions

- Maintain the overall status of recovery operations

- Collect and collate all reports, costs and team status records

- Organise and provide the minutes of all BRT meetings

- Provide the line management for all recovery operations

**Information Technology Recovery**

- Restoring teaching capabilities at the affected site, and/or providing services at an alternative processing facility and the security of the same

- All the data retrieval and the salvaging, cleaning, repair and testing of computers and associated equipment including replacement of unsalvageable items

**Facilities Recovery**

- Supplying of detailed damage reports including lead times and estimated costs for restoring, repairing or replacing buildings, services, plant and contents

- The monitoring of all restoration works and the supplying of alternative accommodation requirements and services

**Administration Recovery**

- Setting up and operating an emergency administration programme including staff support and salaries

- Identifying and recreating work destroyed in the event or incident

- Supervising all paper recovery operations

- Providing forms to capture and identify all costs appertaining to the disaster and ensuring emphasis is placed upon the collection of all overdue accounts

**Security**

- Securing the affected site and alternative premises security

- Management of all contractors' movements in, on and around the site

- The recording of all salvaged items removed from the site

**Curriculum Services Recovery**

- Damage to materials and student work in progress, the cleaning, repair, maintenance or replacement of machinery or plant

- Restoration of other equipment

- Sourcing materials and machinery for re-location in alternative accommodation and staff manning requirements

**Marketing**

- Public relations and customer liaison

- All students, other customers and funding bodies should be contacted and kept informed of the University's efforts to maintain services

**Legal and Regulatory Compliance**

- Responsibilities for ensuring the regulatory commitments are met

- Responsibilities for negotiating contract extensions, without penalty, where possible if commitments cannot be met

- Assisting Business Units in determining legal and regulatory issues during the business disruption

**Purchasing**

- The pricing, sourcing and provision of all material requirements

- The pricing, sourcing and provision of replacement equipment, services and plant

**Generic Functions**
- Salvage Operations
- Relocation Activities
- Human Resources:
  - provide specific support to ensure the recovery activities are appropriately staffed
  - where appropriate provide detailed costings for staffing related recovery activities
  - ensure that the welfare provision, of those involved in recovery activities, are fully considered in operational planning
  - support the communication of changes in working practices/locations etc through the business recovery activity

## Recovery Operation Shutdown

This procedure is to be used by the Business Recovery Manager and during the final stages of the recovery operation.

- Collect all recovery reports and documentation

- Organise in date sequence

- Prepare the overall final recovery reports

- Submit the reports to the  Recovery Management Team

- Review all expense report forms and verify that all personnel were properly reimbursed
- Review recovery activities against documented Business Continuity Plan and initiate updates and changes as required
- Prepare letters of gratitude to all staff who assisted during the recovery
- Finalise insurance claim
- Debrief all staff
- Review the recovery performance
- Close down the Business Recovery Plan

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