SERIOUS INCIDENT AND BUSINESS CONTINUITY POLICY 2013

The Vice-Chancellor and Principal, as delegate of the Senate of the University of Sydney, adopts the following policy.

Dated: 25 February 2013

Signature:

Name: Dr Michael Spence

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1 Name of policy

This is the Serious Incident and Business Continuity Policy 2013.

2 Commencement

This policy commences on date of execution above.

3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates.

4 Statement of intent

This policy provides for:

(a) the management of serious incidents and crises affecting the University;

(b) the health, safety and security of staff, students, affiliates and visitors; and

(c) the continuation of, and management of disruption to, University business.

5 Application

This policy applies to all staff, students, affiliates and visitors to University lands, including campuses.

6 Definitions

business continuity	means the process of ensuring that a business is able to continue to operate during a serious incident or crisis and to recover appropriately in the aftermath of such an event.
Business Continuity Plans	means, jointly and separately, the plans required by clause 8(3).
Campus Assist	means the suite of assistance services provided by the University's Campus Infrastructure and Services portfolio. It includes a 24 hour telephone assistance service, Campus Assist precinct officers and the Campus Assist online helpdesk.
crisis	means an incident of a severe nature that has the potential to seriously disrupt University business. It involves real or potential threat to life, or fatalities, and is likely to involve matters with the potential for substantial and ongoing impact on the reputation of the University and have serious implications for key University operations.
Crisis Management Committee	means the committee established by clause 13.
serious incident	means a significant adverse event which affects the University, its staff, students, affiliates or visitors and which requires a University response. It involves significant disruption to University business or includes serious injury or threat to life. Any incident which involves one or more emergency service (for example, the police, ambulance, fire brigade) is a serious incident. This term is interchangeable with the terms critical incident or emergency
Emergency Response Team	means the *ad hoc* committee formed to manage the response to a serious incident, as required by clause 12.

7 General principles

(1) The Director, Campus Infrastructure and Services is responsible for ensuring that the University has in place detailed plans and procedures for managing serious incidents and crises.

(2) Any adverse event which affects the University, its staff, students, affiliates or visitors should be reported to the University..

(3) The Campus Security Unit will be responsible for receiving and recording reports of serious events or crises, in accordance with this policy and any associated procedures.

8 Planning

(1) The Director, Campus Infrastructure and Services will determine:

(a) a detailed and confidential Emergency Management Plan, which will specify the steps required to respond to and record a serious incident; and

(b) a detailed and confidential Crisis Management Plan, which will specify the steps required to respond to and record a crisis.

(2) The Emergency Management Plan and the Crisis Management Plan may be set out in a single document, or in separate documents, as the Director, Campus Infrastructure and Services considers appropriate.

(3) The Director, Campus Infrastructure and Services will oversee the establishment and maintenance of Business Continuity Plans which will provide realistic and effective bases for managing the continuity or recovery of key University business activities, including but not limited to:

(i) admissions and initial enrolment;

(ii) data management;

(iii) examinations;

(iv) ICT services;

(v) financial services;

(vi) payroll services;

(vii) pre-enrolment;

(viii) teaching and office facilities;

(ix) research activity;

(x) research funding; and

(xi) timetabling.

(4) The Emergency Management Plan, Crisis Management Plan and Business Continuity Plans must be reviewed and updated at least every five years.

9 Testing plans

(1) The Director Campus Infrastructure and Services will ensure that the Emergency Management Plan and the Crisis Management Plan are subject to regular testing.

(2) The testing will consist of a combination of desktop and practical exercises aimed at ensuring that the plans and associated procedures are up-to-date and appropriate and that the University's responses are timely and effective.

(3) The Director Campus Infrastructure and Services will provide a written report on the outcome of each test to the Senior Executive Group Finance and Infrastructure Sub-Committee.

10 Reporting incidents

(1) Anyone involved in, or observing, a serious incident should report it to the Campus Security Unit or to Campus Assist. A Campus Assist officer receiving such a report must immediately forward it to the Campus Security Unit.

Note: As at the date of this policy, contact details for Campus Assist services are available from the Campus Infrastructure and Services website at: http://sydney.edu.au/facilities/services/campus_assist/index.shtml

(2) In addition to the requirements of subclause 10(1), staff should also report any incident which may have safety or health implications through the online hazard and incident reporting system *Riskware*.

Note: As at the date of this policy, information about, and access to, Riskware is available from the University's Work Health and Safety website at http://sydney.edu.au/whs/report/about_riskware.shtml

11 Preliminary assessment of reports

(1) The Campus Security officer receiving a report under this policy will perform a preliminary assessment to determine:

(a) whether it should be treated as minor matter for local resolution, a serious incident or a crisis;

(b) the initial action to be taken in response to the report; and

(c) the most appropriate people to respond.

(2) The Director, Campus Infrastructure and Services may determine procedures for the conduct of this preliminary assessment. Any such procedures will be confidential documents.

(3) If the Campus Security Officer determines that the report involves a serious incident or crisis, he or she will immediately contact the Manager, Campus Security Unit who will be responsible for:

(a) informing the appropriate emergency service authorities; and

(b) reporting the matter as soon as possible to the Director, Campus Infrastructure and Services.

12 Responding to serious incidents

(1) In response to a report of a serious incident, the Manager, Campus Security Unit, (in consultation where possible with the Director, Campus Infrastructure and Services) will form an appropriate Emergency Response Team, and will assume interim leadership of the Emergency Response Team.

(2) The composition of the Emergency Response Team will depend on the nature of the event and the skills which the Manager, Campus Security Unit considers necessary to manage the issues involved.

(3) At its first meeting, the Emergency Response Team will appoint a team leader.

(4) Apart from the team leader an Emergency Response Team will usually include teams or individuals responsible for each of:

(a) communications;

(b) infrastructure;

(c) operations; and

(d) human resources.

(5) An Emergency Response Team may co-opt additional members as it sees fit.

(6) If at any time the Emergency Response Team concludes that a serious incident or emergency has become a crisis, the team leader will immediately inform the Director, Campus Infrastructure and Services of that conclusion and the provisions of clause 13 of this policy will apply.

13 Responding to crises

(1) There will be a standing Crisis Management Committee, which will consist of individuals appointed by the Vice-Chancellor, including but not limited to::

(a) a chair (usually a Deputy Vice - Chancellor);

(b) an operations co-ordinator;

(c) a communications co-ordinator;

(d) a planning co-ordinator; and

(e) an administrative support co-ordinator.

(2) The Crisis Management Committee is responsible for:

(a) monitoring a crisis as it unfolds;

(b) determining and implementing strategies to manage the issues that arise; and

(c) managing business continuity strategies during and after the crisis.

(3) In response to a report of a crisis, or the escalation of a serious incident to a crisis, the Director, Campus Infrastructure and Services will convene a meeting of the Crisis Management Committee as soon as possible. Thereafter, the chair of the Crisis Management Committee will determine whether, and when, to convene its meetings.

(4) The Crisis Management Committee will continue to meet until it has determined that the crisis and its aftermath have been appropriately managed and the University has returned to normal operation.

14 Administration and oversight

(1) The Director, Campus Infrastructure and Services is responsible for the day to day administration of this policy and all associated procedures.

(2) The University's Senior Executive Group Finance and Infrastructure Sub-Committee is responsible for the oversight of this policy and all associated procedures.

(3) The Director, Campus Infrastructure and Services will report in writing to the Senior Executive Committee Finance and Infrastructure Sub-Committee at least annually on the effectiveness and appropriateness of the processes in place.

NOTES

Serious Incident and Business Continuity Policy 2013

Date adopted: 25 February 2013

Date commenced:

Administrator: Director, Campus Infrastructure and Services

Review date:

Related documents:

State Emergency and Rescue Management Act (NSW)

Fire and Other Emergencies In University Buildings Policy

Information Security Policy

Injury Management Policy

Occupational Health & Safety Policy

Privacy Policy

Risk Management Policy

Satellite Centres – System Backup Procedures

Serious Incidents Involving International Students Procedures

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AMENDMENT HISTORY

Provision	Amendment	Commencing