

Brown University Continuity Planning Policy

Last Update: March 28, 2013

Mission

The mission of Brown University is to serve the community, the nation, and the world by discovering, communicating, and preserving knowledge and understanding in a spirit of free inquiry, and by educating and preparing students to discharge the offices of life with usefulness and reputation. We do this through a partnership of students and teachers in a unified community known as a university-college.

Purpose

Brown University is committed to ensuring continuation of essential functions for students, faculty and staff through an effective and comprehensive program of emergency management, disaster prevention and continuity planning. In the event of an emergency or disaster, Brown's highest priorities will be:

- Health & safety of individuals
- Continuity of teaching and research
- Preservation of facilities
- Protection of reputation
- Safeguard from financial loss

Scope

University departments, centers and programs are responsible for creating and maintaining a continuity plan consistent with the guidelines set forth by the University in this policy.

University departments or designated affiliates that have not developed their own plans shall be required to follow the central direction set by the University during an emergency.

Possible Emergency Conditions

Brown must provide for the continuity of operations in the event of emergency conditions. Plans should not be restricted to the loss of critical automated systems. The following emergency conditions (and possible causes), at a minimum, must be considered in developing plans:

- Major disruption to personnel (e.g. pandemic)
- Loss of buildings, utilities and/or automated systems (e.g. hurricane, blizzard, earthquake, flood, fire)
- Major disruption of campus community, lock down (e.g. hostile intruder, terrorism, civil unrest)
- Environmental disaster (e.g. nearby chemical facilities)

Continuity Plan Objectives

Continuity plans are designed to enable a rapid, coordinated and effective response to an interruption to normal activities; the recovery of Brown's critical activities of research and teaching and the continuity of the administrative operations which support these activities. In the event of a disruption, a department's continuity plan should enable achievement of the following objectives:

- Resume time sensitive and mission critical processes within a targeted number of hours, days or weeks according to set recovery time objectives (RTO).

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- Minimize possible adverse effects to the University's operations, reputation and financial position.
- Provide a safe work environment for displaced faculty, staff and students while impacted buildings, systems and services are restored.
- Minimize the number and frequency of ad hoc decisions which must be made following a disaster.
- Minimize dependence on the participation of a single individual or group.
- Prevent the need to develop and implement new, untested procedures during a disruption.
- Minimize the loss of data and information.
- Minimize the total time elapsed between a disruption and the resumption of essential functions.

Program Leadership

The Executive Vice President for Finance and Administration is the University senior executive responsible the Risk Management and Emergency Preparedness and Continuity Planning. In that role the EVP must:

- Ensure that a comprehensive risk assessment and risk management plan have been completed and are regularly reviewed and updated.
- Coordinate a process to ensure that continuity plans appear adequate.
- Remind departments to review their continuity plans and update as needed.
- Encourage departments to exercise and test their plans regularly and revise their plans as needed for continued improvement.

The Executive Vice President for Planning and Policy is the University senior executive responsible for Crisis Management. In that role the EVP must:

- Ensure that the Emergency Management & Preparedness Manual remains up to date and that appropriate staff are familiar with the manual.
- Activate and lead the Core Crisis Team as needed for the duration of a level 2 or level 3 emergency as identified in the Manual.
- Act as liaison to the Policy Committee for strategic guidance and decision making during very serious emergencies.

Department leadership is responsible for:

- Developing an effective continuity plan for their operations
- Leading its unit in a operational impact analysis with the intent to:
 - identify critical activities
 - document the loss over time if those activities were interrupted
 - identify internal and external dependencies required for critical activities
 - communicate and coordinate dependencies with other departments
 - identify the maximum allowable downtime (MAD) and recovery time objective (RTO) for their critical activities.
- Informing the Continuity Planning Steering Committee of critical times of year when their key activities have reduced tolerance for interruptions
- Determining when their continuity plan should be activated
- Reviewing their plan regularly and ensuring that staff are trained to use the plan

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- Consider continuity planning and risk issues when developing a new service, process or activity

Exercises and Testing of Plans

Continuity plan exercises may be accomplished during planned University exercises or by departments directly. These exercises should be part of ongoing continuity program maintenance.

Exercises:

- Are conducted for the purpose of validating effectiveness the university's or department's plan(s)
- Should be a realistic rehearsal or simulation of an emergency, in which individuals and organizations demonstrate the tasks that would be expected of them in a real emergency
- Promote preparedness, improve the response capability of individuals and organizations, validate plans, policies, procedures and systems, and determine the effectiveness of the command, control, and communication functions and event-scene activities

Exercises may vary in size and complexity to achieve their respective purposes. Examples of emergency exercises include:

- *Desktop Audit* is a good starting point for reviewing and exercising plans and should include reading through the plan to ensure that information is accurate and complete. This may be done by an individual or as a group.
- *Tabletop Exercises* simulate an emergency situation in an informal, stress-free environment. They are designed to elicit constructive discussion as participants examine and resolve problems. The success of these exercises is largely determined by group participation.
- *Functional Exercises* are fully simulated interactive exercises that validate the capability to respond to a simulated emergency testing of one or more functions of the plans. They focus on policies, procedures, roles and responsibilities of multiple emergency functions before, during, or after any emergency event.
- *Full-Scale Exercises* simulate actual emergency conditions. They are field exercises designed to evaluate the operational capabilities in a highly stressful environment.

Compliance

Continuity plans should be reviewed annually and tested and updated as needed. Plans should be updated within 30 days of any major operational or system change.