

Yale University

Business Continuity Planning

Quick Start Guide

Introduction

A Business Continuity Plan (BCP) (*previously referred to as Continuity of Operations Plan or COOP*) is a collection of resources, actions, procedures, and information that is developed, tested, and kept ready in the event of a major disruption of operations. It helps prepare departments to continue their essential functions after a disaster or other major disruption. Having a business continuity plan will help minimize the impact on your department, help reduce down-time, and help you return to normal operations as quickly as possible.

A business continuity plan is different from an Emergency Response Plan. An emergency response plan tells you what to do immediately before or during an emergency, like what to do if you see a fire, or what to do during a blizzard. A business continuity plan helps you minimize the impact on our business regardless of the incident and helps you return to normal operations as soon as possible.

Introduction to Business Continuity Video

The ***Introduction to Business Continuity Planning*** video provides an excellent overview of how to develop a business continuity plan. It illustrates the planning process, available resources, the creation of a planning team, and much more. Viewing the video and reading this Quick Start Guide are important first steps in developing your business continuity plan.

Business Continuity Planning Guide

The ***Guide to Business Continuity and Recovery Planning*** is available on the Emergency Management website and includes worksheets to help collect and organize information as well as additional planning and preparedness suggestions. The guide, including all of the worksheets, is available as a fillable and printable pdf document. The worksheets are also available individually in MS Word or Excel. Different versions of the guide are available for different audiences. The guide also has an Emergency Response section with information, instructions, and checklists to use in the aftermath of a disaster or major disruption.

Business Continuity Software

RSA Archer™ is the Enterprise Governance, Risk and Compliance (eGRC) software application used by the University to manage business continuity plans. The application supports the process of documenting essential functions, completing a Business Impact Analysis, and creating the Business Continuity Plan. Archer replaces the COOP application previously used. Selected individuals within each business organization will be granted access to Archer. Contact the Business Continuity Program Manager to arrange Archer access.

Department or Organization Planning Team

Developing a business continuity plan should not be delegated to just one person. An important factor to successful BC planning is having the right people helping. Designate one person to be the lead business continuity coordinator then form a small planning team to help bring all of the pieces together. You will also want to identify a staff member to be responsible for entering the information into the Archer application.

Existing Emergency Procedures

Start your business continuity planning by reviewing any existing business continuity plans or emergency procedures. Much of the information you will need for your BC plan may already be part of your existing plans.

Overview of Business Continuity Planning

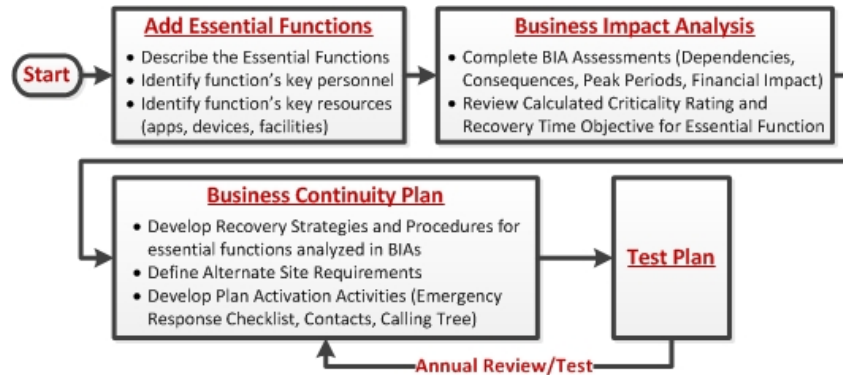
There are 4 phases of creating a business continuity plan. Each phase builds on information from the previous phase. The entire process can be completed over a six to eight-week period. The four phases are explained below.

Phase One: Determine the Essential Functions and Essential Resources of your department or organization

Phase Two: Conduct a Business Impact Analysis (BIA) for each Essential Function

Phase Three: Develop Business Continuity Recovery Strategies and Tasks

Phase Four: Test / Review your Plan



Phase 1: Determine Essential Functions and Essential Resources

The first step in BC planning is to identify the essential functions of your department as well as the essential resources needed for each function. Essential functions of your department are those services, programs, or activities that are necessary to your on-going business and would directly affect the success of your department if they were to stop for an extended period of time. Your essential functions will serve as your guide for how to restart your operations following a disaster or major disruption. In general, you should be able to organize your operations into four to six essential functions, more if you are a highly complex department or unit.

Along with identifying your essential functions, you will need to identify the essential resources needed by each function. Resources include people, facilities, specialized equipment and supplies, ITS applications and services, and essential vendors.

The planning guide includes several useful worksheets to help you organize and document your essential functions and resources.

Phase 2: Conduct a Business Impact Analysis for each Essential Function

A Business Impact Analysis (BIA) is completed for each essential function to help assess and document potential impacts and negative consequences of a disaster or major disruption on the function. Completing a BIA also helps establish recovery priorities by looking at dependencies, peak periods, harmful consequences, and financial risks.

Using a series of multiple choice and fill in the blank questions, the Archer application will produce a *BIA Criticality Scorecard* for each essential function. The BIA information is entered into the Archer application and submitted to the Business Continuity Manager for review. Department or unit leadership should complete an internal review of the BIA before submitting it for formal review by the BC Manager. Your BIAs must be approved before going onto Phase 3.

The planning guide includes a detailed worksheet to help you complete a BIA for each function.

Phase 3: Developing Business Continuity Recovery Strategies and Tasks

In Phase 3 you will develop and document actions and procedures that will enable your department or organization to maintain or resume operations as quickly as possible following a disaster or major disruption. This will involve developing Recovery Strategies and Recovery Task.

Recovery Strategies are the overarching objectives to achieve. They indicate what the department or unit needs to do to return to normal operations. Example: If one of your essential function is managing staff schedules, then the recovery strategy is “To continue managing staff schedules”.

Each recovery strategy is followed by recovery tasks. Tasks are specific actions or activities taken to accomplish the strategy. Recovery tasks serve as checklists that guide your recovery actions and are organized by required resources – People, Places, and Things. Tasks also identify the roles or individuals who will be responsible for executing the tasks.

The planning guide includes a detailed Recovery Planning Worksheet to help you organize and document your recovery strategies and tasks.

Phase 4: Testing and Evaluation

Once your business continuity plan is finished, you will want to test it to be sure that your department or unit is familiar with it. One way to test your plan is to conduct a tabletop exercise or walkthrough. Include all of your planning team as well as others in your department or unit who would be involved during and after a disaster or major disruption. Develop a plausible scenario that might impact your department (e.g., fire, sprinkler malfunction) and discuss the actions you would take to maintain or restore your operations under a variety of situations. Compare your discussion with your plan and make any adjustments as needed. Additional information about conducting a tabletop exercise can be found in the Business Continuity section at <https://emergency.yale.edu>.

Additional Business Continuity Planning Considerations

The planning guide also includes useful information on other important business continuity topics such as how to avoid possible IT issues, emergency relocations, emergency communications, and personnel preparedness. Review these sections of the guide and incorporate them into your overall plan.

Entering Your Plan into Archer

Once you have completed the planning guide you will need to enter your plan into the Archer application. Contact the Business Continuity Program Manager at BCManagement@yale.edu for access to the Archer application. Training is available.

Submitting Your Plan for Review and Approval

After you have completed your plan and entered it into the Archer application, you are ready to submit it for review and approval by the Yale Office of Emergency Management. Before submitting your plan, be sure that your department leadership has thoroughly reviewed the entire plan.

Available Training and Support

Training is available to support business continuity planning. Information sessions and workshops are scheduled throughout the year in different locations and cover all aspects of developing a BC plan. Recorded versions of the workshops are also available on the Emergency Management website.

Introduction to Business Continuity Planning

This 60-minute session covers all the aspects of what is involved with creating a BC plan for your department or unit including a review of available resources, expected time commitment, available training and support, and more. *Who should attend:* Department business continuity or emergency planning coordinators with a good working knowledge of the department.

Business Continuity Planning Workshop Series

Three 90-minute workshops that cover specific topics related to BC planning. Workshops follow the planning guide and require individual work before and after each workshop. At the completion of three workshops, participants will have a fully executable BC plan for their department or unit. *Who should attend:* Department business continuity or emergency planning coordinators with a good working knowledge of the department and a commitment to creating an effective BC plan .

Workshops:

- #1: Determining your Essential Functions. Completing a BIA, Determining Essential Resources
- #2: Developing Recovery Strategies and Recovery Tasks
- #3: Creating Recovery Teams. Entering your plan into the Archer application

Archer Basic Navigation Instructions and Cheat Sheets

Basic navigation instructions, training presentations, and Cheat Sheets are available within the Archer application and are also included as part of the planning workshops.

Training Options: There are two training option available – In-Person and On-Demand.

In-Person workshops cover the foundations of BC planning in a small group setting. They follow the planning guide and allow for maximum interaction with the instructor. In-person workshops are recommended for individuals new to BC planning or those who prefer an interactive training program.

On-Demand trainings are condensed recorded webinar versions of the in-person workshops. Trainings can be viewed at any time from any computer and use the same training materials as the in-person workshops, but do not include the ability to interact with the instructor. On-demand trainings are recommended for experienced BC planners and those who desire more flexible training options. On-Demand trainings can also be used to supplement the in-person trainings.

Additional information and instructions for how to register are available on the business continuity section of <http://emergency.yale.edu>. Click on the **BC Planning Training Options** link in the Resources section.

Annual Updater and Reviews

Business Continuity Plans need to be reviewed and updated on an annual basis. The Archer application will notify plan owners automatically when their plans are due for review.

Estimated Time Commitment

Developing a quality BC plan for the first time take time and commitment. Expect to spend 4-6 hours developing your initial BC plan. Your actual time will vary depending on the complexity of your department or organization.

Helpful Definitions:

Business Continuity (BC) is the framework for building resilience and continued operations with little or no interruption, irrespective of the adverse circumstances or events. It involves planning and preparation to ensure that an organization can continue to operate in case of a disaster or major disruption, and is able to recover to an operational state within a reasonably short period.

Business Continuity Planning is the process of developing prior arrangements and procedures that enable Yale to respond to an interrupting event in such a manner that critical business functions can continue within planned levels of disruption. The end result of this activity is an effective Business Continuity Plan (BCP).

Business Continuity Plan (BCP) is a document which provides guidance and steps for recovery in a specified period of time for a specified function or process. It is written in enough detail so that those required will be able to execute the plan with minimal delay. It is a collection of resources, actions, procedures, and information that is developed, tested, and held in readiness for use in the event of a major disruption of operations.

Business Impact Analysis (BIA) is a detailed assessment of the possible consequences of a disruption of an essential function and collects information needed to develop recovery strategies to help quickly resume operations.

Critical Functions are those that are necessary to life, health, safety and security of the campus community. These functions must continue at a normal or increased level during an incident. The life, health, safety and security functions will never close and will always require people on campus.

Continuity of Operations Plan (COOP) is a planning term previously used to indicate business continuity planning. A COOP is very similar to a BCP in that they are both created to help the organization recover from a disaster, however Business Continuity Planning is used more by businesses or corporations and Continuity of Operations is used more by Federal, State, and Local governments.

Disaster Recovery (DR) / Disaster Recovery Plans usually refers to specialized planning for computer and IT systems including plans for restoring critical IT databases, products, services, and equipment. A specialized sub-group of Business Continuity Planning.

Essential Functions are services, programs, or activities that are necessary to the on-going business of the University and would directly affect the creation, dissemination and preservation of knowledge if they were to be suspended for an extended period of time. Departmental essential functions are the primary services, programs, or activities that a department performs. They are the core activities of a department. Stopping them for an extended period of time would directly affect the success of the department

Emergency Operations Plan (EOP) is a comprehensive plan developed to ensure appropriate response to and recovery from natural and man-made hazards.

Recovery Time Objective (RTO) is the maximum length of time that a specific business function or resource can be unavailable before causing significant disruption of operations. Also referred to as **Maximum Allowable Downtime**.

Recovery Point Objective (RPO) is the maximum acceptable amount of data loss measured in time. It is the maximum age of the files or data in backup storage required to resume normal operations if a network failure occurs.

Checklist for Developing a BC Plan

- Review BCP Quick Start Guide
- Watch the Introduction to Business Continuity Planning video
- Download the appropriate planning guide
- Designate a lead BC coordinator
- Create a Planning Team with several staff from your department or unit
- Review any existing Emergency Plans
- Attend Introduction to BC Planning★
- Sign-up and attend the Business Continuity Planning workshop series★
- Review and complete the BC planning guide
- Request access to the Archer BC software application
- Enter your plan into the Archer application
- Submit your plan for review and approval by the Business Continuity Program Manager
- ★ Alternately: If you cannot wait until the next series of workshops begin, or prefer more flexible training options, you may view the workshops On-Demand on the Office of Emergency Management website: <http://emergency.yale.edu>.
- For more information, contact the Business Continuity Program Manager at bcmanagement@yale.edu.