

# Yale University

## Business Continuity Planning

# Quick Start Guide

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### Introduction

A Business Continuity Plan (BCP) 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 and units 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 describes 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 *Yale Guide to Business Continuity 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 worksheets, is available as a fillable and printable document. The worksheets are also available individually in MS Word or Excel. Different versions of the guide are available for different audiences. The planning guide is a useful way to organize your information before entering your plan in the Veoci application.

### Business Continuity Software

**Veoci** is the software application used by the University to manage business continuity plans. The application supports the process of documenting essential functions, required resources, and recovery plans. Veoci replaces the Archer application previously used. Selected individuals with responsibility for business continuity planning will be granted access to Veoci. Contact the Business Continuity Program to arrange access.

### Department or Unit 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 planner then form a small planning team to help bring all the pieces together.

### Existing Emergency Procedures

Start your business continuity planning by reviewing any existing business continuity plans or emergency procedures for your department or unit. 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 steps to creating a business continuity plan. Each step builds on information from the previous step. The entire process can be completed over a four to six-week period. The four steps are explained below.

**Step One:** Determine the Essential Functions of your department or organization

**Step Two:** Identify Required Resources (Facilities, Technology, Equipment, Supplies, Vendors, etc.)

**Step Three:** Develop Business Continuity Recovery Strategies and Tasks

**Step Four:** Test / Review your Plan



### **Step 1: Determine Essential Functions**

The first step in BC planning is to identify the essential functions of your department or unit. 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. 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.

### **Step 2: Identify Required Resources**

Knowing what resources are needed for each essential function is another critical part of creating a business continuity plan. Resources include people, facilities, IT application and services, specialized equipment and supplies, and essential vendors. For technology requirements such as IT applications you may want to consult your ITS support specialist for help. For specialized equipment, supplies or vendors, consider items that are difficult to replace and would cause a significant disruption if they were not available.

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

### **Step 3: Develop Recovery Plans and Tasks**

In Step 3 you will develop and document actions and procedures that will enable your department or unit to maintain or resume operations as quickly as possible following a disaster or major disruption. This will involve developing Recovery Task for each of your essential functions.

Recovery tasks are linked to your essential functions and indicate what the department or unit must do to return to normal operations. Recovery tasks serve as checklists that guide your recovery actions and are organized by required resources – People, Places, and Things.

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

#### **Step 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, IT outage) and discuss the actions you would take to maintain or restore 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 Veoci**

Once you have completed the planning guide, log on and enter your plan into Veoci. You may also want to enter your information directly into Veoci as you plan. Contact the Business Continuity Program at [BCManagement@yale.edu](mailto:BCManagement@yale.edu) for access to the application. Training is available.

#### **Submitting Your Plan for Review and Approval**

After you have completed your plan and entered it into the Veoci application, you are ready to submit it for review and approval by the Yale Office of Emergency Management. Before submitting, 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 Veoci application

## Veoci Basic Navigation Instructions and Cheat Sheets

Basic navigation instructions, training presentations, and Cheat Sheets are available 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 a regular basis. The Veoci 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 takes time and commitment. Expect to spend 16-24 hours developing your initial BC plan. Your actual time will vary depending on the complexity of your department or unit.

## Helpful Definitions:

**Business Continuity (BC)** is the framework for ensuring continued operations with little or no interruption regardless of the circumstances or events. It involves planning and preparation to ensure that an organization or unit can continue to operate following a disaster or major disruption or 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 and individual departments to respond to a disaster or major disruption in such a manner that essential 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 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. Disaster Recovery is 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. 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 would directly affect the success of the department

**Emergency Operations Plan (EOP) / Emergency Response Plan (ERP)** 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★
- Request access to the Veoci BC software application
- Create your plan using the Veoci software application
- Submit your plan for review and approval by the Office of Emergency Management Business Continuity Program

★ 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 at [bcmanagement@yale.edu](mailto:bcmanagement@yale.edu).