

CAL POLY

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*Administrative Compliance Services*

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# **Business Continuity Planning**

# How to Complete a Business Continuity Plan (BCP)

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**Workshop presented by: Matt Roberts**  
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# **Business Continuity Planning is:**

- **mandated by the CSU Executive Order 1014**
- **part of the Emergency Management Program**
- **to continue essential functions after disaster occurs; and**
- **the responsibility of every department**

# Business Continuity Planning is NOT:

- Planning for what to do **DURING** the disaster itself.
  - Instead, plan for how to resume operations **AFTER** immediate event has been responded to.

# Business Process Guide and Continuity Plan

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- **Business Process Guide (BPG):**
  - Has been developed for us in completing the plans
- **Business Continuity Plan (BCP) Template Form:**
  - Documents key information
  - Is important to ensure consistent development of the plans

# Responsibility/ Committee:

- Each VP is responsible for the business continuity plans within their division.
- A representative from each department should develop and maintain the plan.
- The Business Continuity Planning Committee is responsible for the central review of all business continuity plans.

# Location and Access of Plans

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- Location of Plan:
  - Each department should designate key department members to retain the plan.
- Access to Plan:
  - All BCPs contains **confidential information** that should not be shared publicly.



# How to Guide

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## Business Continuity Plan (BCP)



**Workshop Steps 1 - 14**

**Time to open the BCP Template provided**

# Step 1: Mission Essential Function Departments (MEF):

- MEF is defined in CSU EO 1014 as a function that enables an organization to
  - Provide vital services,
  - Exercise civil authority,
  - Maintain the safety and well-being of the general public, or
  - Sustain the industrial or economic base during an emergency.

# Departments with MEFs:

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The following departments have been identified as having a mission essential functions (MEFs):

- Academic Personnel
- Facilities Services
- Health & Counseling Services
- Housing & Residential Life
- Human Resources
- Information Technology Services
- Instruction
- Research
- Admissions, Recruitment & Financial Aid
- Contracts & Procurement
- Disability Resource Center
- Fiscal Services
- Food Services
- Records & Registration
- University Police
- University Scheduling

# Step 2: Business Continuity Plan Review

This table should be added to each time the Business Continuity Plan is reviewed, modified, updated and/or tested.

Annually the Business Continuity Plan must be:

- reviewed, and
- tested.

## Step 3: Identify Priority Functions Department Performs

Identify and list functions by priority categories.

Priority 1 = Critical                      First 24 hours

Priority 2 = Vital                              72 hours

Priority 3 = Operational                      4-15+ days

- Fill in department specific details for each Priority Function
- Identify position that holds lead responsibility for that function.

**Note: Follow this same step for each of the identified priority functions.**

# Step 4: Procedures

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## Identify actions to resume each Priority Function

- assuming that computer systems or utilities may not be operational
- identify position that has lead responsibility for each step.

## This is your BPG for each of the Critical and Vital steps

- “How to” guide or “Step by Step” guide
- Identify who is responsible for each step

# Doing Business Without IS / IT

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Depending on the disaster, it will take time for IS and your local IT staff to restore various services.

- How will you do business without IT for:
  - 1-3 days [BCP assumption = NO computer access]
  - 4-10 days [BCP assumption = Limited IS/IT access]
- What records may have been lost & needs to be restored?
- What data will need to “catch-up” in system once services return?
- What aspects should be considered based on the time of year?  
(Academic Calendar / Fiscal Cycle)

# Step 5: Data Recovery and Entry Controls

“The following sections should be completed if any of the Priority Functions are dependent upon entering or retrieving data that may be lost in the event of a computer, network, or utility system failure.”

- **Data Recovery**
  - Identify actions to retrieve lost data in case of computer system failure.
  - Identify position that has lead and back up responsibility for each step.



# Step 5: Data Recovery and Entry Controls

“The following section should be completed if any of the Priority Functions are dependent upon entering or retrieving data ...”

- **Data Entry Controls**
  - Identify actions to enter batch or manual transactions/data once system functionality has resumed.
  - Identify position that has lead responsibility for each step.

# Step 6: Department Contact Information

Enter name and contact information for key personnel.

- **Level 1 information is confidential – protect it**
- **Highlight those assigned “Lead Responsibility”**
- **Notified leads of their responsibilities.**

# Step 7: Lines of Succession/ Delegation of Authority

## Line of Succession:

- Enter name and contact information for key management and supervisory personnel.
  - Treat as level 1 **confidential** and keep in a secured location.
  - Include organizational charts or other documentation as needed.

## **Step 8: Equipment, Utility, and Telecom Requirements**

**List equipment, utilities, and telecom needed to perform:**

- **Priority 1 = Critical Functions**
- **Priority 2 = Vital Functions**

# Step 9: Document and Supply Requirements

List unique documents and supplies needed to perform Critical and Vital Functions:

- manuals, instructions, contracts, forms, ledger paper, calculator, batteries, office supplies, etc.

Documents and supplies should in a BCP supply box

- A duplicate box (or go bag) should be kept in a location other than the department office.

# Step 10: Vendor/Agency Contact Information

In Alphabetical order:

- Enter company/agency, address, contact name, title, telephone, email, etc.
- Enter types of information, services, or products they provide to support critical and vital functions.

# **Step 11: Vital Records Protection**

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**List vital records which the department maintains:**

- **How are these records stored (e.g. fire proof cabinet, back up tape, off site redundant facilities, etc.)?**
- **Note if records are duplicated or backed up and how**
- **Note if records kept offsite or how they are protected.**

# Step 12: Alternate Operating Facilities

Please list alternate operating facilities to be used to sustain operations for a period of up to thirty days.

- Most BCPs will NOT have alternate facilities readily available but a few will (e.g. Campus dining kitchens).
- Cal Poly will provide alternate facilities as needed based on available resources and institutional priorities as part of any restoration of operations.



# Step 13: Departmental Communications

**What is your BCP communication plan?**

- **List methods to communicate with:**
  - **key personnel**
  - **internal departmental employees,**
  - **other campus departments,**
  - **outside agencies, and providers.**
- **Could include:**
  - **planned meeting place,**
  - **informational websites and emails**
  - **phone contacts and phone tree**

# Step 14: Annually - Test the Plan

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Per EO 1014

- Business units **shall** test some part of their BCP once a year, with all parts tested every seven years.
  - The Corrective Action Plan (CAP) must be included after each testing period.
    - The CAP identify gaps in BCP procedures
      - to improve processes for more efficient and effective outcomes.

# Questions?

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