



Business Continuity Plan

CREATIVE

INNOVATIVE


ENTREPRENEURIAL

SPIRITED

Approvals

This Business Continuity Plan (BCP) was prepared by the University of North Dakota to develop, implement, and maintain a viable BCP capability. This BCP Plan complies with applicable internal policy, local, and state regulations, and supports recommendations provided by the Business Continuity Institute. We submit the plan with the understanding that a number of aspects of the plan remain to be fully developed and implemented.

I hereby approve of this BCP Plan, which describes how the continuity of essential business functions and activities at the University of North Dakota in Grand Forks, North Dakota will be performed in the event of an emergency that prevents normal operations.



Alice Brekke, UND Vice President for Finance and Operations

Date 7/29/2011



Terry Sando, UND Senior Emergency Management Specialist

Date 28 Jul 2011

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INTRODUCTION

The Business Continuity Plan (BCP) provides guidance to University of North Dakota's (UND) colleges, schools, departments, and affiliates to insure the financial integrity and continuity of educational service to the main and external campus community in the event of a natural or man-made disaster. UND is committed to the safety and protection of its employees, students, facilities, and visitors. In support of this commitment, the University has critical operations that must be performed, or rapidly and efficiently resumed, in an emergency. All of UND's emergency planning and response provisions address the four phases of emergency planning: mitigation, preparedness, response, and recovery. However, the BCP has special emphasis on the recovery phase.

Operating disruptions can occur with or without warning, and the results may be predictable or unknown. UND has three key missions – teaching, research, and service – that need to be sustained during any emergency. The first priority will always be the safety of staff, faculty, students, and visitors. This plan focuses on business operations and the continuity of critical functions for the University. Business operations at UND must be resilient, and the effects of disruptions in service must be minimized in order to maintain campus trust, confidence, and its reputation. Effective business continuity planning establishes the basis for the University to maintain and recover business processes when school operations have been disrupted unexpectedly. A separate Continuity of Operations Plan in conjunction with the Emergency Management Framework will detail the capabilities that will enable the University to perform critical operations and maintain the infrastructure of the essential functions at UND.

1.1 Purpose

It is vital that the University of North Dakota establish guidelines for dealing with critical incidents. Most people think only in terms of a devastating disaster like a tornado or flood, but the reality is that even small localized disruptions, such as power outages, may lead to a loss of critical functions.

Business continuity planning is the process whereby the University and its subordinate components attempt to ensure the maintenance or recovery of operations, including services, when confronted with adverse events such as natural disasters, technological failures, human error, or terrorism.

The objectives of this Business Continuity Plan are to minimize financial loss to the University and also preserve UND's reputation of exceptional service to its diverse components. It is important for campus operations to continue to serve students, staff, faculty, and visitors by mitigating the effects disruptions can have on the University's plans, operations, and the ability to remain in compliance with applicable laws and regulations. The University of North Dakota will continue the following essential functions during an emergency:

- Sustain the safety and welfare of University employees, students, and visitors,
- Deliver academic programs to students,
- Preserve critical research, and
- Maintain critical business, finance, and infrastructure operations.

1.2 Applicability and Scope

New business practices, changes in technology, and increased terrorism concerns, have focused even greater attention on the need for proactive business continuity planning. Even the best practices in recent Business Continuity Plans have been altered with new processes. This BCP will take into account the potential for wide-area disasters that can affect an entire region and for the resulting loss or inaccessibility of staff. The plan will also consider and address the interdependencies of all University components as well as infrastructure. Recent history has proven that recovery time objectives are now much shorter than they were even a few years ago. Some components recovery time objectives are based on hours and even minutes for planning purposes. The events below, as a minimum, need to be taken into consideration in the formation of this plan.

- Bomb Threat
- Civil Protest
- Earthquake
- Explosion
- Fire
- Hazardous Materials Incident
- Medical Emergencies
- Severe Weather
- Tornado
- Violent Incident
- Active Shooter
- Train Derailment

The UND Business Continuity Plan is intended to work in combination with the Emergency Management Framework and the Continuity of Operations Plan. This BCP will focus on how the University of North Dakota will attempt to continue normal business operations under adverse conditions.

1.3 Authorities, Guidance and References

The following outlines significant authorities, guidance and references that influenced the development of the Business Continuity Plan.

- National Response Framework
- National Incident Management System

- Robert T. Stafford Disaster Relief and Emergency Act, 42 U.S.C (Federal Government disaster preparedness and assistance)
- Title 44 Code of Federal Regulations, Federal Emergency Management Agency, Department of Homeland Security (rules and regulations on Federal disaster response and recovery).
- North Dakota Century Code
 - 37-17, Civil Defense
 - 37-17.1, Emergency Services
 - 37-17.3, State Radio Broadcast System

1.4 Situation

The University of North Dakota is located in Grand Forks, North Dakota, on 547.8 acres in Grand Forks and elsewhere. There are 240 buildings (222 owned buildings valued at \$813,669,285 and non-owned buildings valued at \$17,918,853) and major facilities with a replacement value of more than \$814 million dollars. For the 2010-2011 academic year, a total of 14,194 students were enrolled in the University. In addition, there were 1045 full-time instructional/research faculty and 2375 full-time staff, giving a total of 3420 staff members. Our library collections boast 1,608,350 million books, 18,305 linear feet manuscripts and archives, over 11,683 map titles, in excess of 3,600 films and videos, and more than 17,100 text and images in digital collections. UND's Law Library collections boast 165,224 books, 26,358 electronic books, 102,642 microforms, 3,429 serials, 514 audiovisuals, and 33 e-references. There are 250 law students enrolled at UND.

UND supports research and scholarship in many fields. Sponsored research awards total more than \$143.3 million from all sources (federal and state agencies, industry and private foundations). UND has a nationally renowned academic medical center supporting more than 30,800 outpatient visits, and over 244 medical students in multiple locations. The Medical Library has 43,934 books, 65,408 manuscripts and archives, 1620 films and videos, and 411 digital collections.

The University of North Dakota nationally acclaimed Aerospace Sciences program includes more than 15 flight training simulators, 100 fixed wing aircraft and 13 helicopters located at Grand Forks. In addition, there are 9 small aircraft and 4 simulators under the UAS (Unmanned Aerial Systems) department with eight aircraft hangers dedicated to aircraft storage plus two other hangers (maintenance hangar and wash bay which are also available for storage when needed). The latest numbers on student enrollment for fall 2010 totals 1,924 enrolled in the various majors with the Aerospace Science program (Computer Science, Atmospheric Sciences, Earth Systems Science, Space Studies and Aviation). Of these students, 1,531 students are aviation majors.

The University's hazard identification and risk assessment resulted in a ranked and prioritized evaluation of hazards based on previous and anticipated impact to the University. Tornado or high wind events, building fires and severe winter storms offer the most significant threats to the University.

1.5 Planning Assumptions

Assumptions used to develop the University of North Dakota Business Continuity Plan include the following elements:

- Emergencies or threatened emergencies can adversely impact the University's ability to continue essential functions and provide support to the day-to-day operations.
- The type of disaster (fire, natural disaster, HAZMAT incident, terrorist attack) and the impact of the disaster will vary significantly.
- There will be a sufficient number of surviving and available senior managers with adequate supporting personnel to continue the essential functions of the University.
- When an emergency incident that impacts essential University functions occurs, the University will implement the COOP/BCP.
- Some level of technical resources may not be available for more than 72 hours in the affected buildings.
- Communications capabilities, transportation, and other infrastructures will be sufficiently intact to allow implementation of this plan.
- University personnel and federal, state, local, private, and military resources will be available as necessary to continue essential functions.
- Recovery of a critical subset of the University's functions and application systems will occur and allow essential operations to continue.
- Adequate training is given in the use of the COOP and all faculty and staff are made aware of its existence and their roles.
- A disaster may require student, faculty, staff, and the public to function with limited support services and some degradation of service, until a full recovery is made.

1.6 Plan Review

The University of North Dakota Business Continuity Plans will be reviewed annually and updated and revised as appropriate.

Interim revisions will be made when one of the following occurs:

- A change in university site or facility configuration that materially alters the information contained in a specific department's plan or materially affects implementation of the plan,
- A substantial change in response resources,
- An incident which requires review of procedures,
- New laws, regulations, or internal policies are implemented that affect the plans' contents or the implementation of the plan,
- Internal assessments and reviews, or actual responses that identify shortfalls in the plan, and
- Other changes deemed significant.

2 CONCEPTS OF BUSINESS COUNTINUIITY PLANNING

Colleges, departments, and affiliates of the University should incorporate business continuity considerations into business process development to proactively mitigate the risk of service disruptions. In setting expectations for an effective Business Continuity Plan, University components should not assume a reduced demand for services during a disruption. In many cases, demand for key services may increase.

This planning process recognizes that technology is a primary basis for concern, but an enterprise-wide, process-oriented approach that considers technology, business processes, testing, and communication strategies will be critical to establishing a viable and functional BCP.

Each school, college, department, and component of UND is required to participate in the development of a Business Continuity Plan to address potential disruptions. This plan will include:

- Business Impact Analysis
- Risk Analysis
- Risk Assessment
- Plan Components
 - Strategy
 - Prevention Measure
 - Mitigation Measures
 - Emergency Response
 - Unit Continuity and Succession of Leadership
 - Emergency Communications
 - Resource Management and Logistics
 - Mutual Aid (Internal and External)
- Training and Awareness
- Exercise and Testing

The University will ensure coordination with the following external agencies:

- The North Dakota Department of Emergency Services
- The City of Grand Forks
- Grand Forks County
- State Board of Higher Education
- The North Dakota University System
- Other agencies as determined that will facilitate BCP planning

2.1 Senior Leadership Responsibilities

The senior leadership of the University is responsible for providing the vision and leadership to make the University of North Dakota an exceptional institution of higher education. An extension of this vision is developing a disaster resilient institution. This can be accomplished by developing a flexible and scalable Business Continuity Plan that compliments the University's Continuity of Operations Plan. Campus leaders being proactive in prioritizing critical business functions will enhance the University's reputation as an Exceptional University. It will also prepare the campus to respond to any potential disruptions through adaptive planning. Vice Presidents, Deans, Associate Vice Presidents, Directors and their equivalent's will be responsible for:

- Allocating sufficient resources and knowledgeable personnel to develop the Business Continuity Plan;
- Developing and updating a continuity and succession plan of leadership;
- Setting policy and establishing techniques that outline how the University will manage and control identified risk;
- Reevaluate and document business continuity risk assessment annually that identifies mission critical business processes;
- Review and approve the BCP on an annual basis; and
- Ensure the Business Continuity Plan is kept up-to-date and employees are trained and aware of their role in its implementation.

The effectiveness of business continuity planning depends on the University's leadership commitment and ability to clearly identify what makes existing business processes work. Each school, college, department, and component must evaluate its own unique circumstances and environment to develop a comprehensive BCP.

At UND, all business continuity planning will be coordinated by the Vice President of Finance and Operations through the Senior Emergency Manager. While planning personnel may recommend certain prioritization, the university senior leadership is responsible for understanding critical business processes and subsequently establishing plans to meet business process requirements in a safe and practical manner.

2.2 Implementation Conditions

Business continuity planning is the process whereby the University and the subordinate components attempt to ensure the maintenance or recovery of operations, including services, when confronted with adverse events such as natural disasters, technological failures, human error, or terrorism.

The UND BCP is implemented in response to an emergent situation or any other situation that disrupts normal University operations. The plan can be implemented fully or partially. The decision to implement the BCP is tailored to the specific situation and is based on the event's projected or actual impact and severity.

Activation of the BCP can occur under any of the following conditions:

With Warning: It is expected that in many cases, the University of North Dakota will receive a warning of at least a few hours prior to an incident. This will enable full execution of the Continuity of Business Plan with the complete and orderly alert, notification, and deployment of key personnel to assembly sites or pre-identified deployment locations before the incident takes place. Notifications will occur through email, telephonic, and other mass notification methods, using standard procedures developed by the University of North Dakota and authorized by the President and Vice President of Finance and Operations..

Without Warning: Execution of the BCP Plan following an incident that occurs with little or no warning will depend on the severity of the event and the number of personnel affected. Continuity of Business Plan team personnel and Building Safety and Security Representatives should expect to be alerted at all hours, depending on the nature of the emergency. Notifications will include a specified report time and location. This communication may occur through email, telephone, and other mass notification methods. Under certain circumstances, in-person notification may be necessary. During activation of the BCP Plan, UND's operating hours for essential functions will remain 24 hours a day, seven days a week. As additional services become available, regular operating hours for each of these will be determined and announced. Regardless of the warning condition, the University will deploy the most critical resources first and other resources will follow as needed.

2.3 Business Continuity Planning Process

The University of North Dakota business continuity planning process will reflect the following objectives:

- Business continuity planning is about maintaining, resuming, and recovering the business, not just the recovery of the technology;
- The continuity planning process will be conducted on an enterprise-wide basis across the campus;

- A thorough business impact analysis and risk assessment is the foundation of an actionable BCP;
- The effectiveness of a Business Continuity Plan can only be validated through testing, exercising, or practical application; and
- The BCP will be reviewed/updated at least annually to reflect and respond to changes in the business practices or service provider(s) at the University.

It is imperative that the University of North Dakota conduct business continuity planning on an enterprise-wide basis. Each school, college, department, and component must consider the critical aspects of its business operations in creating a plan for how the institution will respond to disruptions. This plan will not be limited to the restoration of information technology systems, services, or data in electronic form. The plan needs to go beyond technology and consider all capabilities needed to restore business after a disruption. Without a BCP that considers every critical business function, including personnel, physical workspace, and similar issues, the university may not be able to resume or maintain its teaching, research, and community service missions at an acceptable level. University leadership must recognize the systemic impact that service disruptions may have on the integrity and reputation of the institution and plan accordingly.

Each school, college, department, and component must update their Business Continuity Plan as business processes change. As the University procures new technology to improve productivity, it changes business functions. For example, the University is increasingly relying on distributed network solutions to support business processes. This increased reliance can include desktop computers that maintain key applications. While distributed networking provides flexibility in allowing the University to forward operations to where employees and customers are located, it also means that end-users should update their plan on what constitutes current business processes and how significant changes may impact operations during a disruption. Technological advancements are allowing faster and more efficient practices, thereby reducing expectations of acceptable business process recovery periods.

In response to competition and customer demands, many components are moving toward shorter recovery periods and are designing technology recovery solutions into business processes. The review of each critical business function should include the technology that supports it. Increasing use of technological advancements across the campus makes it even more imperative that business continuity planning be conducted from a university-wide perspective. All University component Business Continuity Plans will focus on a process-oriented approach to business continuity planning that involves:

- Business Impact Analysis (BIA)
- Risk Assessment
- Risk Management
- Risk Monitoring

Business continuity planning will give priority to all critical business functions that must be recovered to maintain operations. Each component BCP must be viewed as one critical aspect of the university-wide process. All of the component plans will be prioritized and consolidated into a master University of North Dakota Business Continuity Plan.

2.4 Business Impact Analysis

Doing a Business Impact Analysis (BIA) is the first step in developing a Business Continuity Plan. It should include:

- Identification of the potential impact of random uncontrolled, non-specific events on the institution's business processes and the University's customers, both internal and external;
- Consideration of all components and business functions, not just data processing; and
- Estimation of maximum allowable downtime and acceptable levels of data, operations, and potential financial losses.

Performing a BIA is the first step for components of the University in development of a functional BCP. The amount of time and resources needed to complete the Business Impact Analysis will depend on the size and complexity of the component. It is imperative that all University business functions and components must be included in the planning process and not just technology and data processing capabilities.

The BIA phase should determine what and how much is at risk by identifying critical business functions and prioritizing them. During this phase the potential impact of random uncontrolled, non-specific disruptions on the University's business processes will be identified. The Business Impact Analysis should document the estimate of maximum allowable downtime for critical business processes, recovery point objectives and backlogged transactions, and the costs associated with downtime.

University and component leadership will establish recovery priorities for business processes that identify key and essential personnel, technologies, facilities, communications systems, vital records, and data. While doing the BIA, consideration will be given to the impact of legal and regulatory requirements such as the privacy and availability of customer data and required notifications.

On pages 20 and 21 of the Emergency Management Framework, there is a list of 39 incidents that can impact UND operations. Included on these pages is a broad University risk assessment of emergency incidents through the probability of occurrence and the estimated impact on health, safety, property, and the environment. This list is a good starting point for component Business Impact Analysis and risk assessments. The University's consolidated Business Continuity Plan will be consistent if all components use this list as a starting point for their BIA and risk assessment to evaluate business process requirements. This phase may initially prioritize

business processes based on their importance to the institution's achievement of strategic goals and maintenance of safe and sound practices.

When determining the University's critical needs, reviews should be conducted for all functions, processes, and personnel within each component. Each school, college, department, and component should document the business critical functions performed. Components should consider the following questions:

- What single points of failure exist and how significant are those risks?
- What are critical outsourced relationships and dependencies?
- What is the minimum number of staff and space that would be required at a recovery site?
- Have employees received cross-training and have defined back-up functions/roles they should perform if key personnel are not available?
- What specialized equipment is required and how is it used?
- How would the component function if servers, network, and/or internet access were not available?
- What special forms or supplies would be needed at a recovery site?
- What communications devices would be needed at a recovery site?
- What critical operational or security controls require implementation prior to recovery?
- Is there any potential impact from common recovery sites?
- Are emotional support and family care needs adequately considered?

2.5 Risk Assessment

The risk assessment is the second step in developing a Business Continuity Plan. It should include:

- A prioritization of potential business disruptions based upon potential severity and likelihood of occurrence;
- A gap analysis that details what is necessary to achieve recovery time and point objectives; and
- A comparative analysis of threats which could impact the University from a holistic perspective which also details impacts to students, staff, faculty, and visitors, not just the nature of the threat.

The risk assessment step is critical and has a significant impact on successful business continuity planning efforts and ultimately the plan itself. If the threat scenarios are unreasonably limited, the resulting Business Continuity Plan may be inadequate. Later in the risk assessment step, business processes and the business impact analysis assumptions are stress tested with various threat scenarios. This will result in a range of outcomes, some will require no action for business processes to be successful and others that will require significant continuity processes to be developed and supported with financial resources and personnel. After all components of the campus have developed their individual BCPs, a master Business Continuity Plan for the

University will be completed and will reflect the prioritized business processes. The master Business Continuity Plan combined with the Continuity of Operations Plan will be road map that will be used to respond and recover from major disruptions at UND.

The Office of Campus Safety and Security will work with University components to develop realistic scenarios that may potentially disrupt their business processes and the ability to meet the requirements of the campus community. Disruptions can take many forms, including malicious activity, natural disasters, and technical catastrophes. If possible, components should analyze a threat by focusing on impact to operations, not the nature of the threat. Many disruptions will only affect specific work areas, systems, facilities, or geographic areas. The potential magnitude of business disruption depends upon a wide variety of disruption scenarios based on practical experiences and event circumstances. If disruption scenarios are not comprehensive, the Business Continuity Plan may be too basic and omit reasonable steps that could improve business processes resiliency. Disruption scenarios should consider the impact of an event and also the probability of occurrence.

Disruptions that could impact the University can range from those with a high probability of occurrence and low impact to the University like a brief power interruption, to those with a low probability of occurrence and high impact on the institution like a terrorist attack. Most high probability disruptions are often supported by very specific Business Continuity Plans. The most difficult disruptions to assess are those that have a high impact on the University, but low probability of occurrence. Using a risk assessment, BCPs will be more flexible and adaptable to specific types of disruptions that may not be intuitive.

After the risk assessment is complete, the next step in business continuity planning is performing a gap analysis. This is a methodical comparison of what a University component does during normal business operations with what plans need to be developed in order to resume or recover normal business operations after an event or disruption. The difference between normal and disrupted operations highlights additional risk exposure that University leadership needs to address in the Business Continuity Plan development. The gap analysis considers:

- The impact of various business disruptions on the University and the students, staff, faculty, and visitors;
- A broad range of potential business disruptions, including natural disasters, technical and manmade events;
- The probability of occurrence based on a rating system of high, moderate, and low;
- The safety of critical data, documents, and vital records; and
- The potential impact if information services, technology, personnel, facilities, and service providers are lost from both internal and external sources.

Finally when assessing the probability of a specific disruption occurring, components should consider the geographic location of facilities and susceptibility to natural disasters – like floods and also the proximity to critical infrastructure – like railroads, major highways, power sources,

etc. The risk assessment/gap analysis should include all locations and facilities. Worst case disruptions such as destruction of facilities and loss of life need to be considered. At the conclusion of the risk assessment/gap-analysis phase, the University's components will have prioritized business processes and estimated how operations may be disrupted under different scenarios.

2.6 Risk Management/Business Continuity Plan Development

The ultimate goal of risk management is the development of a written, enterprise-wide Business Continuity Plan. The University should ensure that the BCP is:

- Written and disseminated so that various groups of personnel can implement it in a timely manner and alternate locations;
- Specific regarding what conditions should prompt implementation of the plan;
- Specific regarding what immediate steps should be taken during a disruption;
- Flexible to respond to unanticipated disruptions and changing internal conditions;
- Focused on how to get the business up and running in the event that a specific facility or function is disrupted, rather than on the exact nature of the disruption; and
- Timely and effective in minimizing service disruptions and financial loss.

A written Business Continuity Plan should document strategies and procedures to maintain, resume, and recover critical business functions and processes. Include procedures to execute the plan's priorities for critical versus non-critical functions, services, and processes. The BCP should describe, in detail, the types of events that would lead up to the formal declaration of a disruption and the process for implementing the plan. The plan describes the responsibilities and procedures to be followed by each continuity team and also contains contact lists of critical personnel. The BCP contains detailed procedures to be followed to recover each business function affected by the disruption and written in such a way that various groups of personnel can implement it in a timely manner.

As previously discussed, a BCP is more than recovery of the technology, but instead concentrates on the recovery of all critical business operations. Keeping the plan flexible promotes adaptability to changing internal and external conditions and new potential disruptions. Instead of developing the plan around specific events (fire vs. tornado), the plan will be effective if written to adequately address specific types of scenarios and the desired outcomes. The BCP should describe the immediate steps to be taken during a disruption to minimize the damage, as well as the action necessary to recover. Business continuity planning needs to be focused on maintaining and resuming normal operations. Recovery operations would respond if:

- Critical buildings, facilities, campus, or geographic region is not accessible;
- Key personnel are not available;
- Vendor assistance or service provider is not available;
- Equipment loss/malfunction (operational equipment, telecommunications, hardware);

- Utilities are not available (power, gas, telecommunications, and internet);
- Software and data are not accessible or are corrupted; or
- Critical documentation and/or records are not available.

University components should practice due diligence when considering the assumptions on which the Business Continuity Plan are based. Planners can't assume an event/disaster will be limited to a single facility or a segment of the campus or local area. For planning purposes, don't make an assumption that access to facilities that have not been damaged or those critical personnel (including senior leadership) will be available immediately after a disruption. Functionality of transportation systems should also not be taken for granted. Another key function, telecommunications and IT infrastructure may not be operating at normal capacity and should be factored into the planning.

The BCP consists of many components that are both internal and external to the University. The plan activation and restoration of business in the event of an emergency is dependent on the successful interaction of various functions. The overall strength and effectiveness of a Business Continuity Plan will only be as strong as its weakest gap analysis. An effective BCP coordinates across its many functions, identifies potential process or system dependencies, and mitigates the risks from interdependencies.

University leadership and assigned personnel/teams will facilitate the identification of risk and the development of risk mitigation strategies across business and cross-functional areas. Internal causes of interdependencies can include lines of business dependencies, telecommunications/IT links, and/or shared resources (print operations or email systems). External sources of interdependencies that can negatively impact a BCP can include telecommunications/IT providers, service providers, customers, business partners, and suppliers.

3 EMPLOYEE TRAINING

The University will develop an enterprise-wide training and exercise program that will test the viability of Business Continuity Plans. It is recommended that all University components provide business continuity training to ensure all personnel are aware of their responsibilities should a disaster occur. Key employees should be involved in the business continuity development process as well as periodic training exercises. University employees need to be aware of which conditions call for implementing all or parts of the BCP, who is responsible for implementing BCPs for business components and the institution. Training also needs to address what to do if key employees are not available at the time of disaster. Cross-training can be used to anticipate restoring business operations in the absence of key employees. Employee training should be regularly scheduled and updated to address changes on the campus that could impact the Business Continuity Plan.

4 COMMUNICATIONS PLANNING

Communications planning will identify alternate notification procedures to be utilized during a disruption. An emergency telephone number, e-mail address list will be compiled that will assist employees in communications efforts during a disruption. The emergency contact list should also contain contact information for vendors, emergency services, transportation, and government agencies that are key providers in the business processes. Wallet cards, internet postings, and calling trees are possible ways to distribute information to employees. Consideration should be given to establishing reporting or virtual rally points to assist in accounting for all personnel following a disaster.

The University will develop an awareness program to inform the campus community, service providers, and outside agencies of how to contact the institution if normal communications are impaired or down. A media plan and designated personnel will be considered during this process.

5 INSURANCE

Insurance is commonly used to recoup losses from risks that cannot be completely prevented. Usually, insurance coverage is obtained for risks that cannot be entirely controlled, yet could represent a significant potential for financial loss or other disastrous consequences. Components of the University must determine potential exposure for various types of disasters and review the insurance options available through the University to ensure appropriate insurance coverage is provided.

Components need to be aware of the limitation of insurance. Policies can reimburse for some or all of the financial losses incurred as the result of a disaster or other significant event. It should be noted that insurance is not a substitute for an effective Business Continuity Plan because its primary objective is not the recovery of the business. For example, insurance cannot reimburse for damage to the University's reputation.

6 GOVERNMENTS AND COMMUNITY

The University will collaborate with city, county and state government officials to ensure a successful integration of capabilities for business continuity planning. Shaping the environment by building strong relationships during the planning and testing phases of planning will enhance responses to disasters or disruptions. The University's master Business Continuity Plan will develop protocols and techniques for dealing with local and regional events that will impact the institutions operations. The University will coordinate with local and state officials during the risk assessment process on specific risks and special requirements for accessing emergency

zones. During the recovery phase, facility access, telecommunications/IT system connectivity will be coordinated to ensure timely resumption of operations. During the planning, graceful degradation of key systems should be a priority so that the same systems can be brought back online with as little disruption of services as feasible.

7 RISK MONITORING

Risk monitoring is the final step in business continuity planning. The plan is a dynamic living document that needs to be update to reflect any changes that may impact responses to events or disruptions. New technology and changes in key personnel are examples. To ensure University components' Business Continuity Plans continue to be viable the following steps should be taken:

- Test the BCP at least annually.
- Subject the BCP to outside audit and review (done by a peer component at the University).
- Update the BCP based upon changes to personnel and internal and external environments.

The bottom line is that the Business Continuity Plan is only as good the effort that is put into completing all of the previous steps that have been outlined. Risk monitoring reinforces that the plan continues to be viable through testing, outside review, and periodic updating.

8 SUMMARY

In summary, the following six factors are critical aspects of effective business continuity planning:

- Business continuity planning needs to be conducted through an enterprise-wide approach.
- A thorough business impact analysis and risk assessment are the foundation of an effective BCP.
- Business continuity planning is more than the recovery of the technology; it is the recovery of the business.
- The effectiveness of a BCP can only be validated through testing and exercising.
- The BCP and test results should be subjected to an outside audit done by another component of the University.
- The Business Continuity Plan should be periodically updated to reflect and respond to changes at the institution.