

Business Continuity and Disaster Recovery Planning **Checklist and Information Resources**

Every university and its respective operating units must have a business continuity and disaster recovery plan. When an incident upsets your institutions' standard operating procedures, or the ability to provide critical services, you need to have a well thought out and tested plan that protects faculty, students, staff and physical assets. This plan will help assure you can manage emergency medical events, regain your operational status, provide a continuum of service, and communicate effectively with faculty, students, staff, visitors, emergency responders and the surrounding community.

Your plans need to be comprehensive and designed to support operational continuity for realistic worst case events. Weather related disasters (tornadoes, hurricanes, floods), fires in facilities, power interruptions that are short or long lasting, sabotage, interruption of communication or computing services or the inability to provide a key service as the result of the above are scenarios deserving of preplanning. There are many resources that are available to help you with your plan. These include but are not limited to:

1. Your local county emergency service organizations
2. FEMA Emergency Management Guide for Business and Industry-
Download this step-by-step approach to emergency planning, response and recovery for universities of all sizes <http://www.fema.gov/library/bizindex.htm>. This comprehensive document leads you through the entire emergency planning process.
3. Model Campus Emergency Response Plans are available from the following sources:
 - a). University of California, Berkley
<http://public-safety.berkeley.edu/oepweb/media/DRP2000.doc>
 - b). Massachusetts institute of Technology-Business Continuity Planning
<http://web.mit.edu/security/www/isorecov.htm>
 - c). University of Minnesota-Developing a Plan for operational Continuity
<http://www.fpd.finop.umn.edu/groups/ppd/documents/policy/operations.cfm>
4. Disaster Recovery Yellow Pages is a reference publication, compiled by the Building Owners and Managers Association (BOMA). The Yellow Pages is designed to assist in recovery efforts and provide a nationwide listing of over 2,000 vendors in over 180 categories. This document may be purchased at (<http://www.boma.org/pubs/yellow.htm>).

Business continuity and incident recovery plans must be unique and designed for your specific application. However, almost all plans contain common elements including the following:

1. *Establish goals and objectives* that reflect the needs of your university and its operating units. Identify those critical units and operations that require business continuity and disaster recovery plans.
2. *Assign responsibility* for assuring plans are written, tested and updated.
3. *Identify critical functions and assets*. List the business and support units and assets that are critical to operational continuity and needed to support your university's mission. Require that these units develop disaster recovery and business continuity plans.
4. *Review existing plans* and agreements to determine if and how they may be integrated into a university wide business continuity and disaster recovery plan.
5. *Conduct a risk assessment* of realistic worst case scenarios to determine what can cause an upset in critical functions. The risk assessment should include a *business impact analysis* that assesses the impact of the loss of a critical unit or service and specifies the time frame in which the unit or service must restore service.
6. *Determine budgetary limitations and requirements*. Your budget and your business impact analysis are the key factors that will determine the time frame in which you can likely restore your service. For example, restoring a computing function in 24 hours may be 10x the cost for restoring service in 72 hours yet a key function like payroll may need a fast turnaround.
7. *Write plans* and make them available to the campus community so units can determine how other unit plans relate to them.
8. *Train personnel, test and audit plans*. Only an organized effort to train individuals and test plans will allow you to determine the effectiveness of your overall business continuity and incident recovery program.

The attached checklist may be used as a basic audit tool to help assess your business continuity and disaster recovery plans. The checklist is not all inclusive but provides a basic framework for you to begin auditing your program. As your overall program evolves, you should add to the audit questionnaire to help assure that the goals you have defined are effectively addressed in your implementation plans.

Good luck in your planning efforts. For information about the UNC Office of the Presidents business continuity and disaster recovery efforts see <http://www.northcarolina.edu/pres/>

Disaster Response and Recovery Planning Overview Checklist

	YES	NO	NEEDS IMPROVEMENT
1. Has a University Contingency Planner or Emergency Preparedness Coordinator been designated?	_____	_____	_____
2. If so, is this a full-time position?	_____	_____	_____
3. Is there an operational Emergency Preparedness Committee?	_____	_____	_____
4. Does the committee meet on a regular schedule?	_____	_____	_____
5. Has the Coordinator completed disaster exercise courses?	_____	_____	_____
6. Does the Coordinator belong to and attend seminars and workshops?	_____	_____	_____
7. Has the University's disaster vulnerability been determined for mission critical services?	_____	_____	_____
8. Have arrangements been made for the receipt and dissemination of emergency warnings?	_____	_____	_____
9. Has the University established an emergency operations center and control system?	_____	_____	_____
10. Does the University have crisis communications control procedures?	_____	_____	_____
11. Is the Crisis communications plan periodically tested?	_____	_____	_____
12. Have plans for the mass movement of student residents to a shelter or other suitable location been developed?	_____	_____	_____
13. Are management and employees organized into special groups for self-help activities?	_____	_____	_____
14. Has the University formed partnerships with local area organizations to discuss and resolve common problems (fire, police, EMS, county emergency coordinator)?	_____	_____	_____
15. Has the University established training programs to detect; report and take appropriate action against sabotage, explosive, or unconventional weapons?	_____	_____	_____

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| 16. | Have definite succession lines of administrative authority been established to insure prompt executive response in the event that such is necessary? | _____ | _____ | _____ |
| 17. | Are University policies and regulations required to facilitate disaster recovery kept to date? | _____ | _____ | _____ |
| 18. | Have procedures been established to protect essential records? | _____ | _____ | _____ |
| 19. | Have emergency duties been assigned to management, staff, and other employees for incidents that may occur during other than regular business hours? | _____ | _____ | _____ |
| 20. | Does the University have post-disaster recovery financial procedures? | _____ | _____ | _____ |
| 21. | Does the University have a training program designed to prepare personnel to assess and report damage quickly and to effect necessary repairs of university facilities? | _____ | _____ | _____ |
| 22. | Have necessary steps been taken to provide all employees a guide in disaster preparedness? | _____ | _____ | _____ |
| 23. | Is the University disaster plan comprehensive and does it include recovery procedures? | _____ | _____ | _____ |
| 24. | Are programs complete for testing your disaster recovery plan? | _____ | _____ | _____ |
| 25. | Are disaster plans and drills discussed at staff meetings? | _____ | _____ | _____ |
| 26. | Has a schedule been established for submission of required reports on the status of recovery plans? | _____ | _____ | _____ |
| 27. | Are plans of mission critical units revised and tested? | _____ | _____ | _____ |
| 28. | Do University procedures provide for an annual review of recovery plans in relation to changes in the plan itself or staff assignments? | _____ | _____ | _____ |
| 29. | Has your University reconciled the value of critical facilities against North Carolina Department of Insurance values for those facilities? | _____ | _____ | _____ |

- 30. Do you require that extended coverage, business income interruption or other insurance be purchased? _____
- 31. Is insurance adequate and commensurate with the assessed risk? _____

Disaster Recovery Planning Elements that Should be Included in Written Plan

	YES	NO	NEEDS IMPROVEMENT
32. Does your University disaster recovery plan have a goal statement?	_____	_____	_____
33. Does the goal statement identify mission critical units?	_____	_____	_____
34. Is each mission critical unit required to have its own written disaster recovery plan?	_____	_____	_____
35. Do all mission critical unit recovery plans have a goal statement?	_____	_____	_____
36. Do written plans define exposure risk?	_____	_____	_____
37. Are risks from "realistic worst case scenarios" defined for each mission critical unit?	_____	_____	_____
38. Are risks that merit specific action plans specified and are mission critical plans developed in response to specific risks?	_____	_____	_____
39. Do all mission critical units have a formally designated Contingency Planner or Emergency Preparedness Coordinator?	_____	_____	_____
40. Are all mission critical units required to regularly test and update their respective plans?	_____	_____	_____
41. Do disaster recovery plans identify phases of implementation for the plan (first hours, days, weeks, etc.)?	_____	_____	_____
42. Do disaster recovery plans establish who makes immediate decisions in an emergency and establish a backup chain of command?	_____	_____	_____
43. Does the plan assign specific responsibilities?	_____	_____	_____

- 44. Do critical unit plans identify pre-arranged contractors, manpower or resource availability? _____
- 45. Does the plan identify required resources to compensate for the loss of critical business unit functions? _____
- 46. Are all plans shared so that units know the goals of other unit plans? _____
- 47. Critical Unit Staff have specific emergency assignments as part of their written job description in the event of an emergency or disaster? _____