



AY 18-19

Department Business Continuity Plan

Department	
Department Management	
Building Monitor	
Building Steward	
Building Engineer	



This sheet should be completed each time the Business Continuity Plan (BCP) is reviewed and/or modified. The Director of Safety and Risk Management is delegated with the responsibility of administrative review and update of this program annually or more frequently as needed per CSU Chancellor's Executive Order 1014 Business Continuity Policy, 1069 Risk Management AF 09-007

Version	Date Approved	Author	Revision Notes:
1.0	06/2016	Marianne Spotorno, CSP Dir. Safety & Risk Management	New Program Document
2.0	06/2017	Marianne Spotorno, CSP Dir. Safety & Risk Management	Addition Program Guidance Language

Risk Management	Transportation	Personal Protective Equipment	Hazardous Materials Management	Ergonomics	Material Handling	Safe Work Practices/Accident Prevention	Working at Heights/Elevated Work	Emergency Response	Controlling Hazardous Energy	Marine/Water Safety	Continuous Improvement / Change Management



Introduction

Welcome to Cal Maritime's Guide to Campus Business Continuity Planning. The intent of this Guide is to help ensure your department is prepared to respond to various types of operational interruptions. This Guide will help you not only plan for major disasters (e.g. total loss of a building) but also lesson interruptions to services (e.g. the computers are down). It puts the planning in perspective and makes it more likely that crisis response will run smoothly.

The purpose of campus continuity is to ensure the continuity of University mission-critical functions such as instruction to enrolled students, facility security, and employee communication.

An Essential Function (as defined in the *Federal Preparedness Circular 65*) is a function that enables an organization to [Note: Cal Maritime uses the term *Critical Function* to describe Essential Functions]:

- Provide vital or mission-critical services;
- Exercise civil authority;
- Maintain the safety of the general public; and/or
- Sustain the industrial or economic base during an emergency.

Campus continuity plans must be reasonable, practical and achievable. We are not planning for every possibility that could cause an interruption; instead we are planning for the efforts of any interruption. For example, your building may be unavailable for many reasons (fire, flood, wind damage, etc.), but the effect is the same: you cannot work in that location.

How to Use This Guide

This Guide to Campus Business Continuity Planning was developed to provide Cal Maritime department's with campus continuity planning information and a guide to develop and maintain their department continuity plan.

The next several pages will provide planning steps, tips and suggestions to guide you through the campus continuity planning process for your department on campus. Utilizing this Guide and the interview form contained in the appendix, planners will be able to obtain and document the information and items necessary to complete the campus continuity plan development. Once one or two of the planning steps have been completed in this Guide, the information can be easily transferred from the interview forms into this Plan. Completion of the steps in this Guide and once entered into this Plan, your department will have a basic department business continuity plan. We encourage you and your team to regularly discuss your department's business continuity plan.

If you have any questions about this Guide, or if you need any assistance in your department continuity plan development, please contact the Department of Safety & Risk Management at (707) 654-1076 or SRM@csum.edu.



Purpose

- The purpose of CSU Executive Order 1014 is to maintain an ongoing program on each campus that ensures the continuity of essential functions or operations following a catastrophic event or disruption of services. A business continuity plan (BCP) is a process of developing and documenting arrangements and procedures that enable an organization to respond to an event and return to performing its essential functions as quickly as possible.
- Since developing specific plans for every possible disruption scenario is nearly impossible, this plan should focus on the most workable procedures following a disruption of services.

Scope and Assumptions

- The BCP will be activated once health, life, and safety issues are addressed. This information is referenced in the Cal Maritimes 'Emergency Preparedness Guidelines' which is administered by Administration and Finance division
 - <https://www.csum.edu/web/safety/campus-emergency-management>
- The disaster recovery plans for the University's network and servers are outside the scope of this document.

Plan Maintenance

Per Executive Order 1014, the BCP will be maintained as follow:

- The BCP will be reviewed annually and updated whenever changes occur in operating processes, procedures or key personnel. A review log will be maintained and updated.
- Testing of some parts of the BCP will be conducted annually and all parts will be tested every seven years to identify plan deficiencies.
- Initial training will be provided to all individuals responsible for developing and implementing the plan to familiarize them with their roles and responsibilities during a disruption. Additional training will be provided as necessary.

Procedures

(1) **Identify the department's essential functions.** Per Federal Preparedness Circular 65, an essential function is a function that enables an organization to:

1. Provide vital or mission critical services;
2. Exercise civil authority;
3. Maintain the safety of the general public; or
4. Sustain the industrial or economic base during an emergency.

⚠ Note: Although there may be functions that are deemed important, only functions that are mission and time critical should be identified as essential and be included in the BCP.

Departments are asked to name major functions that the department NORMALLY performs. Typical examples include

- Instruction
- Research
- Purchasing
- Payroll
- Facilities management
- University Housing activities
- Financial aid processing
- Grants accounting



In addition to listing the major functions performed, departments are also asked to identify the levels of criticality following a disaster. Levels include:

- **Critical 1:** must be continued at normal or increased service load. **Cannot pause.** Necessary to life, health security. (Example: police services)
- **Critical 2:** must be continued if at all possible, perhaps in **reduced mode.** Pausing completely will have grave consequences. (Examples: functioning of data networks, at risk research)
- **Critical 3:** may pause if forced to do so, but **must resume in 30 days** or sooner. (Examples: classroom instruction, research, payroll, student advising)
- **Critical 4:** Also known as **deferrable**, may pause; **resume when conditions permit.** (Examples: routine building maintenance, training, marketing)

What does your department receive funding or payment to do? What are the priority operations for your department? Some departments may define critical functions as those whose loss would cause adverse effects on students. Some might determine this based on loss of income or loss of important research.

Ask the questions: "who produces what we need?" and "who needs what we produce?"

During a crisis or disaster, a department should strive to maintain as high a level of operations as possible. By identifying your critical functions, you can better determine which staff, materials, procedures and equipment are absolutely necessary to keep your department functioning.

Departments are asked about applications owned by Information Technology (IT) and how critical the availability of the application would be FOR YOUR DEPARTMENT while you are recovering from a disaster.

The levels of criticality are similar to the levels that you used earlier to classify your critical functions. Levels of criticality of IT systems:

- **Critical 1:** Cannot pause. Necessary to life, health, security.
 - Possible example: police dispatch system
- **Critical 2:** Failure will lead to imminent and very serious consequences.
 - Possible example: data networks and email system
- **Critical 3:** Can endure a pause, but ONLY for a short time. Must be recovered by some time sooner than 30 days.
 - Possible examples: financial system, payroll system, student systems, and library systems.
- **Critical 4:** Also known as **deferrable** is an important, but we can function without this system for more than 30 days.
 - Possible example: document imaging system and budget preparation software.
 - Centrally-owned means that Central IT is the technical owner. The functional owner could be any department.
 - Functional Owner:
 - The unit that **authorizes** any modifications.
 - Technical Owner:
 - The unit that has system administrator or programming access and **implements any** modifications.

Instruction: Academic continuity is vitally important because it focuses on the core business of higher education: providing students with the opportunity to learn. In the event of a disaster on campus, or other significant interruption, it may be necessary to provide alternative means of instruction.



Key Resource: addresses key resources for your department. Envision your department 1 – 3 days after a major disaster. You are calling together a group to plan how to resume operations. Who are the key people (staff or faculty) whose positions or knowledge might place them in that group?

- Every unit is asked to keep its own list of home contact information for faculty and staff. Your list should be:
 - In a format of your choosing
 - Held by enough people to be useful
 - Treated as confidential
 - Kept securely at home and at work
 - Reviewed and updated at least twice a year
- Resist the temptation to list all your staff under “Key People”. The staff you should list here are the ones you would call upon first in time of crisis – who have the experience, skills, or authority to help “sort things out” and plan the next steps.
- A **leadership successor** is a person who would be an appropriate substitute if the head of the unit is absent. In most cases, this will not be an officially-designated position.
- A **formal delegation of authority** is an assignment of authority and responsibility to perform specified acts on behalf of the organization. This assignment is almost always granted via a written document.

Action Items are:

- The most important things in a continuity plan.
- Things that could be done now (or any time before disaster strikes) to make your unit more prepared.
- Ideas, not commitments to act.

Typically Action Items begins with a verb and can be stated in one sentence. Please think outside the box and don’t feel constrained by resources. Sample action items include:

- *Have a representative from Office of Information Technology discuss work-from-home issues at faculty meetings.*
- *Design departmental networks to allow faculty and students to connect remotely in case office/lab space is damaged.*
- *Cross-train two staff members to process department payroll.*
- *Do periodic trial recoveries of servers/applications.*
- *Train all instructors in the use of XYZ course-management tool.*

Some of your Action Items may be beyond the scope of your unit to perform. If this is the case, please notify the Campus Continuity Coordinator for assistance in notifying the responsible unit.

(2) **Complete the Essential Functions Worksheet for each essential function identified.** The Essential Functions Worksheet documents the resource requirements and the brief step by step processes to facilitate continued performance of essential functions in the event of a disruption.

(3) **Complete the appendices.** The following appendices are included in this template. These are summary of information from the Essential Functions Worksheet.

- Appendix A. Essential Functions Worksheets
- Appendix B-1. Key Personnel Contact Information - [DEPARTMENT]
- Appendix B-2. Key Personnel Contact Information – Other Departments
- Appendix C. Vendor Information
- Appendix D. Systems and Programs – Description and Backup Methods
- Appendix E. Review Log



Appendix A. Essential Function Worksheet

Use the Essential / Critical Function Summary Table to outline and classify your Department or Division specific essential and critical functions.

Essential / Critical Function Summary Table		
ID#	Function Name or Title	Definition Classification
1		
2		
3		
4		
5		

Essential / Critical Function Definition Classification		
Class	Description	Example
1	Must be continued at normal or increase service load. Cannot pause. Necessary to life safety, security.	Police Services
2	Must be continued if at all possible. Resume in reduced or alternative mode. Pausing completely will have significant to grave consequences	USCG Licensing requirements
3	May be paused but must resume within 30-days or sooner	Classroom instruction
4	May be paused and resumed when conditions permit	Routine building maintenance



Use this worksheet to further detail the specific essential/critical function details. Cut and paste the blank table in order to complete for each individual identified function and align with summary table.

Essential/ Critical Function Detail	[Function Name or Title]
Description	
Who performs this task	
Responsible Person(s)	
RESOURCE REQUIREMENTS to perform this function in non-emergency condition	
Upstream dependencies	
Downstream dependencies	
Network Requirements (e.g. campus network for e-mail, Internet, etc.)	
Facilities and Equipment	
Vital Records and Information	
What if normal space is not available?	
What if 50% absenteeism of faculty and staff	
What if knowledge/skills are performed by only one staff member?	
Can this function be performed from off campus location, i.e. from home?	
What if network data is not available?	
Do any of the coping strategies put the University at risk?	
Are there policy exceptions that may be needed?	
Any other vulnerabilities	



STEP BY STEP PROCESSES

Instructions: Document step by step processes to continue this essential function below. Give only enough details so that staff will know exactly what to do during an actual disruption. If no processes can be identified, document as such. **Limit this section to less than one page, if possible.**

[ENTER PROCESSES HERE]



Appendix B-1. Key Personnel Contact Information – [DEPARTMENT]

List all “Key Personnel and Alternates” from the worksheet and their contact information.

Contact List – [DEPARTMENT]			
Essential Function	Lead	Alternates	
	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:
	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:
	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:
	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:
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	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:
	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:	Name: Title: Office: Cell: Home:



Appendix B-2. Key Personnel Contact Information – Other Departments

List key personnel and their contact information of other departments that is under “Other Depts. and Vendors critical to this function” of the worksheet.

Contact List – Other Departments			
Essential Function	Name	Department & Title	Phone Numbers
			Office: Cell: Home:
			Office: Cell: Home:
			Office: Cell: Home:
			Office: Cell: Home:
			Office: Cell: Home:
			Office: Cell: Home:



Appendix C. Vendor Information

List names and contact information of the vendors from “Other Depts. and Vendors critical to this function” of the worksheet. Document the description of each vendor.

Vendor Name	Description	Contact Information
		Contact Person: Phone: Fax: email:
		Contact Person: Phone: Fax: email:
		Contact Person: Phone: Fax: email:
		Contact Person: Phone: Fax: email:
		Contact Person: Phone: Fax: email:
		Contact Person: Phone: Fax: email:
		Contact Person: Phone: Fax: email:



Appendix E. Review Log

Document each plan review and any updates here.

Business Continuity Plan – [DEPARTMENT]		
Date	Action	Reviewed By

This Business Continuity Plan has been reviewed and approved by:

Name, Title **Date**

Business Continuity Coordinator **Date**

Maintain the original version of this Plan at the Department or Division level and submit a current copy to the Department of Safety and Risk Management. This Plan shall be reviewed at least annually or as personnel change or following an incident that requires the use of the Plan.