



# Business Continuity Management Program

## **Business Continuity Plan Development Guide**

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### DOCUMENT REVISION HISTORY

This section describes the changes that have been made to this document following its initial development.

Date	Ver.	Description of Change	Contact
2/3/2016	1.00	Initial Draft	W. Regensburger
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### PROJECT CHANGE SUMMARY

This section describes the changes that have been made to this project following its initial acceptance by the stakeholders and approval for implementation.

Date	Ver.	Description of Change	Contact
8/29/2016	1.2	Added definition for Annex	J. Frater

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## 1. INTRODUCTION

### 1.1 Purpose

This program document provides a guide to the business continuity planning process and the key steps involved in development of the plan.

### 1.2 Definitions

**Business Continuity Management (BCM) Program:** An on-going management and governance process supported by the Business Continuity Management Leadership Team with guidance from the BCM Executive(s), resourced to ensure that the necessary steps are taken to identify the impact of potential losses, manage risk, develop resiliency, maintain viable recovery strategies and plans and ensure continuity of USC's services through exercising, rehearsal, testing, training, maintenance and quality assurance.

**Business Continuity Plan (BCP):** A process of developing and documenting arrangements and procedures that enable an organization to respond to an event that lasts for an unacceptable period of time and return to performing its critical functions after an interruption.

**BCP Annex:** An abbreviated plan for smaller units that is added to a larger plan. Typically smaller units do not have their own administration and depend on central areas for support. One example of this would be the Keck School of Medicine and some smaller institutes under the school.

### 1.3 Goals

To provide clear guidance to university schools and departments on the process of creating an effective business continuity plan, and the steps generally necessary in that development process.

### 1.4 Document Maintenance

This document will be reviewed annually and updated as needed, as the project proceeds through each phase of the Business Continuity Management Project life cycle.

This document contains a revision history log. When changes occur, the document's revision history log will reflect an updated version number as well as the date, the owner making the change, and change description will be recorded in the revision history log of the document.

## 2. KEY STAKEHOLDERS

This section describes the roles and responsibilities of the Business Continuity Management stakeholders with regard to the business continuity plan. Listed below are the key stakeholders:

- Crisis Management Team
- BCM Steering Committee
- Executive business sponsor (Dave Wright)
- Program Administrator (FSEP)
- School/Department Coordinator (Team Planner)
- Program owner (Team Leader)
- IT Disaster Recovery Program Coordinator (School/Dept. IT Admin)
- USC Medical Enterprise Program Coordinator (Robert Vance)
- USC Medical Enterprise Program Owner (Paul Craig)
- USC Central ITS CIO (Doug Shook)

## 2.1 Communication Responsibilities

### Crisis Management Team

- The team will communicate and provide direction through the Executive Business Sponsor.

### BCM Steering Committee

- The BCS will provide recommendations about communications and serve as a liaison between the Program Administrators and Crisis Management Team.

### Executive Business Sponsor

- Communicate BCM expectations and accountabilities relating to plan development, maintenance, training and testing of Business Continuity and Disaster Recovery plans.

### Program Administrator

- Keep the executive business sponsor informed of the planning status and other deliverables.
- Communicate the need to perform plan maintenance, training, and exercise to the recovery team planners and team leaders.
- Provide regular training to ensure that all stakeholders are aware of the BCM program and their responsibilities. See training policy document for details.
- Provide informational content for steering committee and crisis management team meetings.
- Stay apprised of and communicate BCM industry trends and best practices.

### IT Disaster Recovery Program Coordinator

- Communicate with the Program Administrator and ITS to ensure compliance with updates and testing.
- Communicate any issues/gaps about the recoverability of IT systems that do not meet business needs.

### School/Department Program Owner & USC Medical Enterprise Program Owner

- Communicate with the recovery team planner and recovery team members to ensure program compliance, expectations and accountabilities for BC/DR deliverables, including Business Impact Analyses, plan development and maintenance, testing and training.

### School/Department Program Coordinator & USC Medical Enterprise Program Coordinator

- Communicate with recovery teams and the team leader to ensure key deadlines are met. Other communications will include the scheduling of meetings, training and exercises.
- Communicate plan development, maintenance and status to the recovery leader, program administrator, and other internal stakeholders.
- Ensure recovery team members are aware of their roles and responsibilities and that staff and faculty members are aware of the business continuity plan.

### USC Central ITS CIO

- Communicate with recovery team planners, leaders, and members to ensure program compliance, expectations and accountabilities for business continuity/disaster recovery plans.
- Communicate with the decentralized IT administrators relative to IT DR inquiries and guidelines.
- Serve as a subject matter expert to approve or recommend IT disaster recovery strategies that meet university standards.
- Ensure executive level support by communicating with key staff, faculty and researchers to ensure cooperation and collaborations with all aspects of the business continuity management program.
- Communicate with schools and departments the information gathering and review protocols for reviewing third party vendors.

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### 3. BUSINESS CONTINUITY PLAN DEVELOPMENT

#### 3.1 Business Impact Analysis (BIA)

- This initial phase involves the collection of data to determine and evaluate the potential effects of an interruption to critical business operations as a result of a disaster, emergency or other disruptive incident. Prioritization of critical functions will be based on financial, operational or legal/regulatory impacts.
- Key activities performed during the BIA include the following:
  - a) Identification of Critical Functions: A process designed to prioritize unit processes by assessing the potential quantitative (financial) and qualitative (non-financial) impact that might result if the university experiences a major disruption or disaster. (See BIA planning guide).
  - b) Dependency Analysis: This process identifies both internal and external interdependencies (upstream and downstream processes) and data dependencies required in order for processes to function.
  - c) Gap Analysis: This analysis results in a detailed examination of the identified risks associated with the differences between university function (RTO/RPO) requirements and the current available recovery capabilities.
  - d) Site Risk Assessment: This task involves collecting site risk data from various sources (internal and external) to develop a list of potential onsite and offsite threats that could impact multiple processes at a location.
  - e) Recovery Strategy Development: Recovery strategy development involves formulating options for closing gaps identified in the Gap Analysis phase of the lifecycle. In weighing each option, the university function owning the critical process must consider cost versus benefit as well as associated risks to help select the best option for filling any gaps.

#### 3.2 Business Continuity Plan (BCP) Development

##### 3.2.1 Overview

All information for continuity of critical processes and the long-term recovery of less critical processes is developed into a business continuity plan. These plans are intended to be easy to follow and implement.

This plan development process involves establishing responsibilities by breaking down the function into units or teams to implement both immediate procedures to continue critical processing (i.e., those procedures which must be performed within the first 72 hours or less from a disaster declaration) as well as longer-term recovery and restoration procedures (i.e., those procedures implemented to restore operations to its status prior to the disaster). Keeping in mind that not all processes need to be operational immediately, the BIA determines the prioritization of the actual recovery.

The BCP also documents all internal and external support resources required, such as applications, processes for archival of data and records, off-site storage facilities, redundant or diverse communications access for voice and data lines, procedure manuals and critical documentation, supplies and forms, third-party vendors, suppliers and partners.

The development of the plan also includes documenting all tasks to be performed including emergency and evacuation procedures, notification of team personnel and third parties and off-line processing procedures and recovery procedures for each recovery team. These tasks are identified according to recovery time frames, detailing when each element must be completed in order to ensure optimal continuity.

##### 3.2.2 Enabler

Business Continuity Plan Template

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### 3.2.3 Activities

- **Determine Plan Development Participants**  
Determine individuals to represent each department process and to participate in the plan development activity. This may or may not be the individuals who took part in the BIA. At a minimum, the individuals selected must have a good understanding of the processes and how they inter-relate with each other.
- **Schedule BCP Development Workshop**  
Schedule the plan development workshop with the identified participants. These workshops serve as the primary training session for developing the BC plans.
- **Customize plan template**  
Using the BCP template the team planner should complete the template with any relevant information.
- **Hold BCP Development and/or Update Workshop**  
In the BCP development workshop the team planner should walk the participants through their respective documents and note the sections that the participants should provide input.
- **Provide plan development support to plan developers, as necessary.**
- **Review draft plans**  
Review the plan and normalize where necessary, then distribute the printed draft plans to the participants for correction, offering additional support as necessary.
- **Receive additional revisions and correct in the template.**
- **Present draft plans to unit leadership for approval.**
- **Provide draft plan to FSEP for review and final approval.**
- **Work Products**  
Business Continuity Plan or Annex