



# OKANAGAN

## BUSINESS CONTINUITY PLAN

**Template**

Date Revised: 2009 August 21

## Revisions Record

Date	Section Revised	Revision Summary	Signing Authority Title	Name

### Distribution List

Distributed to:	Location Including Address

**BUSINESS CONTINUITY MANAGEMENT:** A holistic management process that identifies potential impacts that threaten an organization and provides a framework for building resilience with the capability for an effective response that safeguards the interests of its key stakeholders, reputation, brand and value creating activities. The management of recovery or continuity in the event of a disaster. Also the management of the overall program through training, rehearsals, and reviews, to ensure the plan stays current and up to date.

### Basic Elements of a Business Continuity Plan

1. Identify services, business processes, applications, and normal support tools (e.g., business records, computers, telephones, etc.) that must be sustained during an interruption.
2. Identify services, processes, or applications that are not critical and may reasonably be suspended during an interruption. Determine how long the department can function without normal support tools.
3. Determine minimal personnel, supplies, data, equipment, etc. that will be essential to support key functions and recovery efforts.
4. Keep updated contact lists with names and telephone numbers of key personnel and their recovery responsibilities.
5. Identify interfaces to other operating departments' continuity plans. Which departments does yours depend upon to get its work done? Which departments depend on your unit to get their work done?
6. Ensure that all personnel with operational continuity responsibilities are trained and prepared to respond during a disaster.

## Table of Contents

	<u>page</u>
<b>Revisions Record.....</b>	1
<b>Table Of Contents.....</b>	2
<b>Executive Summary.....</b>	3
Scope, Goals and Objectives .....	3
Critical Unit Functions.....	3
Department/Unit Business Continuity Team .....	4
Department/Unit Staff Contact List .....	4
Critical Supplies.....	5
Vital Records .....	5
Support Organizations and Agreements.....	7
Working from Home.....	7
On Campus Functions.....	8
<b>Analysis of Risks and Impacts .....</b>	9
Risk Analysis .....	9
Business Impact Assessment.....	9
<b>Recovery Plans for Unit .....</b>	10
Scenario:      Pandemic Outbreak.....	10
<b>BCP Administration .....</b>	12
<b>Appendix I: Department/Unit Staff Contact List.....</b>	13
<b>Appendix II: UBC Okanagan Risk Priority Matrix.....</b>	14
<b>Attachment 1: Department/Unit Business Impact Analysis Worksheet .....</b>	16

# Executive Summary

## Scope, Goals and Objectives

The **scope** of this Business Continuity Plan (BCP) is for the **XXXX Department/Unit** to establish the capability to respond to major disruptive University events with minimal impact to the University, its faculty and staff employees.

The **goals** of the BCP are to:

- Build the Okanagan campus resilience and capacity to manage through any major disruptions
- Promptly and effectively respond to emergencies and disasters affecting the campus
- Mitigate the impact of loss or injury to people, physical assets and information systems
- Maintain the integrity and quality of the BCP through regular reviews and updates, simulation exercises, and systems assessments
- Promote campus-wide awareness about the importance and purpose of business continuity

The **objectives** of this BCP are to effectively manage the resumption of critical functions of the **XXXX Department/Unit** resulting from a major disruptive event to campus clients within established recovery time objectives (RTOs). The RTOs have been established for all critical functions for each most probable type of hazard event.

The BCP for the **XXXX Department/Unit** is posted at:

**SPECIFY THE LOCATIONS WHERE THIS MANUAL WILL BE KEPT**

## Critical Departmental/Unit Functions

**Definition of “critical”** – A function is “critical” if it is essential to the conduct of teaching or research. More specifically, a critical function is one that must be re-started during the first 30 days post-disaster, in order to enable teaching or research to re-start.

- **Indirect relationships.** Many functions have only an indirect relationship to teaching or research. These functions may still be critical if their cessation would have a significant negative impact on the University’s ability to carry on teaching or research activities (i.e., space to conduct teaching).
- **Set the bar high.** Visualize the department working in a large tent with a few computers on extension cords, and question whether you really need to be doing this function! A major disaster will force the University to prioritize; and to plan effectively these choices must be made now.

## Critical Departmental/Unit Functions

Critical Functions	Responsible Authority Title/Location/Phone
•	
•	
•	
•	
•	
•	
•	
•	

## Executive Summary

Critical Functions	Responsible Authority Title/Location/Phone
•	
•	
•	
•	
•	
•	
•	
•	
•	
•	
•	

### Department/Unit Business Continuity Team and Chain of Command

- |    |                            |
|----|----------------------------|
| 1. | office phone + cell + home |
| 2. | office phone + cell + home |
| 3. | office phone + cell + home |
| 4. | office phone + cell + home |
| 5. | office phone + cell + home |
| 6. | office phone + cell + home |
| 7. | office phone + cell + home |

### Department/Unit Staff Contact List

A hard copy and laminated credit card-sized list of all staff office, cell and home phone numbers has been provided to all staff. The departmental/unit **Administrative Supervisor/Manager** will update this list every six months or as needed. A copy of the list is enclosed as Appendix I.

### Plan Activation Triggers

Trigger	Action
Any event that overwhelms the ability of <b>XXX Department/Unit</b> to effectively control the situation	<b>Initiate the Plan through the authority of the Director of the XXXX Department/Unit</b>

## **Executive Summary**

## Key Recovery Situations

A complete summary of the key event scenarios and impacts that can be used to develop operational recovery plans, RTO's, procedures, and arrangements is listed in Attachment 1.

# Vital Records

In many departments, vital records are not consolidated, and are sitting on multiple hard drives/desk drawers. The first priority is to have the **XXXX Department/Unit** define the essential/vital records through a simple group meetings and discussions. Loss of some records may not cripple the department, but it might have great difficulty in recovering. Various estimates say that roughly 50% of businesses that suffer catastrophic data/records loss never reopen. In UBC Okanagan's case, this could mean a significant reduction in enrolment and revenues, delayed restoration of physical assets, and prolonged research efforts.

Any records/data that are not already considered vital, with planned back-ups will likely be destroyed in the event of a major disaster. In the aftermath of a serious event there will be too little, too late in the area of records recovery. People will be concerned with life and limb, not departmental/unit information.

There are two types of records that need to be considered. They are:

1. **“Emergency” records – Needed for immediate or near immediate resumption of business, such as:**
    - Emergency plans and directives, or similar authorizing issuances and records recovery plans and procedures
    - Delegations of authority

## Executive Summary

- Emergency staffing assignments, including lists of personnel, along with their addresses and telephone numbers
  - Building plans and building systems operations manuals
  - Equipment inventories
  - Files plans describing the records series and electronic information systems
  - Copies of agency program records needed to carry out continuing, critical functions
  - System documentation for any electronic information systems designated as emergency operating records.
2. **“Rights” records – Records used to prove ownership, registration, contractual agreements, such as:**
- Accounts-receivable records
  - Pension records
  - Payroll records
  - Retirement records
  - Insurance records
  - Any records relating to contracts, entitlement, leases, or obligations whose loss would pose a significant detriment to the legal and financial rights of the department or persons affected by its actions
  - System documentation for any electronic information systems designated as records needed to protect rights.

Such records constitute a small percentage of the overall records being retained, and this may be because the records are retained elsewhere. For example, although a department may view the student records it manages as “vital,” the reality is that the Registrar’s Office will likely have the vast majority of these same records. Thus, the onus is on the Registrar’s Office to protect these records. In the same way, just because a Dean’s Office may retain the employment records of their staff and faculty members doesn’t mean that Human Resources doesn’t have them as well.

Some departments at UBC O have a particularly important role in the protection of vital records. **HR, Finance, IT Services, Enrolment Services, as well as the DVC’s Office, AVP Offices, and Dean’s Offices**, among others, may all house “vital” records. Some of these records will be needed short term, while others may not be needed for months or even years. Steps need to be taken to ensure the records needed for business continuity survive. These departments need to plan now.

Any disaster that produces fire or water, results in prolonged power outage, or compromises IT infrastructure, is a massive threat to all forms of information retained at UBC.

Description	Where Located	Contact
•		
•		
•		
•		
•		
•		

## **Executive Summary**

## Support Organizations and Agreements (Internal & External; Staff & Departments)

## Working from Home

List of critical employees who can work from home.

List of critical employees who can work from home:					
Name	Title	Access to MS Outlook	Access to LAN	Virus protection	Tested dial in process

## Executive Summary

Name	Title	Access to MS Outlook	Access to LAN	Virus protection	Tested dial in process

### On Campus Functions

Functions that **must** remain on campus?

Must Remain On Campus: Functions	Comments

Functions that **could temporarily** be housed off campus?

Can be Located Off-Campus: Functions	Comments

# **Analysis of Risks and Impacts**

## **Risk Analysis**

A hazards risk analysis is a summary of the **XXXX Department/Unit's** internal and external risks, based on known threats, vulnerabilities history, probability and potential impacts to **XXXX Department/Unit's** processes and activities. Examples of these risks are infectious disease outbreaks, electrical power failures, breakdown of computer services, hazardous materials spills/explosions, earthquakes, etc. Using the BC Provincial Emergency Program's (PEP) knowledge and experience, it has been determined that there are 57 types of risk that can affect any enterprise. Using this, a detailed analysis was conducted using PEP's recognized and accepted Hazards, Risk and Vulnerability Analysis process. Each potential hazard was evaluated on a Frequency of Occurrence versus a Severity of Impact matrix and a List of Threats was calculated (scores range from 1 – lowest risk to 6 – highest risk). See Appendix II for a diagram of the risk analysis matrix.

## **Business Impact Assessment**

The Risk Priority List is the overall "Game Plan" for the systematic analysis of specific impacts that the hazard will have on the operations of the **XXXX Department/Unit**. The order in which the hazards are mitigated followed the priority list. The **XXXX Department/Unit** BCP, as its first priority, investigated the impacts that would be experienced from a Human Epidemic or Pandemic and has developed contingency or recovery measures to address those impacts. The second hazard type that has formed the basis of the overall BCP was power outage; the third was the impacts from a major chemical release, and so on down to the last item of a heavy or prolonged rainfall.

Two Business Impact Assessment tools were used to investigate both quantitative and qualitative impacts that would result from the ten hazard types. Appendix II lists the UBC Okanagan Business Impact Analysis Matrix that was used to quantify and rank the business impacts from a vulnerability standpoint – that is, how fragile or robust is a specific activity in the **XXXX Department/Unit** and also from a likelihood of occurrence – how often has this activity crashed or broken down. This created a better understanding of what **XXXX Department/Unit** activities should be protected or should have adequate resources assigned to in the event of any one of the identified hazards occur.

Taking this information, the Business Impact Assessment Worksheet listed in Attachment 1 was used to develop a series of escalating impact scenarios. This identified existing controls in place and, more importantly, highlighted the additional mitigation or control measure requirements. This provided the data needed to develop the Initial Response and Recovery actions that are the main part of this BCP.

# Recovery Plans for XXXX Department/Unit

## Scenario: *Pandemic Outbreak*

Scenario Description: In Feb 2006, Conference Board of Canada says a likely 'imminent' flu pandemic could kill 1.6 Million Canadians. It calls on Canadians to prepare now to reduce risk of disease transmission in the workplace and form plans to maintain essential business functions despite high employee absenteeism.

**Function 1:** **Provide access to drawings, maps and records of all UBC Okanagan buildings, facilities and infrastructure (covering construction, mechanical, plumbing and architectural drawings and details). [EXAMPLE ONLY]**

## Assumptions

- 35% of staff ill or away taking care of their parents, children and spouses
- Staff fatalities
- Refusal of staff to come to workplace
- Restrictions on public gathering including ground, air, rail transportation, childcare, schools, retail settings, workplaces, places of worship, funerals and community events (cultural/sporting)

## Recovery Procedure

Basic service provided – Records Manager to provide access to records/drawings; in his absence, XXXXX will be the alternate.

## Responsibility

XXXXX will be responsible for the recovery procedure.

## Recovery Time Objective (RTO)

Maximum acceptable length of time that can lapse before lack of function 1 severely impacts the unit's function is three working days.

## Recovery Location

- Identify specific room location

## Dependencies

- Access to location
- Computer access
- Access to hard copies of records drawings, maps, building specs
- Communication system – telephone, cell phones, email, fax
- Availability of printer and copier

## Other Considerations

Circulate Hand Hygiene Procedures and cleaning procedures for common items to Faculty/Staff/Students for sharing with family members. Note the following:

- XXX Department/Unit staff and their household members should recognize that strict adherence to hand washing/hand antisepsis recommendations is the cornerstone of infection prevention and may be the only preventative measure available during a pandemic.
- Hands should be washed or hand antisepsis performed after direct contact with individuals and after contact with their personal articles or their immediate environment.
- XXX Department/Unit staff and their household members should be encouraged to minimize potential influenza transmission through good hygienic measures, i.e., use disposable, one-use tissues for wiping noses; covering nose and mouth when sneezing and coughing; hand washing/hand antisepsis after coughing, sneezing or using tissues; and the

## Recovery Plans for XXXX Department

- importance of keeping hands away from the mucous membranes of the eyes and nose.
- Monitor [www.ubc.ca/okanagan/hse](http://www.ubc.ca/okanagan/hse) for the most up to date information on illness prevention and communicate with faculty/staff/students.

### Recovery Steps – Summary

- |        |   |
|--------|---|
| Step 1 | – Records Manager to determine University community needs i.e. access to vital records  |
| Step 2 | – Contact employees and determine availability to work; prepare work role/schedule for each staff                               |
| Step 3 | – Maintain contact with university community/employees and assess/meet needs as deemed necessary                                |
| Step 4 | – If one of staff affected by virus, ensure materials being handled or distributed are disinfected prior handling/distribution. |

### Recovery Steps – Detail

For each step listed in the summary list, provide all the details necessary to carry out that step. Start each step on a new page and provide all of the applicable information as outlined on below:

#	Step Summary	Details	Who
1	Records Manager to determine University community needs i.e., access to vital records	ddd	
2	Contact employees and determine availability to work; prepare work role/schedule for each staff	dddd	
3	Maintain contact with university community/employees and assess/meet needs as deemed necessary	dddd	
4	If one of staff affected by virus, ensure materials being handled or distributed are disinfected prior handling/distribution.	dddd	

Completion Date: \_\_\_\_\_

Initials: \_\_\_\_\_

Fill in the date completed and the initials of the BCP team member responsible for this task when the task is complete.

## **BCP Administration**

### **Meetings and Seminars**

Date	Topic Chair/Leader	Attendees

### **Staff Training**

Date	Topic Presenter	Attendees

### **Testing and BCP Improvement/Revision Process**

Date	Author	Revision

## **Appendix I: XXXX Department/Unit Staff Contact List**

## Appendix II: UBC Okanagan Risk Priority Matrix

The purpose of Hazard, Risk and Vulnerability Analysis (HRVA) is to help UBC Okanagan make risk-based choices to address vulnerabilities, mitigate hazards and prepare for response to and recovery from hazard events. One may think that your number one hazard is heat wave because it occurs frequently. However, you may find that your greatest risk is a pandemic/epidemic. Even though the likelihood of a pandemic might be somewhat unlikely, the consequences could be devastating so the overall risk is great.

UBC Okanagan has limited time and resources, so it is important to identify risk reduction action items for UBC O's greatest risks first. Each potential hazard was evaluated on a Likelihood of Occurrence versus a Consequence of Impact matrix and a List of Threats was calculated. The results for the Okanagan campus are shown below.

		Legend	Low	Medium	High
		(n) – Natural Hazard	(mm) – Human Made Hazard		
LIKELIHOOD	4	<ul style="list-style-type: none"> <li>Lightning Storm (n)</li> <li>Power Outage (mm)</li> </ul>			
	3	<ul style="list-style-type: none"> <li>Extreme Heat Wave (n)</li> <li>Hail Storm (n)</li> </ul>	<ul style="list-style-type: none"> <li>Severe Windstorm or Tornado (n)</li> <li>Forest Fire (n)</li> </ul>	<ul style="list-style-type: none"> <li>Major Chemical Release (mm)</li> </ul>	
	2	<ul style="list-style-type: none"> <li>Heavy Prolonged Rainfall (n)</li> </ul>	<ul style="list-style-type: none"> <li>Employee/Contractor Accident (mm)</li> <li>Construction Accident (mm)</li> <li>Vehicle-Pedestrian Accident (mm)</li> </ul>	<ul style="list-style-type: none"> <li>Bomb Threat/Suspicious Package (mm)</li> </ul>	<ul style="list-style-type: none"> <li>Pandemic/Epidemic (n)</li> </ul>
	1		<ul style="list-style-type: none"> <li>Extreme Winter Weather (n)</li> <li>Wildlife Encounter (n)</li> </ul>	<ul style="list-style-type: none"> <li>Major Biological Release (mm)</li> <li>Major Radiological Release (mm)</li> <li>Hazardous Material Spill – rail/road (mm)</li> <li>Sabotage to Utilities (mm)</li> <li>Water Intake Failure/Water Contamination (mm)</li> <li>Wastewater Removal Failure (mm)</li> <li>Natural Gas Pipeline Release (mm)</li> </ul>	<ul style="list-style-type: none"> <li>Earthquake (n)</li> <li>Violent Criminal Act (mm)</li> <li>Hostage Taking/ Kidnapping (mm)</li> <li>Multiple Building Fire (mm)</li> <li>Plane Crash (mm)</li> <li>IT Sabotage (mm)</li> </ul>
	-	1	2	3	4
	CONSEQUENCE				

## Appendix II: UBC Okanagan Risk Priority Matrix

### List of Threats

<u>Hazard</u>	<u>Likelihood</u>	<u>Consequence</u>	<u>Total Score</u>
<u>Natural:</u>			
Pandemic Influenza/Epidemic	2	4	6
Lightning Storm	4	2	6
Earthquake	1	4	5
Severe Windstorm or Tornado	3	2	5
Forest Fire	3	2	5
Extreme Heat Wave	3	1	4
Hail Storm	3	1	4
Prolonged Extreme Winter Weather	1	2	3
Wildlife Encounter	1	2	3
Heavy & Prolonged Rainfall	2	1	3
<u>Human Made:</u>			
Major Chemical Release	3	3	6
Power Outage	4	2	6
Violent Criminal Act	1	4	5
Hostage Taking / Kidnapping	1	4	5
Multiple Building / Structure Fire	1	4	5
Plane Crash	1	4	5
Information Technology Sabotage	1	4	5
Bomb Threat / Suspicious Package	2	3	5
Civil/Labour Unrest / Protest Activity	3	2	5
Major Biological Release	1	3	4
Major Radiological Release	1	3	4
Hazardous Material Release (rail & road)	1	3	4
Sabotage to Utilities / Infrastructure	1	3	4
Water Intake Failure / Contaminated Water	1	3	4
Wastewater Removal Failure	1	3	4
Natural Gas Pipeline Rupture or Leak	1	3	4
Employee/Contractor Accident	2	2	4
Construction Accident	2	2	4
Vehicle-Pedestrian Accident	2	2	4

## Attachment 1: XXXX Department/Unit Business Impact Analysis Worksheet

Rank	Risk Type	Likelihood	Consequence	Risk Rank	Impacts	Existing Controls	Additional Mitigation or Control	Assumptions
1	<b>Human Epidemics</b>	2	4	6	- Delay in program delivery - Need for replacement workers - Possible refusal of staff to come to workplace - Some staff might have to stay at home to look after children, parents, spouse - Possible fatalities	- Standardized precautions for preventing spread of infectious diseases - hand washing instruction, flu immunization	- Communicate information regarding prevention - No group meetings Determine who can work from home (telecommute) - Develop and implement Pandemic Emergency Plan - See which area/program can be put on hold till more staff available	- Health Canada will ensure timely delivery of vaccine; University will ensure adequate supply of N95 masks
	Pandemic - affecting 30% of staff –  <b>EXAMPLE ONLY</b>							
2	<b>Prolonged power Outage</b>	4	2	6				
3	<b>Major chemical release</b>	3	3	6				
4	<b>Lightning storm</b>	4	2	6				