Business Continuity Management
Program Development Overview

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Business Continuity Management Program Development Overview

Thank you for your interest in developing business continuity and recovery plans with the University of Rochester Business Continuity Management Program (BCMP) Office. Allow us to briefly explain our mission, why business continuity planning is beneficial and what plan development entails.

What's our mission?
The mission of the Business Continuity Management Program (BCMP) at the University of Rochester (U of R) is to ensure strategies and plans are in place to prevent and counteract interruptions to business activities and protect critical business processes from the effects of major failures of information systems or other disasters and to ensure their timely resumption of services.

What is business continuity planning?
Business Continuity Planning (BCP) aims to ensure departments can keep essential services/functions up and running during an interruption, incident, or disaster and then recover to normal business operations with as little disruption to operations, revenue and reputation as possible. Within the U of R enterprise, this translates to accounting for and maintaining patient care and safety and other medical, research, academic, financial and business services/functions.

Why business continuity planning?
The BCMP follows the best practices designed for organizations including academic medical centers. The framework is designed to overlay and provide compliance with industry standards including but not limited to:

- ISO 22301:2012
- HiTrust
- HIPAA
- CMS
- FEMA
- NFPA
- Joint Commission
- NYS DOH

How does BCP development work?
The U of R BCMP Office developed a six phase development process for business continuity and recovery planning, which includes the use of planning software utilized by our office. Development is driven by BCMP staff engaging your staff in interactive Q&A meetings to complete the planning process. The BCMP office estimates development may take 8-10 hours of meeting time, depending on departmental complexities. BCMP staff puts in additional support behind the scenes, pulling plan components together and performing data entry, program assessment and planning functions.

Most of the planning is scheduled meeting time with BCMP staff who facilitate the work. A minimal amount of homework by the department (described later) can also speed up the overall process timeframe. Development sessions can be combined or broken up in combinations allowing for meeting lengths of ~1.5 or 3 hours. BCMP staff works with your department to determine preferred meeting logistics.

Planning Phase Development Overview:
Business continuity and recovery planning utilizes the continuity planning software ResilienceOne, providing online business intelligence and warehousing capabilities for business impact analysis, risk assessments and recovery plans. Planning is facilitated by the BCMP team, relies upon departmental subject level experts and involves multiple opportunities for departmental review of planning information. Briefly outlined below are the six planning development phases, deliverables per development phase and departmental pre-meeting homework expectations.

Phase 1: High Level Business Function Process Mapping
Maps business processes into 3-7 high level business functions as the foundation for plan development.
>   Project Deliverables:
>   1) Introduction to business continuity management
>   2) High level business functions process map.
>
>   Pre-meeting Homework:
>   1) Read the Business Continuity Plan Development Information documentation.
>   2) Thought exercise: contemplate organizing departmental business functions/services into 3-7 high level groupings in anticipation of in-depth planning discussion during Phase 1 meeting.

Phase 2: Business Impact Analysis (BIA)
A process evaluating the potential disruption to business functions/services by mapping severity of impact to functions/services to downtime timeframes in relation to RTOs (recovery time objectives). RTO's are the duration of time a function/service needs to be restored to avoid unacceptable business consequences associated with downtime, therefore business function/service impact scoring likely increases over time. BIA rates impact on different aspects of the business using a scale of 0-5 and mapping to the following RTO timeframes (see Resource Section for impact factor rating explanations):

<u>Impact Factors</u>

- Financial (Loss of Revenue)
- Patient Health and Life Safety
- Brand/Organizational Reputation
- Compliance/Regulatory
- Loss of Productivity
- Employee Morale and Retention

<u>RTOs</u>

- *Up to 1 hour*
- *1-4 hours*
- *4-8 hours*
- *8-24 hours*
- *1-2 days*

- *2-5 days*
- *5-10 days*
- *10 days-2 weeks*
- *2 weeks-1 month*
- *>1 month*

Project Deliverables:
>   1) Business Impact Analysis scoring.
>   2) RTO "heat map" indicating function/service criticalities and recovery priorities.
>
>   Pre-meeting Homework:
>   1) Thought exercise: review impact factor rating explanations and contemplate business impact relative to time scale post interruption/downtime for each high level business function in anticipation of in-depth planning discussion during Phase 2 meeting.
>   2) Send BCM office copies of any previous business impact analysis for review.

Phase 3: Determine Business Function Interdependencies and Support Components
Maps support processes within each high level business function identified in Phase 1 and determines related critical support components including:

1. Key staffing roles (job titles, not specific individuals)
2. Critical software applications
3. Building/location sites
4. Departments/facilities that outflow work supports
5. Key office productivity equipment requirements (computers, faxes, etc.)
6. Critical specialty equipment requirements
7. Critical vendors/suppliers in supply chain
8. Vital records/forms and/or regulatory license requirements

Project Deliverables:
1) Listing of business function interdependencies within the organization and business function support components to be factored into continuity and recovery plan, including processes entering from other departments/organizations (in flow) and leaving to other departments/organizations (out flow).

Pre-meeting Homework:
1) Thought exercise: consider the 3-7 processes supporting each high level business function identified in Phase 1. The first process initiates function activity with the final process number finishing the function activity, which may close out work or produce an outflow to another function or department.
2) Thought exercise: consider critical support components, listed above under Phase 3, required for support processes and business functions.
3) Develop a list of all IT applications used within your organization.

Phase 4: Risk Assessment
A process to evaluate and rank threats/vulnerabilities to physical business locations and the resulting potential likelihood of occurrence and impact to business functions. Includes discussion of historical incidents/patterns and reoccurrence frequency.

Project Deliverables:
1) Completed risk assessment.

Pre-meeting Homework:
1) Thought exercise: consider recent and historical interruptions to business functions/services, and their causes, for discussion during Phase 4 meeting.

Phase 5: Business Recovery Planning
Business recovery refers to recovering business functions and a return to normal business operations. This process develops strategies for mitigation of risks and recovery of business processes and high level business functions due to downtime, incorporating critical requirements determined in previous continuity planning phases.

Project Deliverables:
1) Process map manual workarounds for step-by-step business function recovery strategies.
2) A "Recovery Playbook", documenting step-by-step business function recovery plans.
3) A departmental BCM summary report for regulatory reference as proof of BCP development.

Pre-meeting Homework:
1) Outline relocation and workaround options for all business functions/services previously identified.
2) Send BCM office copies of any previous recovery/relocation plans for review.

Phase 6: Training:
For Post-planning development, the BCMP office remains in a supportive role for Q&A, consultation and incident management and education support. The BCMP office will train, at minimum, 2 departmental staff in:

Project Deliverables:
1) Procedures for acting as a liaison/primary point of contact to the BCMP office.
2) BCM general education and guidelines to aid in departmental plan review, updating and testing.
3) Updating/extracting plan information within the ResilienceOne BCM planning software.
4) Help desk procedures regarding the ResilienceOne BCM planning software.

Pre-meeting Homework:
1) Identify, at minimum, 2 departmental staff as liaisons/primary point of Contact with the BCMP office.

Resource Section

#	Impact Factors	Factor Rating Definitions
1	Financial (Loss of Revenue)	0) No Impact 1) Insignificant - 0- 5% of Monthly Revenue 2) Significant - 6-10% of Monthly Revenue 3) Serious - 11-25% of Monthly Revenue 4) Catastrophic - More than 25% of Monthly Revenue
2	Patient Health and Life Safety	0) No Impact 1) Insignificant - Slight degradation in Quality of Care, communication between departments hindered (e.g. housekeeping, transport), Care Plans not maintained. Patients inconvenienced 2) Significant - Deteriorating Quality of care noticed by patients. Jump in short-term re-admissions. Inefficient capture of electronic records, administering medication is failing. 3) Serious - Increased potential for serious human error, potentially life-threatening degradation of care. 4) Catastrophic - Loss of Life, Inability to provide care
3	Brand /Organizational Reputation	0) No Impact 1) Insignificant - No Long Term impact on Brand/ Customer Loyalty (Internal/External Concern) 2) Significant - Mild Impact on Brand /Customer Loyalty (Dissatisfied patients) 3) Serious - Major impact to Brand / Customer Loyalty on patient base (Angry patients / Trending on Social Media) 4) Catastrophic -Permanent loss of Customer base and Permanent damage to reputation (News and Social Media)
4	Compliance / Regulatory	0) No Impact 1) Insignificant - Little to no risk of regulatory impact. Compliance requirements are being met, but are challenging because capabilities are diminished. 2) Significant - Compliance requirements are not consistently met. Minor regulatory violations, or violations of Conditions of Participation (CoP) from CMS are occurring. 3) Serious - Serious - Major regulatory violations with fines. HIPAA violations occurring. In violation of multiple CoPs. 4) Catastrophic - Meeting Compliance requirements is not possible. Serious violations threatening withdrawal of accreditation/certification and/or significant fines.
5	Loss of Productivity	0) No Impact 1) Insignificant - Limited impact on productivity 2) Significant - Productivity drops 0% - 10% window; all processes sustainable 3) Serious- Productivity drops 10% - 40%. window; all processes sustainable 4) Catastrophic Productivity drops more than 40%
6	Employee Morale and Retention	0) No Impact 1) Insignificant - Localized employee dissatisfaction, a few employees vocalizing dissatisfaction in 1 or 2 departments. Isolated union complaints (Water Cooler) 2) Significant - Trending negative ratings in social media (e.g. Glassdoor). Union grievances filed. Turnover rate increases over normal levels. 3) Serious - inability to adequately staff, patient/provider ratios are missed, loss of institutional knowledge. Talks of strike by union employees. 4) Catastrophic - Inability to recruit or retain employees. Strikes occurring by union employees