SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 1 : FRAMEWORK

Chapter 1 :
Introducing the BCP function of SJSU

Introducing the Curriculum of the BCP Junction of SJSU

A comprehensive list of BCP components –

BUSINESS CONTINUITY PLAN - OUTLINE

Typically a Business Continuity Plan should consist of the following sections. These are not considered to be the only headings and each plan should be tailored to suit the individual company and or location.

Part 1 – General/Overview

Introduction
Aim of Plan
Objectives

Part 2 – Roles and Responsibilities

Key roles and responsibilities during an incident

Part 3 – Notification, Activation and Escalation

Invocation of BCM Plan and escalation process
Call out procedure and flowchart

Part 4 – Business continuity management team

Details of BCM Team
Contact details
Location and contact details of BCM command centre(s) (where the team will be based to carry out BCM)
Command centre resource profile (What will be needed e.g. Battlebox)

Part 5 – Checklists

Lists of tasks to act as an aide-memoire
List of 'to do's' immediately following an incident
List of 'to do's' within the first 2 hours

Part 6 – General Information

Guidelines which could be useful as reference during an incident.

Personnel matters – warning/informing staff during and out of hours
Fatalities and injuries – procedure for informing next of kin (a suitably trained person)
Staff welfare and counselling
Informing/briefing the local community/media
Health & Safety
Legal/statutory/regulatory obligations
Help lines – pre-recorded messages

Part 7 – Critical business activities

List of critical business activities
Critical business activities recovery action plan

Part 8 – Recovery

Recovery site location / map and floor plan (where applicable)
Relocation of staff (may need transport and accommodation)
Meeting rooms
Disabled access
Parking
Catering facilities
Security
Mail

Part 9 - Resources and Equipment

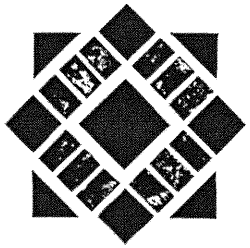
No of standard workstations
Software applications
Connectivity
Telecommunications and links
Backed up data
Documents – records/evidential for use in proceedings
General office equipment
Stationary
Special Equipment/Services

Contact Details

A directory covering those who may need to be contacted eg:

Lists of staff - internal/external
Customers and Suppliers
Insurance
Specialist services
Utilities

Business Continuity Planning
San Jose State University



Office of the VP of Administration

Topics

- What is a business continuity plan (BCP)?
- Why is it important?
- How do we create our BCP?

Business Continuity is...

- an ongoing program of activities

to ensure that the organization is prepared

to continue its mission-critical functions

when an adverse event occurs…

Why is BCP important

BCP reduces the impact of adverse events and helps to rapidly restart our critical functions.

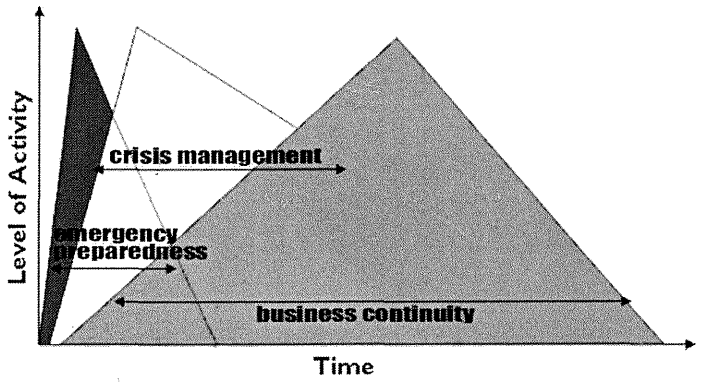
- *If staff unavailable – who will do the work?*
- *If a system or records are gone – how do we operate?*
- *If a specific building cannot be used – where do we go?*

Having a plan inspires calm instead of panic.

Emergency Preparedness vs. Business Continuity

- **Emergency Preparedness is...**
  to cope directly with crisis-events to protect people and property.
- **Business Continuity is...**
  to restart teaching, research, and other mission-critical functions after crisis-events.

3 Phases of Management Response to Disaster Events



Three Steps to build the SJSU BCP

Identify / Prioritize		*Develop*		*Implement*
Determine critical functions, their priorities, resources, lead units and representatives	→	**Generate plans** *(by each Department, using Continuity Planning Tool Set)*	→	**Communicate, Deploy Test, Update.**

Guidelines for Determining Critical Functions

First, identify them in terms of department functions, then group same processes together.

A critical functions has one or more of these attributes:

- *Preventing loss of life, personal injury, or loss of property*
- *Absolutely essential for teaching or research*
- *Vital support to critical function(s) of another unit*
- *Is required by law*
- *Must not suffer a significant interruption*

SJSU BCP
Planning Tool Set

- (TO BE SPECIFIED LATER)
- *Award winning, FEMA-funded, online planning tool*
- *Developed by UC-Berkeley, designed for higher education organizations*
- *Adopted for use by all UC campuses, UC Medical Centers*
- *Answer series of questions using web-based form, produce a department-based continuity plan*

Two central questions

1. What are the critical functions of your department / division?
2. How will each critical function be restarted?

   identify resources that must be in place to restart each critical function; plan for their back-up)

Resources planning (1)

1. What are the essential resources for the critical functions?

Vital records, equipment/systems, people, communication tools, etc.

Resources planning (2)

2. If main resources for the critical functions are not available, what alternatives exist?

Line of succession, alternate work locations, copies of vital records, alternate communication, alternate processes, workarounds, alternate human resources, alternate vendors, IT recovery approaches, etc.

Resources planning (3)

3. If alternatives resources don't exist, what can be done?

Actions that would increase ability to restart rapidly

Project timeline

- **Phase 1:** Create BCP Tool Set
- **Phase 2:** Deploy Tool Set to Divisions and Departments
- **Phase 3:** Departments to create and submit their departmental BCP
- **Phase 4:** Consolidate departmental BCP's into draft campus BCP
- **Phase 5:** Finalize campus BCP
- **Phase 6:** Campus BCP becomes effective; ongoing testing and updates

Departmental planning process

1. After deployment of the BCP Tool Set online, Departments should take no more than 3 months to complete their individual plans; longer time does not necessarily produce better plans

2. Time-saving features of BCP Tool Set (questionnaire)
   - Tool Set offers templates for fill-in-the-blank approach
   - For many questions, the fill-in-the-blank will be just "N/A"
   - Critical function team members often already have information in their heads
   - Learning how to use tool = 1 hour
     Design answers = 8 hours
     Data entry 2 hours

3. Who should be responsible for the planning?
   Upper/Middle: Key functional Directors and Managers, Asst. Directors, Asst. Deans, HR managers, IT Managers, etc...

4. Strategies for completing BCP questionnaire
   - Answer questions in the BCP Tool Set sequentially
   - Review, revise, submit

How do we know we're done ?

Written plans to recover all campus critical functions.

Established BCP Calendar for periodic Plan updates, tests, and refreshing contents by managers.

Execute periodic BCP actions according to Calendar.

SJSU BUSINESS CONTINUITY COORDINATOR

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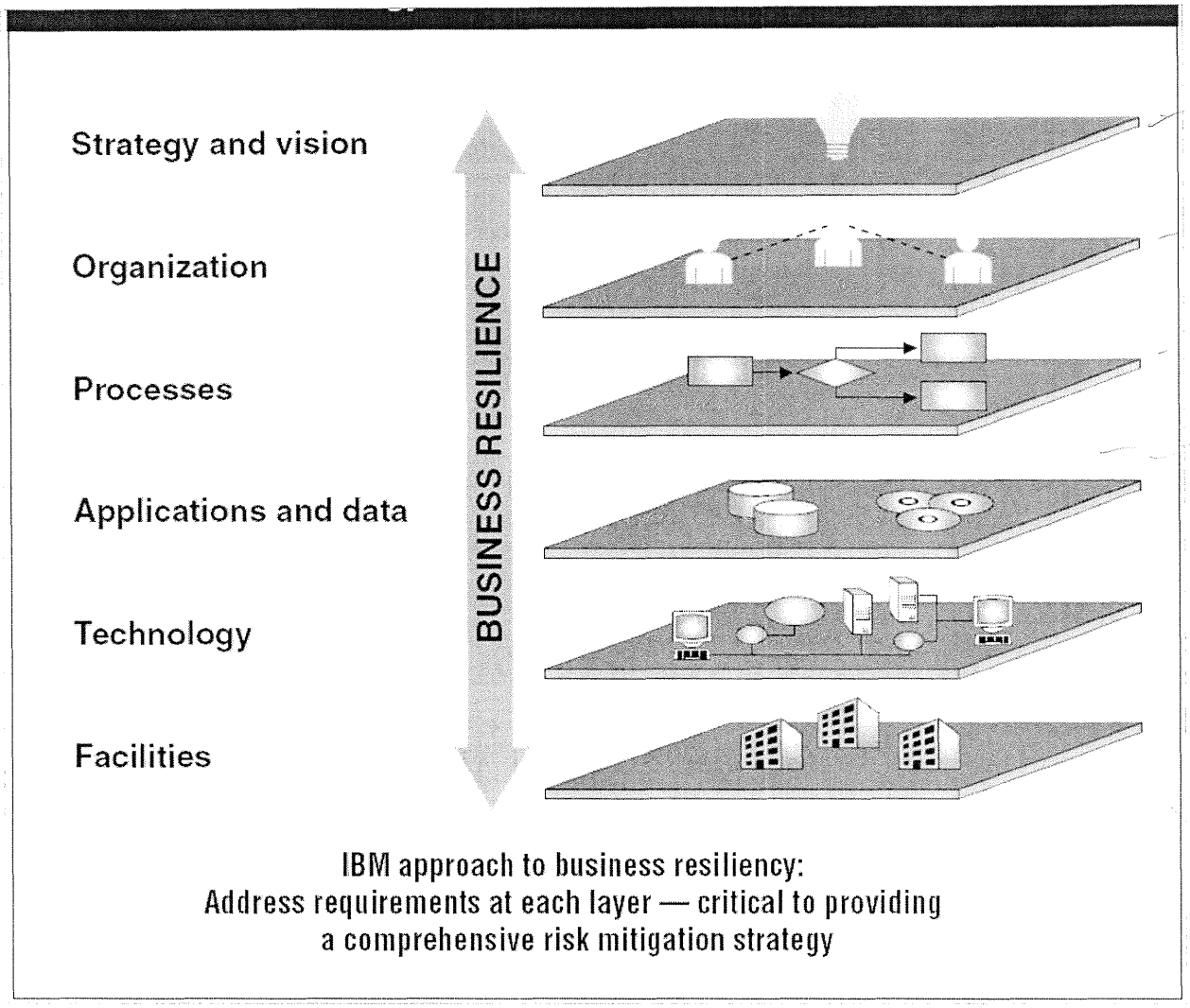

IBM approach to business resiliency:
Address requirements at each layer — critical to providing
a comprehensive risk mitigation strategy

Quality and Stability of Control Environment

In considering the quality and stability of a control environment, it is important to determine such factors as the expertise and tenure of management, historical problems (including audit findings), turnover in area personnel, and the overall centralization or decentralization of the area from the main operation of the campus.

Questions to consider include: whether or not the area has been able to operate within its budget; how complex the technology required to perform an area's operation is; current or future downsizing, expansion or process modification; the perception which personnel – both internal and external – have of the area.

Information Technology Dependency

Information is needed at all levels of an organization to run the business, and move toward achievement of the entity's objectives. Information is used in developing financial statements for external reporting, for operating decisions, for monitoring performance, providing services, and allocating resources. Reliable internal measurements are also essential to planning, budgeting, evaluating vendor performance, and other activities.

Questions to consider include: whether or not there have been any system failures; whether the area is regularly having to rely on backup systems; whether the area is solely dependent on a system for its operation; whether or not the system has appropriate security measures in place and how often the measures are evaluated; whether the area's computing environment is standalone or requires the interaction of multiple systems; how old the system currently in use is.

Plan Development

Plan Contents:

- Introduction
- Recovery Organization
- Recovery Time Objectives
- Recovery Strategies
- Plan Activation
- Recovery Plans
- Plan Testing
- Plan Maintenance
- Attachments

Training & Testing

- **Training:**
  - All employees
  - Members of ERT, CMT, BCP
  - Management
- **Drills:**
  - Practice specific skills
  - Use systems & equipment
- **Exercises:**
  - Familiarization
  - Validation
  - Identify deficiencies
- **Types:**
  - Walkthrough
  - Mobilization
  - Execution

Deployment & Maintenance

- **Plan management**
  - Centralized monitoring
    - Maintain control of standards
    - Access all plans and components
  - Decentralized creation and maintenance
    - Update
      - Tasks
      - Resources
      - Personnel

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 1 : FRAMEWORK

Chapter 2 : Campus Emergency Response / Management is a service handled by UPD independently from BCP

THE CALIFORNIA STATE UNIVERSITY
OFFICE OF THE CHANCELLOR

November 12, 2004

MEMORANDUM

TO: CSU Presidents

FROM: Charles B. Reed
Chancellor

SUBJECT: Executive Order No. 921
California State University Emergency Management Program

Attached is a copy of Executive Order No. 921 relating to CSU's Emergency Management Program. This executive order delegates to each president, or his/her designee, the implementation and maintenance of an emergency management system on each campus that will be activated when an event has the potential for reaching proportions beyond the capacity of routine operations.

In accordance with the policy of the California State University, the campus president has the responsibility for implementing executive orders where applicable and for maintaining the campus repository and index for all executive orders.

Should you have any questions, please contact Ms. Charlene M. Minnick, Sr. Director, Office of Risk Management at 562-951-4580.

CBR:mtl

Attachment

cc: Executive Vice Chancellor and Chief Academic Officer
Executive Vice Chancellor and Chief Financial Officer
Vice Chancellors
Vice Presidents for Administration
Vice Presidents for Academic Affairs
Risk Managers
Chiefs, Public Safety
Emergency Preparedness Coordinators
Environmental Health and Safety Directors
Chancellor's Office Divisional Heads

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THE CALIFORNIA STATE UNIVERSITY
Office of the Chancellor
401 Golden Shore
Long Beach, California 90802-4210
(562) 951-4580

Executive Order: 921

Effective Date: November 12, 2004

Supersedes: Executive Order 696

Title: California State University Emergency Management Program

This executive order is issued under Chapter II of the Standing Orders of the Board of Trustees of the California State University and in concert with the California Emergency Service Act in Chapter 7, commencing with Section 8550 of Division 1 of Title 2 of the Government Code. The purpose of this executive order is to maintain an emergency management system on each campus that will be activated when a hazardous condition or natural disaster reaches or has the potential for reaching proportions beyond the capacity of routine operations.

This executive order supersedes and replaces Executive Order No. 696 to incorporate revisions to further define the responsibilities and needs of an effective campus emergency management program.

The president of each campus is delegated the responsibility for the implementation and maintenance of an emergency management system program on campus. The campus shall write each emergency plan in accordance with and as described in the California State Emergency Management System (SEMS) developed by the State Office of Emergency Services. The responsibility of the Office of Emergency Services in this matter is described in the Governor's Executive Order D-25-83, and Section 8607 of the Government Code.

Each president shall ensure the following management activities are accomplished in support of emergency management:

1. Designate or assign a primary and a secondary person with responsibility for campus-wide emergency management. Activities are to include but not be limited to development of a building marshal program for evacuation, development of action plans for campus-wide response to emergencies, and provision of training in skills used to respond in emergency situations.

3. Establish and equip a functional campus emergency operations center (EOC) consistent with SEMS guidelines. Attachment A is a list of minimum equipment and supplies needed in an EOC.

4. Develop an emergency management plan that is compliant with Standardized Emergency Management Systems (SEMS) and review/update it at a minimum every year.

   A. Train campus community on SEMS compliant plan to include, at a minimum:

      1. Overview training of every employee within one year of employment.
      2. Specialized training for employees who will operate as building marshals and for those designated as members of the campus emergency management team. Training attendance records shall be kept for a minimum of seven years.

   B. Conduct periodic testing of simulated emergency incidents, and emergency communications including the periodic testing of mutual aid and assistance agreements. Administrative review of the campus emergency plan shall be conducted annually by members of the emergency management organization. Testing shall be conducted utilizing one of the following formats and varying the type of event:

      1. Orientation/Seminar – Informal, no simulation, discussion of roles and responsibilities, introduction of policies, procedures, plans and responsibilities.
      2. Tabletop – Informal discussion of simulated emergency, no time pressures, low stress, useful for evaluating plans and procedures and resolving questions of coordination and responsibility.
      3. Drill – Single emergency response function, single agency involvement, often a field component.
      4. Functional – Policy and coordination personnel practice emergency response, stressful, realist simulation, takes place in real time, emphasizes emergency functions, EOC is activated
      5. Full scale – Takes place in real time, employees treat real people and use emergency equipment, coordinates many agencies, tests several emergency functions, EOC is activated, produces high stress.

   As well, a program of campus evacuation drills should be conducted on a regular basis.

   At the completion of each exercise or simulated emergency incident, full documentation of test results and lessons learned shall be reviewed with the campus emergency planning team and maintained by the emergency planner for a period of not less than five years.

   C. Develop a roster of campus resources and memoranda of understanding for materials and services that may be needed in an emergency situation including equipment, emergency power, communications, food and water, and update at least annually. The "updated as of date" should appear on each roster.

   D. Ensure determination, acquisition and maintenance of facilities, equipment and related supplies required for emergency management activities.

   E. Communicate the SEMS compliant plan to the campus community in a variety of methods on a continuous basis through public education, e.g. web posting of the campus emergency plan or other mechanisms for regular dissemination of hazard planning.

4. On an annual basis by December 1st, provide the systemwide Office of Risk Management and the systemwide Office of Human Resources at the Chancellor's Office a roster of personnel as well as their designated back-up essential to the operation of the emergency management plan such as:

   -President
   -Emergency Executive
   -EOC Director
   -Emergency Coordinator
   -Public Information Officer

   The roster shall include name, office and emergency telephone numbers. These lists will be kept confidential and used only in emergency situations.

5. Support the systemwide Emergency Preparedness Taskforce (SWEPT) assigned oversight responsibility for CSU systemwide emergency management. SWEPT is a multi-discipline committee charged with improving communication between police chiefs, emergency coordinators, risk managers and environmental health and occupational safety directors; propose and establish mechanisms/systems for coordinating a response to emergencies; study and propose solutions to systemwide issues such as emergency communications, mutual assistance protocols, and training.

6. Interact and coordinate comprehensive emergency management activities, on a regular basis, with appropriate city, county, operational area, state, federal government and private agencies to increase the readiness of the university. Attendance can be verified by meeting agendas and notes and shall be kept for a minimum of two years.

7. Business continuity planning is an integral part of a comprehensive emergency management model that encompasses mitigation, response and recovery.

As the scope of business continuity planning is beyond both the authority and capability of campus emergency planners, responsibility for campus-wide continuity planning should be assigned to senior management personnel. It is also recommended that each campus form a Business Continuity Planning Committee that should include senior management from each campus functional area.

A. Develop a Business Continuity Plan for the campus and review at a minimum every year. The "reviewed as of date" shall appear on the plan after each annual review. Although each plan must be unique and designed for your campus, almost all plans contain common elements including the following:

   1. Establish goals and objectives that reflect the needs of your campus and its operating units.

   2. Identify functions and assets that are critical to operation continuity and needed to support your campus' mission. Evaluate critical needs and prioritize business requirements.

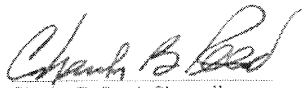
   3. Review existing plans and agreements to determine how they may be integrated into the campus-wide business continuity and disaster recovery plan. Assess how labor agreements impact these plans and identify processes for addressing conflicts in an emergency situation.

   4. Conduct a risk assessment of realistic worst-case scenarios to determine what can cause an upset in critical functions. Include a business impact analysis in your risk assessment.

   5. Determine budgetary limitations and requirements, which are key factors in determining the time frames in which you can likely restore your services.

   6. Write the plans and make them available to the campus community.

   7. Train personnel, test and audit plans to determine the effectives of your overall business continuity and incident recovery program, review and document test results and lessons learned. This review should occur annually, with testing occurring every two years at a minimum.



Charles B. Reed, Chancellor

Dated: November 12, 2004

EOC - Minimum Equipment and Supplies Guideline

- Furniture – desks/tables, chairs
- Computers and printers
- Copiers
- Communications Equipment
- EOC Forms and log books
- Emergency generator
- Flashlights/emergency lighting
- Uninterruptible Power Supply (UPS) for critical equipment
- TV, VCR, AM/FM radio
- Displays, maps and white boards
- Office supplies pens, pencils, staplers, etc.
- First aid supplies (as developed by the American National Standards Institute and recommended by the American Red Cross)
- Food/water (minimum three-day supply for each member of EOC team)
- Rest area

to signed PDF version

August 7, 2007

MEMORANDUM

TO: CSU Presidents

FROM: Charles B. Reed
Chancellor

SUBJECT: California State University Emergency Management Program — Executive Order No. 1013

Attached is a copy of Executive Order No. 1013 relating to the California State University Emergency Management Program. This executive order delegates to each president or his/her designee the implementation and maintenance of an emergency management system on each campus that will be activated when an event has the potential for reaching proportions beyond the capacity of routine operations.

In accordance with policy of the CSU, the campus president has the responsibility for implementing executive orders where applicable and for maintain¬ing the campus repository and index for all executive orders.

If you have questions regarding this executive order, please call Ms. Charlene M. Minnick, Chief Risk Officer, Systemwide Office of Risk Management at 562-951-4580.

CBR/mas

Attachment

cc: Vice Chancellors
Assistant Vice Chancellors
Executive Staff, Office of the Chancellor
Vice Presidents for Administration
Vice Presidents for Academic Affairs
Risk Managers
University Police Chiefs
Emergency Preparedness Coordinator/Manager
Environmental Health and Safety Directors
Chancellor's Office Divisional Heads

Executive Order 1013

THE CALIFORNIA STATE UNIVERSITY
Office of the Chancellor
401 Golden Shore
Long Beach, California 90802-4210

562.951.4790

Executive Order: 1013

Effective Date: August 7, 2007

Supersedes: Executive Order No. 921

Title: California State University Emergency Management Program

This executive order is issued pursuant to Chapter II of the Standing Orders of the Board of Trustees of the California State University and in concert with The California Emergency Services Act in Chapter VII, commencing with Section 8550, of Division I of Title II of the Government Code.

I. **Purpose**

The purpose of the executive order is to maintain an emergency management program on each campus that will be activated when a hazardous condition or natural disaster reaches or has the potential for reaching proportions beyond the capacity of routine operations. This executive order supersedes and modifies Executive Order No. 921 to adopt the National Incident Management System and incorporate revisions to further define the responsibilities and needs of an effective campus emergency management program.

II. **Definitions**

1. "Campus Multi-Hazard/Preparedness Plan (Plan)" - A document that establishes and outlines the campus' planned response to an emergency. Each campus plan must be compliant with both the California State Emergency Management System (SEMS) as developed by the State Office of Emergency Services (OES), the National Incident Management System (NIMS) as developed by the Department of Homeland Security, and the Incident Command System (ICS).

2. "Emergency Coordinator" and "Emergency Manager" – Are used interchangeably and both mean the designated person with responsibility for campus-wide emergency management activities.

3. "Emergency Executive" – The designated campus executive, such as the Vice President of Business and Administration or other commensurate management position, with overall responsibility for campus-wide emergency management planning and execution of the campus Plan.

4. "Emergency Management Program" – A management framework for responding to and recovering from emergencies that may threaten the health and safety of the campus community or disrupt its programs and operations.

5. "Emergency Operations Center (EOC)" – A physical location at which the emergency management team convenes to establish and execute response strategies and tactics, deploy resources, and initiate the recovery process.

6. "Incident Command System (ICS)" – The nationally used standardized on-scene emergency management concept specifically designed to allow user(s) to adopt an integrated organizational structure equal to the complexity and demands of single or multiple incidents without being hindered by jurisdictional boundaries. ICS is a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, with responsibility for the management of resources to effectively accomplish stated objectives pertinent to an incident.

7. "National Incident Management System (NIMS)" – A system mandated by the Homeland Security Presidential Directive/HSPD - 5 that provides a consistent nation-wide approach to enable all government, private-sector, and non-governmental organizations to work together during domestic incidents. The intent of NIMS is to be applicable across a full spectrum of potential incidents and hazard scenarios, regardless of size or complexity, and to improve coordination and cooperation between public and private entities in a variety of domestic incident management activities.

8. "Standardized Emergency Management System (SEMS)" – A system created by California Government Code Section 8607 that is designed to ensure that all public agencies have a common system to utilize in responding to emergencies. The California Office of Emergency Services administers SEMS.

9. "Training Record" – Documentation of training for employees, including employee name or other identifier, training dates, type(s) of training, training providers, and attendee sign-in sheets.

III. **Responsibility**

The president of each campus is delegated the responsibility for the implementation and maintenance of an emergency management program on campus and for ensuring the following management activities are accomplished in support of the campus emergency management program:

1. Designate a primary and secondary person with responsibility for campus-wide emergency management. Such persons shall be referred to as the campus Emergency Coordinator or Emergency Manager.

2. Establish and equip a functional campus EOC consistent with SEMS, NIMS, and ICS guidelines.

3. Develop a campus Plan. On an annual basis or more frequently as needed, the

Plan should be reviewed, updated, and distributed to the emergency management team members and others as identified by the campus.

4. Train campus community on the SEMS, NIMS, and ICS compliant campus Plan to include, at a minimum;

   A. Overview training of every employee within one year of employment.

   B. Specialized training annually for employees designated either as building coordinator or building floor marshal, EOC team member, or member of the campus emergency management team. Specialized training includes, but is not limited to, SEMS, NIMS, ICS, and crisis response.

   C. Training records for all campus training shall be kept for a minimum of seven years.

5. Conduct administrative review of the campus multi-hazard/preparedness plan annually or more frequently as needed. Testing of simulated emergency incidents and emergency communications, including the periodic testing of mutual aid and assistance agreements, shall be conducted utilizing one of the following formats and varying the type of event:

   A. Tabletop – Informal discussion of simulated emergency, no time pressures, low stress, useful for evaluating plans and procedures and resolving questions of coordination and responsibility. Testing of at least one hazard event should be done once a year.

   B. Drill – Single emergency response function, single agency involvement, often a field component. Testing should be done at least once a year.

   C. Functional Exercise – Policy and coordination personnel practice emergency response, stressful, realistic simulations, takes place in real time, emphasize emergency functions, EOC is activated. Testing should be done every other year.

   D. Full scale Exercise - Takes place in real time, employees treat real people and use emergency equipment, coordinates many agencies, including testing of mutual aid and assistance agreements, tests several emergency functions, EOC is activated, and produces high stress. Testing should be done every seven years, however activation of the EOC in response to an actual emergency or disaster will meet this testing requirement.

   E. Campus building evacuation drills – Conducted at least annually or more frequently as needed.

At the completion of each exercise or simulated emergency incident, full documentation of test results and lessons learned shall be documented in the form of a Corrective Action Plan or After Action Report, reviewed with the campus emergency management team, and maintained by the Emergency Manager or Emergency Coordinator for a period of not less than five years. Such reports will be made available to the Systemwide Office of Risk Management upon request. Activation of the EOC in response to an actual emergency or disaster will count as training in meeting the requirements of this section provided such emergency is well documented and discussed with the campus emergency management team.

6. Develop a roster of campus resources and contracts for materials and services that may be needed in an emergency situation including equipment, emergency power, communications, food and water, satellite and other mobile phone numbers, and update at least annually or as needed. The "updated as of date" should appear on each roster. Campus resources should be typed in accordance with NIMS guidelines to ensure compatibility of resources with other agencies. Resource typing includes its category, kind, and type.

7. Continually communicate the Plan to the campus community in a variety of methods through public education (e.g., web-posting of the Plan, except for active-shooter/terrorist responses plans) or other mechanisms for dissemination of hazard planning materials.

8. Once a year by December 1 or more frequently as needed, provide the Systemwide Office of Risk Management at the Chancellor's Office a roster of emergency management team personnel as well as their designated back-up essential to the operation of the campus emergency management programs such as:

   - President
   - Emergency Executive
   - EOC Director
   - Emergency Manager/Emergency Coordinator
   - Public Information Officer

   The roster shall include name, office and emergency telephone numbers, including satellite phone numbers. These lists will be kept confidential and used only in emergency situations.

9. Support the Systemwide Emergency Preparedness Taskforce (SWEPT), which is an advisory body for CSU systemwide emergency management. SWEPT is a multi-discipline committee comprised of University Police Chiefs, Emergency Coordinators, Risk Managers and Environmental Health & Occupational Safety Directors and charged with studying and proposing solutions to systemwide issues such as emergency communications, mutual assistance protocols, and training.

10. On an annual basis or more frequently as needed, interact and coordinate

comprehensive emergency management activities with appropriate city, county, operational area, state, federal government and private agencies to increase the readiness of the university. Attendance can be verified by meeting minutes, which should be kept for a minimum of two years.

Charles B. Reed Chancellor

August 7, 2007

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 1 : FRAMEWORK

Chapter 3 : IT Disaster Recovery is a service handled independently by ITS (as a component of BCP)

SJSU Information Security Program

SAN JOSÉ STATE UNIVERSITY

Policy History

Date	Action
	Approved by President Mo Qayoumi
April 9 -	Reviews: IT Management Advisory Committee.
April 9, 2013	Draft Policy Released

Table of Contents

SAN JOSÉ STATE UNIVERSITY

Introduction and Purpose

The San José State University (SJSU) Information Security Program provides direction for managing and protecting the confidentiality, integrity and availability of SJSU information assets.

In accordance with the California State University (CSU) Information Security Policies, this Information Security Program contains administrative, technical, and physical safeguards to protect campus information assets. Unauthorized modification, deletion, or disclosure of information assets can compromise the mission of SJSU, violate individual privacy rights, and possibly constitute a criminal act.

The intent of the Information Security Program is to:

- Document roles and responsibilities.
- Provide for the confidentiality, integrity, and availability of information, regardless of the medium in which the information asset is held or transmitted (e.g. paper or electronic).
- Document risk management strategies to identify and mitigate threats and vulnerabilities to level 1 and level 2 information assets as defined in the San José State University Data Classification and Handling Standard.
- Document incident response strategies.
- Document strategies for ongoing security awareness and training.
- Comply with applicable laws, regulations, SJSU and CSU policies.

It is the collective responsibility of all users to ensure:

- Confidentiality of information which SJSU must protect from unauthorized access.
- Integrity and availability of information stored on or processed by SJSU information systems.
- Compliance with applicable laws, regulations, CSU policies, and SJSU policies governing information security and privacy protection.

The San José State Information Security Program and security standards are not intended to prevent, prohibit, or inhibit the sanctioned use of information assets as required to meet SJSU's core mission and campus academic and administrative goals.

Scope

Consistent with the CSU Information Security Policies, the SJSU Information Security Program shall apply to the following:

- Central and departmentally-managed campus information assets.
- All users employed by SJSU, its auxiliaries, contractors, vendors, or any other person with access to SJSU's network resources or information assets. This includes non- SJSU-owned computing devices that may store protected information.
- All categories of information, regardless of the medium in which the information asset is held or transmitted (e.g. physical or electronic).
- Information technology facilities, applications, hardware systems, network resources owned or managed by SJSU. This includes third party service providers' systems that access or store SJSU's protected information.

Auxiliary organizations, external businesses and organizations that use campus information assets must operate those assets in conformity with the SJSU Information Security Program.

SAN JOSE STATE UNIVERSITY

San José State retains ownership or stewardship of information assets owned (or managed) by or entrusted to SJSU. SJSU reserves the right to limit access to its information assets and to use appropriate means to safeguard its data, preserve network and information system integrity, and ensure continued delivery of services to users. This can include, but is not limited to: monitoring communications across campus network services; monitoring actions on the campus information systems; checking information systems attached to the campus network for security vulnerabilities; disconnecting information systems that have become a security hazard; or, restricting data to/from campus information systems and across network resources. These activities are intended to protect the confidentiality, integrity and availability of information, and are not intended to restrict, monitor, or utilize the content of legitimate academic and organizational communications.

Information Security Policy

Consistent with CSU Information Security Policies, SJSU's Information Security Program, combined with the Resource Responsible Use Policy, establishes policy and sets expectations for protecting university information assets. These are supported by related policies, standards, guidelines and practices to facilitate campus compliance:

- Policies are high-level statements of principle, equivalent to organizational law, that provide technology agnostic scope and direction to the campus community.
- Standards establish specific criteria and minimum baseline requirements or levels that must be met to comply with policy. They are typically technology agnostic and they provide a basis for verifying compliance through audits and assessments.
- Guidelines are recommended or suggested actions that can supplement an existing standard or provide guidance where no standard exists. They may or may not be technology agnostic.
- Practices consist of one or more series of interrelated steps to be taken to achieve a specific goal designed to implement a policy, standard or guideline. They are detailed descriptions that may use specific technologies, instructions and forms to facilitate completing the process.

Policies should be written so as to require infrequent changes while standards, guidelines and practices are typically updated as needed to address specific changes in policy, technology or university practices.

The Information Security Officer (ISO) and Associate Vice President, Information Technology Services & Deputy Chief Information Officer (AVP/Deputy CIO) are responsible for coordinating the development and dissemination of information security and technology policies, standards, guidelines and procedures, respectively.

Policy development is driven by CSU policies and directives, new legislation and regulations, audit findings, risk assessment and university strategic planning and initiatives. Key campus stakeholders are consulted early on and research is conducted to find potential models from other universities.

Using a standard format, a draft policy is developed and shared broadly with campus constituents for review and comment. All input is considered but is not necessarily incorporated. The Information Technology Management Advisory Committee is advisory and reports to the President on policies and plans related to management and use of information resources. The IT Management Advisory Committee reviews, and forwards final draft recommendations to the President for formal campus adoptions. Standards, guidelines and practices do not require Presidential approval; campus constituents, including the IT Management Advisory Committee, may be asked to review and comment, but final approval rests with the ISO and AVP / Deputy CIO.

Only new and substantially altered policies, standards and practices are subject to this process; minor updates and changes can be made and documented without undergoing the full review process.

Approved policies, standards, guidelines and practices will be published on the web, incorporated into security training programs, and disseminated through available campus communication methods. They will be reviewed annually to determine if any changes are required.

Information Security Policy Management

In accordance with CSU policies, the San José State Information Security Officer oversees an annual review of this Program and communicates any changes or additions to appropriate SJSU stakeholders. The SJSU Information Security Program shall be updated as necessary to reflect changes in CSU policies, SJSU's academic, administrative, or technical environments, or applicable laws and regulations.

The program may be augmented, but neither supplanted nor diminished, by additional policies and standards.

Information Security Organization and Governance

In accordance with CSU policy, SJSU's president has designated an Information Security Officer (ISO) to coordinate and oversee campus compliance with the Information Security Program and related laws, policies, standards and practices. The ISO, with the AVP / Deputy CIO, reports annually to the University Cabinet on the current state of campus security relative to protecting university information assets.

San José State University's ISO reports to the Associate Vice President & Deputy Chief Information Officer and works to develop, implement, and ensure compliance with policies, standards, and practices related to the security of information technology resources.

The Associate Vice President & Deputy Chief Information Officer reports directly to the Vice President for Finance and Administration / Chief Financial Officer (VP AF). The VP AF is a member of the senior management team that provides advice and counsel to the president. The AVP / Deputy CIO regularly briefs the Academic Senate, deans, department heads/chairs, Campus Techs, and other campus constituents on information security issues.

Security policies, standards and practices are reviewed with campus constituents through various committees and other governance bodies. The AVP / Deputy CIO chairs, and the ISO is a standing member of, the IT Management Advisory Committee. This committee is advisory and reports to the University Cabinet on policies and plans related to IT management and use of information resources.

The ISO chairs the Campus Information Security Committee (CISC) which reviews policies, standards and practices from a university-wide operational perspective. The CISC meets every 3rd Wednesday with campus information authorities and reviews application data requests, IT acquisitions and other transactions from an information security perspective.

The Information Security Management Team (which includes the ISO, Identity and Information Security Manager, and AVP/Deputy CIO) meets regularly to review security policies and issues, discuss specific incidents, identify areas of concern, clarify and interpret policies, and develop communication and implementation strategies and plans. The Team works with designated university officials, managers, technical staff and others to manage security incidents.

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Administrators across the university are responsible for ensuring information security policies, standards and practices are followed by employees in their respective areas. An information security coordinator in each college and major administrative unit will provide necessary operational oversight to assist the responsible administrators.

Technical support staff and individual users are expected to follow established standards and practices and to report potential security violations.

Appendix A includes a detailed description of campus roles and responsibilities for information security.

Risk Management, Assessment and Planning

The principle reason for managing risk in an organization is to protect the mission and assets of the organization. Understanding risk, especially the magnitude of the risk, allows organizations to prioritize resources.

Information security risk is assessed by identifying threats and vulnerabilities, then determining the likelihood and impact for each risk to information security assets. Once a risk has been identified, strategies are developed to reduce the risk to acceptable levels, share or shift the risk to another party, or assume the identified risk. Risks are monitored with the ongoing collection of information about the risk.

In accordance with CSU Information Security Policies, SJSU's risk management processes to identify information assets containing level 1 and level 2 data are defined in the San José State University Data Classification and Handling Standard.

Risk Assessment

San José State performs periodic assessments of its information security risks and vulnerabilities. Risk assessments may be aimed at particular types of information, areas of the organization, or technologies. Risk assessments are part of an ongoing risk management process. They provide the basis for prioritization and selection of remediation activities and can be used to monitor the effectiveness of campus controls. The SJSU Security Risk Self-Assessment and Inventory Standard contains processes to perform annual self-assessments and inventory reporting.

The Security Risk Self-Assessments and Inventories are requested, collected, reviewed and evaluated by the Information Security Officer and the AVP / Deputy Chief Information Officer. The results are shared with executive management and campus computing committees. The outcomes are produced in a Risk Assessment Report updated annually identifying control objectives, risk exposures, mitigation strategies and action plans for addressing each risk with timelines.

Risk Planning

Security must be a consideration from the very beginning of any project at the university rather than something that is added later. In addition, a control review should be performed before implementation of computer systems which store or handle protected information. This may include:

- A technical security evaluation to ensure appropriate safeguards are in place and operational.
- A risk assessment, including a review for regulatory, legal, and policy compliance.
- A contingency plan, including the data recovery strategy.
- A review of on-going production procedures, including change controls and integrity checks.

Privacy of Personal Information

Consistent with CSU Information Security Policies, all users of campus information systems or network resources are advised to consider the open nature of information disseminated electronically, and must not assume any degree of privacy or restricted access to information they create or store on campus systems.

San José State is a public university and information stored on campus information systems may be subject to disclosure under state law. No campus information system or network resource can absolutely ensure that unauthorized persons will not gain access to information or activities. However, SJSU acknowledges its obligation to respect and protect private information about individuals stored on campus information systems and network resources.

Collection of Personal Information

To comply with state and federal laws and regulations, individuals and processes may not collect personally identifiable information unless the need for it has been clearly established.
Where such information is collected:

- The Information Authority and individual user collecting the information will use reasonable efforts to ensure that personally identifiable information is adequately protected from unauthorized disclosure.
- The Information Authority and individual user collecting the information shall store personally identifiable information only when it is appropriate and relevant to the purpose for which it has been collected.

Access to Personal Information

Except as noted elsewhere in CSU policy or San José State policy, information about individuals stored on campus information systems may only be accessed by:

- The individual to whom the stored information applies or his/her designated representative(s).
- Authorized SJSU employees with a valid SJSU-related business need to access, modify, or disclose that information.
- Appropriate legal authorities.

When appropriate, authorized San José State personnel following established campus procedures may access, modify, and/or disclose information about individuals stored on campus information systems, or a user's activities on campus information systems or network resources without consent from the individual. For example, SJSU may take such actions for any of the following reasons:

- To comply with applicable laws or regulations.
- To comply with or enforce applicable SJSU or CSU policy.
- To ensure the confidentiality, integrity, or availability of campus information.
- To respond to valid legal requests or demands for access to campus information.

If San José State personnel accesses, modifies, and/or discloses information about an individual and/or his/her activities on campus information systems or network resources, staff will make every reasonable effort to respect information and communications that are privileged or otherwise protected from disclosure by SJSU policy or applicable laws.

Information Authorities are advised to consult the CSU Records Access Manual to determine which records must be made available for public inspection under the California Public Records Act.

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Access to Electronic Data Containing Personal Information

Individuals who access or store protected data must use due diligence to prevent unauthorized access and disclosure of such assets.

Browsing, altering, or accessing electronic messages or stored files in another user's account, computer, or storage device is prohibited, even when such accounts or files are not password protected, unless specifically authorized by the user for SJSU business reasons. This prohibition does not affect:

- Authorized access to shared files and/or resources based on assigned roles and responsibilities.
- Authorized access by a network administrator, computer support technician, or departmental manager where such access is within the scope of that individual's job duties.
- Access to implicitly publicly accessible resources such as university websites.
- Campus response to subpoenas or other court orders.
- Campus response to a request pursuant to public record disclosure laws.

Personnel Information Security

In accordance with CSU Information Security Policies, the following are the information security pre-employment requirements and guidelines for managing separations or changes in employment status.

Employment Requirements

Hiring managers must conduct background checks on people hired into positions involving access to level 1 information assets as defined in the SJSU Information Classification and Handling Standard.

Separation or Change of Employment

Access rights must be promptly revoked from information resources upon termination of employment, or when job duties no longer provide a legitimate business reason for access, except where specifically permitted by campus policy or by the Information Authority. Unless otherwise authorized in writing, when an employee voluntarily or involuntarily separates from the campus, information system privileges, including all internal, physical, and remote access, must be promptly revoked.

Procedures must be implemented to ensure proper disposition of information assets upon termination. Electronic and paper files must be promptly reviewed by an appropriate manager to determine who will become the data steward of such files, and identify appropriate methods to be used for handling the files. If the separating employee is holding resources subject to a litigation hold, the Information Authority must ensure preservation of relevant information until the litigation hold has been revoked, at which point the resource is subject to the normal record retention schedule.

Procedures must be implemented to verify that items granting physical access such as keys and access cards are collected from the exiting employee. Any access list that grants the exiting employee physical access to a limited-access area on the campus must be updated appropriately to reflect the change in employment status.

Procedures must be established to allow for separated employees to obtain such incidental personal electronic information as appropriate.

Information system privileges retained after separation from the campus must be documented and authorized by an appropriate Information Authority.

Information Security Awareness and Training

Consistent with CSU Information Security Policies, all employees with access to the SJSU network and information assets must participate in information security awareness training.

The Information Security Awareness Training Program is designed to help individuals protect and respond appropriately to threats to campus information assets containing level 1 or level 2 data as defined in the San José State Data Classification and Handling Standard.

The Program promotes awareness of:

- CSU and campus information security policies, standards, procedures, and guidelines.
- Potential threats against campus protected data and information assets.
- Appropriate controls and procedures to protect the confidentiality, integrity, and availability of protected data and information assets.
- CSU and campus notification procedures in the event protected data is compromised.

Within about one month of employment, new employees are provided individual access to the Information Security Awareness Training Program.

Employees are expected to complete the training within 90 days of receiving their access to the Program.

Department heads and campus executive management are responsible for and will be provided status of training compliance.

Managing Third Parties

The CSU Information Security Policies require third parties who access San José State information assets to adhere to appropriate CSU and SJSU information security policies and standards. As appropriate, a risk assessment must be conducted to determine the specific implications and control requirements for the service provided.

Granting Access to Third Parties

Third party service providers may be granted access to campus information assets containing protected data as defined in the San José State Data Classification and Handling Standard only when they have a need for specific access in order to accomplish an authorized task. This access must be authorized by a designated Information Authority list and based on the principles of business need and least privilege.

Third party service providers must not be granted access to campus level 1 or level 2 information assets as defined in the San José State Data Classification and Handling Standard until the access has been authorized, appropriate security controls have been implemented, a contract/agreement has been signed defining the terms for access, and a SJSU confidentiality-security agreement has been signed.

Information Technology Security

The CSU Information Security Policies require San José State to appropriately secure its information technology resources to protect the confidentiality, integrity and availability of university information. This includes but is not limited to computer systems, network resources and software applications.

Each member of the campus community and third party providers are responsible for the security and protection of information technology resources over which they have control. The physical and logical

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integrity of these resources must be protected against potential threats such as unauthorized access, malicious or criminal action, inadvertent compromise, and inappropriate use.

Protection of information technology assets must be commensurate with the criticality of the function performed, the nature and level of access provided, information classification associated with the asset, exposure of the asset to potential risks, and the liability to the university if the asset is compromised. In general, a combination of administrative, operational and technical security safeguards will be required.

Combined with San José State's Information Technology Resources Responsible Use Policy, said policies and related standards and practices set expectations and define minimum requirements for securing SJSU's information technology infrastructure and resources.

Protections Against Malicious Software Programs

Each device with the effective capability must have controls in place to detect, prevent, and report malicious software effectively. Electronic data received from untrusted sources must be checked for malicious software prior to being placed on a non- quarantined location of a campus network or information system.

Network Security

Storing protected information assets or transmitting protected data over the campus network must ensure confidentiality, integrity, and availability.

Mobile Devices

Protected data must not be stored on mobile devices unless effective security controls have been implemented to protect the data. Individuals must use encryption, or equally effective measures, on all mobile devices that store level 1 data as defined in the San José State Data Classification and Handling Standard. Alternatives to encryption must be reviewed on a case-by-case basis and approved in writing by the Information Security Officer. Other effective measures include physical protection that ensures only authorized access to protected data.

Information Asset Event Monitoring

Event monitoring must not be conducted for the purpose of gaining unauthorized access, "snooping", or for other activities that violate the CSU Responsible Use Policy or San José State Acceptable Use Policy. Records created by monitoring controls (e.g. event logging) must be protected from unauthorized access and reviewed regularly. Access to the data generated by the monitoring controls (e.g. logging) must be restricted to those who have a business need.

Data generated by event monitoring must be retained for a period of time that is consistent with effective use, San José State records retention schedules, regulatory, and legal requirements such as compliance with litigation holds, or with IT Security Standards.

At a minimum, server administrators are required to scan regularly, remediate, and report un-remediated vulnerabilities on critical systems or systems that store protected information within each month. The risk level of a system determines the frequency at which logs must be reviewed. Risk factors to consider are:

- Criticality of business process.
- Information classification associated with the system.
- Past experience or understanding of system vulnerabilities.
- System exposure (e.g., services offered to the Internet).

Configuration Management

Configuration standards to ensure that information technology systems, network resources, and applications are appropriately secured to protect confidentiality, integrity, and availability are provided in the IT Security Standards.

Change Control

Consistent with CSU Information Security Policies, the following provides direction and support for managing changes to information assets and provides guidance for implementing emergency changes to information assets.

Changes to information technology systems, network resources, and applications need to be appropriately managed to minimize the risk of introducing unexpected vulnerabilities and ensure that existing security protections are not adversely impacted. Change control processes are documented in the IT Security Standards.

Emergency Changes

Only authorized persons may make emergency changes to campus information assets containing level 1 data as defined in the San José State Data Classification and Handling Standard. Emergency changes are defined as changes which, due to urgency or criticality, need to occur outside of the campus' formal change management process.

Such emergency changes must be appropriately documented and promptly submitted, after the change, to the campus normal change management process.

Access Control

The CSU Information Security Policies require controlled access to San José State information assets and guidance for: granting access to SJSU information assets; separating duties of individuals who have access to SJSU information asset; conducting reviews of access rights to SJSU information assets; and modifying user access rights to SJSU information assets.

On-campus or remote access to information assets containing level 1 or level 2 data as defined in the San José State Data Classification and Handling Standard must be based on operational and security requirements. Appropriate controls must be in place to prevent unauthorized access to protected information assets. This includes not only the primary operational copy of the protected information assets, but also data extracts and backup copies. IT Security Standards define requirements for provisioning approved additions, changes, and terminations of access rights and reviewing access of existing account holders. Access to campus protected information assets must be denied until specifically authorized.

Access to public and shared resources may be excluded from this requirement. Information Authorities are required to identify and document public or shared resources that are excluded from this requirement. Authorized users and their access privileges must be specified by the Information Authority, unless otherwise defined by CSU or SJSU policy.

Access to campus information assets containing protected data as defined in the San José State Data Classification and Handling Standard may be provided only to those having a need for specific access in order to accomplish an authorized task. Access must be based on the principles of business need and least privilege.

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Authentication controls must be implemented for access to campus information assets that access or store protected data, must be unique to each individual and may not be shared unless authorized with the below criteria. Where approval is granted for shared authentication, the requesting organization must be informed of the risks of such access and the shared account must be assigned a designated owner. Shared authentication privileges must be regularly reviewed and re-approved in writing at least annually.

Separation of Duties

Separation of duties principles must be followed when assigning job responsibilities relating to restricted or essential resources. Information Authorities must maintain an appropriate level of separation of duties when issuing credentials to individuals who have access to information assets containing protected data. Information Authorities must avoid issuing credentials that allow a user greater access or more authority over information assets than is required by the employee's job duties.

Access Review

Information Authorities and others as appropriate must review, at least annually, user access rights to information assets containing protected data. The results of the review must be documented.

Modifying Access

Modifications to user access privileges must be tracked and logged. Users experiencing a change in employment status (e.g., termination or position change) must have their logical access rights reviewed, and if necessary, modified or revoked.

Information Asset Management

In accordance with the CSU Information Security Policies, the San José State Property Office maintains an inventory of information assets. These assets are categorized and protected throughout their entire life cycle, from origination to destruction.

The Property Office Procedure Manual can be found at:
http://www.sjsu.edu/finance/docs/property_manual.pdf

The San José State Data Classification and Handling Standard:
http://its.sjsu.edu/governance/data-classification/ contains data classification categories, practices for handling protected data, and identifies responsibilities from information authorities and data stewards.

Information Systems Acquisition, Development and Maintenance

The CSU Information Security Policies require SJSU to integrate information security requirements into the software life cycle of information systems that contain protected data. The security requirements must identify controls that are needed to ensure confidentiality, integrity, and availability. These controls must be appropriate, cost- effective, and mitigate risks that may result from unauthorized access, use, disclosure, disruption, modification, or destruction of the protected data.

Procurement Guidelines are located at:
http://www.sjsu.edu/finance/docs/Purchasing%20Guideline_Final_11.7.12.pdf

Information Security Incident Management

In accordance with CSU Information Security Policies, security incidents involving loss, damage or misuse of information assets or improper dissemination of protected data, regardless of medium, must be properly

reported and investigated to mitigate adverse impacts, protect the university from similar incidents, and comply with existing policies and laws.

Security incidents will be managed by the Information Security Management Team. The Security Incident Reporting Procedures contain processes for reporting security incidents internally and externally, and the process to respond to inquiries from notified users, their spouse, vendors, or the media.

Physical Information Security

Consistent with CSU Information Security Policies, the physical areas where information assets containing protected data are located must be protected from unauthorized physical access. These physical areas include data centers, office areas, and other locations. Information assets which access protected data that are located in public and non-public access areas must be physically secured to prevent theft, tampering, or damage. Information Authorities must review and document physical access rights to campus limited-access areas annually.

ITDRP →

Business Continuity and Disaster Recovery

In accordance with CSU policies, San José State University must ensure that their information assets can, in the case of a catastrophic event, continue to operate and be appropriately accessible to users.

SJSU will develop, document, test and maintain a business continuity plan. The plan will ensure the continuance of critical campus functions, systems, and services when a disruption to campus operations occurs after a disaster or emergency situation.
The campus business continuity plan will incorporate the following standards and practices:

- A standard template will be used for the consistent development of the university's Business Continuity Plan. The template will be used to document key information (i.e., staff contact information, critical functions, critical function recovery procedures, vital records, assets) within a department in order to ensure the campus' ability to recover from a disruption.
- Emergency activities of departments, including requests for resources or services and documentation of financial impact, will be coordinated through the Emergency Operations Center and in compliance with the Campus Emergency Management Plan.
- The Departmental Business Continuity Plans, Department Emergency Plans, and the Campus Emergency Management Plan are interrelated and together provide for preparation, response and recovery to a campus emergency.
- The Business Continuity plan contains confidential information that should not be shared publicly. It is the responsibility of each department to ensure that the plan be held, developed, and reviewed by designated individuals only.

Responsibility

Each Vice President will have the responsibility for the development, testing and maintenance of Business Continuity plans within his/her division. A representative from each department should be assigned to develop and maintain the plan. The Business Continuity Coordinator will be responsible for the central review of all Business Continuity plans in conjunction with each SJSU Business Continuity Program to ensure the continuity of essential functions and operations following a catastrophic event.

↳ who collects the plan?

Compliance

SJSU information security practices must comply with a variety of federal and state laws, and CSU policies. These regulations are generally designed to protect individuals and organizations against the unauthorized

- must not mishmash ITDRP with BCP
- must clarify responsibility.
- BCP draws on ITDRP because ITDRP is a function of IT Management whereas BCP is founded on non IT aspect.

disclosure of information that could compromise their identity or privacy. Legal regulations cover a variety of types of information including personally identifiable information (e.g. social security number, driver's license number), personal financial information (e.g. credit card numbers), medical information, and confidential student information.

There are many individual laws, regulations, and policies that establish our information security requirements. Some of the most notable include:

California Code of Regulations, Title V, Sections 42396 - 42396.5
Title V of the California Code of Regulations, specifically sections 42396 - 42396.5 addresses privacy and principles of personal information management applicable to the California State University.

California Information Privacy Act
The California Security Breach Information Act (SB-1386) is a California state law requiring organizations that maintain personal information about individuals to inform those individuals if the security of their information is acquired by an unauthorized person. The Act, which went into effect July 1, 2003, was created to help stem the increasing incidence of identity theft. Found in the California Civil Code (Sections 1798.29).

California Public Records Act
The California Public Records Act addresses exclusions to the disclosure of public information of personally identifying information that may be a violation of personal privacy.

California Senate Bill 25 (SB 25)
SB 25 extends those Social Security number restrictions to all government agencies, including public colleges and universities. Under SB 25, public entities will have to ensure that Social Security numbers don't get posted or displayed on any printed material, or used on identification cards.

Fair and Accurate Credit Transactions Act (FACTA)
In 2003, Congress enacted the Fair and Accurate Credit Transactions Act of 2003 (FACTA), which required "creditors" to adopt policies and procedures to prevent identity theft. These requirements are described in section 114 of FACTA and are known as the "Red Flags Rule".

The Red Flags Rule applies to financial institutions and "creditors" that offer or maintain accounts that provide for multiple transactions primarily for personal, family, or household purposes. Institutions are considered creditors if they provide goods or services that are not fully paid for in advance or allow individuals to defer payment for goods or services.

Family Educational Rights and Privacy Act (FERPA)
Responsible for Enacted in 1974, FERPA protects the privacy of student education records and affords students (or parents if the student is a minor) certain rights with respect to the student's "education records." More information about the SJSU FERPA program can be found at:
http://www.sjsu.edu/studentconduct/docs/FERPA.pdf

Gramm-Leach-Bliley Act (GLBA)
Enacted in 1999, the GLBA requires financial institutions to carefully protect customers' financial information. Universities are "financial institutions" by virtue of their loan servicing and therefore must comply with GLBA provisions. The GLBA has two relevant components: (1) "safeguarding" rules and (2) privacy rules. All personally identifiable financial information from students, parents, and employees must be safeguarded against foreseeable risks of disclosure, intrusion and systems failure.

Information Practices Act of 1977 (IPA)
Found in the California Civil Code (Sections 1798.14-1798.23), the IPA requires State agencies to record only personal information that is relevant and necessary to accomplish the purpose of the agency. Additionally, the agency should collect personal information directly from the individual who is the subject of the information rather than from any other source.

Payment Card Industry Data Security Standard (PCI DSS)
The PCI DSS is a multifaceted security standard that includes requirements for security management, policies, procedures, network architecture, software design and other critical protective measures. This comprehensive standard is intended to help organizations proactively protect customer account data. It applies to American Express, Discover Financial Services, JCB International, MasterCard Worldwide and Visa Inc. Inc. International.

Additional laws and regulations specify the disclosure of employee and student information and require the University to take specific actions in the event SJSU suspects protected information may have been disclosed either accidentally or maliciously to unauthorized parties. Individuals who handle protected information are encouraged to speak with their managers, Information Authorities, or the Information Security Officer to familiarize themselves with relevant laws and regulations.

Policy Enforcement

Consistent with CSU policies, the Information Security Officer is authorized by the President to ensure that the appropriate processes to administer this program are in place, communicated to, and followed by the university community.

Administrators must ensure that measures are taken within their department to comply with this policy and its related standards, guidelines and practices. Departments found to be non-compliant will be required to take specific steps to come into compliance within a specified time. If compliance cannot be achieved, a written request for exception must be approved by the Information Security Officer. Approved requests will be reviewed annually to determine if an exception is still warranted.

SJSU reserves the right to temporarily or permanently suspend, block, or restrict access to campus information assets, independent of such procedures, when it reasonably appears necessary to do so in order to protect the confidentiality, integrity, availability or functionality of SJSU information assets; to protect SJSU from liability; or to enforce this policy and its related standards and practices.

The Information Security Officer will work with the Associate Vice President / Deputy Chief Information Officer to develop supplemental standards and practices to facilitate campus compliance with this policy; develop communication plans to inform users about the policy and its related standards and practices; advise departments on the interpretation and enforcement of this policy; and confer with university legal counsel and other university officials on matters involving potential violations.

Potential violations will be investigated in a manner consistent with applicable laws and regulations, collective bargaining agreements, CSU and campus policies, standards, guidelines and practices.

The Information Security Officer or designee will ensure that suspected violations and resultant actions receive the proper and immediate attention of the appropriate university officials, law enforcement, outside agencies, and disciplinary/grievance processes in accordance with due process.

Allegations against employees that are sustained may result in disciplinary action. Such actions will be handled by the appropriate human resources office using existing disciplinary processes consistent with the

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terms of the applicable collective bargaining agreement and the California Education Code. Student infractions will be handled by the Office of Student Rights and Responsibilities using established policies and practices. Auxiliary organization employees may be subject to appropriate disciplinary actions as defined by their organization's policies. Third party service providers who do not comply may be subject to appropriate actions as defined in contractual agreements or other legal remedies available to SJSU.

Non-compliance may result in personal, criminal, civil, or other administrative liability. Departments may be held accountable for remediation costs or other financial penalties incurred due to non-compliance.

Appeals of university actions resulting from enforcement of this policy will be handled through existing disciplinary/grievance processes for SJSU students and employees.

Appendix A – Information Security Roles and Responsibilities

Academic Personnel or Judicial Affairs

- Supports the Information Security Officer and the Associate Vice President / Deputy Chief Information Officer in the reporting, investigating, assessing, and resolving potential security violations.

Associate Vice President, Information Technology Services & Deputy Chief Information Officer (CIO)

- Provides policy and operational guidance to the university.
- Provides security standards and guides for protecting information assets.
- Ensures compliance to existing campus information security policies, standards, and procedures.
- Coordinates with Information Security Officer to develop and implement information security policies, standards, and procedures.
- Coordinates with the Information Security Officer, if needed, on the investigation, assessment, tracking, resolution, and reporting of security issues involving information technology resources and reports potential criminal violations to the appropriate entities in a timely manner
- Coordinates with the campus Information Security Officer to evaluate the risk introduced by any changes to campus operations and systems.
- Serves as the chairperson for the SJSU IT Management Advisory Committee.
- Notifies the Assistant Vice Chancellor for Information Technology Services if a breach of level 1 data has occurred.
- Reviews information security risks at least annually.
- Reviews Information Security Annual Report provided by the Information Security Officer

Campus Information Security Committee (CISC)

- Reviews, provides feedback, and recommends action to the Associate Vice President / Deputy Chief Information Officer to improve security policies and practices to protect SJSU's digital information assets, and the information technology resources used to access, transmit, and store them.

Human Resources/Academic Personnel / Judicial Affairs

- Investigates alleged security violations by individual students, faculty and staff to determine if disciplinary action is appropriate.
- Interprets, recommends and imposes sanctions and discipline regarding security violations in accordance with existing policy and practice.

Information Authority / Owner

The Information Authority is identified by law, contract, or policy with responsibility for granting access to and ensuring appropriate use of the information.

- Responsibilities are identified in the SJSU Information Classification, Handling, Retention, Inventory Standards.

Information Custodian / Steward

The information custodian / steward has operational responsibility for the physical and electronic security of information.

- Responsibilities are identified in the SJSU Information Classification, Handling, Retention, Inventory Standards.

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Information Security Officer (ISO)

- Coordinates, administers, communicates, and maintains the Information Security Program on behalf of the President.
- Advises the President and campus leadership on information security matters.
- Consults with campus administrators to ensure campus information security policies and standards meet campus goals.
- Investigates, assesses, tracks, resolves, and reports suspected violations of policies and procedures in coordination with appropriate entities.
- Confers with Associate Vice President / Deputy Chief Information Officer and Information Authorities, on information security policies, standards, procedures, security violations, campus security risks, and other security matters as needed.
- Provides input to the campus budget process regarding prioritization and required resources for security risk mitigation.
- Responds to information security related requests during an audit and coordinates the CSU information security audits.
- Serves as the campus representative on the CSU Information Security Advisory Committee.
- Serves as chairperson for the SJSU CISC.
- Reviews and approves application data requests and authentication requests.
- Notifies the CSU Chief Information Security Officer if a breach of level 1 data has occurred.
- Oversees the campus incident response program, the information security awareness and training program, and annual self-assessment inventory processes.
- Reviews computing equipment loss reports and security incidents and determines action needed, if any.
- Provides annual Information Security Report, and Risk Assessment and Action Plan to the President, the Vice President of Administration and Finance and the Associate Vice President / Deputy Chief Information Officer

Information Security Management Team

Membership: AVP / Deputy Chief Information Officer, Information Security Officer, Identity and Information Security Manager, Managing Sr. Director Infrastructure Services, Sr. Director Information Services

- Reviews information security policies, incidents, audit responses, and recommendations from CISC
- Determines need for information security product and service proposals.
- Makes information security recommendations for policies, products and service implementation.
- Provide information security training for campus staff (attendees at: information security forum, LAN coordinator meetings, etc).
- Makes recommendations for information security training materials.

Information Users

Individuals who need and use university information as part of their assigned duties, or in fulfillment of assigned roles, or functions within the university community.

- Responsibilities are identified in the SJSU Information Classification, Handling, Retention, and Inventory Standards.

IT Management Advisory Committee

- Reviews, provides feedback, and recommends action to the Associate Vice President / Deputy Chief Information Officer to improve security policies and practices to protect SJSU's digital information assets, and the information technology resources used to access, transmit, and store them.

President

- Establishes an information security program, which is compliant and consistent with the CSU information security policy.
- Reviews information security risks at least annually.
- Reviews Information Security Annual Report provided by the Information
- Notifies the Chancellor if a breach of level 1 data has occurred.

Property Office

- Provides a copy of the Computing Equipment Loss Report to the Information Security Officer that contains information about lost or stolen computing

University Police

- Receives and investigates all reports of potential criminal law violations involving any computing device containing university information and any university information resources.

Users

- Observes all laws, regulations, policies and procedures related to security of information and systems.
- Protects the privacy rights of university faculty, staff, and students.
- Protects the physical security of information and systems assigned to them.
- Reports suspected violations of security policies and procedures for university information to their supervisor who will report it to the Information Security Officer and/or Information Technology Services depending on the nature of the violation.

Vice President for Administration and Finance

- Notifies the CSU Office of General Counsel of a breach of security to California residents whose unencrypted personal information was, or is reasonably believed to have been acquired by an unauthorized person.
- Reviews information security risks at least annually.
- Reviews Information Security Annual Report provided by the Information

Appendix B – Information Security Program - Presidential Approval Memorandum

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 2 : REGULATORY DOCUMENTS

Chapter 1 : CSU requirements

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to signed PDF version

October 8, 2007

MEMORANDUM

TO: CSU Presidents

FROM: Charles B. Reed
Chancellor

SUBJECT: California State University Business Continuity Program - Executive Order Number 1014

Attached is a copy of Executive Order Number 1014 relating to the California State University Business Continuity Program. This executive order delegates to each president or his/her designee, the responsibility for implementing and maintaining an ongoing program on each campus that ensures the continuity of essential functions or operations following or during the recovery phase of a catastrophic event.

In accordance with policy of the CSU, the campus president has the responsibility for implementing executive orders where applicable and for maintaining the campus repository and index for all executive orders.

If you have questions regarding this executive order, please call Ms. Charlene M. Minnick, Chief Risk Officer, Systemwide Office of Risk Management at 562-951-4580.

CBR/mas

Attachment

c: Vice Chancellors
Assistant Vice Chancellors
Executive Staff, Office of the Chancellor
Vice Presidents for Administration
Vice Presidents for Academic Affairs
Risk Managers
University Police Chiefs
Emergency Preparedness Coordinator/Manager
Environmental Health and Safety Directors
Human Resource Directors
Chief Information Officers
Information Security Officers
Chancellor's Office Divisional Heads

Executive Order 1014

THE CALIFORNIA STATE UNIVERSITY
Office of the Chancellor
401 Golden Shore
Long Beach, California 90802-4210
562.951.4790

Executive Order: 1014

Effective Date: October 8, 2007

Title: California State University Business Continuity Program

This executive order is issued pursuant to Chapter II of the Standing Orders of the Board of Trustees of the California State University and in concert with The California Emergency Services Act in Chapter VII, commencing with Section 8550 of Division I of Title II of the Government Code.

I. Purpose

The purpose of the executive order is to maintain an ongoing program on each campus that ensures the continuity of essential functions or operations following a catastrophic event. This executive order provides guidance to the campuses for the development and implementation of business continuity plans using models such as the Continuity of Operations/Continuity of Government (COOP/COG) plans and guidelines promulgated by the California Office of Emergency Services (OES). As required by the state of California Executive Order S-04-06, all state agencies shall update their COOP/COG plans consistent with these guidelines.

II. Definitions

1. "Business Continuity" – The ability of an organization to provide service and support for its customers and to maintain its viability following a catastrophic event.

2. "Business Continuity Coordinator" – A role within the Business Continuity Program that coordinates planning and implementation for overall recovery of an organization or unit(s).

3. "Business Continuity Plan (BCP)" – 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 essential functions or operations after an interruption.

4. "Business Continuity Program" – A management framework for resuming essential functions or operations after a disaster or emergency that may threaten the health and safety of the campus community or disrupt its programs and

operations.

5. "Business Impact Analysis" - A process designed to prioritize business functions by assessing the potential quantitative (financial) and qualitative (non-financial) impact that might result if an organization was to experience a catastrophic event.

6. "Business Unit" – Any academic or administrative departments, unit, center, institute, division, or college.

7. "Continuity of Government (COG)" – The preservation, maintenance, or reconstitution of the institution of government. It is the ability to carry out an organization's constitutional responsibilities. This is accomplished through succession of leadership, the pre-delegation of emergency authority and active command and control.

8. Continuity of Operations Plan (COOP)" – An effort within departments and agencies to ensure continued performance of, at a minimum, essential functions during a wide range of potential emergencies. Essentially, it is the capability of maintaining the business of government under all eventualities. This is accomplished through the development of plans, comprehensive procedures, and provisions for alternative facilities, personnel, resources, interoperable communications, and vital records/databases.

9. "Continuity of Operations/Continuity of Government Planning Program (COOP/COG)" – Developed by the California Office of Emergency Services with the goal of providing California government with the resources needed to achieve a COOP/COG capability. The program was promulgated by Executive Order S 04 06, the U.S. Department of Homeland Security - Federal Preparedness Circular #65 – Federal Executive Branch Continuity of Operations (COOP), the California State Standardized Emergency Management System (SEMS), and the National Incident Management System (NIMS).

10. "Essential Function" – Is defined in Federal Preparedness Circular 65 as a function that enables an organization to provide vital services, exercise civil authority, maintain the safety and well being of the general public, or sustain the industrial or economic base during an emergency.

11. "Risk Assessment" - Process of identifying the risks to an organization, assessing the essential functions necessary for an organization to continue business operations, defining the controls in place to reduce organization exposure and evaluating the cost for such controls. Risk analysis often involves an evaluation of the probabilities of a particular event.

12. "Training Record" - Documentation of training for employees, including employee name or other identifier, training dates, type(s) of training, training providers, and attendee sign-in sheets.

III. **Responsibility**

1. Campus President

   The president is delegated the responsibility for the implementation and maintenance of an effective business continuity program on each campus. To facilitate oversight of the business continuity program, the president shall designate either a Business Continuity Planning Committee or a primary and secondary person with responsibility for business continuity planning activities. Such persons may be referred to as the Business Continuity Coordinator. Whether a Business Continuity Planning Committee or an individual, the president is responsible for the full outcomes of the business continuity program.

2. Business Continuity Planning Committee

   If designated, a Business Continuity Planning Committee should include a cross-section of senior administrative leaders who have a working knowledge of business continuity processes and are from business units identified as key to essential operations. Such areas include, but may not be limited to, Instruction, Information Technology, Business/Financial Services, Health and Safety, and Public Safety. The president shall designate individuals to serve as the Committee Chair and Vice Chair and regular meetings should be conducted with action plans and responsibilities for campus business continuity planning activities. Meeting minutes shall be kept for a minimum of two years.

3. Business Continuity Coordinator

   Working with other persons as identified by the campus, the Business Continuity Coordinator is responsible for facilitating activities that include, but are not limited to:

   A. Developing and maintaining a business continuity framework for campus business units that include policies and procedures.

   B. Establishing goals and objectives for the campus business continuity program that reflect the needs of the campus and its business units.

   C. Participating in the identification of functions and assets that are essential to operational continuity and needed to support the campus' mission.

   D. Facilitating the completion of Business Impact Analyses and Risk Assessments and development of Business Continuity Plans by business units identified as essential to operations continuity.

   E. Identifying a contact for business units and ensuring that Business Continuity Plans, Business Impact Analyses, and Risk Assessments are tested, reviewed, updated, and retained within established time periods.

F. Recommending recovery strategies.

G. Developing campus training and awareness and communications programs for business continuity planning.

H. Providing independent reviews and validation of business unit continuity plans.

I. Supporting and working with campus emergency planners and ensuring a smooth transition between emergency responders and business continuity operations personnel.

IV. **Procedures**

The campus Business Continuity Program shall include, but not be limited to, the following procedures:

1. Business Impact Analysis and Risk Assessment

   Each business unit that is determined by the university to provide essential functions shall conduct a Business Impact Analysis and Risk Assessment. The Business Impact Analysis will identify essential functions and workflow; determine the qualitative and quantitative impacts of a vulnerability/threat to essential functions, prioritize/establish recovery time objectives for the essential functions, and if appropriate, establish recovery point objectives for essential functions. The Risk Assessment will identify vulnerabilities and threats that may impact the business units' ability to fulfill the mission of the campus and define the controls in place to reduce the exposure to the vulnerabilities/threats.

   The Business Impact Analysis and Risk Assessment shall be approved/signed-off by the head of the business unit and the Business Continuity Coordinator or the Business Continuity Planning Committee, and retained as indicated in Section IV.F.

2. Business Continuity Plan

   Each business unit that is determined by the university to provide essential functions shall develop a Business Continuity Plan that reflects sufficient forethought and detail to ensure a high probability of successful maintenance or restoration of essential functions following an unfavorable event. To assist in the accomplishment of this goal, the following elements in sample plans, including the state and federal guidance documents included in Appendix A, will be of value in developing individual department plans. Such elements include, but are not limited to:

   A. Listing and prioritization of essential functions, including the identification of staffing and resource requirements, mission critical systems and equipment, and support activities for each essential function.

B. Lines of Succession/Delegation of Authority for key campus positions, including guidance for the delegation of emergency authorities.

C. Alternate Operating Facilities, including provisions to sustain operations for a period of up to thirty days (or other time frame as determined by the campus)

D. Communications, including procedures and plans for communicating with internal personnel, other agencies, and emergency personnel.

E. Protection and safeguarding of vital records and databases.

F. Tests, Training, and Exercises to familiarize staff members with their roles and responsibilities during an emergency, ensure that systems and equipment are maintained in a constant state of readiness, and validate certain aspects of the Business Continuity Plan.

The Business Continuity Plans shall be approved/signed-off by the head of the business unit and the Business Continuity Coordinator or the Business Continuity Planning Committee, and retained as indicated in Section IV.F. The university shall perform an administrative review of the Business Continuity Plans at least annually or more frequently as needed. The "reviewed as of date" shall appear on the plans after each review.

3. Testing and Exercising Plans

Business units shall test some part of their Business Continuity Plan once a year, with all parts tested every seven years. An actual event necessitating activation of the Business Continuity Plan will meet this requirement. At the completion of each test or review, full documentation of test results and lessons learned shall be completed in the form of a Corrective Action Plan or After Action Report. Such reports shall be approved/signed-off by the head of the business unit and the campus Business Continuity Coordinator or the Business Continuity Planning Committee, and retained as indicated in Section IV.F. Upon request, such reports shall also be made available to the Systemwide Office of Risk Management.

4. Plan Maintenance

Business units shall review their Business Continuity Plan and tests at least annually or more frequently as needed and update the plans whenever changes occur in their operating procedures, processes, or key personnel. Plans must be updated to maintain accurate lists of key personnel, telephone numbers, and plan elements that may be affected by changes in unit structure or functions. The updated Business Continuity Plans shall be approved/signed-off by the head of the business unit and the Business Continuity Coordinator or the Business Continuity Planning Committee and retained as indicated in Section IV.F.

5. Communication

   Ongoing communication of business continuity activities to the campus communities shall be provided in a variety of methods as determined by each university.

6. Training

   Initial training on conducting business continuity planning shall be provided to all individuals responsible for developing and implementing plans. Additional and/or repeat training shall be provided as determined necessary by the Business Continuity Coordinator or the Business Continuity Planning Committee following the review of written plans and plan testing.

7. Record Retention

   The campus shall retain business continuity records, including those indicated in Section IV.A through D, for a period of not less than five years.

_____

Charles B. Reed Chancellor

October 8, 2007

OPERATIONS/CONTINUITY OF GOVERNMENT PLAN (COOP/COG)

This guidance is based upon guidance from the *Department of Homeland Security (DHS) Headquarters Continuity of Operations (COOP) Guidance Document, dated April 2004 and the sample Concept of Operations (COOP) template developed by the Federal Emergency Management Agency (FEMA)*. It can be used as the basic foundation for Continuity of Operations/Continuity of Government (COOP/COG) Plans for State of California, Executive Branch agencies. Organizations are encouraged to tailor COOP/COG Plan development to meet their own needs and requirements. Organizations should include any additional elements that are helpful to understanding and implementing their COOP/COG Plan. The result will be a baseline plan that can be refined and enhanced over time.

I. EXECUTIVE SUMMARY

The executive summary should provide a brief overview of the overall COOP/COG Program, including policies, plans, processes, materials, and activities that support the organization's COOP/COG capability. It should briefly outline the organization and content of the COOP/COG Plan and describe what it is, whom it affects, and the circumstances under which it should be executed. Further, it should briefly discuss the key elements of COOP/COG Planning and explain the organization's implementation strategies.

II. INTRODUCTION

The introduction to the COOP/COG Plan should explain the importance of COOP/COG

Planning to the organizations. COOP/COG Plans address incidents that disrupt normal operations. They are needed to address exceptional and adverse operating conditions. The introduction should include typical adverse conditions anticipated to be covered by the COOP/COG Plan. The introduction should also discuss the background behind continuity planning and may reference recent events that have led to the increased emphasis on the importance of a COOP/COG business continuity capability for the organization. It should explain the intended use of the document and the plan's architecture (e.g., how the COOP/COG Plan is organized and where information is housed).

III. PURPOSE & ASSUMPTIONS

A. PURPOSE

The purpose section should briefly discuss applicable Federal and State guidance, affirm the organization's commitment to COOP/COG planning, and explains the overall purpose of COOP/COG planning, which is to ensure the continuity of mission essential functions. The purpose section should also explain that the plan identifies recovery strategies for essential functions. Although there may be other important functions, this plan only covers those that are mission and time critical.

A definition of essential function is useful to include here. An Essential Function is defined in the Federal Preparedness Circular 65 as 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.

This section should also explain how the organization's essential functions are prioritized. These priority classifications are based on recovery time objectives (RTOs). An RTO is an estimate of the maximum tolerable duration between when a disruption occurs and when the function is resumed under emergency conditions (e.g., the maximum amount of time the function can be down). The following classification system was used by OES to prioritize its essential functions and is included only as an example. An organization may choose different priority classifications based on their responsibilities and essential functions:

a. Emergency response functions (0-2 hours)

b. High impact on public health or safety (up to 24 hours)

c. High impact on public safety and health, or on department critical operations (up to 72 hours)

d. Moderate impact on public safety, health or department critical operations (1-3 weeks)

e. Low impact (3 weeks or longer)

Organizations can elect to use alternate criteria to determine the recovery priorities for its essential functions. Organizations should avoid using rank-ordering priority methods during the continuity process, since some essential functions may be equally important to the organization and have similar recovery time objectives.

B. **ASSUMPTIONS**

This section should include the assumptions on which the COOP/COG Plan is based. Each COOP/COG Plan is based on a set of assumptions that, if not true, will render the plan ineffective. The test for a planning assumption is: will the plan fail if the assumption is not true? A sample set of basic assumptions may include: (1) emergencies or threatened emergencies may adversely affect the organization's ability to continue to support essential internal operations and to provide services to clients or support to external agencies, and (2) personnel and other resources from the organization and other organizations outside of the area affected by the emergency or threat will be made available if required to continue essential operations.

IV. **APPLICABILITY AND SCOPE**

A. **APPLICABILITY**

This section should describe the applicability of the COOP/COG Plan to the agency as a whole, as well as to specific personnel and groups within the organization. Additionally, this section should describe the role of other plans and their relationship to the organization's COOP/COG Plan. Other planning documents may include Operational Recovery Plans (ORPs), Emergency Operations Plans (EOPs), and Disaster Recovery Plans (DRPs). This section should distinguish COOP/COG Plan capabilities from these other plans and address specific contingency plans for particular risks that might be contained in this COOP/COG Plan.

B. **SCOPE**

This section should include the scope and limitations of the plan. COOP/COG Plans should strive to map out the restoration of normal operations and failed facilities

or equipment with a skeletal crew and minimum resources needed to achieve this task. This section provides the focus for the planning efforts. The plan's scope should encompass all of the organization's essential functions and must be based on the "worse case scenario" which would include the inaccessibility or unavailability of the organization's facility of building complex, and all of its contents. You should consider the division, business units, and essential functions covered by the COOP/COG Plan, the anticipated response time required to recover essential functions under emergency circumstances, and the period of sustainment.

This section should also include the organization's specifications regarding plan performance. For example, the organization expects a response time of 24-hours for all essential functions identified in the plan and a sustainment period of 30 days for those functions. Other specifications may include that the plan addresses emergencies that occur both with or without warning, or during on-duty or off-duty hours.

Limitations that are included in this section may include scenarios that this COOP/COG Plan are not contemplated to cover or vulnerabilities that have been identified during the planning process for which solutions are not yet available.

V. ESSENTIAL FUNCTIONS

The identification of essential functions is a prerequisite for all COOP/COG Planning. It establishes the parameters that drive the organization's continuity planning efforts. In this section or in an annex, you should include a complete list of the organization's prioritized essential functions. Essential functions are organizational functions and activities that must be continued under any and all circumstances. The list should be based on the prioritization strategy introduced in **Section III-A: Purpose.**

A. RISK ANALYSIS

A risk analysis is the process of collecting and evaluating information on risks and hazards that may impact the organization's operations. Risks can typically be categorized into three groups:

1. Natural hazards, such as floods, earthquakes, fires, severe weather, and public health emergencies (e.g., Pandemic Flu);

2. Human-related hazards, or technological events (e.g., power outage, communication outage);

3. Pro-active human hazards, sometimes called threats, reflecting deliberate actions by individuals or groups to cause harm, such as workplace violence, bomb threats, and civil disturbances.

In this section, the organization should identify possible risks or hazards that may threaten the continuance of essential functions. The purpose of the risk analysis is to develop a list of hazards that are of such significance that they are reasonably likely to cause devastating harm to the agency if they are not effectively controlled. The objective of this analysis is to identify vulnerabilities in operations and take steps to mitigate losses and/or develop recovery strategies.

To complete a risk analysis, the organization should:

1. List all the threats that may potentially have an impact on the organization's ability to deliver its essential functions.

2. Assess the impact of the risk based on the severity of the impact of the threat and the probability of occurrence.

3. Assess whether the organization has implemented effective control measure or other procedures that mitigate the occurrence of loss or damage resulting from this event.

4. Determine if the likelihood or occurrence of this threat is substantial enough to be included in the organization's COOP/COG Plan.

B. VULNERABILITY ASSESSMENT

In this section, the organization should provide a vulnerability assessment for each essential function. This assessment should identify scenarios that pose a risk to the continuity of the function. In COOP/COG planning, the planning can become extremely cumbersome if specific plans were to be developed for every possible type and circumstance of something going wrong. This first step in preparing a vulnerability assessment is to survey or scan the environment of possible risks identified above and translate that environment into a set of risk scenarios.

For most operations, the following scenarios have proven to be sufficient:

1. Local facility disruptions, typically single buildings;

2. Region-wide disruptions affecting all or many government buildings in the region;

3. Disruption of a communications system;

4. Disruption of access to vital records or databases;

5. Disruption to availability of specialized equipment or systems, including computing systems (other than traditional communications systems);

6. Loss of services from a vendor or another government agency;

7. Unavailability of personnel.

In the second step, determine whether your organization has existing capabilities to recover the essential function if the resources were lost for areas where a disruption may have major or significant impact on operations. Consider formal processes that are currently in place for recovering operations. These formal processes or "standard operating procedure" should become part of the COOP/COG Plan. The existence of the capability should be noted because it enhances awareness of how resiliency of operations is ensured. Those areas where existing capabilities do not exist to recover the essential function are identified as vulnerabilities.

C. RESOURCE REQUIREMENTS

In this section, the organization should evaluate the resources that are needed to continue certain essential functions during an emergency. These resources include:

a. Facilities or Work Sites
b. Communication Systems
c. Key Personnel
d. Vital Records and Databases
e. Vital Systems and Equipment
f. Key Vendors
g. Supporting Government Agencies or Departments

The organization should identify the minimum resource requirements needed to support each essential function. After these resources have been identified, the organization can work towards ensuring that the resources are protected at all times. For those resources that cannot be adequately safeguarded, the organization must select alternate or back-up resources in order to ensure that essential functions are available at all times.

D. FUNCTION DEPENDENCIES

Many of the organization's essential functions may rely on the availability of resources or functions controlled by another organization, including other agencies: federal, state and/or local governments; and private entities. In this section, organizations should identify these dependencies and link them to the essential function(s) that they support. The required recovery time objective (RTO) for each of these dependencies should be identified and indicate whether the organization is satisfied with the level of support or if this dependency represents a vulnerability.

VI. AUTHORITIES AND REFERENCES

This section should reference an annex that outlines all supporting authorities and references that have assisted in the development of the COOP/COG Plan. This section should also include any federal, state, or local ordinances that allow for the designation of emergency or temporary locations for the seat of government, or the actions required to transition the affairs of state government. In addition, it should include any specific provisions that allow for the delegation of authority.

VII. CONCEPT OF OPERATIONS

This section should briefly explain how the organization will implement its COOP/COG Plan, and specifically, how it plans to address each critical COOP/COG element. This section should be separated into three phases: activation and relocation, alternate facility operations, and reconstitution. Organizations should also develop an executive decision process that would allow for a review of the nature and extent of the emergency to determine the best course of action for response and recovery. This process will preclude premature or inappropriate activation of an organization's COOP/COG Plan.

C. PHASE 1: ACTIVATION AND RELOCATION

The Phase I section should explain COOP/COG Plan activation procedures and relocation procedures from the primary facility to the alternate facility. This section should also address procedures and guidance for non-relocating personnel.

1. Decision Process

   This section should explain the logical steps associated with implementing a COOP/COG Plan, the general incident escalation process, the circumstances under which a plan may be activated (both with and without warning), and should identify who has the authority to activate the COOP/COG Plan. This process can be described here or depicted in a graphical representation. This section should also include a brief description of the organizational structure of the response teams, including the COOP/COG Initial Assessment Team, the COOP/COG Executive Command Team, and the Essential Function Recovery Teams. The roles and responsibilities of each team should be explained in this section.

2. Alert, Notification, and Implementation Process

   This section should explain the events following a decision to activate the COOP/COG Plan. This includes employee alert and notification procedures and the COOP/COG Plan implementation process. Any tools used in the alert and notification process, such as notification trees or automated software should be noted in this section.

3. Leadership

   a. Lines of Succession

      This section should identify lines of succession to key positions within the

organization. The lines of succession should be of sufficient depth to ensure the organization's ability to manage and direct its essential functions and operations (at least three deep). The conditions under which succession will take place, the method of notification, and any temporal, geographical, or organizational limitations of authority should also be identified in this section. You should identify any existing statutes covering lines of succession.

b. Delegations of Authority

This section should identify, by position, the authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as appropriate. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed. Such delegations may also be used to address specific competency requirements related to one or more essential functions that are not otherwise satisfied by the lines of succession. Delegations of authority should document the legal authority for making key decisions, identify the programs and administrative authorities needed for effective operations, and establish capabilities to restore authorities upon termination of the event.

c. Devolution

The devolution section should address how the organization will identify and conduct its essential functions in the aftermath of a worst-case scenario, one in which the leadership is incapacitated. The organization should be prepared to transfer all of their essential functions and responsibilities to personnel at a different office or location. You should identify any provisions, if any, for pursuing devolution and include a list of alternative agencies.

4. Relocation

This section should include procedures for relocating essential functions, including required resources, to an alternate facility. This section should also include procedures for dealing with personnel who are not to be relocated to the alternate facility. If an organization has existing emergency relocation plans, they may be incorporated by reference.

B. PHASE II: ALTERNATE FACILITY OEPRATIONS & RECOVERY STRATEGIES

The Phase II section should identify initial arrival procedures, as well as operational procedures, for the continuation of essential functions at an alternative facility.

1. Alternate Locations

In the event of an emergency, identifying an alternate facility capable of supporting essential operations, positions, and personnel is critical. These

facilities must be capable of supporting operations in a threat-free environment, as determined by the geographical location of the facility and the collective protective characteristics of the facility.

This section should include a list of alternate facilities to which essential functions will be relocated and the resources that are required to be available at the alternate location. In this section, you should identify existing alternate locations that have been identified, including memorandums of understanding. This section should include strategies for moving and recovering essential functions at the alternate location, including the pre-positioning of supplies, mirroring computer systems and databases at the alternate facility, or putting service level agreements in place with key vendors.

2. Mission Critical Systems & Equipment

   The section should address the organization's mission critical systems and equipment necessary to perform essential functions and activities. Organizations must define these systems and equipment and address the method of transferring/replicating them at an alternate site.

3. Vital Files, Records, and Databases

   This section should address the organization's vital files, records, and databases, to include classified or sensitive data, which are necessary to perform essential functions and activities and to reconstitute normal operations after the emergency ceases. Organizational elements should pre-position and update on a regular basis those duplicate records, databases, or back-up electronic media necessary for operations.

   There are three categories of records to be reviewed and prioritized, then transferred (either hard copy or electronic media) to an alternate location:

   a. Emergency operations records;

   b. Legal/financial records; and,

   c. Records used to perform state or national security preparedness functions and activities.

4. Interoperable Communications

   This section should address the organization's mission critical communication systems necessary to perform essential functions and activities. Organizations must define these systems and address the method of transferring/replicating them at an alternate site. This section should address both operable and interoperable communications, which includes equipment with voice and/or text capability. Examples of such equipment

include the following:

a. Mobile Telephones

b. Satellite Telephones

c. Blackberries

d. Two-way radios

e. Pagers

f. Non-secure Telephones

g. Secure Telephones

h. Internet connection for email and web access

i. Facsimile

5. Human Capital (Protection of Government Resources – Specifically Personnel)

   In this section, the organization should list existing procedures that are in place to protect an organization's resources, with an emphasis on personnel. This section should specify the resources and personnel to be transferred to the alternate site and the methods for safely transporting them to the site. It should also describe the various documents and checklists available to employees to encourage and facilitate individual and family preparedness.

6. Vendors & Other Agency Functions

   In this section, the organization should identify how it will continue to receive needed support from external vendors or supporting agencies at the alternate site.

C. PHASE III: RECONSTITUTION & RESUMPTION STRATEGIES

The Phase III section should explain the procedures for resuming normal operations – a time phased approach may be most appropriate. This section may include procedures for returning to the primary facility, if available, or procedures for acquiring a new facility. Notification procedures for all employees returning to work must also be addressed. Organizations should also anticipate developing an After Action Report (AAR) to determine the effectiveness of COOP/COG plans and

procedures.

VIII. COOP/COG PLANNING RESPONSIBILITIES

This section should include additional delineation of COOP/COG responsibilities of each key staff position, to include members of the COOP/COG Senior Activation Team or Crisis Management Team, and possibly an Essential Function Recovery Team. Team members and individuals should be identified in the order of succession and delegation of authority. This section should also include responsibilities for the COOP/COG Planners responsible for normal day-to-day program support.

IX. LOGISTICS

This section of the COOP/COG Plan should contain information about recovery logistics requirements. Examples of these requirements include:

a. Space requirements;
b. Human Support Requirements, such as food provisions, sleeping arrangements, transportation, etc.; and
c. Memorandums of Understanding and Provisioning Contracts (the actual documents may be housed in annexes).

This section should also include detailed recovery procedures for the loss of key resources. Much of the information contained in this section will actually be owned by division representatives rather than the COOP/COG Program. The plan itself may contain references to where this information is housed and maintained within the organization.

A. ALTERNATE LOCATION

The alternate location section should explain the significance of identifying an alternate facility, the requirements for determining an alternate facility, and the advantages and disadvantages of each location. Senior managers should take into consideration the operational risk associated with each facility. Performance of a risk assessment is vital in determining which alternate location will best satisfy an organization's requirements. Alternate facilities should provide:

1. Sufficient space and equipment;

2. Capability to perform essential functions within 12 hours, up to 30 days (or other time frame as determined by the organization);

3. Reliable logistical support, services, and infrastructure systems;

4. Consideration for health, safety, and emotional well-being of personnel;

5. Interoperable communications; and

6. Computer equipment and software.

B. MISSION CRITICAL SYSTEMS & EQUIPMENT

The mission critical systems and equipment section should identify available and redundant mission critical systems and equipment that are located at the alternate facility. These systems and equipment should provide the organization with the ability to perform its essential functions at the alternate facility, as well as to support the organization's resumption to normal operations. Mission critical systems and equipment should provide:

1. Capability commensurate with an organization's essential functions;
2. Ability for personnel to access systems and equipment;
3. Ability to support COOP/COG operational requirements; and
4. Ability to operate at the alternate facility within 12 hours and for up to 30 days (or the time frame determined by the organization).

C. INTEROPERABLE COMMUNICATIONS

The interoperable communications section should identify available and redundant critical communication systems that are located at the alternate facility. These systems should provide the ability to communicate within the organization and outside the organization. Interoperable communications should provide:

1. Capability commensurate with an organization's essential functions;
2. Ability to communicate with essential personnel;
3. Ability to communicate with other agencies, organizations, and customers;
4. Access to data and systems;
5. Communication systems for use in situations with and without warning;
6. Ability to support COOP/COG operational requirements;
7. Ability to operate at the alternate facility within 12 hours and for up to 30 days (or the time frame determined by the organization); and

8. Interoperability with existing field infrastructures.

D. PERSONNEL

This section should identify personnel with key skills or experience and available back-up resources. When identifying key personnel, consider the following circumstances:

1. Specialized training or skills that are required to perform the essential function;

2. The minimum number of personnel required to perform the essential function;

3. Other personnel available with skills that are transferable to support essential functions; and

4. Whether performance of the essential function requires transfer of the personnel to an alternate site (i.e., personnel can perform tasks via telecommuting).

E. VENDORS & OTHER AGENCY FUNCTIONS

This section should identify the availability of vendors or other agencies to support essential functions. This section should identify the procedures to be used for the delivery of services at the alternate facility.

X. TEST, TRAINING, AND EXERCISES

This section should address the organization's Test, Training, and Exercise (TT&E) Plan. Tests, Training, and Exercises familiarize staff members with their roles and responsibilities during an emergency, ensure that systems and equipment are maintained in a constant state of readiness, and validate certain aspects of the COOP/COG Plan. Managers may be creative when it comes to COOP/COG readiness and include snow days, power outages, server crashes, and other ad-hoc opportunities to assess preparedness.

To maximize the capabilities of potential responders, all employees should participate in the planning, implementation, and critique of exercises that test their COOP/COG plan. Testing the COOP/COG Plan will validate the plans, policies, procedures and systems; identify deficiencies in the COOP Plan and allow for subsequent correction.

The TT&E plans should provide:

1. Individual and team training of organization personnel;

2. Internal organization testing and exercising of COOP/COG plans and procedures;

3. Testing of alert and notification procedures;

4. Refresher orientation for COOP/COG personnel; and

5. Joint interagency exercising of COOP/COG plans, if appropriate (for example, situations where an organization's ability to deliver an essential function is dependent on a support function from another organization).

The effectiveness of the training exercises should be documented in a Post Exercise Assessment, which should be prepared within one to two weeks of the exercise, while memories are still fresh.

XI. MULTI-YEAR STRATEGY PROGRAM MANAGEMENT PLAN & BUDGET

A comprehensive COOP/COG plan is often the result of layer after layer of development over time. Initially, an organization should focus on establishing a baseline of capability for each of the eleven COOP/COG elements. The organization should document where there continue to be gaps in their preparedness and develop a plan/strategy for addressing them. This is often captured in a Multi-Year Strategy Program Management Plan (MYSPMP) or as part of your COOP/COG Plan.

The MYSPMP/or multi-year strategy section of your plan, should address short and long term COOP/COG goals, objectives, timelines, budgetary requirements, planning and preparedness considerations, and planning milestones or tracking systems to monitor accomplishments. It should include a prioritized list of vulnerabilities that have been identified for your organization. If the organization opts to create a separate MYSPMP, it should be referenced in the COOP/COG Plan.

A. COOP/COG PLAN MAINTENANCE

This section should address how the organization plans to ensure that the COOP/COG Plan contains the most current information. It should describe the organization's maintenance strategy and tactics, including event-driven changes and periodic reviews. Organizations should review the entire COOP/COG Plan at least annually. Key evacuation routes, roster and telephone information, as well as maps and room/building designations of alternate locations, should be updated as changes occur.

ANNEXES

Annexes contain highly detailed and necessary information, typically as either backup or reference material. Some annexes may include information typically contained in appendices. Other annexes may contain information or references to material that are owned and housed by departments, division, branches, or sections outside the COOP/COG plan itself. The annexes listed in this template contain the minimum

information that should be included in a COOP/COG plan. You should include any additional annexes required for your organization's COOP/COG Plan. No particular order or sequence is required for Annex material.

A. **Authorities and References**

This annex should cite a list of authorities and references that mandate the development of this COOP/COG Plan, and provide guidance towards acquiring the requisite information contained in this COOP/COG Plan.

B. **Operational Checklists**

This section should contain operational checklists for use during a COOP/COG event. A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task. Sample operational checklists may include:

1. Telephone Cascade
2. Emergency Calling Directory
3. Key Personnel Roster and Essential Functions Checklist
4. Senior Activation Team (SAT) Roster
5. Emergency Relocation Team Checklist
6. Alternate Site Checklist
7. Emergency Operating Records and IT Checklist
8. Emergency Equipment Checklist

C. **Essential Functions**

This annex should include a list of your identified essential functions.

D. **Alternate Location/Facility Information**

This annex should include general information about the alternate location/facility. Examples include the address, points of contact, and available resources at the alternate location.

E. **Maps and Evacuation Routes**

This annex should provide maps, driving directions, and available modes of transportation from the primary facility to the alternate location. Evacuation routes from the primary facility should also be included.

F. **Definitions and Acronyms**

This annex should contain a list of key words, phrases, and acronyms used throughout the COOP/COG Plan and within the COOP/COG community. Each key word, phrase and acronym should be clearly defined.

G. **Concept of Operations**

This annex should contain the operational details and procedures necessary to execute the provisions of the plan. This is a short document that includes activation procedures, notification, team membership, responsibilities, and sample task lists.

_____

Charles B. Reed Chancellor

Dated: October 8, 2007

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 2 : REGULATORY DOCUMENTS

Chapter 2 : Charter of campus Business Continuity Steering Committee (BCSC)

San José State
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CHARTER OF THE STEERING COMMITTEE
SJSU BUSINESS CONTINUITY PLANNING

PURPOSE

The purpose of the Business Continuity Steering Committee (BCSC) is to create a planning structure that will enable the University to craft an enterprise Business Continuity Plan that ensures that the campus is able to continue business operations after a major disruption occurs. Principle tasks of BCSC are:

1. To represent their respective operational areas and give oversight over the function of developing a Business Continuity Plan at SJSU.
2. To identify critical enterprise business processes that must be protected.
3. To ensure that campus departments utilize the standard tools, templates and techniques that will be provided to them to build their individual plans for business continuity.
4. To collect individual plans for business continuity in their respective operational areas, and finalize and submit them for consolidation into the campus wide Plan
5. To serve as a focal point for communications and discussions concerning business continuity and the planning process.

VALUE STATEMENT

The Business Continuity Steering Committee will promote a coordinated Business Continuity Program for San Jose State University; provide a network for sharing information and resources; and encourage high quality, cost-effective planning efforts for campus departments.

OBJECTIVES

1. Serve as the leaders for the development and review of the enterprise business continuity plan.
2. Function as the University's focal point for business continuity issues and standards.
3. Function as an advocate of BCP to their respective operational areas.
4. Coordinate with the emergency response and emergency management in their respective operational areas.
5. Promote intra-campus business continuity planning best practices.

PROJECT SPONSORSHIP

The project is sponsored by the SJSU President's Cabinet

MEMBERSHIP

Member	Organization	Designated By
Ninh Phamhi	BCSC Chair	Rose Lee, VP & CFO
Robb Drury	Advancement	Fred Najjar, VP
William Nance	Office of the President	Chief of Staff
Dorothy Poole	Administration & Finance	Rose Lee, VP & CFO
Jaime Sanchez	University Technology Services	William Maguire, VP & CIO
Terri Thames	Student Affairs	Cathy Busalacchi, Interim VP
Matt Witty	Athletics	Tom Bowen, Director
Charles Whitcomb	Academic Affairs	Gerald Selter, VP & Provost

MEETINGS

The Steering Committee will meet on a regular schedule as agreed upon by all members. Location and time may vary depending on room and member availability.

SUNSET REVIEW

The Steering Committee will review the Charter every year from the date of the founding of the Steering Committee, or upon need, to either update the charter, validate the continuation of the Steering Committee, or to arrange termination of the Charter and the Steering Committee's activities.

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 3 : METHODOLOGY

Chapter 1 : BCP Concept of Operations

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what → Manual of procedures
"How to restart the campus"
- Essential functions
- Minimal activities
- What is to consider

deploying the test update → new cycle

why → state Regulation
→ legal liabilities
→ Chancellor Président

→ It's also for ourselves - The campus management is faster with a BCP

where → just campus for now, no auxiliaries

who → BCSC
↳ All campus managers.
It's an integral management function
and it's an ongoing part like Accounting, or risk management, or Maintenance Service

↓
deploy, train
test
update → new cycle

how → Phased approach
phase 1 = BCP structure @ SJSU
2 = logistical Manual
3 = deploy, test, coordinate

↓
BCSC members responsible for BCP work in each division
↳ part relocate to line managers because too much work

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BUSINESS CONTINUITY PLANNING CONCEPT OF OPERATIONS

Business Continuity Planning (BCP) is a program that assesses the existing operations, risks, and relationships of the University for the development of organizational preparedness. BCP develops an integrated approach to ensuring that critical processes continue to function during and after a disaster or incident that interrupts the operation of the organization.

1. BCP Command Structure

The BCP command structure is designed to benefit the operational environment with coordinated emergency management (EM), IT disaster recovery (ITDR), and continuity of operations planning (COOP) functions. Roles have been assigned as they pertain to executive management and decision makers. Note that the infrastructure support function has been identified as a specific section because of the core services provided to keep the organization in operation. Similarly, finance and administration and line operations functional areas have been added because of critical importance at a program level.

BCP / COOP, IT support and EM program offices are also included to illustrate the ongoing effort needed to sustain BCP program viability. The BCP command structure is illustrated in figure 1.

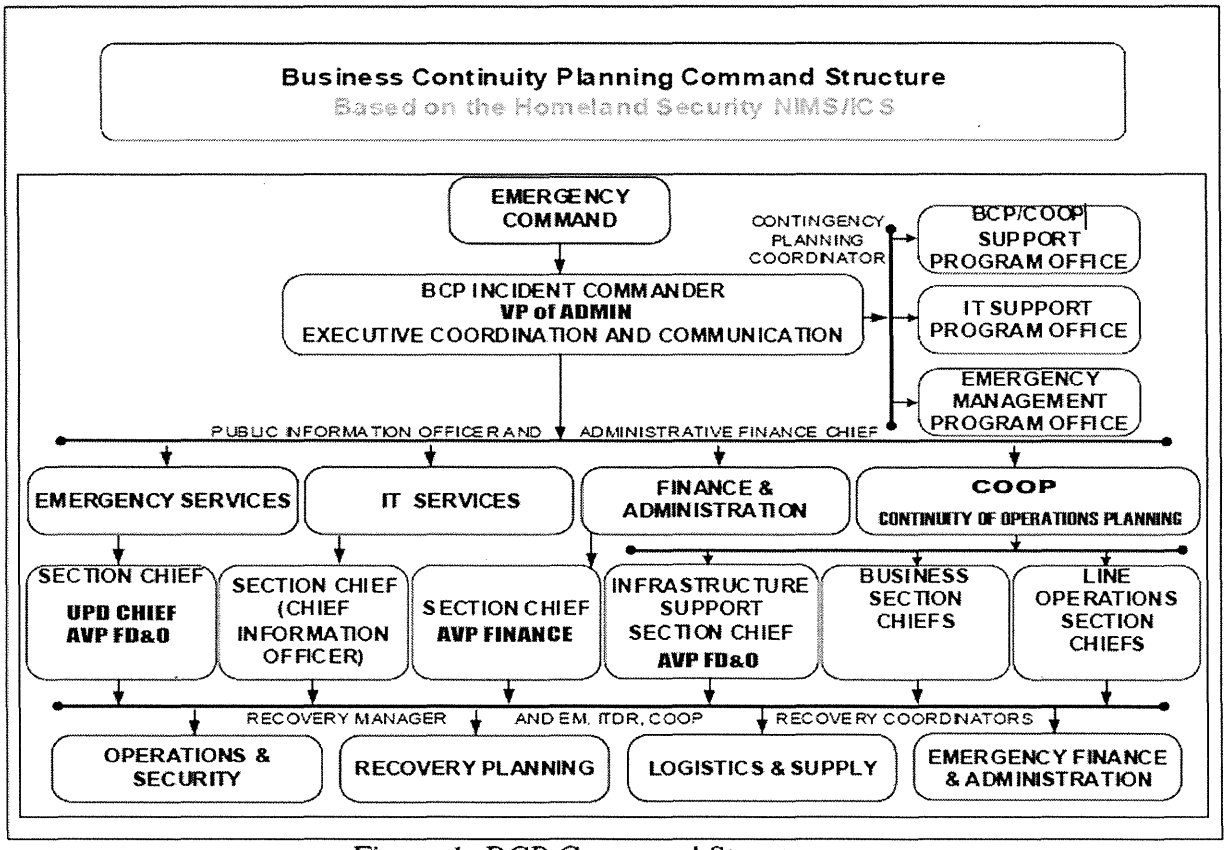


Figure 1: BCP Command Structure

2. BCP Roles

- Emergency Incident Commander (EIC) - The EIC is responsible for on-site field emergency operations until threats and hazards to people, facilities and the environment are terminated.

- Public Information Officer (PIO) – The PIO is responsible for public relations communication.

- Administrative Finance Chief (AFC) – The AFC is responsible for overall coordination of emergency funding and cost collection.

- Emergency Director (ED) – The ED is responsible for all emergency operations coordination and communications and doubles as the emergency management section chief. The ED calls for BCP activation and declares that normal operations may resume upon BCP termination.

- BCP Incident Commander (BCP IC) - The BCP IC is responsible for overall BCP coordination and communications. The BCP IC declares BCP termination.

- Section Chief (SC) – An SC is responsible for coordination of area activities and reporting to the ED and BCP IC any issues that require higher level attention

- Recovery Manager (RM) – The RM is responsible for all mission recovery coordination, which includes the restoration of support services needed to perform mission during BCP operations and full recovery to normal operations

- Recovery Coordinator (RC) An RC is responsible for supporting the RM by facilitating the resumption and recovery of EM, ITDR and COOP BCP elements

- Contingency Planning Coordinator (CPC) – The CPC is responsible for overall coordination of COOP planning to ensure consistency in development and provide resources to support implementation across the organization.

This functional model for BCP is considered to be a distributed solution that provides responsiveness in any situation and allows individuals to solve the problems at hand.

The majority of recovery work will be done by operations teams under the direction of the section chiefs. The BCP command structure is intended to facilitate consistency in approach and communications. Each incident is unique and requires evaluation of vulnerabilities and threats to determine appropriate action. Such a distributed solution will maximize value and provide dynamic response in the worst of times.

Figure 2 illustrates the coordination and overlap of EM and BCP facilitated through consistent command, public and internal communications where vulnerabilities for each incident are examined and BCP activation is called for by the emergency director when organizational operation is threatened. Note that appropriate levels of physical and cyber security must be maintained throughout the BCP life cycle.

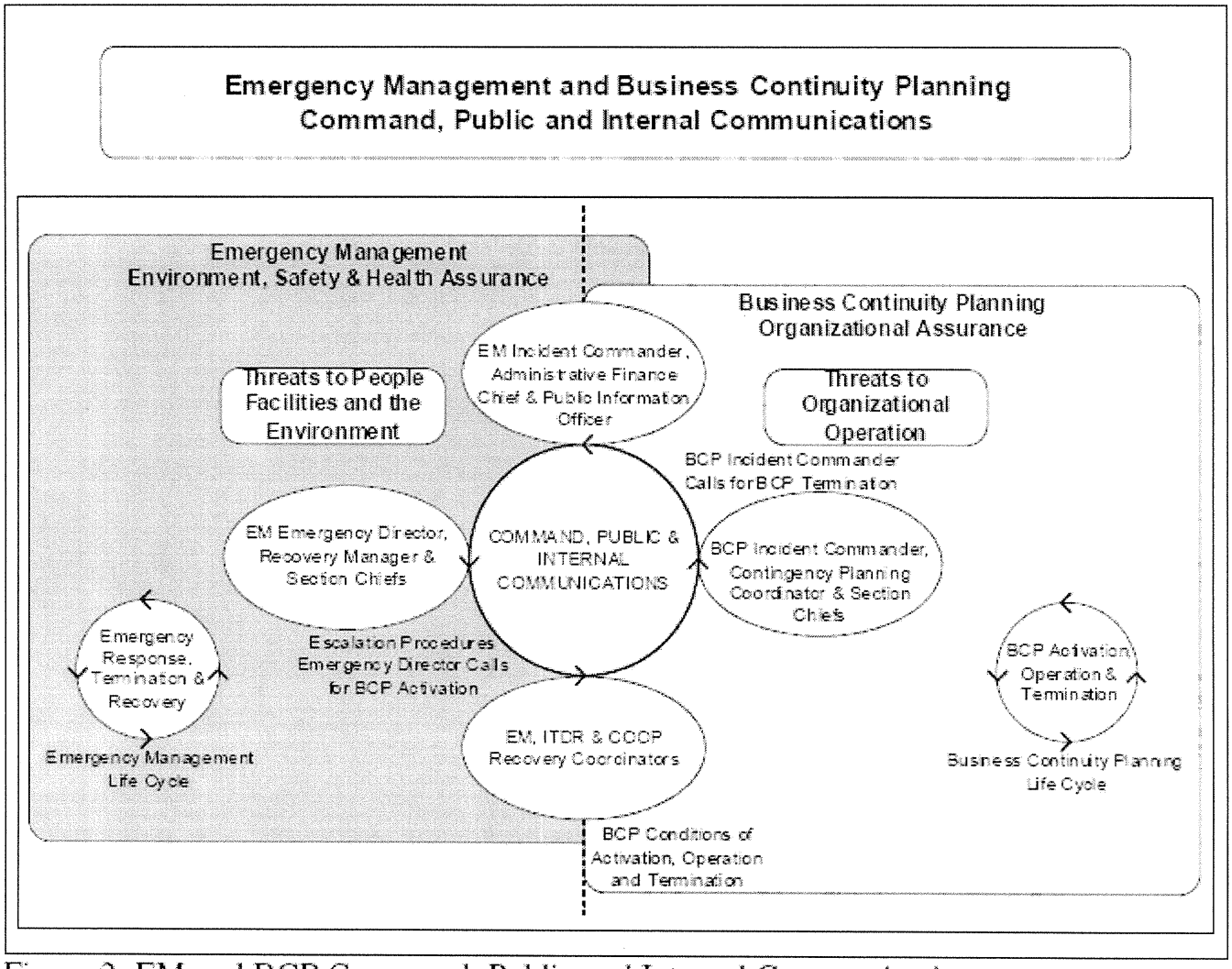


Figure 2: EM and BCP Command, Public and Internal Communications

3. BCP Conditions of Activation, Operation and Termination

Emergency operations have established methodologies for emergency response rooted in the NIMS / ICS. These include roles and activities that define initial emergency response (activation phase), resolution of the emergency situation (termination phase) and return to normal operations (recovery phase). BCP activation will work in-kind with EM, meaning that the emergency director will have authority of control for the BCP activation and operation phases for all operations of the organization. The emergency incident commander will work with the emergency director and section chiefs to manage initial response through to the termination of the emergency situation. The emergency situation is terminated when threats and hazards to people, facilities and the environment are controlled and a safe environment is restored. Upon emergency director declaration of BCP activation, the BCP incident commander coordinates BCP operation with the section chiefs and the EM recovery team (recovery manager and recovery coordinators).

BCP Conditions of Activation

BCP activation is triggered when an incident is determined to threaten mission operations. Threats to mission operations include: threats to people, facilities and the environment requiring emergency response; threats to critical infrastructure that are essential to the operation of the organization (facilities, energy and water utilities, information and communication networks); threats to the operability of critical processes, supply and critical partnerships.The emergency director declares BCP activation to initiate resumption and recovery services and communication. BCP activation puts into action mission operation contingency plans in order to sustain critical processes and services.

BCP Conditions of Operation

BCP operations initiate upon BCP activation as contingency plans and recovery operations begin. Contingency operations run in conjunction with EM recovery operations through to completion of the BCP operations phase. Mission recovery includes the recovery of facilities, infrastructure and services required for the return to normal operations. The BCP incident commander declares that BCP operations are completed upon consensus from the emergency director, section chiefs, recovery manager and recovery coordinators.

BCP Conditions of Termination

BCP operations can be terminated when facilities, infrastructure and services are sustainable and reliable. The emergency director declares that normal operations may resume upon consensus from the BCP incident commander, section chiefs, recovery manager and recovery coordinators.

Critical Issues

BCP operations are dependent on planning, communication, coordination and security. Critical issues include:

1. Personnel Safety
2. Environmental Safety
3. Physical Security
4. Cyber Security
5. Identification of Critical personnel
6. Identification of Critical assets
7. Identification of Critical processes
8. Identification of Vital Records
9. Established Command Structure
10. Managed Command Communications
11. Managed Public Information and Safety Communications
12. Managed EM and BCP Internal Communications
13. Prioritization of Activities
14. Training, Testing and Continual Improvement
15. Timely Implementation

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 3 : METHODOLOGY

Chapter 2 : Master Plan for BCP

PHASED APPROACH TO DEVELOPING THE SJSU BCP:

The BCP function at SJSU is an ongoing project with no termination, and it will go through successive ***cycles***. The first cycle is the inception cycle, i.e. the creation of the Business Continuity Plan for the first time. Subsequent cycles will be for BCP maintenance, in which the Plan is revised, updated, and re-validated.

The current SJSU BCP Project's Inception Cycle will have 3 main Phases:

Phase 1: Office of VP of Admin to create the campus-wide BCP as a top-down framework

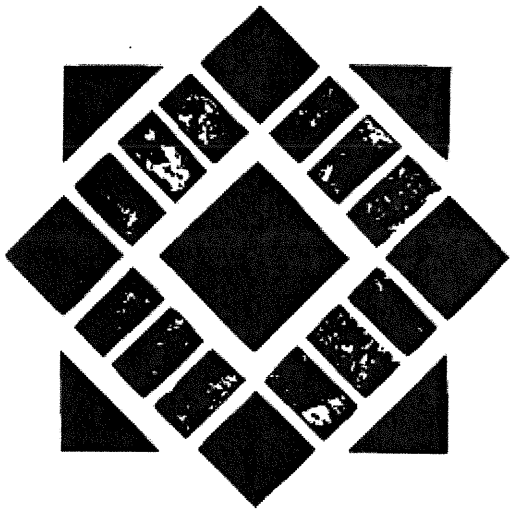
1. Create a Business Continuity Steering Committee (BCSC) composed of senior management.
2. Business Impact Analysis: Identify essential campus departments that have top priority to be restored after a disaster.
3. Create tools to support the BCP Project, e.g. analysis templates, communication tools, instructions documents, etc.
4. Identify key managers from all campus departments that will work on BCP.
5. Design methodologies for testing.
6. Design BCP maintenance cycle.

Phase 2: Campus ~~community~~ Divisions to add details to the campus-wide BCP

1. BCSC to validate and finalize the draft of the campus-wide BCP
2. BCP tools and templates are deployed to all campus departments
3. Each campus department to create their "individual BCP" by filling out BCP templates
4. "Individual BCPs" are reviewed and finalized at Divisional level, and submitted to BCSC

Phase 3: Con~~solidation~~ of individual BCPs into campus-wide BCP

1. BCSC to review and approve the submitted "individual BCPs"
2. BCSC to deploy the schedule for testing to all campus departments
3. BCSC to monitor the testing, assess results, and recommend remedial actions.
4. BCSC to start a new BCP cycle for ongoing maintenance (revising, updating, testing)
    a. Strengthen Threat Analysis with more specific scenario projections
    b. Strengthen Recovery Solutions and Planned Redundancies - if budget permits



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BUSINESS CONTINUITY PLANNING (BCP)

MASTER PLAN

This BCP Master Plan is a management document explaining the methodology for assembling the BCP logistical manual, its maintenance, and how BCP is executed to restore University operations after a disaster. It is continuously revised and updated to reflect the changes in University management, organization, and business. New materials will also be constantly added as the need arises.

BCP Overview

BCP Guiding Principles

SECTION1 : SJSU BCP FRAMEWORK

AUTHORITY

CONCEPT OF OPERATIONS

BCP COMMUNICATION AND MANAGEMENT

CREATION OF LOGISTICAL MANUALS

PHASED APPROACH TO DEVELOPING THE SJSU BCP:

- Phase 1
- Phase 2
- Phase 3

SCHEDULE OF CURRENT BCP INCEPTION CYCLE (2009 - 2011)

OVERVIEW OF METHODOLOGY TO DEVELOP THE BCP LOGISTICAL MANUAL

- 4 main steps
- Other considerations

OVERVIEW OF MAIN TYPES OF RISK ANALYSIS

- Business Impact Analysis
- Risk (Vulnerabilities) Assessment
- Threat Analysis

SECTION2 : BCP ANALYSES

BUSINESS IMPACT ANALYSIS

- Methodology:

RISK (VULNERABILITIES) ASSESSMENT - SCENARIOS OF THREAT

- Methodology:

ANALYSIS OF RECOVERY REQUIREMENTS AND SOLUTION DESIGN

- Prediction of impact scenarios of specific threats
- Solution design in response to recovery requirements

SECTION 3 : CAMPUS IMPLEMENTATION OF BCP MANUAL

DESCRIPTION OF METHODOLOGY FOR IMPLEMENTATION

SECTION 4 : TESTING AND VALIDATION OF BCP MANUAL

DESCRIPTION OF METHODOLOGY FOR TESTING

TREATMENT OF TEST FAILURES

SECTION 5 : ON-GOING MAINTENANCE & TESTING

COMPONENTS OF A MAINTENANCE CYCLE

METHODOLOGY FOR MAINTENANCE

ONGOING MAINTENANCE TESTING - OVERSIGHT & REMEDIAL - ICQ 16

- Information update and testing
- Testing and validation of technical solutions
- Testing and verification of organization recovery procedures

RECORDS RETENTION - ICQ 20

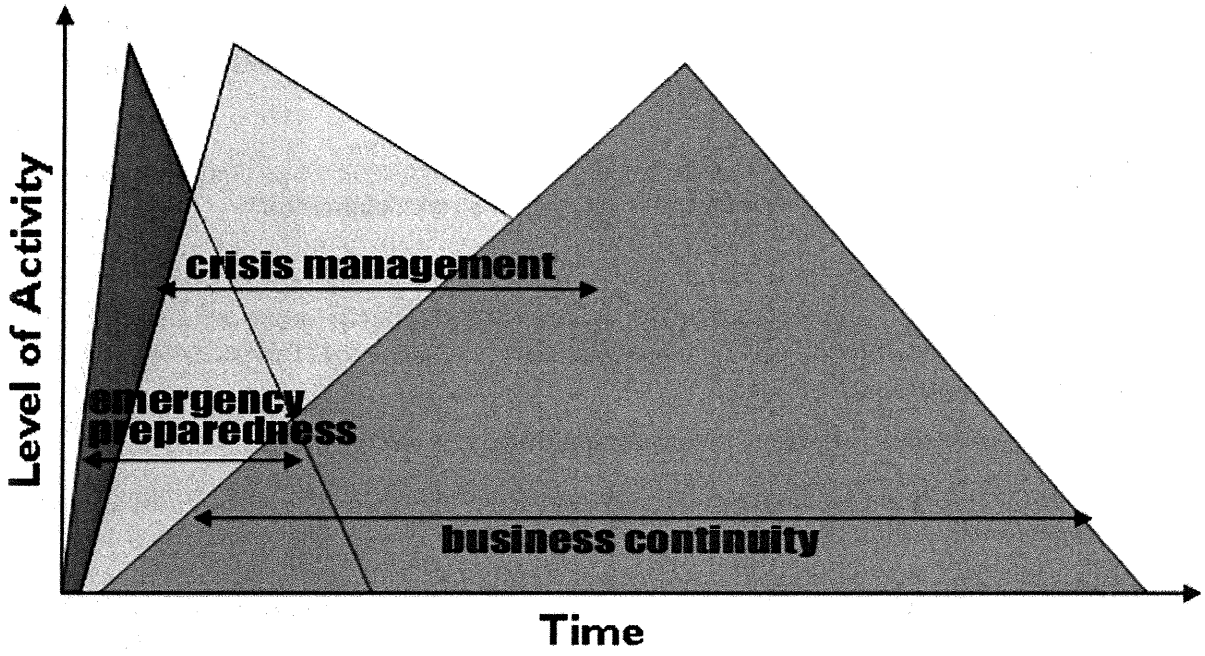
SECTION 6 : BUSINESS CONTINUITY TRAINING

BCP Overview

- **Emergency Preparedness:** This phase involves undertaking activities to reduce and prevent death, injury, and loss of property/assets during a disaster by applying consistent and ongoing prevention and mitigation measures.

- **Crisis Management:** This phase involves the emergency response of appropriate personnel to a disaster. The SJSU Emergency Operations Plan describes the various activities, roles and responsibilities of the emergency personnel.

- **Business Continuity:** This phase involves restarting mission-critical (essential) business operations after a major disruption occurs.



SJSU Business Continuity Planning (BCP) is the creation of a logistical plan for how the University will partially or completely restore certain interrupted **essential/critical** departments (functions) within a predetermined time after a disaster or disruption.

The intended purpose of BCP is to ensure business continuity, i.e. to provide a detailed methodology governing how business is restored after a disaster, including *local* incidents like building fires, *regional* incidents like earthquakes, or *national* incidents like pandemic illnesses.

BCP Guiding Principles

San Jose State University has adopted the following Principles for the guidance of the responsible authorities for the development, and management of deployment of the Business Continuity Plan.

Continuity of student learning- Ensure access to and consistent delivery of, academic education and related support services to students (existing and prospective) within the current and projected capacity of the University.

Health and well-being of employees – Ensure the health, safety, and well-being of University employees through policy, work-place practices, and employee benefits programs.

Protection and preservation of University assets – Ensure that measures are in place and readily implemented for the protection and preservation of physical, financial, intellectual, and intangible properties and assets of the University – including its reputation, public relations, and accumulated good-will.

Strategies and procedures enable the effective and efficient deployment of institutional assets and resources in support of a business continuity response to a risk occurrence.

Critical functions – Maintain to the extent of available resources those functions of the University that, when not delivered or not performed within a specified period of time would result in the unmanageable curtailment, suspension, or termination of University operations or parts thereof that would place at risk:

- the health and safety of persons, other living things, or entities; or
- a University Academic/Administrative/Research unit on which students, employees, other University units, or the community-at-large are dependent.

Communication and information – The University will distribute timely, comprehensive, and accurate information about the status of University operations, the current risk incident, and related risk mitigation information and resources available to employees, students, and, as appropriate, the community at large.

SECTION 1: FRAMEWORK

AUTHORITY

The campus BCP Project is mandated by the CSU Chancellor's Office Executive Order #1014. The VP of Administration and Finance has the delegated authority by the SJSU President to be in charge of campus-wide BCP.

CONCEPT OF OPERATIONS

BCP Conditions of Activation, Operation and Termination

Emergency operations have established methodologies for emergency response. These include roles and activities that define initial emergency response (activation phase), resolution of the emergency situation (termination phase) and return to normal operations (recovery phase). BCP activation will work with emergency management, meaning that the Emergency Director will have authority of control for the BCP activation and operation phases for all operations of the organization. Upon the Emergency Director's declaration of BCP activation, the BCP Coordinator coordinates BCP operation with the EOC Section Chiefs and the Emergency Management Recovery Team (Recovery Manager and Recovery Coordinators).

BCP Conditions of Activation

The Emergency Director declares BCP activation to initiate resumption and recovery services and communication. BCP activation puts into action plans to sustain critical processes and services. Mission recovery includes the recovery of facilities, infrastructure and services required for the return to normal operations.

BCP Conditions of Operation

BCP operations initiate upon BCP activation as contingency plans and recovery operations begin. Contingency operations run in conjunction with emergency management recovery operations through to completion of the BCP operations phase. Mission recovery includes the recovery of facilities, infrastructure and services required for the return to normal operations.

BCP Conditions of Termination

BCP operations can be terminated when facilities, infrastructure and services are sustainable and reliable. The Emergency Director declares that normal operations may resume upon consensus from the BCP Coordinator, Section Chiefs, Recovery Manager and Recovery Coordinators.

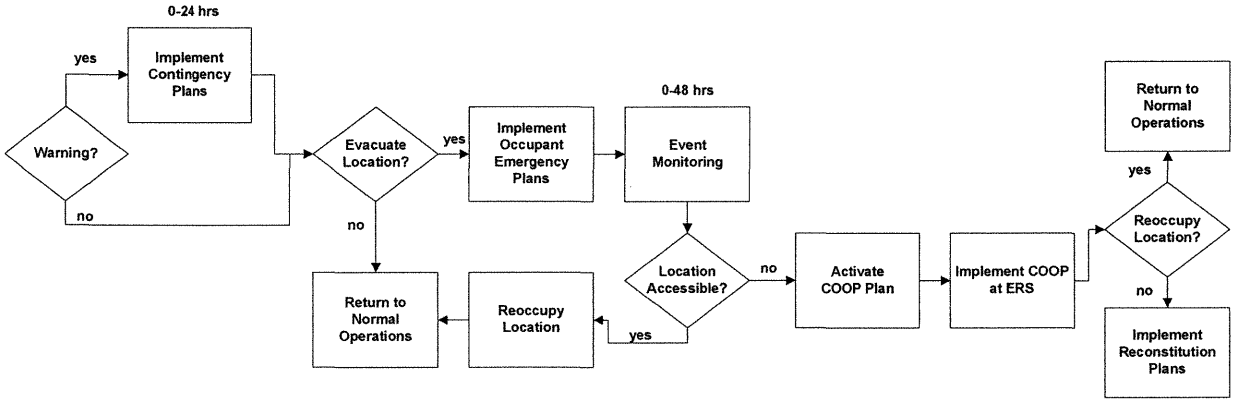
Critical Issues

BCP operations are dependent on planning, communication, coordination and security. Critical issues include: personnel safety, environmental safety, physical security, cyber security, identification of critical personnel, identification of critical assets, identification of critical processes, identification of vital records, established command structure, managed command communications, managed public information and safety communications, managed emergency management and BCP internal communications, prioritization of activities, training, testing and continual improvement, and timely implementation.

The SJSU BCP Toolkit includes a section describing in detail the SJSU methodology for activating BCP - below is an excerpt.

Orderly alert and notification depends upon the amount of warning received, whether employees are on duty at university locations and the extent of risk for university employees or locations.

Any disaster that adversely affects the university's ability to perform essential functions requires activation of the BCP.



University employees will be contacted with alert and notification information using variety of communication resources/contact lists (e.g., Alert-SJSU, Emergency Personnel Roster; Response/Recovery Team Personnel form, etc.).

In the event of a vacancy in the position of President, succession lines have been established. Presidential Directive # 2009-03 serves as the official delegation of both authority and responsibility to the following administrators to make decisions on behalf of the President in a disaster or an emergency in which the President is absent or disabled. The "Chain of Command" is as follows:

1. President
2. Provost and Vice President for Academic Affairs
3. Vice President for Administration and Finance/CFO
4. Vice President for Student Affairs
5. Vice President for University Advancement
6. President's Chief of Staff

The following should be added to the "Chain of Command" for major disaster or emergency situations:

7. Vice Provost for Academic Planning and Budgets
8. Chief of Police
9. Vice President for Information Technology and Chief Information Officer

University employees with select knowledge, skills and abilities are required to perform the tasks associated with the university's essential functions. The following personnel are identified as critical members of the Emergency Response Group (ERG).

BCP COMMUNICATION AND MANAGEMENT

- SJSU BCP is sponsored by the President's Cabinet; is under the delegated authority of the VP of Administration and Finance; is planned and coordinated by the campus BCP Coordinator; is executed at the divisional level by the divisional managers under the oversight of the Division Vice Presidents.
- The campus BC Coordinator serves as the Chair of the Campus Business Continuity Committee (BCSC)
- Each campus Division has a representative as permanent member on the BCSC.
- BCSC is scheduled to meet once a month. These meetings are designed to be work sessions
    - to review and approve the BCP Master Plan
    - to plan and prioritize the execution of BCP tasks
    - to assign BCP tasks to the Divisions
    - to review divisional BCP status reports
    - to review and approve the completion of BCP tasks
    - to make decisions on BCP functions and issues, such as training, resources planning, change management, etc.
- The BCSC Chair is responsible for preparing the summary report for each meeting, which then will be emailed to all BCSC members and also posted to the SJSU BCP website.
- The Office of the VP of Administration & Finance is responsible for maintaining the SJSU BCP website.
- On an ongoing basis, the BCSC Chair will update the VP of Administration & Finance on campus BCP issues and progress. The VP of Administration & Finance will be responsible for briefing the President's Cabinet.
- The BCSC members are responsible for disseminating BCP information discussed during the BCSC meetings back to all levels of management within their respective Divisions.
- The BCSC members are responsible for identifying managers within their respective Divisions who will execute the BCP tasks as assigned; and for tracking the work-in-progress and giving status reports to BCSC in the monthly meetings.
- The Division Vice Presidents and their BCSC representatives have total control over the management of their staff to implement and execute the assigned BCP tasks.
- Bi-annually the campus BC Coordinator will prepare a status report on BCP for the President's Cabinet.
- The VP of Administration & Finance is responsible for solving budget issues related to BCP implementation for the campus.
- The campus BC Coordinator is responsible for keeping BCP records for the campus. Divisional BCSC representatives are responsible for keeping BCP records for their respective Divisions, or they may delegate the record keeping function to another manager in their Divisions.

CREATION OF BCP LOGISTICAL MANUALS

A product of the BCP Project is a formal manual available for reference before, during, and after disruptions. Its purpose is to reduce adverse impacts determined by both the disruption's scope (who and what it affects and to what extent) and duration (e.g., hours, days, months).

In other words, the end product will be one "campus-wide BCP manual" for the entire campus, in which the "departmental BCPs" of each campus department will be basic building blocks.

A BCP manual for an operation at a minimum would be a printed manual, stored safely away from the primary work location, containing:

- names, addresses, and phone numbers of emergency management staff, general staff members, clients, and vendors.
- location of the offsite data backup storage media
- copies of insurance contracts, and other critical materials necessary for organizational survival.

At its most complex, a BCP manual for a large Division may include

- a secondary work site
- technical requirements and readiness
- regulatory reporting requirements
- work recovery measures
- the means to reestablish physical records
- the means to establish a new supply chain
- or the means to establish new operation centers

A BCP manual must be realistic and easy to use during a crisis. As such, BCP sits alongside crisis management and disaster recovery planning and is a part of an organization's overall risk management.

PHASED APPROACH TO DEVELOPING THE SJSU BCP:

The BCP function at SJSU is an ongoing project with no termination, and it will go through successive ***cycles***. The first cycle is the inception cycle, i.e. the creation of the Business Continuity Plan for the first time. Subsequent cycles will be for BCP maintenance, in which the Plan is revised, updated, and re-validated.

The current SJSU BCP Project's Inception Cycle will have 3 main Phases:

Phase 1: Office of VP of Admin to create the campus-wide BCP as a top-down framework

1. Create a Business Continuity Steering Committee (BCSC) composed of senior management.
2. Business Impact Analysis: Identify essential campus departments that have top priority to be restored after a disaster.
3. Create tools to support the BCP Project, e.g. analysis templates, communication tools, instructions documents, etc.
4. Identify key managers from all campus departments that will work on BCP.
5. Design methodologies for testing.
6. Design BCP maintenance cycle.

Phase 2: Campus community to add details to the campus-wide BCP

1. BCSC to validate and finalize the draft of the campus-wide BCP
2. BCP tools and templates are deployed to all campus departments
3. Each campus department to create their "individual BCP" by filling out BCP templates
4. "Individual BCPs" are reviewed and finalized at Divisional level, and submitted to BCSC

Phase 3: Consolidation of individual BCPs into campus-wide BCP

1. BCSC to review and approve the submitted "individual BCPs"
2. BCSC to deploy the schedule for testing to all campus departments
3. BCSC to monitor the testing, assess results, and recommend remedial actions.
4. BCSC to start a new BCP cycle for ongoing maintenance (revising, updating, testing)
    a. Strengthen Threat Analysis with more specific scenario projections
    b. Strengthen Recovery Solutions and Planned Redundancies - if budget permits

SCHEDULE OF CURRENT BCP INCEPTION CYCLE (2009 - 2011)

	by Office of VP of Admin	by BCSC	by individual campus departments
Create BCP framework, project management, steering committee, templates, communication tools, etc.	in Phase 1		
Threats Analysis	in Phase 1, not differentiating the specific causes/threats, but assuming a major and state-level disaster	in Phase 3, will refine BCP with specific scenario projections	
Business Impact Analysis	in Phase 1, a detailed top down assessment is made	in Phase 2, review and validate	in Phase 2, give feedback to BCSC
Concept of Operations - Chain of command in BCP execution to restore campus business	in Phase 1, a detailed top down assessment is made	in Phase 2, review and validate	
Risk Assessment / Recovery Requirements			in Phase 2, fill ou templates to create "individual BCPs"
Solution design			in Phase 2, fill out templates to create "individual BCPs"
Validation and consolidation into campus-wide BCP	in Phase 3		
Organizational acceptance	in Phase 3: finalization and approval		
Implementation at departmental level	in Phase 3: monitoring and oversight		in Phase 3: execution
Testing	in Phase 3: monitoring and oversight		in Phase 3: execution
Maintenance (new BCP cycle) Information update and testing Testing and verification of technical solutions Testing and verification of recovery procedures Treatment of test failures	next BCP cycle		

OVERVIEW OF METHODOLOGY TO DEVELOP THE BCP LOGISTICAL MANUAL

The development of a BCP manual has 4 main steps:

1. Analysis:
    - Business Impact Analysis and Risk Assessment
    - Recovery Requirement and Solution Design
2. Implementation
3. Testing and organization validation
4. Maintenance

There are a number of other considerations that could be included:

- Risk Identification Matrix
- Roles and Responsibilities (ensuring names are left out but titles are included, e.g. HR Manager).
- Identification of top risks and mitigating strategies.
- Considerations for resource reallocation e.g. skills matrix for larger organizations.

OVERVIEW OF MAIN TYPES OF RISK ANALYSIS

- Business Impact Analysis is for identifying critical and essential departments/functions that are needed to restore the teaching function to SJSU.

- Risk (Vulnerabilities) Assessment is to identify the main vulnerabilities of each essential department; and to design mitigating solutions.

- Threat Analysis is for projecting disaster scenarios and identifying the corresponding vulnerabilities of each essential department/function; and to design mitigating solutions. In other words, Threat Analysis is basically risk assessment for specific scenarios.

SECTION2 : BCP ANALYSES

BUSINESS IMPACT ANALYSIS (BIA)

An impact analysis results in the differentiation between critical (urgent) and non-critical (non-urgent) organization functions/ activities. A function may be considered critical if the implications for stakeholders of damage to the organization resulting are regarded as unacceptable.

Perceptions of the acceptability of disruption may be modified by the cost of establishing and maintaining appropriate business or technical recovery solutions. A function may also be considered critical if dictated by law.

METHODOLOGY:

For the purpose of restoring the University to basic functionality, the following impacts are considered as top priorities:

A. Disruption of teaching
B. Disruption of research
C. Loss of faculty
D. Loss of staff
E. Loss of students
F. Well-being of faculty members or staff affected
G. Well-being of students affected
H. Payment deadlines unmet by campus
I. Loss of revenue to campus
J. Legal or regulatory obligations unmet by campus
K. Legal harm to the University
L. Loss of reputation
M. Impact on other campus unit(s)
N. Impact on important business partner(s) or academic collaborations
O. Data collected prior to the event is unrecoverable
P. Data available or collected after the event is unavailable
Q. Additional costs incurred to recover unprocessed data or transactions

In BCP Phase 1, this analysis is done for all campus departments by the Office of the VP of Administration. In Phase 2, the analysis is reviewed and strengthened by the BCSC. In Phase 3, it will incorporate feedback from the campus departments, and then it will be validated and approved by the BCSC.

The SJSU BCP Toolkit includes a section to guide campus managers to do BIA in detail.

RISK (VULNERABILITIES) ASSESSMENT - SCENARIOS OF THREAT

After the impact analysis is done, departments that are critical to business restoration are identified. The next step is to assess if these departments can be reliably restarted after a disaster.

METHODOLOGY:

Risk/Vulnerabilities Assessment involves identifying, analyzing, and weighing all the potential risk scenarios, i.e. threats and hazards to the University's internal and external environment. It discovers if a campus department or business unit is vulnerable to risk scenarios such as weather related events, HVAC failure, Internal/External Security vulnerabilities and local area hazards. It allows a manager to document what mitigating actions have been taken to manage these exposures.

By identifying the threats that currently are being mitigated verses threats that are not, a business unit can compile a list of recommendations for improvement. Such a list is the foundation of the Solution Design step.

The process of identifying risks/threats, probability of occurrence, the vulnerability to each risk/threat and the potential impact that could be caused, is necessary to prepare preventative measures and create recovery strategies.

Risk identification also provides a number of other advantages including:

- Exposes previously overlooked vulnerabilities that need to be addressed by plans and procedures
- Identifies where preventative measures are lacking or need reevaluated
- Can point out the importance of contingency planning to get staff and management on board
- Will assist in documenting interdependencies between departments and increase communication between internal groups. Can also point out single points of failures between critical departments

For the ease of this process, categories of risk have been created to focus the thought process. In the attached Risk Assessment Survey, the categories include, Natural Risks, Man-Made (Human) Risks, and Environmental Risks. These are certainly not requirements, and should not be considered to be constraining. If a risk is not listed, you may add it to your analysis.

Categorizing Risks / Threats

The nature of a risk/threat should be determined, regardless of the type. Factors to consider should include (but not limited to):

- Geographic Location
- Weather Patterns for the Area and Surrounding Areas
- Internal Hazards (HVAC, Facility Security, Access, etc)
- Proximity to Local Response/Support Units
- External Hazards (neighboring Highways, Plants, etc)

Potential exposures may be classified as:

- Facility Related: Bomb Threat, Chemical Spills, Civil Disturbance, Electrical Failure, Fire, HVAC Failure, Water Leaks, Work Stoppage / Strike
- Technology Related: Human Error, Loss of Telecommunications, Data Center Outage, Lost / Corrupted Data, Loss of Local Network Services, Power Failure, Prolonged Technology Outage, UPS / Generator Loss of service.
- Weather Related: Earthquake, Flood / Flash Flood, Hurricanes / Tropical Storms, Severe Thunderstorms, Tornado, Winter Storms

Listing of Threats

Part of the risk analysis process is to review the types of disruptive events that can affect the normal running of the organization.

There are many potential disruptive events and the impact and probability level must be assessed to give a sound basis for progress. To assist with this process the following list of potential events has been produced:

Environmental Disasters

- Tornado
- Hurricane
- Flood
- Drought
- Earthquake
- Electrical storms
- Fire
- Subsidence and Landslides
- Freezing Conditions
- Contamination and Environmental Hazards
- Epidemic

Organized and/or Deliberate Disruption

- Act of terrorism
- Act of Sabotage
- Act of war
- Theft
- Arson
- Labor Disputes / Industrial Action

Loss of Utilities and Services

- Electrical power failure
- Loss of gas supply
- Loss of water supply
- Petroleum and oil shortage
- Communications services breakdown
- Loss of drainage/waste removal

Equipment or System Failure

- Internal power failure
- Air conditioning failure
- Cooling plant failure
- Equipment failure (excluding IT hardware)
- IT system failure

Other Emergency Situations

- Workplace violence
- Neighborhood hazard

Although not a complete list, it does give a good idea of the wide variety of potential threats.

The SJSU BCP Toolkit includes a section to guide campus managers to do Risk/Vulnerabilities Assessment in detail.

ANALYSIS OF RECOVERY REQUIREMENTS AND SOLUTION DESIGN

After the completion of the risk assessment phase, the business and technical plan requirements are documented in order to commence the implementation phase.

Recovery requirements consist of the following information:

- The business requirements for recovery of the critical function, and/or
- The technical requirements for recovery of the critical function

For an office-based, IT intensive business, the plan requirements may cover the following elements which may be classed as ICE (In Case of Emergency) Data:

- The individuals involved in the recovery effort along with their contact and technical details
- The applications and application data required for the alternative location to resume critical business functions
- The manual workaround solutions
- The maximum outage allowed for the applications
- The peripheral requirements like printers, copier, fax machine, calculators, paper, pens etc.
- The numbers and types of desks, whether dedicated or shared, required outside of the primary business location in the alternative location

Other business environments, such as distribution, warehousing, etc. will need to cover these elements, but are likely to have additional issues to manage following a disruptive event.

METHODOLOGY:

Prediction of impact scenarios of specific threats

After defining potential threats, documenting the impact scenarios that form the basis of the business recovery plan is recommended. In general, planning for the most wide-reaching disaster or disturbance is preferable to planning for a smaller scale problem, as almost all smaller scale problems are partial elements of larger disasters.

A typical impact scenario like 'Building Loss' will most likely encompass all critical business functions, and the worst potential outcome from any potential threat. A business continuity plan may also document additional impact scenarios if an organization has more than one building.

Solution design in response to recovery requirements

The goal of the solution design phase is to identify the most cost effective disaster recovery solution that meets two main requirements from the impact analysis stage.

For IT applications, this is commonly expressed as:

1. The minimum application and application data requirements
2. The time frame in which the minimum application and application data must be available

Disaster recovery plans are also required outside of the IT applications domain. For example, information in hard copy format, identification of trained backup staff, etc.

This BCP phase mainly draws on the Disaster Recovery planning methodology, which is already fully covered by the SJSU Emergency Operations Plan. The Emergency Operations Plan includes:

- the crisis management command structure
- the location of a alternative work site (when necessary)
- telecommunication architecture between primary and alternative work site
- data replication methodology between primary and alternative work site
- the application and software required at the alternative work site, and
- the type of physical data requirements at the alternative work site.

The SJSU BCP Toolkit includes a section to guide campus managers to do Analysis of Recovery Requirements and Solution Design in detail.

SECTION 3 : IMPLEMENTATION OF BCP MANUAL

The implementation phase is the execution of the design elements identified in the solution design phase. "Work package" testing is the testing of individual functions. It may take place during the implementation of the solution. However, work package testing does not take the place of organizational testing.

METHODOLOGY:

There are 8 major steps associated with BCP implementation. Note that these planning/preparedness activities need to be completed ahead of time.

1. **Prepare the departmental BCP infrastructure resources.** This involves manpower, and the resources required in the BCP Solution Designs. It is important that the characteristics of the environment. i.e., the production infrastructure needs to be in place. This step is under the oversight of BCSC.
2. **Coordinate with the departments involved in implementation.** At a minimum, there needs to be clear communication between: the campus BC Coordinator, BCSC, and the essential campus department or business unit where BCP is going into deployment. The communication should include (1) start and end date of implementation, (2) status reporting requirement, (3) listing of objectives, (4) designation of implementer - usually the department manager/director or the BCSC representative of that division.
3. **Training on Implementation.** This training may be necessary, depending on the complexity of the tasks, the business functions, and the campus department. This type of training could be completed in advance, but the further out the training is held, the less information will be retained when implementation rolls around. Training that takes place close to the time of implementation should be made part of the actual implementation plan. The manager of the campus department or business unit is responsible for training his/her staff, and the campus BC Coordinator is responsible for providing support and answering how-to questions.
4. **Implementing the solution.** Make sure that all objectives identified in Step 2 above are implemented successfully.
5. **Status report.** As the implementation may span several months, status reports should be given to the Divisional BCSC representative, who will discuss it in the monthly BCSC meetings.
6. **Perform final verification of implementation.** All check list items should be checked. The Divisional BCSC representative confirms completion in the final report to BCSC for BCSC approval. Campus BC Coordinator will report to the President's Cabinet that implementation is done for that Division.
7. **Ongoing maintenance.** After completion of implementation, BCP maintenance will start. The campus BC Coordinator and the BCSC are responsible for planning and scheduling the new BC maintenance cycle.
8. **Ongoing monitoring.** The campus BC Coordinator is responsible for monitoring campus-wide BCP compliance and reporting back to the President's cabinet.

SECTION 4: TESTING AND VALIDATION OF BCP MANUAL

The purpose of testing is to achieve organizational acceptance that the business continuity solution satisfies the organization's recovery requirements. Plans may fail to meet expectations due to insufficient or inaccurate recovery requirements, solution design flaws, or solution implementation errors.

Testing may include:

- Crisis command team call-out testing
- Application test
- Business process test
- Technical swing test from primary to alternative work locations
- Technical swing test from alternative to primary work locations

At minimum, testing is generally conducted on an annual schedule. Problems identified in the initial testing phase may be rolled up into the maintenance phase and retested during the next test cycle.

METHODOLOGY:

Testing is to make sure that the business continuity plans deal effectively with potential disruptions or disasters. It is to ascertain that all the essential business elements of SJSU can be restored using the business continuity plans, and that they will stand up to an audit. A comprehensive, multi-dimensional and ongoing BCP testing program is the only way to achieve such assurance.

Business Continuity Plans can be progressively tested to confirm that maximum benefit is derived. The Methodology consists of the following phases:

Plan Audit

The campus BCP Coordinator and the BCSC will comment on the overall effectiveness of the plans and may suggest that adjustment are made to the plans before any further test phases are commenced.

Passive Walk Through

This Phase will increase the awareness for all participants concerning their roles. Test Modules with checklists will be used to ensure a constant and structured approach.

Scenario Workshop

A Test Scenario will be compiled based upon realistic circumstances to SJSU and potential threats. The participants will be asked to invoke the plans and to perform their individual roles in order to recover from the scenario.

Physical Test

As a result of the Scenario Workshop, the Physical Test will involve the actual attendees at the recovery site, and that the Recovery Requirements are met according to the Solution Designs.

Live Simulation Test
As a result of the preceding phases, a live Simulation Test is the ultimate proof of the effectiveness of the plans. The Live Simulation Test will only be attempted when a high degree of confidence has been generated by the successful completion of the previous phases. To minimize disruption to campus business, the Live Test will be rotated through essential campus departments, instead of deploying all at once.

For each essential campus department, a Recovery Test Status Report will be produced at the end of each phase of the test with recommendations for improvement in the short, medium and long term provided with an ongoing maintenance program. All departmental reports will be reviewed and signed-off by the campus BC Coordinator and the BCSC, with recommendation of remedial actions.

THE TESTING PROGRAMS ARE DESIGNED TO:

- Make the test experience measurable against BCP objectives
- Validate SJSU's recovery objectives
- Design a long range testing program with clear, usable management metrics
- Prepare meaningful test scenarios, learning objectives, and success criteria
- Manage the staging and execution of scheduled tests
- Use command center tools to capture auditable team actions, communication details, improvements and lessons learned during the test
- Develop pre- and post-test action plans to fill the gaps, prioritize organizational issues and plan improvements to business continuity program.
- Recommend training and awareness curricula for test participants
- Review/Analyze the integration of plan maintenance and testing
- Develop training programs for future BCP test managers.

TREATMENT OF TEST FAILURES

Issues found during the testing phase often must be reintroduced to the analysis phase. Remedial actions must be reported back to BCSC to review and approve.

FREQUENCY OF TESTING

Each essential unit will control their own BCP testing, under the oversight of the divisional VP and the divisional BCP representative. The selection of which tests to run, and the time frame in which to run it, will be recommended by BCSC and finalized by the Division's senior management. The campus will follow the industry standard of requiring each essential unit to have one complete BCP testing at least once every 7-years.

SECTION 5: ON-GOING MAINTENANCE TESTING AND NEW BCP CYCLES

A BCP is a dynamic document that will need to be reviewed and maintained on a periodic, scheduled basis. The adequacy of even the most well developed BCP remains unknown until it is tested. In many cases this only occurs when it is needed, at which time it may not have the desired outcomes and/or be out of date. The maintenance of a BCP is based on the key concepts of understanding, resourcing and assurance.

- Understanding - staff need to understand and implement business continuity policies and procedures.
- Resourcing - resources to perform critical business functions need to be adequate, or access is available to alternate adequate resources.
- Assurance - the performance of a BCP needs to be verified through regular monitoring, review, and testing.

A very effective way of maintaining a BCP is through testing scenarios with outcomes for improvement being incorporated into the BCP. Testing different scenarios is an effective method of training. It increases staff awareness of the BCP, can help identify gaps between the BCP and staff's interpretation of the BCP, and can improve staff confidence in implementing the BCP.

Testing different scenarios will also highlight resource and logistical gaps (for example, how to relocate essential staff). The overall adequacy of the BCP during the testing scenario may also be a good indicator of the adequacy of the testing cycle.

COMPONENTS OF A MAINTENANCE CYCLE

Maintenance of a BCP manual is broken down into three periodic activities.

1. The first activity is the confirmation of information in the Manual, roll out to ALL staff for awareness and specific training for individuals whose roles are identified as critical in response and recovery.
2. The second activity is the testing and verification of technical solutions established for recovery operations.
3. The third activity is the testing and verification of documented organization recovery procedures. An annual maintenance cycle is typical.

METHODOLOGY OF BCP REVISIONS, OVERSIGHT AND REMEDIAL ACTIONS

Review of the plan and plan components are conducted annually. In addition the SJSU Business Continuity Plan is re-evaluated when any of the following occur:

- Regulatory changes
- Resources or organizational structures change
- Funding or budget level changes
- When changes to the threat environment occur
- When substantive changes to the organization's IT infrastructure take place
- After an exercise, to incorporate findings.

1. Change Management

The responsible party for changes after the finalization of the current document is the Document Owner. Proposals for improvement of the management procedure are addressed to the document owner, who evaluates all the submitted proposals. Changes should be reported to the BCSC, and tracked by the campus BC Coordinator.

2. Business Continuity Preparedness

Refresher training is provided via instructional materials online. New staff who will have plan responsibilities will receive training shortly after they are hired. Campus personnel of essential departments and business units are trained to the point that they are comfortable to execute their respective business continuity responsibilities. It is the responsibility of the unit manager to make sure that designated personnel are properly trained on BCP. The Divisional BCSC Representative has oversight responsibility over their Division.

Training encompasses:

- Purpose of the Business Continuity Plan
- Business Continuity team co-ordination and communication
- Reporting procedures
- Security arrangements
- Team specific processes
- Individual responsibilities

3. BCP Validation

Validation of the ability to recover critical business functions as intended is an essential component of effective business continuity maintenance management. Such validation is conducted periodically, with the scope and frequency determined by the criticality of the business functions, under oversight of BCSC. In addition, such testing identifies the need to modify the SJSU Business Continuity Plan and other aspects of business continuity management in response to changes in business functions, responsibilities, systems, software, hardware, personnel, facilities or the external environment. The following items are incorporated when planning a validation:

Goal. The essential function of the BCP to be tested.

Objectives. The anticipated results. Objectives should be specific, measurable, achievable, realistic and timely.

Scope. Identifies the departments or organizations involved, the critical business function, the geographical area, the test conditions and presentation.

Artificial aspects and assumptions. Defines which exercise aspects are artificial or assumed, such as background information, procedures to be followed, and equipment availability.

Participant Instructions. Explains that the exercise provides an opportunity to test the BCP before an actual disaster.

Exercise Narrative. Gives participants the necessary background information, sets the environment and prepares participants for action. It is important to include factors such as time, location, method of discovery and sequence of events, whether events are finished or still in progress, initial damage reports and any external conditions.

Testing and Post-Exercise Evaluation. The exercise is monitored impartially to determine whether objectives were achieved. Participants' performance, including attitude, decisiveness, command, coordination, communication, and control are assessed. Debriefing is short, yet comprehensive; explaining what did and did not work, emphasizing successes and opportunities for improvement. Participant feedback will also be incorporated in the exercise evaluation. The campus Business Continuity Coordinator is responsible for records keeping for the exercise.

INFORMATION UPDATE AND TESTING

All organizations change over time, therefore a BCP manual must change to stay relevant to the organization. Once data accuracy is verified, normally a call tree test is conducted to evaluate the notification plan's efficiency as well as the accuracy of the contact data. Some types of changes that should be identified and updated in the manual include:

- Staffing changes
- Departmental changes like new, closed or fundamentally changed departments.
- Changes in organization's structure or mission statement
- Changes to important clients, emergency personnel and their contact details
- Changes to important vendors/suppliers and their contact details

TESTING AND VALIDATION OF TECHNICAL SOLUTIONS

As a part of ongoing maintenance, any specialized technical deployments must be checked for functionality. Some checks include:

- Virus definition distribution (IT)
- Application security and service patch distribution (IT)
- Hardware operability check
- Application operability check
- Data verification

TESTING AND VERIFICATION OF ORGANIZATION RECOVERY PROCEDURES

As work processes change over time, the previously documented organizational recovery procedures may no longer be suitable. Some checks include:

- Are all work processes for critical functions documented?
- Have the systems used in the execution of critical functions changed?
- Are the documented work checklists meaningful and accurate for staff?
- Do the documented work process recovery tasks and supporting disaster recovery infrastructure allow staff to recover within the predetermined recovery time objectives.

RECORDS RETENTION POLICY

The BCP Team is committed to effective records management to meet legal standards, ensure privacy, optimize the use of space, destroy outdated records in an appropriate manner, and comply with CSU policy and all applicable laws and regulations. The Records Retention Schedule provides for orderly and proper retention and destruction of all official records. Retention periods may increase by government regulation, judicial or administrative order, private or governmental contract, pending litigation or audit requirements.

Confidentiality Requirement:

Records containing confidential and personal data will be accessed only by authorized persons, maintained in secured and/or locked locations, and destroyed by appropriate methods.

Specific Responsibilities:

The University Business Continuity Coordinator is responsible for

- Implementing the records management practices consistent with this policy;
- Ensuring that access to confidential records and information is restricted;
- Ensuring destruction of inactive records that have no value upon passage of the applicable retention period;
- Ensuring that records are destroyed in a manner that is appropriate for the type of records and information involved.
- Computer records should be retained according to the retention periods as scheduled.

Disposal and Destruction of Records:

Upon determination that it is appropriate to dispose of certain records, they should be destroyed in one of the following ways:

- Recycle non-confidential paper records;
- Shred or otherwise render unreadable confidential paper records; or
- Erase or destroy electronically stored data.

Retention Period:

BCP records shall be retained for a period of 4 years, according to the CSU Guidelines for Records Retention. However, this rule shall not apply to old versions of documents that have been revised - for these documents, only the current version shall be retained.

SECTION 6: TRAINING

METHODOLOGY:

On-going training and education is imperative for those individuals in an organization, who will be involved not only in the development and implementation of the business continuity plan, but also in exercising, evaluating, maintaining, and executing the plan.

Business continuity teams need training at four distinct phases of the business continuity plan development process, namely: pre-planning, planning, post-plan development, and pre-exercise phases. These training requirements may need to be met on an on-going basis, rather than a one-time effort.

A Framework for Training Business Continuity Teams

The business continuity teams are developed based on the critical business functions identified during the business impact analysis. These teams include those which are held responsible for the continuity of critical business functions as well as recovery and resumption of critical support functions and vital records. These individuals will receive BCP training after their formal assignment as responsible for BCP of their campus department or business function.

The second concept to be clarified relates to the team membership. The team members typically develop, implement, exercise, evaluate, and maintain the plan, and execute it if necessary. However, it also may be deemed necessary to include other employees of an organization as either additional team personnel based on plans and procedures, or as alternates in case primary team members are unavailable for business continuity plan execution.

1. Pre-Planning Training and Awareness

Training for selected and potential BCP team members will begin at the start of Phase 2 of the SJSU BCP Inception Cycle, in the 4th Quarter of 2010. Where possible, our preferred method is to hire a training vendor to come and do in-classroom training on campus. Alternately, there may be online training that can be purchased and deployed over the campus network. The BCP Coordinator is currently reviewing various professional training vendors.

The training elements will include: a general overview of BCP and how it relates and augments university policies and procedures; objectives and assumptions in BCP; an overview of liabilities and regulations pertinent to the organization; business guidelines and an understanding of the core business processes; and a conceptual understanding of critical business functions, support technologies, and vital record requirements. These elements are essential foundations upon which all BCP teams may begin to build business continuity plans.

2. Planning Methodology Training

Upon completion of the pre-planning awareness training and gaining commitment from the selected and potential BCP team members, the training will focus on specific procedural aspects of developing and implementing the BCP. At this stage, the BCP team members should be trained, first and foremost, in the area of project management, which is essential for successful BCP development. This phase of training should then proceed to BCP development methodology

selected for the organization, a review of documentation standards, and necessary training in software, if selected for developing the BCP. The benefits from planning methodology training include:

- Adaptation of appropriate project management methodologies and tools, if any.
- Clear understanding of BCP terminology throughout the organization.
- Utilization of an accepted methodology throughout the organization.
- Enforcement of documentation standards throughout the organization, and
- Software training, if necessary.

This training will be delivered by the SJSU BC Coordinator, in classroom format and one-on-one, as well as online instructions. It will be mainly about how to use the BCP standard forms and templates to do departmental BIA, Risk/Vulnerabilities Assessment, Recovery Requirement, and Solution Design.

3. Plan Role and Responsibility Training

At this phase of training, the premise is that the BCP has been developed and implemented. This means that the necessary teams have been established and team members have been identified, with approvals from senior and functional area management. The teams typically include BCP teams for business functions, and BCP teams for support functions (such as facility team, data center team, telecommunications team, etc.). Alternate BCP team members and support personnel are also identified at this stage.

All of these individuals will be trained with regard to the provisions of deployment in the BCP. Although we recognize that these team members have developed and implemented the plan, training is essential in order to gain an understanding of the plan from several perspectives. These include:

- The team members specific role and responsibilities in the execution of the plan;
- Interdependencies of individual units plans;
- On-going evaluation and maintenance of units BCP; and
- A thorough understanding of the team checklists of procedures, including notification procedures.

The elements of this phase of training for the various BCP teams include: role of team leaders and team members, including alternates, business continuity plan provisions (who, what, when, where, and how), notification procedures, BCP event logging procedures, on-going BCP evaluation and maintenance procedures, and post-execution review procedures.

This training will be delivered by the SJSU BC Coordinator, in classroom format and one-on-one, as well as online instructions.

4. Training on Testing, Validation, and Remedial Actions

At this stage of training, all phases of BCP have been completed and BCP team members are well trained in their roles and responsibilities in the plan. The organization must recognize, however,

that exercising the plan is essential for verification and validation of the strategies and procedures in the BCP.

While exercising the plan, in its own merit, provides unique and valuable training for the BCP team members, training must be provided with regard to the "why" and "how" of exercising the plan. After all, most BCP team members may never have gone through an exercise of this type.

Furthermore, the value of such exercises, with little or no direct productivity gains, must be demonstrated through formal and relevant education, in order to gain support from team members as well as management.

The elements of pre-exercise training include: testing methodology and scheduling, developing objectives of exercises and scenarios, plan modification and update procedures subsequent to and based on the results of the exercises, and auditing and evaluating the business continuity plan.

This training will be delivered by the SJSU BC Coordinator, in classroom format and one-on-one, as well as online instructions.

SJSU Business Continuity Planning Project Timeline

		# Months to do this	Finish by
BCP Inception Cycle			
	To create framework for BCP		
	Scope of BCP: what will be covered, and what not		done
	Threat Analysis		done
	Master Plan of BCP		done
	Methodology to assemble the final BCP Logistical Manual		done
	Methodology to analyze risks		done
	Definition of Concept of Operations		done
	Definition of Business Impact Analysis		done
	Definition of Resiliency Assessment		done
	(aka Vulnerabilities Assessment)		done
	Definition of BCP Solution Design		done
	Definition of BCP Training		done
	Definition of BCP Implementation		done
	Definition of BCP Testing		done
	Definition of on-going BCP Maintenance and Updating		done
	Protocol and channels for BCP Communication and Management		done
	To create the tool set for BCP		done
	Instructions and templates for BIA, Resiliency Assessment, Solution Design		done
	Research of BCP online training solutions		done
	Tools for communication and collaboration		done
	SJSU BCP Web site		done
	To create the Steering Committee for BCP (BCSC)		done
	Committee Charter		done
	Monthly meetings schedule		done
	Identification of line managers responsible for essential functions of the Essential Units		done
	Drill down to the level of full details of BCP for each Essential Unit		done
	Identify Essential Units and their essential functions and services		done
	Divisional Impact Analyses		done
	To compile campus Business Impact Analysis		done
	BCSC to finalize the campus BIA		done
	Resiliency Assessment for each essential function of the Essential Units		done
	To compile campus Resiliency Assessment		done
	BCSC to finalize the campus Resiliency Assessment		done
(new)	~~Solution Design for each essential function of the Essential Units~~		
	~~To compile campus BCP Solution Design~~		~~5/1/12~~
	~~BCSC to finalize the campus BCP Solution Design~~		~~6/1/12~~
	Finalize campus-wide BCP Logistical Manual		8/1/12
(new)	Self-service BCP website		8/1/12
	Website to include:		
	all relevant SJSU BCP information, to serve as reference sources		
	the BCP logistical manual, first version		
	self-service tools for Essential Units to do ongoing updating		
	a log of the work by BCSC		
	~~Report to President's Cabinet~~ (Shawn said no need.)		8/1/12
Deployment, First Cycle			
	Campus BCP Training (parallel with Deployment of solutions)		2/15/13
	For all designated BCP managers, and key stakeholders		
	Campus BCP Deployment of strengthened recovery solutions (from Solutions Design)		4/15/13
	Campus BCP Testing		6/15/13
	Campus BCP Review		9/15/13
	Lesson learned, areas for improvement . . .		
	Report to President's Cabinet		
BCP subsequent cycles			begins 10/1/2013
	Revise and update Logistical Manual of BCP based on Test results		
	Strengthen Recovery solutions		
	Expand Threat Analyses		
	Add specific disaster scenarios . . .		
	Campus BCP Training		
	Maintenance training, for all designated BCP managers, and key stakeholders		
	Campus BCP Deployment		
	Campus BCP Testing		
	Campus BCP Review		
	Lesson learned, areas for improvement . . .		
	Report to President's Cabinet		ends 12/31/2014

goes to Archive and re-use tasks list for a current wiki website

BCSC wiki links from Intro

2

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 3 : METHODOLOGY

Chapter 3 : Sample BCP templates

Business Continuity Planning Toolkit

(For Deployment of BCP to Campus Departments in Phase 2)

the crisis

the mission

August 2010

CONTENTS:

SAN JOSÉ STATE
UNIVERSITY

Business Continuity Planning (BCP) Toolkit

BACKGROUND:

Business Continuity Planning (BCP) is necessary to ensure that the campus is able to restart essential business operations after a major disruption occurs. Mission-critical (essential) functions are those functions, stated or implied, that are required to be performed by statute or Executive Order, or other functions deemed critical to carrying out the operations of the university. Business Continuity Planning requires both a university Business Continuity Plan and departmental Business Continuity Plans to ensure loss to the university is minimized, constituents continue to be served, and administrative operations are resumed safely and effectively.

A Business Continuity Plan must be maintained at a high level of preparedness and be ready to be implemented without significant prior warning. It should be implemented fully no later than 12 hours after activation and provide guidance to sustain operations for up to 30 days. Business Continuity Plans are based on the university's essential functions. It serves as an operational guide to facilitate the: relocation of university staff to an Emergency Relocation Site (ERS) if appropriate; and backup of critical systems and vital records so that essential functions may continue or be restarted. The university Business Continuity Plan describes the processes and procedures needed to support continuation of essential functions identified in the University Business Impact Analysis Matrix.

ASSUMPTIONS:

Two scenarios will be considered:

1. The disaster is significant enough that the campus facilities are not accessible. If this is the case, an Emergency Group will relocate to an ERS (to be determined, e.g., CSU East Bay's EOC/San Francisco State's EOC).

2. If the disaster does not warrant relocation to the ERS, at a minimum, the following have been restored to campus:
    a. Police, Fire and Ambulance services
    b. Electricity, water, reasonable climate control and adequate lighting
    c. Access to and egress from campus, classrooms, and administrative facilities
    d. Safe handling and proper disposal of toxic substances, biologically hazardous materials, and radioactive materials

BUSINESS IMPACT ANALYSIS

Instructions for Business Impact Analysis:

1. Review your department organization chart.
2. List all functions performed by your organization.
3. Determine if each function is "mission-critical/essential".
    a. If yes, add it to the list of mission-critical/essential functions in the University Business Impact Analysis Matrix (if it is not already on the list provided by the BCSC member).
    b. If no, delete it from the list in the University Business Impact Analysis Matrix (if it was on the list provided by the BCSC member).
4. For each essential function, assess the following:
    a. The business impact (to the University) if the function is not performed. Insert a letter in the Business Impact column that corresponds to the Business Impact Key.
    b. Determine the maximum allowable downtime for this function and insert the number of hours in the appropriate column.
    c. Determine the time to restore the function and insert the code that corresponds to the number of hours in the appropriate column .
    d. Determine the priority in restoration and insert the code that corresponds to the priority in the appropriate column.
    e. Identify the Lead Contact person (director/manager) for each essential function. The Process Owner is the AVP/Dean that oversees this function AND is a direct report to a Vice President.

Business Impact Analysis Matrix

Mission-Critical/ Essential Functions	Business Impact*	Maximum Allowable Downtime	Time to Restore CODES: 1=0-4hrs 2=4-8hrs 3=8-12hrs 4=12hrs+	Priority in Restoration CODES: 1 2 3	Contacts	
					Lead Contact	Process Owner(s)

Business Impact Key:

A – Disruption of teaching?
B – Disruption of research?
C – Loss of faculty?
D – Loss of staff?
E – Loss of students?
F – Well-being of faculty/staff affected?
G – Well-being of students affected?
H – Payment deadlines unmet by campus?
I – Loss of revenue to campus?
J – Legal/regulatory obligations unmet by campus?
K – Legal harm to the University?
L – Loss of reputation?
M – Impact on other campus unit(s)?
N – Impact on important business partner(s) or academic collaborations?
O – Data collected prior to the event is unrecoverable?
P – Data available or collected after the event is unavailable?
Q – Additional costs incurred to recover unprocessed data or transactions?

RISK (VULNERABILITIES) ASSESSMENT

Vulnerabilities Assessment

Mission-Critical/ Essential Functions	**People** (Trained Back-up Personnel?)	**Systems**		**Locations** Alternative locations set up?
		Backed-up at alternative location?	Can be performed manually?	

Instructions for Vulnerabilities Assessment:

1. Assess the vulnerabilities for each essential function in terms of people, systems and locations.
    a. Do key positions have trained backup personnel? If yes, identify.
    b. Are critical systems backed up at an alternative location?
    c. Can the function be performed manually?
    d. Do you know where to go/who to contact if your location is not accessible?
2. If the answer to any question is "NO", a backup/recovery solution must be designed.

BACKUP & RECOVERY SOLUTION

1. ***Mission Critical Systems*** – complete the following table for each mission-critical system that supports an essential function.

System Name	Backup Plan	Recovery @ Current Location	Recovery @ Other Location(s)

2. ***Vital Files, Records and Databases*** – complete for vital information that relates to each essential function.

Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Backed up at Third Location

3. ***Forms*** – complete all forms listed below and contained on subsequent pages.
   - *Business Information and Documents Form*
   - *Function Tasks Form*
   - *Function Call Tree Form*
   - *Internal Departmental Dependencies Form*
   - *External Dependencies Form*
   - *External Contacts Form*
   - *Customer Contact Form*
   - *Response/Recovery Team Personnel Form*
   - *Business Equipment and Supplies Form*
   - *Information Technology Applications Form*
   - *Information Technology Server/Hardware Form*
   - *Information Technology Telecommunications Form*
   - *Alternate Sites Form*

FORMS

Business Information and Documents Form

Complete a form for each document, data set, hard copy file, manual, and other information you need to recover or perform your functions.

Function Name:	
Information Name:	
Information Description:	
Function Name or Support Function:	
Media Type:	

Choice: Paper File, Computer Report, Data Backup, Manual, Fiche, Form, Currency, Stamps, Other

Information Type Sensitivity:	

Choice: Public, Sensitive, or Confidential also include applicable Arizona Revised Statute

Original Source :		**Alternative Source :**	
Backed Up:		**Archived:**	

Choice: Yes or No Choice: Yes or No

Back Up Location:			
Last Update:		**Next Update:**	

Function Tasks Form

Please indicate all the steps necessary for restoration for each critical/essential function.

Function Name:	

Task Order	**Task Description**	**Estimated Duration**	**Person Responsible**
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

Function Call Tree Form

Complete the form for each function.

Function Name:		
Initiator:		
Initiator Calls:	**Who Calls:**	**Who Calls:**

Internal Departmental Dependencies Form

Identify internal Department/College dependencies in which this function is dependent and briefly describe the dependency. Also, identify contact name and number for that other Division or Sub-organization.

Function Name:	

Division/Sub-organization	**Dependency**	**Contact Name**	**Contact Number**

External Dependencies Form

Identify outside agencies or organization in which this function is dependent and briefly describe the dependency.

Function Name:	

Agency/ Organization	**Dependency**	**Contact Name**	**Contact Number**

External Contacts Form

Complete a form for each vendor, business partner or other external contact that you must contact (either to notify them or to request assistance) in case of a prolonged outage of the indicated function.

Function Name:	

General

Business Name:					
Address:					
City:		**State:**		**ZIP:**	
Phone:			**FAX:**		

Primary Contact

First Name:			**Last Name:**		
Title:					
Home Address:					
City:		**State:**		**ZIP:**	
Home E-mail:			**Work E-mail:**		
Home Phone:			**Work Phone:**		
Cell Phone :			**Pager :**		

Service Information:

Purchase Order #:			
Product/ Service:			
Emergency Lead Time:		**Normal Lead Time:**	
Disaster Recovery Agreements:			
Alternative Vendor :			
Notes :			

Customer Contact Form

Complete a form for each customer of the indicated function that you must contact in case of a prolonged outage.

Function Name:	

General

Customer Name:					
Address:					
City:		**State:**		**ZIP:**	
Phone:			**FAX:**		

Primary Contact

First Name:		**Last Name:**	
Title:			
Home Address:			
City:	**State:**		**ZIP:**
Home E-mail:		**Work E-mail:**	
Home Phone:		**Work Phone:**	
Cell Phone :		**Pager :**	

Services Provided to Customer:

SLA/IGA or Agreement #:			
Product/ Service:			
Emergency Lead Time:		**Normal Lead Time:**	
Disaster Recovery Agreements:			
Notes:			

Response/Recovery Team Personnel Form

Complete a form for each person on the team.

Function Name:	
Team Name:	
Team Member Position:	

Choice: Leader, Alternative Leader, and Member

Employee ID:					
First Name:		**Last Name:**			
Title:					
Home Address:					
City:		**State:**		**ZIP:**	
Home E-mail:		**Work E-mail:**			
Home Phone:		**Work Phone:**			
Cell Phone :		**Pager :**			
Restoration Site Access:		**Backup Site Access:**			

Choices: Yes or No Choices: Yes or No

Off-site Storage Access:		**Command Center Access:**	

Choices: Yes or No Choices: Yes or No

Business Equipment and Supplies Form

List all equipment and supplies (to include but not limited to: transportation vehicles, fax, copiers, general furniture, special business forms, paper, etc.) that is needed to perform the functions.

Function Name:	

Quantity	**Manufacturer**	**Description**	**Cost**	***Phase**

Information Technology Applications Form

Complete the form for each computer application, other than office productivity tools residing on PCs, necessary to restore the function.

Function Name:			
Computer Application Name:			
Team Name:			
***Application Listed in ISIS:**			
Server/ Hardware ID:			
System ID:			
Run Frequency:			
File Structure :			
Executable Location :			
Source Code Location :			
System Documentation:		**Name:**	
User Documentation :		**Name :**	
Operations Documentation:		**Name:**	
Restoration Documentation :		**Name :**	

Information Technology Server/Hardware Form

For each function, please complete the following information about each server or other piece of centralized hardware necessary to restore the necessary computer applications.

Function Name:			
Computer Application Name:			
Server/ Hardware ID:			
Type:		**Manufacturer:**	
Model:			
Memory Size:		**Hard Disk Size:**	
Processor:		**IP Address:**	
Network Operating System:			

RTO:	

Information Technology Telecommunications Form

For each function, please complete the following information about the telecommunications needs for each application that supports a business service/process. This is to include, but not limited—to number of telephone lines, call center integrated applications, data lines, and or special high speed dedicated lines with external customers.

Function Name:	
Computer Application Name:	
Server/ Hardware ID:	
Telecommunication Type:	

Describe in sufficient detail the type, quantity and if known or applicable who is at the distant end that this special high-speed dedicated line connects.

RTO:	

Alternate Sites Form

Complete this form for each alternative site that is in your business continuity plan including sites used for Command Centers, Backup Sites, Off-Storage Sites, Restoration Sites, etc.

Site Type:	

Choices: Command Center, Backup Site, Off-Site Storage, Restoration Site, etc.

Description:					
Location Type:		**Square Footage:**		**Contact Number:**	

Choices: Primary or Secondary

Address:					
City:		**State:**		**ZIP:**	
Telephone:			**Fax:**		
Directions:					

THREAT ASSESSMENT

A threat assessment involves determining potential hazards/threats that could affect the university, assessing their likelihood of occurrence and analyzing vulnerability. From a university perspective, time and resources are spent planning for disasters that are judged to have a high likelihood of occurrence and a high level of severity. Operating units/departments use this assessment as a guide in developing their specific risk assessments. The likelihood of occurrence and consequences may differ when viewed from an operating unit/department. For example, a major fire affecting the entire university is unlikely, whereas a fire affecting a specific warehouse that lacks robust fire prevention measures may be judged as likely. BCP addresses each hazard.

SJSU is vulnerable to a range of threats given the university's varying topography, mixed use of space, large student/faculty/staff population, and the transient nature of the population. A hazard matrix from the university perspective (shown below) depicts the likelihood of occurrence and severity level of each of the hazards listed.

University Perspective – Vulnerabilities Assessment

Hazard	Likelihood of Occurrence		Severity		
	Likely	**Unlikely**	**High**	**Moderate**	**Low**
Natural Hazards					
Earthquake	√		√		
Extreme Weather/Storm	√				√
Floods		√			√
Major Wild Fire & Smoke		√			√
Technological/Man-made Hazards					
Building Fire	√		√		
Building Utility Failure	√				√
Civil Disturbance (protest demonstration)	√				√
Hazardous Materials		√		√	
Multi-Casualty Accident (airplane)		√	√		
Sink Hole		√			√
Terrorism		√	√		
Utility/Telecom Failure (downed lines)		√			√

A similar vulnerabilities assessment needs to be conducted at a departmental level.

Departmental Perspective – Vulnerabilities Assessment

Hazard	Likelihood of Occurrence		Severity		
	Likely	**Unlikely**	**High**	**Moderate**	**Low**
Natural Hazards					
Earthquake					
Extreme Weather/Storm					
Floods					
Major Wild Fire & Smoke					
Other (specify)					
Technological/Man-made Hazards					
Building Fire					
Building Utility Failure					
Civil Disturbance (protest demonstration)					
Hazardous Materials					
Multi-Casualty Accident (airplane)					
Sink Hole					
Terrorism					
Utility/Telecom Failure (downed lines)					
Other (specify)					

CONCEPT OF OPERATIONS

Business Continuity Planning (BCP) is a program that assesses the existing operations, risks, and relationships of the University for development of organizational preparedness. BCP develops an integrated approach to ensuring that critical processes continue to function during and after a disaster or incident that interrupts the operation of the organization. The BCP command structure is designed to benefit the operational environment with coordinated emergency management (EM), IT disaster recovery and continuity of operations planning functions. Roles have been assigned as they pertain to executive management and decision makers.

Emergency Management

SJSU's Emergency Operations Plan (EOP) establishes policies, procedures and an organizational structure for response to major emergencies occurring on campus. The Plan incorporates operating procedures from the Incident Command System (ICS), the Standardized Emergency Management System (SEMS) and the National Incident Management System (NIMS) for handling major emergencies which could disrupt normal campus operations The EOP is a campus-level plan that guides the emergency response of appropriate SJSU personnel and resources during an emergency.

Priority I: Preservation of Human Life
Priority II: Preservation of Order
Priority III: Mitigation of Immediate Threats to Life
Priority IV: Preservation of Property
Priority V: Restoration of Essential University Services and Operations

As the EM operations progress from Priority I through Priority V responses, the administrative control of the campus will transition from the NIMS/SEMS/ISC structure back to the SJSU organizational structure. When required, the Emergency Operations Center (EOC) may be activated to support the ongoing response. The EOC serves as the centralized facility in which the predetermined Emergency Operations Staff will gather, check in and assume their emergency response roles.

The EOC is organized in accordance with NIMS/SEMS guidelines. The five Sections within the EOC are:

1. *Management Section:* The Emergency Director is responsible for overall implementation of the resources needed to respond to mitigate and terminate an emergency situation.
2. *Operations Section:* Represents the campus emergency services units – the actual on-scene emergency responders. They are responsible for the implementation of field operations and management of personnel assigned to response roles.
3. *Planning & Intelligence Section:* Responsible for receiving, evaluating and analyzing an emergency related information and providing updated status reports to the EOC Management and Operations Sections.

4. *Logistics Section:* Responsible for procuring supplies, personnel and materials support necessary to conduct the emergency response.
5. *Financial & Administration Section:* Responsible for cost accountability and risk assessment.

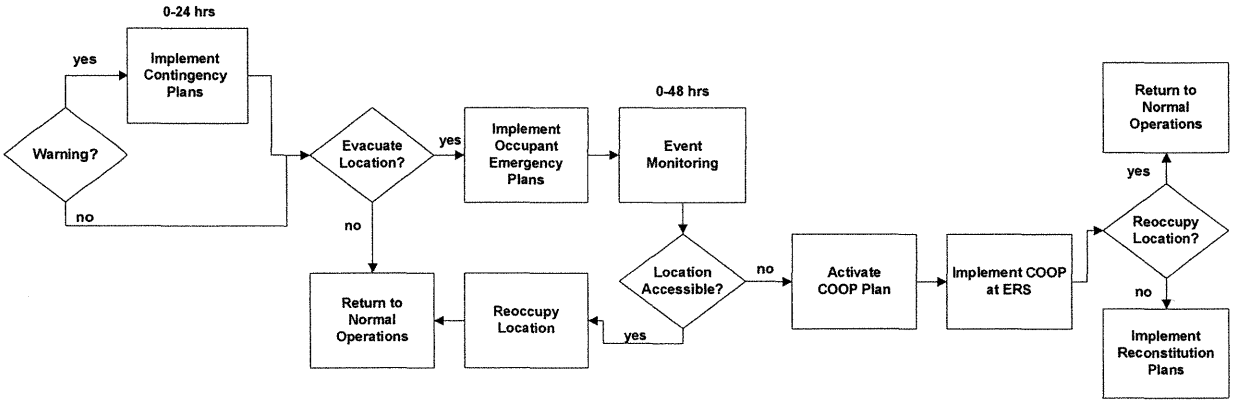
For a more detailed description of the EOC, see the SJSU Emergency Operations Plan.

Emergency operations have established methodologies for emergency response. These include roles and activities that define initial emergency response (activation phase), resolution of the emergency situation (termination phase) and return to normal operations (recovery phase). The EOC Emergency Director will have authority of control for the BCP activation and operation phases for all operations of the organization. Upon the Emergency Director's declaration of BCP activation, the BCP Coordinator coordinates BCP operations with the EOC Section Chiefs and the Emergency Management Recovery Team (Recovery Manager and Recovery Coordinators).

BCP Conditions of Activation

The Emergency Director declares BCP activation to initiate resumption and recovery services and communication. BCP activation puts into action plans to sustain critical processes and services. Mission recovery includes the recovery of facilities, infrastructure and services required for the return to normal operations.

Orderly alert and notification depends upon the amount of warning received, whether employees are on duty at university locations and the extent of risk for university employees or locations. Any disaster that adversely affects the university's ability to perform essential functions requires activation of the BCP.



University employees will be contacted with alert and notification information using variety of communication resources/contact lists (e.g., Alert-SJSU, Emergency Personnel Roster; Response/Recovery Team Personnel form, etc.).

In the event of a vacancy in the position of President, succession lines have been established. Presidential Directive # 2009-03 serves as the official delegation of both authority and responsibility to the following administrators to make decisions on behalf of the President in a disaster or an emergency in which the President is absent or disabled. The "Chain of Command" is as follows:

1. President
2. Provost and Vice President for Academic Affairs
3. Vice President for Administration and Finance/CFO
4. Vice President for Student Affairs
5. Vice President for University Advancement
6. President's Chief of Staff

The following should be added to the "Chain of Command" for major disaster or emergency situations:

7. Vice Provost for Academic Planning and Budgets
8. Chief of Police
9. Vice President for Information Technology and Chief Information Officer

BCP Conditions of Operation

BCP operations initiate upon BCP activation as contingency plans and recovery operations begin. Contingency operations run in conjunction with emergency management recovery operations through to completion of the BCP operations phase. Mission recovery includes the recovery of facilities, infrastructure and services required for the return to normal operations.

BCP Conditions of Termination

BCP operations can be terminated when facilities, infrastructure and services are sustainable and reliable. The Emergency Director declares that normal operations may resume upon consensus from the BCP Coordinator, Section Chiefs, Recovery Manager and Recovery Coordinators.

BCP Critical Issues

BCP operations are dependent on planning, communication, coordination and security. Critical issues include: personnel safety, environmental safety, physical security, cyber security, identification of critical personnel, identification of critical assets, identification of critical processes, identification of vital records, established command structure, managed command communications, managed public information and safety communications, managed emergency management and BCP internal communications, prioritization of activities, training, testing and continual improvement, and timely implementation.

University employees with select knowledge, skills and abilities are required to perform the tasks associated with the university's essential functions. The following personnel are identified as critical members of the Emergency Response Group (ERG).

Emergency Personnel			
Office/Division	Position	Duties	Number

The alternative facilities (ERS) will be capable of supporting operations in a threat-free environment in the event that essential functions and supporting staff are relocated to the site. The ERS will have sufficient space and equipment to sustain operations for a period of up to 30 days.

Alternate facilities that will serve as Emergency Relocation Site (ERS) are under consideration. The strategy is to partner with other CSU campuses (i.e., East Bay, and/or San Francisco) to develop a reciprocal arrangement via a Memorandum of Understanding that would allow one campus to use the other campus' Emergency Operations Center in case of a disaster.

A changing threat environment emphasizes the need for BCP capabilities that enable the university to continue its essential functions across a broad spectrum of emergencies. Testing, training, and exercising of BCP capabilities are necessary to demonstrate and improve the ability of departments to execute their essential functions. The university's testing, training, and exercises incorporate the three functional areas of testing systems and equipment, training personnel, and exercising plans and procedures.

BUSINESS CONTINUITY PLAN MAINTENANCE

To maintain viable continuity of operations capabilities, the University is continually engaged in a process to designate essential functions and resources, define short- and long-term BCP goals and objectives, forecast budgetary requirements, anticipate and address issues and potential obstacles, and establish planning milestones. Following is a list of activities necessary to monitor the dynamic elements of the university Business Continuity Plans and the frequency of their occurrence.

Business Continuity Plan Maintenance

Activity	Tasks	Frequency
Plan update and certification	• Review entire plan for accuracy. • Incorporate lessons learned and changes in policy and philosophy. • Manage distribution.	Annually
Maintain orders of success and delegations of authority	• Identify current incumbents • Update rosters and contact information	Semiannually
Maintain emergency relocation site readiness	• Check all systems. • Verify accessibility. • Cycle supplies and equipment, as necessary.	Monthly
Monitor and maintain vital records management program	• Monitor volume of materials. • Update/remove files	Ongoing

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 3 : METHODOLOGY

Chapter 4 : Sample forms for departmental preliminary self-assessment

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Guiding Principles

San Jose State University has adopted the following Principles for the guidance of the responsible authorities for the development, and management of deployment, of the Business Continuity Plan.

Continuity of Student Learning- Ensure access to, and consistent delivery of, academic education and related support services to students (existing and prospective) within the current and projected capacity of the University.

Health and wellbeing of employees – Ensure the health, safety, and wellbeing of University employees through policy, work-place practices, and employee benefits programs in place.

Protection and preservation of University assets – Ensure that measures are in place and readily implemented for the protection and preservation of physical, financial, intellectual property, and intangible properties and assets of the University – including its reputation, public relations, and accumulated good-will.

Strategies and procedures enable the effective and efficient deployment of institutional assets and resources in support of a business continuity response to a risk occurrence.

Critical Functions – Maintain to the extent of available resources those functions of the University that, when not delivered or not performed within a specified period of time would result in the unmanageable curtailment, suspension, or termination of University operations or parts thereof that would place at risk:

- the health and safety of persons, other living things, or entities; or,

- due to a critical or non-recoverable failure, a University Academic / Administrative / Research unit on which students, employees, other University units, or the community-at-large are dependent.

Communication and information – The University will distribute timely, comprehensive, and accurate information about the status of University operations, the current risk incident, and related risk mitigation information and resources available to employees, students, and, as appropriate, the community at large.

SJSU Business Continuity Planning Template

To be filled out by campus departments identified as essential to restoring University business.

Division of Administration and Finance
(Insert department name here)
BUSINESS CONTINUITY PLAN

CRITICAL FUNCTIONS

List critical functions by priority (time in which this function must be resumed). Provide a brief description of that function and who has lead responsibility. Use the notes section for additional comments.

	Priority 1 Functions – First 24 hours	**Lead**
1.1		
1.2		
1.3		

Notes:

	Priority 2 Functions – Day 2-3	**Lead**
2.1		
2.2		
2.3		

Notes:

	Priority 3 Functions – Day 4-15	**Lead**
3.1		
3.2		
3.3		

Notes:

	Priority 4 Functions – Day 16-30	**Lead**
4.1		
4.2		
4.3		

Notes:

	Priority 5 Functions – 30 days and beyond	**Lead**
5.1		
5.2		

1. Critical function identification and overview

Critical Function: _____

Definition:

Ownership/Succession

(List job title of person(s) responsible for initiating/coordinating this recovery process):

Owner:	
First Alternate:	
Second Alternate:	
Additional:	

Priority Level (check one):

A:	B:	C:	D:	E:
0-4 Hrs.	0-2 Days	3-14 Days	2-4 Weeks	4 Wks + Or N/A

2. Description of how this function will be recovered:

Procedures
Identify actions to be taken to resume Critical Function, assuming that computer systems or utilities may not be operational. Identify position that has lead responsibility for each step.

	✓	Action	Lead
1.			
2.			
3.			
4.			

3. List of resources required for recovery:

The following sections should be completed if the Critical Function is dependent upon entering or retrieving data that could be lost in the event of a computer, network, or utility system failure.

Data Recovery
Identify actions to retrieve lost data in case of computer system failure. Identify position that has lead responsibility for each step.

	✓	Action	Lead
1.			
2.			
3.			

Data Entry Controls
Identify actions to enter lost or manual transactions/data once system functionality has resumed. Identify position that has lead responsibility for each step.

	✓	Action	Lead
1.			
2.			
3.			

People:

VENDOR/AGENCY CONTACT INFORMATION

*Enter company/agency name (**in alphabetical order**), address, contact name/telephone, and types of information, services, or products they may provide in the event of an emergency.*

Company/Agency Name	Address	Contact Name/ Telephone	Information

4. Equipment and supplies requirements:

OFFICE EQUIPMENT FOR UNIT Indicate, estimate, or guess the minimum equipment and supplies the unit will need to resume its critical functions.		
Item	**Minimum number required**	**Comments**
Workstation(s) (includes desktop computer, network connection, table, chair)		
Laptop computer(s) (car charger advised)		
Telephone(s) (hard-wired)		
Printer(s)		
Fax(es)		
Copier(s)		
Scanner(s)		
Server(s)		

Other Equipment/Resources (non-consumable):	Source/Vendor	Person Responsbile for Action

5. Communications:

HOME CONTACT INFORMATION LIST: Each work group/unit should keep its own list of home contact information for all employees. The unit list should be: In a format of the unit's choosing, held by enough people in the unit to be useful, treated as confidential, kept securely at home and at work, updated at least twice a year.
Who maintains the unit's faculty/staff/student employee emergency home contact list? _____
What contact information is included on the list (home and cell phone number, campus and alternate email address, home address, etc.)? _____

EMERGENCY POCKET CARDS: Does the work group/unit have contact information readily available for one another in the form of wallet cards or other contact lists? _____

UNIT'S PHONE LINE: Who are the employees that can record a message onto the unit's main phone line?
_____

UNIT WEB PAGES: Who can perform the mechanics of posting messages onto the unit's web site? _____
Do these personnel have the capacity to receive and post web-page updates while working from home?
☐ Yes ☐ No

TEXT-MESSAGING: Can faculty/staff members of the unit do text-messaging on their cell phones? ☐ Yes ☐ No

ALTERNATE EMAIL AND GROUP EMAIL: Has the unit established alternate email addresses and group email capability through services such Google Groups, Yahoo Groups, and MSN Groups?
☐ Yes. Provide details. _____ ☐ No

OFFICE PASSWORDS: If the unit has passwords that belong to an office rather than to an individual (such as departmental email) who knows the passwords? _____ Where is this information kept? _____

STUDENT EMPLOYEES: If the unit has student employees with unique access to password-protected information, which permanent employees have access to the passwords in case the students become unavailable?
_____

6. Technology Requirements (Attachment _____)

7. Consequences of a Slow Recovery:

For each critical function, use the following form to describe which, if any, harmful consequences may occur if the work group/unit's critical functions are not resumed within certain timeframes, and when might the harm begin to occur after an adverse event.

Indicate by an "X"-mark which of the following consequences might occur if the critical function is NOT resumed by the identified times following a disruptive event and when the harm might begin.						
CRITICAL FUNCTION: _____						
Consequence	**Not applicable**	**2 days**	**2 weeks**	**4 weeks**	**Greater than 4 weeks Please explain**	**Explain, if needed.**
Disruption of teaching?	☐	☐	☐	☐	☐	
Disruption of research?	☐	☐	☐	☐	☐	
Loss of faculty?	☐	☐	☐	☐	☐	
Loss of staff?	☐	☐	☐	☐	☐	
Loss of students?	☐	☐	☐	☐	☐	
Well-being of faculty members or staff affected?	☐	☐	☐	☐	☐	
Well-being of students affected?	☐	☐	☐	☐	☐	
Payment deadlines unmet by campus?	☐	☐	☐	☐	☐	
Loss of revenue to campus?	☐	☐	☐	☐	☐	
Legal or regulatory obligations unmet by campus?	☐	☐	☐	☐	☐	
Legal harm to the University?	☐	☐	☐	☐	☐	
Loss of reputation?	☐	☐	☐	☐	☐	
Impact on other campus unit(s)?	☐	☐	☐	☐	☐	
Impact on important business partner(s) or academic collaborations?	☐	☐	☐	☐	☐	
Data collected prior to the event is unrecoverable?	☐	☐	☐	☐	☐	
Data available or collected after the event is unavailable?	☐	☐	☐	☐	☐	

Additional costs incurred to recover unprocessed data or transactions?	☐	☐	☐	☐	☐	For each day of downtime, indicate how many person hours will it take to process the backlog: _____
Other? _____						
What is the potential harm—the severity of impact--to people, facilities, and infrastructure that may arise from interruption of the function regardless of cause? ☐ High ☐ Medium ☐ Low ☐ No Impact						

8. Review and Update Schedule:

DESCRIBE UNIT ACTIVITIES TO ENSURE THE SUSTAINABILITY OF THE CONTINUITY PLAN THROUGH REGULAR REVIEW, COMMUNICATION, AND TESTING OF PLAN CONTENT.		
Activity	**Who is responsible for coordinating the activity?**	**Month and Year when activity will be conducted**
PLAN REVIEW AND UPDATES When will the plan be updated each year and if there's a change to processes related to a critical function?		
PLAN COMMUNICATION Communicate plan contents to unit at one or a series of annual meeting(s)/training for unit employees.		
PLAN DISTRIBUTION Distribute printed copies of the plan to appropriate unit leaders/managers.		
TESTING Within six months after plan completion conduct a test for a critical function of the unit or across the unit, and during the subsequent 18 months thereafter, conduct and document at least one, meaningful test for each critical function and across the unit. For example, conduct an exercise to check that unit staff has Emergency Pocket Cards within close reach, test recovery of a critical function application or server, test work from home capacity for key employees that provide a critical function, verify that key vendors have regularly tested continuity plans, etc. **The unit will conduct these tests of its critical functions and unit operations:**		

9. **Plan Approval and Locations:**

Each work group/unit's senior level officials should acknowledge that they have read the Plan and understand their responsibilities should a disruption occur.

By their signatures below, the following work group/unit officials certify that they approve this Continuity Plan and understand the continuity procedures that are to be followed in the event of an emergency that impacts the facilities and employees for which they are responsible.

Approved: _____ Date _____
[Name/Title]

Approved: _____ Date _____
[Name/Title]

Approved: _____ Date _____
[Name/Title]

Approved: _____ Date _____
[Name/Title]

Unit personnel who will have a plan copy available in the event of a disruption and the locations of plan copies:

Name:	Location:

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 3 : METHODOLOGY

Chapter 5 : Internal Control Questionnaire of CO's BCP audit

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THE CALIFORNIA STATE UNIVERSITY
OFFICE OF THE UNIVERSITY AUDITOR
BUSINESS CONTINUITY AUDIT
INTERNAL CONTROL QUESTIONNAIRE (ICQ) AND REQUEST FOR DOCUMENTS (RFD)

Subject: Business Continuity Audit	
Campus:	
Audit#	OUA Staff:
Campus Preparer:	Date:
Campus Reviewer:	Date:

	Internal Control Question	Internal Control Response (Campus)		Document Request	Rec'd (Audit Use Only)
General Environment					
Q1	Describe how the BC program is administered (i.e., specific department or position name(s), reporting structure(s), scope/distribution of responsibilities, etc.).	The VP of Administration & Finance has the delegated authority by the SJSU President to be in charge of campus-wide BCP. The Director of Internal Control (Ninh Phamhi) from the Office of the VP Administration & Finance is responsible for coordination of all BCP aspects. A Business Continuity Steering Committee (BCSC) has been established for BCP. Each divisional VP is responsible for BCP is their own area, including planning for logistical procedures, implementation, and maintenance.	D1	Any existing organization chart depicting the organization in place for the campus BC program. **(4)**	
Q2	Explain whether the campus has a BC Planning Committee or, as an alternative, primary and secondary persons with the responsibility for business continuity planning activities (BC Coordinators).	Yes, SJSU has a BCSC. The Committee Chair is the BC campus coordinator mentioned in Q1. Secondary BC coordinator is Dorothy Poole, AVP with the Office of the VP Administration & Finance. BCSC charter, list of members, meeting schedule, meeting agenda, etc. are included in the SJSU BCP Master Plan document.	D2	a. Correspondence or delegations of authority from the President identifying the BC planning committee and/or the primary and secondary BC coordinators. **(4)** b. Position descriptions and responsibilities of the BC coordinator(s) or a description	

	Internal Control Question	Internal Control Response (Campus)		Document Request	Rec'd (Audit Use Only)
				of the responsibilities of the BC planning committee. **(4)** c. If a BC planning committee exists, then please provide a listing of current members of the BC planning committee and meeting minutes for the last two calendar or fiscal years. **(4)**	
Q3	a. Does the BC program overlap or interact with any other business procedures, such as emergency preparedness, safety and health, insurance and risk management, security, etc.? b. How is this coordinated and how do these areas communicate with each other?	The emergency preparedness (EP) function and the BC function are managed separately. They are both under the VP of Administration & Finance which facilitates easy communications. The EP function has a long-standing history, whereas the BC function is relatively new. The EP coordinator and EP manager have been involved in BC-related communications and vice-versa.	D3	Copies of any other relevant business plans that relate to BC. **(4)**	
Q4	a. Has the campus identified BC contacts at key business units with essential functions? b. How are these contacts involved in the BC program?	Yes, all BC contacts are identified as senior managers in university divisions. Key business units with essential functions have been identified. The key contacts for each essential function works with their division's BCSC representative for planning, implementation and maintenance. Further the key contacts and the BCSC members work under the oversight of their divisional VPs and the overall guidance of the VP of Administration & Finance.	D4	A listing of BC contacts at key business units that have essential functions. **(4)**	
Q5	Describe what policies and procedures the campus has in place to support the BC planning process and written plans.	We do not use policies to support planning. The full planning procedure is described in details in the binder "SJSU BCP Master Plan" that we will give to the auditor.	D5	All policies and procedures related to BC planning including, but not limited to: a. Business Impact Analysis and Risk Assessment of key business units with	

	Internal Control Question	Internal Control Response (Campus)		Document Request	Rec'd (Audit Use Only)
				essential functions. **(4)** b. Development, testing and review and updating BC plans. **(4)** c. Communication and training for BC activities. **(4)** d. Record retention for BC records. **(4)**	
Q6	a. Describe the campus strategies for returning to normal operations after a catastrophe or emergency. b. Are these strategies written into a specific policy or within business continuity plans (BCPs)?	(Please see full details in SJSU BCP Master Plan, Section "Concept of Operations") Yes, they are part of the SJSU BCP Master Plan.	D6	Any written policy or example from a BCP showing campus strategies for resuming normal operations. **(4)**	
Q7	a. Does the campus have policies and procedures in place to ensure that critical information is backed-up on a regular basis to an off-site location, and that the data is recoverable? b. If backup and recovery policies and procedures exist, have they been tested? If so, when?	Yes, the back-up procedure is in place and documentation is available (for: CMS, Bursar's Office, Housing, Health Center, Student Affairs). Yes, most back-ups are done weekly, and the testing frequency varies based on needs and available manpower of different campus units	D7	a. Written policies and procedures for critical data back-up.**(4)** b. Documentation showing the results of actual backup and recovery tests within the last two calendar or fiscal years. **(4)**	

Business Continuity Planning

Q8	a. Please explain how, and to what extent, the campus has identified and documented all business units that are deemed essential to operations continuity (having essential or critical functions). b. What is the criteria the campus uses to define an "essential function"?	We have completed this identification in Phase 1, which is a high level top-down assessment of all campus departments. Phase 2 will be the validation process of this identification by BCSC. Please see full methodology in SJSU BCP Master Plan. Basically, there are a series of questions to assess the business impact of the function and thus determine if it is an essential function.	D8	A single listing of all campus business units that the campus has identified as essential to operations continuity.**(4)**	
Q9	a. Has the campus completed a Business Impact Analysis for each business unit that has been identified to provide essential functions, and then identified the essential functions and workflows, the qualitative and quantitative impacts of threats to essential functions, prioritized and established recovery time and/or recovery point objectives for the essential functions? b. Who was responsible for the analysis, and who participated in the process?	We have completed this analysis in Phase 1, which is a high level top-down assessment of all campus departments, by the BC team in the Office of the VP for Administration & Finance. In Phase 2, the departments will develop their own departmental BCP. This will require a bottoms-up Business Impact Analysis to determine essential functions, maximum allowable downtime, recovery time, workflows, the qualitative and quantitative impacts of threats to essential functions, and priority for restoration. In Phase 3, the BCSC will compile the departmental BCPs, validate/revise as necessary to create a University BCP.	D9	a. A hard copy or data file copy of the approved Business Impact Analysis (if not already provided above).**(4)** b. A listing of campus-identified essential business units.**(4)** c. Any relevant documents that describe/document campus identification of essential business units.**(4)**	
Q10	a. Has the campus completed a Risk Assessment for each business unit that has been identified to provide essential functions, and then identified the vulnerabilities and threats that may impact the campus' ability to fulfill the mission of the campus and define the controls in place to reduce	Not yet. This assessment will be conducted in Phase 2 (see SJSU BCP Master Plan). In Phase 1, a top-down Business Impact Analysis was completed. In Phase 2, the BCSC will work with the various departments to complete a Risk Assessment for each unit that provides essential functions. In Phase 3, the BCSC will compile	D10	A hard copy or data file copy of the approved Risk Assessment for each business unit (if not already provided above). **(N/A - But we have created the tools and the Methodology for this)**	

	the exposure to the vulnerabilities/threats identified? b. Who was responsible for the analysis, and who participated in the process?	the departmental BCPs, validate/revise as necessary to create a University BCP.			
Q11	a. Has the campus completed BCPs for every essential business unit? b. Who was responsible for/who participated in developing this plan?	Not yet. We have completed this analysis in Phase 1, which is a high level top-down assessment of all campus departments, by the BC team in the Office of the VP for Administration & Finance. In Phase 2, the departments will develop their own departmental BCP. This will require a bottoms-up Business Impact Analysis to determine essential functions, maximum allowable downtime, recovery time, workflows, the qualitative and quantitative impacts of threats to essential functions, and priority for restoration. In Phase 3, the BCSC will compile the departmental BCPs, validate/revise as necessary to create a University BCP.	D11	Hard or soft copies of the most recent approved BCPs for each essential business unit. **(N/A - But we have created the tools and the Methodology for this)**	
Q12	a. Does the campus have a campus-wide written plan for a potential avian pandemic influenza? If so, does the plan have emergency preparedness features, or is it entirely business continuity related, or both? When was the last time that the avian pandemic influenza plan was formally reviewed and updated? b. In 2007 James Lee Witt Associates reviewed Pandemic Influenza Business Continuity Plans for the CSU and made individual campus assessments. How has the campus responded to and addressed the Witt Associates suggestions?	Yes. It has EP and BC features. It was updated last year in 2009 and is currently under review. The current 2009 Plan has incorporated several of the 2007 James Lee Witt Associates' assessment of the SJSU Plan. The 2010 Plan (currently under review) will incorporate the remaining recommendations from the 2007 James Lee Witt Associates' assessment.	D12	a. A copy of the campus avian flu pandemic plan. **(4)** b. In 2007 James Lee Witt Associates reviewed Pandemic Influenza Business Continuity Plans for the CSU and made individual campus assessments. How has the campus responded to and addressed the Witt Associates suggestions?	

Business Continuity Plan Testing

Q13	Describe the process used for monitoring tests of campus BCPs, and how the campus assures that all plans will meet their testing objectives and requirements. Please include discussion of the following: a. How often does the campus perform tests of its business unit BCPs, and who is responsible for ensuring these tests are performed? b. Do the business units have schedules and plans that will ensure that their entire BC Plan will be tested within 7 years? c. Has there been an actual event that would necessitate activation of the BCP?	Full description is detailed in SJSU BCP Master Plan Binder, Section 4 "Testing and Validation of BCP Manual" and Section 5 "On-going Maintenance and Testing".	D13	a. A schedule (list) showing both completed and upcoming BCP tests. **(4)** b. Schedules showing seven year testing cycles for each business unit with essential operations, or plans for such testing. **(4)**	
Q14	a. Do business units document BCP tests with either a corrective action plan or an after action report? b. If corrective action plans or after action reports are written and saved, how does the campus follow-up on and resolve issues identified for correction, and are corrective actions documented? c. If corrective action plans or after-action reports are written for tests, are they reviewed by the head business unit and the BC Coordinator or by the Business Continuity Planning Committee?	Yes - Full description is detailed in SJSU BCP Master Plan Binder, Section 4 "Testing and Validation of BCP Manual" and Section 5 "On-going Maintenance and Testing".	D14	a. Full documentation of test results and lessons learned, in after action reports or corrective action plans, for any and all BCP tests completed within the last two calendar or fiscal years. **(N/A)** b. Any documentation showing that the campus acted upon and corrected any deficiencies noted in the corrective action plans or after action reports. **(N/A)**	

Business Continuity Plan Maintenance					
Q15	How often are BCPs reviewed and updated to ensure that they are current? Who is responsible for performing this review?	Annually. Section 5 of BCP Master Plan contains full details of BCP Maintenance & Testing.	D15	Change history/past revisions of BC plans. **(N/A)**	
Q16	Describe the process used for monitoring *tests* of campus BCPs, and how the campus assures that all plans will meet their testing objectives and requirements.	Section 5 of BCP Master Plan contains full details of BCP Maintenance & Testing.	D16	Any relevant testing schedules (note, this may have already been provided above, and if so please make reference here). **(See Q13)**	

Business Continuity Plan Communications					
Q17	Describe the business continuity program communications process. Consider the following: a. How often, and by what methods (phone, email, meetings), are communications made between the Business Continuity Coordinator (BCC) and the Business Continuity Planning Committee (BCPC) if one exists. b. How often, and by what methods, are communications between the BCC and business units and/or between the BCPC and business units.	Section 1 of BCP Master Plan contains full details of framework for BCP communication and management. Communication methods will be varied. For example, the BCSC meets monthly, and written minutes are prepared by the BC coordinator and sent to the BCSC via email. A BCP website is maintained. Communications (email, phone, in-person) will be ongoing with the BCSC members and their respective stakeholders (i.e., Division VP, managers of key business departments, etc.).	D17	Evidence of business continuity program planning and discussions between the various involved parties. Acceptable types of evidence would include e-mail communications, meeting minutes, dated notes, etc.	
Q18	a. Describe communications and arrangements with outside agencies and emergency personnel that have	Several mutual aid agreements have been put in place with outside agencies to ensure continuity of operations. Basically these agreements are for law	D18	a. Any examples of agreements (mutual aid agreements) with	

	been made to ensure continuity of operations. b. Describe lines of communication with the campus Emergency Manager, and whether periodic meetings or discussions are held. Are communications between the Emergency Manager and BCC open and ongoing? Yes	enforcement and purchasing emergency supplies. The secondary BC Coordinator and BCSC member for the Administration & Finance Division is Dorothy Poole. She has maintained ongoing communications with the Emergency Coordinator and Emergency Manager. All BCSC members are responsible for maintaining communications with their respective emergency preparedness personnel (e.g., Building Coordinators).		outside agencies. b. Any examples of agreements or internal communications with the campus Emergency Manager.	

Training and Awareness

Q19	a. Has BCP training (initial training and "refresher training") been provided to those individuals responsible for developing and implementing BCPs? b. When was the training provided and who attended? c. Who is responsible for scheduling and providing the training? d. Does a BC training program exist, and has it been formalized?	We are researching vendors of BCP training. In Phase 2 of the current inception cycle, we will train all representatives in BCSC, and all the managers that BCSC recommends. The VP of Administration & Finance will fund this training. The campus BCP coordinator is responsible for scheduling the training. The BC training program exists (see SJSU BCP Master Plan Section 6), but it is not formalized because it needs BCSC feedback and approval in Phase 2.	D19	a. Copies of training presentation, or course syllabus, or any other course materials that show evidence off the topic(s) trained. **(4)** b. Sign-in sheets, logs, training records, or any other documentation of training attendees. (N/A) c. Evidence that a training program is in place and formalized, such as a training schedule and/or program policy or description. **(4)**	

Record Retention					
Q20	a. Describe the record retention policies and procedures for business continuity planning documentation, including both hard-copy records and data file records. b. Describe record scanning and imaging procedures if used by the campus for business continuity purposes. c. Describe any specific software is used for recordkeeping (for example, the "Kuali Ready" software licensed by UC Berkeley.)	We follow the Chancellor's Office guidelines for records retention. We plan to use the campus-wide imaging capability to scan and post essential BCP documents to the SJSU BCP website. We don't plan to use specific software for BCP records keeping at this time. We assessed the UC Berkeley BCP software (restarting UC Berkeley) but determined there were too many unresolved systems issues (e.g., maintenance and upgrades) for it to work for SJSU. We will use the database feature of the Campus Imaging Project for recordkeeping.	D20	a. Any available policy or procedures for business continuity record retention. **(4)** b. Any written description or manual for specialty software used. **(documentation available at Imaging Project)**	
XX	**END OF ICQ/RFD**	**END OF ICQ/RFD**	XX	**END OF ICQ/RFD**	XX

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 3 : METHODOLOGY

Chapter 6: Basic BCP templates for campus departments

Guiding Principles

San Jose State University has adopted the following Principles for the guidance of the responsible authorities for the development, and management of deployment, of the Business Continuity Plan.

Continuity of Student Learning- Ensure access to, and consistent delivery of, academic education and related support services to students (existing and prospective) within the current and projected capacity of the University.

Health and wellbeing of employees – Ensure the health, safety, and wellbeing of University employees through policy, work-place practices, and employee benefits programs in place.

Protection and preservation of University assets – Ensure that measures are in place and readily implemented for the protection and preservation of physical, financial, intellectual property, and intangible properties and assets of the University – including its reputation, public relations, and accumulated good-will.

Strategies and procedures enable the effective and efficient deployment of institutional assets and resources in support of a business continuity response to a risk occurrence.

Critical Functions – Maintain to the extent of available resources those functions of the University that, when not delivered or not performed within a specified period of time would result in the unmanageable curtailment, suspension, or termination of University operations or parts thereof that would place at risk:

- the health and safety of persons, other living things, or entities; or,

- due to a critical or non-recoverable failure, a University Academic / Administrative / Research unit on which students, employees, other University units, or the community-at-large are dependent.

Communication and information – The University will distribute timely, comprehensive, and accurate information about the status of University operations, the current risk incident, and related risk mitigation information and resources available to employees, students, and, as appropriate, the community at large.

1. Critical function identification and overview

Critical Function: _____

Definition:

Ownership/Succession

(List job title of person(s) responsible for initiating/coordinating this recovery process):

Owner:	
First Alternate:	
Second Alternate:	
Additional:	

Priority Level (check one):

A:	B:	C:	D:	E:
0-4 Hrs.	0-2 Days	3-14 Days	2-4 Weeks	4 Wks + Or N/A

2. Description of how this function will be recovered:

Procedures
Identify actions to be taken to resume Critical Function, assuming that computer systems or utilities may not be operational. Identify position that has lead responsibility for each step.

	✓	Action	Lead
1.			
2.			
3.			
4.			

3. **List of resources required for recovery:**

The following sections should be completed if the Critical Function is dependent upon entering or retrieving data that could be lost in the event of a computer, network, or utility system failure.

Data Recovery
Identify actions to retrieve lost data in case of computer system failure. Identify position that has lead responsibility for each step.

	✓	Action	Lead
1.			
2.			
3.			

Data Entry Controls
Identify actions to enter lost or manual transactions/data once system functionality has resumed. Identify position that has lead responsibility for each step.

	✓	Action	Lead
1.			
2.			
3.			

People:

VENDOR/AGENCY CONTACT INFORMATION

*Enter company/agency name (**in alphabetical order**), address, contact name/telephone, and types of information, services, or products they may provide in the event of an emergency.*

Company/Agency Name	Address	Contact Name/ Telephone	Information

4. Equipment and supplies requirements:

OFFICE EQUIPMENT FOR UNIT Indicate, estimate, or guess the minimum equipment and supplies the unit will need to resume its critical functions.		
Item	**Minimum number required**	**Comments**
Workstation(s) (includes desktop computer, network connection, table, chair)		
Laptop computer(s) (car charger advised)		
Telephone(s) (hard-wired)		
Printer(s)		
Fax(es)		
Copier(s)		
Scanner(s)		
Server(s)		

Other Equipment/Resources (non-consumable):	Source/Vendor	Person Responsbile for Action

5. Communications:

HOME CONTACT INFORMATION LIST: Each work group/unit should keep its own list of home contact information for all employees. The unit list should be: In a format of the unit's choosing, held by enough people in the unit to be useful, treated as confidential, kept securely at home and at work, updated at least twice a year.
Who maintains the unit's faculty/staff/student employee emergency home contact list? _____
What contact information is included on the list (home and cell phone number, campus and alternate email address, home address, etc.)? _____

EMERGENCY POCKET CARDS: Does the work group/unit have contact information readily available for one another in the form of wallet cards or other contact lists? _____

UNIT'S PHONE LINE: Who are the employees that can record a message onto the unit's main phone line?
_____

UNIT WEB PAGES: Who can perform the mechanics of posting messages onto the unit's web site? _____
Do these personnel have the capacity to receive and post web-page updates while working from home?
☐ Yes ☐ No

TEXT-MESSAGING: Can faculty/staff members of the unit do text-messaging on their cell phones? ☐ Yes ☐ No

ALTERNATE EMAIL AND GROUP EMAIL: Has the unit established alternate email addresses and group email capability through services such Google Groups, Yahoo Groups, and MSN Groups?
☐ Yes. Provide details. _____ ☐ No

OFFICE PASSWORDS: If the unit has passwords that belong to an office rather than to an individual (such as departmental email) who knows the passwords? _____ Where is this information kept? _____

STUDENT EMPLOYEES: If the unit has student employees with unique access to password-protected information, which permanent employees have access to the passwords in case the students become unavailable?
_____

6. Technology Requirements (Attachment _____)

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
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Book A : REFERENCE DOCUMENTS

Section 4 : PRINCIPLES OF BUSINESS IMPACT ANALYSIS (BIA)

Chapter 1 : Methodology

BUSINESS IMPACT ANALYSIS vs. RISK ASSESSMENT

For each Campus Department:

"Is it critical to Business Continuity i.e. critical to restarting SJSU"

Business Impact Analysis (BIA)

- Done by Dorothy & Nilda in Phase 1
- BCSC to review and confirm in Phase 2

No → will rebuild in due time

Yes → It is an essential unit → what are the risks/caveats for this unit to be functional?

Risk Assessment

→ List out the risks - identify alternatives and options.

needs to be done by individual campus Dept's

Checklist to analyze Business Impact for identification of essential Campus Depts

7. Consequences of a Slow Recovery:

For each critical function, use the following form to describe which, if any, harmful consequences may occur if the work group/unit's critical functions are not resumed within certain timeframes, and when might the harm begin to occur after an adverse event.

Indicate by an "X"-mark which of the following consequences might occur if the critical function is NOT resumed by the identified times following a disruptive event and when the harm might begin.						
CRITICAL FUNCTION: _____						
Consequence	**Not applicable**	**2 days**	**2 weeks**	**4 weeks**	**Greater than 4 weeks Please explain**	**Explain, if needed.**
A Disruption of teaching?	☐	☐	☐	☐	☐	
B Disruption of research?	☐	☐	☐	☐	☐	
C Loss of faculty?	☐	☐	☐	☐	☐	
D Loss of staff?	☐	☐	☐	☐	☐	
E Loss of students?	☐	☐	☐	☐	☐	
F Well-being of faculty members or staff affected?	☐	☐	☐	☐	☐	
G Well-being of students affected?	☐	☐	☐	☐	☐	
H Payment deadlines unmet by campus?	☐	☐	☐	☐	☐	
I Loss of revenue to campus?	☐	☐	☐	☐	☐	
J Legal or regulatory obligations unmet by campus?	☐	☐	☐	☐	☐	
K Legal harm to the University?	☐	☐	☐	☐	☐	
L Loss of reputation?	☐	☐	☐	☐	☐	
M Impact on other campus unit(s)?	☐	☐	☐	☐	☐	
N Impact on important business partner(s) or academic collaborations?	☐	☐	☐	☐	☐	
O Data collected prior to the event is unrecoverable?	☐	☐	☐	☐	☐	
P Data available or collected after the event is unavailable?	☐	☐	☐	☐	☐	
Q Additional costs incurred to recover unprocessed data or transactions?	☐	☐	☐	☐	☐	For each day of downtime, indicate how many person hours will it take to process the backlog: _____
R Other? _____						
S What is the potential harm—the severity of impact--to people, facilities, and infrastructure that may arise from interruption of the function regardless of cause? ☐ High ☐ Medium ☐ Low ☐ No Impact						

BIA = "What are the essential units and what do they do that make them essential"

We have identified the units.

Next we need to list out what they do

- 1st, make a list of services that they provide
  be as complete and detailed as possible
  - eg teach class
    meet with students
    grade tests -
    design curriculum
    update skills and knowledge . . .
- Then determine if each services is essential to restarting the campus, and why.
- Then eliminate anything that's non essential.
- What's left is the BIA, ready for Vulnerabilities Assessment, and then Solution Design

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Also "all what why when"

San Jose State University Department Hierarchy

BUSINESS CONTINUITY PLANNING - ESSENTIAL OPERATIONS - CONTACTS NAMES

ESSENTIAL TO BUSINESS CONTINUITY	CONTACTS NAMES	EXPLAIN CRITICAL BUSINESS IMPACTS
Academic Affairs Division		
O **Academic Senate**		
Academic Technology		
✓ Acad Tech Website Des & Maint		A -
O Academic Success Center		
✓ AT Projects		A
O Audio Visual		
Center for Faculty Development		
O · *Faculty Development Grant*		
O · *Inst Teaching & Learning*		
✓ ITSS Help Desk		A
O Media Services		
O TV Education Network		
✓ **College of Applied Sci & Arts**		A, L
Aerospace Studies		
Gerontology Center		
Health Professions		
Health Science		
Hospitality, Recr & Tour Mgm't		
Journalism & Mass Comm		
· *Spartan Daily*		
Justice Studies		
Kinesiology		
Library & Information Science		
· *College Dev/Distance Learning*		
· *Library & Info Science-ES*		
· *MLS Northern California*		
Military Science		
Nursing		
Nutrition, FoodSci & Packaging		
Occupational Therapy		
Recreation & Leisure Studies		
School of Social Work		
· *Social Work*		
✓ **College of Business**		A, L
Accounting & Finance		
Business Graduate Programs		
Business Student Advising Ctr		
Management Information Systems		
Marketing & Decision Sciences		
Mineta Transprt Institute CoB		
Organization & Management		
✓ **College of Education**		A, L
Child & Adolescent Development		
Communicative Disorders		

San Jose State University Department Hierarchy

BUSINESS CONTINUITY PLANNING - ESSENTIAL OPERATIONS - CONTACTS NAMES

ESSENTIAL TO BUSINESS CONTINUITY	CONTACTS NAMES	EXPLAIN CRITICAL BUSINESS IMPACTS
Counselor Education		
Education Leader/Develop		
Educational Leadership		
El Salvador IES (MATL)		
Elementary Education		
· *Tchr Educ-APEX Prog IES*		
Instructional Technology		
MAHS Teacher Leadership		
Secondary Education		
Special Education		
Summer Institute of Technology		
Teacher Education		
College of Engineering		A, L
Acad Tech Cisco Lab		
Aerospace Engineering		
· *Engr Cmptr/United Defense*		
Aviation		
Chemical Engineering		
Civil & Environ Engineering		
Comp Info & Sys Eng		
Computer Engineering		
Electrical Engineering		
Engineerng Student Success Ctr		
Engr-MBA/MSE Program IES		
Engr-MSQA Project IES		
Engr Off-Campus Programs		
General Engineering		
Industrial & Systems Engr		
Material & Chemical Eng		
Materials Engineering		
Mechanical Engineering		
Mechanical & Aerospace Eng		
Minority Engineering Program		
Technology		
College of Humanities & Arts		A, L
Art & Design		
· *CSU Visual Image Institute*		
English		
· *SOS-Calif Reading Prog*		
· *Steinbeck Center*		
Humanities		
Linguistics & Language Dev		
Music & Dance		
· *Beethoven Center*		
· *Marching Band*		

San Jose State University Department Hierarchy

BUSINESS CONTINUITY PLANNING - ESSENTIAL OPERATIONS - CONTACTS NAMES

ESSENTIAL TO BUSINESS CONTINUITY	CONTACTS NAMES	EXPLAIN CRITICAL BUSINESS IMPACTS
Philosophy		
Student Writing Center		
Student Writing Skills		
TV, Radio, Film & Theatre		
· *Drama IRA*		
· *KSJS Radio*		
· *Stage Management*		
· *TV/Film Production IRA*		
World Languages & Literatures		
✓ **College of Science**		A, L
Biological Sciences		
· *Field Studies in Nat'l Hist*		
· *Science Education*		
· *SOS-MS Biotechnology*		
Chemistry		
Computer Science		
Geology		
Mathematics		
· *SOS-CAPI Math*		
Meteorology and Climate Sci		
Moss Landing Marine Lab		
Nuclear Science		
Physics & Astronomy		
✓ **College of Social Sciences**		A, L
African American Studies		
Anthropology		
Communication Studies		
Economics		
· *Center for Economic Educ*		
Environmental Studies		
Geography		
History		
Interdisciplinary Social Sci		
Mexican American Studies		
Political Science		
Psychology		
Sociology		
SPRI Survey Policy Rsrch Insti		
Urban & Regional Planning		
✓ **Faculty Affairs**		A, L
✓ **Graduate Studies & Research**		A, L
MTC-NASA Research Park		
Research & Creative Activities		
✓ **Institutional Research**		

San Jose State University Department Hierarchy

BUSINESS CONTINUITY PLANNING - ESSENTIAL OPERATIONS - CONTACTS NAMES

ESSENTIAL TO BUSINESS CONTINUITY	CONTACTS NAMES	EXPLAIN CRITICAL BUSINESS IMPACTS
Int'l and Extended Studies	G, J	
Center for Extended Studies		
· *SOS-Special Sess/Open Univ*		
IES Study Abroad		
· *Univ of Youth Pre-Coll Disc IE*		
Corporate Training Services IE		
IES - International Recruitmnt		
Int'l Outreach Leadership IES		
Osher Lifelong Lrng Instit IES		
PDC Information Technology		
PDC Logistical Services		
PDC Marketing		
PDC Other Programs		
Profess Development Ctr IES		
Univ of Youth Enrichment IES		
Corp & International Svcs IES		
E-Campus IES		
Global Studies		
IES Central Administration		
· *IES Financial Operations*		
· *IES Fund Management*		
· *IES Information Technology*		
· *IES Logistical Services*		
· *Marketing & Communications IES*		
IES Global Innovation		
International Projects IES		
· *International Programs & Svcs*		
✓ **Provost/VP Academic Affairs**	A	
Academic Planning & Budgets		
All University Academics		
Central Amer Acad Prgms (CAAP)		
Division-Wide Provost		
○ **Student Academic Services**		
✓ **Undergraduate Studies**	A, L	
Accreditation		
Articulation		
Center for Service Learning		
FYRST		
Learning Assist Resource Ctr		
Project Assistance		
○ **University Library**		
○ Africana Center		
○ Asian Center		
Auxiliary	← BCP Assignments:	Tower / Spartan → VP Admin. AS / SU ↔ Student Affairs RF → Office of Provost
Intercollegiate Athletics	L, J	

San Jose State University Department Hierarchy

BUSINESS CONTINUITY PLANNING - ESSENTIAL OPERATIONS - CONTACTS NAMES

ESSENTIAL TO BUSINESS CONTINUITY	CONTACTS NAMES	EXPLAIN CRITICAL BUSINESS IMPACTS
Office of the President	L, J	
Campus Climate		
Faculty/Athletics Rep		
University Advancement VP	L, J	
Advancement Operations	M	
Alumni Rels & Alumni Assoc		
Development Univ Advancement		
Public Affairs	M, J	
Tower Foundation UA		
University Technology Services	A, M	
Project Management Office-UTS	A, M	
Telecommunications - UTS	A, M	
Network Services - UTS	A, M	
Systems Services - UTS	A, M	
University Wide		
Campus Village	G	
CMS Project Office	A, M	
Facilities Special Projects		
Facility Space Rental		
MLK Library Facility		
MLK Library Security		
Spartan Stadium		
Unallocated Base		
University-Wide Accounting		
University-Wide Budgeting		
University-Wide Instruction		
University-Wide Risk Mgm't		
Hazardous Waste Management		
Safety & Risk Management		
University-Wide Stud Fin Aid		
University Contingency		
University Programs & Projects		
Utility Plant		
VP Administration & Finance	M	
Division-Wide Admin & Fin		
Facilities Development & Ops		
FD&O Administrative Services		
· *Apprentice Program*	O	
· *Central Stores*		
· *Safety Equipment*		
· *Support Admin Services FD&O*		

San Jose State University Department Hierarchy

BUSINESS CONTINUITY PLANNING - ESSENTIAL OPERATIONS - CONTACTS NAMES

ESSENTIAL TO BUSINESS CONTINUITY	CONTACTS NAMES	EXPLAIN CRITICAL BUSINESS IMPACTS
FD&O Energy & Utility	M	
· *Co-Generation Plant*		
· *Environmental Services FD&O*		
· *FD&O Campus Engineering*		
· *FD&O Utilities Ops & Maint*		
Building-Electrical		
Building-Plumbing		
FD&O Bldg Auto System CEMS		
HVAC Operations		
FD&O Facility Maint & Const Sv	M	
· *Auto Shop & Transportation*		
· *Building-Carpentry*		
· *Building-Fabrication*		
· *Building-Paint*		
· *Building - Lock Shop*		
· *Deferred Maintenance*		
FD&O Facility Operations	M	
· *Campus Recycling*		
· *Custodial Services*		
· *Grounds Main Campus*		
· *Grounds South Campus*		
FD&O Plng Design & Constructin		
· *Capital Outlay Project Mgmt*		
· *Design & Construction*		
· *Facilities Planning*		
· *FD&O Capital Outlay Projects*		
Finance SJSU	M	
Accounting Services		
Adminstrative Tech Systems		
· *Administrative Applications*		
· *Administrative Databases*		
· *Administrative Systems*		
Bursar's Office	H, I, M	
· *Tower Card*	H, I, M	
Business Operations		
· *American Express Central Mgmt*		
· *Procurement Card Central Mgmt*		
Procurement Services	M	
· *Accounts Payable*		
· *Convenience Copier Program*		
· *Mailroom*		
· *Receiving/Shipping*		
University Budget Office		
Human Resources	K, M	
Compliance	K, M	
Employee Support Services	K, M	
Orgn Development & Training		
Workforce Planning Svcs HR	M	

San Jose State University Department Hierarchy

BUSINESS CONTINUITY PLANNING - ESSENTIAL OPERATIONS - CONTACTS NAMES

ESSENTIAL TO BUSINESS CONTINUITY	CONTACTS NAMES	EXPLAIN CRITICAL BUSINESS IMPACTS
University Police	M-	
√ Parking Services	M	
√ UPD Administrative Services	M	
√ UPD Field Operations	M	
√ UPD Special Operations	M	
√ **VP Student Affairs**	M	
Acad Advising & Retention Svcs		
Student Advising Center		
Career Center		
Job Location Development		
√ **Counseling Services**	G	
√ **Disability Resource Center**	G, I	
ADA		
Deaf Student Svcs		
Inactive-Disabled Empls Assist		
Educ Opportunity Program		
Summer Bridge Program		
√ **Enrollment Services**	A	
Aspire-McNair		
Early Assessment Program		
Enrl Services Support Svc		
Enrl Svcs Adm & Tech Service		
Enrl Svcs Marketing		
Enrollment Svcs Systems		
Financial Aid & Scholarships		
Pre-College Programs		
Registrar Services		
Student Outreach & Recruitment		
· *Equity Adm/Transcript Svcs*		
Undergrad & Grad Admiss Evals		
MOSAIC Cross Cultural Ctr		
Multicultural Diversity		
√ **Student Health Center**	G	
Student Involvement		
Orientation Program		
Student Success Center		
Testing		
√ **University Housing Services**	G	
Housing-Organization		
Housing-Technology		
Housing Building Maintenance		
Housing Business Svcs		
Housing Coordination		
WRC/LGBTRC		

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 4 : PRINCIPLES OF BUSINESS IMPACT ANALYSIS (BIA)

Chapter 2 : Sample BIA surveys (top-down method)

NC STATE UNIVERSITY

Business Impact Analysis Survey

Risk Assessment by each Campus Dept.

The following questionnaire will be used to formulate and prioritize events that will be vital in ensuring that the University has an effective and success driven Disaster Recovery (DRP) and Business Continuity plan (BCP). Please complete all questions and provide as much information as possible to ensure that no critical elements or key events are missed. Please return the completed questionnaire to Sid Holmes/Loren Allston, B21 Hillsborough Building. For assistance with the questionnaire, please call Sid or Loren at extension 5-2794. Thank you.

Department _____

Primary Office Manager/Contact_____

Critical support provided to the University _____

1. **Confidence factors. Circle the appropriate number that represents the level of confidence you have that your area has the following characteristics (1-lowest level of confidence; 5-highest level of confidence)**

   a) You can run your business, in the short term, without information systems support. 1 2 3 4 5

   b) Adequate human resources are available to perform perceived recovery procedures and there is sufficient cross training and backup of responsibilities. 1 2 3 4 5

   c) Your area has received sufficient outside training of University Disaster Recovery/Business Continuity initiatives and strategies. 1 2 3 4 5

   d) Your customers are aware of your alternative process and capabilities during an interruption of normal business operations. 1 2 3 4 5

   e) Your suppliers are aware of what must be done in terms of alternative methods during an interruption of normal business operations. 1 2 3 4 5

   f) Clear leadership and organization are present within your group to ensure proper direction and corrective action is effective during a crisis. 1 2 3 4 5

   g) Vital records (system data and hard copy files) are sufficiently maintained and backed up to ensure their protection and availability during and after a major disaster. 1 2 3 4 5

   h) You know where physically your group must report to if your primary location is not accessible. 1 2 3 4 5

   i) You know where the Disaster Recovery/Business Continuity command center is and who is the senior level executive in charge of overall coordination of all initiatives. 1 2 3 4 5

NC STATE UNIVERSITY

Business Impact Analysis Survey

2. **Who are your key internal/external customers (recipients of your output who require your support)? What impact do you have on them if your group cannot execute required functions?**

   A good exercise prior to answering the question is to list all primary processes and functions that your group is responsible for and next to each process, identify the recipient of the output.

3. **Who are your key internal/external suppliers (people you depend on for support)? What would happen if they failed to deliver the required support to you?**

   In this case, perform the same exercise as suggested in question 1, only list yourself as the recipient or "customer" and list each critical supplier (internal/external) and support item that your group needs to carry out every day business.

4. **What key processes are required to take place daily, weekly, and/or monthly to support client requests and overall deliverables as described in question 1? Please try to list all events in the order in which they must occur, especially if there are interdependencies among processes and provide a ranking in terms of importance (1-low and 5-high). Please identify the person in your group that performs each task.**

5. **What primary and secondary information systems are vital to the success of your area's business objectives?**

   For example, " We use PeopleSoft to support the majority of business processes, but also use Excel to perform some analyses and than enter that information into PeopleSoft." Please summarize what systems are used and what specific function they support.

NC STATE UNIVERSITY

Business Impact Analysis Survey

6. **What essential manual processes exist that support data entry to the information system and provide support to the overall business objective? Can these manual processes be extended or new ones created to support your group's daily/weekly/monthly objectives if no system support is available?**

   Use information from questions 3 and 4 in regards to processes supported exclusively by information systems and list how you would manually perform that function without systems support.

7. **Has your department completed a formal procedure that stipulates what is to be done in the event of a disaster to resume normal or near normal operations? Are formal procures supported by maintaining an updated emergency call list? Has your plan ever been executed or recently tested? How much time is required to implement and execute your resumption plan? Who is the lead facilitator of your group?**

8. What would you do to ensure a rapid recovery takes place in regards to establishing interim processes to support customer requests and maintain critical support from suppliers? Do you feel you have all that is needed in the event of a disaster (e.g. equipment, people, etc.).

9. Where are your vital records stored and who is authorized to retrieve them? How often are they backed up? Please include in your response who you depend on for storage and retrieval of these records.

NC STATE UNIVERSITY

Business Impact Analysis Survey

10. Please comment on any other thoughts you feel are important to consider or include in your University's Disaster Recovery/Business Continuity Plan.

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book A : REFERENCE DOCUMENTS

Section 4 : PRINCIPLES OF BUSINESS IMPACT ANALYSIS (BIA)

Chapter 3 : BIA reports - Complete list of Essential Units

SJSU BUSINESS IMPACT ANALYSIS (BIA)

What is it?

It's the listing of campus Units that absolutely must be restored in order for the University to restart

How was this list arrived at?

To restart the University to basic functionality, the following question defines if a Unit must be restored

Would <u>not</u> having the Unit be unacceptable because of ...

A. Disruption of teaching?
B. Disruption of research?
C. Loss of faculty?
D. Loss of staff?
E. Loss of students?
F. Well-being of faculty members or staff affected?
G. Well-being of students affected?
H. Payment deadlines unmet by campus?
I. Loss of revenue to campus?
J. Legal or regulatory obligations unmet by campus?
K. Legal harm to the University?
L. Loss of reputation?
M. Impact on other campus unit(s)?
N. Impact on important business partner(s) or academic collaborations?
O. Data collected prior to the event is unrecoverable?
P. Data available or collected after the event is unavailable?
Q. Additional costs incurred to recover unprocessed data or transactions?

The answers were provided by line managers in charge of each Unit, and collected by BCSC representatives

What is this list useful for?

1. To help senior management to focus on what to prioritize to rebuild the University
2. To provide the framework for BCSC to analyze the resiliency/vulnerability of Campus operations

What are the implications of signing -off on this list

After the BIA list is finalized,

- each listed Unit will have resources-priority to restore itself after a disaster
- all listed Units must relaunch asap, and no later than 3 weeks after the decision to restart the University
- all listed Units must undergo the Resiliency/Vulnerability (R/V) Assessment of BCP
  - all "vulnerabilities" must be addressed in the Solution Design phase of BCP
- all listed Units must participate in the BCP Deployment, Training and Testing

Next steps for this BIA

1. Divisional representatives to review and finalize the documentation of their Units
2. Divisional representatives to look at the BIA of other Divisions that give them <u>essential</u> support:
   - make sure that they are listed
   - make sure that their roles and responsibilities, and ownership (vis a vis Business Continuity) are clear
3. Each Divisional representative needs to get it vetted by the Head of the Division
4. BCSC will then send it to the President's Cabinet for approval

If you think that something was ommitted, whether it's in your Division or not, please make a note, and bring it to the next BCSC Meeting

Note: all IT Units have been highlighted (in blue) so that you can easily identify them

PRESIDENT OFFICE : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
.fice of the president		**Process Owners: Chief of Staff Bill Nance**
Management	Coordinate key decision making activities of the University	
Internal communication	Communication with Senior Management Team	
External communication	Communication to the public, via Public Affairs Coordinate key communication packages, e.g. to and from CO, State, other campuses ...	

ACAD-AFFAIRS : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
Student Availability		**Process Owners: Vice Presidents and Deans**
Prioritizing Students (Undergrad & Grad)	Graduating Senior > Senior > Junior > Sophomore > Freshman	
Threshold of students	Threshold percentage of student availability needed for maintaining a course	
Faculty Availability		**Process Owners: Deans and Department Chairs**
Assess Availability of Rooms	**Lecture rooms:** size/specific instructional needs (smart boards, etc.). Flexibility of scheduling (possibility of scheduling into the evenings/weekends) **Lab Rooms:** availability of utilities, access to supplies (e.g., Chemistry classes need a functional chemistry storeroom nearby).	
Assess Student Access to Campus	**External transportation infrastructure** – roads, public transportation **Parking availability**. For example, if two or more garages are out of commission, we will have a very hard time getting students to campus until it is mitigated.	
Inventory of faculty subject knowledge	who can teach what	
Continuity of Faculty Research Activities		
Curriculum		**Process Owners: Vice Presidents, Associate Vice Presidents, Deans, and Department Chairs**
	Each program should decide what is critical for a student to graduate in a given major. In lab-rich curricula, what labs are essential? Possibility of combining capstone course efforts within or even between colleges? Look at courses typically offered every semester or every year. Can they be offered later, once infrastructure is restored?What courses are 'shovel ready' for online delivery. Maybe encourage as many faculty as possible to develop some competency in online instruction software.	
# of students impacted	Per course	
Course Readiness	Individual course readiness for an on-line mode of delivery	
Advising		**Process Owners: AVP for Student Academic Success Center**
Advisors	Designate alternate advisors for each program, accessory emergency advisors. If significant modifications are required for course programs, quite a bit of direct advising may be required. It may be useful for those involved in advising to have some discussions about substitution principles in the event of an emergency that significantly disrupts the campus.	
Data Retrieval	*Process and Access to data *Control data damage.	
Resources		**Process Owners: Vice Presidents**
Assess Effective Resource (regionally based)	In a worst case scenario, facilities like the library may need to be used for medical or even housing uses if the need is extreme enough	
Facilities	*Inventory of rooms by size and features *Develop general principles for sharing facilities (Compare plans with other regional institutions) *Use of physical library learning spaces for on-site for-credit instruction will be priority	
Off-Campus Facilities (Alternate)	ie. Rep Theatre, Camera Cinemas (if they survive the event more intact than facilities on campus)	
Low Tech vs. High Tech		

Technology	*Library support of distance education and courses delivered using distance education technology will be a top priority *a robust technology library network and infrastructure is necessary to allow for online remote access to digital information resources *Data network *Library services and resources will be embedded in D2L.	
Communications Plan	*Include alternate means of communication *Develop Phone Tree	
Utilities	Availability of electricity, water, data network	
ITSS		Chris Laxton
Help Desk		
Classroom technology support		
Parking Lot Items:		
Dr. Martin Luther King Jr. Library (King Library) is joint University and Public Library - Compliance with spirit of		
Collaboration with City of San Jose and Public Library requires support of use of King Library by the general population		
Dissemination of information to the community and the university regarding the business continuity operations of the City and University will be a top priority for the joint library organization.		

ADMIN-FINANCE : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
FDO Environmental Health & Safety		
Service: Safe Handling & Disposal of Hazardous Substances	Provide centralized collection and disposal in accordance with Federal, State and local regulatory requirements and campus specific permits.	Owner = Adam Bayer Interim 1st Alternate = Chandra Bettagowa 2nd Alternate =
Service: "legally responsible Official" (LRO)	Provide On-line reporting to STATEWIDE INCIDENT reporting systems for sewer and storm drain spills within 4 hours	Owner = Adam Bayer Interim 1st Alternate = Chandra Bettagowa 2nd Alternate =
Service: Emergency Response	Provide campus liaison to appropriate permitting and regulatory agencies	Owner = Adam Bayer Interim 1st Alternate = Chandra Bettagowa 2nd Alternate =
F Jtilities		
Service / Exterior Lighting	Provide emergency repair and maintenance and temporary security lighting on campus.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Chilled Water	Provide emergency repair and maintenance to district cooling system that provides for comfort cooling for buildings. Respond to pipe leaks.	Owner = Adam Bayer 1st Alternate = Chris Nordby 2nd Alternate = John Skyberg
Service / Steam	Provide emergency repair and maintenance to district steam system that provides comfort heating to buildings. Respond to pipe leaks.	Owner = Adam Bayer 1st Alternate = Chris Nordby 2nd Alternate = John Skyberg
Service / Power	Provide emergency service and maintenance to power to and from the central plant and campus buildings, provide emergency repair and maintenance to utility power systems including underground wiring, manholes and substations.	Owner = Adam Bayer 1st Alternate = Chris Nordby 2nd Alternate = John Skyberg
Service / Natural Gas	Provide emergency repair and maintenance to natural gas piping serving to BT Emergency Generator, IS and Duncan Hall and Engineering Labs, and Dining Commons and Student Union kitchens and Joe West, Hoover, Royce and Washburn heating systems.	Owner = Adam Bayer 1st Alternate = Chris Nordby 2nd Alternate = John Skyberg
Service / Sewer	Provide emergency response to storm and sanitary sewer spills, blockages and sinkholes.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Water	Provide emergency response to district water systems, campus wells, and backflow prevention devices.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Minor Repairs and Maintenance	Provide contract services and access to vendors for special tools and equipment including fuel.	Owner = Adam Bayer 1st Alternate = Chris Nordby 2nd Alternate = John Skyberg
FDO Buildings		
Service / Power Systems including lights, elevators, escalators, emergency generators	Provide emergency service and maintenance to power systems and lighting in buildings.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Building walls, doors, windows counters, stairs	Provide emergency service and maintenance to building elements including doors, windows, stairs and signs.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Water and Sewer Systems including toilets and drinking water	Provide emergency service and maintenance to building water and sewer systems.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / HVAC Systems including heating and cooling and ventilation	Provide emergency service and maintenance to building heating and cooling systems	Owner = Adam Bayer 1st Alternate = John Skyberg

Service / Door Access and lock systems	Provide emergency service and maintenance to building locking and keying systems.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Fire Alarm and Life Safety Systems	Provide emergency service and maintenance to building life safety systems.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Maintenance and Repair work	Provide emergency repairs and maintenance to the campus buildings.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
FDO Facility Operations		
Service Custodial (toilets & trash)	Provide daily cleaning and sanitization of building restrooms including daily removal of trash in restrooms, break rooms and kitchens. Weekly removal of trash in classrooms, offices, and labs.	Owner = Calvin Brown 1st Alternate = Betty Luna 2nd Alternate =
Service Building exterior- Pathways	Clean and free pathways of debris including but not limited to tree limbs for pedestrian and vehicular access and mobility. Dispose of trash from exterior receptacles at a mininum every two days. Respond to all other service requests on an as needed "frequency" basis.	Owner = Dennsi Suit 1st Alternate = Betty Luna 2nd Alternate =
FDO Administrative Services		
Service: Dispatch/Communications	Provide centralized communication within the Department for coordinating FD&O personnel and resources within their area of responsibility and in direct support of their assigned response and recovery.	Owner = Terry Crisp 1st Alternate = Jose Rios 2nd Alternate =
Service: Central Stores/Warehouse (critical parts)	Central repository for mission critical building/system parts and supplies required to meet building operating requirements and student/employee occupancy. Generally, critical parts stored in the central stores are parts that cannot be procured within a 24 hour period of time and/or are unique to a building or system level requirements.	Owner = Terry Crisp 1st Alternate = Donna Duval 2nd Alternate =
Service: CMMS/TMA	A third party WEB based application (computerized maintenance management system-aka CMMS) and is used as the primary method to request non-emergency services from the department. Also, the CMMS is used as an historical record for the collection of work related information for work performed as well as associated cost. Generally, emergency work requests are received by phone and dispatched "live" by a customer service representative.	Owner = Terry Crisp 1st Alternate = Jose Rios 2nd Alternate =
FDO Planning Design & Construction		
Service / Building Official	Provide inspection and code enforcement services, declare buildings safe or unsafe to enter and occupy.	Owner = Bill Shum 1st Alternate = Daniel No 2nd Alternate = Adam Bayer
Service / Archives and Building Plans	Provide building plans and space assignment records for buildings.	Owner = Bill Shum 1st Alternate = Daniel No 2nd Alternate = Winona
FDO Project Management Group		
Service: Access/Egress - Facilities	Note: covered under EUE	Owner = 1st Alternate = 2nd Alternate =
FD&O Control System		**Adam Bayer / C. Norby**
Accounts Payable	**Process Owner = Bonnie King, Accounts Payable Manager**	
Service / A/P	Paying for emergency services	Owner - Penny Anderson, Immigration & Tax Specialist 1st Alternate - Bonnie King, Accts Payable Mgr 2nd Alternate - Jean Muroya, Accounting Technician
Bursar's Office	**Process Owner = Marlene Anderson, Bursar**	
Service / Cashiering	Cashiering- OTC pymts; Disburse Scholarship & alternative loan checks	Owner = Marlene Trifilo 1st Alternate = Bursar 2nd Alternate =
Service / Tower Card Issuance	Tower Card - issuing guest Tower Cards for security purposes. Most likely if a disaster was to happen, SJSU would have many contractors and other off campus trades people working around the clock to restore, rebuild, and handle damages and outages as needed. UPD must be able to determine who should be allowed in buildings and have access to buildings.	Owner = Marlene Trifilo 1st Alternate = Bursar 2nd Alternate =
ervice / Collections	Collections-issue Short term loans to SJSU students Provide installment plans for students with financial hardships	Owner = 1st Alternate = 2nd Alternate =
Service / Student Accounts	Student Accounts- provide acct info to students	Owner = 1st Alternate = 2nd Alternate =
Service / System Support	System Support –execute refunds for FA recipients & credit balances	Owner = 1st Alternate =

Procurement	**Process Owner = Alex Lebedeff, Purchasing Mg**	
Service / Purchasing	Purchasing emergency services/products by working with pre-selected vendors (see emergency vendor list) and/or using Emergency Bids-Online Software Module.	Alex Lebedeff - Owner Thomas Ballinger - 1st Alternate John Pham - 2nd Alternate
Services	**Process Owner = Dan Soriano, Mailing Services Mg**	
Service / Function 1 Metering of mail during a power outage due to weather and earthquakes.	During a power outage outgoing mail will picked up by pre-sort and flat processing companies and metered for SJSU. No mail will be delayed.	Dan Soriano / Dang Nguyen
Service / Function 2 Delivery to departments during power outage.	Important documents and parcels will be delivered on foot by mail staff if carts are not available.	Dan Soriano / Dang Nguyen
Receiving	**Process Owner = Salvador Campos, Shpping & Receiving Mgr**	
Service / Receiving	Receiving emergency supplies Shipping & Receiving provides delivery services to the campus community.	Owner= Salvador Campos 1st Alternate= Tony Diaz 2nd Alternate= Phil Perez
HR Administrative Services	**Process Owner = Mark Loftus, Risk & Compliance Mgr**	
Service: Risk & Compliance	Ensure general campus safety and evaluation of severity of risks around campus. Risk assessments re: building safety. Assist in coordination of assessments of enviornmental conditions. Ensure CalOSHA compliance. Act as liaison to CO Office of Risk Management	Owner = Mark Loftus 1st Alternate = Michaux Burchard 2nd Alternate = Joan Torne
HR Operations	**Process Owner = Rick Casillo, HR Operations Director**	
Service: Payroll	1. Provide payroll counseling and services to department contacts and employees 2. Issuance of emergency situational pay (manual checks if systems not available) 3. Coordinate payment of employee disability benefits, e.g., NDI and IDL 4. Tracking employee time and attendance reporting	Owner = Rick Casillo 1st Alternate = Teri Reuck 2nd Alternate = Michele Delfino
Service: Benefits	1. Provide benefits counseling and services to employees 2. Administration of employee leave programs 3. Process health plan enrollments or changes and mail COBRA notices as needed to ensure continuation of health coverage	Owner = Rick Casillo 1st Alternate = Anita Vasquez 2nd Alternate = Teri Reuck
Service: Counseling Services - EAP	The EAP is administered by CONCERN, a third party that operates independent of the University. The EAP would remain available to employees and accessible to employees via phone or internet..	Owner = Rick Casillo 1st Alternate = Patrick Alvarez 2nd Alternate = Amy Ruiz
P[illegible]l System (PIMS)		Rick Casillo
UPD Admin Services	**Process Owner - Jim Renelle, Interim Captain, UPD Admin**	
Service: Acess/Egress - Campus	The University Police Communication Center is the hub for receiving all public safety and emergency communications on campus. Information is received in-person, via radio and telecommunications. Communication Center personnel are responsible for receiving, recording and relaying information both internally on campus and externally to other public safety agencies.	Owner = Jim Renelle (for Marianne Alvarez) 1st Alternate = Frank Belcastro 2nd Alternate = Peter Decena
Service: Emergency Communicatons - Dispatch	The University Police Communication Center is the hub for receiving all public safety and emergency communications on campus. Information is received in-person, via radio and telecommunications. Communication Center personnel are responsible for receiving, recording and relaying information both internally on campus and externally to other public safety agencies.	Owner = Jim Renelle (for Marianne Alvarez) 1st Alternate = Frank Belcastro 2nd Alternate = Peter Decena
Service: Emergency Communicatons - Police Repeaters (offsite 911 talk to SJSU Dispatchers)	Emergency radio communications are controlled through dedicated equipment that is installed at strategic locations around campus. This equipment allows radio communications with University Police personnel, Parking Services personnel, Library Security personnel and various other departments on campus including Emergency Building Coordinators. The equipment also allows UPD to contact other public safety agencies to request mutual aid assistance. Power to the emegency communication equipment is backed up with an uninterruptable power supply.	Owner = Jim Renelle (for Marianne Alvarez) 1st Alternate = Frank Belcastro 2nd Alternate = Peter Decena
JPD Field Operations	**Process Owner = Frank Belcastro, UPD Operations Captain**	
Service: Police	The Field Operations Division is responsible for providing all essential police services. It consists of sworn police officers and non-sworn personnel. Field Operations is responsible for ensuring the safety and security of the campus community. Police Officers are responsible for protecting life, maintaining order, protecting property, preventing crime, enforcing federal and state laws and University directives, and arresting law violators.	Owner = Frank Belcastro 1st Alternate = Jim Renelle 2nd Alternate = Peter Decena
[illegible]vice: Emergency Communicatons - [illegible]rtSJSU	The purpose of ALERT SJSU is to quickly disseminate emergency information, notifying the campus community of critical incidents and appropriate actions needed to maintain their personal safety. ALERT SJSU will be used during emergencies that threaten the health and safety of the campus community. It consists of two components, an indoor telephone speaker system and a personal notification system. The personal notification system sends voice, text and email notifications utilizing contact information voluntarily provided by students, staff and faculty.	Owner = Frank Belcastro 1st Alternate = Jim Renelle 2nd Alternate = Peter Decena

Spartan Dining		
Service: Dining Services (Dining Commons)	Provide meal service to students living on campus in the Dining Commons.	Owner = Jeff Pauley 1st Alternate =Jennifer Goodale 2nd Alternate =Steven Olesen
Service: Dining Services (Retail Dining)	Provide meal service to university students, faculty and staff in campus restaurants and stores	Owner =Jeff Pauley 1st Alternate = Ryan Ptucha 2nd Alternate = Jason Hood

ADMIN-SYS : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
Desktop/Server Support Staff		
Server Support	server support/restoration	
Desktop Support	desktop support	
CMS Database Administrators		Mike Dunefsky
database maintenance and support (required to bring systems back online in the event of a disaster)	Finance ; Students ; HR ; Enrollment	
CMS Project Office		Mike Dunefsky
CMS Helpdesk (first point of contact for most students)		
Administrative Applications		Mike Dunefsky / Joan Torne
Provides back end data retrieval/correction and programming support	to restart the campus this function is unnecessary, however if student/staff/faculty contact information is needed, this unit can retrieve information to pass to emergency personnel	

UTS : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
Network Services - Systems & Servers		Victor Van Leer / Jaime Sanchez
Internet Connectivity - Border Router	Provides and supports Internet connectivity, for campus, MLK, UHS and other Auxiliaries	
Network Connectivity	Provides and supports network connectivity to other departments,colleges and auxiliaries	
Server Farm connectivity - Production servers	Provides and supports network connectivity to critical production servers	
elecom Services		Don Baker
PBX	Voice Services for Campus, UHS, South Campus and MLK. Provides voice and data trunks for external connectivity	
ystems Services		Jaime Sanchez
Operating Systems Analysis	Keep OS patched and running. Keep server running. Check CPU, disk, RAM	
MS Active Directory	Login services for Microsoft active directory	

STUDENT-AFFAIRS : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Notes / Description of Service or Function	Ownership/Next-in-command
ealth Center	Many health services are highly regulated by legal standards of the medical profession	**Health Center Director / Roger Elrod**
Urgent Care -- provision of crisis care		
Triage services		
Assessment of community services lable for referrals and planning for sports		
Assessment and obtaining of medical supplies		

Counseling Services	Many counseling services are highly regulated by legal standards of the psychological profession	**Counseling Services Director Kell Fujimotc**
Crisis assessment and intervention		
Psychiatric services -- medication maintenance, medication assessments		
Outreach to campus community regarding mental health issues, e.g. housing, classrooms, student organizations, etc Educational counseling related to effects of crisis		
Non-crisis assessment		
Disability Resource Center	Almost all functions of the DRC are mandated by federal law in one way or another	**DRC Director / Demerris Brooks**
Student accommodations assessment and implementation		
Deaf and hard of hearing services		
Testing center services		
Alternative media Lab		
Academic technology services		
ADA compliance		
Employee accommodations		
Housing		**Housing Director / Vic Culatta**
Residential life coordinators on 24 hour call for safety		
Housing assignments services		
Maintenance services for habitable living		
Billing and cashiering		
Registrar	Legalities of managing student records are a factor	**Registrar / Marion Sofish**
Maintaining safety and integrity of records both paper and computer		
CMS and backup (maintained by UTS)		
FileMaker databases (maintained by Division of Student Affairs IT)		
Registration services		
Enrollment Services	Reduce recruitment and outreach, use recruiters and records personnel to support student enrollment and admissions	**AVP For Enrollment Services / Colleen Brown**
Status checks for students' admission, enrollment, records		
Financial Aid and Scholarship	Reduce: informational outreach, drop-in counseling, phone hours.	**Financial Aid & Scholarship Director / Coleetta McElroy**
Awarding financial aid following federal guidelines		
Dispersing financial aid following federal guidelines		
Offering group as opposed to individual counseling		

U-ADVANCEMENT : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
Essential Unit Public Affairs		
SJSU Website content	Emergency Operations Center (EOC) directed information for campus and public on website	**Cyril Manning**
Public Relations/PIO function		**Pat Harris**
Essential Unit Advancement Operations		
Advance (Alumni) Database	All 220,000 alum database, prospect tracking	**Ron Sakai**
Essential Unit Development		
Fundraising	During crisis, fundraising is most often needed for recovery	**Anne Johnson**
Essential Unit Alumni Relations		
Call Center	Used by EOC during crisis for incoming calls from parents, public, etc	**Karina Punu**
Volunteer Reference	As needed, recommendations, communications and coordination of external volunteers related to recovery from a crisis	**Paul Richardson**

ATHLETICS : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
ctor's Office		**Tom Bowen, Athletics Directo**
Administrative	Oversee all functions and departments of Athletics	
Business Office		**Matt Witty, Assoc Athletics Directo**
Purchasing	Approval and Processing of expenditures	
Accounting	Budgeting and Tracking of all expenses and revenue	
Book-Keeping	Control and Maintain records of all expenses and revnue for athletics	
Compliance		**Lynn Meade, Associate Athletics Directo**
Regulation	Ensure the University and Athletics abide by NCAA rules and regulations	
Equipment Room		
Inventory	Control, Maintain and Issue team apparel and equipment	
Laundry	Provide laundry services to teams for practice and competition	
Events/Facilities/Maint		**Matt Goudreau, E&F Cordinator**
Events	Plan and Control internal and external sporting events	
Facilities	Maintain and Repair athletics facilities and structures	
Maintainence	Repair athletic facilties and structures	
Internal Operations		**Marie Tuite, Sr. Associate Athletics Director**
Human Resources	Collaborate with University Human Resource policies and procedures	
Administrative	Oversee all staff and coaches within Athletics	
Men's Sports		**Matt Witty, Associate Athletics Director**
Teams	Golf, Football, Soccer, Cross Country, Basketball, Baseball	
Spartan Foundation		**John Poch, Sr. Associate Athletics Director**
Alumni/Donors	Maintain contact with all athletics alumni and donors	
Sports Information		**Lawrence Fan, Assistant Athletics Director**
Media Relations	Provide and Coordinate information on Athletics Teams and Staff	
Record-Keeping	Maintain records and results of all athletics events	
Sports Medicine		**Scott Shaw, Director of Sports Medicine**
Treatment	Prevent and treat injuries occuring in practice and competition	
Rehabilitation	Provide rehab treatment for student-athletes during post-injury	
Student Academic Services		**Liz Jarnigan, Associate Athletics Director**
Enrollment	Maintain student-athletes course schedule for graduation	
Tutoring	Provide academic assistance to student-athletes	
udent Services	Provides assistance with Financial Aid, Housing,	
t Operations		**Darren Coelho, Assistant Athletics Director**
Sales	Sell and Distribute tickets for Athletics Events	
Customer Service	Provide information to inquiries about Athletics Events	
Women's Sports		**Matt Witty, Associate Athletics Director**
Teams	Cross Country, Tennis, Gymnastics, Softball, Basketball, Soccer, Volleyball, Golf, Swimming, Water Polo	

Business Impact Analysis Matrix

"Top down" approach by Dorothy Poole – subsequently replaced by survey/self-reporting approach

Mission-Critical/Essential Functions	Business Impact*	Maximum Allowable Downtime	Time to Restore CODES: 1=0-4hrs 2=4-8hrs 3=8-12hrs 4=12hrs+	Priority in Restoration CODES: 1 2 3	Contacts	
					Process Owner(s)	BCSC Member(s)
INSTRUCTION:	**A**				Deans, AVP Academic Technology	Whitcomb
• Classroom						
• Online						
TECHNOLOGY INFRASTRUCTURE:	**A**				W. Nance	Sanchez
• Systems/Servers						
• Network						
• ERP System - CMS						
• ERP System - Enrollment						
• Payroll System						
• Administrative Applications						
• Desktop/Server Support						
• ITSS Help Desk						
FINANCIAL SERVICES:	**M**				J. Larochelle	Poole

Business Impact Key:

A – Disruption of teaching?
B – Disruption of research?
C – Loss of faculty?
D – Loss of staff?
E – Loss of students?
F – Well-being of faculty/staff affected?
G – Well-being of students affected?
H – Payment deadlines unmet by campus?
I – Loss of revenue to campus?
J – Legal/regulatory obligations unmet by campus?
K – Legal harm to the University?
L – Loss of reputation?
M – Impact on other campus unit(s)?
N – Impact on important business partner(s) or academic collaborations?
O – Data collected prior to the event is unrecoverable?
P – Data available or collected after the event is unavailable?
Q – Additional costs incurred to recover unprocessed data or transactions?

Mission-Critical/Essential Functions	Business Impact*	Maximum Allowable Downtime	Time to Restore CODES: 1=0-4hrs 2=4-8hrs 3=8-12hrs 4=12hrs+	Priority in Restoration CODES: 1 2 3	Contacts	
					Process Owner(s)	BCSC Member(s)
• Bursar Services						
• Purchasing						
• Accounts Payable						
COMMUNICATIONS:	**M**				L. Carr	Drury
• University Website						
• Public Relations (PIO)						
SAFETY:	**F,G,M**				P. Decena	Poole
• Police, Fire, Ambulance Services						
• Access/Egress – campus & facilities						
• Safe handling & disposal of hazardous substances						
FACILITIES:	**F,G,M**				A. Kashiri	Poole
• Utilities – electricity, water, reasonable climate control, adequate lighting						
• Operations – custodial, warehouse						
• Maintenance – minor						

Business Impact Key:

A – Disruption of teaching?
B – Disruption of research?
C – Loss of faculty?
D – Loss of staff?
E – Loss of students?
F – Well-being of faculty/staff affected?
G – Well-being of students affected?
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Mission-Critical/Essential Functions	Business Impact*	Maximum Allowable Downtime	Time to Restore CODES: 1=0-4hrs 2=4-8hrs 3=8-12hrs 4=12hrs+	Priority in Restoration CODES: 1 2 3	Contacts	
					Process Owner(s)	BCSC Member(s)
repairs						
• Shipping/ Receiving						
• On Campus Housing						
• On Campus Dining Services						
HUMAN RESOURCES:	**F,G,M**				M. DeGuevara	Poole
• Payroll						
• Benefits						
• Risk & Compliance						
• Counseling Services: EAP						
STUDENT SERVICES	**E,G,J**				C. Busalacchi	Thames
• Health Center						
• Counseling Services						
• Disability Resource Center						
• Enrollment Services						
• Registrar						

Business Impact Key:

A – Disruption of teaching?
B – Disruption of research?
C – Loss of faculty?
D – Loss of staff?
E – Loss of students?
F – Well-being of faculty/staff affected?
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H – Payment deadlines unmet by campus?
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Mission-Critical/Essential Functions	Business Impact*	Maximum Allowable Downtime	Time to Restore CODES: 1=0-4hrs 2=4-8hrs 3=8-12hrs 4=12hrs+	Priority in Restoration CODES: 1 2 3	Contacts	
					Process Owner(s)	BCSC Member(s)
• Financial Aid & Scholarship						

Business Impact Key:

A – Disruption of teaching?
B – Disruption of research?
C – Loss of faculty?
D – Loss of staff?
E – Loss of students?
F – Well-being of faculty/staff affected?
G – Well-being of students affected?
H – Payment deadlines unmet by campus?
I – Loss of revenue to campus?
J – Legal/regulatory obligations unmet by campus?
K – Legal harm to the University?
L – Loss of reputation?
M – Impact on other campus unit(s)?
N – Impact on important business partner(s) or academic collaborations?
O – Data collected prior to the event is unrecoverable?
P – Data available or collected after the event is unavailable?
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Business Continuity Planning (BCP)
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Section 5 : PRINCIPLES OF RESILIENCY ASSESSMENT

Chapter 1 : Survey template for identified Essential Units

LIST OF ESSENTIAL BCP UNITS THAT REPORTED THEIR RESILIENCY SELF ASSESSMENT

Section 1: Admin & Finance

Finance

- Accounts Payable
- Procurement
- Bursar / Tower Card
- Bursar / Cashiering
- Bursar / Collections
- Bursars / Students Accounts
- Receiving
- Mail Metering
- Mail Delivery

HR

- Risk/Compliance
- Payroll
- Benefits

UPD

- Campus Access
- Emergency Communications / Dispatch
- Emergency / Police Repeaters
- Police Field Operations
- UPD Communications / AlertSJSU

FDO

- Hazardous substances
- Legally Responsible Official (State reporting)
- Emergency response
- Exterior lighting
- Chilled water
- Steam
- Power
- Natural Gas
- Sewer
- Water
- Repairs/Maintenance
- Power Systems
- Building elements
- Water/Sewer systems
- HVAC systems
- Access & Locks
- Alarms & safety systems
- Maintenance & Repairs
- Custodial
- Building exteriors / pathways
- Dispatch
- Stores / Warehouse
- CMMS - Web System for Maintenance Management
- Building Official - inspection / code
- Archives & Plans

Dining

- Dining Commons
- Retail Dining

(to be completed: Academic Affairs & President's Office)

Section 2: Student Affairs

Registrar

- Registration
- Records
- CMS
- Shadow systems / Filemaker

Admissions

- Verification - undergrads
- Verification - graduates
- Verification - SOAR
- Information - Admissions
- Information - GAPE
- Information - SOAR

Health Center

- Triage
- Infection Control
- Supplies/Vendors

Financial Aid

- Integrity of Records
- Disbursing
- Counseling
- Awarding

Counseling Services

- Psychiatric
- Crisis Assessment & Intervention
- Non-crisis Assessment
- Outreach to campus

Housing

- Lodging
- Facilities
- Food & Water
- Residential Life
- Cashiering
- Billing

Section 3: University Advancement

- U. Advancement Operations
- PR Information
- SJSU website
- Alumni Call Center
- Development / Fundraising
- Alumni Volunteers Management

Section 4: UTS

- Internet connectivity
- Campus connectivity
- Operating systems
- Active Directory
- Server Farm connectivity
- Telecom - Voice services

Section 5: CMS & Admin Tech

- Admin Apps
- Database Administration
- CMS help desk / MySJSU
- Desktop/Server Support

Section 6: Athletics

- Director's Office
- Business Operations
- NCAA Compliance
- Events / facilities
- Women's sports
- Men's sports
- Media relations

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): _____

Name of function/service being assessed below: _____

Business processes

Are there complex business processes in this function? yes no

If yes, hat are the complex processes? (just name them)

If a process is complex, is there a written description? yes no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function? yes no

If it's important, is management know-how distributed, or concentrated in one manager? concentr'd distrib'd

Can this function be restored if the current management / chain of command is not available? yes no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees? yes no

If yes, what are those specialized tasks? (just name them)

If yes, are there cross-trained employees to do these tasks as backups? yes no

Can this function be restored if the current specialized employees are not available? yes no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function? yes no

If yes, are they hard to replace? yes no

If they are hard to replace, is there redundancy planning for them? yes no

Can this function be restored if some of the current equipments and hardware are not available? yes no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Data, and Applications

Are there specialized applications and data without which the EU cannot function? yes no

If yes, what are they? (just name the application or database)

Are the essential applications difficult to reinstall? yes no

Are the essential data difficult to recover or to re-load? yes no

Can this function be restored if some essential data and applications are not available? yes no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Facility / location

Does this function have special requirements for location or facility? yes no

If yes, what are they? (give brief description of requirements)

Can this function be restored if it must move to another location? yes no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

SJSU Business Continuity Panning (BCP)

Resiliency/Vulnerability Assessment of Essential BCP Units

Background:

- The Essential BCP Units (EUs) were identified in the Business Impact Analysis (BIA) Phase.

- Each EU was then asked to fill out a Self-Assessment Questionnaire (Questionnaire Q1) in which they evaluate their ability to restart after a disaster, for the following factors:

  - Complexity of Business Process
  - Staffing, Equipments & Hardware
  - Data & Applications
  - Facilities & Location
  - Most likely Scenarios of Failure to Restart

- On the next page is the full list of Essential BCP Units of SJSU that have returned their self-assessment.

- Based on the returns of that 1st Questionnaire, the Business Continuity Steering Committee (BCSC) has selected the following 2 classess of risk to address in the current BCP cycle: (a) Scenarios of Failure to Restart, and (b) IT risks.

- This Questionnaire Q2 is to follow up on risk (a) "Scenarios of Failure" (we will address "IT risks" later in a separate questionnaire).

- This is a drilling down into the issues in more details, it is not a duplicate of Q1.

- The BCSC Representatives will gather the responses from the EUs, compile them into a Divisional Summary and get the OK by the Divisional VPs before submitting the summary to BCSC. The upcoming BCP's Solution Design Phase will be based on that summary.

Questionnaire Q2

- Please describe the most likely scenarios according to which your Essential Unit would not be able to restart after a major regional disaster.

- As manager of your Essential Unit, you know best as to what would prevent this Essential Unit from being restarted.

- As an example, consider the following questions: Would it be because of issues related to Staffing? Or Facilities/Location/Building? Or Hardware/Equipment, or Regulatory Requirements, ...?

- For the purpose of this Questionnaire, do not consider IT risks (since that risk will be addressed separately, in conjunction with UTS and CMS/AdminTech ...)

- Concentrate only on the high probability scenarios (if you don't see any, say "no risk of failure to restart")

- Also describe how such failure to restart would impact other campus operations.

Please describe your scenarios below, in details, in a short paragraph (maybe 3 to 6 lines)

NAME OF REPORTING ESSENTIAL UNIT => . . .

Narrative of scenario of failure to restart: . . .

(What would most likely prevent this Essential Unit from restarting?
How probable is this scenario of failure to restart?
What other campus operations would be held-up by this failure?)

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Section 6 : REDESIGN OF CAMPUS BCP COLLABORATION

Chapter 1 : Switching from campus-wide target deadlines to departmental self-service

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SAN JOSÉ STATE UNIVERSITY

Ninh Pham-Hi <ninh.phamhi@sjsu.edu>

Reminder: BCSC meeting Thursday 3/8/2012 at 930am in Clark 542

1 message

Ninh Pham-Hi <ninh.phamhi@sjsu.edu> **Tue, Mar 6, 2012 at 3:53 PM**
To: Charles Whitcomb <charles.whitcomb@sjsu.edu>, Robb Drury <robb.drury@sjsu.edu>, Jaime Sanchez <Jaime.Sanchez@gfwd.sjsu.edu>, Peter Deutsch <Peter.Deutsch@sjsu.edu>, Michael Dunefsky <Mike.Dunefsky@sjsu.edu>, Matthew Witty <Matt.Witty@sjsu.edu>
Cc: Dorothy Poole <dorothy.poole@sjsu.edu>, Josee Larochelle <josee.larochelle@sjsu.edu>, Barb Black <barbara.black@sjsu.edu>

Hello everyone,

Our schedule meeting is Thursday 3/8/2012 at 930am in Clark 542.

The agenda for this meeting is particularly meaningful because the Committee will need to discuss a few changes in our approach to doing BCP at SJSU, namely:
- going from bottom-up to top-down
- going from targeted analysis to customizing boiler-plate documents
- going from centralized project management to online self-service and self-reporting of compliance

I really hope you all can be there to give input to the new direction

Thanks very much

--
Ninh Phamhi, Director
Internal Control and Business Continuity Planning
San Jose State University
408 924 1603

SJSU BCSC MEETING OF 5/10/2012 - STRATEGIC REFOCUSING

Survey of current industry practice re. BCP (see Appendix)

CO audits

- only 6 campuses audited in 2010; no additional BCP audit in 2011 and 2012
- Charlene Minnick's coded memo in Jan 2012 reminding the need to comply to EO 1014
  - SJSU risk of BCP audit in near future is not high

CSU campuses

- a detailed web search shows that a few CSU campuses have a functional BCP website
  - many campuses currently have a minimalist BCP website
  - and quite a few don't have a BCP website per-se, their BCP is lumped with Emergency/Pandemic Response
- even those that have a functional BCP website seem to not be very current and up-to-date
  - they don't show current or recent BCP activites on their campus
- the functional websites all have a self-service component
  - some self-service links are broken (Berkeley/Kuali), other point to a minimalist Word document of PDF

Higher education industry

- not a lot of actual completed plans to be found
  - but a plethora of templates and how-to documents
- top-tier institutions do not post their BCP plan on the web
  - instead of self-service they have full BCP staff under Risk Management
- the industry standard seems to be to integrate the BCP function into the basic routine of managers
  - this is what SJSU wants to do (after that we finsih our self-service BCP website)

Change in approach for BCP at SJSU

Old approach

- BCSC members gather BCP input from campus departments
- BCSC members are responsible for completion of individual BCPs in their Division
- BCP Coordinator is responsible for
  - designing the processes
  - creating the BCP tools
  - aggregating the master plan
  - managing the working agenda of BCSC

New approach

- BCSC gives guidance to the BCP process and the self-service approach
- each Essential Unit is responsible for doing and submitting their individual BCP (using self-service tools)
- BCSC is responsible for reviewing and approving individual BCPs
- BCP Coordinator is responsible for
  - designing the processes
  - creating the BCP tools
  - aggregating the master plan
  - managing the working agenda of BCSC

New Timeline and Deliverables

New Timeline (see Appendix)

- replacing step "individual solution design" with "creating self-service BCP website"
  - we will get the managers of the Essential Units to do their self-service solution design

SJSU BCP Website

- all relevant SJSU BCP information, to serve as reference sources
  - will use open resources from other CSU's and from the web
- a log of the work by BCSC
  - to document the work of BCSC, to comply to State and CSU regulations
- self-service tools for Essential Units to do ongoing updating
  - a repository of self-service forms
- link to the fulll BCP logistical manual (first version)

SJSU BCP Logistical Manual

- it will combine all BCP input we have gathered so far: BIA, Essential Units, Resiliency Assessment...
  - this first draft will be completed later with the solution designs for the identified vunerabilities
    - solution design will be submitted by managers of Essential Units via self-service tools
  - it will follow the format of the U of Maryland sample in the Appendix

Statement of Purpose

Audit Process

Internal Audit Reports

External Audit Reports

Internal Controls

Reporting Improper Activities

How to Request an Investigation

Audit Committee Charter

Organization Chart (.pdf)

Forms

Links

Home

Business Continuity Reports

2010

Action of web search on BCP

- 1057 San Diego (.pdf) → Word Doc as BCP-template (minimal)
- 1058 San José (.pdf) → website
- 1059 Channel Islands (.pdf) → None
- 1060 Bakersfield (.pdf) → None
- 1061 Los Angeles (.pdf) → website
- 1075 Systemwide (.pdf)

Stanislaus: "BCP" = Emergency Response = Pandemic Plan

CSU Northridge: NO BCB website, ∈ UPD.

CSU Fastbay = PDF from 2006.

San José State University
ADMINISTRATION AND FINANCE DIVISION

Business Continuity

Business continuity is an ongoing program of activities designed to ensure that the University is prepared to restart it's mission-critical functions after an adverse event occurs. Business continuity planning is required by Executive Order #1014 (PDF).

Components of SJSU Business Continuity Planning (BCP)

1. Business Case (PDF) - explains the Business Continuity Planning effort at SJSU.
2. Business Continuity Steering Committee (PDF) - describes the purpose (charter) and membership.
3. Master Plan (doc) - describes how SJSU is approaching business continuity planning.
4. Archive Documents

For more information

Contact Ninh Phamhi, SJSU Business Continuity Coordinator, ninh.phamhi@sjsu.edu
For information related to Emergency Preparedness & Crisis Management - Emergency Preparedness and Crime Prevention

Did you know

San José State is the largest educational institution in Silicon Valley.

Administration & Finance Division
One Washington Square
San José, CA 95192-0006
Phone: 408-924-1500
Located in: Clark Hall 542

Important: Documents in PDF format require the free Adobe Acrobat Reader for viewing.

4

UNIVERSITY SERVICES

Home
Budget Planning and Administration
Business Continuity
Institutional Research & Assessment
Internal Auditing Services
Property Development
Quality Improvement

Business Continuity

Sustain the University's Mission

Business Continuity Services supports preparation activities of faculty and staff members to sustain the University's mission-critical functions when disruptive events affect the campus.

Boost Our Capacity to Recover

Through business continuity planning we can maximize our readiness to continue our mission in the aftermath of a disruption and do what we do everyday at California State University, Long Beach—provide instruction, conduct research, and serve our campus community

CONTINUITY READINESS

EMERGENCY READINESS

INDIVIDUAL READINESS

How the Campus Plans

- Our Readiness Framework
- Introduction to Business Continuity PDF
- Executive Order 1014
- Resources

Continuity Software

- Restarting CSULB - Planning Tool

broken link!

Planning Support for You

- Business Continuity Planning at CSULB PDF
- Business Continuity Steering Committee
- Emergency and Personal Preparedness

Office Information

California State University, Long Beach
Business Continuity Services
Brotman Hall (BH 320)
1250 Bellflower Blvd.
Long Beach, CA 90840-0119

Phone: (562) 985-7148
Fax: (562) 985-5584

Organization Chart

Contacts

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Mishelle Laws
Assistant Vice President
Quality Improvement

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mlaws@csulb.edu

5

Risk Management
Business Continuity Planning
Workers' Compensation
Forms
Meet Our Staff
Contact Information

BRONCO DIRECT
Human Resource Services
Benefit Services
Administrative Affairs Division
Administrative Affairs Special Programs
PolyCARES (Violence Prevention)
University Ombuds
University Policies

Business Continuity Planning

About Business Continuity Planning

- What Is Business Continuity?
- How Can We Prepare?

Log in to POLY | Ready

Getting Started

- Creating a Business Continuity Plan
- Helpful Tools

Cal Poly Pomona's Business Continuity Program

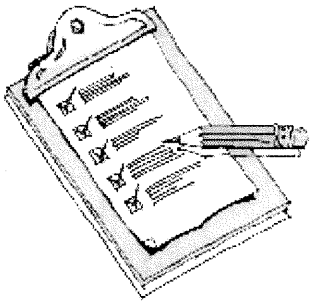
- Mission, Goals, and Objectives
- Cal Poly Pomona Business Continuity Planning Committee
- CSU Business Continuity Program - Executive Order Number 1014

View our progress!

Lisa Dye
Business Continuity Analyst
University Risk Management
Cal Poly Pomona
Ph: 909-869-3732
Fax: 909-869-4868
Email: lddye@csupomona.edu

Home
A Message from the Chief
Mission Statement
Annual Security and Fire Safety Report
Crime Prevention
Emergency Notification System
Emergency Preparedness
Environmental Health & Safety
Fingerprinting Services
Lost and Found
Parking Services
Safety Escort Service
State Key Control
Transportation Services
blic Safety
ganization Chart
Guidelines for Handling Mail
Other Links
Forms
Get Adobe Reader

Campus Emergency Plan



The Campus Emergency Plan is designed to provide information to emergency response personnel and is basically an administrative guide outlining action steps for those offices and departments contributing essential services in emergency situations. The plan is directed toward flexibility, as the time and extent of a disaster is unpredictable. Each campus department is responsible for formulating and maintaining its own standard operating procedures in support of this plan.

Sign up now to receive real-time text notifications in case of a campus emergency.

- Campus Multi hazard Emergency Plan
- Influenza Pandemic Business Continuity Plan
- Active Shooter
- Active Shooter (Dispatch)
- Emergency Operations Executive Checklist
- EOC Director Checklist
- Finance Checklist
- Logistics Checklist
- Operations Checklist
- Personal Planning Emergency Workbook
- Plans Checklist
- President's Checklist
- Public Information Officer's Checklist
- Safety Officer Checklist
- Situation Report
- Students with Disabilities
- Building Coordinator's Emergency Checklist (.pdf 161 kb)

Business Continuity Plan and Forms

- University Business Continuity Plan → links to Pandemic
- Public Safety Business Continuity Plan
- Business Continuity Goal and Objective Worksheets
- Business Requirements
- Functions & Assets

Homeland Security

This page contains a file that requires Adobe Acrobat to view. If you need an Adobe viewer, you can Download Adobe Reader for free.

Policies, Procedures, & Guidelines
Current Documents
Process
Contact Information

Business Continuity Program

Definition:	California State University San Marcos is responsible for implementing and maintaining a Business Continuity Program. The program shall enhance the University's abilities to recover operations and essential functions following a catastrophic event or other major disruption.
Authority:	Executive Order 1014, CA Government Code Sections 8550, 8607; Governor's Executive Order D-25-83.
Scope:	Applies to all departments of the campus community.
Responsible Division:	Finance & Administrative Services
Approval Date:	02/04/2010
Implementation Date:	02/04/2010
Originally Implemented:	02/04/2010
Signature Page/PDF:	View Signatures for Business Continuity Program Policy

Procedure

I. Definitions

A. "Business Continuity" - The ability of an organization to provide service and support for its customers and to maintain its viability following a catastrophic event.

B. "Business Continuity Coordinator" - A role within the Business Continuity Program that coordinates planning and implementation for overall recovery of an organization or unit(s).

C. "Business Continuity Plan (BCP)" - 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 essential functions or operations after an interruption.

D. "Business Continuity Program" - A management framework for resuming essential functions or operations after a disaster or emergency that may threaten the health and safety of the campus community or disrupt its programs and operations.

E. "Business Impact Analysis" - A process designed to prioritize business functions by assessing the potential quantitative (financial) and qualitative (non-financial) impact that might result if an organization was to experience a catastrophic event.

F. "Business Unit" - Any academic or administrative departments, unit, center, institute, division, or college.

G. "Essential Function" - Is defined in Federal Preparedness Circular 65 as a function that enables an organization to provide vital services, exercise civil authority, maintain the safety and well being of the general public, or sustain the industrial or economic base during an emergency.

H. "Essential Business Units" - Campus business units which must perform essential functions while the campus is involved in managing emergency response and

Risk Management Home

Insurance Requirements

CSU, Chico Insurance Programs

Academic Field Trips & Off-Campus Activities

Request a Field Trip or Off Campus Activity Waiver of Liability Form

Special Events & Campus Activities

In Case of an Injury or Automobile Accident

Subpoena/Summons

Student Placements with Community Organizations

Claims Against CSU, Chico

Business Continuity Program

Risk Management Advisories

Risk Management Advisory Board

Related Links

Staff

Forms

FAQ

"Risk Management is everyone's job."

– Chancellor Reed

Business Continuity Program

EO 1014 delegates the responsibility for establishing and maintaining an effective Business Continuity Program to each campus. Our campus has contracted with the Kuali Ready Foundation via the Chancellor's Office to provide an electronic process for departments to create, store and maintain their own Business Continuity Plans.

Departments identified as performing essential functions to campus will be notified via email of their need to complete a departmental Business Continuity Plan. Once you have been notified, please follow the steps outlined below to complete your plan.

1. View the BCP Power Point Tutorial (Not Currently Available).
2. Conduct a Business Impact Analysis and Risk Assessment using the Business Impact Analysis- Procedures worksheet.
3. You can also download a copy of the Business Continuity Plan User Manual (Not Currently Available).
4. Begin your plan by clicking here:

http://us.readv.kuali.org/CSUC

Once you have completed your plan, it will be reviewed by the Business Continuity Coordinator and/or the Business Continuity Steering Committee who will provide feedback and recommendations as necessary. Once the Business Continuity Plan has been approved, EO 1014 calls for:

1. The departments to update their plan to reflect any key changes in personnel or departmental operations. Updates need to be signed by the department head and the Business Continuity Coordinator and/or the Business Continuity Steering Committee.
2. The departments to test some part of their plan once a year and the entire plan every seven years. The tests need to be signed off by the Business Continuity Coordinator and/or the Business Continuity Steering Committee

The Business Continuity Coordinators are:

Mike Thorpe, Campus Risk Manager

Beth Kissinger Interim Director of Buisness Information Systems

The Steering Committee Members are:

Marvin Pratt	Director of Environmental Health & Safety
Eric Reichel	Chief of Police
Meredith Kelley	Vice Provost for Enrollment Management
David Stephen Services	Director of University Housing & Food
Bill Post	Vice Provost of Information Resources
Sue Maligie	Director of Accounting Operations
Maurice Bryan Resolution	Director of Employment Practices/Dispute
Brooke Banks	Information Security Officer
Phyllis Weddington	Director of Enterprise Technologies
Kathleen Gentry Services	Interim Director of Facilities Management
Pedro Douglas	Interim Director of Student Health Services

UNIVERSITY OF MARYLAND

BUSINESS CONTINUITY PLAN

(FINAL DRAFT)

Table of Contents

I. GENERAL

Introduction

Business Continuity Planning is the process whereby organizations ensure the maintenance of critical operations when confronted with adverse events such as natural disasters, technology failures, human errors, or terrorism. The objectives of a business continuity plan are to minimize loss to the organization, continue to serve customers, and maintain administrative operations. The overall business continuity planning process is depicted in Figure 1.

The University has an obligation to protect and provide for students, faculty, staff, and visitors in the event of a major interruption of our mission or operation. These obligations extend to a responsibility for each Department to be able to meet its individual obligations. This includes the ability to provide the services expected of them and to carry out functions critical to the mission of the University should an event occur that interrupts the normal course of operations. Failure to have an adequate continuity plan could lead to financial disaster, interruptions of academic classes, failure of research projects, and delays in completing other mission critical activities.

Scope

The Business Continuity Plan (BCP) is executed after health, life, and safety issues are addressed. The Campus Disaster Plan addresses health, life and safety issues. As a minimum, the BCP assumes the following have been restored:

-Police, Fire, and Ambulance services
-Electricity, water, reasonable climate control, and adequate lighting
-Access to and egress from campus, classrooms, and administrative facilities
-Safe handling and proper disposal of toxic substances, biologically hazardous materials, and radioactive materials

Business Continuity Planning encompasses maintaining and recovering the business, not just the recovery of technology.

Business Continuity Planning requires both a university-wide plan and individual plans for operating units that are responsible for mission critical functions. Mission critical functions are processes that are essential to ensure loss to the organization is minimized, constituents continue to be served, and administrative operations are resumed safely and effectively.

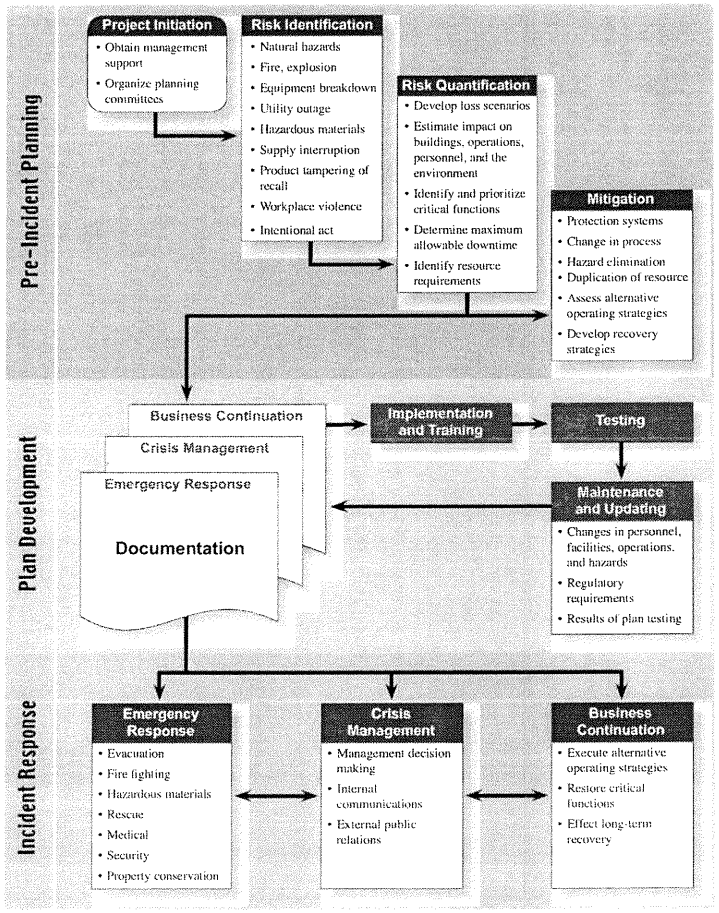
Components

The commonly accepted components of a Business Continuity Plan are:

Business Impact Analysis – identifies critical business processes, assigns estimates of maximum allowable downtime, and designates priorities for restoration.

Risk Assessment – identifies specific threats, assesses vulnerability to those threats, and assigns degree of risk associated with each threat.

Figure 1-The Business Continuity Management Process



Risk Management/Continuity Planning – utilizes the Risk Assessment to determine which risks should be managed; and provides a written, widely disseminated, and exercised plan on actions necessary to get the business up and running in the event of disruption associated with those risks.

Testing and Updating – establishes mechanisms to exercise the plan and keep it current.

II. BUSINESS IMPACT ANALYSIS

The first step in business continuity planning is determining critical mission processes and the interdependencies between those processes that must continue to exist for the University to function. Critical processes generally fall into one of three general categories:

Safety and Security - Activities needed to sustain a safe and secure environment for students, faculty, staff, patients, the visiting public, and surrounding community. While the Disaster Recovery Plan addresses restoring safety and security, the Business Continuity Plan may be concerned with sustaining those functions for an extended period.

Business Support Services - Activities that allow the University to maintain necessary business operations, safeguard assets, and ensure the financial viability of the University. Examples include payroll, revenue collection, accounts payable, and financial reporting.

Learning, Education, and Research - Activities that carry out or directly support the academic mission of the University. For example, student support services (admissions, registration, etc.), lecture & study, research, post graduate programs, graduation.

Critical business processes identified by each University Division are detailed below.

Academic Affairs

Business Unit	Business Process / Business Function	Allowable Downtime	Priority for Recovery
Office of the Sr. VP and Provost	Academic Affairs Administration	1-2 days	High
Provost Senior Staff	Academic Affairs Administration	1-3 days	High
Grd/Ugrd Admissions	Admissions Peak (Oct-late May)	0-1 days	High
Grd/Ugrd Admissions	Admissions Non Peak	1-2 days	High
Financial Aid	Award Cycle Peak (Sep-late May)	0-1 days	High
Financial Aid	Award Cycle Non Peak	1-2 days	High
Registrar	Registrations/Grade Submission/Drop/Add Peak	0-1 days	High
Registrar	Registrations/Grade Submissions/Drop/Add Non Peak	1-2 days	High

Business Unit	Business Process / Business Function	Allowable Downtime	Priority for Recovery
International Student Services	Visa Processing, interface with International students and INS, etc.	1-2 days	High
Office of the Senior VP and Provost	Academic Affairs Personnel and Budget Office	0-1 days	High
Other Academic Affairs Units	Office of Org. Effectiveness, Baltimore Incentive Awards Program, International Programs, Nyumburu, LGBT Equity, OMSE, etc	3-5 days	Medium
OIRP	Institutional studies and reporting	2-3 days	Medium
Colleges/Libraries/ Other Academic Units	Instruction/ Administration/Support	TBD in College Level Plans	TBD in College Level Plans

Administrative Affairs

Business Unit	Business Process / Business Function	Allowable Downtime	Priority for Recovery
Business Services	Mail Services	1 Day	High
Business Services	IT Group	1 Day	High
Business Services	Motor Transportation Services	½ Day	High
Business Services	Copy/Printing Services	1-2 Days	Medium
Business Services	Terp Services	2-3 Days	Medium
Business Services	Travel Services	1-2 Days	Medium
Human Resources	Compensation & Classification	2-3 Days	High
Human Resources	Data Services / PHR	1 Day	High
Human Resources	Employment	1 Day	High
Human Resources	Staff Relations	2-3 Days	Medium
Human Resources	Organizational Development & Training	5 Days	Low
Procurement	Purchasing	½ Day	High
Procurement	Construction & Facilities Procurement	½ Day	High
Procurement	Physical Distribution Center	½ Day	High
Procurement	Central Receiving	½ Day	High
Procurement	General Stores	½ Day	High
Procurement	Central Shipping, and Distribution	½ Day	High
Comptroller	Bursar – Peak Period – Online Payments	1 Day	High
	Bursar – Peak Period - Bill Generation	1 Day	
	Bursar – Peak Period – Walk Up Payments	2-3 Days	
Comptroller	Bursar – Non Peak – Online Payments	1 day	Medium
	Bursar – Non Peak - Bill Generation	5-10 Days	
	Bursar – Non Peak – Walk Up Payments	2-3 Days	
Comptroller	Accounts Payable/Accounts Receivable	1 day	High
Comptroller	General Accounting-Working Fund Checks	½ Day	High
Comptroller	Payroll	None	High
Comptroller	Budget – Peak	1 Day	Medium

Business Unit	Business Process / Business Function	Allowable Downtime	Priority for Recovery
Comptroller	Budget – Non-Peak	2-3 Days	Medium
Comptroller	Contract and Grants Accounting	1 Day	High
Facilities Management	Facilities Planning	24-48 hrs	Medium
Facilities Management	Architecture, Engineering, and Construction	24-48 hrs	Medium
Facilities Management	Operations and Maintenance	None	High
Facilities Management	Building and Landscape Services	None	High
Facilities Management	Office of Facilities Administration	None	High
Environmental Safety-All	Staffing operations of critical personnel for emergency response	None	High
Environmental Safety-All	Providing emergency response for the campus	None	High
Environmental Safety-All	Investigating accidents, incidents, exposures and discharges	None	High
Environmental Safety-All	Providing technical assistance and evaluation to assess and communicate risks	None	High
Environmental Safety-Fire Marshall's Office	Access to emergency communications equipment and vehicles	None	High
Environmental Safety-Risk Mgmt & Insurance	Managing insurance claims process for all incidents	Two days	Medium
Environmental Safety-Risk Mgmt & Insurance	Managing/reporting workers' compensation injuries	One Day	Medium
Environmental Safety-Environmental Affairs	Provide notice of hazardous material releases to regulatory agencies	None	High
Environmental Safety-Environmental Affairs	Maintain security and integrity of controlled waste facility (Building #344)	None	High
Environmental Safety-Environmental Affairs	Provide collection, packaging and secure storage of controlled waste	Seven days	Low
Environmental Safety – Occupational Safety and Health	Access to Chemical Inventories	None	High
Environmental Safety – Occupational Safety and Health	Access to Material Safety Data Sheet Info and Lab Signage	None	High
Environmental Safety – Occupational Safety and Health	Access to Personal Protective Equipment	None	High
Environmental Safety – Radiation Safety	Secure Radiation Facilities	None	High
Environmental Safety – Biosafety	Ensure safety and security of Select Agents	None	High
Public Safety	Staffing operations of critical personnel for emergency response	None	High
Public Safety	Providing emergency communications equipment and vehicles	None	High
Public Safety	Activation of Campus Emergency Operations Center	None	High
Public Safety	Mobilizing Field Incident Command Post	None	Medium

Business Unit	Business Process / Business Function	Allowable Downtime	Priority for Recovery
Public Safety	Investigating criminal activity related to incident	None	Medium
Public Safety	Providing site security and orderly traffic flow	None	High
Public Safety	Acquiring other law enforcement and governmental recourses	One day	Medium

Research

Business Unit	Business Process / Business Function	Allowable Downtime	Priority for Recovery
ORAA	Pre-proposal Routing & Review	1 day	High
ORAA	Electronic Proposal/Data Submission	1 day	High
ORAA	Electronic Data-entry	2 days	Medium
ORAA	Electronic Data Management	2 days	Medium
ORAA	Campus Outreach	5 days	Low
IACUC/LAC	Animal Care & Welfare	1 day	High
IRB	Review & approval of applicable research proposals	2 days	Medium
VPR	DRIF Requests/ Research Council Activities	5 days	Low
OTC	Intellectual property protection	5 days	Low
IGS	Outreach to UM & the State	5 days	Low

Student Affairs

Business Unit	Business Process / Business Function	Allowable Downtime	Priority for Recovery
Student Affairs	PHR, Time & Attendance[1]	8 hours	High
Campus Recreation Services	Campus Recreation Center	24-48 hours	Low
Career Center	Career Fairs[2]	4 hours	Medium
Conference and Visitor Services	Summer Conferences[3]	4 hours	Medium
Conference and Visitor Services	Visitor Center[4]	4 hours	Medium
Counseling Center	Counseling Service	24 hours	Medium
Counseling Center	Disability Support Services	None[8]	High[8]
Dining Services	South Campus Dining Hall[5]	1- 2 hours	High
Dining Services	The Diner[5]	1- 2 hours	High
Dining Services	Facilities Management & Maintenance[5]	1- 2 hours	High
Dining Services	Financial & Information Technology Services[5]	1- 2 hours	High
Fraternity & Sorority Life	Residential Operations[6]	None	High

Business Unit	Business Process / Business Function	Allowable Downtime	Priority for Recovery
Health Center	Primary Care	4 hours	High
Health Center	Medical Records	4 hours	Medium
Health Center	Information Systems	1-2 hours	Medium
Residential Facilities	Housekeeping and Maintenance[6]	None	High
Residential Facilities	Security and Special Services[6]	None	High
Residential Facilities	Financial & Information Technology Services[6]	None	High
Resident Life	Assignments and Public Inquiry	1 day	Low[7]
Resident Life	Residence Halls[6]	None	High
Stamp Student Union	General Operations	1 day	Low
Transportation Services	Fleet Management	None	High
Transportation Services	Shuttle UM Route Services	None	High

[1] It is assumed that OIT will have the PHR system up and running. This critical business function is based on the operational aspect of performing payroll related functions, including the Time & Attendance Card Swipe system.
[2] Sensitive to department schedule – if an event is scheduled during the business continuity cycle after a disaster has been dealt with. Rescheduling should be avoided if at all possible.
[3] Sensitive to schedule – rescheduling events and summer groups should be avoided if at all possible.
[4] Visitors Center should provide operational information after a disaster has been managed and the campus is starting business continuity activities. Visitors will need to know what services are available.
[5] Food Service must continue at all times unless the campus has been evacuated during a disaster, which would mean business continuity activity had not yet begun. Financial, IT, and Facilities servers are all required for business to continue.
[6] Student housing on campus of all varieties MUST be operational at all times.
[7] Priority may be medium or high depending on time of year: The closer to move-in, the higher the priority.
[8] Priority is high with no down time due to the need to communicate with and restore services for hearing impaired, blind or other handicapped students.

University Relations

Business Unit	Business Process / Business Function	Allowable Downtime	Priority for Recovery
Univ Communications	Public information including internet communications	None	High
Information Services	Computer services (Email, data processing, etc)	Peak: 2 Days Off Peak: 3-5 days	High
CP Foundation	Payables and receivables	1 day	High
Development	Fundraising	Peak: 2 days Off Peak: 5 days	Med
Alumni Association	Alumni Association Events (weddings, galas, etc)	Peak: None Off Peak: 5 days	Peak: Med Off Peak Low
Alumni Association	Alumni Association Membership Dues Processing and Gift Telemarketing	Peak: 2 days Off Peak 5 days	Peak: High Off Peak: Med
Univ Publications and Marketing	University Calendar, Magazine, etc	5 days	Low

Office of Information Technology

The core services provided by the Office of Information Technology (e.g., telephone, network, administrative software applications) are considered basic to the recovery of most if not all the above business processes. As such, OIT maintains a separate Disaster Recovery Plan that addresses the recovery and the continuity of those services in the event of a disaster.

III. RISK ASSESSMENT

The second step of business continuity planning is to determine the potential hazards or threats that could affect the University, assess the likelihood of their occurrence, and analyze our vulnerability. This analysis then forms the basis for preparing the continuity plan. More time and resources are spent planning for and, where possible, preventing disasters that are judged to have both a high likelihood of occurrence and a high level of severity.

This risk analysis provided herein is extracted verbatim from the University's Disaster Recovery Plan. This risk analysis addresses the likelihood of occurrence and severity of threats as viewed from a campus wide perspective. Operating units can use this assessment as a guide in developing their specific risk assessments, but must realize that both likelihood of occurrence and event consequence may differ when viewed from a unit level. For example, the occurrence of a major fire that affects the entire University is judged to be unlikely, but the occurrence of a fire affecting a specific warehouse that lacks robust fire prevention measures may be judged likely.

Broad Categories of Hazards

The University of Maryland recognizes that the planning process must address each hazard that threatens the University. The University is vulnerable to a wide range of threats. The University, with its varying topography, mixed use of space, rapidly growing student population, and transient and recreational population is subject to a wide variety of negative impacts from natural and technological hazards. The natural hazards and technological or man-made hazards that confront the University include:

Natural Hazards
- floods;
- fires;
- extreme weather/storm; and

Technological/Man-made Hazards
- utility/telecomm failure;
- hazardous materials;
- major vehicle accident;
- train accident;
- airplane crash;
- civil disturbance; and
- terrorism.

A hazard matrix that depicts the likelihood of occurrence and severity level of each of these hazards is listed below.

Hazard Matrix

Hazard	Likelihood of Occurrence		Severity		
	Likely	Unlikely	High	Moderate	Low
Tornado	X		X		
Flood		X			X
Air Crash	X				X
Structural Collapse		X		X	
Disease Outbreak		X			X
Civil Disorder	X		X		
Train Accident		X	X		
Utility Failure		X	X		
Power Failure		X	X		
Telecomm Failure		X	X		
Major Fire		X		X	
Extreme Weather	X		X		
Terrorist Threat		X	X		
Hazmat	X		X		
Earthquake		X	X		
Active Shooter	X		X		
Public Assembly Emergency	X				X
Hostage Situation	X			X	

IV. RISK MANAGEMENT/CONTINUITY PLANNING

Policy

Each University division will appoint a person responsible for continuity planning. This person will be the division focal point for determining which of its units operates processes that are critical and ensuring those processes are identified in section II of this plan.

Each division will ensure that operating units responsible for critical business processes identified in section II develop a Business Continuity Plan that enables the operating unit to continue to perform those critical functions and services in the event of a disaster. Divisions may determine the degree to which continuity planning is consolidated across multiple units within a division. This decision will be based on factors such as commonality of business process, size of the division, etc. However, all identified critical processes must be covered by a plan.

Unit plans must take into account the possibility that a University-wide interruption may affect multiple units. Departments that depend on other departments or external suppliers to provide its critical functions should coordinate with those departments or external suppliers to ensure these suppliers or units also have a continuity plan.

Division coordinators will provide central coordination of the continuity planning process to assist units in determining space, equipment, and services that might be available within the University and to make the planning process coherent across units.

OIT's Policy and Procedure unit will be responsible for collecting all unit plans and the combination of this document and the unit plans will constitute the University's complete Business Continuity Plan. Initial versions of unit plans will be completed and forwarded to OIT no later than six months from the approval of this plan.

In the event plan activation requires prioritization among units for the recovery of services or allocation of limited resources, that prioritization will be accomplished by the President's Cabinet after consideration of the exact circumstances surrounding the plan activation.

Unit Plans

The plan for operational continuity shall contain clear strategies and procedures needed to continue operations and execute a recovery in the event of an interruption that compromises the ability of the operating unit to carry out its critical functions.

The determination that an interruption has occurred may be made by the individual unit manager for local occurrences or by the Cabinet for university-wide occurrences.

Unit plans will follow business continuity planning principles described in this document. The unit Business Continuity Plan should be developed by completing and documenting these steps:

Determine which subset of critical business process(s) identified in section II are being addressed by the unit plan.

Develop a unit risk analysis that uses section III of this document as a guide and identifies risks and/or hazards that might reasonably pose a threat to the operating unit's ability to function. The unit risk analysis should examine threats as they apply to the operating unit so the results may differ from those in section III.

Identify existing and easily implemented controls to avoid these risks and hazards.

Develop and document procedures for recovering all or part of the highest priority functions, given specific failure scenarios and time horizons.

Determine whether each process could be suspended or degraded or whether it must be fully operational immediately. In many cases, service levels may be considerably less than existed prior to interruption, but nevertheless sufficient to sustain the critical mission function for some time.

Determine the time frame for full recovery of critical functions if a degraded service level is deemed initially acceptable.

Identify alternate work sites or other temporary facilities for the most critical functions.

Provide for the ongoing back up of critical data and protection of critical equipment.

Assign local recovery roles, responsibilities, and authority.

Develop procedures for recovering impacted operations quickly, and strategies for providing programs and services under various emergency conditions.

Determine when the plan needs to be activated and identify who within the unit is authorized to implement the plan.

Identify all persons with copies of the plan. Store at least one current copy in an off-site facility with immediate availability.

Maintain the list of resources, vendors, etc., with which the unit has agreements for the provision of services, supplies, or equipment to be used in the event of an interruption of operations.

Establish procedures for contacting appropriate University departments and University suppliers in the event of an interruption of operations.

Establish procedures for return to full, normal operations of the operating unit, including that of non-critical functions.

The questionnaire found at Appendix 1 may assist units in formulating their Business Continuity Plan.

V. UNIT PLAN TESTING AND MAINTENANCE

Testing

Unit Business Continuity Plans must be exercised no less frequently than once every two years. This exercise will include the following:

Identifying exercise objectives
Conducting exercises to validate the viability of the plan
Documenting exercise results and the steps proposed to correct any problems
Making appropriate changes to the plan

Training

Units will assure that training on the use of the plan is provided to ensure that all staff are adequately trained to fulfill their responsibility in support of the recovery process.

Training for new employees should be carried out within 120 days of their start date.

Plans should be reviewed by the unit head once per year. In particular, the unit head should assure that:

Critical functions have been identified
Continuity and recovery strategies are in place
Documentation for the plan is current
Minimum levels of required operation and recovery time frames have been set
Exercising of the plan has been completed during the last 24 months

Plan Maintenance

Unit heads must evaluate the impact of changes within the unit, make appropriate plan updates, and communicate changes to persons holding copies of the plan.

Appendix One

The following questions will aid the University's Colleges and Divisions in providing specific guidance for recovery planning in their constituent departments:

- What are your department's business interdependencies? What do you need from other departments to perform critical functions? What departments depend on you to perform critical functions?

- Are there days of the week or month, or months of the year, when a major emergency would be even more disruptive than at other times?

- Is your essential data backed up regularly? Would the information be accessible if your building was closed, or if the University network was down?

- Does your College/Division and its constituent Departments have planning documents for continuing operations in the event of disaster?

- Is there a process for tracking the cost of business recovery (including funds spent on overtime, special materials/supplies, temporary personnel, etc.) and a mechanism for distinguishing emergency recovery costs from other business expenditures?
  - Are special vendor/contractor arrangements necessary for your department(s) to insure continuity of services?
  - Does your College/Division have a method to make emergency purchases?

- What human resources would you need to restore your most critical functions?
  - Do your employees have personal emergency preparedness plans for their households?
  - If only 50% of your staff/faculty could return to work, could you open?
  -Can some employees telecommute during a disaster. What can you do now to plan for that?
  - If the University had volunteer workers available after a disaster, what skills would be needed in your department?

- What equipment is necessary for the department to perform its functions?

- Have precautions been taken to secure essential equipment in the event of most likely emergencies?

- How would you replace equipment within hours or days to be able to resume normal business?

- If your department couldn't use its office space to operate, how much space would you need to relocate? What kinds of equipment are essential for performing your unit's critical functions?

SJSU BCP - Resiliency Assessment, Phase 2 - To-do list

FOR THIS MONTH (SEPTEMBER)

1. Each Division may want to streamline their internal BCP management and reporting structure

Observation: Large Divisions such as Admin&Finance and Student Affairs and Academic Affairs have up to several dozens of Essential Units (EU's)

If the Divisional BCP Coordinators need to work individually with each of their EU's, that's a huge amount of work

It may be better to streamline the BCP management structure by grouping related EU's together

For example, in Admin&Finance, it may be possible to group the 4 Bursar EU's under the BCP oversight of one manager

A quick look at the list of EU's may give you ideas on how to streamline

This is only a recommendation, it's entirely up to the Divisions to organize their BCP functions internally

=> There is no deliverable for this task

2. Finalize each EU's "Scenario of Failure to Restart"

These scenarios were submitted by each EU when they filled out the Resiliency Assessment Questionnaire

They will be used as the basis for doing the BCP Solution-Design Phase

Therefore, the managers of the EU's need to give more details and conciseness

Each Divisional BCP Coordinator need to review what was submitted to make sure that it is informative enough

And go back to the managers of the EU's for clarification and more details if necessary

After the scenarios are described in a realistic and meaningful way, please compile them all into a Division Summary

The Divisional Summary of "failure to restart" scenarios need to be reviewed and concurred by each Division's senior management

=> The deliverable for this task is the Division Summary of the scenarios of failure to restart of the EU's

3. Identify IT systems that are the responsibility of UTS or CMS/Admin-Tech

A listing of these systems will help the the EU managers to see clearly what they are not responsible for

UTS and CMS/AdminTech need to prepare this comprehensive listing

=> The deliverables for this task are the lists from UTS and CMS/AdminTech

FOR OCTOBER

4. Each EU to identify their own IT systems that they are solely responsible for

Including all applications and databases that they are currently using

legacy systems, shadow systems, home grown systems

Excel files, Word files, Filemaker, Paradox, ... everything that is currently in use, and that is necessary to restart the EU

The restorability of these systems will be considered in the BCP Solution-Design Phase

Each Divisional BCP Coordinator need to obtain a comprehensive list of these departmental tools

After we get the lists from the EU's, we will review them (by Mike, Jaime and Ninh) and keep only the ones that are absolutely necessary

5. Resiliency assessment by UTS and CMS for the campus-wide IT systems identified in Point 3 above

6. Assess the restorability of the departmental IT systems identified in Point 4 above

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After the above tasks are done, we will end up with a list of "failure to restart" scenarios and a list of vulnerable departmental IT systems

We then will be doing the Solution Design Phase on those 2 lists

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book B: REPORTS

Section 1: BUSINESS IMPACT ANALYSIS REPORTS

Chapter 1 : Summary of identified campus Essential Units

SJSU BUSINESS IMPACT ANALYSIS (BIA)

What is it?

It's the listing of campus Units that absolutely must be restored in order for the University to restart

How was this list arrived at?

To restart the University to basic functionality, the following question defines if a Unit must be restored

Would <u>not</u> having the Unit be unacceptable because of ...

A. Disruption of teaching?
B. Disruption of research?
C. Loss of faculty?
D. Loss of staff?
E. Loss of students?
F. Well-being of faculty members or staff affected?
G. Well-being of students affected?
H. Payment deadlines unmet by campus?
I. Loss of revenue to campus?
J. Legal or regulatory obligations unmet by campus?
K. Legal harm to the University?
L. Loss of reputation?
M. Impact on other campus unit(s)?
N. Impact on important business partner(s) or academic collaborations?
O. Data collected prior to the event is unrecoverable?
P. Data available or collected after the event is unavailable?
Q. Additional costs incurred to recover unprocessed data or transactions?

The answers were provided by line managers in charge of each Unit, and collected by BCSC representatives

What is this list useful for?

1. To help senior management to focus on what to prioritize to rebuild the University
2. To provide the framework for BCSC to analyze the resiliency/vulnerability of Campus operations

What are the implications of signing -off on this list

After the BIA list is finalized,

- each listed Unit will have resources-priority to restore itself after a disaster
- all listed Units must relaunch asap, and no later than 3 weeks after the decision to restart the University
- all listed Units must undergo the Resiliency/Vulnerability (R/V) Assessment of BCP
  - all "vulnerabilities" must be addressed in the Solution Design phase of BCP
- all listed Units must participate in the BCP Deployment, Training and Testing

Next steps for this BIA

1. Divisional representatives to review and finalize the documentation of their Units
2. Divisional representatives to look at the BIA of other Divisions that give them <u>essential</u> support:
   - make sure that they are listed
   - make sure that their roles and responsibilities, and ownership (vis a vis Business Continuity) are clear
3. Each Divisional representative needs to get it vetted by the Head of the Division
4. BCSC will then send it to the President's Cabinet for approval

If you think that something was ommitted, whether it's in your Division or not, please make a note, and bring it to the next BCSC Meeting

Note: all IT Units have been highlighted (in blue) so that you can easily identify them

PRESIDENT OFFICE : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
Office of the president		**Process Owners: Chief of Staff Bill Nance**
Management	Coordinate key decision making activities of the University	
Internal communication	Communication with Senior Management Team	
External communication	Communication to the public, via Public Affairs Coordinate key communication packages, e.g. to and from CO, State, other campuses ...	

ACAD-AFFAIRS : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
Student Availability		**Process Owners: Vice Presidents and Deans**
Prioritizing Students (Undergrad & Grad)	Graduating Senior > Senior > Junior > Sophomore > Freshman	
Threshold of students	Threshold percentage of student availability needed for maintaining a course	
Faculty Availability		**Process Owners: Deans and Department Chairs**
Assess Availability of Rooms	**Lecture rooms:** size/specific instructional needs (smart boards, etc.). Flexibility of scheduling (possibility of scheduling into the evenings/weekends) **Lab Rooms:** availability of utilities, access to supplies (e.g., Chemistry classes need a functional chemistry storeroom nearby).	
Assess Student Access to Campus	**External transportation infrastructure** – roads, public transportation **Parking availability**. For example, if two or more garages are out of commission, we will have a very hard time getting students to campus until it is mitigated.	
Inventory of faculty subject knowledge	who can teach what	
Continuity of Faculty Research Activities		
Curriculum		**Process Owners: Vice Presidents, Associate Vice Presidents, Deans, and Department Chairs**
	Each program should decide what is critical for a student to graduate in a given major. In lab-rich curricula, what labs are essential? Possibility of combining capstone course efforts within or even between colleges? Look at courses typically offered every semester or every year. Can they be offered later, once infrastructure is restored?What courses are 'shovel ready' for online delivery. Maybe encourage as many faculty as possible to develop some competency in online instruction software.	
# of students impacted	Per course	
Course Readiness	Individual course readiness for an on-line mode of delivery	
Advising		**Process Owners: AVP for Student Academic Success Center**
Advisors	Designate alternate advisors for each program, accessory emergency advisors. If significant modifications are required for course programs, quite a bit of direct advising may be required. It may be useful for those involved in advising to have some discussions about substitution principles in the event of an emergency that significantly disrupts the campus.	
Data Retrieval	*Process and Access to data *Control data damage.	
Resources		**Process Owners: Vice Presidents**
Assess Effective Resource (regionally used)	In a worst case scenario, facilities like the library may need to be used for medical or even housing uses if the need is extreme enough	
Facilities	*Inventory of rooms by size and features *Develop general principles for sharing facilities (Compare plans with other regional institutions) *Use of physical library learning spaces for on-site for-credit instruction will be priority	
Off-Campus Facilities (Alternate)	ie. Rep Theatre, Camera Cinemas (if they survive the event more intact than facilities on campus)	

Technology	*Library support of distance education and courses delivered using distance education technology will be a top priority *a robust technology library network and infrastructure is necessary to allow for online remote access to digital information resources *Data network *Library services and resources will be embedded in D2L.	
Communications Plan	*Include alternate means of communication *Develop Phone Tree	
Utilities	Availability of electricity, water, data network	
ITSS		Chris Laxton
Help Desk		
Classroom technology support		
Parking Lot Items:		
Dr. Martin Luther King Jr. Library (King Library) is joint University and Public Library - Compliance with spirit of		
Collaboration with City of San Jose and Public Library requires support of use of King Library by the general population		
Dissemination of information to the community and the university regarding the business continuity operations of the City and University will be a top priority for the joint library organization.		

ADMIN-FINANCE : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
FDO Environmental Health & Safety		
Service: Safe Handling & Disposal of Hazardous Substances	Provide centralized collection and disposal in accordance with Federal, State and local regulatory requirements and campus specific permits.	Owner = Adam Bayer Interim 1st Alternate = Chandra Bettagowa 2nd Alternate =
Service: "legally responsible Official" (LRO)	Provide On-line reporting to STATEWIDE INCIDENT reporting systems for sewer and storm drain spills within 4 hours	Owner = Adam Bayer Interim 1st Alternate = Chandra Bettagowa 2nd Alternate =
Service: Emergency Response	Provide campus liaison to appropriate permitting and regulatory agencies	Owner = Adam Bayer Interim 1st Alternate = Chandra Bettagowa 2nd Alternate =
Utilities		
Service / Exterior Lighting	Provide emergency repair and maintenance and temporary security lighting on campus.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Chilled Water	Provide emergency repair and maintenance to district cooling system that provides for comfort cooling for buildings. Respond to pipe leaks.	Owner = Adam Bayer 1st Alternate = Chris Nordby 2nd Alternate = John Skyberg
Service / Steam	Provide emergency repair and maintenance to district steam system that provides comfort heating to buildings. Respond to pipe leaks.	Owner = Adam Bayer 1st Alternate = Chris Nordby 2nd Alternate = John Skyberg
Service / Power	Provide emergency service and maintenance to power to and from the central plant and campus buildings, provide emergency repair and maintenance to utility power systems including underground wiring, manholes and substations.	Owner = Adam Bayer 1st Alternate = Chris Nordby 2nd Alternate = John Skyberg
Service / Natural Gas	Provide emergency repair and maintenance to natural gas piping serving to BT Emergency Generator, IS and Duncan Hall and Engineering Labs, and Dining Commons and Student Union kitchens and Joe West, Hoover, Royce and Washburn heating systems.	Owner = Adam Bayer 1st Alternate = Chris Nordby 2nd Alternate = John Skyberg
Service / Sewer	Provide emergency response to storm and sanitary sewer spills, blockages and sinkholes.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Water	Provide emergency response to district water systems, campus wells, and backflow prevention devices.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Minor Repairs and Maintenance	Provide contract services and access to vendors for special tools and equipment including fuel.	Owner = Adam Bayer 1st Alternate = Chris Nordby 2nd Alternate = John Skyberg
FDO Buildings		
Service / Power Systems including lights, elevators, escalators, emergency generators	Provide emergency service and maintenance to power systems and lighting in buildings.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Building walls, doors, windows counters, stairs	Provide emergency service and maintenance to building elements including doors, windows, stairs and signs.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Water and Sewer Systems including toilets and drinking water	Provide emergency service and maintenance to building water and sewer systems.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / HVAC Systems including heating and cooling and ventilation	Provide emergency service and maintenance to building heating and cooling systems	Owner = Adam Bayer 1st Alternate = John Skyberg

Service / Door Access and lock systems	Provide emergency service and maintenance to building locking and keying systems.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Fire Alarm and Life Safety Systems	Provide emergency service and maintenance to building life safety systems.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
Service / Maintenance and Repair work	Provide emergency repairs and maintenance to the campus buildings.	Owner = Adam Bayer 1st Alternate = John Skyberg 2nd Alternate = Chris Nordby
FDO Facility Operations		
Service Custodial (toilets & trash)	Provide daily cleaning and sanitization of building restrooms including daily removal of trash in restrooms, break rooms and kitchens. Weekly removal of trash in classrooms, offices, and labs.	Owner = Calvin Brown 1st Alternate = Betty Luna 2nd Alternate =
Service Building exterior- Pathways	Clean and free pathways of debris including but not limited to tree limbs for pedestrian and vehicular access and mobility. Dispose of trash from exterior receptacles at a mininum every two days. Respond to all other service requests on an as needed "frequency" basis.	Owner = Dennsi Suit 1st Alternate = Betty Luna 2nd Alternate =
FDO Administrative Services		
Service: Dispatch/Communications	Provide centralized communication within the Department for coordinating FD&O personnel and resources within their area of responsibility and in direct support of their assigned response and recovery.	Owner = Terry Crisp 1st Alternate = Jose Rios 2nd Alternate =
Service: Central Stores/Warehouse (critical parts)	Central repository for mission critical building/system parts and supplies required to meet building operating requirements and student/employee occupancy. Generally, critical parts stored in the central stores are parts that cannot be procured within a 24 hour period of time and/or are unique to a building or system level requirements.	Owner = Terry Crisp 1st Alternate = Donna Duval 2nd Alternate =
Service: CMMS/TMA	A third party WEB based application (computerized maintenance management system-aka CMMS) and is used as the primary method to request non-emergency services from the department. Also, the CMMS is used as an historical record for the collection of work related information for work performed as well as associated cost. Generally, emergency work requests are received by phone and dispatched "live" by a customer service representative.	Owner = Terry Crisp 1st Alternate = Jose Rios 2nd Alternate =
FDO Planning Design & Construction		
Service / Building Official	Provide inspection and code enforcement services, declare buildings safe or unsafe to enter and occupy.	Owner = Bill Shum 1st Alternate = Daniel No 2nd Alternate = Adam Bayer
Service / Archives and Building Plans	Provide building plans and space assignment records for buildings.	Owner = Bill Shum 1st Alternate = Daniel No 2nd Alternate = Winona
FDO Project Management Group		
Service: Access/Egress - Facilities	Note: covered under EUE	Owner = 1st Alternate = 2nd Alternate =
FD&O Control System		**Adam Bayer / C. Norby**
Accounts Payable	**Process Owner = Bonnie King, Accounts Payable Manager**	
Service / A/P	Paying for emergency services	Owner - Penny Anderson, Immigration & Tax Specialist 1st Alternate - Bonnie King, Accts Payable Mgr 2nd Alternate - Jean Muroya, Accounting Technician
Bursar's Office	**Process Owner = Marlene Anderson, Bursar**	
Service / Cashiering	Cashiering- OTC pymts; Disburse Scholarship & alternative loan checks	Owner = Marlene Trifilo 1st Alternate = Bursar 2nd Alternate =
Service / Tower Card Issuance	Tower Card - issuing guest Tower Cards for security purposes. Most likely if a disaster was to happen, SJSU would have many contractors and other off campus trades people working around the clock to restore, rebuild, and handle damages and outages as needed. UPD must be able to determine who should be allowed in buildings and have access to buildings.	Owner = Marlene Trifilo 1st Alternate = Bursar 2nd Alternate =
Service / Collections	Collections-issue Short term loans to SJSU students Provide installment plans for students with financial hardships	Owner = 1st Alternate = 2nd Alternate =
Service / Student Accounts	Student Accounts- provide acct info to students	Owner = 1st Alternate = 2nd Alternate =
Service / System Support	System Support –execute refunds for FA recipients & credit balances	Owner = 1st Alternate =

Procurement		**Process Owner = Alex Lebedeff, Purchasing Mg**
Service / Purchasing	Purchasing emergency services/products by working with pre-selected vendors (see emergency vendor list) and/or using Emergency Bids-Online Software Module.	Alex Lebedeff - Owner Thomas Ballinger - 1st Alternate John Pham - 2nd Alternate
l Services		**Process Owner = Dan Soriano, Mailing Services Mg**
Service / Function 1 Metering of mail during a power outage due to weather and earthquakes.	During a power outage outgoing mail will picked up by pre-sort and flat processing companies and metered for SJSU. No mail will be delayed.	Dan Soriano / Dang Nguyen
Service / Function 2 Delivery to departments during power outage.	Important documents and parcels will be delivered on foot by mail staff if carts are not available.	Dan Soriano / Dang Nguyen
Receiving		**Process Owner = Salvador Campos, Shpping & Receiving Mgr**
Service / Receiving	Receiving emergency supplies Shipping & Receiving provides delivery services to the campus community.	Owner= Salvador Campos 1st Alternate= Tony Diaz 2nd Alternate= Phil Perez
HR Administrative Services		**Process Owner = Mark Loftus, Risk & Compliance Mgr**
Service: Risk & Compliance	Ensure general campus safety and evaluation of severity of risks around campus. Risk assessments re: building safety. Assist in coordination of assessments of enviornmental conditions. Ensure CalOSHA compliance. Act as liaison to CO Office of Risk Management	Owner = Mark Loftus 1st Alternate = Michaux Burchard 2nd Alternate = Joan Torne
HR Operations		**Process Owner = Rick Casillo, HR Operations Director**
Service: Payroll	1. Provide payroll counseling and services to department contacts and employees 2. Issuance of emergency situational pay (manual checks if systems not available) 3. Coordinate payment of employee disability benefits, e.g., NDI and IDL 4. Tracking employee time and attendance reporting	Owner = Rick Casillo 1st Alternate = Teri Reuck 2nd Alternate = Michele Delfino
Service: Benefits	1. Provide benefits counseling and services to employees 2. Administration of employee leave programs 3. Process health plan enrollments or changes and mail COBRA notices as needed to ensure continuation of health coverage	Owner = Rick Casillo 1st Alternate = Anita Vasquez 2nd Alternate = Teri Reuck
Service: Counseling Services - EAP	The EAP is administered by CONCERN, a third party that operates independent of the University. The EAP would remain available to employees and accessible to employees via phone or internet..	Owner = Rick Casillo 1st Alternate = Patrick Alvarez 2nd Alternate = Amy Ruiz
ll System (PIMS)		**Rick Casillo**
UPD Admin Services		**Process Owner - Jim Renelle, Interim Captain, UPD Admin**
Service: Acess/Egress - Campus	The University Police Communication Center is the hub for receiving all public safety and emergency communications on campus. Information is received in-person, via radio and telecommunications. Communication Center personnel are responsible for receiving, recording and relaying information both internally on campus and externally to other public safety agencies.	Owner = Jim Renelle (for Marianne Alvarez) 1st Alternate = Frank Belcastro 2nd Alternate = Peter Decena
Service: Emergency Communicatons - Dispatch	The University Police Communication Center is the hub for receiving all public safety and emergency communications on campus. Information is received in-person, via radio and telecommunications. Communication Center personnel are responsible for receiving, recording and relaying information both internally on campus and externally to other public safety agencies.	Owner = Jim Renelle (for Marianne Alvarez) 1st Alternate = Frank Belcastro 2nd Alternate = Peter Decena
Service: Emergency Communicatons - Police Repeaters (offsite 911 talk to SJSU Dispatchers)	Emergency radio communications are controlled through dedicated equipment that is installed at strategic locations around campus. This equipment allows radio communications with University Police personnel, Parking Services personnel, Library Security personnel and various other departments on campus including Emergency Building Coordinators. The equipment also allows UPD to contact other public safety agencies to request mutual aid assistance. Power to the emegency communication equipment is backed up with an uninterruptable power supply.	Owner = Jim Renelle (for Marianne Alvarez) 1st Alternate = Frank Belcastro 2nd Alternate = Peter Decena
UPD Field Operations		**Process Owner = Frank Belcastro, UPD Operations Captain**
Service: Police	The Field Operations Division is responsible for providing all essential police services. It consists of sworn police officers and non-sworn personnel. Field Operations is responsible for ensuring the safety and security of the campus community. Police Officers are responsible for protecting life, maintaining order, protecting property, preventing crime, enforcing federal and state laws and University directives, and arresting law violators.	Owner = Frank Belcastro 1st Alternate = Jim Renelle 2nd Alternate = Peter Decena
rvice: Emergency Communicatons - lertSJSU	The purpose of ALERT SJSU is to quickly disseminate emergency information, notifying the campus community of critical incidents and appropriate actions needed to maintain their personal safety. ALERT SJSU will be used during emergencies that threaten the health and safety of the campus community. It consists of two components, an indoor telephone speaker system and a personal notification system. The personal notification system sends voice, text and email notifications utilizing contact information voluntarily provided by students, staff and faculty.	Owner = Frank Belcastro 1st Alternate = Jim Renelle 2nd Alternate = Peter Decena

Spartan Dining		
Service: Dining Services (Dining Commons)	Provide meal service to students living on campus in the Dining Commons.	Owner = Jeff Pauley 1st Alternate =Jennifer Goodale 2nd Alternate =Steven Olesen
Service: Dining Services (Retail Dining)	Provide meal service to university students, faculty and staff in campus restaurants and stores	Owner =Jeff Pauley 1st Alternate = Ryan Ptucha 2nd Alternate = Jason Hood

ADMIN-SYS : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
Desktop/Server Support Staff		
Server Support	server support/restoration	
Desktop Support	desktop support	
CMS Database Administrators		**Mike Dunefsky**
database maintenance and support (required to bring systems back online in the event of a disaster)	Finance ; Students ; HR ; Enrollment	
CMS Project Office		**Mike Dunefsky**
CMS Helpdesk (first point of contact for most students)		
Administrative Applications		**Mike Dunefsky / Joan Torne**
Provides back end data retrieval/correction and programming support	to restart the campus this function is unnecessary, however if student/staff/faculty contact information is needed, this unit can retrieve information to pass to emergency personnel	

UTS : List of Essential Services required to restart the University

tle of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
Network Services - Systems & Servers		**Victor Van Leer / Jaime Sanchez**
Internet Connectivity - Border Router	Provides and supports Internet connectivity, for campus, MLK, UHS and other Auxiliaries	
Network Connectivity	Provides and supports network connectivity to other departments,colleges and auxiliaries	
Server Farm connectivity - Production servers	Provides and supports network connectivity to critical production servers	
Telecom Services		**Don Baker**
PBX	Voice Services for Campus, UHS, South Campus and MLK. Provides voice and data trunks for external connectivity	
Systems Services		**Jaime Sanchez**
Operating Systems Analysis	Keep OS patched and running. Keep server running. Check CPU, disk, RAM	
MS Active Directory	Login services for Microsoft active directory	

STUDENT-AFFAIRS : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Notes / Description of Service or Function	Ownership/Next-in-command
Health Center	Many health services are highly regulated by legal standards of the medical profession	**Health Center Director / Roger Elrod**
Urgent Care -- provision of crisis care		
Triage services		
Assessment of community services ilable for referrals and planning for ansports		
Assessment and obtaining of medical supplies		

Counseling Services	Many counseling services are highly regulated by legal standards of the psychological profession	**Counseling Services Director Kell Fujimot**
Crisis assessment and intervention		
Psychiatric services -- medication maintenance, medication assessments		
Outreach to campus community regarding mental health issues, e.g. housing, classrooms, student organizations, etc Educational counseling related to effects of crisis		
Non-crisis assessment		
Disability Resource Center	Almost all functions of the DRC are mandated by federal law in one way or another	**DRC Director / Demerris Brooks**
Student accommodations assessment and implementation		
Deaf and hard of hearing services		
Testing center services		
Alternative media Lab		
Academic technology services		
ADA compliance		
Employee accommodations		
Housing		**Housing Director / Vic Culatta**
Residential life coordinators on 24 hour call for safety		
Housing assignments services		
Maintenance services for habitable living		
Billing and cashiering		
Registrar	Legalities of managing student records are a factor	**Registrar / Marion Sofish**
Maintaining safety and integrity of records both paper and computer		
CMS and backup (maintained by UTS)		
FileMaker databases (maintained by Division of Student Affairs IT)		
Registration services		
Enrollment Services	Reduce recruitment and outreach, use recruiters and records personnel to support student enrollment and admissions	**AVP For Enrollment Services / Colleen Brown**
Status checks for students' admission, enrollment, records		
Financial Aid and Scholarship	Reduce: informational outreach, drop-in counseling, phone hours.	**Financial Aid & Scholarship Director / Coleetta McElroy**
Awarding financial aid following federal guidelines		
Dispersing financial aid following federal guidelines		
Offering group as opposed to individual counseling		

U-ADVANCEMENT : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
Essential Unit Public Affairs		
SJSU Website content	Emergency Operations Center (EOC) directed information for campus and public on website	**Cyril Manning**
Public Relations/PIO function		**Pat Harris**
Essential Unit Advancement Operations		
Advance (Alumni) Database	All 220,000 alum database, prospect tracking	**Ron Sakai**
Essential Unit Development		
Fundraising	During crisis, fundraising is most often needed for recovery	**Anne Johnson**
Essential Unit Alumni Relations		
Call Center	Used by EOC during crisis for incoming calls from parents, public, etc	**Karina Punu**
Volunteer Reference	As needed, recommendations, communications and coordination of external volunteers related to recovery from a crisis	**Paul Richardson**

ATHLETICS : List of Essential Services required to restart the University

Title of Service or Function provided by Essential Unit	Description of Service or Function	Ownership/Next-in-command
ctor's Office		**Tom Bowen, Athletics Directo**
Administrative	Oversee all functions and departments of Athletics	
Business Office		**Matt Witty, Assoc Athletics Directo**
Purchasing	Approval and Processing of expenditures	
Accounting	Budgeting and Tracking of all expenses and revenue	
Book-Keeping	Control and Maintain records of all expenses and revnue for athletics	
Compliance		**Lynn Meade, Associate Athletics Directo**
Regulation	Ensure the University and Athletics abide by NCAA rules and regulations	
Equipment Room		
Inventory	Control, Maintain and Issue team apparel and equipment	
Laundry	Provide laundry services to teams for practice and competition	
Events/Facilities/Maint		**Matt Goudreau, E&F Cordinato**
Events	Plan and Control internal and external sporting events	
Facilities	Maintain and Repair athletics facilities and structures	
Maintainence	Repair athletic facilties and structures	
Internal Operations		**Marie Tuite, Sr. Associate Athletics Director**
Human Resources	Collaborate with University Human Resource policies and procedures	
Administrative	Oversee all staff and coaches within Athletics	
Men's Sports		**Matt Witty, Associate Athletics Director**
Teams	Golf, Football, Soccer, Cross Country, Basketball, Baseball	
Spartan Foundation		**John Poch, Sr. Associate Athletics Director**
Alumni/Donors	Maintain contact with all athletics alumni and donors	
Sports Information		**Lawrence Fan, Assistant Athletics Director**
Media Relations	Provide and Coordinate information on Athletics Teams and Staff	
Record-Keeping	Maintain records and results of all athletics events	
Sports Medicine		**Scott Shaw, Director of Sports Medicine**
Treatment	Prevent and treat injuries occuring in practice and competition	
Rehabilitation	Provide rehab treatment for student-athletes during post-injury	
Student Academic Services		**Liz Jarnigan, Associate Athletics Director**
Enrollment	Maintain student-athletes course schedule for graduation	
Tutoring	Provide academic assistance to student-athletes	
tudent Services	Provides assistance with Financial Aid, Housing,	
Ticket Operations		**Darren Coelho, Assistant Athletics Director**
Sales	Sell and Distribute tickets for Athletics Events	
Customer Service	Provide information to inquiries about Athletics Events	
Women's Sports		**Matt Witty, Associate Athletics Director**
Teams	Cross Country, Tennis, Gymnastics, Softball, Basketball, Soccer, Volleyball, Golf, Swimming, Water Polo	

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book B: REPORTS

Section 2 : RESILIENCY ASSESSMENT REPORTS

Chapter 1 : Administration and Finance

FINANCE

Fin & Admin Tech

SJSU BUSINESS CONTINUITY PLANNING
WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): F&AT - AP

Name of function/service being assessed below: Accounts Payable — Paying for emergency services

Business processes

Are there complex business processes in this function?	yes		
If yes, what are the complex processes? (just name them)			PeopleSoft requres specific steps be taken in order to produce checks to; students, employees and Vendors.
If a process is complex, is there a written description?	yes		

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	no		
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd		
Can this function be restored if the current management / chain of command is not available?	yes		
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes		
If yes, what are those specialized tasks? (just name them)			Knowing the steps to produce the checks in PeopleSoft
If yes, are there cross-trained employees to do these tasks as backups?	yes		
Can this function be restored if the current specialized employees are not available?	yes		
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes		
If yes, are they hard to replace?	no		
If they are hard to replace, is there redundancy planning for them?	N/A		
Can this function be restored if some of the current equipments and hardware are not available?	no		
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			We manually fill out checks and mail to the various payees.

a, and Applications

Are there specialized applications and data without which the EU cannot function?	yes		
If yes, what are they? (just name the application or database)			PeopleSoft
Are the essential applications difficult to reinstall?			I don't know if they are difficult or not.
Are the essential data difficult to recover or to re-load?	yes	no	Unknown
Can this function be restored if some essential data and applications are not available?	yes	no	Unknown
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			Keeping invoices, and logging them in to PeopleSoft once it's up and running again.

Facility / location

Does this function have special requirements for location or facility?		no	
If yes, what are they? (give brief description of requirements)			
Can this function be restored if it must move to another location?	yes		
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			Staff could work from another location as long as access to the web is available.

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If the building falls down due to an earthquake, staff could work either from home or another central location.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU):	F&AT Procurement	
Name of function/service being assessed below:	Purchasing	Purchasing emergency services/products by working with pre-selected vendors (see emergncy vendor list) and/or using Emergency Bids-Online software module
Business processes		
Are there complex business processes in this function?	*yes*	
If yes, what are the complex processes? (just name them)		
Identifying suppliers and coordinating procurement of emergency goods and services		
If a process is complex, is there a written description?	*yes*	
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	*yes*	*Each buyer has limited contracting authority*
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	
Can this function be restored if the current management / chain of command is not available?	*yes*	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	*yes*	
If yes, what are those specialized tasks? (just name them)		
Identifying suppliers and coordinating procurement of emergency goods and services		
If yes, are there cross-trained employees to do these tasks as backups?		*no*
Can this function be restored if the current specialized employees are not available?		*no*
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
To identify and cross-train the MPP employee on buying funcntion		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?		*no*
If yes, are they hard to replace?		
If they are hard to replace, is there redundancy planning for them?		
Can this function be restored if some of the current equipments and hardware are not available?	*yes*	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?		*no*
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?		*no*
Are the essential data difficult to recover or to re-load?		*no*
Can this function be restored if some essential data and applications are not available?		*no*
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?		*no*
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	*yes*	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Only in scenarios where no staff is available.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): F&AT Bursar's Office

Name of function/service being assessed below: Tower Card Issuance — Issuing guest Tower Cards for security purposes (e.g., for emergency contractors)

Business processes			
Are there complex business processes in this function?	yes	no	
If yes, what are the complex processes? (just name them)			
If a process is complex, is there a written description?	yes	no	
Staff: Management / chain of command			
Is it absolutely necessary to have supervisory / management structure for this function?	yes	no	
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd	
Can this function be restored if the current management / chain of command is not available?	yes	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Staffing: specialized employees			
Does this function have specialized tasks that can only be done by specialized employees?	yes	no	
If yes, what are those specialized tasks? (just name them)			
Access to ID works for login, Knowledge of taking pics			
If yes, are there cross-trained employees to do these tasks as backups?	yes	no	
Can this function be restored if the current specialized employees are not available?	yes	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Instructions via the telephone			
Equipments, hardware			
Are there specialized equipments and hardware without which the EU cannot function?	yes	no	
If yes, are they hard to replace?	yes	no	
If they are hard to replace, is there redundancy planning for them?	yes	no	equipment in HR
Can this function be restored if some of the current equipments and hardware are not available?	yes	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
need complete hardware units			
Data, and Applications			
Are there specialized applications and data without which the EU cannot function?	yes	no	
If yes, what are they? (just name the application or database)			
ID works & Psoft			
Are the essential applications difficult to reinstall?	yes	no	
Are the essential data difficult to recover or to re-load?	yes	no	
Can this function be restored if some essential data and applications are not available?	yes	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
No alternative			
Facility / location			
Does this function have special requirements for location or facility?	yes	no	
If yes, what are they? (give brief description of requirements)			
Can this function be restored if it must move to another location?	yes	no	network connections
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Power failure, earthquake & damage to hardware

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): F&AT Bursar's Office

Name of function/service being assessed below: Cashiering- OTC payments; Disburse Scholarship & alternative loan checks

Business processes			
Are there complex business processes in this function?	yes	no	
If yes, what are the complex processes? (just name them)			
CASHNet and PeopleSoft Software needed to receipt payments; PeopleSoft System needed to disburse checks. Must have internet access. Cash fund needed.			
If a process is complex, is there a written description?	yes	no	
Staff: Management / chain of command			
Is it absolutely necessary to have supervisory / management structure for this function?	yes	no	supervisor permission needed for voids
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd	
Can this function be restored if the current management / chain of command is not available?	yes	no	permission can be granted to a cashier remotely
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Staffing: specialized employees			
Does this function have specialized tasks that can only be done by specialized employees?	yes	no	
If yes, what are those specialized tasks? (just name them)			
Staff must be a CASHNet operator with specific access to cashiering plus access to PeopleSoft			
If yes, are there cross-trained employees to do these tasks as backups?	yes	no	all cashiers
Can this function be restored if the current specialized employees are not available?	yes	no	manual receipts may be issued w/o using CASHNet
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Equipments, hardware			
Are there specialized equipments and hardware without which the EU cannot function?	yes	no	Receipt printers
If yes, are they hard to replace?	yes	no	
If they are hard to replace, is there redundancy planning for them?	yes	no	Manual receipts may be used if necessary
Can this function be restored if some of the current equipments and hardware are not available?	yes	no	same as above
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Data, and Applications			
Are there specialized applications and data without which the EU cannot function?	yes	no	
If yes, what are they? (just name the application or database)			
CASHNEt and PeopleSoft			
Are the essential applications difficult to reinstall?	yes	no	
Are the essential data difficult to recover or to re-load?	yes	no	Not sure; this is an IT question
Can this function be restored if some essential data and applications are not available?	yes	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
We could process payments w/o CASHNet. The problem =no updating on the student's record which would create a hold on their account. Checks can't be dis. w/o verifying units.			
Facility / location			
Does this function have special requirements for location or facility?	yes	no	
If yes, what are they? (give brief description of requirements)			
Can this function be restored if it must move to another location?	yes	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Same response as last entry in Data & Application section.			

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Power failure which causes building evacuation

Damage to building or hardware

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): F&AT Bursar's Office

Issue short term loans to SJSU students.

Name of function/service being assessed below: Collections

Business processes

Are there complex business processes in this function?	yes	no

If yes, what are the complex processes? (just name them)

Approval criteria, enter data in PS, execute direct deposit if applicable

If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	no

If yes, what are those specialized tasks? (just name them)

Collectors approve, System Support enters data in PS to create check or direct deposit

If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	no
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Data, and Applications

	Data	Application
Are there specialized applications and data without which the EU cannot function?	yes	no

If yes, what are they? (just name the application or database)

PS needed to determine STL eligibility

Are the essential applications difficult to reinstall?	yes	no
Are the essential data difficult to recover or to re-load?	yes	no
Can this function be restored if some essential data and applications are not available?	yes	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Partial accommodations. FA students tracked through NSLDS, CSAC. Possible individual databases by each respective college at SJSU

Facility / location

Does this function have special requirements for location or facility?	yes	no

If yes, what are they? (give brief description of requirements)

Can this function be restored if it must move to another location?	yes	no	Can process off-site

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If PS went down

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): F&AT Bursar's Office

Name of function/service being assessed below: Student Accounts — Provide account info to students

Business processes

Are there complex business processes in this function?	yes	no
If yes, what are the complex processes? (just name them)		
Third Party linking & billing, stop payments on SJSU issued cks, Budget reporting, ACH returns, Direct deposit returns		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	no
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no
Are the essential data difficult to recover or to re-load?	yes	no
Can this function be restored if some essential data and applications are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	no
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Disconnectivity to PeopleSoft

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): F&AT Receiving

Name of function/service being assessed below: Receiving | Receiving emergency supplies

Business processes

Are there complex business processes in this function?	yes	
If yes, what are the complex processes? (just name them)		
Enter delivery receipts into the CFS database		
If a process is complex, is there a written description?	yes	

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	
If it's important, is management know-how distributed, or concentrated in one manager?		distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	
If yes, what are those specialized tasks? (just name them)		
Match received goods against CFS database, assign property tags if needed, Inbound received goods into de Trackpad database.		
If yes, are there cross-trained employees to do these tasks as backups?	yes	
Can this function be restored if the current specialized employees are not available?	yes	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	
If yes, are they hard to replace?	yes	
If they are hard to replace, is there redundancy planning for them?	yes	
Can this function be restored if some of the current equipments and hardware are not available?	yes	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
We will need advanced notice as to what to expect, as well as the end user information. Goods would be released on handwritten manifests to obtain POD.		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	
If yes, what are they? (just name the application or database)		
CFS, UPS Trackpad		
Are the essential applications difficult to reinstall?		no
Are the essential data difficult to recover or to re-load?		no
Can this function be restored if some essential data and applications are not available?		no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
We will need advanced notice as to what to expect, as well as the end user information. Goods would be released on handwritten manifests to obtain POD.		

Facility / location

Does this function have special requirements for location or facility?	yes	
If yes, what are they? (give brief description of requirements) postal address update, access for big trucks, loading dock, near to the street.		
Can this function be restored if it must move to another location?	yes	if temporarily
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

No building to operate, no staff, no electricity, no systems or databases.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): F&AT Mail Services

During a power outage outgoing mail will be picked up by pre-sort and flat processing companies and metered for SJSU. We use an outsourced company currently.

Name of function/service being assessed below: Metering of Mail

Business processes

Are there complex business processes in this function?	*no*
If yes, what are the complex processes? (just name them)	
If a process is complex, is there a written description?	

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	*no*
If it's important, is management know-how distributed, or concentrated in one manager?	*no*
Can this function be restored if the current management / chain of command is not available?	*yes*
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	*no*
If yes, what are those specialized tasks? (just name them)	
If yes, are there cross-trained employees to do these tasks as backups?	
Can this function be restored if the current specialized employees are not available?	*yes*
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	*no*
If yes, are they hard to replace?	
If they are hard to replace, is there redundancy planning for them?	
Can this function be restored if some of the current equipments and hardware are not available?	*yes*
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	*no*
If yes, what are they? (just name the application or database)	
Are the essential applications difficult to reinstall?	*no*
Are the essential data difficult to recover or to re-load?	*no*
Can this function be restored if some essential data and applications are not available?	*yes*
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	*no*
If yes, what are they? (give brief description of requirements)	
Can this function be restored if it must move to another location?	*yes*
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind) *Only if no staff is available.*

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): F&AT Mail Services

Name of function/service being assessed below: Mail Delivery — Important documents and parcels will be delivered on foot by mail staff if carts are not available.

Business processes

Are there complex business processes in this function?	No
If yes, what are the complex processes? (just name them)	
If a process is complex, is there a written description?	

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	No, staff is already instructed on deliveries when carts are not availabe.
If it's important, is management know-how distributed, or concentrated in one manager?	Staff is trained in all aspects of mailing
Can this function be restored if the current management / chain of command is not available?	Yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	No, each staff is trained to handle all mail routes.
If yes, what are those specialized tasks? (just name them)	
If yes, are there cross-trained employees to do these tasks as backups?	
Can this function be restored if the current specialized employees are not available?	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	We will walk the routes or request to purchass a 3 wheel bike for deliveries.
If yes, are they hard to replace?	
If they are hard to replace, is there redundancy planning for them?	
Can this function be restored if some of the current equipments and hardware are not available?	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	No
If yes, what are they? (just name the application or database)	
Are the essential applications difficult to reinstall?	
Are the essential data difficult to recover or to re-load?	
Can this function be restored if some essential data and applications are not available?	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	No
If yes, what are they? (give brief description of requirements)	
Can this function be restored if it must move to another location?	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind) — If all staff are not available.

HR

HR

SJSU BUSINESS CONTINUITY PLANNING
WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): HR Admin

Name of function/service being assessed below: Risk & Compliance — Ensure general campus safety & evaluation of severity of risks around campus. Risk assessments re: building safety. Assist in coordination of assessments of environmental conditions. Ensrue CalOSHA compliance. Act as liaison to CO Office of Risk Management

Business processes

Are there complex business processes in this function? no

If yes, what are the complex processes? (just name them)

If a process is complex, is there a written description?

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function? no

If it's important, is management know-how distributed, or concentrated in one manager?

Can this function be restored if the current management / chain of command is not available? yes

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees? yes

If yes, what are those specialized tasks? (just name them)

If yes, are there cross-trained employees to do these tasks as backups? no

Can this function be restored if the current specialized employees are not available? yes

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function? no

If yes, are they hard to replace?

If they are hard to replace, is there redundancy planning for them?

Can this function be restored if some of the current equipments and hardware are not available?

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

.a, and Applications

Are there specialized applications and data without which the EU cannot function? no

If yes, what are they? (just name the application or database)

Are the essential applications difficult to reinstall?

Are the essential data difficult to recover or to re-load?

Can this function be restored if some essential data and applications are not available?

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Facility / location

Does this function have special requirements for location or facility? no

If yes, what are they? (give brief description of requirements)

Can this function be restored if it must move to another location?

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): **HR Operations**

Name of function/service being assessed below: **Payroll**

1. Provide payroll counseling & services to department contacts & employees
2. Issuance of emergency situational pay (manual checks if systems not available)
3. Coordinate payment of employee disability benefits, e.g., NDI and IDL
4. Tracking employee time and attendance reporting

Business processes

Are there complex business processes in this function?	no
If yes, what are the complex processes? (just name them)	
If a process is complex, is there a written description?	

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	no
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes
If yes, what are those specialized tasks? (just name them)	
1. Answer and respond to incoming calls from employees; 2. Process employee pay transactions in PIMS; 3. Process employee time and attendence adjustments in CMS Absence Management	
If yes, are there cross-trained employees to do these tasks as backups?	yes
Can this function be restored if the current specialized employees are not available?	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	
Temporary assistance (payroll representatives) from another CSU	

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes
If yes, are they hard to replace?	yes
If they are hard to replace, is there redundancy planning for them?	yes
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	
1. CMS Absence Management 2. State Controler's Office PIMS	
Are the essential applications difficult to reinstall?	yes
Are the essential data difficult to recover or to re-load?	yes
Can this function be restored if some essential data and applications are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	yes
If yes, what are they? (give brief description of requirements) Network ports that provide access to the State Controller's Office / PIMS	
Can this function be restored if it must move to another location?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

1. Campus systems/applications as well as third party providers/agencies are down (off-line) impacting our ability to access CMS or the State Controller's Office PIMS.
2. University systems/applications are hacked into and all data is lost without a disaster data recovery plan.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): **HR Operations**

Name of function/service being assessed below: **Benefits** 1. Provide benefits counseling and services to employees 2. Administration of employee leave programs

Business processes

Are there complex business processes in this function?	no
If yes, what are the complex processes? (just name them)	
If a process is complex, is there a written description?	

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	no
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have **specialized tasks** that can only be done by specialized employees?	yes
If yes, what are those specialized tasks? (just name them)	
1. Answer and respond to incoming calls from employees; 2. Process employee health benefit information in CMS Benefits Administration; 3.Interact with outside agencies to resolve employee benefit coverage issues 4. Administration of CSU Leave Programs	
If yes, are there cross-trained employees to do these tasks as backups?	yes
Can this function be restored if the current specialized employees are not available?	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	
Temporary assistance (benefit representatives) from another CSU	

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	no
If yes, are they hard to replace?	
If they are hard to replace, is there redundancy planning for them?	
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	
1. CMS Benefits Administration 2. State Controller's Office PIMS	
Are the essential applications difficult to reinstall?	yes
Are the essential data difficult to recover or to re-load?	yes
Can this function be restored if some essential data and applications are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	no
If yes, what are they? (give brief description of requirements)	
Can this function be restored if it must move to another location?	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

University systems/applications are hacked into and critical data is not recoverable

UPD

UPD

SJSU BUSINESS CONTINUITY PLANNING
WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UPD Admin Services

Name of function/service being assessed below: Campus Access/ Egress

The University Police Communication Center is the hub for receiving all public safety and emergency communications on campus. Information is received in-person, via radio and telecommunications. Communication Center personnel are responsible for receiving, recording and relaying information both internally on campus and externally to other public safety agencies.

Business processes			
Are there complex business processes in this function?		x	
If yes, what are the complex processes? (just name them)			
If a process is complex, is there a written description?			
Staff: Management / chain of command			
Is it absolutely necessary to have supervisory / management structure for this function?	x		
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd		
Can this function be restored if the current management / chain of command is not available?	x		
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Staffing: specialized employees			
Does this function have specialized tasks that can only be done by specialized employees?	x		
If yes, what are those specialized tasks? (just name them)			
operate radio, 911 system, computerized dispatch system, building fire, brglary and panic alarms, computerized records management system, video camera system			
If yes, are there cross-trained employees to do these tasks as backups?		x	Officers can perform some tasks
Can this function be restored if the current specialized employees are not available?	yes	Partial service only.	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Police Officers can perform the basic functions which would restore communications.			
Equipments, hardware			
Are there specialized equipments and hardware without which the EU cannot function?	x		
If yes, are they hard to replace?	x		
If they are hard to replace, is there redundancy planning for them?	x		Radios have redundancy
Can this function be restored if some of the current equipments and hardware are not available?		x	911 answering can be transferred.
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Data, and Applications			
Are there specialized applications and data without which the EU cannot function?	x		
If yes, what are they? (just name the application or database)			
CLETS, SLETS, TRAKNET Cad and RMS			
Are the essential applications difficult to reinstall?	x		
Are the essential data difficult to recover or to re-load?	x		
Can this function be restored if some essential data and applications are not available?	yes	x	Some are Web based
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Facility / location			
Does this function have special requirements for location or facility?	x		
If yes, what are they? (give brief description of requirements)	, T-1 For CLETS, radio connectivity		
Can this function be restored if it must move to another location?	x		except 911
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
911 transferred to another agency.			

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Earthquake or fire makes Dispatch Center unusable. Radio repeaters are destroyed. Phone lines out. No access to WEB.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UPD Admin Services

Name of function/service being assessed below:	Emergency Communications - Dispatch	The University Police Communication Center is the hub for receiving all public safety and emergency communications on campus. Information is received in-person, via radio and telecommunications. Communication Center personnel are responsible for receiving, recording and relaying information both internally on campus and externally to other public safety agencies.
Business processes		
Are there complex business processes in this function?	x	
If yes, what are the complex processes? (just name them)		
Tracnet, CLETS, SLETS, CAD,		
If a process is complex, is there a written description?	x	
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	x	
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	x
Can this function be restored if the current management / chain of command is not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	x	
If yes, what are those specialized tasks? (just name them)		
Dispatch trained,		
If yes, are there cross-trained employees to do these tasks as backups?	x	
Can this function be restored if the current specialized employees are not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	x	
If yes, are they hard to replace?	x	
If they are hard to replace, is there redundancy planning for them?	x	
Can this function be restored if some of the current equipments and hardware are not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	x	
If yes, what are they? (just name the application or database)		
Tracnet, Cad, Clets, Slets, radio communication, 911 phone lines		
Are the essential applications difficult to reinstall?	x	
Are the essential data difficult to recover or to re-load?	x	
Can this function be restored if some essential data and applications are not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	x	
If yes, what are they? (give brief description of requirements)	radio repeaters, internet, phone lines	
Can this function be restored if it must move to another location?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Earthquake destroys Dispatch Center

SJSU BUSINESS CONTINUITY PLANNING (see file in computer)

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UPD Admin Services

Name of function/service being assessed below:	Emergency Communicatons - Police Repeaters (offsite 911 talk to SJSU Dispatchers)	Emergency radio communications are controlled through dedicated equipment that is installed at strategic locations around campus. This equipment allows radio communications with University Police personnel, Parking Services personnel, Library Security personnel and various other departments on campus including Emergency Building Coordinators. The equipment also allows UPD to contact other public safety agencies to request mutual aid assistance. Power to the emegency communication equipment is backed up with an uninterruptable power supply.
Business processes		
Are there complex business processes in this function?		x
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?		
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?		x
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	x	
If yes, what are those specialized tasks? (just name them)		
Radio Protocols		
If yes, are there cross-trained employees to do these tasks as backups?	x	
Can this function be restored if the current specialized employees are not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	x	
If yes, are they hard to replace?	x	
If they are hard to replace, is there redundancy planning for them?	x	
Can this function be restored if some of the current equipments and hardware are not available?	x	Limited functionality, reduced capability
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?		x
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	x	
Are the essential data difficult to recover or to re-load?	x	
Can this function be restored if some essential data and applications are not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	x	
If yes, what are they? (give brief description of requirements)	nes, AC power, radio repeaters	
Can this function be restored if it must move to another location?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

at are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Radio repeaters are destroyed in large earthquake or fire.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UPD Field Operations

The Field Operations Division is responsible for providing all essential police services. It consists of sworn police officers and non-sworn personnel. Field Operations is responsible for ensuring the safety and security of the campus community. Police Officers are responsible for protecting life, maintaining order, protecting property, preventing crime, enforcing federal and state laws and University directives, and arresting law violators.

Name of function/service being assessed below: Police

Business processes		
Are there complex business processes in this function?	x	
If yes, what are the complex processes? (just name them)		
Arrest processing, records management, property management, training		
If a process is complex, is there a written description?	x	
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	x	
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	x
Can this function be restored if the current management / chain of command is not available?		x
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Mutual Aid from other CSUs (CRU Callout), San Jose PD, Sheriff's Office		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	x	
If yes, what are those specialized tasks? (just name them)		
Fully Trained and certified Police Officers		
If yes, are there cross-trained employees to do these tasks as backups?		x
Can this function be restored if the current specialized employees are not available?		x
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Mutual Aid from other CSUs (CRU Callout), San Jose PD, Sheriff's Office		
ipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	x	
If yes, are they hard to replace?		x
If they are hard to replace, is there redundancy planning for them?		
Can this function be restored if some of the current equipments and hardware are not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?		x Limited effectiveness
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	x	
Are the essential data difficult to recover or to re-load?	x	
Can this function be restored if some essential data and applications are not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	x	
If yes, what are they? (give brief description of requirements)	Secure prisoner processing, secure equipment, secure communications	
Can this function be restored if it must move to another location?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Personnel are unable to report for duty.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UPD Field Operations

Name of function/service being assessed below:	Emergency Communicatons - AlertSJSU	The purpose of ALERT SJSU is to quickly disseminate emergency information, notifying the campus community of critical incidents and appropriate actions needed to maintain their personal safety. ALERT SJSU will be used during emergencies that threaten the health and safety of the campus community. It consists of two components, an indoor telephone speaker system and a personal notification system. The personal notification system sends voice, text and email notifications utilizing contact information voluntarily provided by students, staff and faculty.
Business processes		
Are there complex business processes in this function?	x	
If yes, what are the complex processes? (just name them)		
Alert SJSU Protocol		
If a process is complex, is there a written description?	x	
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	x	
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	x
Can this function be restored if the current management / chain of command is not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?		x
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?		
Can this function be restored if the current specialized employees are not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	x	ers, internet, landlines
If yes, are they hard to replace?	x	
If they are hard to replace, is there redundancy planning for them?	x	
Can this function be restored if some of the current equipments and hardware are not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	x	
If yes, what are they? (just name the application or database)		
Alert SJSU database, cell towers, internet		
Are the essential applications difficult to reinstall?	x	
Are the essential data difficult to recover or to re-load?	x	
Can this function be restored if some essential data and applications are not available?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?		x
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	x	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Cell Towers are down, internet access not available

FD&O

FD&O

SJSU BUSINESS CONTINUITY PLANNING
WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O- EH&S

Name of function/service being assessed below:	Safe handling & disposal of hazardous substances	Centralized collection & disposal in accord with regulatory requirements & campus specific permits	
Business processes			
Are there complex business processes in this function?	yes √	no	
If yes, what are the complex processes? (just name them)			
If a process is complex, is there a written description?	yes	no √	
Staff: Management / chain of command			
Is it absolutely necessary to have supervisory / management structure for this function?	yes	no √	
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd √	distrib'd √	
Can this function be restored if the current management / chain of command is not available?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Staffing: specialized employees			
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no	
If yes, what are those specialized tasks? (just name them)	Hazwoper Certification; Chemistry, Environmental regulations, etc. EH&S Certifications		
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no √	
Can this function be restored if the current specialized employees are not available?	yes √	no √	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Equipments, hardware	SCBH		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no √	
If yes, are they hard to replace?	yes	no √	
If they are hard to replace, is there redundancy planning for them?	yes	no √	
Can this function be restored if some of the current equipments and hardware are not available?	yes	no √	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Environmental Contractors/ Vendors		
Data, and Applications			
Are there specialized applications and data without which the EU cannot function?	yes √	no	
If yes, what are they? (just name the application or database)	MSDS online database, chemical inventory		
Are the essential applications difficult to reinstall?	yes	no √	
Are the essential data difficult to recover or to re-load?	yes	no √	
Can this function be restored if some essential data and applications are not available?	yes	no	Difficult
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Facility / location (Haz. waste accumulation room)			
Does this function have special requirements for location or facility?	yes √	no	
If yes, what are they? (give brief description of requirements) Storage room with secondary containment, safety cabinet, lighitng, ventilation, exhaust fan, emergency spill containment equipment (safety showers, fire ear)			
Can this function be restored if it must move to another location?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Natural gas pipe break (service rooms, storage rooms, etc.), leaks, carrying five that leads to burning chemicals that carry chain reactions leading to lethal atmospheres.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O - EH&S

Name of function/service being assessed below:	Legally Responsible Official (LRO)	Online reporting to statewide incident systems for sewer & storm drain spills within 4 hrs
Business processes		
Are there complex business processes in this function?	yes	no √
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Go through the SSMP- Sanitary Sewer Management Plan	
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Sewers overflow, backups --> Plumbing shop staffing	
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Environmental contractors (Paul Davis Restoration Company) (Refer to Plumbing Shop Supervisor)	
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes	no √
If yes, are they hard to replace?	yes	no √
If they are hard to replace, is there redundancy planning for them?	yes	no √
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes	no √
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no √
Are the essential data difficult to recover or to re-load?	yes	no √
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements) Plumbing shop/ Metal/ Carpentry shop		
Can this function be restored if it must move to another location?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Major earthquakes can cause sewer pipe breakdowns at many locations.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O - EH&S

Name of function/service being assessed below:	Emergency Response	Campus liaison to permitting & regulatory agencies	
Business processes			
Are there complex business processes in this function?	yes √	no	
If yes, what are the complex processes? (just name them)			
* Depends on the severity of the problem/emergency situation			
If a process is complex, is there a written description?	yes	no √	
Staff: Management / chain of command			
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no	
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd	
Can this function be restored if the current management / chain of command is not available	yes √	no √	depends
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Expert environmental consultants			
Staffing: specialized employees			
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no	
If yes, what are those specialized tasks? (just name them)			
Hazmat (Hazwoper), Asbestos			
If yes, are there cross-trained employees to do these tasks as backups?	yes	no	depends
Can this function be restored if the current specialized employees are not available? Env. Cc	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Equipments, hardware			
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no	
If yes, are they hard to replace?	yes	no √	
If they are hard to replace, is there redundancy planning for them?	yes	no √	
Can this function be restored if some of the current equipments and hardware are not availal	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Environmental vendors			
Data, and Applications			
Are there specialized applications and data without which the EU cannot function?	yes √	no	
If yes, what are they? (just name the application or database)			
MSDS online database, chemical inventory			
Are the essential applications difficult to reinstall?	yes	no √	
Are the essential data difficult to recover or to re-load?	yes	no √	
Can this function be restored if some essential data and applications are not available?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Facility / location			
Does this function have special requirements for location or facility?	yes	no√	
If yes, what are they? (give brief description of requirements)			
Can this function be restored if it must move to another location?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

* If the emergency response is of highest category, then multiple Regulatory Agencies needs to be informed. Command Center (UPD) will get involved. (If the whole city/county/state is impacted, then Regulatory Agencies will be bombarded with phone calls.)

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU):	FD&O Utilities	
Name of function/service being assessed below:	Exterior Lighting	Provide emergency repair, maintenance & temporary security lighting
Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)		
	Ehs controls for King Library, other areas	
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes √	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)		
	EMS	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements) Safety/Security		
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
	They are stationary lights - would require portability	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If EMS system fails, it can affect lighitng schedules

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU):	FD&O Utilities	
Name of function/service being assessed below:	Chilled Water	Provide emergency repair & maintenace to district cooling system for comfort cooling for buildings; respond to pipe leaks
Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)	Production and distribution - primary, secondary loops	
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Refrigeration, controls, plumbing	
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Mechanical contractor	
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes	no √
Can this function be restored if some of the current equipments and hardware are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	No alternative	
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	Tridium server, ION server	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Manuel control	
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements) Chiller Plant distribution system		
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	No alternative	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Main line rupture, chiller goes out of service during peak load, cooling tower fails

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU):	FD&O Utilities	
Name of function/service being assessed below:	Steam	Provide emergency repair & maintenace to district steam system that provides comfort heating to buildings; respond to pipe leaks
Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)	Production - both by Cogen boilers, distribution	
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Dealing with turbine/boiler high presure and temperature systems	
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	24/7 coverage is required	
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes	no √
Can this function be restored if some of the current equipments and hardware are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	No alternative	
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	EMS, Bailey	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Manuel control	
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements)	Cogen is a stationary combustion device	
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	For production there is a backup - boilers / no backup for distribution	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Main line ruptures, pressure not maintained

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Utilities

Name of function/service being assessed below: Power — Provide emergency service and maintenance to power to and from Central Plant and campus bldgs; emergency repair & maintenance to utility power systems including underground wiring, manholes & substations

Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)	Operating substation, 12KV distribution system, Cogen	
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	High voltage electrical, knowledge of utility interconnection	
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Contractor	
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes √	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	ION Enterprise System	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Manuel control	
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Backup generator	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

PG&E brown out, Cogen trip, construction crews dig up 12KV line

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Utilities

Name of function/service being assessed below: Natural Gas — Provide emergency repair & maintenance to natural gas piping serving to BT Emergency Generator, IS and Duncan Hall and Engineering Labs, and Dining Commons and Student Union kitchens, Joe West, Hoover, Royce & Washburn heating systems

Business processes

Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)	Long-term purchasing	
If a process is complex, is there a written description?	yes √	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd √	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Only authorized representatives can make decision	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Natural gas, purchasing, planning	
If yes, are there cross-trained employees to do these tasks as backups?	yes	no √
Can this function be restored if the current specialized employees are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Long-term planning	

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes	no √
Can this function be restored if some of the current equipments and hardware are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	PG&E or mechanical	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	Meters, gauges	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements) Stationary pipes		
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	No alternative	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Gas line explosion or rupture

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU):	FD&O Utilities	
Name of function/service being assessed below:	Sewer	Provide emergency response to storm & sanitary sewer spills, blockages & sinkholes.
Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)	Must maintain health and safety standards	
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd √	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Contractors	
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Dealing with Hazmat, plumbing	
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Contractors	
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes	no √
Can this function be restored if some of the current equipments and hardware are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	No alternative. Sewer is critical to sanitation	
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	Waste water log	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements)	Sanitation for the campus	
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	No alternative	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Main line rupture

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Utilities

Name of function/service being assessed below: Water — Provide emergency response to district water systems, campus wells and backflow prevention devices

Business processes

Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)	Cross connections, backflow, prevention decision	
If a process is complex, is there a written description?	yes √	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd √	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Water distribution system operation, cross connection	
If yes, are there cross-trained employees to do these tasks as backups?	yes	no √
Can this function be restored if the current specialized employees are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Plumbing contractor	

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes √	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	Metering and monitoring, TMA, water model	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements) Water source: well or SJWL and distributiion/pipes		
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	They are stationary pipes	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Well becomes compromised, main line

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Utilities

Name of function/service being assessed below:	Minor Repairs & Maintenance	Provide contract services and access to vendors for special tools and equipment including fuel.	
Business processes			
Are there complex business processes in this function?	yes √	no	
If yes, what are the complex processes? (just name them)			
TMA, scheduling, do it now calls			
If a process is complex, is there a written description?	yes √	no	
Staff: Management / chain of command			
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no	
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √	
Can this function be restored if the current management / chain of command is not available?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Contractors			
Staffing: specialized employees			
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no	
If yes, what are those specialized tasks? (just name them)			
Maintenance/repair by a trades person			
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no	
Can this function be restored if the current specialized employees are not available?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Contractors			
Equipments, hardware			
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no	
If yes, are they hard to replace?	yes √	no	
If they are hard to replace, is there redundancy planning for them?	yes √	no	
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no	Depends, N/A
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Contractors			
Data, and Applications			
Are there specialized applications and data without which the EU cannot function?	yes √	no	
If yes, what are they? (just name the application or database)			
Communications, TMA, financials			
Are the essential applications difficult to reinstall?	yes √	no	
Are the essential data difficult to recover or to re-load?	yes √	no	
Can this function be restored if some essential data and applications are not available?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
Pencil and paper, talking face to face			
Facility / location			
Does this function have special requirements for location or facility?	yes √	no	
If yes, what are they? (give brief description of requirements) It is facility - working on stationary thing			
Can this function be restored if it must move to another location?	yes	no √	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
No alternative			

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Buildings

Name of function/service being assessed below:	Power Systems includes lights, elevators, escalators, emegency generators	Provide emergency service and maintenance to power systems and lighting in buildings.
Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd √	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Electrical knowledge	
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes √	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Elevator/ escalator = stairs or by using contractors	
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	O & M Manuels	
Are the essential applications difficult to reinstall?	yes	no √
Are the essential data difficult to recover or to re-load?	yes	no √
Can this function be restored if some essential data and applications are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Elevator/ escalator use contractors	
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements) Central Plant/ FD&O		
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	They are stationary	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Walk way lighting system can blow out underground.

Elevators fail occasionally and require contractor repair

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Buildings

Name of function/service being assessed below:	Building Elements - walls doors, windows, counters , stairs	Provide emergency service and maintenance to building elements including doors, windows, stairs and signs.
Business processes		
Are there complex business processes in this function?	yes	no √
If yes, what are the complex processes? (just name them)	Scheduling, preventative maintenance, TMA	
If a process is complex, is there a written description?	yes	no √
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Trades work: Carpentry, etc.	
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes √	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	Communications: telecon and radios, TMA	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements) Work Control Center		
Can this function be restored if it must move to another location?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Natural diasters

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Buildings

Name of function/service being assessed below:	Water & Sewer Systems including toilets & drinking water	Provide emergency service and maintenance to building water and sewer systems
Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd √	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes √	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	No alternate to sewer - it is critical for sanitation	
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	Metering & TMA	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements) Water source : well or SJWL and distribution/pipes		
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	They're stationary pipes - alternative would be tanks	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Well becomes compromised, main line (water or sewer) becomes demaged.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Buildings

Name of function/service being assessed below:	HVAC Systerms including heating, cooling & ventilation	Provide emergency service and maintenance to building heating and cooling systems
Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)	TMA, planning and scheduling, do it now	
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd √	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	No alternative -only managers can make financial decisions	
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Testing, repair, trouble shooting	
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Contractor	
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes	no √
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Probable heaters / AC units/ fans- but not for whole building	
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	EMS, controls, vivarian, special collection	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Some can be manually overriden, some cannot	
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements) It is stationary equipment		
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Probable backup units - but only for small spaces	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Air handler unit goes down, controls fail

Primary and secondary pumps fail

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Buildings

Name of function/service being assessed below:	Door Access & Lock Systems	Provide emergency service and maintenance to building locking and keying systems
Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)	TMA, processing and programming badges, verifying access, S2 database	
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd √	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes √	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	TMA records, communication: email/phone	
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements)	Card readers, locks	
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	No alternative	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Earthquake, natural disasters

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Buildings

Name of function/service being assessed below:	Fire Alarm & Life Safety Systems	Provide emergency service and maintenance to building life safety systems
Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)	Fire life safety system work	
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd √	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Contractor	
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Tasks that one learns in Fire Alarm Systems Training	
If yes, are there cross-trained employees to do these tasks as backups?	yes	no √
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Contractor	
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes	no √
Can this function be restored if some of the current equipments and hardware are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Manual - person to service as fire water	
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Manuel	
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements)	Fire life safety for buildings	
Can this function be restored if it must move to another location?	yes	no √
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	No alternative	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Power failure coupled with a generator failure

System Malfunctions

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Buildings

Name of function/service being assessed below:	Maintenance & Repair Work	Provide emergency repairs and maintenance to the campus buildings
Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)		
Refrigeration, Electrical , & Plumbing systems all need specialized personell and licenses to repair		
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)		
Trades work: Carpentry, etc.		
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes √	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)		
Communications: Telecon and radios, TMA		
Are the essential applications difficult to reinstall?	yes √	no
Are the essential data difficult to recover or to re-load?	yes √	no
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements) Work Control Center		
Can this function be restored if it must move to another location?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Natural Disaster

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU):	FD&O Facility Operations	
Name of function/service being assessed below:	Custodial (Toilets & Trash)	Provide daily cleaning & sanitization of restrooms including daily removal of trash in restrooms, break rooms and kitchens. Weekly removal of trash in classrooms, offices and labs.
Business processes		
Are there complex business processes in this function?	yes	no √
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no √
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes	no √
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes	no √
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes	no √
If they are hard to replace, is there redundancy planning for them?	yes	no √
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes	no √
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no √
Are the essential data difficult to recover or to re-load?	yes	no √
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes	no √
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Due to the wide distribution of equipment and supplies that the Custodial Department has on campus, the only "failure to restore" scenario that could possibly come about would be that the catastrophic event destroyed and leveled every building on campus. Even in this case, chemicals and materials could be obtained from commerical sources to resume services if needed.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Facility Operations

Name of function/service being assessed below:	Building Exterior Pathways	Clean & free pathways of debris including but not limited to tree limbs for pedestrial & vehicular access and mobility. Dispose of trash from exterior receptacles at a minimum every 2 days. Respond to all other service requests on an as needed "frequency" basis.
Business processes		
Are there complex business processes in this function?	yes	no √
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no √
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes	no √
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	**Chain-saw operators/ Light landscape equipment operators**	
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes	no √
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes	no √
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no √
Are the essential data difficult to recover or to re-load?	yes	no √
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes	no √
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

The most likely/possible "failure to restore" scenario would result from the (FD&O Trades Complex Area) being completely destroyed and leveled by the catastrophic event. Due to equipment and other resources at South Campus, limited operations could still resume after transferring those resources to Main Campus.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Admininstrative Services

Name of function/service being assessed below: Dispatch/ Communications — Provide centralized communication within the Department for coordinating FD&O personnel and resources within their area of responsibility and in direct support of their assigned response and recovery.

Business processes

Are there complex business processes in this function?	yes	no √	
If yes, what are the complex processes? (just name them)			
If a process is complex, is there a written description?	yes	no	

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no √	
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √	
Can this function be restored if the current management / chain of command is not available?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes √	no	
If yes, what are those specialized tasks? (just name them) TMA software and FD&O W.O. processing			
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no	
Can this function be restored if the current specialized employees are not available?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes √	no	Phone and radio/communication device
If yes, are they hard to replace?	yes	no √	
If they are hard to replace, is there redundancy planning for them?	yes	no	
Can this function be restored if some of the current equipments and hardware are not available?	yes	no √	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes √	no	
If yes, what are they? (just name the application or database) TMA and Email			
Are the essential applications difficult to reinstall?	yes	no √	
Are the essential data difficult to recover or to re-load?	yes	no √	
Can this function be restored if some essential data and applications are not available?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Facility / location

Does this function have special requirements for location or facility?	yes	no √	
If yes, what are they? (give brief description of requirements)			
Can this function be restored if it must move to another location?	yes √	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Loss or malfunction of primary server and redundant server including recent backup data

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Administrative Services

Name of function/service being assessed below:	Central Stores/ Warehouse (critical parts)	Central repository for mission critical building/system parts and supplies required to meet building operating requirements and student/employee occupancy. Generally, critical parts stored in the central stores are parts that cannot be procured within a 24 hour period of time and/or are unique to a building or system level requirements.
Business processes		
Are there complex business processes in this function?	yes	no √
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes	no √
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Have a lead position	
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes	no √
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Trained employee with procurement card	
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes	no √
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)	Inventory control system	
Are the essential applications difficult to reinstall?	yes	no √
Are the essential data difficult to recover or to re-load?	yes	no √
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Impossible could not count every part -every day (maybe don't care about value of inventory)	
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements)	Warehouse	
Can this function be restored if it must move to another location?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Quantities on inventory parts (and value)

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O Administrative Services

Name of function/service being assessed below: CMMS/TMA — A third party WEB based application (computerized maintenance management system-aka CMMS) and is used as the primary method to request non-emergency services from the department. Also, the CMMS is used as an historical record for the collection of work related information for work performed as well as associated cost. Generally, emergency work requests are received by phone and dispatched "live" by a customer service representative.

Business processes		
Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)	Systems user manual	
If a process is complex, is there a written description?	yes √	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)	Software support, TMA report, Writing, System Administration	
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
¡uipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes √	no
If they are hard to replace, is there redundancy planning for them?	yes √	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no √
Are the essential data difficult to recover or to re-load?	yes	no √
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Loss of live and backup data. Loss or malfunction of live and backup server

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O PD&C

Provide inspection and code enforcement services, declare buildings safe or unsafe to enter and occupy.

Name of function/service being assessed below: Building Official

Business processes

Are there complex business processes in this function?	yes √	no
If yes, what are the complex processes? (just name them)		
Good knowledge of California building codes and public work contract calls		
If a process is complex, is there a written description?	yes √	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes √	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd √	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes √	no
If yes, what are those specialized tasks? (just name them)		
Review of building permit applications and interpret building codes requirements		
If yes, are there cross-trained employees to do these tasks as backups?	yes √	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	no √
If yes, are they hard to replace?	yes	no √
If they are hard to replace, is there redundancy planning for them?	yes	no √
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	no √
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no √
Are the essential data difficult to recover or to re-load?	yes	no √
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	no √
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

When the building official and his/her designed replacement are both not available

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): FD&O PD&C

Provide building plans and space assignment records for buildings.

Name of function/service being assessed below: Archives and Building Plans

Business processes

Are there complex business processes in this function?	yes	no √
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no √

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	no √
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd √
Can this function be restored if the current management / chain of command is not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	no √
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes √	no
If yes, are they hard to replace?	yes	no √
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes √	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no √
Are the essential data difficult to recover or to re-load?	yes	no √
Can this function be restored if some essential data and applications are not available?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes √	no
If yes, what are they? (give brief description of requirements)	Location with access control	
Can this function be restored if it must move to another location?	yes √	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

The server where electronic data are stored and the university archive where hard copies of AS built information are stored are both damaged.

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book B: REPORTS

Section 2 : RESILIENCY ASSESSMENT REPORTS

Chapter 2 : Student Affairs

Registrar

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Office of the Registrar

Name of function/service being assessed below: Registration Services

Business processes

Are there complex business processes in this function?	**yes**	no

If yes, hat are the complex processes? (just name them)

Registration setups for enrollment appointment times, and priority registration

If a process is complex, is there a written description?	yes	**no**

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**yes**	no
If it's important, is management know-how distributed, or concentrated in one manager?	**concentr'd**	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	**no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

needs to hire a backup person to assist and be trained by Systems Coordinator who has this responsibility

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**yes**	no

If yes, what are those specialized tasks? (just name them)

Registration setups for enrollment appointment times, and priority registration, grading and academic standing process

If yes, are there cross-trained employees to do these tasks as backups?	yes	**no**
Can this function be restored if the current specialized employees are not available?	yes	**no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

CMS can assist in some set-ups but not all

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	**no**
If yes, are they hard to replace?	yes	**no**
If they are hard to replace, is there redundancy planning for them?	**yes**	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	**no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

no alternative

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**yes**	no

If yes, what are they? (just name the application or database)

HSJPRD database (Peoplesoft)

Are the essential applications difficult to reinstall?	yes	**no**
Are the essential data difficult to recover or to re-load?	yes	**no**
Can this function be restored if some essential data and applications are not available?	yes	**no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

no alternative

Facility / location

Does this function have special requirements for location or facility?	**yes**	no

If yes, what are they?Firewalls, redundancy equipment

Can this function be restored if it must move to another location?	**yes**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Facility destruction which results in no power to connect to the internet.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Office of the Registrar

Name of function/service being assessed below: **safety and integrity of records both paper and computerized**

usiness processes

Are there complex business processes in this function?	**yes**	no	
If yes, what are the complex processes? (just name them)			
Maintenance of student records, degree audit, and graduation evaluation			
If a process is complex, is there a written description?	**yes**	no	

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**yes**	no	
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**distrib'd**	
Can this function be restored if the current management / chain of command is not available?	**yes**	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**yes**	no	
If yes, what are those specialized tasks? (just name them)			
Degree audit, registration, grading and graduation			
If yes, are there cross-trained employees to do these tasks as backups?	**yes**	no	for most processes except registration
Can this function be restored if the current specialized employees are not available?	**yes**	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**yes**	no	access to Salt Lake, local network and PC setups
If yes, are they hard to replace?	**yes**	no	for Salt Lake City
If they are hard to replace, is there redundancy planning for them?	**yes**	no	
Can this function be restored if some of the current equipments and hardware are not available	**yes**	no	data backup with Iron Mountain
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**yes**	no	
If yes, what are they? (just name the application or database)			
Peoplesoft Student Records Module,filemaker, NOLIJ, Air warehouse (records in legacy)			
Are the essential applications difficult to reinstall?	**yes**	no	
Are the essential data difficult to recover or to re-load?	**yes**	no	
Can this function be restored if some essential data and applications are not available?	yes	**no**	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			
no alternative			

Facility / location

Does this function have special requirements for location or facility?	yes	**no**	located here but can be setup elsewhere
If yes, what are they? (give brief description of requirements)			
Can this function be restored if it must move to another location?	**yes**	no	setup in another campus
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

hat are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

offsite backups that are not available (Iron Mountain)

lack of technical and essential staff

unidentified equipment and networks

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): ce of the Registrar

Name of function/service being assessed below: CMS and backup (Salt Lake City)

usiness processes

Are there complex business processes in this function?	**yes**	no	
If yes, what are the complex processes? (just name them)			
Registration, grading , degree audit			
If a process is complex, is there a written description?	**yes**	no	

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**yes**	no	
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**distrib'd**	
Can this function be restored if the current management / chain of command is not available?	**yes**	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**yes**	**no**	CMS they have staff as backup
If yes, what are those specialized tasks? (just name them)			
Registration and grading setup			
If yes, are there cross-trained employees to do these tasks as backups?	**yes**	**no**	registration and grading setup
Can this function be restored if the current specialized employees are not available?	**yes**	no	it depends
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

There are tasks that can be restored through CMS, but some other tasks assigned to the Systems Coordinator position in the Registrar's office may not be restored

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**yes**	no	
If yes, are they hard to replace?	**yes**	no	
If they are hard to replace, is there redundancy planning for them?	**yes**	no	
Can this function be restored if some of the current equipments and hardware are not available?	**yes**	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**yes**	no	
If yes, what are they? (just name the application or database)			
HSJPRD database			
Are the essential applications difficult to reinstall?	yes	**no**	have backups
Are the essential data difficult to recover or to re-load?	yes	**no**	just time consuming
Can this function be restored if some essential data and applications are not available?	yes	**no**	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

Facility / location

Does this function have special requirements for location or facility?	**yes**	no	
If yes, what are they? Firewalls. Redundancy equipment			
Can this function be restored if it must move to another location?	**yes**	no	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			

hat are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Facility destruction, e.g. if there is an earthquake that results in loss of power to connect to the internet

There is a co-generation plan for electric power

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Office of the Registrar

Name of function/service being assessed below: Filemaker databases and other shadow systems databases

siness processes

Are there complex business processes in this function?	**yes**	no

If yes,w hat are the complex processes? (just name them)

Transcript requests, reinstatement, graduation, permanent record file, legacy records

If a process is complex, is there a written description?	**yes**	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**yes**	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**distrib'd** subject matter experts
Can this function be restored if the current management / chain of command is not available?	**yes**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**yes**	no

If yes, what are those specialized tasks? (just name them)

knowledge of air warehouse tables limited to one staff member

If yes, are there cross-trained employees to do these tasks as backups?	yes	**no**
Can this function be restored if the current specialized employees are not available?	yes	**no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

no alternative until a back up person is trained to assist this person

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**yes**	no
If yes, are they hard to replace?	**yes**	no
If they are hard to replace, is there redundancy planning for them?	yes	not yet Image Source in development
Can this function be restored if some of the current equipments and hardware are not available?	yes	**no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Migrate to Oracle IPM (Imaging & Process Management) system -workflow

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**yes**	no

If yes, what are they? (just name the application or database)

NOLIJ, Graduation Evaluation and Brio

Are the essential applications difficult to reinstall?	**yes**	no
Are the essential data difficult to recover or to re-load?	**yes**	no
Can this function be restored if some essential data and applications are not available?	yes	**no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Migrate to Oracle IPM (Imaging & Process Management) system -workflow

Facility / location

Does this function have special requirements for location or facility?	yes	**no**

If yes, what are they? (give brief description of requirements)

Can this function be restored if it must move to another location?	**yes**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

hat are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Offsite back-ups that are not available

Lack of essential staff for both technical and functional

Unidentified equipment and networks

Admissions

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Office of Admissions and Outreach

Name of function/service being assessed below: **Verifying admission status-Undergraduate**

Business processes

Are there complex business processes in this function?	yes
If yes, what are the complex processes? (just name them)	Processing and evaluating of CSU Mentor applications, HS and College transcript processing; Admissions counseling
If a process is complex, is there a written description?	yes : All instructions

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd: Including
Can this function be restored if the current management / chain of command is not available?	yes: We have Leads in each of the areas that can help.
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes: The majority of the staff are SSP who have been trained in admission and graduation requirements.
If yes, what are those specialized tasks? (just name them)	Admissions evaluations and graduation petition evaluations. Counseling students on admission requirements.
If yes, are there cross-trained employees to do these tasks as backups?	no
Can this function be restored if the current specialized employees are not available?	yes no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Delay responses to students.

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes; PC and phones
If yes, are they hard to replace?	no
If they are hard to replace, is there redundancy planning for them?	yes no
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	Access to ES Filemaker Database; access to CMS Student Administration, access to various websites.
Are the essential applications difficult to reinstall?	Don't know the answer
Are the essential data difficult to recover or to re-load?	Don't know the answer
Can this function be restored if some essential data and applications are not available?	Don't know the answer
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	no
If yes, what are they? (give brief description of requirements)	
Can this function be restored if it must move to another location?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If CMS (Peoplesoft) cannot be restore we will not have access to the student data necessary to make admission decisions; answer questions regarding admission status or assist student with questions regarding admissions process.

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

Name of Essential Unit (EU): Office of Admissions

Name of function/service being assessed below: **Verifying admission status-Graduate Adm**

Business processes

Are there complex business processes in this function?	yes
If yes, what are the complex processes? (just name them)	Processing and evaluating of CSU Mentor applications, HS and College transcript processing; Admissions counseling
If a process is complex, is there a written description?	yes : All instructions and details are documented via department websites and CSU Mentor application site.

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd: Including myself, there are 3 managers in
Can this function be restored if the current management / chain of command is not available?	yes: We have Leads in each of the areas that can help.
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes: The majority of the staff are SSP who have been trained in admission and graduation requirements.
If yes, what are those specialized tasks? (just name them)	Admissions evaluations and graduation petition evaluations. Counseling students on admission requirements.
If yes, are there cross-trained employees to do these tasks as backups?	no
Can this function be restored if the current specialized employees are not available?	yes no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Delay responses to

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes; PC and phones
If yes, are they hard to replace?	no
If they are hard to replace, is there redundancy planning for them?	yes no
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	Access to ES Filemaker Database; access to CMS Student Administration, access to various websites.
Are the essential applications difficult to reinstall?	Don't know the answer
Are the essential data difficult to recover or to re-load?	Don't know the answer
Can this function be restored if some essential data and applications are not available?	Don't know the answer
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	no
If yes, what are they? (give brief description of requirements)	
Can this function be restored if it must move to another location?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If CMS (Peoplesoft) cannot be restore we will not have access to the student data necessary to make admission decisions; answer questions regarding admission status or assist student with questions regarding admissions process.

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

Name of Essential Unit (EU): Office of Admissions and Outreach

Name of function/service being assessed below: **Verifying admission status -SOAR**

:ness processes

Are there complex business processes in this function?	yes
If yes, what are the complex processes? (just name them)	Processing and evaluating of CSU Mentor applications, HS and College transcript processing; Admissions counseling
If a process is complex, is there a written description?	yes : All instructions and details are documented via department websites and CSU Mentor application site.

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd: Including myself, there are 3 managers in
Can this function be restored if the current management / chain of command is not available?	yes: We have Leads in each of the areas that can help.
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes: The majority of the staff are SSP who have been trained in admission and graduation requirements.
If yes, what are those specialized tasks? (just name them)	Admissions evaluations and graduation petition evaluations. Counseling students on admission requirements.
If yes, are there cross-trained employees to do these tasks as backups?	no
Can this function be restored if the current specialized employees are not available?	yes no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Delay responses to students.

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes; PC and
If yes, are they hard to replace?	no
If they are hard to replace, is there redundancy planning for them?	yes no
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	Access to ES Filemaker Database; access to CMS Student Administration, access to various websites.
Are the essential applications difficult to reinstall?	Don't know the
Are the essential data difficult to recover or to re-load?	Don't know the
Can this function be restored if some essential data and applications are not available?	Don't know the
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	no
If yes, what are they? (give brief description of requirements)	
Can this function be restored if it must move to another location?	yes
f not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If CMS (Peoplesoft) cannot be restore we will not have access to the student data necessary to make admission decisions; answer questions regarding admission status or assist student with questions regarding admissions process.

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

Name of Essential Unit (EU): Office of

Name of function/service being assessed below: **Answering questions regarding admission process from public as well as campus community -Undergraduate**

Business processes

Are there complex business processes in this function?	yes
If yes, what are the complex processes? (just name them)	Providing information about application, admissions and enrollment status.
If a process is complex, is there a written description?	yes : All instructions and details are documented via department websites and CSU Mentor application site.

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd: Including myself, there are 3 managers in charge of the areas described.
Can this function be restored if the current management / chain of command is not available?	yes: We have Leads in each of the areas that can help.
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes: The majority of the staff are SSP who have been trained in admission and graduation requirements.
If yes, what are those specialized tasks? (just name them)	Admissions evaluations and graduation petition evaluations. Counseling students on admission requirements.
If yes, are there cross-trained employees to do these tasks as backups?	no
an this function be restored if the current specialized employees are not available?	yes no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Delay responses

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes; PC and
If yes, are they hard to replace?	no
If they are hard to replace, is there redundancy planning for them?	yes no
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	Access to ES Filemaker Database; access to CMS Student Administration, access to various websites.
Are the essential applications difficult to reinstall?	Don't know the
Are the essential data difficult to recover or to re-load?	Don't know the
Can this function be restored if some essential data and applications are not available?	Don't know the
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	no
If yes, what are they? (give brief description of requirements)	
Can this function be restored if it must move to another location?	yes
f not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If CMS (Peoplesoft) cannot be restore we will not have access to the student data necessary to make admission decisions; answer questions regarding admission status or assist student with questions regarding admissions process.

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

Name of Essential Unit (EU): Office of

Name of function/service being assessed below: **Answering questions regarding admission process from public as well as campus community -Graduate (GAPE)**

Business processes

Are there complex business processes in this function?	yes
If yes, what are the complex processes? (just name them)	Providing information about application, admissions and enrollment status.
If a process is complex, is there a written description?	yes : All instructions and details are documented via department websites and CSU Mentor application site.

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd: Including myself, there are 3 managers in
Can this function be restored if the current management / chain of command is not available?	yes: We have Leads in each of the areas that can help.
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes: The majority of the staff are SSP who have been trained in admission and graduation requirements.
If yes, what are those specialized tasks? (just name them)	Admissions evaluations and graduation petition evaluations. Counseling students on admission requirements.
If yes, are there cross-trained employees to do these tasks as backups?	no
Can this function be restored if the current specialized employees are not available?	yes no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Delay responses

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes; PC and
If yes, are they hard to replace?	no
If they are hard to replace, is there redundancy planning for them?	yes no
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	Access to ES Filemaker Database; access to CMS Student Administration, access to various websites.
Are the essential applications difficult to reinstall?	Don't know the
Are the essential data difficult to recover or to re-load?	Don't know the
Can this function be restored if some essential data and applications are not available?	Don't know the
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	no
If yes, what are they? (give brief description of requirements)	
Can this function be restored if it must move to another location?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If CMS (Peoplesoft) cannot be restore we will not have access to the student data necessary to make admission decisions; answer questions regarding admission status or assist student with questions regarding admissions process.

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

Name of Essential Unit (EU): Office of Admissions and Outreach

Name of function/service being assessed below: **Answering questions regarding admission process from public as well as campus community -SOAR**

Business processes

Are there complex business processes in this function?	yes
If yes, what are the complex processes? (just name them)	Providing information about application, admissions and enrollment status.
If a process is complex, is there a written description?	yes : All instructions and details are documented via department websites and CSU Mentor application site.

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd: Including myself, there are 3 managers in charge
Can this function be restored if the current management / chain of command is not available?	yes: We have Leads in each of the areas that can help.
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes: The majority of the staff are SSP who have been trained in admission and graduation requirements.
If yes, what are those specialized tasks? (just name them)	Admissions evaluations and graduation petition evaluations. Counseling students on admission
If yes, are there cross-trained employees to do these tasks as backups?	no
Can this function be restored if the current specialized employees are not available?	yes no
not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Delay responses to students.

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes; PC and
If yes, are they hard to replace?	no
If they are hard to replace, is there redundancy planning for them?	yes no
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	Access to ES Filemaker Database; access to CMS Student Administration, access to various websites.
Are the essential applications difficult to reinstall?	Don't know the answer
Are the essential data difficult to recover or to re-load?	Don't know the answer
Can this function be restored if some essential data and applications are not available?	Don't know the answer
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	no
If yes, what are they? (give brief description of requirements)	
Can this function be restored if it must move to another location?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

t are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If CMS (Peoplesoft) cannot be restore we will not have access to the student data necessary to make admission decisions; answer questions regarding admission status or assist student with questions regarding admissions process.

Student Health
Center

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Health Center

Name of function/service being assessed below: Triage Srvcs

Business processes

Are there complex business processes in this function?	yes
If yes, hat are the complex processes? (just name them)	Assessing health status of patients
If a process is complex, is there a written description?	yes

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes
If yes, what are those specialized tasks? (just name them)	RN Licensing
If yes, are there cross-trained employees to do these tasks as backups?	yes
Can this function be restored if the current specialized employees are not available?	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Community Aid

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes
If yes, are they hard to replace?	yes
If they are hard to replace, is there redundancy planning for them?	yes
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	EMR
Are the essential applications difficult to reinstall?	yes
Are the essential data difficult to recover or to re-load?	yes
Can this function be restored if some essential data and applications are not available?	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Paper Charts

Facility / location

Does this function have special requirements for location or facility?	yes
If yes, what are they? (give brief description of requirements)	Biowaste, eqp electricity, water, sanitation
Can this function be restored if it must move to another location?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

No onsite, campus based Triage services.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Health Center

Name of function/service being assessed below: Infection Control

Business processes

Are there complex business processes in this function?	yes
If yes, hat are the complex processes? (just name them)	Medical assessment, sampling, & testing
If a process is complex, is there a written description?	yes

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes
If yes, what are those specialized tasks? (just name them)	RN Licensing
If yes, are there cross-trained employees to do these tasks as backups?	yes
Can this function be restored if the current specialized employees are not available?	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Community Aid

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes
If yes, are they hard to replace?	yes
If they are hard to replace, is there redundancy planning for them?	yes
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	EMR
Are the essential applications difficult to reinstall?	yes
Are the essential data difficult to recover or to re-load?	yes
Can this function be restored if some essential data and applications are not available?	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Paper Charts

Facility / location

Does this function have special requirements for location or facility?	yes
If yes, what are they? (give brief description of requirements)	Biowaste, eqp electricity, water, sanitation
Can this function be restored if it must move to another location?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

No onsite, campus based Infection Control services.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Health Center

Name of function/service being assessed below: Continuity w Vendor and Community Services

Business processes

Are there complex business processes in this function?	yes
If yes, hat are the complex processes? (just name them)	Skilled ommunicatic re: srvc delivery needs
If a process is complex, is there a written description?	yes

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes
If yes, what are those specialized tasks? (just name them)	Determinatior f necessary medical supplies or transport
If yes, are there cross-trained employees to do these tasks as backups?	yes
Can this function be restored if the current specialized employees are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	no
If yes, are they hard to replace?	
If they are hard to replace, is there redundancy planning for them?	
Can this function be restored if some of the current equipments and hardware are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes
If yes, what are they? (just name the application or database)	PS
Are the essential applications difficult to reinstall?	yes
Are the essential data difficult to recover or to re-load?	yes
Can this function be restored if some essential data and applications are not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

Facility / location

Does this function have special requirements for location or facility?	yes
If yes, what are they? (give brief description of requirements)	refrigeration
Can this function be restored if it must move to another location?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Diminished or no onsite, campus-based health services.

Financial Aid

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Financial Aid

Name of function/service being assessed below: **Integrity of Records**

Business processes

Are there complex business processes in this function? **yes**

If yes, hat are the complex processes? (just name them)

Records are kept either on-line or manually in files.

If a process is complex, is there a written description? **yes**

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function? **yes**

If it's important, is management know-how distributed, or concentrated in one manager? **distrib'd**

Can this function be restored if the current management / chain of command is not available? **yes**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Managers will need to oversee safety and security of confidential information.

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees? **yes**

If yes, what are those specialized tasks? (just name them)

Managers have more in-depth knowledge of federal retention policies.

If yes, are there cross-trained employees to do these tasks as backups? **yes** **(limited)**

Can this function be restored if the current specialized employees are not available? **no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

No current campus alternative available.

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function? **yes**

If yes, are they hard to replace? **yes**

If they are hard to replace, is there redundancy planning for them? **no**

Can this function be restored if some of the current equipments and hardware are not available? **yes**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

As current financial aid process is manual - an alternative or back=up facility would be required to house the many folders and documents.

Data, and Applications

Are there specialized applications and data without which the EU cannot function? **no**

If yes, what are they? (just name the application or database)

PeopleSoft System

Are the essential applications difficult to reinstall? **yes**

Are the essential data difficult to recover or to re-load? **yes**

Can this function be restored if some essential data and applications are not available? **yes** **minimally**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Partial data is kept within the system to assist with award processing.

Facility / location

Does this function have special requirements for location or facility? **yes**

If yes, what are they? (give brief description of requirements)

Can this function be restored if it must move to another location? **yes**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Secure off-site location that can house information securely.

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Scenarios: power outages, building destruction - prohibits ability to access computers and/or manual documentation.

Maintaining confidentiality and integrity of both computer and paper records to meet federal requirements.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Financial Aid

Name of function/service being assessed below: **Disbursing Aid**

Business processes

Are there complex business processes in this function? **yes**

If yes, hat are the complex processes? (just name them)

This process is completed in conjunction with the Bursar's Office (per federal regulations on separation of duties)

If a process is complex, is there a written description? **yes**

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function? **yes**

If it's important, is management know-how distributed, or concentrated in one manager? **distrib'd**

Can this function be restored if the current management / chain of command is not available? **no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Currently, financial disbursements are electronically credited to student account within campus system, refunds then generated.

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees? **yes**

If yes, what are those specialized tasks? (just name them)

FASO initiates authorization & disbursement of aid; Bursar's Office applies credit to account and processes either manual or direct deposit refunds.

If yes, are there cross-trained employees to do these tasks as backups? **yes** **(limited)**

Can this function be restored if the current specialized employees are not available? **no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

No current campus alternative available - in light of the large numbers of disbursements, a manual paperwriting process would be cumbersome.

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function? **yes**

If yes, are they hard to replace? **yes**

If they are hard to replace, is there redundancy planning for them? **no**

Can this function be restored if some of the current equipments and hardware are not available? **yes**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

In order to complete the disbursement process - computers and check printer are needed (all information is data driven)

Data, and Applications

Are there specialized applications and data without which the EU cannot function? **yes**

If yes, what are they? (just name the application or database)

PeopleSoft Stystem

Are the essential applications difficult to reinstall? **yes**

Are the essential data difficult to recover or to re-load? **yes**

Can this function be restored if some essential data and applications are not available? **no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

The system is web-based, if computers are accessible then data is viewable but ability to process disbursements is difficult

Facility / location

Does this function have special requirements for location or facility? **yes**

If yes, what are they? (give brief description of requirements)

Can this function be restored if it must move to another location? **yes**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Secure off-site location that leads itself to check processing and ability to receive data from PeopleSoft connection

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Scenarios: power outages, building destruction - prohibits ability to access computers and/or manual documentation in folders.

Susceptability to computer viruses and bugs due to system failure (or, intentional threats)

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Financial Aid

Name of function/service being assessed below: **Counseling Sessions**

Business processes

Are there complex business processes in this function?	no
If yes, hat are the complex processes? (just name them)	
We have ability to provide paper information (currently)	no
If a process is complex, is there a written description?	yes

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes
If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	
Staff are trained to provide financial counseling services to students - with minimal supervision should be able to continue.	

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	
If yes, what are those specialized tasks? (just name them)		
Financial Aid Counselors are trained to provide in-depth counseling regarding finances.		
If yes, are there cross-trained employees to do these tasks as backups?	yes	(limited)
Can this function be restored if the current specialized employees are not available?		no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
No current campus alternative available. May tap into local financial institutions for general information but they may have their own concerns.		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	
If yes, are they hard to replace?	yes	
If they are hard to replace, is there redundancy planning for them?		no
Can this function be restored if some of the current equipments and hardware are not available?	yes	
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Current sessions are held combining manual and computer training methods. In case of power outage, sessions would be paper-driven.		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?		no
If yes, what are they? (just name the application or database)		
PeopleSoft System		
Are the essential applications difficult to reinstall?	yes	
Are the essential data difficult to recover or to re-load?	yes	
Can this function be restored if some essential data and applications are not available?	yes	minimally
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
The system is web-based, if computers are accessible then data is viewable but ability to process disbursements is difficult		

Facility / location

Does this function have special requirements for location or facility?	yes
If yes, what are they? (give brief description of requirements)	
Can this function be restored if it must move to another location?	yes
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	
Secure off-site location that leads itself to check processing and ability to receive data from PeopleSoft connection	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Scenarios: power outages, building destruction - prohibits ability to access computers and/or manual documentation.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Financial Aid

Name of function/service being assessed below: **Awarding Financial Aid**

Business processes

Are there complex business processes in this function? **yes**

If yes, hat are the complex processes? (just name them)

Verification/review of financial documentation in adherence to federal and state regulations

If a process is complex, is there a written description? **yes**

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function? **yes**

If it's important, is management know-how distributed, or concentrated in one manager? **distrib'd**

Can this function be restored if the current management / chain of command is not available? **no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Currently, the knowledge is shared amongst 3 managers - as long as one is available the ability to meet needs will continue.

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees? **yes**

If yes, what are those specialized tasks? (just name them)

Two areas within office - staffing have attended specialized training and seminars to accomplish job duties.

If yes, are there cross-trained employees to do these tasks as backups? **yes** **(limited)**

Can this function be restored if the current specialized employees are not available? **no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

No campus alternative available.

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function? **yes**

If yes, are they hard to replace? **yes**

If they are hard to replace, is there redundancy planning for them? **yes**

Can this function be restored if some of the current equipments and hardware are not available? **yes**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

In order to complete review/awarding process - computers are needed (all information is data driven)

Data, and Applications

Are there specialized applications and data without which the EU cannot function? **yes**

If yes, what are they? (just name the application or database)

PeopleSoft Stystem, EdExpress & COD (federal), WebGrants (state) databases

Are the essential applications difficult to reinstall? **yes**

Are the essential data difficult to recover or to re-load? **yes**

Can this function be restored if some essential data and applications are not available? **no**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

No alternative

Facility / location

Does this function have special requirements for location or facility? **no**

If yes, what are they? (give brief description of requirements)

Can this function be restored if it must move to another location? **yes**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Scenarios: power outages, building destruction - prohibits ability to access computers and/or manual documentation in folders.

Susceptability to computer viruses and bugs due to system failure (or, intentional threats)

Counseling -

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Counseling Services

Name of function/service being assessed below: Psychiatric Services

Business processes

Are there complex business processes in this function?	yes	no
If yes, hat are the complex processes? (just name them)	Confidentiality of medical record/service	
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	no
If yes, what are those specialized tasks? (just name them)	Psychiatirc medication management	
If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Function could be referred out to community	

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	no
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no
Are the essential data difficult to recover or to re-load?	yes	no
Can this function be restored if some essential data and applications are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	no
If yes, what are they? (give brief description of requirements)	Facility needs to provide confidentiality.	
Can this function be restored if it must move to another location?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Specialized staff/faculty are not available to provide service due to inacessible infrastructure.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Counseling Services

Name of function/service being assessed below: Crisis Assessment & Intervention

usiness processes

Are there complex business processes in this function?	yes	no
If yes, hat are the complex processes? (just name them)	Confidentiality of medical/psychological servcies	
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	no
If yes, what are those specialized tasks? (just name them)	Psychological Counseling	
If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Function could be referred out into community	

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	no
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no
Are the essential data difficult to recover or to re-load?	yes	no
Can this function be restored if some essential data and applications are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	no
If yes, what are they? (give brief description of requirements)	Facility needs to provide confidentiality.	
Can this function be restored if it must move to another location?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Specialized staff/faculty are not available to provide service due to inacessible infrastructure.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Counseling Services

Name of function/service being assessed below: Non-Crisis Assessment

Business processes

Are there complex business processes in this function?	yes	no
If yes, hat are the complex processes? (just name them)	Confidentiality of medical/psychological servcies	
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	no
If yes, what are those specialized tasks? (just name them)	Psychological Counseling	
If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Function could be referred out to community	

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	no
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no
Are the essential data difficult to recover or to re-load?	yes	no
Can this function be restored if some essential data and applications are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	no
If yes, what are they? (give brief description of requirements)	Facility needs to provide confidentiality	
Can this function be restored if it must move to another location?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Specialized staff/faculty are not available to provide service due to inacessible infrastructure.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Counseling Services

Name of function/service being assessed below: Outreach to Campus Community

Business processes

Are there complex business processes in this function?	yes	no
If yes, hat are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	no
If yes, what are those specialized tasks? (just name them)	Outreach is in specialized psychological topics	
If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Function could be done by community resources with training in specialization		

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	no
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no
Are the essential data difficult to recover or to re-load?	yes	no
Can this function be restored if some essential data and applications are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	no
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Specialized staff/faculty/community resources are not available to provide service due to inacessible infrastructure.

Housing

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): HOUSING

Name of function/service being assessed below: LODGING

Business processes

Are there complex business processes in this function?	**YES**	no

If yes, what are the complex processes? (just name them)

Need to assess and determine what bldgs are habitable and determine alternative lodging

If a process is complex, is there a written description?	**YES**	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**YES**	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**distrib'd**
Can this function be restored if the current management / chain of command is not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

***** Refer to UHS Emergency Handbook***

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	**NO**

If yes, what are those specialized tasks? (just name them)

If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	**NO**
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**YES**	no

If yes, what are they? (just name the application or database)

RMS and Peoplesoft

Are the essential applications difficult to reinstall?	**YES**	no
Are the essential data difficult to recover or to re-load?	**YES**	no
Can this function be restored if some essential data and applications are not available?	yes	**NO**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Facility / location

Does this function have special requirements for location or facility?	yes	**NO**

If yes, what are they? (give brief description of requirements)

Can this function be restored if it must move to another location?	yes	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If alternative lodging is not available.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): HOUSING

Name of function/service being assessed below: FACILITIES

Business processes

Are there complex business processes in this function?	**YES**	no

If yes, what are the complex processes? (just name them)

Need to assess and determine what bldgs are habitable

If a process is complex, is there a written description?	**YES**	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**YES**	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**distrib'd**
Can this function be restored if the current management / chain of command is not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

***** Refer to UHS Emergency Handbook***

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**YES**	no

If yes, what are those specialized tasks? (just name them)

Staff trained in what to look for in the bldgs (i.e. cracks, distrubances in bldgs, grounds, structure and utilities issues.

If yes, are there cross-trained employees to do these tasks as backups?	**YES**	no
Can this function be restored if the current specialized employees are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	**NO**
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**YES**	no

If yes, what are they? (just name the application or database)

Diamond II GE Security Door Access Control System

Are the essential applications difficult to reinstall?	yes	**NO**
Are the essential data difficult to recover or to re-load?	yes	**NO**
Can this function be restored if some essential data and applications are not available?	yes	**NO**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Hard key access to each student unit needs to be made availale or a lock out key needs to be avaialbe 24/7

Facility / location

Does this function have special requirements for location or facility?	**YES**	no

If yes, what are they? (give brief description of requirements) ***Lodging needs to be determined to be safe before anyone is to occupy***

Can this function be restored if it must move to another location?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If buildings are not habitable or need structual assessment.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Housing

Name of function/service being assessed below: Food and Water

Business processes

Are there complex business processes in this function?	yes	**NO**
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	**NO**
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**Distrib'd**
Can this function be restored if the current management / chain of command is not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	**NO**
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**YES**	no
If yes, are they hard to replace?	**YES**	no
If they are hard to replace, is there redundancy planning for them?	**YES**	no
Can this function be restored if some of the current equipments and hardware are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	**NO**
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	**NO**
Are the essential data difficult to recover or to re-load?	yes	no
Can this function be restored if some essential data and applications are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	**YES**	no
If yes, what are they? (give brief description of requirements) **Staff will need to have access into specific locations**		
Can this function be restored if it must move to another location?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

All areas of storage are blocked or damaged enough that we have lost all reserves.

If something that big happens we may not be able to get resources from many places.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): University Housing Services

Name of function/service being assessed below: Residential Life Staff (24 Hours for Safety)

Business processes

Are there complex business processes in this function?	**YES**	no

If yes, what are the complex processes? (just name them)

Knowledge of crisis management, mediation skills, UHS policies, and administrative processes

If a process is complex, is there a written description? **Emergency Handbook/ Manuals**	**YES**	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**YES**	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**Distrib'd**
Can this function be restored if the current management / chain of command is not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Responsibility would fall to Housing Leadership Team and the RLCs and ARLCs to manage

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**YES**	no

If yes, what are those specialized tasks? (just name them)

Management of residence halls, coordination of check-ins/outs, knowledge and enforcement of policies, student support as needed.

If yes, are there cross-trained employees to do these tasks as backups?	**YES**	no
Can this function be restored if the current specialized employees are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

There are 5 RLCs, 9 ARLCS, and 54 RAs who could step up to take on roles, as well as 10 HLT members.

ꞏuipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	**NO**
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	**NO**

If yes, what are they? (just name the application or database)

Are the essential applications difficult to reinstall?	yes	**NO**
Are the essential data difficult to recover or to re-load?	yes	**NO**
Can this function be restored if some essential data and applications are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Facility / location

Does this function have special requirements for location or facility?	**YES**	no

If yes, what are they? (give brief description of requirements) **Secure residents and guests and provide a safe environments**

Can this function be restored if it must move to another location?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

If many staff are injured or unable to work

If staff and residents cannot be placed in a safe living location

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): University Housing Services

Name of function/service being assessed below: Cashiering

Business processes

Are there complex business processes in this function?	**YES**	no

If yes, what are the complex processes? (just name them)

Processing credit card payments; cash/debit/check payments; deposits

If a process is complex, is there a written description?	**YES**	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**YES**	no
If it's important, is management know-how distributed, or concentrated in one manager?	**concentr'd**	distrib'd
Can this function be restored if the current management / chain of command is not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Have payments be sent to the Bursar's office to be processed

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**YES**	no

If yes, what are those specialized tasks? (just name them)

Need to have a cash box assigned; Need acess to Cashnet and Peoplesoft Student Financials

If yes, are there cross-trained employees to do these tasks as backups?	**YES**	no
Can this function be restored if the current specialized employees are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Have payments be sent to the Bursar's office to be processed

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**YES**	no
If yes, are they hard to replace?	yes	**NO**
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Use a cash bag that has a lock

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**YES**	no

If yes, what are they? (just name the application or database)

Peoplesoft-Student Financials and Cashnet

Are the essential applications difficult to reinstall?	**YES**	no
Are the essential data difficult to recover or to re-load?	**YES**	no
Can this function be restored if some essential data and applications are not available?	yes	**NO**

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Give manual receipts

Facility / location

Does this function have special requirements for location or facility?	yes	**NO**

If yes, what are they? (give brief description of requirements)

Can this function be restored if it must move to another location? **Portable safe**	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Locked room with high level of secuirty (portable safe)

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): University Housing Services

Name of function/service being assessed below: Billing

Business processes

Are there complex business processes in this function?	**YES**	no

If yes, what are the complex processes? (just name them)

Uploads to PeopleSoft from our Residential Management System (RMS); journal and billing upload sheets to SJSU Accounting

If a process is complex, is there a written description?	**YES**	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	**NO**
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**distrib'd**
Can this function be restored if the current management / chain of command is not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**YES**	no

If yes, what are those specialized tasks? (just name them)

Have access to Residential Management System and to upload to SJSU Peoplesoft

If yes, are there cross-trained employees to do these tasks as backups?	**YES**	no
Can this function be restored if the current specialized employees are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**YES**	no
If yes, are they hard to replace? **Access to UHS Server**	**YES**	no
If they are hard to replace, is there redundancy planning for them? **Back up of Server**	**YES**	no
Can this function be restored if some of the current equipments and hardware are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Keep manual track of invoices and charges

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**YES**	no

If yes, what are they? (just name the application or database)

Peoplesoft-Student Financials and Residential Management System

Are the essential applications difficult to reinstall?	**YES**	no
Are the essential data difficult to recover or to re-load?	**YES**	no
Can this function be restored if some essential data and applications are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Keep manual track of invoices and charges

Facility / location

Does this function have special requirements for location or facility?	**YES**	no

If yes, what are they? (give brief description of requirements) **UHS/VPM**

Can this function be restored if it must move to another location?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

No internet service

Not being able to access the database from a remote computer

Dining -

Dining

SJSU BUSINESS CONTINUITY PLANNING
WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Spartan Dining

Provide meal service to students living on campus in the Dining Commons.

Name of function/service being assessed below: Dining Services (Dining Commons)

Business processes

Are there complex business processes in this function?	yes	no
If yes, what are the complex processes? (just name them)		
food purchasing and delivery, staffing, cooking and food preparation		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
develop back-ups for each essential function within Dining Commons staff		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	no
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no
Are the essential data difficult to recover or to re-load?	yes	no
Can this function be restored if some essential data and applications are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	no
If yes, what are they? (give brief description of requirements): facilty must be approved for use by State Fire Marshall's office and county Department of Enviromental Health		
Can this function be restored if it must move to another location?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Student Union Food Court or other location approved by State Fire Marshall and county Department of Environmental Health		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Dining Commons facility has damage that will cause it to fail inspection from State Fire Marshall or County Department of Environmental Health and must be relocated to Student U

Dining Commons does not have adequate electrical supply to function

SJSU BUSINESS CONTINUITY PLANNING
WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Spartan Dining

Provide meal service to university students, faculty and staff in campus restaurants and stores

Name of function/service being assessed below: Retail Dining

Business processes		
Are there complex business processes in this function?	yes	no
If yes, what are the complex processes? (just name them)		
Food purchasing and delivery, staffing, cooking and food preparation		
If a process is complex, is there a written description?	yes	no
Staff: Management / chain of command		
Is it absolutely necessary to have supervisory / management structure for this function?	yes	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Staffing: specialized employees		
Does this function have specialized tasks that can only be done by specialized employees?	yes	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Equipments, hardware		
Are there specialized equipments and hardware without which the EU cannot function?	yes	no
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Data, and Applications		
Are there specialized applications and data without which the EU cannot function?	yes	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no
Are the essential data difficult to recover or to re-load?	yes	no
Can this function be restored if some essential data and applications are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Facility / location		
Does this function have special requirements for location or facility?	yes	no
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

There are five retail food locations on campus. The function can be restored if any of the five are able to reopen

All retail Dining facilities are closed, likely because State Fire Marshall's office or county Department of Environmental Health have not approved locations

SJSU SAN JOSÉ STATE UNIVERSITY

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Book B: REPORTS

Section 2 : RESILIENCY ASSESSMENT REPORTS

Chapter 3 : University Advancement

V. Advancement

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Advancement Operations

Name of function/service being assessed below: Advance Database

Business processes

Are there complex business processes in this function?	**YES**	no
If yes, what are the complex processes? (just name them)		
Data, connectivity, business process, coordination with computer center		
If a process is complex, is there a written description?	**YES**	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	**NO**
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**DISTRIB'D**
Can this function be restored if the current management / chain of command is not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**YES**	no
If yes, what are those specialized tasks? (just name them)		
connectivity, programming, Database Administrator, network, system analyst		
If yes, are there cross-trained employees to do these tasks as backups?	**YES**	no
Can this function be restored if the current specialized employees are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**YES**	no
If yes, are they hard to replace?	yes	**NO**
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	**NO**
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**YES**	no
If yes, what are they? (just name the application or database)		
Advance database, Oracle, sql server		
Are the essential applications difficult to reinstall?	**YES**	no
Are the essential data difficult to recover or to re-load?	**YES**	no
Can this function be restored if some essential data and applications are not available?	yes	**NO**
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	**YES**	no
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

physical damage, loss of personnel

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Public Affairs

Name of function/service being assessed below: Public Relations Information Officer

Business processes

Are there complex business processes in this function?	**YES**	no
If yes, what are the complex processes? (just name them)		
managing flow of information to public for campus		
If a process is complex, is there a written description?	**YES**	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**YES**	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**distrib'd**
Can this function be restored if the current management / chain of command is not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**YES**	no
If yes, what are those specialized tasks? (just name them)		
media relations		
If yes, are there cross-trained employees to do these tasks as backups?	**YES**	no
Can this function be restored if the current specialized employees are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**YES**	no
If yes, are they hard to replace?	yes	**NO**
If they are hard to replace, is there redundancy planning for them?	**YES**	no
Can this function be restored if some of the current equipments and hardware are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	**NO**
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	**NO**
Are the essential data difficult to recover or to re-load?	yes	**NO**
Can this function be restored if some essential data and applications are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	**NO**
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

loss of personnel, massive earthquake, massive EMP

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Public Affairs

Name of function/service being assessed below: SJSU website

Business processes

Are there complex business processes in this function?	**YES**	no
If yes, what are the complex processes? (just name them)		
insure connectivity, establish communcation flow, connections to server		
If a process is complex, is there a written description?	**YES**	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**YES**	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**DISTRIB'D**
Can this function be restored if the current management / chain of command is not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**YES**	no
If yes, what are those specialized tasks? (just name them)		
Updating HTML		
If yes, are there cross-trained employees to do these tasks as backups?	**YES**	no
Can this function be restored if the current specialized employees are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**YES**	no
If yes, are they hard to replace?	yes	**NO**
If they are hard to replace, is there redundancy planning for them?	**YES**	no
Can this function be restored if some of the current equipments and hardware are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
depending on server situation		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**YES**	no
If yes, what are they? (just name the application or database)		
FTP ability		
Are the essential applications difficult to reinstall?	yes	**NO**
Are the essential data difficult to recover or to re-load?	yes	**NO**
Can this function be restored if some essential data and applications are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	**NO**
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

server failure, network connection failure, lack of technical skill, loss of personnel

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Development

Name of function/service being assessed below: Fundraising

Business processes

Are there complex business processes in this function?	**YES**	no
If yes, what are the complex processes? (just name them)		
related to database, personnel expertise		
If a process is complex, is there a written description?	yes	**NO**

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**YES**	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**DISTRIB'D**
Can this function be restored if the current management / chain of command is not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	**NO**
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes	no
Can this function be restored if the current specialized employees are not available?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**YES**	no
If yes, are they hard to replace?	yes	**NO**
If they are hard to replace, is there redundancy planning for them?	**YES**	no
Can this function be restored if some of the current equipments and hardware are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**YES**	no
If yes, what are they? (just name the application or database)		
Advance database		
Are the essential applications difficult to reinstall?	**YES**	no
Are the essential data difficult to recover or to re-load?	**YES**	no
Can this function be restored if some essential data and applications are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	**NO**
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

physical damage, loss of personnel, electricity out completely, database not available

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Alumni Relations

Name of function/service being assessed below: Call Center

Business processes

Are there complex business processes in this function?	**YES**	no
If yes, what are the complex processes? (just name them)		
data, connectivity, telephone, personnel		
If a process is complex, is there a written description?	**YES**	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**YES**	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**DISTRIB'D**
Can this function be restored if the current management / chain of command is not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	**NO**
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	**YES**	no
Can this function be restored if the current specialized employees are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**YES**	no
If yes, are they hard to replace?	yes	**NO**
If they are hard to replace, is there redundancy planning for them?	**YES**	no
Can this function be restored if some of the current equipments and hardware are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	**NO**
If yes, what are they? (just name the application or database)		
FTP ability		
Are the essential applications difficult to reinstall?	yes	**NO**
Are the essential data difficult to recover or to re-load?	yes	**NO**
Can this function be restored if some essential data and applications are not available?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	**YES**	no
If yes, what are they? (give brief description of requirements) **CLARK LIBRARY 305**		
Can this function be restored if it must move to another location?	**YES**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
move to CL 349 if necessary		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

power, data, connectivity, data ports

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Alumni Relations

Name of function/service being assessed below: Volunteer Management

Business processes

Are there complex business processes in this function?	yes	**NO**
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	**NO**

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**YES**	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**DISTRIB'D**
Can this function be restored if the current management / chain of command is not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Handbook lists all board contact info

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	**NO**
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	**YES**	no
Can this function be restored if the current specialized employees are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	**NO**
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	**NO**
If yes, what are they? (just name the application or database)		
FTP ability		
Are the essential applications difficult to reinstall?	yes	**NO**
Are the essential data difficult to recover or to re-load?	yes	**NO**
Can this function be restored if some essential data and applications are not available?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Facility / location

Does this function have special requirements for location or facility?	yes	**NO**
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	**YES**	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

if binders listing board contacts info AND UA database are both destroyed, then no way to facilitate outreach

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Section 2 : RESILIENCY ASSESSMENT REPORTS

Chapter 4 : Information Technology (incomplete)

UTS

UTS

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UTS

Name of function/service being assessed below: Network Services - Internet Connectivity

Business processes

Are there complex business processes in this function?	yes	**no**
If yes, hat are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	**no**
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**yes**	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	**yes**	no
Can this function be restored if the current specialized employees are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**yes**	no
If yes, are they hard to replace?	yes	**no**
If they are hard to replace, is there redundancy planning for them?	**yes**	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	**no**
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

No Alternative

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	**no**
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	**no**
Are the essential data difficult to recover or to re-load?	yes	**no**
Can this function be restored if some essential data and applications are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	**no**
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

A most likely failure to restore would be damage to the Fiber/copper connectivty servicing the campus and power availability in the Computer Center Data Center room and MacQuarrie MPOE.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UTS

Name of function/service being assessed below: Network Services - Campus Connectivity

Business processes

Are there complex business processes in this function?	yes	**no**
If yes, hat are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	**no**
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**yes**	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	**yes**	no
Can this function be restored if the current specialized employees are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**yes**	no
If yes, are they hard to replace?	yes	**no**
If they are hard to replace, is there redundancy planning for them?	**yes**	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	**no**
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

No Alternative

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	**no**
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	**no**
Are the essential data difficult to recover or to re-load?	yes	**no**
Can this function be restored if some essential data and applications are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	**no**
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

A most likely failure to restore would be damage to the Fiber/copper connectivty between buildings and data closets

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UTS Systems Group

Name of function/service being assessed below: Operating Systems

Business processes

Are there complex business processes in this function?	yes	**no**
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	**no**
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**yes**	no
If yes, what are those specialized tasks? (just name them)		
Installtion of specific OS parameters for systems.		
If yes, are there cross-trained employees to do these tasks as backups?	**yes**	no
Can this function be restored if the current specialized employees are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**yes**	no
If yes, are they hard to replace?	yes	**no**
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	**no**
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	**no**
Are the essential data difficult to recover or to re-load?	yes	**no**
Can this function be restored if some essential data and applications are not available?	yes	**no**
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	**yes**	no
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

1. Not having enough hardware. 2. No having the appropriate media and data to load the systems.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UTS Systems Group

Name of function/service being assessed below: Active Directory

Business processes

Are there complex business processes in this function?	yes	**no**
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	**no**
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**yes**	no
If yes, what are those specialized tasks? (just name them)		
Installtion of specific AD parameters for systems. This can be completely retored if backups are available.		
If yes, are there cross-trained employees to do these tasks as backups?	**yes**	no
Can this function be restored if the current specialized employees are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	**no**
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	**no**
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	**no**
Are the essential data difficult to recover or to re-load?	yes	**no**
Can this function be restored if some essential data and applications are not available?	yes	**no**
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	**yes**	no
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

1. Not having appropriate hardware. 2. No having the appropriate media and data to load the systems.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UTS

Name of function/service being assessed below: Network Services - Server Farm Connectivity

Business processes

Are there complex business processes in this function?	yes	**no**
If yes, hat are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	**no**
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**yes**	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	**yes**	no
Can this function be restored if the current specialized employees are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**yes**	no
If yes, are they hard to replace?	yes	**no**
If they are hard to replace, is there redundancy planning for them?	**yes**	no
Can this function be restored if some of the current equipments and hardware are not available?	yes	**no**
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

No Alternative

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	**no**
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	**no**
Are the essential data difficult to recover or to re-load?	yes	**no**
Can this function be restored if some essential data and applications are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	**no**
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

A most likely failure to restore would be damage to the Fiber/copper connectivty within the Computer Room and power not being available in the Computer Center room and MacQuarrie MPOE.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): UTS Telecom Group

Name of function/service being assessed below: PBX - Voice Services

Business processes

Are there complex business processes in this function?	yes	**no**
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	**yes**	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	**distrib'd**
Can this function be restored if the current management / chain of command is not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	**yes**	no
If yes, what are those specialized tasks? (just name them)		
Programming of the diaster solution would require specialized employees and/or vendor technical support.		
If yes, are there cross-trained employees to do these tasks as backups?	**yes**	no
Can this function be restored if the current specialized employees are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

uipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	**yes**	no
If yes, are they hard to replace?	yes	**no**
If they are hard to replace, is there redundancy planning for them?	yes	**no**
Can this function be restored if some of the current equipments and hardware are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
Associated PRI trunks for making toll calls would need to be replaced and/or rerouted.		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	**yes**	no
If yes, what are they? (just name the application or database)		
The operating system and the latest capy of the database would be essential.		
Are the essential applications difficult to reinstall?	yes	**no**
Are the essential data difficult to recover or to re-load?	yes	**no**
Can this function be restored if some essential data and applications are not available?	**yes**	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	**yes**	no
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	yes	**no**
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
If the Computer Center is destroyed it would be impractical to implement a new PBX solution remotely. Go with VoIP solution.		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

1. If the processor/s fail replace them 24-72 hours. Cost of $25,000 to $100,000 depending on problem.

2. If Computer Center is destroyed to the point of all associated communication cables are unusable then the most logical answer is to replace PBX technology with a VoIP solution. IP to analog gateways required and alternate copper paths for emergency telephones.

CMS

CMS

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): ADMIN SYSTEMS Admin Apps

Name of function/service being assessed below: ADMIN APPLICATIONS

Business processes

Are there complex business processes in this function?	(yes)	no
If yes, what are the complex processes? (just name them) CMS, FTS, Imaging Project		
If a process is complex, is there a written description?	yes (X)	no Some

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	(no) - theoretical
If it's important, is management know-how distributed, or concentrated in one manager?	(concentr'd)	distrib'd
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Sr mgmt can assume EU responsib.	

Staffing: specialized employees / Knowledge

Does this function have specialized tasks that can only be done by specialized employees?	yes	(no) - theoretically
If yes, what are those specialized tasks? (just name them)	but some possess more knowledge	
If yes, are there cross-trained employees to do these tasks as backups?	yes	(no) some
Can this function be restored if the current specialized employees are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	see above	

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	(yes)	no
If yes, are they hard to replace?	yes	(no)
If they are hard to replace, is there redundancy planning for them?	yes	no - servers ?
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no - need a coup of machines
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	(yes)	no
If yes, what are they? (just name the application or database) CMS HCM, FTS, IS-SERVER	reliable backups for local systems	
Are the essential applications difficult to reinstall?	yes	no are requir
Are the essential data difficult to recover or to re-load?	yes	(no) - need reliable
Can this function be restored if some essential data and applications are not available?	yes	(no) - back-ups
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	(no)
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	must be able to access CMS & FTS	

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind) app servers & database servers

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Admin Systems - DBA

Name of function/service being assessed below: Base Administration

Business processes

Are there complex business processes in this function?	yes	(no)
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	yes	(no)
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	(yes)	no
If yes, what are those specialized tasks? (just name them)		
ORACLE RAC ADMINISTRATION, DATABASE ADMINISTRATION, RMAN ADMINISTRATION		
If yes, are there cross-trained employees to do these tasks as backups?	(yes)	no
Can this function be restored if the current specialized employees are not available?	yes	(no)
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
HIRE CONSULTANTS WITH SPECIALIZED SKILLS		

ments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	(no)
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	(yes)	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	(yes)	no
If yes, what are they? (just name the application or database)		
ORACLE CONTROL FILES, DATABASE BACKUPS		
Are the essential applications difficult to reinstall?	yes	(no)
Are the essential data difficult to recover or to re-load?	yes	(no)
Can this function be restored if some essential data and applications are not available?	yes	(no)
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		
DO WITHOUT MISSING DATA AND RELOAD WHAT WE CAN		

Facility / location

Does this function have special requirements for location or facility?	(yes)	no
If yes, what are they? (give brief description of requirements) NETWORK CONNECTIVITY		
Can this function be restored if it must move to another location?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

BACKUP MEDIA UNUSABLE, HARDWARE DESTRUCTION AND INABILITY TO GET FAST REPLACEMENT, POWER/NETWORK DISRUPTION, LOSS OF CONFIGURATION DOCUMENTATION WHICH RESIDES ON SERVERS, HUMAN RESOURCE UNAVAILABILITY

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): ADMIN SYSTEMS CMS Project Office

Name of function/service being assessed below: CMS Help Desk | My SJSU Website

Business processes

Are there complex business processes in this function?	yes	(no)
If yes, what are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	(yes)	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	(distrib'd)
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	(yes)	no
If yes, what are those specialized tasks? (just name them) website maintenance		
If yes, are there cross-trained employees to do these tasks as backups?	(yes)	no
Can this function be restored if the current specialized employees are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Equipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	(no)
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	(yes)	no
If yes, what are they? (just name the application or database) Web content mgmt, Web		
Are the essential applications difficult to reinstall?	yes	(no)
Are the essential data difficult to recover or to re-load?	yes	(no)
Can this function be restored if some essential data and applications are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	(yes)	no
If yes, what are they? (give brief description of requirements) telephone for help desk		
Can this function be restored if it must move to another location?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Administrative Systems

Name of function/service being assessed below: Desktop/Server Support

Business processes

Are there complex business processes in this function?	yes	NO

If yes, what are the complex processes? (just name them)

If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	YES	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd
Can this function be restored if the current management / chain of command is not available?	YES	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Management is necessary if Financial Purchase (replacement hardware) is necessary, and if Arbitration is necessary

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	YES	no

If yes, what are those specialized tasks? (just name them)

Install server hardware/OS/ Applications, Install Desktop hardware/Software/Applications

If yes, are there cross-trained employees to do these tasks as backups?	YES	no
Can this function be restored if the current specialized employees are not available?	YES	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

If people with comparable expertise are available, either from Campus/CSU or outside vendor

ɔments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	YES	no
If yes, are they hard to replace?	yes	NO
If they are hard to replace, is there redundancy planning for them?	YES	no
Can this function be restored if some of the current equipments and hardware are not available?	YES	no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Alternatives include consolidation ; virtual servers

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	YES	no

If yes, what are they? (just name the application or database)

UPD:Tracknet, SLETS,Flexpark),FD&O(TMA,Environmental,Keysystem), Division: (CMS, FTS,Cashnet, Onecard)

Are the essential applications difficult to reinstall?	YES	no	some need Vendor
Are the essential data difficult to recover or to re-load?	yes	NO	
Can this function be restored if some essential data and applications are not available?	YES	no	

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Some systems could be done manuallywith considerable degradation, Flexpark, CMS are off-campus hosted systems

Facility / location

Does this function have special requirements for location or facility? **Some**	YES	no

If yes, what are they? (give brief description of requirements) **Environmental control systems, Building key systems.**

Can this function be restored if it must move to another location?	YES	no

not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Some servers could be implemented off site, with propere network setup and probably some degradation

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Networking cannot be restored or seriously disabled., Replacement Equipment not available,

Power not available., Manpower expertise not available.

Administrative Systems Core Services as of October, 2011

Scenario Failure to Restart

1 **CMS**

Helpdesk support for CMS-related systems (HCM, FTS, CFS, Cognos, SADW)
Maintain my.sjsu.edu web site
Teach/train customers to use systems
Create/maintain detailed business process guides
Manage listserv

2 **Administrative Applications**

Program PeopleSoft reports and self-service functionality
Program/Maintain Finance Transaction Services
Participate in system upgrades
Program interfaces between systems
Update/convert data programmatically
Troubleshoot/Resolve technical/data issues

3 **Administrative Technology**

Procure and install hardware/software/operating systems
Install/configure/maintain servers/desktop computers/storage area networks
Provide end user computing support
Serve as liaisons with networking staff in UTS
Resolve issues reported through helpdesk tickets
Apply security patches
Administer security

4 **Administrative Databases**

Install/upgrade/configure Oracle database software
Manage application of updates/fixes to PeopleSoft software components
Administer databases that support critical campus systems
Back up/Safeguard/Restore data stored in Oracle databases
Test/Schedule/Apply Oracle security patches
Resolve issues reported through helpdesk tickets

SAN JOSÉ STATE UNIVERSITY

Ninh Pham-Hi <ninh.phamhi@sjsu.edu>

Business Continuity Resiliency Assessment Phase 2

Mike Dunefsky <mike.dunefsky@sjsu.edu> **Wed, Oct 26, 2011 at 9:31 AM**
To: Ninh Pham-Hi <Ninh.PhamHi@sjsu.edu>

Ninh:

Do you have a preferred format for the presentation of information on systems supported by my area, or will the format from my excerpt below meet your needs:

System:

named!

File Servers housing shared data for HR, University Police, Facilities, Accounting, Budgets, Accounts Payable, Procurement, Bursar's Office and Database Administrators.

Risk of failure: medium – business offices have file shares with documents that are needed in the course of their day to day business. Some of these files and databases may contain sensitive information. Risks fall into 2 categories – hardware failure vs data breach. Hardware failure is likely and has occurred before.

Recovery: Physical data recovery is relatively straightforward, although some of the backup media covering a specific period could be off site at the time the file(s) recovery is needed. If the data is not required immediately we could wait for the next tape rotation. If we require a specific media to be returned to campus, our media is intermingled with other media in a locked container that is shipped off site by the computer center. With collaboration we could get the media returned off cycle to use for data recovery. Risk of breach is also medium if a machine that is connected to the file share becomes infected by a Trojan or Worm. Recovery would involve cleaning the infected machine and verifying that files are not infected. In the event that a file becomes unrecoverable the last backup could be used to restore the file.

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Mike Dunefsky
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System:

Oracle RAC database - this system provides the back end database for Facilities Management TMA system, FTS, Towercard.

Risk of failure: low – server is on a storage area network that will continue to function when individual hard drives fail. The Oracle RAC infrastructure provides replicated rdbms services.

Recovery:

If data becomes corrupted there is a nightly backup which will restore data as of a point in time. There is also an RMAN backup with transaction logs that will permit restoration of data to a point in time. The RMAN backup also captures transaction logs that are backed up to a local hard drive and to tape. These logs will recover the database to the point in time that a failure occurs. In the event of facility destruction there may be some data loss resulting from missing transaction logs and/or uncommitted transactions.

The risk of this appears to be low barring a major earthquake or an act of terrorism. Typically data is recoverable. Data that has already fed into CFS is already in the system of record, and the loss of FTS data for these transactions would simply cause a loss of part of an audit trail, but would not be business impacting. If the entire system fails, full recovery time including operating system restoration is 1 – 2 business days.

OPERATIONS:

MySJSU web page:

In the event of an emergency requiring notification to students, get informational updates to one of the 4 people with access to update the MySJSU web site with appropriate information.

Have people with access to send messages to all students send a message if public relations requests this. There are people in every central office – Enrollment Services, Financial Aid, Bursar's Office, Admissions and CMS who can send messages to populations of students using the SJSU Messaging system.

CMS Helpdesk:

In the event of an incident in which helpdesk staff should not be on campus, several people in CMS including the director can change the message on the phone line to direct people to the appropriate web page/informational telephone number for updated information/statuses.

Access to information on staff, faculty, students, and applicants:

In the event of an emergency in which an email notification needs to be sent to people who interact with the campus, several people have back end access to pull information from PeopleSoft that could then be passed to public relations or UPD. Programmers in enrollment services can pull information on students and applicants; HR can pull this information on faculty and staff, and subject matter experts and managers in CMS/Administrative Systems can pull information. UPD also has access to look up information on individuals in PeopleSoft. UTS also has access to a table of email addresses for all staff, faculty, students, and applicants.

SJSU Business Continuity Panning (BCP)

Resiliency/Vulnerability Assessment of Essential BCP Units

Background:

- The Essential BCP Units (EUs) were identified in the Business Impact Analysis (BIA) Phase.

- Each EU was then asked to fill out a Self-Assessment Questionnaire (Questionnaire Q1) in which they evaluate their ability to restart after a disaster, for the following factors:

  - Complexity of Business Process
  - Staffing, Equipments & Hardware
  - Data & Applications
  - Facilities & Location
  - Most likely Scenarios of Failure to Restart

- On the next page is the full list of Essential BCP Units of SJSU that have returned their self-assessment.

- Based on the returns of that 1st Questionnaire, the Business Continuity Steering Committee (BCSC) has selected the following 2 classess of risk to address in the current BCP cycle: (a) Scenarios of Failure to Restart, and (b) IT risks.

- This Questionnaire Q2 is to follow up on risk (a) "Scenarios of Failure" (we will address "IT risks" later in a separate questionnaire).

- This is a drilling down into the issues in more details, it is not a duplicate of Q1.

- The BCSC Representatives will gather the responses from the EUs, compile them into a Divisional Summary and get the OK by the Divisional VPs before submitting the summary to BCSC. The upcoming BCP's Solution Design Phase will be based on that summary.

Questionnaire Q2

- Please describe the most likely scenarios according to which your Essential Unit would not be able to restart after a major regional disaster.

- As manager of your Essential Unit, you know best as to what would prevent this Essential Unit from being restarted.

- As an example, consider the following questions: Would it be because of issues related to Staffing? Or Facilities/Location/Building? Or Hardware/Equipment, or Regulatory Requirements, ...?

- For the purpose of this Questionnaire, do not consider IT risks (since that risk will be addressed separately, in conjunction with UTS and CMS/AdminTech ...)

- Concentrate only on the high probability scenarios (if you don't see any, say "no risk of failure to restart")

- Also describe how such failure to restart would impact other campus operations.

Please describe your scenarios below, in details, in a short paragraph (maybe 3 to 6 lines)

NAME OF REPORTING ESSENTIAL UNIT => UTS – Network Services

Narrative of scenario of failure to restart: . . .

Internet Connectivity

Internet connectivity is a critical service that will impact many other Essential Units if not available. There are two redundant connectivity paths into the campus. If the inbound infrastructure to campus from our service provider is completely damaged due to some catastrophic disaster and all copper and fiber facilities are damaged, we would not be able to provide Internet service to the campus. This would impact all network traffic inbound/outbound to the campus. To get this back and operational we would be dependant on Service provider resources and internal UTS network staff.

Campus Connectivity

Campus connectivity is a critical service that will impact other Essential Units if not available. There are redundant connectivity paths between buildings. We would have to have a major disaster to our campus fiber infrastructure, network hardware and servers for this service to be interrupted long term. If partial or all campus

network connectivity is interrupted, campus operations that rely on network connectivity would be interrupted. The likelihood of failure to restart is low.

Server Farm Connectivity

Server farm connectivity is a critical service that will impact other Essential Units if not available. There is redundant server farm networking equipment. The most likely event that would prevent us from restarting this service would be complete loss of existing production network equipment, spares and/or the inability to get replacement equipment. If server farm network connectivity is interrupted, campus operations that rely on network connectivity would be interrupted. The likelihood of failure to restart is low. Trained staff familiar with environment would be needed.

(What would most likely prevent this Essential Unit from restarting?
How probable is this scenario of failure to restart?
What other campus operations would be held-up by this failure?)

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- As manager of your Essential Unit, you know best as to what would prevent this Essential Unit from being restarted.

- As an example, consider the following questions: Would it be because of issues related to Staffing? Or Facilities/Location/Building? Or Hardware/Equipment, or Regulatory Requirements, ...?

- For the purpose of this Questionnaire, do not consider IT risks (since that risk will be addressed separately, in conjunction with UTS and CMS/AdminTech ...)

- Concentrate only on the high probability scenarios (if you don't see any, say "no risk of failure to restart")

- Also describe how such failure to restart would impact other campus operations.

Please describe your scenarios below, in details, in a short paragraph (maybe 3 to 6 lines)

NAME OF REPORTING ESSENTIAL UNIT => UTS - Telecom

Narrative of scenario of failure to restart: . . .

UTS PBX Services

UTS Telecom Group provides all voice connectivity to the campus. The most likely event that would prevent this essential unit from restarting is if the PBX or Data Center was destroyed. All campus operations that require voice services to conduct business would be impacted. The probability of this scenario of failure to restart is low.

What would most likely prevent this Essential Unit from restarting?
How probable is this scenario of failure to restart?
What other campus operations would be held-up by this failure?)

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book B: REPORTS

Section 2 : RESILIENCY ASSESSMENT REPORTS

Chapter 5 : Academic Affairs (incomplete)

Div. of Admin & Finance

	A	B	C	D	E	F	G
1	Service Group	Essential Unit	Essential Function/Service	Specialized Data/Applications	Responsible Party		
2					CMS	UTS	Local
3							
4	FD&O	EH&S	Safe handling & disposal of hazardous substances	MSDS Online Database			
5	FD&O	EH&S	Safe handling & disposal of hazardous substances	Chemical Inventory			
6	FD&O	EH&S	Legally Responsible Official (LRO)	None			
7	FD&O	EH&S	Emergency Response	MSDS Online Database			
8	FD&O	EH&S	Emergency Response	Chemical Inventory			
9	FD&O	Utilities	Exterior Lighting	EMS			
10	FD&O	Utilities	Chilled Water	Tridium server			
11	FD&O	Utilities	Chilled Water	ION server			
12	FD&O	Utilities	Steam	EMS			
13	FD&O	Utilities	Steam	Bailey			
14	FD&O	Utilities	Power	ION Enterprise System			
15	FD&O	Utilities	Natural Gas	Meters			
16	FD&O	Utilities	Natural Gas	Gauges			
17	FD&O	Utilities	Sewer	Waste water log			
18	FD&O	Utilities	Water	Metering & monitoring			
19	FD&O	Utilities	Water	TMA			
20	FD&O	Utilities	Water	Water model			
21	FD&O	Utilities	Minor Repairs & Maintenance	Communications			
22	FD&O	Utilities	Minor Repairs & Maintenance	TMA			
23	FD&O	Utilities	Minor Repairs & Maintenance	Financials			
24	FD&O	Buildings	Power Systems including lights, elevators, escalators, emergency generators	O&M Manuals			
25	FD&O	Buildings	Building Elements - walls, doors, windows, counters, stairs	Communications: telecon & radios			
26	FD&O	Buildings	Building Elements - walls, doors, windows, counters, stairs	TMA			
27	FD&O	Buildings	Water & Sewer Systems including toilets & drinking water	Metering & monitoring			
28	FD&O	Buildings	Water & Sewer Systems including toilets & drinking water	TMA			
29	FD&O	Buildings	HVAC Systems including heating, cooling & ventilation	EMS			
30	FD&O	Buildings	HVAC Systems including heating, cooling & ventilation	Controls			
31	FD&O	Buildings	HVAC Systems including heating, cooling & ventilation	Vivarian			
32	FD&O	Buildings	HVAC Systems including heating, cooling & ventilation	Special Collection			
33	FD&O	Buildings	Door Access & Lock Systems	TMA records			
34	FD&O	Buildings	Door Access & Lock Systems	Communication: email/phone			
35	FD&O	Buildings	Fire Alarm & Life Safety Systems	Yes, but not specified			
36	FD&O	Buildings	Maintenance & Repair Work	Communications: Telecon & radios			
37	FD&O	Buildings	Maintenance & Repair Work	TMA			
38	FD&O	Facility Operations	Custodial (Toilets & Trash)	None			
39	FD&O	Facility Operations	Building Exterior Pathways	None			
40	FD&O	Administrative Services	Dispatch/Communications	TMA			
41	FD&O	Administrative Services	Dispatch/Communications	Email			
42	FD&O	Administrative Services	Central Stores/Warehouse (critical parts)	Inventory control system			
43	FD&O	Administrative Services	CMMS/TMA	CMMS/TMA			
44	FD&O	PD&C	Building Official	None			
45	FD&O	PD&C	Archives and Building Plans	Yes, but not specified			

	A	B	C	D	E	F	G
46							
47	F&AT	Accounts Payable	Accounts Payable	PeopleSoft			
48	F&AT	Receiving	Receiving	CFS			
49	F&AT	Receiving	Receiving	UPS Trackpad			
50	F&AT	Bursar's Office	Tower Card Issuance	ID Works			
51	F&AT	Bursar's Office	Tower Card Issuance	PeopleSoft			
52	F&AT	Bursar's Office	Cashiering	CASHNet			
53	F&AT	Bursar's Office	Cashiering	PeopleSoft			
54	F&AT	Bursar's Office	Collections	PeopleSoft			
55	F&AT	Bursar's Office	Student Accounts	None			
56	F&AT	Procurement	Purchasing	None			
57	F&AT	Mail Services	Metering of Mail	None			
58	F&AT	Mail Services	Mail Delivery	None			
59							
60	HR	HR Admin	Risk & Compliance	None			
61	HR	HR Operations	Payroll	CMS Absence Mgmt			
62	HR	HR Operations	Payroll	State Controller's Office PIMS			
63	HR	HR Operations	Benefits	CMS Benefits Administration			
64	HR	HR Operations	Benefits	State Controller's Office PIMS			
65							
66	SS	Spartan Dining	Dining Services	None			
67	SS	Spartan Dining	Retail Dining	None			
68							
69	UPD	UPD Admin Services	Campus Access/Egress	CLETS			
70	UPD	UPD Admin Services	Campus Access/Egress	SLETS			
71	UPD	UPD Admin Services	Campus Access/Egress	TRAKNET			
72	UPD	UPD Admin Services	Campus Access/Egress	Cad			
73	UPD	UPD Admin Services	Campus Access/Egress	RMS			
74	UPD	UPD Admin Services	Emergency Communications-Dispatch	Tracnet			
75	UPD	UPD Admin Services	Emergency Communications-Dispatch	Cad			
76	UPD	UPD Admin Services	Emergency Communications-Dispatch	Clets			
77	UPD	UPD Admin Services	Emergency Communications-Dispatch	Slets			
78	UPD	UPD Admin Services	Emergency Communications-Dispatch	Radio Communications			
79	UPD	UPD Admin Services	Emergency Communications-Dispatch	911 Phone lines			
80	UPD	UPD Admin Services	Emergency Communications-Police Repeaters	None			
81	UPD	Field Operations	Police	None			
82	UPD	Field Operations	Emergency Communications-AlertSJSU	Alert SJSU database			
83	UPD	Field Operations	Emergency Communications-AlertSJSU	Cell Towers			
84	UPD	Field Operations	Emergency Communications-AlertSJSU	Internet			

Division of Student Affairs–January 6, 2011 submitted by BCSC member Terri Thames, Interim Associate Vice President for Student Services				
Department	**Mission-critical/ essential functions**	**Process owner**	**Needs from infrastructure of University**	**Comments**
Health Center	• Urgent Care -- provision of crisis care • Triage services • Assessment of community services available for referrals and planning for transports • Assessment and obtaining of medical supplies	Health Center Director (currently Roger Elrod)	• Sanitation standards support, e.g. hot water • IT support • Building safety	Many health services are highly regulated by legal standards of the medical profession
Counseling Services	• Crisis assessment and intervention • Psychiatric services -- medication maintenance, medication assessments • Outreach to campus community regarding mental health issues, e.g. housing, classrooms, student organizations, etc Educational counseling related to effects of crisis • Non-crisis assessment	Counseling Services Director (currently Kell Fujimoto)	• IT support	Many counseling services are highly regulated by legal standards of the psychological profession
Disability Resource Center	• Student accommodations assessment and implementation • Deaf and hard of hearing services • Testing center services • Alternative media Lab • Academic technology services • ADA compliance • Employee accommodations	DRC Director (currently Demerris Brooks)	• IT support	Almost all functions of the DRC are mandated by federal law in one way or another
Housing	• Residential life coordinators on 24 hour call for safety • Housing assignments services • Maintenance services for habitable living • Billing and cashiering	Housing Director (currently Vic Culatta)	• IT support • Sanitation standards support, e.g. power, water • Habitable buildings	
Registrar	• Maintaining safety and integrity of records both paper and computer • CMS and backup (maintained by UTS) • FileMaker databases (maintained by Division of Student Affairs IT) • Registration services	Registrar (currently Marion Sofish)	• IT support	Legalities of managing student records are a factor
Enrollment Services		AVP For Enrollment Services (currently Colleen Brown)		
Financial Aid and Scholarship		Financial Aid and Scholarship Director (currently Coleetta McElroy)		

Division of Academic Affairs
Business Impact Analysis Matrix

Student Availability	Process Owner	Faculty Availability	Process Owner	Curriculum	Process Owner	Advising	Process Owner	Resources	Process Owner
Students by class level: • Graduating Senior • Senior • Junior • Sophomore • Freshmen	VP Deans	Specific instruction	Deans Dept. Chairs	Lax units	VP AVP, UGS Deans Dept. Chairs	Student Data (Retrieval & Repository)	AVP, SASS	Collaboration with nearby institutions (create linkages)	VP
				GE (core) requirements	AVP, UGS	Lax units	VP AVP, UGS Deans Dept. Chairs	Facilities • On-campus • Off-campus	VP
				Undergrad vs. Grad?	VP AVP, UGS AVP, GSR	GE (core) requirements	AVP, UGS	Classroom/Space sharing	VP
				Lecture vs. Labs?	Deans Dept. Chairs			Courses: • On-line • Other local institutions	VP Deans AVPs
				"Earthquake" courses/degree	AVP, UGS				
				Rolling Schedule	Deans Dept. Chairs				
				Group courses (ie. English 1A)	Deans Dept. Chairs				
				Online Courses: • Desire 2 Learn • Elluminate	VP AVP, IES Deans Dept. Chairs				

*Based on the nature of the disaster, a succession plan will be referenced.

AAD's survey of Colleges

	Name of Essential Unit (EU):	Dean's Office	Aerospace	Health Science	Hospitality, Recreation, & Tourism Mgmt	Journalism & Mass Communications	Justice Studies
	Name of function/service being assessed below:	Academic	Academic	Academic	Academic	Academic	Academic
Business processes							
	Are there complex business processes in this function?	yes	no	no	no	no	yes
	If yes, what are the complex processes? (just name them)	HR, Budget, Faculty Affairs processes			Teaching classes.		
	If a process is complex, is there a written description?	no	no		yes		no
Staff: Management / chain of command							
	Is it absolutely necessary to have supervisory / management structure for this function?	yes	no	no	no	yes	no
	If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	distrib'd		distrib'd	distrib'd	distrib'd
	Can this function be restored if the current management / chain of command is not available?	yes	yes		yes	yes	yes
	If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")				other faculty step in		
Staffing: specialized employees							
	Does this function have specialized tasks that can only be done by specialized employees?	no	no	no	no	no	yes
	If yes, what are those specialized tasks? (just name them)				Professional knowledge, teaching expertise.		
	If yes, are there cross-trained employees to do these tasks as backups?	no	yes		yes		yes
	Can this function be restored if the current specialized employees are not available?	no	yes		yes	yes	yes
	If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")				Recruit other faculty to step in.		
Equipments, hardware							
	Are there specialized equipments and hardware without which the EU cannot function?	no	no	no	no	yes	no
	If yes, are they hard to replace?				yes	no	no
	If they are hard to replace, is there redundancy planning for them?	no				no	no
	Can this function be restored if some of the current equipments and hardware are not available?	yes	yes		no		yes
	If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")						
Data, and Applications							
	Are there specialized applications and data without which the EU cannot function?	no	no	no	no	no	yes
	If yes, what are they? (just name the application or database)			D2L & faculty computers			
	Are the essential applications difficult to reinstall?	no	no		no	no	
	Are the essential data difficult to recover or to re-load?	no	no		no		
	Can this function be restored if some essential data and applications are not available?	no	yes		no	yes	

	Name of Essential Unit (EU):	Dean's Office	Aerospace	Health Science	Hospitality, Recreation, & Tourism Mgmt	Journalism & Mass Communications	Justice Studies
	Name of function/service being assessed below:	**Academic**	**Academic**	**Academic**	**Academic**	**Academic**	**Academic**
	If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")				**Back up computers & keep electronic documents.**		
Facility / location							
	Does this function have special requirements for location or facility?	**no**	**no**	**no**	**yes**	**no**	**no**
	If yes, what are they? (give brief description of requirements)				**no**	**yes**	
	Can this function be restored if it must move to another location? Possible	**no**					
	If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")						
What are the most likely "failure to restore" scenarios (describe the obvious caveats that would preventrestarting this unit/function)					**In a major disaster the biggest challenge will be to re-establish instructional programs/classes. Not having computers, video projectors & classrooms.**		

	Name of Essential Unit (EU):	Kinesiology	Library & Information Science	Nursing	Nutrition, Food Science, & Packaging	Occupational Therapy	Social Work
	Name of function/service being assessed below:	Academic	Academic	Academic	Academic	Academic	Academic
Business processes							
	Are there complex business processes in this function?	yes	yes	yes	no	yes	yes
	If yes, what are the complex processes? (just name them)		There are administrative & academic functions tied to SJSU business processes.	Teaching, financial, computer, HR	Nutrition/metabolism/chemical labs; culinary/food preparation labs.	Teaching, labs, & Occupational Therapy clinics with clients.	Administrative direction & leadership of the school.
	If a process is complex, is there a written description?	some yes, others no	yes	yes	yes	yes	yes
Staff: Management / chain of command							
	Is it absolutely necessary to have supervisory / management structure for this function?	yes	no	yes	no	yes	yes
	If it's important, is management know-how distributed, or concentrated in one manager?	distrib'd	distrib'd	concentr'd	concentr'd	distrib'd	distrib'd
	Can this function be restored if the current management / chain of command is not available?	no	yes	no	no	no	to some degree
	If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Long term: hire additional faculty/staff; short term: cross train but difficult with union restrictions.		Merge with other departments/schools.		Must have licensed occupational therapists both for the teaching as well as working with clinic clients - no alternative.	Can be restored if comparable leadership, faculty, & staff can be found.
Staffing: specialized employees							
	Does this function have specialized tasks that can only be done by specialized employees?	yes	no	yes	no	yes	yes
	If yes, what are those specialized tasks? (just name them)	Teaching special skills & knowledge: Cognos; knowledge of processes for hiring & payroll; knowledge of dept labs, facilities, class needs; knowledge of KIN specialist equipment.		Teaching, financial, faculty affairs	Teaching specialized content in courses.	yes	School director, Program coordinators, Administrative staff leads.
	If yes, are there cross-trained employees to do these tasks as backups?			no	yes		to some degree
	Can this function be restored if the current specialized employees are not available?		yes	no	yes	no	to some degree
	If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	no alternative		Hire temporary faculty. Share (merge with other units).		Require safely installed equipment for our labs & clinic - or would need to find appropriately equipped clinic in the community.	Can be restored if comparable leadership, faculty, & staff can be found.
Equipments, hardware							
	Are there specialized equipments and hardware without which the EU cannot function?	yes	no	yes	no	yes	yes
	If yes, are they hard to replace?	yes		yes	no	Filemaker Pro	If resources limited.
	If they are hard to replace, is there redundancy planning for them?	no		no	yes	no	no
	Can this function be restored if some of the current equipments and hardware are not available?	no	yes	yes	yes	no	no
	If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	Get funding from college/university for replacement equipment.		Computers, simulators.	Change sequence of class lessons until substitute equipment obtained.	no	Computers & software packages vital to our research, teaching, & administrative duties. Can be replaced if funding is
Data, and Applications							
	Are there specialized applications and data without which the EU cannot function?	no	yes	yes	yes	yes	yes
	If yes, what are they? (just name the application or database)		Peoplesoft,D2L, Elluminate/Collaborate, Google mail	Peoplesoft		Filemaker Pro	Research databases, student & School/program specific records, personnel records.
	Are the essential applications difficult to reinstall?		no	no	yes	no	yes
	Are the essential data difficult to recover or to re-load?		no	no	yes	no	yes
	Can this function be restored if some essential data and applications are not available?		yes	yes	no	yes	no

	Name of Essential Unit (EU):	Kinesiology	Li... Information Science	Nursing	Nutrition, Food Science, & Packaging	Occupational Therapy	Social Work
	Name of function/service being assessed below:	**Academic**	**Academic**	**Academic**	**Academic**	**Academic**	**Academic**
	If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")			**Retreat to paper & pen.**		**We do have hard copies of msot of our files, trying to go green.**	**Data is confidential, & some only in paper format. Need resources for viable & secure back-up solution.**
Facility / location							
	Does this function have special requirements for location or facility?	**yes**	**no**	**yes**	**no**	**yes**	**yes**
	If yes, what are they? (give brief description of requirements)	**Specialist labs; specialist activity areas.**	**yes**			**Clinics & labs are set up to enhance safe treatment of clients & learning environments for students.**	**Given SJSU & organizational/community relationships, SJSU location important. Students, staff, & faculty must be able to have access**
	Can this function be restored if it must move to another location? Possible	**Unlikely**		**yes**	**no**	**yes**	**no**
	If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	**Request use of local community college facility; no alternative for lab; be very creative.**			**Delay labs utilizing specialized equipment until equipment is obtained.**	**We can continue with our teaching but would be difficult to recreate the safe clinic/learning environment.**	**If relocated, School must be in a location to maintain specific SJSU, student, & organizational/community relationships &**
What are the most likely "failure to restore" scenarios (describe the obvious caveats that would preventrestarting this unit/function)		**Breakage/failure of lab equipment that is to costly to replace; cancellation (short term) or restructuring (long term) of many classes.**	**Because our program is 100% online, the most iikely failure to restore scenarios would involve inaccessibility to campus restricted access such as the Google mail single sign on hosted a UCAT.**	**Time required to obtain new hardware & software. Funds to purchase equipment & supplies. Funds to rent space.**	**Lack of equipment for labs is the major problem. Otherwise just need use of powerpoint audiovisual equipment for teaching non-lab classes.**	**If our building was destroyed we could continue our teaching elsewhere-would need to acquire some basic portable equipment for labs, difficult to continue providing safe treatment to clinic clients unless space & equipment**	**Long-term absence or loss of key faculty & staff. Loss of vital research data & school/personnel records.**

SJSU SAN JOSÉ STATE UNIVERSITY

Business Continuity Planning (BCP)
Master Depository

Book B: REPORTS

Section 2 : RESILIENCY ASSESSMENT REPORTS

Chapter 6: Athletics

Athletics

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Director's Office

Name of function/service being assessed below: Management / oversight of DIA

Business processes

Are there complex business processes in this function?	yes	(no)
If yes, hat are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	(yes)	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	(distrib'd)
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	(yes)	no
If yes, what are those specialized tasks? (just name them)	Oversight experience of D1 Athletics Dept	
If yes, are there cross-trained employees to do these tasks as backups?	(yes)	no
Can this function be restored if the current specialized employees are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

pments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	(no)
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	(no)
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	no
Are the essential data difficult to recover or to re-load?	yes	no
Can this function be restored if some essential data and applications are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	(no)
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	(yes)	no
not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Failure to restore might allow overall processes to falter creating regulatory & financial hardships to the University

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Business Operations

Name of function/service being assessed below: Purchasing / AP / Accounting / Budget

Business processes

Are there complex business processes in this function?	(yes)	no
If yes, hat are the complex processes? (just name them)	budget, financial systems	
If a process is complex, is there a written description?	(yes)	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	(yes)	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	(distrib'd)
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	(yes)	no
If yes, what are those specialized tasks? (just name them)	budget, financial systems	
If yes, are there cross-trained employees to do these tasks as backups?	(yes)	no
Can this function be restored if the current specialized employees are not available?	yes	(no)
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

ıpments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	(no)
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	(yes)	no
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	(no)
Are the essential data difficult to recover or to re-load?	yes	(no)
Can this function be restored if some essential data and applications are not available?	yes	(no)
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	require campus departments pick up the workload (ie Purchasing, AP, Accounting, Budget)	

Facility / location

Does this function have special requirements for location or facility?	yes	(no)
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	(yes)	no
f not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Failure to restore might hinder business processes to move forward adequately

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Compliance

Name of function/service being assessed below: NCAA regulation

Business processes

Are there complex business processes in this function? (yes) no

If yes, hat are the complex processes? (just name them) Knowledge of NCAA rules & regulations

If a process is complex, is there a written description? (yes) no NCAA manual

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function? (yes) no

If it's important, is management know-how distributed, or concentrated in one manager? concentr'd (distrib'd)

Can this function be restored if the current management / chain of command is not available? (yes) no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees? (yes) no

If yes, what are those specialized tasks? (just name them) Knowledge of NCAA rules & regulations

If yes, are there cross-trained employees to do these tasks as backups? (yes) no

Can this function be restored if the current specialized employees are not available? yes (no)

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative") no alternative

ipments, hardware

Are there specialized equipments and hardware without which the EU cannot function? yes (no)

If yes, are they hard to replace? yes no

If they are hard to replace, is there redundancy planning for them? yes no

Can this function be restored if some of the current equipments and hardware are not available? (yes) no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Data, and Applications

Are there specialized applications and data without which the EU cannot function? yes (no)

If yes, what are they? (just name the application or database)

Are the essential applications difficult to reinstall? yes (no)

Are the essential data difficult to recover or to re-load? yes (no)

Can this function be restored if some essential data and applications are not available? (yes) no

If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

Facility / location

Does this function have special requirements for location or facility? yes (no)

If yes, what are they? (give brief description of requirements)

Can this function be restored if it must move to another location? (yes) no

f not, what is the theoretical alternate solution? (give quick description, or say "no alternative")

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Failure to restore may cause regulatory hardships for University

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Events / Facilities

Name of function/service being assessed below: Facility management / Event Coordinator

Business processes

Are there complex business processes in this function?	yes	(no)
If yes, hat are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	(yes)	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	(distrib'd)
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	yes	(no)
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	(yes)	no
Can this function be restored if the current specialized employees are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

ipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	(yes)	no
If yes, are they hard to replace?	yes	(no)
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	(no)
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	(no)
Are the essential data difficult to recover or to re-load?	yes	(no)
Can this function be restored if some essential data and applications are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	(yes)	no
If yes, what are they? (give brief description of requirements)	need sport specific facilities for competition	
Can this function be restored if it must move to another location?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Failure to restore certain facilities will force us to look at external facilities for use.

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Women's Sports

Name of function/service being assessed below: 10 women's teams

Business processes

Are there complex business processes in this function?	yes	(no)
If yes, hat are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	(yes)	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	(distrib'd)
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	(yes)	no
If yes, what are those specialized tasks? (just name them)	coaching	
If yes, are there cross-trained employees to do these tasks as backups?	(yes)	no
Can this function be restored if the current specialized employees are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

ıpments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	(yes)	no
If yes, are they hard to replace?	yes	(no)
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	(no)
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	(no)
Are the essential data difficult to recover or to re-load?	yes	(no)
Can this function be restored if some essential data and applications are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	(yes)	no
If yes, what are they? (give brief description of requirements)	practice / game facilities	
Can this function be restored if it must move to another location?	(yes)	no
f not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

SJSU would not be able to compete thus the potential to lose recruits and student-athletes increases

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Men's Sports

Name of function/service being assessed below: 6 men's teams

Business processes

Are there complex business processes in this function?	yes	(no)
If yes, hat are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	(yes)	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	(distrib'd)
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	(yes)	no
If yes, what are those specialized tasks? (just name them)	Coaching	
If yes, are there cross-trained employees to do these tasks as backups?	(yes)	no
Can this function be restored if the current specialized employees are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

ıpments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	(yes)	no
If yes, are they hard to replace?	yes	(no)
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	(no)
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	(no)
Are the essential data difficult to recover or to re-load?	yes	(no)
Can this function be restored if some essential data and applications are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	(yes)	no
If yes, what are they? (give brief description of requirements)	practice/game facilities	
Can this function be restored if it must move to another location?	(yes)	no
f not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

SJSU would not be able to compete or participate thus the potential to lose recruits and student-athlete increases

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Sports Information

Name of function/service being assessed below: media relations / statistics

Business processes

Are there complex business processes in this function?	yes	(no)
If yes, hat are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	(yes)	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	(distrib'd)
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	(yes)	no
If yes, what are those specialized tasks? (just name them)	media relations, statistics	
If yes, are there cross-trained employees to do these tasks as backups?	(yes)	no
Can this function be restored if the current specialized employees are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

ipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	(no)
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	(yes)	no
If yes, what are they? (just name the application or database)	multiple stats programs, website software	
Are the essential applications difficult to reinstall?	yes	(no)
Are the essential data difficult to recover or to re-load?	yes	(no)
Can this function be restored if some essential data and applications are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	(no)
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	(yes)	no
f not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Failure to restore would not allow us to track required data and keep media / external constituents updated

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Sports Medicine

Name of function/service being assessed below: Treatment / Rehab

Business processes

Are there complex business processes in this function?	(yes)	no
If yes, hat are the complex processes? (just name them)	proper medical training / treatment	
If a process is complex, is there a written description?	(yes)	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	(yes)	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	(distrib'd)
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	(yes)	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	yes	(no)
Can this function be restored if the current specialized employees are not available?	yes	(no)
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")	no alternative	

ipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	(yes)	no
If yes, are they hard to replace?	yes	(no)
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	(no)
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	(no)
Are the essential data difficult to recover or to re-load?	yes	(no)
Can this function be restored if some essential data and applications are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	(no)
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	(yes)	no
f not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Failure to restore would not allow us to be able to treat / rehab injuries or injured student-athletes nor provide maintenance preventative to student-athletes

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Student Academic Services

Name of function/service being assessed below: Eligibility / Enrollment / Student Services

Business processes

Are there complex business processes in this function?	yes	(no)
If yes, hat are the complex processes? (just name them)	eligibility, advising, enrollment/registration	
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	(yes)	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	(distrib'd)
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	(yes)	no
If yes, what are those specialized tasks? (just name them)		
If yes, are there cross-trained employees to do these tasks as backups?	(yes)	no
Can this function be restored if the current specialized employees are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

ıpments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	(no)
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	yes	(no)
If yes, what are they? (just name the application or database)		
Are the essential applications difficult to reinstall?	yes	(no)
Are the essential data difficult to recover or to re-load?	yes	(no)
Can this function be restored if some essential data and applications are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	(no)
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	(yes)	no
f not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Failure to restore would not allow us to properly certify, register and advise student-athletes which may lead to regulatory infractions

SJSU BUSINESS CONTINUITY PLANNING

ASSESSMENT OF RESILIENCY OF EACH FUNCTIONS/SERVICES WITHIN AN ESSENTIAL UNIT (EU)

The purpose of this form is to assess the resiliency of the services or functions of the Essential Units that must restored after a disruptive disaster

Name of Essential Unit (EU): Ticket Operations

Name of function/service being assessed below: Sales / Customer Service

Business processes

Are there complex business processes in this function?	yes	(no)
If yes, hat are the complex processes? (just name them)		
If a process is complex, is there a written description?	yes	no

Staff: Management / chain of command

Is it absolutely necessary to have supervisory / management structure for this function?	(yes)	no
If it's important, is management know-how distributed, or concentrated in one manager?	concentr'd	(distrib'd)
Can this function be restored if the current management / chain of command is not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Staffing: specialized employees

Does this function have specialized tasks that can only be done by specialized employees?	(yes)	no
If yes, what are those specialized tasks? (just name them)	knowledge of facilities and ticketing software	
If yes, are there cross-trained employees to do these tasks as backups?	(yes)	no
Can this function be restored if the current specialized employees are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

ipments, hardware

Are there specialized equipments and hardware without which the EU cannot function?	yes	(no)
If yes, are they hard to replace?	yes	no
If they are hard to replace, is there redundancy planning for them?	yes	no
Can this function be restored if some of the current equipments and hardware are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Data, and Applications

Are there specialized applications and data without which the EU cannot function?	(yes)	no
If yes, what are they? (just name the application or database)	ticketmaster	
Are the essential applications difficult to reinstall?	yes	(no)
Are the essential data difficult to recover or to re-load?	yes	(no)
Can this function be restored if some essential data and applications are not available?	(yes)	no
If not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

Facility / location

Does this function have special requirements for location or facility?	yes	(no)
If yes, what are they? (give brief description of requirements)		
Can this function be restored if it must move to another location?	(yes)	no
f not, what is the theoretical alternate solution? (give quick description, or say "no alternative")		

What are the most likely "failure to restore" scenarios (describe the obvious ones that come immediately to mind)

Failure to restore would not allow us front-of-house operations to continue revenue generation