

# Disaster Recovery and Business Continuity Planning Workshop

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# Learning Objectives

- 1. Identify the components of effective Disaster Recovery & Business Continuity Plans**
- 2. Learn about resources which are available**
- 3. Understand your unit's responsibility for planning**
- 4. Utilize tool to assist in development of a DR/BC plan**

# Outline

- **Overview**
- **Department Information**
  - **Exercise 1**
- **Critical Functions**
  - **Exercise 2**
- **Information Technology**
  - **Exercise 3**
- **Key Resources**
  - **Exercise 4**

# Credit goes to “UC Ready” Tool!

Much of the content for development of the “DRBC-Planner” tool comes from the UC-Ready web tool developed at Berkeley

- ITSO and UIRM will investigate possibility of adopting UC-Ready web tool for use at the UI
- Should we adopt, information collected and input by you should be relatively simple to migrate
- We will keep you informed

# Section 1: Overview

# Overview

- **Disaster Recovery vs. Business Continuity**
  - As duration of disaster increases, BC more important
  - As scope of disaster increases, BC more important
- **Assessment of Risk:**
  - No plan = accept full risk and consequence of a disaster
  - Plan = identify worst case scenarios and mitigations to lessen disaster consequence and minimize loss

# Overview

- Plans should address these aspects
  - Physical
  - Environmental
  - Operational
  - Personnel
- Critical functions or important?
  - Not practical to cover *everything* in detail
- Consider “Natural” as well as “Artificial” Threats
  - Planning process and outcomes
  - Prevention measures

# DR Fundamentals: Prevention and Mitigation

- **Back-up methodology, off-site storage**
- **Physical security for equipment**
- **Logical security measures**
- **Administration and inventories**
- **Testing and training**



# University Responsibility

- Top level chain of command is already documented (CIMP)
- Communications regarding events
  - <http://www.uiowa.edu/~pubsfty/cimp.pdf>
- Infrastructure services:
  - Network (ITS)
  - Power and HVAC (FM)
  - Physical space (FM)
  - Telephone (ITS)

# Things to Consider

- **Personnel issues**
- **Payroll issues**
- **Purchasing**
  
- **Emergency Contacts**
- **Social distancing & working from home**

# Unit Responsibility

- **Business Impact Analysis**
  - **Critical functions (prioritization)**
  - **Cost of failures**
- **Resources –people, systems, supplies, etc**
- **Vital records**
- **Recovery procedures**
- **Communications within unit**
- **Chain of command for decision making**

# Things to Consider

1. Disasters (obviously!) happen
2. Planning > Plan
3. Learn from experience and be better prepared
  - Crisis is not the time to deliberate decisions
  - Communication is a priority
4. You *will not* leave today with a finished plan

# Section 2: Department Information

# General Department Information

- Name, type of dept
- Personnel (categories, estimated numbers)
- Location(s) occupied
- References to other plans/documents
  - Pandemic plan
  - Evacuation/emergency plan
  - Faculty plan (teaching and research)

# ABOUT ACTION ITEMS

- **Most important part of the DR/BC Plan**  
“What can your unit do to be better prepared?”
- **Ideas, not commitments**
- **“Cost” estimates:**
  - **Low (less than \$1,000)**
  - **Moderate (\$1,000 to \$10,000)**
  - **High (\$10,000 to \$100,000)**
- **“Cost is” means one time, annual, or both**

# Exercise 1: Dept Information

- Navigate to:  
<http://cio.uiowa.edu/itsecurity/resources/drbcps.html>
- Save the spreadsheet to your desktop (“*often*”)
- Open and complete the **Dept Info** tab information as well as you can
- Utilize the **Action Items** tab. If there is information you need to collect (not available via web) – note it in your action items!
- Be sure to hover to see the **Comments**



# Section 3: Critical Functions

# Critical Functions

- List of functions *performed by your unit*
  - Don't reinvent the wheel: “Essential Functions” for your unit were already identified in pandemic plans
- Indication of function relative criticality:

|                   |   |
|-------------------|---|
| <b>Critical 1</b> | Essential, must continue at normal and perhaps increased function                               |
| <b>Critical 2</b> | Essential, serious consequences if disrupted, must continue function at normal or reduced level |
| <b>Critical 3</b> | May pause briefly, but must resume function within 30 days                                      |
| <b>Deferrable</b> | May pause if necessary, but should resume function as soon as conditions permit                 |

# Critical Functions - Examples

- **Classroom instruction**
- **Laboratory research**
- **Process applicants (admission, degree, etc)**
- **In-patient, out-patient care**
- **Scheduling (courses, classrooms, etc)**
- **Produce Payroll**
- **Deliver supplies**

# Critical Functions - The Details

- Peak periods (i.e., start/end of sessions, FY)
- References to documents
- Dependencies to consider
  - Upstream: HR, Registrar, ITS, FM, Purchasing, ...
  - Downstream: may be groups or units
- Consequences of failure/reduction
- Coping strategies

## Exercise 2: Critical Functions

- Complete the **Critical Functions List** tab first. Use pandemic plans to get started.

<http://provost.uiowa.edu/docs/reports/PanFluResponsePlan.pdf>

- Each critical function should be detailed in a separate (**Critical Functions(1)**, etc) tab. To add more tabs:
  - Right click tab, select move or copy, click “X” to copy
  - Right click new tab, and move it before the “IT” tab
- Record actions to complete at the bottom of each tab

# Section 4: Information Technology

# Information Technology

- IT typically ***supports*** the unit's critical functions
  - web site = communication vehicle
  - server = file storage, sharing, archive
- IT is centrally-supported as well as locally supported – they will be addressed separately
- Focus is on applications, inventory, procedures
- IT planning is to lessen impact on critical functions
  - Redundancy
  - Recovery procedures
  - Alternatives

# Information Technology

- Recovery procedures should be documented, referenced, but *not* maintained within this tool
- Maintain and share relevant information
  - Hardware
  - Software (and appropriate licenses, access keys)
  - Personnel (and appropriate expertise)
  - Contact information – vendors, suppliers
- Redundancy, resiliency, recoverability, ....



# Exercise 3: Information Technology

- Complete the **IT** tab as best you can
- First priority is support of critical functions, but everything should be collected
  - Central “Enterprise” applications utilized
  - Department applications
  - Servers – describe those owned and managed by your unit
  - Workstations – what inventory do you have, and how many, in general terms
  - Backups – looking for adequacy, not details
- Review the **IT-Recovery** tab scenarios and make notes

# Section 5: Key Resources

# Key Resources - Personnel

- **General things to consider before emergency**
- **Key personnel**
  - Start with information from pandemic plan
- **Working from home**
  - Survey your department personnel?
  - Requirements to make this successful?
- **Other personnel considerations**
  - Teams, skills, functions, replacements, alternatives, etc

# Key Resources - Non Personnel

- Documents – where are primary/definitive?
- Equipment and supplies
  - Office equipment
  - Other equipment
  - Supplies
- Facilities and transportation
  - Space
  - Utilities
  - Transportation
- Other resources

## Exercise 4: Key Resources

- Complete the **Key Resources-Personnel** tab
  - Chain of command and decision makers
  - Expertise should be considered
  - Consider strategies to collaborate
  - Consider the support of critical functions
- Complete the **Key Resources-NonPersonnel** tab
  - Can't prepare meals without food
  - Can't run busses without gas
  - Can't treat (some) illness without drugs

# Next Steps

- Save the plan!
- Review your recorded actions
- Complete the missing parts of your plan
- Share within your department as draft
- Obtain executive review and acceptance
- Provide **FEEDBACK** on the tool
- “How to conduct a tabletop exercise” ???

*Thank You*