

SUBJECT: Statewide Business Continuity Planning **NUMBER:** 107-001-010
DIVISION: Office of the Director **EFFECTIVE DATE:** July 27, 2009

APPROVED:



**POLICY/
PURPOSE:**

State agencies must ensure critical business functions and public services continue under any conditions. This policy sets forth guidelines requiring all State of Oregon agencies, individually, and in conjunction with other agencies, to develop, implement, test, and maintain Business Continuity Plans (BCP). The plans must ensure critical state services continue despite interruption by an emergency, disaster, or other unplanned event, whether natural or manmade.

AUTHORITY:

ORS 291.016, ORS 291.018, ORS 291.028, ORS 291.032, ORS 291.034, and ORS 291.037.

APPLICABILITY:

This policy applies to all Executive Branch agencies under direct authority of the Governor. Other agencies, including the Office of Secretary of State, Office of State Treasurer, Department of Justice, Judicial Department, Lottery, and Department of Education have elected to follow this policy

This policy applies to day-to-day business operations. Agencies with emergency response functions and responsibilities must coordinate with the Office of Emergency Management.

ATTACHMENTS:

No attachments

DEFINITIONS:

Business Continuity: The ability of an organization to ensure continuity of service and support for its customers and to maintain its viability before, after, and during an event.

Disaster: A sudden, unplanned calamitous event causing great damage or loss as defined or determined by a risk assessment and Business Impact Analysis (BIA): 1) Any event that creates an inability on an organization's part to provide critical business functions for some predetermined period of time. 2) In the business environment, any event that creates an inability on an organization's part to provide the critical business functions for some predetermined period of time. 3) The period when agency management decides to divert from normal production responses and exercises its disaster recovery plan. Typically is signified by the beginning of a move from a primary to an alternate location.

SIMILAR TERMS: Business Interruption; Outage; Catastrophe.

Business Continuity Plan (BCP): Advance arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions continue with planned levels of interruption or essential change. **SIMILAR TERMS:** Contingency Planning, Planning, Business Resumption Planning, Continuity Planning, Continuity of Operations Plans (COOP).

Risk Assessment: The determination of quantitative or qualitative value of risk related to a concrete situation and a recognized threat (also called hazard). Risk assessment involves identifying, evaluating, and estimating the levels of risks involved in a given situation, comparing benchmarks or standards, and determining an acceptable level of risk.

Business Impact Analysis (BIA): The Business Impact Analysis is a process to identify critical business functions and workflow, consider the qualitative and quantitative impacts of a disruption, and to prioritize and establish recovery time objectives.

Critical Business Functions (CBF): Business functions or information that would significantly jeopardize an agency's mission and the public's health, welfare and safety if they became unavailable or suffered interruption for one month or less.

Disaster Recovery: The technology and telecommunication aspect of a business continuity plan. The advance planning and preparations necessary to restore IT infrastructure, minimize loss and ensure continuity of the critical business functions of an organization in the event of disaster or unplanned event.

GUIDELINES:

- I. The agency director is responsible for overall plan development. The agency director will designate someone to serve as the department's Business Continuity Planning (BCP) sponsor, and a staff person to serve as the BCP coordinator. The sponsor should have direct access to the agency director, and the authority to advise the agency director in the event of disaster.

- II. The BCP sponsor/coordinator will take responsibility for managing the BCP planning process, working within the agency to accomplish the risk assessment, business impact analysis, plan development, maintenance, testing, and awareness training.

- III. To ensure that state agencies maintain current and functional business continuity plans, agencies must update their plans annually, at a minimum. All state agencies will develop, implement, maintain, and test BCP plans, including identifying recovery alternatives through the following actions:
 - Conduct a business impact analysis (BIA) for new or substantially revised business functions. Depending on the criticality of the issues to be addressed, the agency may decide first to conduct a Risk Assessment.
 - Identify and thoroughly document all critical business functions with a recovery time of one month or less.
 - Update the disaster recovery plan for the IT infrastructure that supports critical business functions.
 - Ensure short-term and long-term review and revision of the plans. Short-term reviews, which will occur periodically throughout the year, will include activities such as updating telephone numbers and team members. Long-term reviews will include updating the business impact analysis, regular testing, and incorporating new programs and systems into the plan. Long-term reviews will occur at least once a year.

- Provide business continuity training for staff to create an organizational awareness and enhance the skills required to develop, implement, maintain, and execute the business continuity plan.

IV. Business Continuity Plans should, at a minimum, document the following components:

- Identification of critical business functions and recovery time objectives
- Dependencies, both internal and external (including other agencies, business partners, vendors, etc.)
- Alternate work site strategies
- Response to loss of power, phone, and computer networks
- Response to loss of critical (key) staff
- Response to loss of workforce
- Critical equipment failure
- Vital records preservation
- Emergency communications
- Disaster recovery planning
- Succession planning
- Delegation of authority