

**Mission Critical Functions / Business Impact Analysis**

This document is for each individual critical function listed in the Mission Critical Functions List document.

**Description:**

|  |  |
| --- | --- |
| Critical Function Name | Level of Criticality [ ]  Critical 1 [ ]  Critical 2 [ ]  Critical 3 [ ]  Deferrable |
| Brief Description of This Function (if applicable) | Name of Section or Unit that Performs This Function (if applicable) |
| Responsible People (give names unless this is a generic group) |

**Levels of** **Criticality:**

These questions will help you predict the consequences to these critical functions. Appropriately determining a level of criticality will help your institution develop and prioritize recovery strategies.

When answering each of the following questions consider it in the context of the critical function for this plan.

Note that the Recovery Time Objective (RTO) selected will impact the recovery time of all applications needed during a recovery and the priority in which the critical function will be addressed after an emergency or incident. All critical functions applications RTO’s must be equal to or greater than the RTO determined in this impact analysis.

|  |  |
| --- | --- |
| **Institutional Impacts** | Answer each of the following(N/A, Possibly, or Applicable) |
| Does your function support the ability to protect life and/or property? |  |
| Will the loss of this function relate to a loss of revenue? |  |
| Will the lack of recovery to this function cause legal harm to the institution? |  |
| Does this function directly impact students? |  |
| Would this function directly cause penalties or fines for the institution? |  |
| Would this function directly cause harm to the reputation of the institution? |  |
| Recovery time Objective (RTO)(After an emergency how soon would this function need to be recovered?)[ ]  undecided [ ]  does not apply [ ]  no downtime allowed [ ]  1 day [ ]  3 days |

**Peak Periods:**

Please indicate any months when you would expect there to be especially high activity involved in accomplishing this function. This might be a peak workload period such as the annual fiscal closing for accounting functions; or it might denote activities that happen only at certain times - such as course-registration that happens once per academic term.

Select as many months as needed. Explain if necessary. If this function has no peak periods, leave blank.

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  January | [ ]  February | [ ]  March | [ ]  April |
| [ ]  May | [ ]  June | [ ]  July | [ ]  August |
| [ ]  September | [ ]  October | [ ]  November | [ ]  December |
| Explanation (if needed) | [ ]  All Year |

**Documents:**

Please identify any documents that are very important to this function – whether they are individual documents (such as policy manuals) or sets of records (such as patient files, research files, or vendor invoices, etc.).

Do not include records that are stored within a database application such as a financial system, an HR system, a medical records system, etc. These will be treated elsewhere.

* Documents uploaded via this screen are copied to a secure server, for access by authorized people only. They also remain in their current location on your own computer or server.
* If a document is confidential or sensitive, please describe it but do not upload it. Although your plan lives on a secure server, the group of people authorized to see your plan may not all be authorized to see that document.

For additional sections, click on the table, then the (+) at the bottom right. To remove extra fields that were added, right click on the added table, and click delete item.

|  |
| --- |
| Name of Document or Record |
| Description (brief) | Medium[ ]  Paper [ ]  Electronic (Computer) [ ]  Electronic (Online Storage) [ ]  Microfiche Microfilm [ ]  More than one (Explain in comments) [ ]  Other (Explain in comments) |
| Owner (Department) | Location Where Stored (Physical) |
| Principal Contact Person(s) | Location Where Stored (URL) |
| Backup or Loss-Prevention Measures (be specific) | Comment (if needed) |
|  |  |

**Dependencies:**

Upstream Dependencies are the departments (WITHIN your campus, medical center, or other institution) whose reduced functioning would seriously impair your own department's ability to perform this Critical Function.

Downstream Dependencies are the departments that would be seriously impacted if YOUR department could not perform this Critical Function.

* Consider who produces what you need (upstream) and who needs what you produce (downstream).
* Dependencies are primarily departments, although occasionally you might name a process (e.g. instruction) or a group of people (e.g. students).
* Please do not name IT systems as either upstream or downstream dependencies. IT systems are treated separately.
* Add comments to clarify selections.

**Upstream Dependencies**

|  |
| --- |
| Comments |

Dependency

For additional sections, click on the table, then the (+) at the bottom right. To remove extra fields that were added, right click on the added table, and click delete item.

|  |
| --- |
| List upstream dependencies |
|  |

**Downstream Dependencies**

|  |
| --- |
| Comments |

Dependency

For additional sections, click on the table, then the (+) at the bottom right. To remove extra fields that were added, right click on the added table, and click delete item.

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| --- |
| List downstream dependencies |
|  |

**Consequences:**

Consequences of slow recovery:

Suppose the critical function named on this form is not restarted quickly enough following a disaster. Which of the listed “harmful consequences” might occur?

* These questions show why this function is critical.
* Don't agonize over these questions; give your best answers and move on.

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| Quick EntryIf the Consequences are similar to those assigned to a Critical Function you have already completed, list the function.  |
| Disruption of teaching? [ ]  | Payment deadlines unmet? [ ]  |
| Disruption of research? [ ]   | Loss of revenue? [ ]   |
| Disruption of patient care? [ ]  | Legal obligations unmet? [ ]  |
| Departure of faculty? [ ]  | Legal harm to the institution? [ ]   |
| Departure of staff? [ ]  | Impact to other units? [ ]  |
| Departure of students? [ ]  | Impact on important business partners? [ ]  |
| Well-being of faculty/staff? [ ]  | Damage to reputation? [ ]  |
| Well-being of students? [ ]  | Other? (please explain) [ ]  |
| Recovery time objectiveWhat is the maximum period of time within which this function must be restored if forced to cease? (In other words, what is the maximum period this function can be out-of-operation without causing a severe impact on the campus?)[ ]  undecided [ ]  does not apply [ ]  no downtime allowed [ ]  1 day [ ]  3 days |

**How to Cope:**

The following questions ask you to visualize the conditions that might prevail in the weeks or months following a disaster. You may be missing certain key resources such as your usual office space, some of your staff, power, network access, etc.

Please provide brief answers to these questions. Give ideas and points, not detailed procedures.

|  |
| --- |
| SpaceHow would you carry out this critical function if your usual space is not available? |
| StaffHow would you carry out this critical function if, for couple of months, your average absence rate of faculty & staff were 50%? This could easily be the case in a flu pandemic. |
| Disruption of phone services?If your primary phone, i.e., office phone system, is unavailable what alternate method of communication will you use? |
| Unique SkillsDoes the successful performance of this critical function require the skills or knowledge of any one particular staff member (or her files)? If so, how will you deal with her absence? Cross-train a co-worker in advance? Outsource? Some other strategy? |
| Working at HomeVisualize an environment of contagious illness. Suppose the campus requested that as many faculty & staff as possible work from home for a month or two (stay away from campus to minimize contagion). Can you perform this critical function with some (or all) staff working from home? What equipment, supplies, and arrangements would be needed? |
| Network AccessHow would you carry out this critical function if the data network is not available? |
| Show StoppersIs there any resource that is so important or irreplaceable that you CANNOT perform this function without it? |
| RiskWill any of your above suggestions expose the institution to risk? If so, can you suggest how to mitigate/control this risk? |
| Policy ExceptionsWhat policy exceptions might be needed to carry out your above suggestions? Who would have the authority to grant them? |
| Additional VulnerabilitiesIs there anything ELSE that could prevent you from continuing or restarting this function? |
| Campus ClosureCampus Closure: Visualize that, during a flu pandemic, the campus officially closes, with all operations (except non-stoppable activities) to cease for at least a month. Is it possible for your unit to simply cease doing this critical function?[ ]  Yes [ ]  No [ ]  Not Sure |
| Comments |

**Action Items:**

An Action Item will answer the question:

What can be done to PREPARE? What can your unit (or another unit, or the Campus) do BEFORE ANY DISASTER STRIKES to lesson its impact on this critical function? Or to make it easier for you to continue/restart this function?

The typical Action Item begins with a verb and can be stated in one sentence. Some examples:

* Store enough MREs (Meals-Ready-To-Eat) to feed all resident students for 3 days.
* Discuss preparedness at one faculty meeting per semester.
* Develop a plan for secure storage of critical research materials.
* Cross-train staff to do department purchasing.

Action items are ideas, not commitments. So, think outside the box and don’t feel constrained by resources. Some of your Action Items may need to be carried out by another unit. That is OK; the campus needs your ideas!

For additional sections, click on the table, then the (+) at the bottom right. To remove extra fields that were added, right click on the added table, and click delete item.

|  |  |
| --- | --- |
| Action Item | Cost[ ]  Less than $100 [ ]  $100-$1000 [ ]  $1000-$10,000 [ ]  $10,000-$100,000[ ]  More than $100,000 [ ]  Don’t Know |
| Critical Function | Cost Frequency[ ]  One time [ ]  Annual [ ]  Both one-time and annual [ ]  Other [ ]  Not sure |
| Assigned To (first name, last name, and email) | Due Date |
| Within Whose Scope[ ]  My unit itself [ ]  My unit together with other units on campus [ ]  My larger department, division or control unit [ ]  The campus [ ]  The multi-campus system (if any) [ ]  Other[ ]  Not sure | Status[ ]  Not Yet Begun[ ]  In Progress[ ]  Completed[ ]  Needs Further Discussion |
| Details |
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