



## Guidelines for creating a Business Impact Analysis (BIA)

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**PLEASE GO TO PAGE 3 FOR STEP-BY-STEP INSTRUCTIONS FOR COMPLETING SPREADSHEET.**

### WHAT IS A BUSINESS IMPACT ANALYSIS (BIA)?

A business impact analysis (BIA) predicts the **consequences** of a **disruption or outage** of a business **function, system or process** and gathers information needed to develop recovery strategies. A **function** refers to an organization's purpose or goal; for example, one function of a School is teaching. A **process** is a group of activities or tasks performed to accomplish a goal; one example of a process is doing payroll. **System** refers to an IT system; an example of a system is 0365 e-mail.

### WHY DO WE DO BIA?

BIA allows us to understand the **impact** of outages or disruptions across the institution. This information supplements the Business Continuity (BCP) plans already in Shadow-Planner to give us a better understanding of how different Schools, Centers and departments of the University need to respond to outages or disruptions. It will also allow internal and external partners (ISC, Facilities and Real Estate Services, vendors, etc.) to have a better understanding of the priorities for recovery and continuity. Finally, it allows us to define priorities, in terms of which processes, systems or functions need to be recovered most quickly to resume the University's operations in the wake of an outage or disruption.

Doing a BIA, like doing BCP plans, is in service of continuing the University's missions of teaching, research, service and clinical work.

### HOW DOES THIS RELATE TO MY BUSINESS CONTINUITY (BCP) PLANS?

BCP plans describe what **steps to take** in the event of an outage or disruption pertaining to a critical system, function or process, whereas the BIA identifies **how quickly** a critical system, function or process needs to be recovered or restored.

### HOW DO I DO A BIA?

To do a BIA, please use these guidelines to fill out the spreadsheet, with **one spreadsheet for each organization, School, Center or department.**



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### WHAT'S NEW IN DOING A BIA?

Two new items in the BIA are the **Recovery Time Objective (RTO)** and **Recovery Point Objective (RPO)**. The **RTO** asks the question: **how long can we go** without this process or system being in place? The **RPO** asks the question: **how much data** can we afford to lose in an outage to this system or process? For example, if you can stand to lose a day's worth of e-mail due to an outage, your RPO is 1 day. If you cannot stand to lose any e-mail due to an outage, your RPO is 0. **NOTE:** RPO only applies to IT only.

You may wish to assemble your tabletop exercise team and obtain their input in completing the spreadsheet.

Once you've completed the spreadsheet, please send it to [askmc@lists.upenn.edu](mailto:askmc@lists.upenn.edu). The central Mission Continuity Program (MCP) leadership will load the information into Shadow-Planner for you. Once the information is loaded, you can report it out from Shadow-Planner to review it and determine how you may want to update it.

Below are guidelines for updating BIAs once they are in Shadow-Planner.

Questions? Contact the Mission Continuity Program (MCP) at [askmc@lists.upenn.edu](mailto:askmc@lists.upenn.edu).

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- To **create a BIA**, follow the steps below to complete the **BIA spreadsheet**.
- Once the spreadsheet is completed, please **submit** it to [askmc@lists.upenn.edu](mailto:askmc@lists.upenn.edu).
- The central Mission Continuity Program (MCP) leadership will load the information into Shadow-Planner.
- Once the information is stored in Shadow-Planner, you may use the update guidelines to keep your BIA information up-to-date.

Step #	Column letter	Column title	Instructions	Notes
1			Open the spreadsheet, located on the MCP website <a href="#">here</a> .	
2	B	Organization	From this drop-down list, select the <b>name of your organization</b> .	
3	C	Location	From this drop-down list, select the <b>location of your organization</b> .	Items in the drop-down list include: <b>Main campus, New Bolton Center, Morris Arboretum, Wharton West, Pennovation, Other</b> .  For off-site clinical practices, use Other.
4	D	Plan type	This column is already populated as: <b>Business Impact Analysis</b> .	
5	E	Mission type	From this drop-down list, select the part of the <b>University's mission</b> this process supports.	Items in the drop-down list include: <b>Education/Teaching, Research, Service, Clinical and Operations/Adminin</b> .
6	F	Process type	The data is organized into the <b>BETH3</b> model (also used for BC Planning Actions Plans).	Items in the drop-down list include: Buildings, Equipment, Technology, Human Resources and 3 <sup>rd</sup> -party vendors/partners.  NOTE: <b>Human Resources</b> , in addition to faculty, staff and students, includes human subjects and patients. <b>Equipment</b> includes animals and specimens.
7	G	Process name	Select the <b>most critical processes</b> your organization is responsible for within each Process Type.	A <b>Process</b> may be something your organization does, like a <b>function</b> , or an IT <b>system</b> . Examples include: For a School, a critical <b>Process under Teaching</b> might be

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				<p><b>Undergraduate instruction.</b> For the Registrar's Office, a critical process under <b>Technology</b> might be the <b>Pennant</b> system.</p> <p><b>For each Process Type</b>, you may enter <b>as many processes as you think are critical</b>. If you choose to use more than 4, you can add an additional row in the spreadsheet in the appropriate location.</p> <p><b>If you have a Mission Continuity plan</b> created for a specific element in the BETH3 model, it's wise to <b>have a process in the BIA</b> for it also.</p>
8	H	Process overview	Enter a <b>one-sentence description</b> of what the process, function or system does.	For example, "Provide instruction to undergraduate, professional and doctoral students." Or "Store all student academic information and allow students to register for classes."
9	I	Process owner	Who is/are <b>responsible</b> for ensuring the process runs properly?	This may be one person's name or the name of a group, Department, Division, etc.
10	J	BAU location	<b>Where</b> is the process usually conducted?	BAU stands for " <b>Business As Usual</b> ." For example, "Franklin Building," or "Huntsman Hall."
11	K	Business hours	What are the <b>business hours of the organization</b> that owns the process or system?	For example, could be 9AM – 5 PM, Mon-Fri.
12	L	BAU Headcount (FTEs)	Approximately <b>how many FTEs</b> are involved in conducting the process <b>on a business-as-usual basis</b> ?	Under <b>normal conditions</b> , the <b>total calculation of FTEs</b> needed to fulfill or conduct this process. For example, if two people normally each spend 75% of their time on this process or function, the FTE would be 1.5.
13	M	Business peaks	From the drop-down list, select the item that describes any <b>peak times</b> for this process.	Determine if there are times of week, month or year when your organization is busier than usual conducting this process. Examples include: move-in, Commencement, payroll processing.

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				Items in the drop-down list include: <b>specific day of week, specific time of month, specific time of year, more than 1 of these, none of these.</b>
14	N	Process availability	<b>When</b> is the process usually available or conducted?	For example, could be Mondays of every week, or every year in May, or from 2-5 PM every day.
15	O	Breadth of impact	How widely does the process impact the University, the health system and/or the community?	Items in the drop-down list include: <b>Department only, Organization-wide, School/Center-wide, University-wide, Community impact, UPHS &amp; University.</b>
16	P	Date last tested	Date of your <b>last tabletop exercise</b>	
17	Q	Recovery location	If the process/system needs to be <b>recovered in a different place</b> , what is that? If it's not a different place, enter, "Same location".	
18	R	Recovery Time Objective (RTO)	The Recovery Time Objective (RTO): <b>how long can we go</b> without this process or system being in place?	<b>Select from drop-down:</b> less than 1 hour, up to 4 hours, up to 1 day, up to 3 days, up to 1 week, greater than 1 week
19	S	Recovery Point Objective (RPO)	The Recovery Point Objective (RPO): <b>how much data</b> can we afford to lose in an outage to this system or process?	For example, if you can stand to lose a day's worth of e-mail due to an outage, your RPO is 1 day. If you cannot stand to lose any e-mail due to an outage, your RPO is 0. <b>NOTE: This applies to IT only.</b>  <b>Select from drop-down:</b> less than 1 hour, up to 4 hours, up to 1 day, up to 3 days, up to 1 week, greater than 1 week
20	T	IT Dependencies	List the most <b>critical IT systems</b> on which this process depends.	This could be a centrally maintained system, or a system that is maintained just for your organization. For example, if the process is student course registration, it depends on the Pennant system. Examples of some of the <b>most-used central systems</b> include: BEN, Box, PennNet, 0365 e-mail, PennWorks/Payroll.

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				List <b>no more than 10</b> dependencies for each process or system.
21	U	Life Dependencies	OPTIONAL: If the process involves <b>living beings, specimens or plants</b> , please use the drop-down to select the appropriate item.	Items in drop-down list include: Human subjects, Animals, Specimens, More than 1 of these, None of these.