Instructions for completing BIA checklist

**Designating Process Type**

1. To edit Process Type, go to the list of current processes. It will look something like this:

   ![Local Processes for University of Pennsylvania](image)

   - Application Client/Server Technologies
   - Application Development
   - Application Web Technologies
   - Client/Server application Web Technologies
   - Client/Server Technologies
   - Database Technologies
   - Datacenters
   - End-User Support

2. Double-click on the process for which you want to set the Process Type.

3. To select a **Process type**, go to the drop-down list, which will look like this:

   ![Buildings](image)

   - Buildings
   - Equipment
   - Human Resources
   - Technology
   - Third-party vendor/partner
Instructions for completing BIA checklist

**NOTE:** In the list of all your BIA processes, each Process Type is coded with a different colored gear next to the name of the process, as follows:

- Green: Building
- Teal: Equipment
- Dark Blue: Technology
- Rust: Human Resources
- Gray: Third-party vendors

Examples of typical processes in each of these types include:

- **Buildings:** the name of a particular facility, such as the Franklin Building
- **Equipment:** examples include Lab equipment or Transportation vehicles. Also, hard-copy documents are considered Equipment
- **Human Resources:** includes labor-based processes, such as Financial processing; Teaching; Conducting research
- **Technology:** includes both software and hardware **owned by your organization.** If it is a piece of technology owned by another organization in the University and your organization uses it, you do NOT enter it as a separate process; you will connect any processes that depend upon that technology to a Resource with the name of that technology (see instructions #4, *Creating a dependency*, for instructions)
- **Third-party vendor/partner:** the name of a particular vendor, such as XYZ Supplies, Inc.

Once a Process type is selected, the other fields will become visible in the General Information tab:

![General Information](image)

Update these fields as appropriate. Most are either free text or drop-down lists.
Instructions for completing BIA checklist

**Updating Process Owner**

Process Owner must be the name of a specific member of the Penn community.

![Search and Browse interface]

To enter a person's name, go to Search and Browse.

From the drop-down called Select one, select Contact.

![Search and Browse interface with Contact option highlighted]

In the First name field, enter a person's first name. From the Select one field below First name, select AND. When a new field appears, from the drop-down list, select Last name.
Click Search. When the person's name appears, drag it and drop it into the **Owner** field.
Instructions for completing BIA checklist

Entering RTOs and RPOs

The **Recovery Time Objective (RTO)** asks the question: how long can we go without this process or system? For example, if you listed Penn 0365 as a critical Technology system, how long can you continue critical processes and functions without e-mail? Here is how to enter or update the RTO for items in any Process Type.

Go to the name of the process at the top of the screen. Click on the down arrow next to the name. In the drop-down list, select RTO Assessment and then select ‘Edit RTO Assessment’.

This will then open the RTO Assessment page. At the bottom of the screen, click the button marked Manual Override RTO, and select one of the options from the drop-down list.
Instructions for completing BIA checklist

Be sure to click Save when you have made your selection, and then Save again before leaving the Local Process screen.

Here is some guidance for determining which option to select:

<table>
<thead>
<tr>
<th>Recovery Time Objective (RTO)</th>
<th>Considerations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 1 hour</td>
<td>• Health and human safety in jeopardy</td>
</tr>
<tr>
<td></td>
<td>• Significant financial impact/cost</td>
</tr>
<tr>
<td></td>
<td>• Significant research impact</td>
</tr>
<tr>
<td></td>
<td>• Large number of transactions</td>
</tr>
<tr>
<td></td>
<td>• Date/time highly sensitive</td>
</tr>
<tr>
<td></td>
<td>• No ability for workarounds</td>
</tr>
<tr>
<td>Up to 4 hours</td>
<td>• Significant impact on critical processes</td>
</tr>
<tr>
<td></td>
<td>• Large number of dependent processes or systems</td>
</tr>
<tr>
<td></td>
<td>• Significant disruption to operations</td>
</tr>
<tr>
<td></td>
<td>• Limited ability for workarounds</td>
</tr>
<tr>
<td>Up to 1 day</td>
<td>• Frequent usage/large user base</td>
</tr>
<tr>
<td></td>
<td>• Important time-based constraint</td>
</tr>
<tr>
<td></td>
<td>• Limited ability for workarounds</td>
</tr>
<tr>
<td>Up to 3 days</td>
<td>• Some workarounds available</td>
</tr>
<tr>
<td></td>
<td>• Moderate number of transactions</td>
</tr>
<tr>
<td></td>
<td>• Limited user base</td>
</tr>
<tr>
<td>Up to 1 week</td>
<td>• Process or system with limited scope</td>
</tr>
<tr>
<td></td>
<td>• Not time sensitive</td>
</tr>
<tr>
<td></td>
<td>• Workarounds available</td>
</tr>
<tr>
<td>Greater than 1 week</td>
<td>• Process or system with few or no dependencies</td>
</tr>
<tr>
<td></td>
<td>• Workarounds easily available</td>
</tr>
<tr>
<td></td>
<td>• Infrequent occurrence</td>
</tr>
</tbody>
</table>

The **Recovery Point Objective (RPO)** reflects how much data you can afford to lose in an IT system as a result of an outage or disruption.

**NOTE:** RPO is only used for Technology items.
Instructions for completing BIA checklist

To create/update an RPO, open one of your Local Processes that depends upon this IT system.

Open the tab called BAU Requirements.

Go to Search and Browse and search for the name of the IT system on which this process depends, and for which you want to set the RPO. Using Select one, select External Process, then use Name and contains, to find the IT system on which this process depends.

Drag and drop that IT system name into BAU Requirements.
Instructions for completing BIA checklist

<table>
<thead>
<tr>
<th>Name</th>
<th>Provider</th>
<th>Owner</th>
<th>RTO Required</th>
<th>ART</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meyerson Hall</td>
<td>/University of...</td>
<td>None</td>
<td>N/A</td>
<td>Not Set</td>
</tr>
<tr>
<td>Penn0365</td>
<td>/Risk Manage...</td>
<td>BRENT A FRI...</td>
<td>Not Set</td>
<td>4 hours</td>
</tr>
</tbody>
</table>

A pop-up box will appear (see below). Go to the item named: Enter your required RPO. Select an item from the drop-down list. Optionally, you may enter free text to describe your reliance on the Process and any workaround solutions you use in the event the Process is unavailable.

**BAU Requirements for Penn0365**

Please describe your reliance on Penn0365

Enter your required RTO for Penn0365: Not Set
(ART = 8 days)

Enter your required RPO for Penn0365: N/A
(ARP = 1 hours)

Enter any manual workaround solutions you can adopt if Penn0365 was unavailable

![Save and Cancel buttons]
Creating a dependency

What is a dependency and why do we use it?

In Shadow-Planner, we can indicate whether a particular process depends upon something specific in order to function. For example, the process “Weekly payroll” may depend upon the BEN Financials IT system. Dependencies can include IT systems, buildings and Third-party vendors.

We use dependencies to show how processes and systems are inter-related in continuing the critical functions of the University.

How do we create a dependency for a specific process?

1. Open the Process for which you want the dependency.

2. Open the BAU Requirements tab in the center of the screen.

3. Go to Search and Browse and select External Process.
4. Search for the name of the IT system, third-party vendor or building; you are recommended to use Name and contains for the search process.

5. Drag and drop item name into BAU Requirements.
Instructions for completing BIA checklist

The following pop-up screen will appear:

BAU Requirements for  PennO365

Please describe your reliance on PennO365

Enter your required RTO for PennO365  3 days  (ART = 24 hours)

Enter your required RPO for PennO365  N/A  (ARP = 1 hours)

Enter any manual workaround solutions you can adopt if PennO365 was unavailable

In the free-text field named: Please describe your reliance, you may give a short explanation of how you use this system, building or vendor (optional). Then use the provided drop-down lists to add RTO and RPO (for definitions, see above on Entering RTO and RPO). In the free-text field about workarounds, you may give a short description of how your organization would work if this IT system was not available.

6. Make sure you click on Save once this is complete.

The IT system, building or third-party vendor on which this process depends is now listed under BAU Requirements:
Instructions for completing BIA checklist

What are the names of some IT systems I may want to list as a dependency?

To make it easier for you to search for IT systems in Shadow-Planner, here are some of the common IT systems people list as dependencies, and the name by which they appear in the system.

<table>
<thead>
<tr>
<th>IT system</th>
<th>Name in Shadow-Planner</th>
</tr>
</thead>
<tbody>
<tr>
<td>PennKey</td>
<td>Central Authentication and Authorization</td>
</tr>
<tr>
<td>Internet network</td>
<td>PennNet Network</td>
</tr>
<tr>
<td>VOIP phones</td>
<td>PennNet phone</td>
</tr>
<tr>
<td>Building swipe access</td>
<td>Access control system</td>
</tr>
<tr>
<td>Data warehouse</td>
<td>Date warehouse (system)</td>
</tr>
<tr>
<td>Penn Box</td>
<td>Penn+Box</td>
</tr>
<tr>
<td>Office 0365</td>
<td>Penn0365 (University)</td>
</tr>
<tr>
<td>VDI</td>
<td>Virtual Desktop Infrastructure (VDI)</td>
</tr>
<tr>
<td>BEN</td>
<td>BEN Financials</td>
</tr>
</tbody>
</table>

How do I create a new IT system that my organization and others can depend upon?

If a new IT system comes into use that other organizations in the University may wish to claim as a dependency, let the Mission Continuity Program know by sending a message to askmc@lists.upenn.edu, and we will make it available to other organizations in Shadow-Planner. You and other organizations may then create the dependency on that system for any of your processes, as described above.

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