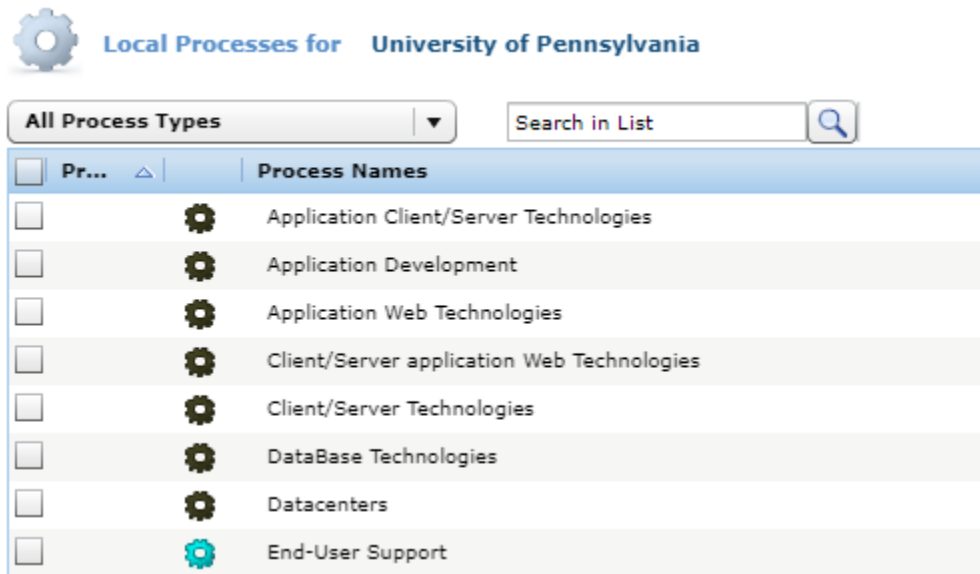


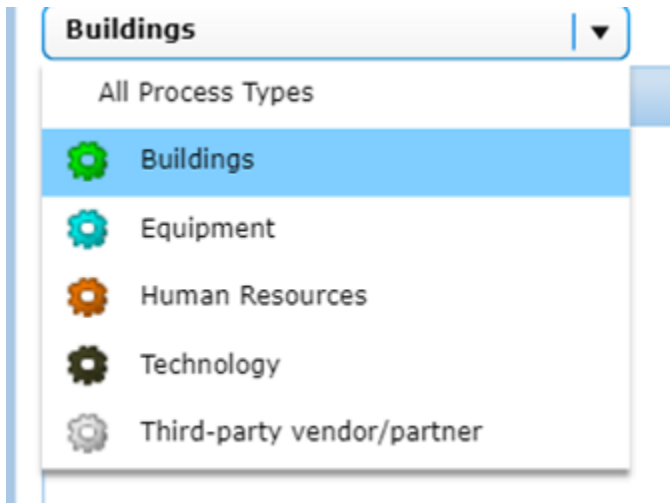
Instructions for completing BIA checklist

Designating Process Type

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



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:



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:

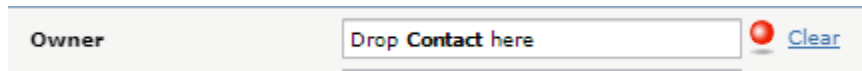
The screenshot shows a web form titled "General Information" with a light blue header. The form is divided into two columns. The left column contains the following fields: "Overview" (text input), "BAU Location" (text input), "Headcount" (text input), "Date last tested" (calendar icon, text input, and "Clear" button), "Recovery location" (text input with a blue gear icon), "Process availability" (text input with a blue gear icon), "Mission type" (dropdown menu with "Please select one"), "Life dependencies" (dropdown menu with "Please select one"), and "Breadth of impact" (dropdown menu with "Please select one"). The right column contains: "Owner" (text input with "Drop Contact here" and "Clear" button), "Business Hours" (text input), and "Business Peaks" (text input with a placeholder: "Enter any specific peak periods e.g. Quarterly, Month end, Monthly on the 15th").

Update these fields as appropriate. Most are either free text or drop-down lists.

Instructions for completing BIA checklist

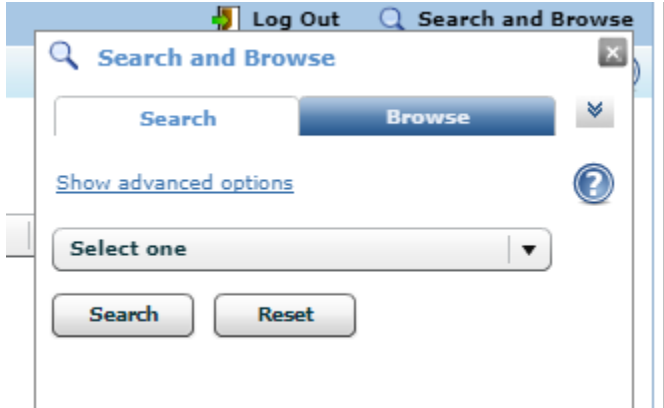
Updating Process Owner

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



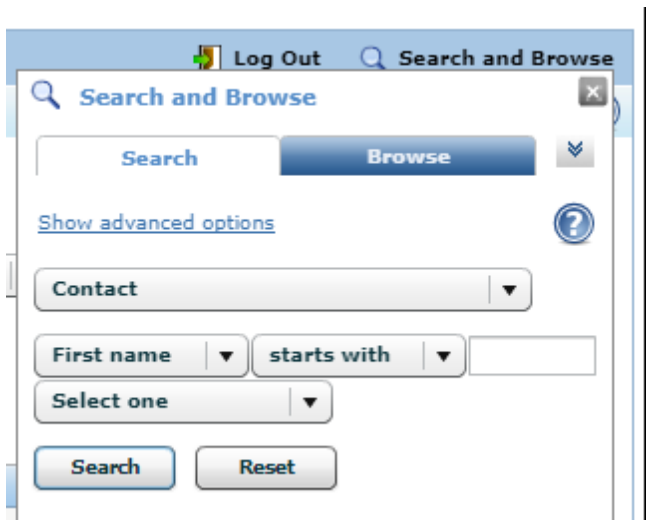
A form field labeled "Owner" with a text input containing "Drop Contact here" and a "Clear" button with a red circle icon.

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



A "Search and Browse" dialog box with a "Search" tab and a "Browse" tab. It includes a "Show advanced options" link, a "Select one" dropdown menu, and "Search" and "Reset" buttons.

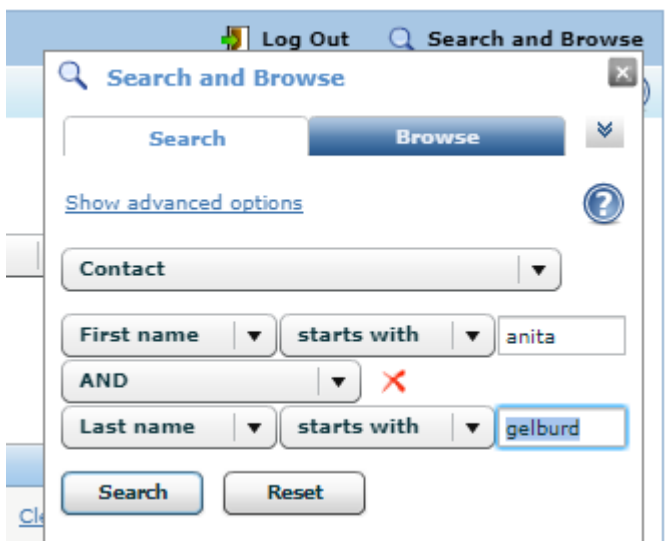
From the drop-down called Select one, select Contact.



The "Search and Browse" dialog box with the "Browse" tab selected. The "Select one" dropdown is set to "Contact". Below it are "First name" and "starts with" dropdowns, and another "Select one" dropdown. "Search" and "Reset" buttons are at the bottom.

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.

Instructions for completing BIA checklist



Log Out Search and Browse

Search Browse

Show advanced options

Contact

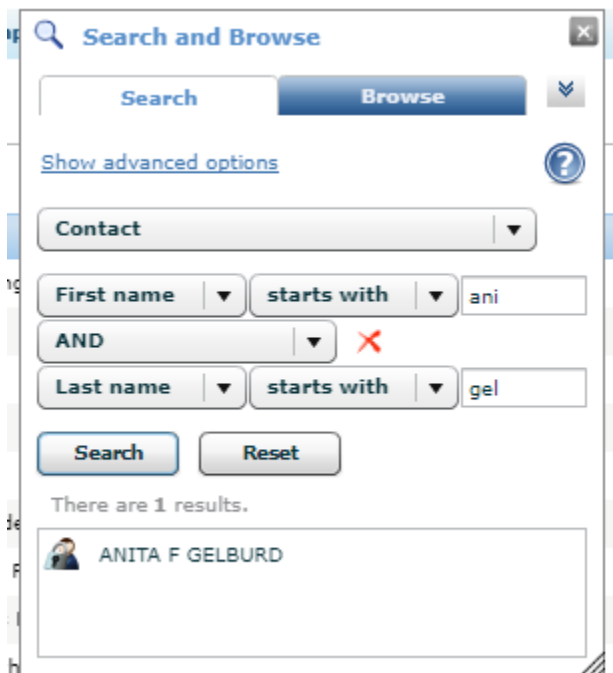
First name starts with anita

AND

Last name starts with gelburd

Search Reset

Click Search. When the person's name appears, drag it and drop it into the **Owner** field.



Search and Browse

Search Browse

Show advanced options

Contact

First name starts with ani

AND

Last name starts with gel

Search Reset

There are 1 results.

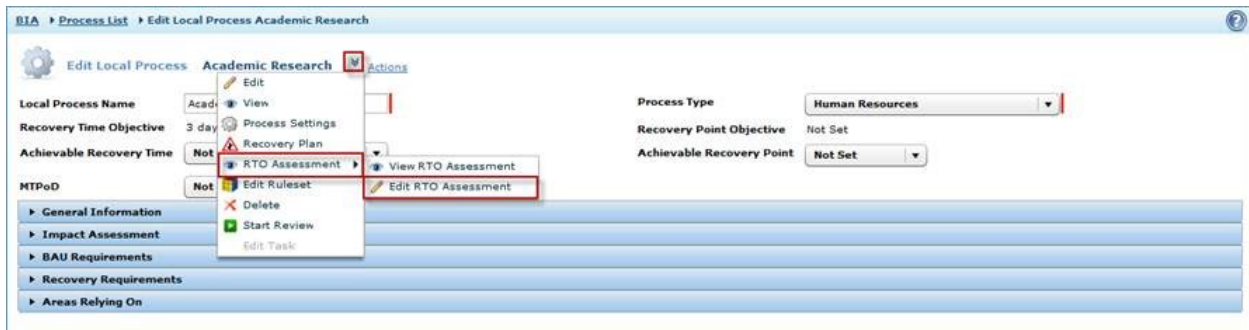
ANITA F GELBURD

Instructions for completing BIA checklist

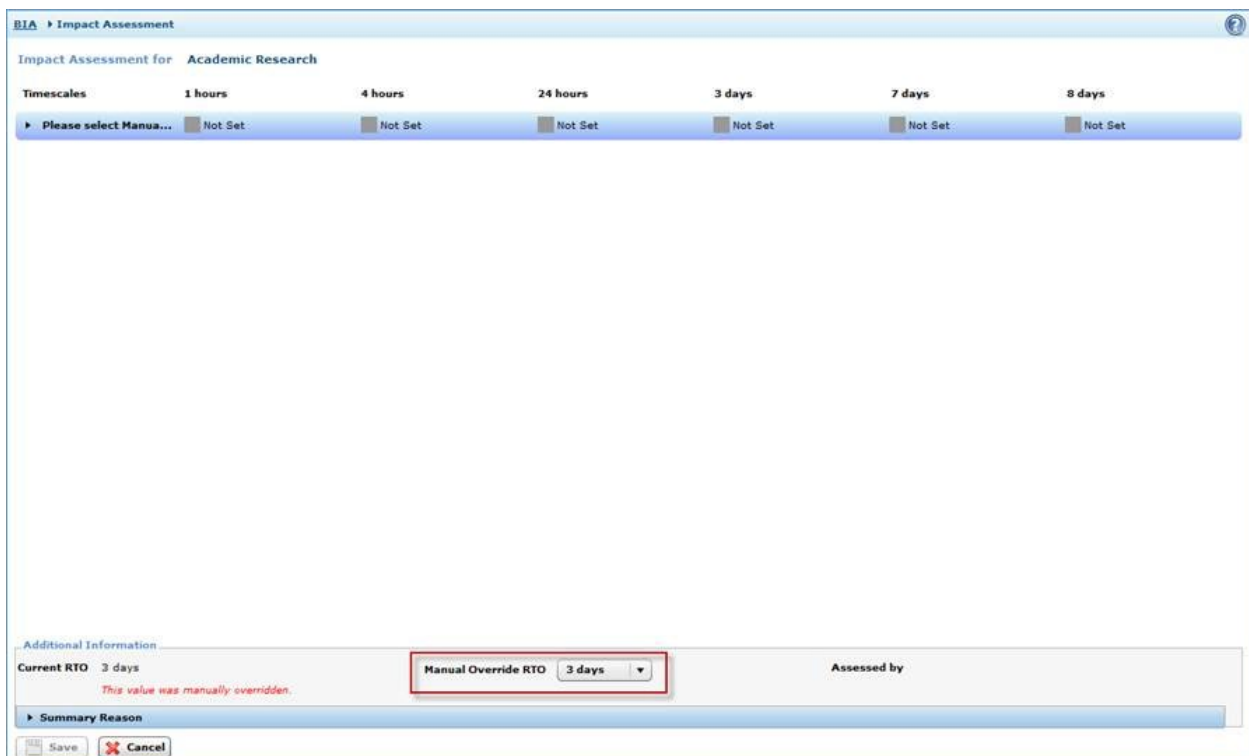
Entering RTOs and RPOs

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:

Recovery Time Objective (RTO)	Considerations
Less than 1 hour	<ul style="list-style-type: none"> • Health and human safety in jeopardy • Significant financial impact/cost • Significant research impact • Large number of transactions • Date/time highly sensitive • No ability for workarounds
Up to 4 hours	<ul style="list-style-type: none"> • Significant impact on critical processes • Large number of dependent processes or systems • Significant disruption to operations • Limited ability for workarounds
Up to 1 day	<ul style="list-style-type: none"> • Frequent usage/large user base • Important time-based constraint • Limited ability for workarounds
Up to 3 days	<ul style="list-style-type: none"> • Some workarounds available • Moderate number of transactions • Limited user base
Up to 1 week	<ul style="list-style-type: none"> • Process or system with limited scope • Not time sensitive • Workarounds available
Greater than 1 week	<ul style="list-style-type: none"> • Process or system with few or no dependencies • Workarounds easily available • Infrequent occurrence

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.

The screenshot shows the 'Edit Local Process' interface for 'Academic Research'. The form includes several fields: 'Local Process Name' (Academic Research), 'Recovery Time Objective' (Not Set), 'Achievable Recovery Time' (Not Set), 'MTDpoD' (Not Set), 'Process Type' (Human Resources), 'Recovery Point Objective' (Not Set), and 'Achievable Recovery Point' (Not Set). Below these fields are four expandable tabs: 'General Information', 'BAU Requirements', 'Recovery Requirements', and 'Areas Relying On'.

Open the tab called BAU Requirements.

The screenshot shows the 'BAU Requirements' tab expanded, displaying a table with the following data:



Name	Provider	Owner	RTO Required	ART	RPO Required	ARP	Description
Meyerson Hall	/University of...	None	N/A	Not Set	N/A	N/A	Main SOD building

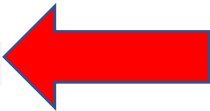
Go to Search and Browse and search for the name of the IT system on which this process depends, and for which you want to set the RPO. Using Select one, select External Process, then use Name and contains, to find the IT system on which this process depends.

The screenshot shows the 'Search and Browse' interface. It has a search bar with 'Search' and 'Browse' buttons. Below the search bar is a 'Show advanced options' link. The 'External Process' dropdown is set to 'External Process'. The search criteria are 'Name' and 'contains', with the value '365' entered. The 'Select one' dropdown is set to 'Select one'. There are 'Search' and 'Reset' buttons. Below the search results, it says 'There are 1 results.' and shows a result: Penn0365.

Drag and drop that IT system name into BAU Requirements.

Instructions for completing BIA checklist

▶ General Information				
▼ BAU Requirements				
Name	Provider	Owner	RTO Required	ART
 Meyerson Hall	/University of...	None	N/A	Not Set
 Penn0365	/Risk Manage...	BRENT A FRI...	Not Set	4 hours



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  Cancel

Instructions for completing BIA checklist

Be sure to Save before leaving the pop-up page, and then Save again before leaving the Local Process screen.

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.

The screenshot shows the 'Edit Local Process' interface for 'Academic Research'. At the top, there is a gear icon, the text 'Edit Local Process Academic Research', and a dropdown menu labeled 'Actions'. Below this, there are four input fields: 'Local Process Name' with the value 'Academic Research', 'Recovery Time Objective' with the value '3 days', 'Achievable Recovery Time' with a dropdown menu set to 'Not Set', and 'MTPoD' with a dropdown menu set to 'Not Set'. At the bottom, there are three tabs: 'General Information', 'Impact Assessment', and 'BAU Requirements', with 'BAU Requirements' being the active tab.

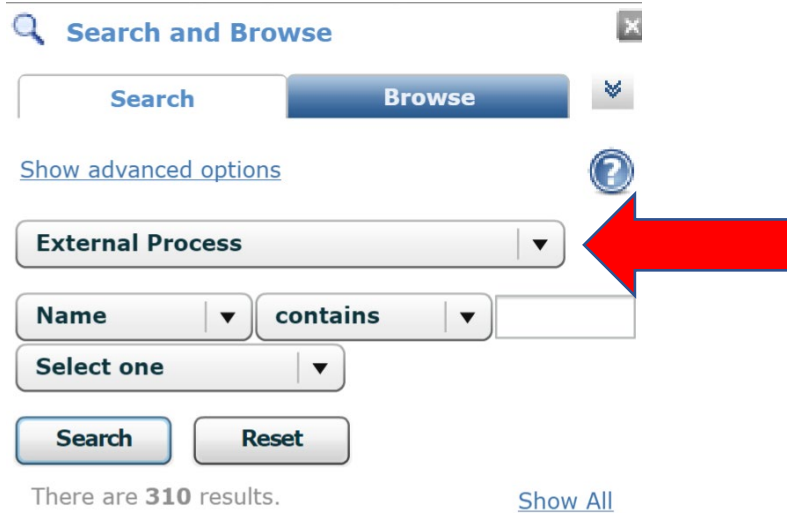
2. Open the BAU Requirements tab in the center of the screen.

The screenshot shows the 'BAU Requirements' tab with a table header. The table has the following columns: Name, Provider, Owner, RTO Required, ART, RPO Required, and ARP.

Name	Provider	Owner	RTO Required	ART	RPO Required	ARP
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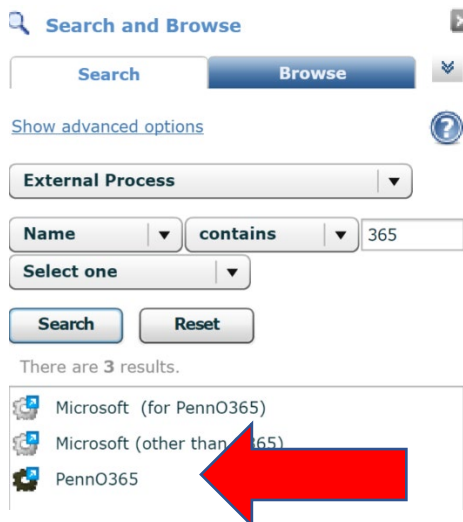
3. Go to Search and Browse and select External Process.

Instructions for completing BIA checklist



The screenshot shows the 'Search and Browse' interface. At the top, there is a search bar with a magnifying glass icon and a close button. Below the search bar are two buttons: 'Search' and 'Browse'. A dropdown arrow is visible to the right of the 'Browse' button. Below the buttons is a link for 'Show advanced options' and a help icon (a question mark in a circle). The main search area contains a dropdown menu for 'External Process', a dropdown for 'Name', a dropdown for 'contains', and an empty text input field. Below these is a 'Select one' dropdown menu. At the bottom of the search area are 'Search' and 'Reset' buttons. Below the search area, it says 'There are 310 results.' and a link for 'Show All'.

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.



The screenshot shows the 'Search and Browse' interface with search results. The search criteria are: 'External Process' (dropdown), 'Name' (dropdown), 'contains' (dropdown), and '365' (text input). Below the search area are 'Search' and 'Reset' buttons. Below the search area, it says 'There are 3 results.' and a list of results:

- Microsoft (for Penn0365)
- Microsoft (other than 365)
- Penn0365

A red arrow points to the 'Penn0365' result.

5. Drag and drop item name into BAU Requirements.

Instructions for completing BIA checklist

The following pop-up screen will appear:

BAU Requirements for Penn0365

Please describe your reliance on Penn0365

Enter your required RTO for Penn0365

3 days ▼

(ART = 24 hours)

Enter your required RPO for Penn0365

N/A ▼

(ARP = 1 hours)

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

 Save

 Cancel

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:

▼ BAU Requirements						
Name	Provider	Owner	RTO Required	ART	RPO Required	ARP
 Penn036! /Information ...		MICHEL VAN ...	Not Set	24 hours	Not Set	1 hours

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.

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

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.