University of Arkansas at Little Rock

Business Continuity Plan

November 1, 2010

Third Revision

Table of Contents

	Page
Section 1: Plan Overview	1
• Introduction	1
• BCP Development Team	1
• Purpose	2
• Scope and Limitations	2
• Objectives	2
• Assumptions	2
• Recommendations	3
Section 2: Mission Critical Processes and Systems	4
• Business Impact Analysis Matrix	4
Section 3: Threats and Risk Analysis	6
• Risk Assessment Matrix	6
• Disaster Risks and Prevention	7
Section 4: Roles and Responsibilities	13
• Emergency Response Team	13
• Crisis Management Team	13
• Technical Recovery Management Team	14
• Data Recovery Management	14
• Roles and Responsibilities Matrix	14
Section 5: Communications Plan	16
Section 6: Contingency and Restoration	25
• Contingency Plans	25
• Restoration and Recovery Strategies	25
o Technical Recovery	26
o Data Recovery	26
o Emergency Procurement Procedures	26
Section 7: Campus and Educational Awareness Materials	27

Appendices

Glossary

Section 1: Plan Overview

Introduction

The Business Continuity Plan (BCP) for the University of Arkansas at Little Rock (UALR) integrates business risk management, operational risk management, and business continuity. The plan recognizes a tiered approach to ensure the university is managed during a disaster that renders the technical infrastructure inoperable for a period exceeding two days. There are three important steps in managing the university during and after a disaster occurs. The first step will be implemented by activating the Campus Disaster Plan which ensures that health, life and safety issues are addressed prior to the activation of this plan. The BCP includes a two-tiered approach to managing and restoring functionality after a disaster with three primary goals:

Campus Disaster Plan

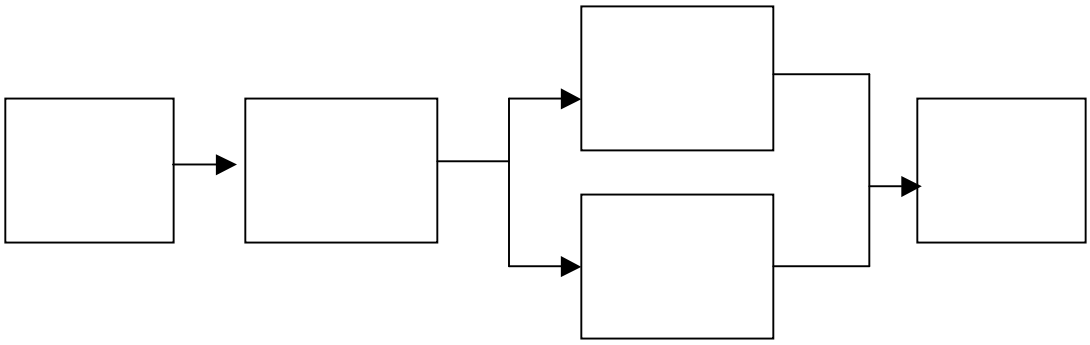
Business Continuity Plan

Manual Contingency Plan

Technical Recovery Plan

Data Recovery Strategies

1. Facilitate continued performance of essential business functions of the university manually until the technical infrastructure can be restored.
2. Activate the technical recovery plan that will be used to restore the technical infrastructure to full functionality.
3. Implement data recovery strategies to update the Banner system to ensure it remains up to date.



This plan was developed by a cross-functional team to address the needs of the university in the event of a crisis (2-5 days) or a disaster (over 5 days) that renders the campus network and computer systems infrastructure inoperable.

Business Continuity Development Team
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Diane Newton, Finance
Cindy Milazzo, Administration
Jerry Stevenson, Provost

Jeannie Winston, Vice Chancellor for Information Services, Chair

Statement of Purpose
The primary focus of this document is to provide a plan to respond to a disaster that destroys or severely cripples the University's technical infrastructure operated by the Computing Services Department. The intent is to restore operations as quickly as possible with the latest and most up-to-date data available.

Scope and Limitations
The Business Continuity Plan will be executed after health, life and safety issues are addressed. Health, life and safety issues are addressed in the Campus Disaster Plan that is administered by the Associate Vice Chancellor of Administration.

Objectives
- The development and testing of a well-structured and coherent plan which will enable UALR to recover as quickly and effectively as possible from an unforeseen disaster or emergency which interrupts normal business operations by rendering the technical infrastructure inoperable for a period exceeding two days.
- Establish cohesive emergency response and crisis management plan.
- Develop a communications plan to notify teams, activate the plan, assemble personnel, assess damages, and declare a disaster.
- Define mission critical processes using a Business Impact Analysis.
- Define manual processes that can be implemented until the technical infrastructure is restored.
- Develop a plan to recover and restore the technical infrastructure to the UALR campus.
- Establish criteria for making the decision to recover at a cold site or repair the affected site. Note: A cold site is an alternative location for computer and network equipment.
- Describe an organizational structure for implementing the plan.
- Provide information concerning the types of personnel who will be required to implement the plan and define the skills and knowledge required.
- Identify the equipment, floor plan, procedures, and other items necessary for the technical recovery.
- Communicate the plan to the campus community.

Assumptions
- Health, life and safety issues are addressed by the Campus Disaster Plan
- The library collection is not in imminent danger of loss
- Restoration of utilities is addressed in the Campus Disaster Plan
- This plan covers catastrophic events. Planned and unplanned downtime of less than two days are not addressed.
- The Business Impact Analysis drives IT Restoration and Recovery Strategies.
- Prevention is the most important aspect of continuity planning.
- The Recovery Point Objective (RPO) defines the amount of data that can potentially be lost in the event of a disaster. The RPO for the Banner system is one day or less.
- The Recovery Time Objective (RTO) is the time frame in which the technical infrastructure is to be restored. The RTO is not quantified due to the lack of a redundant data center and the unknown variables of how long it will take to prepare a cold site in the event that Fribourgh Hall is damaged beyond use.

- This plan will be reviewed and updated annually.

Recommendations

- Conduct media relations training for senior management who may be required to interface with the media during a disaster (on-going).
- Install a generator in FH and move air conditioning compressors to a more protected location (feasibility study is $6,500) (complete).
- Move critical servers in FH to a location that is less susceptible to water leak from wet labs in the floors above the data center (complete).

Section 2: Mission Critical Processes and Systems

Mission critical processes and systems are identified on the following Business Impact Analysis matrix. This matrix was developed by the BCP Team and is based on the impact to the campus community. While the impact may vary depending on the timing of an event, the matrix assumes the university is in normal operating mode when the event occurs.

Business Impact Analysis Matrix

Infrastructure	Crisis			Disaster		
	High	Medium	Low	High	Medium	Low
Power/Utilities (1)	X			X		
Network	X			X		
Banner	X			X		
• Payroll						
• Registration						
• Records						
• Financial Aid						
• Purchasing						
• Accounts Payable						
• Accounts Receivables						
• Bookstore						
• Health Services						
• Card Access System						
• Admissions						
E-mail		X		X		
Web Server			X		X	
Phones (2)			X			X
Imaging System			X		X	

Function	Crisis (2-5 Days)			Disaster (Over 5 Days)		
	High	Medium	Low	High	Medium	Low
Communications	X			X		
Research Labs	X					X
Library (3) (4)		X				X
Teaching on-line courses (4)			X	X		
Teaching web enhanced courses			X			X

Assumptions:

1. Utilities are a function of the campus disaster plan.
2. Phones can be restored parallel to other activities.
3. The library collection is intact with no danger of massive losses.
4. Teaching on-line courses and the library are parallel activities that are performed by different groups.

Section 3: Threats and Risk Analysis

A threat is an event that causes a disruption in the normal university operating environment of more than two days. UALR recognizes two major types of threats: human and environmental/natural.

Human threats include:

- Sabotage
- Terrorism
- Virus
- Bomb threats
- Robbery/thefts
- Hackers

Environmental and natural threats include:

- Tornado – physical damage
- Loss of power
- HVAC
- Flood
- Fire – FH or ADS high risk, others moderate
- Ice and/or snowstorm
- Lightning
- Wind damage
- Earthquake

Based on the above types of threats, the BCP team developed the following Risk Assessment Matrix to identify what types of risks are high. The risks that are defined as high have contingency plans developed to address prevention and controls to mitigate risks.

Risk Assessment Matrix

Human Risk	High	Moderate	Low
Virus	X		
Hackers/Crackers	X		
Loss or absence of key personnel on crisis teams	X		
Sabotage		X	
Bomb Threat			X
Terrorism			X

Environmental Risk	High	Moderate	Low
Loss of power	X		
Ice/snow	X		
Flood	X		
Water leak in critical	X		

areas			
Fire (FH or ADS)		X	
HVAC		X	
Tornado (physical damage)			X
Lightning			X
Wind damage			X
Earthquake			X

The timeline for decision points for each risk will be evaluated individually to assess the actual risk in the event of a disaster.

Based on the Risk Assessment Matrix, UALR recognizes the following type of threats as high risk for our campus.

- Virus
- Hackers/Crackers
- Loss of technical personnel
- Loss of power to FH
- Ice/Snow
- Flood
- Water leak in critical areas in FH

Disaster Risks and Prevention

It is important to take reasonable measures to prevent a disaster or to mitigate the potential of one. This portion of the plan reviews the various threats that can lead to a disaster, identifies vulnerabilities, and steps that can taken to minimize our risk. The threats covered here are both human and environmental/natural.

Computer Crime (includes viruses and hackers/crackers)

Computer crime is becoming more of a threat as systems become more complex and access is more highly distributed. With the new networking technologies, more potential for improper access is present than ever before.

Computer crime usually does not affect hardware in a destructive manner. It may be more insidious, and may often come from within. A disgruntled employee can build viruses or time bombs into applications and systems code. A well-intentioned employee can make coding errors that affect data integrity (not considered a crime, of course, unless the employee deliberately sabotaged programs and data).

Preventive Measures

All systems should have security products installed to protect against unauthorized entry. All systems should be protected by passwords, especially those permitting updates to data. All users should be required to change their passwords on a regular basis. All security systems should log invalid attempts to access data, and security administrators should review these logs on a regular basis.

All systems should have the latest virus protection software. UALR has a site license for McAfee and it is available at no charge to individual users.

All systems should have the latest patches applied to operating systems. Computers without the latest patches are more vulnerable to attack and can have a devastating impact on the campus network.

All systems should be backed up on a periodic basis. Those backups should be stored in an area separate from the original data. Physical security of the data storage area for backups must be implemented. Standards should be established on the number of backup cycles to retain and the length of their retention.

Recommendations

Continue to improve security functions on all platforms. Strictly enforce policies and procedures when violations are detected. Regularly let users know the importance of keeping their passwords secret. Let users know how to choose strong passwords that are very difficult to guess.

Improve network security. Shared wire media, such as thinnet ethernet, are susceptible to sniffing activities, which unscrupulous users may use to capture passwords. Implement stronger security mechanisms over the network, such as one-time passwords, data encryption, and non-shared wire media.

Loss of technical personnel

Technical personnel have the capability of remotely accessing university systems. UALR has three data base administrators and several system administrators who have access to critical systems.

Loss of power to the primary data center in Fribourgh Hall

A diesel generator has been installed that provides power to FH 213. The generator is tested monthly to ensure that it is in working condition if and when it is needed to provide power to the data center.

Ice/Snow

The most likely result of an ice or snow storm is the loss of power associated with damage to the commercial electric utility facilities that provide power to the UALR campus. The best method of dealing with the potential damage of ice or snow is to follow the same course of action for loss of power and has been addressed with the installation of a generator in FH 213.

Flood (includes water leak from wet lab on floors above the data center)

The Fribourgh Hall Building is located on an area of elevation and is surrounded by lower ground. The Computing Services Data Center is on the second floor of Fribourgh Hall and is not likely to flood from natural causes, however internal flooding from a broken pipe is a real threat. Not only could there be potential disruption of power caused by the water, a broken pipe can cause damage to cable or other sensitive electrical connections. Additionally, the presence of water in a room with high voltage electrical equipment can pose a threat of electrical shock to personnel within the machine room.

Preventive Measures

Machines should not be located under pipes from the floor above. Care should be taken to move existing machines to areas of the machine room that are not under water pipes. Water detectors have been installed and are operational. These detectors send messages to specified Computing Services personnel.

Recommendations

An environmental monitoring system has been installed in FH 213 that will alert specified technical personnel if water is detected in the room.

Additional threats to FH 213

Additional threats to the technical infrastructure include fire, tornados and high winds, earthquake, and hazardous materials in FH. Even though these threats are not rated as high risk, each one is addressed individually due to the potential for extensive damage should one or more occur.

Fire

Fribourgh Hall is filled with electrical devices and connections that could overheat or short out and cause a fire. Additionally, there are batteries that produce hydrogen gasses in the Uninterruptible Power Supply room where a spark could ignite a fire and explosion. A minimal risk is that the computers within the facility also pose a quick target for arson from anyone wishing to disrupt University operations.

Preventive Measures

Fire Alarms

The Fribourgh Hall Building is equipped with a fire alarm system, with ceiling-mounted smoke detectors scattered widely throughout the building.

Fire Extinguishers

Hand-held fire extinguishers are required in visible locations throughout the building. Staff are to be trained in the use of fire extinguishers.

Building Construction

The Fribourgh Hall Building is built primarily of non-combustible materials. The risk to fire can be reduced when new construction is done, or when office furnishings are purchased, to acquire flame resistant products.

Training and Documentation

Detailed instructions for dealing with fire are present in Standard Operating Procedures documentation. Staff are required to undergo training on proper actions to take in the event of a fire. Staff are required to demonstrate proficiency in periodic, unscheduled fire drills.

Recommendations

Procedures should be regularly reviewed to ensure that they are up to date.

Regular inspections of the fire prevention equipment are also mandated. Fire extinguishers are periodically inspected as a standard policy.

A Halon fire suppression system should be installed in the data center. Equipment should be wired to be shut down with the press of a button located near the entrance/exit of the data center.

Smoke detectors located under the machine room raised flooring should be periodically inspected and cleaned.

Tornados and High Winds

Although tornados and high winds are rated as low risk, the potential damage caused by a tornado on the campus could severely damage or destroy Fribourgh Hall. In the event that Fribourgh Hall is destroyed, the likelihood of being able to rebuild the technical infrastructure in a timely manner is greatly diminished.

Preventive Measures

Building construction makes a big difference in the ability of a structure to withstand the forces of high winds. Fortunately, Fribourgh Hall Building is a strong building. The exterior walls are solid concrete. The data center has small movable windows; however the handles are removed to keep the windows closed. Strong winds are often accompanied by heavy rain, so a double threat of wind and water damage exists if the integrity of the roof is lost.

Recommendations

All occupants of Fribourgh Hall should know where the strong points of the building are and be directed to seek shelter in threatening weather. The machine room operator is often unaware of outside weather conditions, so the machine room should be equipped with a weather alert radio.

Computing Services should have large tarpaulins or plastic sheeting available in the machine room area ready to cover sensitive electronic equipment in case the building is damaged. Protective covering should also be deployed over magnetic tape racks to prevent water and wind damage. Operators should be trained how to properly cover the equipment.

The windows in the data center should be reinforced with metal for protection from flying debris.

Earthquake

The threat of an earthquake in the Little Rock area is low, but should not be ignored. Scientists have predicted that a large earthquake along the New Madrid fault may happen any time in the next 50 years, and that its effects will be felt as far away as our area. Buildings in our area are not built to earthquake resistant standards like they are in quake-prone areas like California. So we could expect light to moderate damage from the predicted quake.

An earthquake has the potential for being the most disruptive for this disaster recovery plan. If the Fribourgh Hall Building is damaged, it is highly probable that the Cold Site on campus may also be similarly affected. Restoration of computing and networking facilities following a bad earthquake could be very difficult and require an extended period of time due to the need for wide scale building repairs.

Preventive Measures

The preventive measures for an earthquake can be similar to those of a tornado. Building construction makes all the difference in whether the facility will survive or not. Even if the building survives, earthquakes can interrupt power and other utilities for an extended period of time. Standby power generators could be purchased or leased to provide power while commercial utilities are restored.

Recommendations

Computing Services should have large tarpaulins or plastic sheeting available in the machine room area ready to cover sensitive electronic equipment in case the building is damaged. Protective covering should also be deployed over magnetic tape racks to prevent water and wind damage. Operators should be trained how to proper cover the equipment.

Hazardous Materials

The risk of hazardous material was not rated nor discussed by the BCP. It is mentioned because of the presence of such items in Fribourgh Hall and the possibility of consequences if the building is damaged by a tornado, high winds or an earthquake.

There are hazardous materials present in the Fribourgh Hall Building. Four primary sources exist for these materials:

1. Janitorial supplies - hazardous chemicals are present in the janitorial closets scattered throughout the building. The door to each closet contains a list of the chemicals present in the closet. If this information is not present at the scene of the disaster, contact the Physical Plant for a list of the chemicals located in the building.
2. Battery acid - hazardous battery acid is present in large quantities in the Uninterruptible Power Supply room located in the extreme northwest corner of the first floor of the building. Battery acid can cause caustic skin burns, blindness, and pulmonary distress if inhaled.
3. Hazardous Material Storage Area is just outside the entrance to the Fribourgh Hall Building and is storing unknown hazardous material.
4. The floors above the Data Center house Chemistry and Biology Labs, either of which can have toxic biological or chemical hazards.

Section 4: Roles and Responsibilities

Roles and responsibilities are defined utilizing a similar tiered approach based on the same structure as activating the Campus Disaster followed by the Business Continuity Plan. The initial assessment is performed under the scope of the Campus Disaster Plan. The next phase is to activate the Business Continuity Plan (BCP) and assemble the Crisis Management Team (CMT). The third phase is to concentrate simultaneously on executing manual processes and restoring the technical infrastructure. The final phase is to recover any data that has been lost due to the disaster. The roles and responsibilities in each phase are included in this section.

Emergency Response Team
As stated in the introduction, UALR utilizes a tiered approach to disaster planning and recovery. The Emergency Response Team (ERT) will execute the first tier Campus Disaster Plan for the Departments of Public Safety and Physical Plant. Members of the ERT are first responders in the event of a crisis or disaster. The ERT will be activated by the Associate Vice Chancellor of Facilities.

The responsibilities of the ERT include understanding the scope of the situation, coordinating physical and safety recovery efforts, and monitoring the situation. The Associate Vice Chancellor for Facilities, as a member of the ERT, will be responsible for notifying the CMT of the status of an event. The Chancellor, as a member of the ERT, will be responsible for designating a disaster and activating the continuity plan.

Business Continuity Crisis Management Team (CMT)
Once the Emergency Response Team has ensured that the campus is a safe working environment and that life, health and safety issues are addressed, the Crisis Management Team (CMT) is activated by the Chancellor. The CMT will be responsible for managing the business recovery and resumption efforts and will communicate with both internal and external campus constituencies. The CMT will report to the Emergency Operations Center (EOC). The primary site for the EOC is designated as the Chancellor's Conference Room on the third floor in Administration South. The secondary site for the EOC is designated as the first floor of Dickinson Hall. In the event both the primary and secondary sites are not accessible, the CMT will meet in the Don W. Reynolds Center.

A list of members of the Crisis Management Team is included in Appendix A. Contact information for each member is included.

Technical Recovery Management
After the CMT has reported to the designed EOC and assessed the damage, the technical recovery will be managed by Computing Services. The Technical Recovery Management Team will be composed of the Vice Chancellor for Information Services and Associate Directors of Computing Services. Refer to Appendix B for contact information.

Data Recovery Management
When the technical recovery is completed to a point where the Banner system is restored to full functionality, the individual users will be responsible for entering any data that was lost due to

the disaster and any data that was manually processed during the disaster. Both the technical and data recovery responsibilities are defined in the following roles and responsibilities matrix.

Roles and Responsibilities Matrix

This matrix was developed by the BCP Team based on the mission critical systems and processes in the BIA matrix that is located in Section 2 of this plan.

Role or Function	Responsible	Accountable
Power/Utilities	Director, Physical Plant (Sandra Vail)	AVC Facilities (David Millay) Bob Adams
Network	AD Networks (Rogers Davis)	Vice Chancellor for Information Services (Jeannie Winston)
Banner	AD MIS Banner User's Group (Peter Stuckey)	Vice Chancellor for Information Services (Jeannie Winston)
• Payroll	Manager, Payroll (Stacey Hogue, Linda Johnson)	AVC Finance (Steve McClellan)
• Registration	Manager, Registration (Joyce Hale)	Division Chief (Charles Donaldson)
• Records	Manager, Records (Joyce Hale)	Division Chief (Charles Donaldson)
• Financial Aid	Manager, Financial Aid (Tammy Harrison)	Division Chief (Charles Donaldson)
• Purchasing	Manager, Purchasing (John Lochala)	AVC Finance (Steve McClellan)
• Accounts Payable	Manager, Accounts Payable (Stacey Hogue Bruce Anderson)	AVC Finance (Steve McClellan)
• Accounts Receivables	Manager, Accounts Receivables (Steve McClellan Gina Fielder)	AVC Finance (Steve McClellan)
• Bookstore Vouchers	Bookstore Manager (Brenda Thomas)	Division Chief (Preston Slayden)
• Card Access System	AD Networks (Rogers Davis)	Vice Chancellor for Information Services (Jeannie Winston)
• Admissions	Manager, Admissions (Tammy Harrison)	Division Chief (Charles Donaldson)
• Admissions (Law School)	Director, Admin & Reg (Jean Probasco)	Dean, Law School (John DiPippa)

E-mail	AD Networks (Rogers Davis)	Vice Chancellor for Information Services (Jeannie Winston)
Web Server	Project Specialist (CS) (Daniel Spillers)	AD Networks (Rogers Davis)
Phones (2)	AD Networks (Rogers Davis)	Vice Chancellor for Information Services (Jeannie Winston)
Imaging System	Manager, Records (Joyce Hale)	Division Chief (Charles Donaldson)
Communications	Director (Judy Williams)	VC Advancement (Bill Walker)
Research Labs	Individual Academic Departments	Provost (David Belcher)
Library (3) (4)	Library MIS (JB Hill)	Director, Library (Wanda Dole)
Teaching on-line courses (4)	OCCP (Mark Burris)	AVC Provost (Linda Musun)
Teaching web enhanced courses	StaR (Mark Burris)	AVC Provost (Linda Musun)
Electronic Course Delivery		
o Blackboard	StaR (Mark Burris)	AVC (Linda Musun)
o Compressed Video	StaR (Mark Burris)	AVC (Linda Musun)
o Streaming Video	StaR (Mark Burris)	AVC (Linda Musun)

A flowchart of the emergency Roles and Responsibilities is included in Appendix C.

Section 5. Communications Plan

Organizations are judged less by the crisis that arises than by how they rise to deal with the crisis.

Note: Any and all media requests during an event that necessitates activation of this plan will be addressed by the Office of Communications or the Crisis Management Team.

Overview

This plan is designed to provide a consistent communication framework to plan for and/or respond to any crisis situation that disrupts UALR's operations and reputation. Its purpose is to support the response to any crisis that may occur by providing timely, accurate information to employees, students, donors, vendors, media, and other important University audiences.

It is important that university officials work to present a consistent response that is supported by open, honest interaction with internal and external audiences, including when appropriate, media, government entities and oversight agencies.

When a crisis occurs, this plan will help identify the steps to take to ensure the facts are being presented to the appropriate audiences when and how they need them to minimize potential damage.

Crisis Scenario Variables

Possible Locations of Crises

- UALR campus
- UALR Benton Center
- UALR William H. Bowen School of Law

Potential Audiences to Consider for Communications

- Faculty and staff (and families)
- Students (and families)
- University of Arkansas system office
- Donors
- Vendors
- Media- print, online, and broadcast
- Community-at-large
- Government officials
    - Law enforcement- local, state, and federal
    - Elected officials- local, state, and federal
    - Agencies- Emergency Management, Department of Higher Education

Crisis Management Preparedness

Crises Communications Response Team

The Crises Communications Response Team serves as a triage unit to assess the crisis and determine appropriate management, operational, and communications responses.

Primary Team Members

- Judy Williams, Director of Communications
- Brad King, Director of Public Safety
- David Millay, Associate Vice Chancellor of Facilities

Secondary Team Members

- Joel Anderson, Chancellor
- David Belcher, Provost and Vice Chancellor for Academic Affairs
- Bill Walker, Vice Chancellor of University Advancement
- Joni Lee, Associate Vice Chancellor of University Advancement
- Communications Dept.- Joan Duffy, Kim Fox, Angela Parker, Drew Stephens
- Jeannie Winston – Vice Chancellor for Information Services
- Charles Donaldson- Vice Chancellor of Educational & Student Services
- Bob Adams, Vice Chancellor of Finance and Administration
- David Millay, AVC Facilities

Additional Personnel (if necessary)

- Chuck Weringer, Director of Printing Services
- Dierdre Whitfield, Administrative Secretary for Communications/ Development
- Gwen Stanley, Secretary for Communications/ Development
- Janette Prior, Administrative Assistant for Development

Emergency Contact List

Name	Office	Home	Cell Phone
Judy Williams Dir./Comm.	569-3372	851-1510	551-9481
Brad King Dir./Public Safety	569-3404	851-4950	580-3055
David Millay Assoc. VC/ Fac. & Serv.	569-3202	851-3029	454-1862
Joel Anderson Chancellor	569-3200	603-0037	413-9580
David Belcher Provost	569-3204	663-4084	
Bill Walker VC/ Univ. Adv.	569-3186	868-4424	837-8441
Joni Lee Assoc. VC/ Univ. Adv.	569-3186	614-9179	837-8442
Joan Duffy	569-8600	228-0053	837-8478

Media Rel. Mgr.			
Kim Fox Mktg./ Ad Mgr.	569-8602	225-4728	837-8479
Angela Parker PR Coord.	569-3373	851-6020	554-1527
Drew Stephens Web Designer	569-3261	614-9831	454-7520
Bob Adams VC/ Finance and Admin.	569-3202	241-2362	454-1860
Sandra Vail Dir./ Physical Plant	569-8897	803-9077	454-1863
Jeannie Winston Vice Chancellor/Information Services	916-5026	830-3091	837-8466
Charles Donaldson VC/ Educ. & Student Serv.	569-3328	227-9346	837-8480
Chuck Weringer Dir./ Printing Serv.	569-8634		804-2245
Janette Prior Admin. Assist	569-3194	835-6161	N/A
Deborah Baldwin, Dean	569-3296	N/A	N/A
Angela Brenton, Dean	569-3244	217-8828	681-4745
John DiPippa, Dean	324-9434	225-8091	N/A
Mary L. Good, Dean	569-8188	227-5273	258-5093
Tony Chelte, Dean	569-3048	821-4556	310-4556
Pat Pelicane, Dean	569-8660	227-0476	N/A
Michael Gealt, Dean	569-3257	663-9765	NA
Angela M. Sewall, Dean	569-3113	664-6965	993-3700

Elements of the Plan

How a crisis is handled in the first hour after it is identified often dictates how well – or not – an organization weathers the event. A crisis occurs on its own time. Given this natural law, advance preparation is the key to timely response within this "golden hour."

The following outline provides a guide for assembling the critical elements necessary to effectively respond to crises quickly.

- Develop pre-approved messages for public response (to be developed by Team when crises occur)
- Create general message points that provide an understanding of the university's mission (Appendix 2- attached)
- Prepare media policies and guidelines that cover non-crisis policies as well (Appendix 3- attached)

- Define methods and predetermined locations to convene the Team
    - Communications Dept. Conference Room (if Comm. Dept. is not source of crisis)
    - Alternative location if Comm. Dept. is not suitable (Bailey Center, Hilton Hotel)
- Identify appropriate spokespersons relative to potential situations
    - For most scenarios, the Chancellor, Provost and/ or Judy Williams are the appropriate spokespersons
    - Other spokespersons will be identified as needed
- Create and update emergency contact cards on a regular basis; each member of the Team should have a card
- Identify process for obtaining and using contact information for employees, students, donors, vendors, etc. This should include process for access from an off-campus source in the event of a physical crisis on campus. (Cindy/ Brad)
- Assemble crisis supply kits and travel kit (duplicate to be stored offsite) of materials necessary to facilitate decision-making and communications:
    - Copy of crisis plan
    - Press kit
    - Laminated emergency contact card
    - Media lists (hard copy and copy on disk)
    - Emergency media phone kit to keep by main switchboard; should include key contact numbers, guidelines for dealing with media calls, log sheets to record calls, etc. (see attached Appendix 4 for media inquiry log)
    - Cellular phone
    - Flashlights with batteries
    - Mini or micro-cassette recorders and tapes with batteries
    - Disposable camera and/ or digital camera
    - Video camera and tapes
    - Office supplies (letterhead, envelopes, legal pads, pens, stapler, duct tape, etc.)
    - Fed Ex account number and supplies (Mail Services)
    - One set of two-way radios with batteries
    - Laptop computer and portable printer (if accessible)
    - Extra batteries for all appropriate items

Crisis Management Response Checklist

The Chancellor designates a disaster and the Crisis Management Team is convened. The following is an outline for response:

- Notify the Team and other personnel needed to manage the crisis (employees to handle the switchboard, track media coverage, etc.) (Judy Williams)
- Convene the Team to assess the situation and determine what operational, technical, financial, legal and/or communications responses are appropriate for consideration. (Judy Williams)
- Develop a specific plan relevant to the actual circumstances faced, with audiences identified and prioritized, responsibilities and timelines for follow up clearly delineated. (Comm. Dept.- Lindsay)
- If necessary, assign someone to create a secure timeline of the actual events related to the crisis and responses undertaken; only one person should have this responsibility and

access to the timeline to assure accuracy and integrity of the information. (Comm. Dept.- Kim)

- Set up a crisis response center (Bailey Center or Comm. Dept. Conference Room) with copies of the crisis response plan, the response statement and contact information for all members of the Team. If possible, center should have multiple phone lines, computers, fax and copier access. This center will receive all calls related to the crisis.
- Create phone logs of news organizations covering the crisis and any other key personnel, employees, students, donors, vendors, etc. who may be inquiring about the situation. (see attached Appendix 4 for media inquiry log) (Comm. Dept.)
- Identify key message points, drawing on general UALR message points. Refine as needed. (see attached Appendix 2) (Comm. Dept.)
- Prepare possible response statements for telephone and crisis-site inquiries. (Comm. Dept.- Joan/ Kim)
- Begin contacting those affected by the crisis. Identify best mechanisms to reach each, including, phone, face-to-face meetings, conference calls, e-mail, Internet, media briefing, press release, etc. (Comm. Dept.)
- Post response statement on UALR Web site, if appropriate. If crisis warrants, develop additional online pages, including press releases, photos, etc. (Comm. Dept.- Stephens/ Lindsay)
- Contact local emergency officials and government officials, if necessary. (Brad King)
- Prepare for initial media briefing. (Comm. Dept.)
    - Identify media to be notified (Joan)
    - Determine spokesperson(s) (Judy)
    - Designate site and time to hold briefing (Bailey Center or HR Room) (Judy)
    - Notify media via phone calls and/ or media advisory (Joan)
    - Make press kits available as well as copies of response statement (Joan/ Kim)
    - Designate an employee to keep a log of media in attendance so coverage can be tracked later (Kim)
    - Alert media clipping service (print, online and broadcast) to monitor coverage (Joan)
    - Decide if additional briefings are necessary (consider daily/ hourly briefings) (Team members)
- Make sure those affected by crisis are being kept informed through regular Web site updates, e-mail updates, etc. (Comm. Dept.- Stephens/ Lindsay)
- Define specific times/dates to reconvene the Team to assess situation as it changes, and to make appropriate adjustments in operations and communications responses. (Team members)

Returning to Normal

Approximately one to two weeks after the crisis event is substantially or completely handled, full debriefing of the Team should occur to:

- Evaluate the short-term impact of the crisis
- Identify possible long-term effects that should be addressed
- Prepare follow-up communications if necessary
- Critique performance of the Team

- Note changes that should be made to handle future situations

UALR General Messages

The University of Arkansas at Little Rock is Arkansas' premier metropolitan university with 13,000 full and part-time students.

As an active and integral part of the community, UALR is able to put its students in close contact with the state's most influential leaders in government, business, industry, medicine, and information technology.

Offering the state's only comprehensive information science and systems engineering program, UALR is a leader in the field of information technology. All of our students receive thorough instruction in the field.

UALR is responsible for providing excellence in instruction to ensure high-quality education for our students.

The University applies its resources and research skills to local, state, national, and international needs in order to improve the human condition.

UALR provides a community of learning that stimulates students, faculty, and staff to become lifelong learners and use their knowledge in ways that will contribute to society.

The University has a responsibility to serve the needs of a diverse student population and to make its resources accessible to the general public.

UALR remains responsive to a changing environment and society by continuous assessments of its strengths and weaknesses in meeting the needs of the faculty, staff, students, and community.

The safety of our employees and students is paramount to our university. We strive to follow all appropriate state and federal regulations.

UALR is an equal opportunity/ affirmative action employer.

UALR Talking Points

1. You may not think UALR plays any role in your life because you don't have a child in school here or you didn't attend here, but let me help broaden your vision.
   - Your child might have educational advantages because his or her teacher has been trained in our CyberTeacher program or EAST Lab, which give teachers the skills they need to incorporate technology in the classroom.
   - Your child might be better prepared for college through one of the many programs that assist high schools across the state. These include our online pre-calculus program, the physics lending library that helps teachers bring physics to life, or the Hall High program where we offer college credit in composition, history, biology, physics, algebra, psychology, and sociology.XXXX

- Your water resources are protected because we helped solve the decades-old dispute in Pulaski and Saline County.
- Your government, business, and community leaders have a better handle on our economy because of research and forecasts from our Institute of Economic Advancement.
- Your city has been improved because one of its struggling neighborhoods is part of our revitalization program.
- The small business that you work for has a better chance to succeed with the help of our Arkansas Small Business Development Center.

So, you see, UALR is a part of your life, one of the better parts.

2. At UALR, there is no question about our mission- it is to educate students to live and work in the complex, diverse, technological world of this new century. We are doing that everyday through:

- Our ten-year-old Engineering and Information Technology College, which is training the highly-skilled technological workforce, or "cyber engineers" as we call them, needed now and well into the future.
- The popular IT minor program, which gives students in all areas of study the critical technology skills they need to get a better job in today's and tomorrow's market.
- The EAST Lab program, helping current and future teachers incorporate technology in the classroom.
- Our efforts to incorporate the technology curriculum across campus. For example, the Multimedia Technology Lab, operated by the College of Arts, Humanities, and Social Sciences, where musicians can use computer technology to write, score, arrange, and play music, graphic designers can use technology to create, and theatre arts majors use technology to design sets and create their stage.
- The online rehab counseling master's program, recognized by *U.S. News & World Report* in its special edition on e-learning. This course is filling a nationwide void. Approximately 150 students across the country are getting the education critical to meeting new federal standards.

3. We are building a "powerhouse" university, one that will rank as one of the nation's top metropolitan universities. A metropolitan university isn't just defined by its location. It's defined by its involvement in the community. It's defined by a unique, diverse student body- many balancing work, careers, and families while they complete or enhance their degrees. A metropolitan university is defined by its commitment to solving critical community problems. It's defined by its efforts to create partnerships that advance the community and the region. For instance, as a metropolitan university, UALR:

- Harnesses the expertise of the University to solve community problems. UALR's faculty Water Task Force helped resolve a decades-old dispute and led to the creation of the Central Arkansas Water System. After that success, Saline County approached us for help in solving a similar dispute and we delivered a plan which they are implementing as we speak.
- Plays an important role in implementing the plan for the federal Empowerment Zone designation, which UALR helped the county obtain.
- Partners with the City of Little Rock to operate the Neighborhood Resource Center, which works with neighborhood associations and community organizations to build a stronger community by studying neighborhood issues and developing problem-solving strategies.

- Collaborates with public schools to enhance K-12 education through our online pre-calculus program, Reading Recovery literacy training, EAST Lab technology program, and the Hall High project offering college credit to high school students in composition, history, biology, physics, algebra, psychology, and sociology.

4. We are building a "powerhouse" university, one that provides an excellent education for our students through our prestigious faculty and academic excellence by:

- Attracting faculty from some of the nation's and world's most prestigious universities such as Harvard, MIT, and Yale.
- Offering the nation's first scholarly course of its kind examining the Clinton presidency. The course has created so much interest that C-SPAN is televising the entire course, the first time in the network's history.
- Developing the first-in-the-nation presidential studies minor to give students an insider's view of the U.S. presidency.
- Partnering with local business and industry so our professors have the opportunity to work and learn the latest in their fields and bring that knowledge back to the campus.
- Establishing the first systems engineering program in the state of Arkansas in UALR's College of Engineering and Information Technology and training the technological workforce of tomorrow.

5. There is a line we quote often on our campus, "There is no great city without a great University." That means if Central Arkansas' economy thrives, UALR thrives. If our region grows, UALR grows. We don't compete for separate goals - we celebrate common success. Our expertise extends to the community through:

- The Neighborhood Resource Center, in partnership with the City of Little Rock, which works with neighborhood associations and community organizations to build a stronger community by studying issues and developing problem-solving strategies.
- The Neighborhood Leadership Program to help current and future neighborhood leaders sharpen their organizational and leadership skills and develop community and economic development strategies.
- The presidential studies initiative that will, with the new Clinton Library, make UALR and the city a destination for the study of the American presidency.
- The College of Engineering and Information Technology and Arkansas' only systems engineering program developed in partnership with some of the nation's leading knowledge-based industries.
- The Office of Community Engagement to support the growing number of UALR faculty, staff, and students who work in the community and to actively seek new community partnerships.
- The Arkansas Small Business Development Center, which has provided research, consulting, and training services to nearly 40,000 Arkansans.
- The new non-profit management certificate to prepare managers in nonprofit organizations to lead their agencies more effectively.
- Our Mid-South Center for Education, Research, and Training that trains all social workers in the state.
- Our partnership with the Arkansas Department of Emergency Management to help the state of Arkansas and communities prepare for natural disasters.

Media Policies and Guidelines

It is important to ensure consistent, accurate information when messages are communicated to the public. Therefore, all media inquiries should be referred to Judy Williams at 569-3372 or 551-9481 (cell) or Joan Duffy at 569-8600 or 837-8478 (cell).

If possible, please consult first with the Communications Department before giving a statement to the media. If you receive a phone call from a reporter, please handle it in the following manner:

- Treat a media call with courtesy, like any other important business call
- Write down the reporter's name and media organization as well as direct line and other contact information for response
- Ask what the call is regarding and try to obtain specifics from the reporter without pushing too hard, but do not discuss the situation with the reporter, answer questions or give out information
- Tell the reporter you will have the appropriate person contact them
- Ask if the reporter is on deadline and, if so, what that deadline is
- Relay the message promptly to Judy Williams at 569-3372 or 551-9481 (cell) or Joan Duffy at 569-8600 or 837-8478 (cell)

Section 6: Contingency and Restoration

Contingency Plans

Both Educational and Student Services and Finance and Administration will maintain contingency plans defining how they will conduct manual processing until limited network and system functionality can be restored. The one exception to the departmental plan is the contingency plan for payroll that is included in this plan. After a disaster is declared, the Bank of America will be notified to continue processing payroll based on the latest payroll data available until the Banner system has been restored and a new payroll can be generated.

There are two time frames in which the payroll contingency plan will not be sufficient to meet the payroll needs for the campus. These two time frames coincide with the beginning and ending of the academic calendar. Personnel Action Forms specifying the employment periods for nine-month faculty begin in mid-August and end in mid-May. If the disaster occurs immediately before the fall semester, new and returning faculty will need manual paychecks. If the disaster occurs immediately after the last payroll for faculty at the end of the spring semester, nine-month faculty will be paid when they are not due a paycheck.

The following list of UALR employees are authorized to notify the Bank of America that UALR is declaring a disaster.

UALR Chancellor	Dr. Joel Anderson
UA System Vice President for Finance and Administration	Barbara Goswick
UALR Vice Chancellor for Finance and Administration	Dr. Bob Adams
UALR Assoc. Vice Chancellor for Finance	Steve McClellan
UALR Assoc. Vice Chancellor for Facilities and Services	Dave Millay

The Bank of America archives direct deposit files for at least four (4) payroll periods.

The Memorandum of Agreement with the Bank of America and the procedures by which it can be executed is located in Appendix E.

The list of essential functions and personnel for Finance and Administration and Educational and Student Services is included in Appendices F and G, respectively.

Restoration and Recovery Strategies

Based on the functions identified in the Business Impact Analysis, systems will be restored in the following order in either a crisis or disaster:

1. Campus network (in part at the backup location or in whole depending on the situation)
2. Banner
3. Web Server
4. Blackboard

Desktop personal computers should be distributed to Computing Services, Educational and Student Services and Financial Services. A minimum of ten should be distributed to each department.

Technical Recovery Management

Technical recovery is the responsibility of Computing Services. The schedule of recovery of the university network will be established based on the damage to the campus. If the data center is intact, the generator will ensure continuation of off campus network services. University systems will be available at remote locations. Network services to campus buildings will be restored based on the need for services as determined by the crisis or disaster. If the data center is destroyed, campus network restoration will be situational. The university maintains an inventory of spare network parts that can be installed as needed to restore network services.

The Banner system has a disaster recovery system located in the data center at the University of Arkansas at Fayetteville. The disaster recovery hardware is a duplicate of the on-campus system. A copy of the operating system, data base, and application are also on the system. The system can be activated remotely and can be fully operational within 24 hours of losing the UALR data center. Therefore, the recovery time objective is 24 hours or less for the disaster recovery system to be a recovered and operational.

Data Recovery Management

Updates to the data in the Banner system are transmitted electronically every five (5) minutes. Therefore, the recovery point objective for administrative data is five (5) minutes or less. However, each department will be responsible for entering data into the Banner system that has been manually processed during a disaster.

Web Server Management

The university has a system located on the campus of the University of Arkansas at Fayetteville that can be used to restore web services in an emergency.

Emergency Procurement Procedures

The Arkansas State Purchasing Regulations provides considerable latitude in emergency procurement of goods and services.

The Technical Recovery Management Team will be responsible for all emergency procurement for Computing Services. All purchases must follow the regulations established for emergency procurement and will work with the UALR Purchasing Office to complete the acquisition. If the Purchasing Office has been so severely affected by the disaster that it cannot function, a member of the Technical Recovery Management Team will work with the Office of State Purchasing in Little Rock for all emergency procurements. If this is necessary, the Office of State Purchasing will be requested to send a representative to campus to handle purchasing transactions on-site in the most efficient manner possible.

The Technical Recovery Management Team is responsible for tracking all acquisitions to ensure that financial records of the disaster recovery process are maintained and that all acquisition procedures will pass audit review.

Arkansas State Purchasing Regulations are included in this plan in Appendix H.

Once a disaster has been declared and equipment purchasing needs have been identified, the state outlines emergency requisition procedures. These procedures are included as Appendix I.

Section 7: Campus and Educational Awareness Materials

This plan is available through UALR's web server in order to make it more generally available to University faculty and staff. Additionally, a web document format permits it to be published in an online form that can be stored on diskette or CD-ROM media for viewing with an Internet browser in file browse mode. This plan will be updated annually or as substantial changes to the computing and networking systems are made.

Information on the plan development process and the draft plan can be accessed at www.ualr.edu/bcp.

Appendices

Appendix A	Continuity Management Team Contact Information
Appendix B	Technical Recovery Team Contact Information
Appendix C	Flowchart of Roles and Responsibilities
Appendix D	Media Inquiry Form
Appendix E	Memorandum of Agreement with the Bank of America
Appendix F	Essential Functions and Personnel for Finance and Administration
Appendix G	Essential Functions and Personnel for Student Services
Appendix H	Arkansas State Purchasing Regulations
Appendix I	Purchasing Procedures and Forms

Appendix A

Crises Management Team

Contact Information

Crises Management Team Contact Information

Position	E-mail address	Work Phone	Home Phone	Cell Phone or Pager Number
Chancellor Joel Anderson	jeanderson@ualr.edu	(501) 569-3200	(501) 603-0037	(501) 413-9580
Vice Chancellor for Academic Affairs and Provost David Belcher	dobelcher@ualr.edu	(501) 569-3204	(501) 663-4084	
Vice Chancellor for Student Services Charles Donaldson	**cwdonaldson@ualr.edu**	(501) 569-3328	(501) 227-9346	(501) 837-8480
Vice Chancellor for Financial Services Bob Adams	**rhadams@ualr.edu**	(501) 569-3202	(501) 241-2362	(501) 454-1860
Vice Chancellor for University Relations Bill Walker	**wxwalker@ualr.edu**	(501) 569-3186	(501) 868-4424	(501) 837-8441
Vice Chancellor for Information Services Jeannie Winston	**eewinston@ualr.edu**	(501) 916-5026	(501) 830-3091	(501) 837-8466
AVC Facilities Dave Millay	**dlmillay@ualr.edu**	(501) 569-3202	(501) 851-3029	(501) 454-1862
Director, Communications Judy Williams	**jgwilliams@ualr.edu**	(501) 569-3372	(501) 851-1510	(501) 551-9481

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Appendix B

Technical Recovery Management Team Contact Information

Technical Recovery Management Team

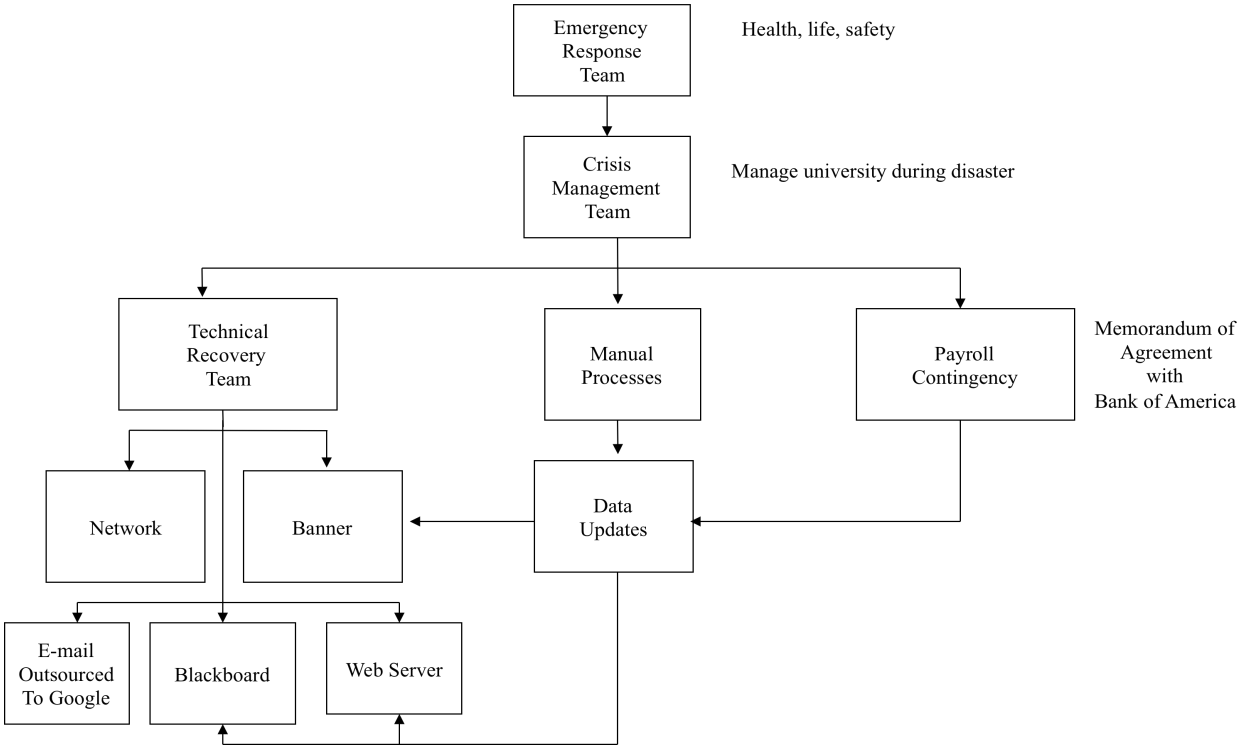
Contact Information

Position	E-mail address	Work Phone	Home Phone	Cell Phone
Vice Chancellor for Information Services Jeannie Winston	**eewinston@ualr.edu**	(501) 916-5026	(501) 830-3091	(501) 837-8466
Associate Director Networks Rogers Davis	**redavis1@ualr.edu**	(501) 916-5027	(501) 224-6250	(501) 960-4415
Associate Director MIS Peter Stuckey	**pmstuckey@ualr.edu**	(501) 916-5013	(501) 562-5645	(501) 590-8673
Associate Director Student Information Services Technical Support Tracy Johnson	**tljohnson@ualr.edu**	(501) 569-8703	(501) 225-7095	(501) 920-4425
Associate Director Desktop Support Vacant		(501) 916-5037	(501)	(501) 231-9405

Appendix C

Flowchart of Emergency Roles and Responsibilities

Appendix C
Flowchart of Roles and Responsibilities



Appendix D

Media Inquiry Form

Media Inquiry Form

Date & Time Call Received: _____

Reporter's Name: _____

Media Organization: _____

Phone Number: _____ Fax Number: _____

Email Address: _____

Information Requested:

_____

_____

_____

_____

_____

_____

_____

Deadline for Information: _____

Call Returned By: _____ Date: _____

Notes:

Appendix E

Memorandum of Agreement

With the

Bank of America

(For Payroll)

Note: A copy of this agreement in located in the Office of the Vice Chancellor for Finance and Administration in Administration South.

Appendix F

Essential Functions

For

Finance and Administration

The essential function of Finance and Administration and minimum number of employees required to perform each function include:

Function	Minimum # of Employees Required
Purchasing	1
Payroll	2
Human Resources	2
Student Accounts/Cashiers	3
Accounts Payable	2
	10

Business Continuity Plan for PURCHASING EMERGENCY RESPONSE

Procurement

- Emergency procurement is defined by Sate Procurement Law as "the acquisition of commodities or services, which if not immediately initiated, will endanger human life or health, state property, or the functional capability of a state agency".
- Process procurements as prescribed by law (see attached page 36-037 of State Procurement Law)
- Maintain supply of blank or per-printed purchase order forms
- Purchase orders may be typed or hand written on a temporary basis
- Manually number documents following current procedure for non standard documents
- Maintain an excel spread sheet with sufficient elements and information to facilitate manual reentry (short term emergency) or upload to Banner Tables electronically (long term crisis)

Staffing

- If current office is functional, entire staff shall report for duty and decisions will be made for job duties and continued reporting based on extent and duration of emergency/crisis
- If current office is not functional, essential staff (Business Manager and Assistant Business Manager) will report for duty. Remaining staff will be placed on stand by.

Location

- Current offices if functional
- Temporary site on campus if needed and available
- Off site if necessary (i.e.: UA System Offices, COOP, UAMS)

Cashflow concerns:

Cash in the bank
Immediate cash outlay (emergency expenses)
Cash receipts (emergency relief funds, etc.)

We would need some kind of fully equipped accounting center set-up off-site, probably even not in Little Rock. In the event of a catastrophe, the whole metropolitan area could be affected. We would need to have some kind of agreement with the good folks at BOA to activate remote access to BOA Direct. This would help us track our cash from the bank side. In the event of a catastrophe, we might lose all our records on campus. We need to back up our records regularly to a server in a secure site off-campus; probably at least outside the metropolitan area.

We would have to make sure that our operating account remained fully accessible to at least three different people with security to make decisions in the absence of one or both of the other two.

BOA Direct access would be our key to cash reporting in the event of a catastrophe.

In Case of Emergency:

Business Continuity Plan
Payroll

Note: This contingency is to be executed if the Memorandum of Agreement with Bank of America is not triggered.

In Case of Emergency:

I. To Continue Doing Business As Usual

Ice/Snow Storm – University Closed for Inclement Weather

1. Administration, Payroll, and Public Safety should touch base with each other. Depending on the severity of the weather condition as to whether transportation can be mobile or not:
   A. If it is too dangerous to travel the roads, contact public safety to see if they can pick up payroll staff and transport them to the University or all key personnel. Then proceed with step B.
   If key personnel are able to travel without risk of hazardous roads, they will report to the University. Then, proceed with Step B.
   B. Payroll will separate new employees first. New employees' PAFs will be input first, then identify all terminations effective during the pay period. Make changes and adjustments to the remaining PAFs as time permits.

C. Process payroll.

2. No Power at the University
   A. The generator in the data center should keep Banner accessible

3. Cannot Access Banner
   A. Option- Wait until the Banner System is restored.
      - Payroll may have to adjust working schedule that may include working overtime.
      - Process PAFs beginning input of new employees as usual.
      - Run payroll processes as usual.

      a. If too late to process direct deposits for the payday.
         - Contact BOA - ACH Quality Assurance immediately to make them aware of our problem and ask for alternative solutions.
         - If an alternative data delivery type is used: First, notify the bank of the alternative data delivery used. Next, obtain an agreement with the bank to use this method. Then, discuss the processing of the alternative delivery with the ACH-Quality Assurance Dept.
         - Alert campus, then set alternation plan into action.

   B. Option- Contact Computing Services to contact SCT.
      1. Locate a site that would accommodate UALR's payroll and download BANNER PROD, then process payroll.
      2. Team up with another school that uses Banner.
         - Download BANNER PROD into a test dbase
         - Get the PR staff to that location
         - Process Payroll
         - Backup payroll so that it can be moved back into our System.
      3. Items 1 and 2 both have to be locations/schools that are compatible with ours, i.e., have the same operating system and the same oracle system as UALR.
      4. At the present, Harding University is the only school/location that is compatible with UALR.
      5. Other things for consideration:
         A copy of BANNER PROD should be stored at another location other than in Computing Services Operations: a. Storage file at another location on campus b. Storage file at an off campus location

4. Process Payroll using the same information/files as the previous payroll
   a. If the Banner System is restored too late to process PAFs, another alternative will be to pay all regular/hourly employees on payroll the same as the previous payroll without any changes to the database. The previous payroll files will be used to pay employees on direct deposit. On the direct deposit tape, the settlement dates will be changed.
   b. Paper Checks will be handwritten for the same amount as the previous payroll.
   c. Contact BOA. Ask for alternatives. BOA is continuously changing on their latest technology. One of the technology features mentioned in a meeting with

John Dominick was MICR Cash (live version software). Client can email file and BOA can load file in a transmission system.

5. Option- Manual Check Processing

   Turn off Positive Pay

   Begin the check writing process. We can access the information from the previous payroll processed (hardcopy or computer diskette). With Phylesia's help, it may be possible to convert or manipulate the data on direct deposit file to another format to write the checks by computer (with the right software installed), otherwise each check will have to be handwritten.

   In the event that manual checks have to be written to each employee, Payroll needs to know who is authorized to write/sign payroll checks. The Chancellor and the Vice Chancellor for Finance and Administration will inform Payroll who is authorized to write/sign payroll checks.

   - A rubber stamp with these signatures will be needed for the signing of checks.
   - Enough paper stock of checks should be on hand to accommodate at least 2 payroll periods.
   - Copies of the last payroll should be available, a list of the amounts paid by paper checks and direct deposits. - Regular employees will be paid the amount of their last paycheck. Hourly employees will be paid only if they have submitted a timesheet.
   - Notify BOA immediately of the situation. Let them know who will be authorized to write/sign the checks.
   - Write manual paychecks.

6. Option – Hand Out Cash
   - Administration should contact BOA to arrangement for enough cash to make the payroll. This amount can be obtained from a hardcopy of the previous payroll. A hardcopy will be secured in the Cashier's Office safe and in the Payroll Office.
   - Arrange for security officers (Public Safety, State Police, etc.)
   - Cashier's Office will be responsible for distributing cash payments to employees.

II. To Update BANNER

A. Add manual adjustments after initial payroll has been processed, i.e. – pay employees with current information recorded in NBAJOBS, then pay difference using the manual check procedure.
B. Alert campus of situation. Add manual adjustments/changes to the next pay period or as soon as possible.

Business Continuity in Accounts Payable

When the University is faced with a loss if its' information system or an emergency, bills will still need to be paid. Contractors will require payment. Speakers coming on campus will need to be paid. Requests for payment can be made by direct pay request, and checks typed (written if necessary) and signed.

1. Make sure everyone is physically OK. Locate everyone.
2. Employees should notify the supervisor by phone, email or voice mail that they will not be coming in.
3. Manual checks are located in the vault in the accounts payable area.
4. Bank of America will have to be notified that we will be using manual checks. Positive Pay arrangements with Bank of America will have to be suspended. Assessment will need to be made to determine if more manual checks will be necessary. Two part checks will be needed.
5. If the main check signers are not available, then alternates will need to be arranged.
6. Checks will still need to be written to the appropriate FOAPALS. A manual chart of Accounts is obtained from General Ledger.
7. Payments can be made by check requests. Check requests should include proper documentation, authority, and FOAPAL to charge the check to. Copies of the appropriate backup should be attached to the check requests. The carbon copy of the check will be attached to the backup.
8. Payment can be made against an existing purchase order. A manual matching of the invoice against t
9. The Cash reconciliation specialist will have the proper cash balance from the day prior. Should that not be available, BOA should be able to give an accurate balance because of the positive pay files. A check register will be kept keeping a running total of that balance as checks are written. The check register will indicate the FOAPAL that the check is being written on, the vendor, and the amount paid.
10. Once BANNER is running, all invoice documents are entered into BANNER using FAAINVE. From this process a document number is obtained. All manual checks can then be matched to these document numbers using the FAAONLC screen. The "manual check" option will have to be checked.

All the above can be run on a laptop if one is available. Spreadsheets can be used to record the check register.

UALR Business Continuity Plan
Cashiers and Student Accounts

I. Accepting Payments

Run an access query program to identify all accounts that have a balance and download into an excel spreadsheet. The columns will be ID number, last name, first name, amount owed, any flags that the account may have, third party payments, current charges, and several columns for amount paid. When a student inquires about the balance owed we can use this spreadsheet to provide answers. When a student makes a payment we can post the amount of the payment in the "Amount Paid" column. A hand-written receipt will be given to the student.

II. Fee Assessment
Once the student is registered by the Office of Records and Registration the student will bring a paper copy of their schedule to the Student Accounts Office and charges will be calculated and input into a column titled "Current Charges" on the spreadsheet mentioned above. A worksheet will be prepared to help calculate these charges.

III. Billing
Student bills will be produced by using the mail merge feature in Microsoft Word. The data will come from the spreadsheet mentioned above.

IV. Departmental Deposits
Deposits will be verified and a hand-written receipt will be given to the person making the deposit. A spreadsheet will be maintained with the date of the deposit, the foapal, the amount of the deposit, and the person making the deposit.

V. Third Party Sponsorships and Tuition Discounts
These adjustments will be calculated and posted to the spreadsheet mentioned above.

Business Continuity Plan for Cashiers and Student Accounts

I. Accepting Payments
Run an access query program to identify all accounts that have a balance and download into an excel spreadsheet. The columns will be ID number, last name, first name, amount owed, any flags that the account may have, third party payments, current charges, and several columns for amount paid. When a student inquires about the balance owed we can use this spreadsheet to provide answers. When a student makes a payment we can post the amount of the payment in the "Amount Paid" column. A hand-written receipt will be given to the student.

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V. Third Party Sponsorships and Tuition Discounts
These adjustments will be calculated and posted to the spreadsheet mentioned above.

Appendix G

Essential Functions

For

Educational and

Student Services

Notes:

Educational and Student Services has a complete Crisis Management Plan that is located in each division and at strategic locations throughout the campus.

The functions included in this plan represent a summary of the larger plan.

Appendix G

UALR BUSINESS CONTINUITY PLAN
Enrollment Planning Services

Assume UALR experienced a crisis or disaster requiring a priority be established for returning systems and processes to a functional level.

1. Identify essential functions for each process, both automated and non-automated. Add lines, if needed.
2. The first scenario should assume a CRISIS was 2-5 days in length.
3. The second scenario should assume a DISASTER exceeded 5 days.
4. Establish a priority by checking the option of HIGH, MEDIUM, or LOW for each function. Assume the function as a CRISIS and as a DISASTER.
5. Please remember all functions cannot be High. Other university functions, such as payroll, will be added to the overall list and may have a higher priority.

ADMISSIONS/RECRUITMENT

FUNCTION	CRISIS			
	High	Medium	Low	Hig
Document Imaging	X			X
Lobby for receiving students		X		
Private area for one on one with students			X	
BOSS Access for Admissions Applications	X			X
Restore Phones			X	
Banner systems to process applications	X			X
Phone service – FAX		X		

FINANCIAL AID/SCHOLARSHIP

FUNCTION	CRISIS			
	High	Medium	Low	Hig
Document Imaging	X			X

Connection to the internet for DOE access – for down loading ISIRs			X	X
Banner systems for aid awarding			X	X
Lobby for receiving students		X		
Private area for one on one with students			X	
BOSS access for loan acceptance			X	
Internet access for loan counseling			X	
Phone service – FAX		X		
Internet service for transmittal of funds and other loan files		X		X
Phone service for incoming calls, contacting lenders, etc.		X		X

RECORDS

FUNCTION	CRISIS			DISASTER		
	High	Medium	Low	High	Medium	Low
Processing Transcripts	X			X		
Processing Verifications		X			X	
Accessing Image Now	X					X
Processing Grades	X			X		
Room Reservation			X			X
Degree Audit			X			X
Change of Major			X			X
Processing Drop Forms			X			X
Processing Withdrawal Forms		X			X	
Permanent Record Maintenance	X			X		
General Records:			X		X	
Name Changes						

Address Changes						
Administrative Moves						
Suspension/Probation						
Academic Clemency						
Special Exceptions	X				X	
Correction of Duplicate ID numbers	X					X
Processing Grade Changes	X			X		
Transfer Credit Articulation		X			X	
Student Record Problem Resolution	X					X
Reporting to Clearinghouse	X					X
Production of Records Reports			X			X

REGISTRATION

FUNCTION	CRISIS			DISASTER		
	High	Medium	Low	High	Medium	Low
Department Input of Class Schedule		X			X	
Editing and Production of Class Schedule	X			X		
Classroom Assignments			X		X	
Processing E-Updates			X			X

On-line Class Schedule	X			X		
Establishment of Registration Controls			X		X	
Registration Process	X			X		

GRADUATION

FUNCTION	CRISIS			DISASTER		
	High	Medium	Low	High	Medium	Low
Graduation Applications	X				X	
Calculation of Honors		X			X	
Diploma Orders		X			X	
Graduation Check-out	X			X		
Awarding of degrees (in student database)	X			X		
Graduation Reports			X			X
Production of Commencement Program		X			X	
Commencement Ceremony	X			X		

Appendix H

State of Arkansas
Purchasing Regulations

Arkansas State Purchasing Regulations

ARKANSAS STATE PURCHASING REGULATIONS: The appropriate regulations are quoted below.

"19-11-233. Emergency procurements.

The State Purchasing Director, the head of a purchasing agency, or a designee of either officer may make or authorize others to make emergency procurements as defined in _ 19-11-204(9) and in accordance with regulations promulgated by the director.

R1:10-11-233. Emergency Procurements.

(A) Bids. The State agency must, at a minimum, receive three (3) competitive bids unless the emergency is critical. The quotation abstract must show the names of at least three (3) firms contacted in attempting to obtain competition.

(B) Approval. All emergency procurements shall be approved in advance by the State Purchasing Director, the head of a purchasing agency, or a designee of either officer. Where time or circumstance does not permit prior approval, approval must be obtained at the earliest practical date. Requests for approval shall be made in writing and shall include:

(1) a copy of the purchase order;

(2) a copy of the quotation abstract; and

(3) a written explanation of the emergency.

(C) Reports. Reports, which may include a copy of the purchase order, quotation abstract and explanation for the previous month on emergency procurements, shall be submitted by each Agency Purchasing Official to the State Purchasing Director no later than the tenth of the month following the reporting period.

(D) Tie Bids. In the event the lowest prices offered result in a tie bid, the person responsible for awarding a contract must insure that (1) all offers meet specifications and (2) Arkansas Preference does determine award. After the above-listed determinations are made, an award will be made by lot (flip of a coin). The coin flip will be done by the person responsible for awarding the contract in the presence of a witness. The witness must be an employee of the State of Arkansas. A documentation of the coin flip must be included on the tabulation or bid history sheet and be signed by both parties."

Appendix I

Purchasing Procedures and Forms

Purchasing Procedures and Forms

EMERGENCY REQUISITION PROCEDURES:
Obtain a Requisition number from Computing Services Requisition number list.
Fill-in Quotation Abstract Item Description Page with descriptions of items and/or services for which quotations are being solicited (e.g., equipment make and model numbers, installation services for equipment/software listed, etc.)
Quotation Abstract

Item Description Page

Unit Extended Hardware/Software Description Quantity Price Price
---

Enter description of equipment here

Shipping and Handling charges, FOB Little Rock, Arkansas _____

TOTAL: _____

Delivery Time: _____ days.
FAX the Item Description Page to at least three vendors likely to be able to provide needed goods or services. Call the vendor to insure that they know the FAX has been sent and understand the need for a quick response. Timeframes for responses can be very short; just be reasonable for the goods requested.

Summarize the vendor responses to the Quotation Abstracts on the Quotation Abstract, Quotation Summary Page.

Quotation Abstract
Quotation Summary Page

Requisition Number: _____
Date: _____

Person Requesting: _____
Phone: _____

Bidders contacted: (at least three; attach additional abstracts if necessary)
Company Name: _____
Address: _____
_____
_____
_____
Contact: _____
Phone: _____
FAX: _____

Quote: _____

Company Name: _____
Address: _____
_____
_____
_____
Contact: _____
Phone: _____
FAX: _____
Quote: _____

Company Name: _____
Address: _____
_____
_____
_____
Contact: _____
Phone: _____
FAX: _____
Quote: _____

Attach the vendor responses, any contacts or agreements, and the Quotation Summary Page to Requisition(s) made out for the lowest qualified bids.

If quotations are completed during normal University business hours, provide the Requisition, Quotation Abstracts, and any contracts to the Purchasing Office for issuance of Purchase Orders. Due to the immediate need, Purchase Order numbers should to be called to the appropriate vendor or copies should be Faxed, depending upon the policies of the vendor(s) receiving the order(s).

If the quotations are completed after hours, instruct the appropriate vendors to proceed with processing the order. Obtain the purchasing approvals and Purchase Orders as soon as possible during the next available business hours.

If no University purchasing staff are available due to the nature of the disaster, instruct the appropriate vendors to proceed with processing the order, and forward Requisition(s) and Quotation Abstract(s) to the Office of State Purchasing for issuance of Purchase Order(s).

Glossary

BCP – Business Continuity Plan – A clearly defined and documented plan for use at the time of a Business Continuity Emergency, Event, Incident and/or Crisis. Typically a plan will cover the key personnel, resources, services and actions required to manage a crisis management process.

BIA - Business Impact Analysis – a methodology for defining an organization's mission critical processes, functions and systems. Refer to Section 2 for the BIA for UALR.

CMT – Crisis Management Team – a designated team responsible for managing the university in the event of a crisis or disaster.

Cold Site - A site (data center/ work area) equipped with appropriate environmental conditioning, electrical connectivity, communications access, configurable space and access to accommodate the installation and operation of equipment by key employees required to resume business operations.

Crisis – an event that disrupts normal business operations by rendering the technical infrastructure inoperable for a period of two to five days.

Disaster – any event which disables or interrupts the ability to maintain a business as usual environment for a period exceeding five days.

EOC – Emergency Operations Center – a specific location to convene in the event of a crisis or disaster.

Environmental and natural threats: Events caused by nature that have the potential to impact an organization.

ERT – Emergency Response Team – responsible for the initial damage assessment and for ensuring health, life and safety issues are addressed.

Event - Any occurrence that may lead to a business continuity incident.

Hazard or threat identification - the process of identifying situations or conditions that have the potential to cause injury to people, damage to property, or damage to the environment.

Hot Site - A site (data center, work area) that provides a BCM facility with the relevant work area recovery, telecommunications and IT interfaces and environmentally controlled space capable of providing relatively immediate backup data processing support to maintain the organization's Mission Critical Activities.

High availability – systems that are available 24/7 without down time for maintenance.

Human threats - possible disruptions in operations resulting from human actions. (i.e., disgruntled employee, terrorism, blackmail, job actions, riots, etc.)

Infrastructure - A building and all of its supporting services. Infrastructure is usually divided into technology infrastructure (e.g. computers, cabling, telephony, etc.) and real estate infrastructure (e.g. buildings, utility supplies, air-conditioning, etc.).

Mission Critical Activities - The critical operational and/or business support activities (either provided internally or outsourced) without which the organization would quickly be unable to achieve its business objective(s) i.e. services and/or products.

MOA – Memorandum of Agreement – an agreement between two or more parties documenting what action has been agreed upon in a given situation.

Risk Analysis - The systematic process of identifying the nature and causes of risks to which an organization could be exposed and assessing the likely impact and probability of those risks occurring.

Risk Assessment - The overall process of risk identification, analysis and evaluation.

Risk Assessment Matrix – a methodology for identifying potential and classifying them by likelihood of occurrence,

RPO – recovery point objective – the point in time in which data can be recovered after a disaster.

RTO – recovery time objective – the time frame it takes to recover a system.

Single Point of Failure - The only (single) source of a service, activity and/or process i.e. there is no alternative, whose failure would lead to the total failure of a Mission Critical Activity and/or dependency.

Threat – an event that causes disruption in the normal university operating environment for a period exceeding two days.

Uninterrupted Power Supply (UPS) - Equipment (usually a bank of batteries) that offers short-term protection against power surges and outages. Note that UPS usually only allows enough time for vital systems to be correctly powered down.

Virus - An unauthorized program that inserts itself into a computer system and then propagates itself to other computers via networks or disks. When activated, it interferes with the operation of the computer systems.

Warm Site - A site (data center/ work area) which is partially equipped with hardware, communications interfaces, electricity and environmental conditioning capable of providing backup operating support.