



NACUBO INNOVATION AWARD

Application Form

To guarantee consideration completed application must be received by **April 6, 2007**

Amy Barbieri, Administrative Coordinator
NACUBO/Innovation Award
2501 M St., NW, Suite 400
Washington, DC 20037

Please submit a program summary no more than 3 double-spaced pages using a minimum font size of 10 points.

Do not include additional information (reports, forms, etc.) with the application. The Awards Council may request such items during the evaluation process.

Program Title: The University of California Berkeley Business Resumption Plan

Institution Name: University of California, Berkeley

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Institution Type

- Research Comprehensive/Doctoral Small Institution Community College

Award Category Type

- Process Improvement
Recognizes higher education institutions that have successfully re-engineered or designed a program, improving service delivery of administrative activity in response to a campus need.
- Resource Enhancement
Recognizes higher education institutions that have successfully reduced costs, increased revenues or improved productivity in response to a campus need.

Topical Area(s)

(Check all that apply)

- Accounting, Finance and Tax Campus Operations Human Resources
- Information Technology Leadership/Institutional Effectiveness Planning and Budgeting
- Risk Management Student Financial Services Other: _____

NACUBO Primary Representative

(Endorsement required)

Name *(print clearly)* Nathan Brostrom

Title *(print clearly)* Vice Chancellor - Administration

I hereby certify that to the best of my knowledge the statements and calculations contained herein accurately reflect the circumstances reported.

Date 4/3/07

Signature Nathan Brostrom

The University of California, Berkeley Business Resumption Planning Program

Introduction. In 2001, the University of California, Berkeley developed a campus Business Resumption Plan to prepare for a rapid resumption of Berkeley's teaching, research, and public service mission following any unexpected interruption (disaster), whether natural or human-caused. That Plan addresses the UC Berkeley goal of getting the campus "back in business" within 30 days following the interruption.

The Plan also directed campus departments to do their own business resumption planning and, to guide departments in this endeavor, the Plan established an Office of Business Resumption staffed by the Business Resumption Manager.

Although a number of universities in the U.S. had created business resumption plans (also called "business continuity plans"), no adequate model was found for resumption planning at the department level. Confronting this reality, Berkeley realized that it had to create a planning methodology. Furthermore, the extent of the task - up to 400 units on the Berkeley campus would be expected to participate - dictated that a methodology alone would not suffice; a tool was also needed to give departments an easy-to-use, do-it-yourself instrument for creating their plans.

The methodology and the tool are now in place and are producing gratifying results.

Description. The business resumption planning methodology developed at UC Berkeley adapts accepted practice to the university environment. Each department is asked to:

- Identify its critical functions and answer a series of questions about each function that probe for dependencies, vulnerabilities, and impacts of failure, plus vital records, key documents, and necessary IT applications.
- Suggest strategies to continue through disaster or to rapidly resume following interruption.
- Identify "Action Items" that can be done now to lessen the impact of a crisis-event or to position the department for rapid recovery afterwards.
- Provide details about key resources: staff, clients, constituents, customers, vendors, other stakeholders, communication channels, equipment and facilities.

The outcome of this process is a departmental business resumption plan.

The tool that we have created for departments to use in developing their plans is a web-based software application called *Restarting Berkeley*. *Restarting Berkeley* is an on-screen questionnaire that guides the user, question-by-question, to enter the appropriate information. It provides on-screen coaching, printed output if desired for use in team meetings, and a printable Business Resumption Plan for the department upon completion. By

tailoring the questions specifically to higher education, by carefully constructing questions to focus on the truly core issues, and by repeatedly reminding the user to give brief answers, *Restarting Berkeley* efficiently produces an action-oriented plan that increases the department's ability to withstand the impact of a disaster, while significantly reducing the time and effort needed for recovery.

The plan created using the *Restarting Berkeley* tool has two parts: (1) a list of Action Items for preparedness, and (2) a collection of information and guidance that will be helpful to deans, chairs, directors and managers during and after a crisis-event.

The structure of the *Restarting Berkeley* tool, and of the resulting plan, reinforces a central tenet of Berkeley's methodology: that the most important outcome of the planning process is the list of Action Items. This becomes the department's "to-do list" for disaster readiness. Recognizing the old adage that "a stitch in time saves nine," we believe that resource dollars, as they become available, will have maximum benefit when used to fund these pre-evaluated Action Items.

This emphasis on Action Items also structures the final piece of Berkeley's methodology: the periodic disaster recovery exercise. The exercise, involving the department's key leaders, faculty, and staff, reviews the Action Items, poses simple scenarios to challenge the effectiveness of the plan, and generates a revised list of Action Items that are incorporated into the new plan via the *Restarting Berkeley* tool.

Innovations. The Berkeley approach to business resumption planning is innovative in the following ways:

1. It emphasizes pre-disaster readiness as the most important outcome of resumption planning. A plan for post-disaster recovery is also essential but is of less-assured impact.
2. It applies business resumption methodology to the entire enterprise: instructional units, research units, and support (administrative) units – of any size and at any level of the organization.
3. Its focus on Action Items provides a mechanism for integrating the campus's preparedness efforts: Action Items sometimes require action by a different unit, or by the campus.
4. It offers an approach to the "annual exercise" that is do-able despite the large number of departments on campus. An exercise focused on the department's Action Items requires little time to prepare (in contrast to the traditional "tabletop" exercise which requires significant preparation).
5. As far as we know, *Restarting Berkeley* is the first web-based business resumption tool focused specifically on higher education.

6. UC Berkeley has made the web tool available at no cost to other institutions of higher education. From its initial launch in September 2006 to the current date (March 2007), 28 universities have requested the installation files (including UC Los Angeles, UC San Diego, UC Irvine, California State University-Long Beach, California State University-Fullerton, Stanford University, Massachusetts Institute of Technology, Cornell University, University of Southern California, University of Wisconsin-Madison).

Impact on the Institution. The Berkeley planning methodology has been in place since early 2005. The *Restarting Berkeley* web tool was launched in September 2006.

- Fifty-eight campus units have completed business resumption plans. As of March 26, 2007, an additional 47 units have plans in progress.
- Of these 105 units whose plans are complete or in progress, 53 have joined the effort since the *Restarting Berkeley* web tool became available in September 2006.
- UC Berkeley's School of Public Health has adopted the *Restarting Berkeley* tool as the central mechanism of its Disaster-Resistant School of Public Health project – whose goal is to make that School a model for academic disaster-preparedness.
- Especially with the advent of the *Restarting Berkeley* tool, there is a growing optimism among campus leaders that there is a comprehensive way to prepare the institution for earthquakes (Berkeley's most serious natural threat) and other potential catastrophic disasters.
- The success of this effort on the Berkeley campus has led to a request by other University of California campuses to jointly use the methodology and the tool. The tool is currently being adapted to this purpose.

Resources Required. All costs of this project represent time expended by UC Berkeley staff, except for a small hosting charge by UCB's central computing division.

Development of the methodology	\$ 9,000
Development of the <i>Restarting Berkeley</i> tool	<u>89,000</u>
Total	\$98,000

Of this \$98,000 total, \$67,000 was funded by a FEMA grant and the remainder by UC Berkeley.

Demonstration of the *Restarting Berkeley* Web Tool. A demonstration version of the tool, accessible to the public, can be seen at <http://obr.berkeley.edu/RestartingBerkeley.htm> and during a concurrent session at the NACUBO 2007 Annual Meeting in New Orleans.