Basic Continuity Plan Elements

(Guidance)

Unit Information:
- Unit Name: ________________________________________________________
- Unit Head: ________________________________________________________
- Coordinator: ________________________________________________________
- Back-Up Coordinator ___ (Identify a person to reach out to in the advent that the Coordinator is unavailable)
- Location: ________________________________________________________ (Identify primary and all secondary locations utilized by unit; (ALL locations inc site mgr contact info))
- Staff Phone Tree and Contact Information (name, office phone, home phone, mobile phone, email address, alternate email address, members of the response/continuity team, other) (Map crisis communications call tree, for each individual include the information specified)

Top Risks/Vulnerabilities:
- Risks: (Indicate whether the below risks are present)
  - Hazardous Materials in use: Y / N
  - Time Sensitive materials/activities: Y / N (significant adverse impact if materials/activities unable to be maintained or managed for ~24+ hours)
  - Environmental impacts: Y / N (materials/activities could negatively impact environment of lab, floor, building, exterior, etc. if materials/activities unable to be managed or maintained for ~24+ hours)
- Vulnerabilities (indicated if your unit/activities/research/University would experience significant adverse impact under each of the following scenarios)
  - Loss of Space (lab fire, flooding, etc.): Y / N
  - Loss of Equipment: Y / N
  - Loss of Specimens/Samples: Y / N
  - Loss of Data: Y / N
  - What loss would be the most difficult to recover from:_____________________

- Show stoppers-list any resources that cannot be replaced, substituted or done without: ______________________________ (List those resources that must be had so that research is not lost or stopped; such as animal care, refrigeration, dry ice, single-source vendor or supplier, etc.)

Continuity/Recovery:
- List Critical Functions/Activities:
  - Research Data Integrity, Continuity of Research Program, Specimen Protection (human, animal, tissues, etc.), Other

- For each Critical Function fill out numbers 1-4.
  1. For each Critical Function, describe actions necessary to manage the impact of loss (consider durations of 2 weeks, 2 months, and 6+ months) (could include mitigation strategies, alternate procedures, manual work-arounds, etc. for concerns such as data loss, specimen loss, equipment interruption or loss, space loss, reduced staffing, any type of vital records, etc.)
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2. Peak periods and/or Critical Timeframes (if any) associated with each Critical Function:  __________________________________________________________________________
   Note time of year (month) or if year round, etc. __________________________________________________________________________

3. Consequences of failure to re-start this function; place an “X” in appropriate columns within the grid below and add any pertinent comments.

<table>
<thead>
<tr>
<th>Critical Function:</th>
<th>Possible Harmful Consequence</th>
<th>Time after disaster when this consequence become critical</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>0-2 days</td>
<td>1 wk</td>
</tr>
<tr>
<td>Disruption of teaching</td>
<td></td>
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<tr>
<td>Disruption of research</td>
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<tr>
<td>Loss of faculty</td>
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<td>Loss of staff</td>
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<tr>
<td>Loss of students</td>
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<tr>
<td>Well-being of faculty/staff</td>
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<td></td>
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<tr>
<td>Well-being of students</td>
<td></td>
<td></td>
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<tr>
<td>Payment deadlines unmet by unit</td>
<td></td>
<td></td>
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<tr>
<td>Loss of revenue to campus</td>
<td></td>
<td></td>
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<tr>
<td>Legal obligations unmet by campus</td>
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<tr>
<td>Legal harm to university</td>
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<td></td>
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<tr>
<td>Impact on other campus unit(s)</td>
<td></td>
<td></td>
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<tr>
<td>Impact on other important business partner(s)</td>
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<tr>
<td>Other</td>
<td></td>
<td></td>
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</tbody>
</table>

4. Dependencies for each Critical Function:
   o Upstream (who/what this function depends upon): __________________________________________________________________________
   o Downstream (who/what depend upon this function): __________________________________________________________________________
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- Minimum Requirements: (Indicate your unit’s minimum needs if required to maintain operations under crisis situations with limited resource availability)
  - Space: (Loading dock, clean room, conference room, etc.) Please note: in regards to temporary and/or permanent space, the University will ensure HVAC, power and other basic occupancy requirements are accounted for prior to use__________
  - Equipment: (spectrometers, imaging systems, etc.) ______________________
  - Telecommunications: (number and type of telephones, voice communication lines, teleconferencing equipment, etc.)__________________________________________
  - Data/Network: (number and type of data connections, special computer configurations, etc.)____________________________________________________
  - Other: (GAV, liquid helium, specialty forms, office supplies, etc.)____

- Key Contacts (NU, External Partners, Vendors):
  - (Specify key internal and external partners including contact information which may be necessary to obtain information, resources, or supplies from and/or relay information to during crisis operations)________________________

- Procurement of Key Supplies/Equipment:
  - (Indicate acquisition strategies for critical supplies (specialty forms, etc.), materials (Nitrogen, Helium, Dry Ice, etc.), equipment (spectrometers, imaging systems, etc.) include vendor names and contact information and/or alternate procurement strategies)_________

- Potential Alternate Operations Strategies:
  - Remote local operations (i.e. work from home): Y / N
    - How many people: ____________________________
    - Work with Peers: Y / N
    - Peer Name, Institution, Contact Info:____________________________________
  - Other: __________________________________________________________________

- Gap List-Is there anything else you think of that is not included within the plans above that would need to be addressed in the advent of a business disruption?________________________
________________________________________________________________________