

# Department of Feng Shui Studies (Fictitious Dept.)

## CONTINUITY PLAN

Created: 03/30/2009

Last modified: 05/28/2009



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### What is a continuity plan?

**Continuity planning** addresses the question: how can we prepare to **continue operations** despite those adverse events that we call disasters - or if we can't continue, how can we **resume our operations** rapidly and gracefully?

The mission of the University of California is teaching, research, public service, and patient care. These four enterprises, along with the infrastructure that supports them, are the focus of our continuity planning

Your departmental continuity plan:

- Identifies your department's critical functions
- Describes how you might carry on these functions under conditions of diminished resources (diminished staff, space, equipment, or IT infrastructure)
- Contains various information that will be needed during and after the disaster-event.
- Describes how we can prepare. This is most important of all, because "a stitch in time does indeed save nine." A good continuity plan will identify **action items: things that we can do now** to lessen the impact of disaster-events and make it easier to recover.

Note to UC Ready users - we apologize for the lack of page numbers in this document. This will be corrected by July 1, 2009. Thank you for your patience.

# Department of Feng Shui Studies (Fictitious Dept.)

## CONTINUITY PLAN

Listed below are the major sections of a Continuity Plan. Your department may choose to include or exclude certain sections. Hence it is possible that one or more of these sections may not appear in this plan document.

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## **I. GENERAL INFORMATION**

<i>Department</i>	Department of Feng Shui Studies (Fictitious Dept.)
<i>Parent division</i>	Academic Affairs - Academic Units
<i>Type of unit</i>	
<i>Personnel count</i>	17 Faculty & other academic appointees 12 Residents/Fellows 10 Staff (full-time) 2 Staff (part-time, excl. student-staff) 16 Student-staff 4 Volunteers 2 Guests 18 Other
<i>Head</i>	Yang Ming Director of Feng Shui Studies
<i>Primary Contact for this plan</i>	Michael Jun-Ming Cheung
<i>Secondary Contact for this plan</i>	
<i>Cost Center</i>	
<i>Buildings</i>	SOCIAL SCIENCE HALL/SOC SCI UNIT 1 LECTURE HALL <i>Owned</i>
<i>Evacuation plans for all buildings?</i>	Yes
<i>Comment</i>	
<i>Critical functions</i>	Classroom instruction -- <i>Critical 2</i> Research -- <i>Critical 2</i> Payroll -- <i>Critical 2</i> Purchasing -- <i>Critical 3</i> Donor Relations -- <i>Critical 3</i>  <i>Definitions:</i> <ul style="list-style-type: none"><li>• <i>Critical 1: must continue (life, health, security)</i></li><li>• <i>Critical 2: must continue, perhaps in reduced mode</i></li><li>• <i>Critical 3: pause if forced, but must resume in 30 days or sooner</i></li><li>• <i>Deferrable: resume when conditions permit</i></li></ul>

## II. CRITICAL FUNCTIONS

### **Critical Function #1**

<i>Name</i>	Classroom instruction
<i>Description</i>	Undergraduate and graduate instruction including staff support of faculty
<i>Who Performs this?</i>	N/A
<i>Responsible person(s)</i>	Faculty instructors, Graduate student instructors
<i>Peak Periods</i>	Jan Mar Sep
<i>Comment</i>	Start of quarters
<i>Documents</i>	See Document List (Appendix 1)
<i>Upstream dependencies</i>	Registrar's Office Financial Aid Office Graduate Division Office Facilities Management Media Services Campus Bookstore
<i>Downstream dependencies</i>	Students
<i>Possible consequences if this function is not continued or recovered quickly enough</i>	Disruption of teaching more than 2 weeks without classes is hard to recover from Departure of faculty Departure of staff Departure of students Loss of revenue      Loss tuition if students leave Impact on other unit(s)
<i>How to cope if usual space is not available</i>	We will depend on the campus to handle space issues. In the event that sufficient space is not available, the courses with higher priority would be provided with a location. However, the courses of lower priority either will be held at an informal location or will be cancelled.
<i>How to cope with 50% absenteeism of staff and faculty</i>	Staff - We could prioritize staff work and share tasks among those who are at work. We would need to cross-train in advance for this to succeed. Faculty - We could tap graduate student instructors to fill in for absent faculty. The Chair's list of potential faculty recruits could also be a source of names.
<i>What to do if certain skills/knowledge are held by only one staff member(unique skills)?</i>	See above - Staff field under "Faculty"

<i>Can this function be performed fully or partly from home?</i>	Staff can work from home if their computers are adequate and if they have broadband connections (cable, DSL). Some staff currently work from home. Some, but not most, faculty could work from home using podcast technology.
<i>How to cope if data network is not available</i>	Classes could be held in the absence of computer networks for about one month, but would require the networks to function after that time. If the interruption occurs partway through a semester, tolerance for non-functioning networks would be lower.
<i>Any show-stoppers?</i>	Most faculty, most graduate student instructors
<i>If University declares temporary closure, is it possible to stop doing this function?</i>	Yes
<i>Comment?</i>	
<i>Do any of these coping strategies expose the University to risk?</i>	No as the primary risk is that students would be unable to take desired courses.
<i>Policy exceptions that may be needed</i>	Changes in curriculum and academic calendar. Need approval by Dean, Executive Vice Chancellor, and Academic Senate.
<i>Additional vulnerabilities</i>	None that we can think of.
<i>Action items for this function</i>	See Action Item List -section VI

## Critical Function #2

<i>Name</i>	Research
<i>Description</i>	Faculty research and graduate student research including staff support
<i>Who Performs this?</i>	N/A
<i>Responsible person(s)</i>	Faculty
<i>Peak Periods</i>	Apr May Nov Dec
<i>Comment</i>	Peak periods are typically connected with the Fall & Spring research expeditions.
<i>Documents</i>	See Document List (Appendix 1)
<i>Upstream dependencies</i>	Graduate Division Office Facilities Management Campus Libraries NACS AdCom
<i>Downstream dependencies</i>	Faculty Students
<i>Possible consequences if this function is not continued or recovered quickly enough</i>	Disruption of research                      0-2 days of disruption is tolerable Well-being of faculty/staff Loss of revenue                                  Possible loss of grant funding Impact on important business partner(s) We have several corporate research partners.
<i>How to cope if usual space is not available</i>	We will depend on the campus to handle space issues. In the event that the usual office space of faculty and graduate students is not available, they are encouraged to work from home.
<i>How to cope with 50% absenteeism of staff and faculty</i>	Affected research projects might have to delay their schedules. Substitutes are generally not feasible for faculty and graduate students engaged in research.
<i>What to do if certain skills/knowledge are held by only one staff member(unique skills)?</i>	See "Staff" field above. Research skills are not easily replaced.
<i>Can this function be performed fully or partly from home?</i>	Faculty, staff, and students can work from home if their computers are adequate and if they have broadband connections (cable, DSL). Some staff currently work from home. Support from our IT staff would be necessary to iron out problems.
<i>How to cope if data network is not available</i>	Faculty could conduct their research projects in whatever fashion possible. It is anticipated that individual faculty and graduate students would devise their own best (temporary) solutions.
<i>Any show-stoppers?</i>	Computer networks and libraries (except for short-term).
<i>If University declares temporary closure, is it possible to stop doing this function?</i>	Yes

<i>Comment?</i>	Professors would typically continue their research in any fashion possible. Few faculty would see themselves as "shut down."
<i>Do any of these coping strategies expose the University to risk?</i>	If research projects are unable to continue for extended periods of time, funding could be threatened by lack of performance. To control this risk, communication with granting agencies should be established ASAP after the crisis hits.
<i>Policy exceptions that may be needed</i>	Granting agencies might be asked to alter/waive conditions of grants to allow recovery periods.
<i>Additional vulnerabilities</i>	None
<i>Action items for this function</i>	See Action Item List -section VI

### Critical Function #3

<i>Name</i>	Payroll
<i>Description</i>	Processing of payroll information for all departmental personnel (campus has Payroll/Personnel system to assist departmental needs).
<i>Who Performs this?</i>	Accounting and Fiscal Services
<i>Responsible person(s)</i>	Nabila Khalil, Payroll Processing Senior Analyst; Erik Ramirez, Payroll Assistant
<i>Peak Periods</i>	
<i>Comment</i>	No peak periods. Load is somewhat lighter in summer due to fewer student employees.
<i>Documents</i>	See Document List (Appendix 1)
<i>Upstream dependencies</i>	Central Payroll
<i>Downstream dependencies</i>	Faculty Staff Central Payroll
<i>Possible consequences if this function is not continued or recovered quickly enough</i>	Well-being of faculty/staff Well-being of students - student employees Payment deadlines unmet Legal obligations unmet
<i>How to cope if usual space is not available</i>	We will depend on the campus to handle space issues. If the campus cannot quickly provide an alternate space, the MSO will arrange an alternate location for the payroll assistant to work (telecommute if possible).
<i>How to cope with 50% absenteeism of staff and faculty</i>	At present, the payroll assistant (Erik Ramirez) is the only person trained in payroll issues. Two other staff will be cross-trained.
<i>What to do if certain skills/knowledge are held by only one staff member(unique skills)?</i>	See commentary about cross-training in the Staff section.
<i>Can this function be performed fully or partly from home?</i>	Staff can work from home if their computers are adequate and if they have broadband connections (cable, DSL). Some staff currently work from home. Support from our IT staff would be necessary to iron out problems.
<i>How to cope if data network is not available</i>	If computer networks are not available, Central Payroll has committed to furnishing (paper) data-gathering forms to all departments for manual submission of payroll changes.
<i>Any show-stoppers?</i>	No.
<i>If University declares temporary closure, is it possible to stop doing this function?</i>	No

<i>Comment?</i>	We would have to ensure that paychecks keep flowing. Work from home by our payroll assistant or his backup would help.
<i>Do any of these coping strategies expose the University to risk?</i>	Risk of delayed paychecks - the worst case scenario could be a 2 week delay.
<i>Policy exceptions that may be needed</i>	No policy exceptions at department level. The campus payroll will obtain any needed exceptions at its level.
<i>Additional vulnerabilities</i>	Failure of Campus Payroll. Prolonged absence of both payroll assistant and back up substitutes.
<i>Action items for this function</i>	See Action Item List -section VI

## Critical Function #4

<i>Name</i>	Purchasing
<i>Description</i>	Procuring all departmental supplies & equipment. Department purchasing assistant uses one of five methods to make a purchase: --PalCard (UCI's Purchasing Card (Visa) --Low Value Purchase Order (Departmental Purchase Order) --Purchase Requisition --Blanket Requisition --KST Ghost Account (Plastic-less PalCard)
<i>Who Performs this?</i>	Purchasing Department
<i>Responsible person(s)</i>	Canute McLean
<i>Peak Periods</i>	May Jun
<i>Comment</i>	There is usually a May-June peak load in purchasing due to end-of-fiscal year deadline.
<i>Documents</i>	See Document List (Appendix 1)
<i>Upstream dependencies</i>	Central Purchasing External Vendors
<i>Downstream dependencies</i>	Faculty Students Staff
<i>Possible consequences if this function is not continued or recovered quickly enough</i>	Disruption of teaching Disruption of research Well-being of faculty/staff Well-being of students Payment deadlines unmet                      Inability to pay vendors Legal obligations unmet                      Inability to pay vendors Impact on important business partner(s) Inability to pay vendors
<i>How to cope if usual space is not available</i>	We will depend on the campus to handle space issues. If the campus cannot quickly provide alternate space, the MSO will arrange an alternate location for the purchasing assistant to work (telecommute if possible).
<i>How to cope with 50% absenteeism of staff and faculty</i>	At present, the purchasing assistant is the only person trained in purchasing issues. Two other staff will be cross-trained. At present, only the purchasing assistant has a PalCard. An additional PalCard should be obtained for one of the cross-trained staff members plus a card for the MSO.
<i>What to do if certain skills/knowledge are held by only one staff member(unique skills)?</i>	See commentary about cross-training above.
<i>Can this function be performed fully or partly from home?</i>	Staff can work from home if their computers are adequate and if they have broadband connections (cable, DSL). Some staff currently work from home. Support from our IT staff would be necessary to iron out problems.

<i>How to cope if data network is not available</i>	Use PalCard for purchases until network are re-established. Will require increased upper limit on PalCards.
<i>Any show-stoppers?</i>	Phone for purchasing assistant.
<i>If University declares temporary closure, is it possible to stop doing this function?</i>	Yes
<i>Comment?</i>	It is possible, but it could seriously hinder research. A better alternative would be to have the purchasing assistant work from home.
<i>Do any of these coping strategies expose the University to risk?</i>	Risk of PalCard abuse if the upper limit is raised. We can control this by requiring the MSO to authorize purchases in advance if possible.
<i>Policy exceptions that may be needed</i>	Raise limit on PalCards. Lift restricted-item rules on PalCards. These exceptions need approval by the Director of Material & Risk Management.
<i>Additional vulnerabilities</i>	No.
<i>Action items for this function</i>	See Action Item List -section VI

## Critical Function #5

<i>Name</i>	Donor Relations
<i>Description</i>	Over the past decade, the Department of Feng Shui Studies has benefitted significantly by the interest shown by two donors. Both benefactors (an individual and a family foundation) continue to express active interest in Departmental affairs and in continuing their financial support. It is important to keep them informed and engaged in departmental activities.
<i>Who Performs this?</i>	Office of Community & Government Relations
<i>Responsible person(s)</i>	Janet Diaz (Chair of Department)
<i>Peak Periods</i>	
<i>Comment</i>	No peak periods
<i>Documents</i>	See Document List (Appendix 1)
<i>Upstream dependencies</i>	None
<i>Downstream dependencies</i>	Dept. of Feng Shui Studies
<i>Possible consequences if this function is not continued or recovered quickly enough</i>	Loss of revenue - benefactors are very important stakeholders
<i>How to cope if usual space is not available</i>	Not an issue
<i>How to cope with 50% absenteeism of staff and faculty</i>	If the Chair cannot maintain communication with donors, she will assign a senior faculty member to do so.
<i>What to do if certain skills/knowledge are held by only one staff member(unique skills)?</i>	Not an issue
<i>Can this function be performed fully or partly from home?</i>	Yes. Telephone or email is sufficient.
<i>How to cope if data network is not available</i>	Telephone
<i>Any show-stoppers?</i>	No
<i>If University declares temporary closure, is it possible to stop doing this function?</i>	No

*Comment?* There would be no reason to cease contact with donors.

*Do any of these coping strategies expose the University to risk?* No.

*Policy exceptions that may be needed* None.

*Additional vulnerabilities* No.

*Action items for this function* See Action Item List -section VI

### **III. INFORMATION TECHNOLOGY**

#### **Part 1: Centrally-Owned Applications that are Critical for our Unit:**

<b>Application or System</b>	<b>Criticality Level</b>	<b>Comment</b>
E-mail	Critical 3	Web access to mailbox - webmail.uci.edu
e-Ship	Critical 3	
IMAP	Critical 3	Access to mailboxes
Oracle Calendar (previously Corporate Time)	Critical 3	
PayQuest	Critical 3	
ZOTMail	Deferrable	

#### **Definitions:**

*Centrally-owned applications are those whose technical owner is Central IT. The functional owner could be any department.*

*Critical 1: Cannot pause. Necessary to life, health, security.*

*Critical 2: Failure will lead to imminent + very serious consequences.*

*Critical 3: Can endure a pause, but ONLY for a short time. Must be recovered sooner than 30 days.*

*Deferrable: Important, but we can function without this system for more than 30 days.*

### **III. INFORMATION TECHNOLOGY (cont.)**

#### **Part 2: Departmentally-Owned Applications that are Critical for our Unit**

##### **Definitions:**

*Departmentally-owned applications are those whose technical owner is our department or another department (but not central IT).*

##### **Application #1**

*name of application or system*      Departmental Student Roster and Database

*Functional owner*      Dept. of Feng Shui Studies

*Technical Owner*      Dept. of Feng Shui Studies

*Type*

*Backup frequency*

*Backup media*

*Backup auto or manual?*

*Database application?*

*Move data to or from core campus systems?*

*If so, what campus systems?*

*Depts that will be impacted by failure of this application*

*Technical expert(s)*

*Responsible for recovery*

*Onsite storage*

*Offsite storage*

*Frequency of offsite storage*

*Location of installation disks & documentation*

*Successful recovery been done?*

*Comment*

## **Application #2**

*name of application or system* Departmental PalCard Log

*Functional owner* Dept. of Feng Shui Studies

*Technical Owner* Dept. of Feng Shui Studies

*Type*

*Backup frequency*

*Backup media*

*Backup auto or manual?*

*Database application?*

*Move data to or from core  
campus systems?*

*If so, what campus systems?*

*Depts that will be impacted by  
failure of this application*

*Technical expert(s)*

*Responsible for recovery*

*Onsite storage*

*Offsite storage*

*Frequency of offsite storage*

*Location of installation disks &  
documentation*

*Successful recovery been done?*

*Comment*

### III. INFORMATION TECHNOLOGY (cont.)

#### Part 3: Departmentally-Owned Servers

##### **Server #1**

<i>Name of server (or group of servers)</i>	Bagua
<i>Server Type</i>	File server
<i>Explanation</i>	Dept. file server
<i>Backup frequency</i>	
<i>Backup media</i>	
<i>Backup auto or manual?</i>	
<i>Applications that will be impacted by failure of this server</i>	
<i>Departments that will be impacted by failure of this server</i>	
<i>Server software</i>	
<i>Technical expert(s)</i>	
<i>Responsible for recovery</i>	
<i>Onsite storage</i>	
<i>offsite storage</i>	
<i>Frequency of offsite storage</i>	
<i>Location of installation disks &amp; documentation</i>	
<i>Successful recovery of this server been done?</i>	
<i>Comment</i>	

## **Server #2**

<i>Name of server (or group of servers)</i>	Chi
<i>Server Type</i>	Web server
<i>Explanation</i>	Runs both dept. and faculty websites plus various instructional applications used in courses.
<i>Backup frequency</i>	
<i>Backup media</i>	
<i>Backup auto or manual?</i>	
<i>Applications that will be impacted by failure of this server</i>	
<i>Departments that will be impacted by failure of this server</i>	
<i>Server software</i>	
<i>Technical expert(s)</i>	
<i>Responsible for recovery</i>	
<i>Onsite storage</i>	
<i>offsite storage</i>	
<i>Frequency of offsite storage</i>	
<i>Location of installation disks &amp; documentation</i>	
<i>Successful recovery of this server been done?</i>	
<i>Comment</i>	

### **Server #3**

<i>Name of server (or group of servers)</i>	Qi Lin
<i>Server Type</i>	Application server
<i>Explanation</i>	Runs critical feng shui mapping application used by industry partners.
<i>Backup frequency</i>	
<i>Backup media</i>	
<i>Backup auto or manual?</i>	
<i>Applications that will be impacted by failure of this server</i>	
<i>Departments that will be impacted by failure of this server</i>	
<i>Server software</i>	
<i>Technical expert(s)</i>	
<i>Responsible for recovery</i>	
<i>Onsite storage</i>	
<i>offsite storage</i>	
<i>Frequency of offsite storage</i>	
<i>Location of installation disks &amp; documentation</i>	
<i>Successful recovery of this server been done?</i>	
<i>Comment</i>	

To edit this plan section, use the Step 3 tab of the UC Ready web tool.

### **III. INFORMATION TECHNOLOGY (cont.)**

#### **Part 4: Workstations**

##### **A. Workstation Backup**

<b>Backup Method</b>	<b>Percent of Workstations Using this Backup Method</b>	<b>Comment</b>
Files are stored on dept. server, which gets backed up.	95%	
Don't Know	5%	One professor on sabbatical - will check on her return.

##### **B. Workstation Support**

<b>Workstation Support is provided by...</b>	<b>Comment</b>
Technicians employed by dept External vendor	Dept. of Feng Shui Studies, IT Support Group

### **III. INFORMATION TECHNOLOGY (cont.)**

#### **Part 5: Recovery Strategies for IT**

<i>Where to purchase hardware</i>	Best Buy, Office Depot, and Office Max
<i>If workstations, servers, etc. need to be rebuilt at new location, where can technicians locate the software &amp; documentation?</i>	The systems software, applications software, and related documentation are located with AdCom - The technicians would be from AdCom and have the systems and applications software with them.
<i>Environmental requirements for hardware</i>	IT equipment needs to be refurbished when they are not in use or get dropped-off at a recycling center to protect the environment.
<i>Will your IT staff be sufficient to the task?</i>	The technical support staff are available when a request is placed or called in to the AdCom help desk. Their availability depends on the number of tickets they have at hand. It's first come, first serve.
<i>Other obstacles</i>	It really has to depend on the type of damages caused by the interruption/disaster. If IT has all their information/data backed up then it's just a matter of what department has the priority.
<i>How your IT staff will assist faculty &amp; staff to work from home</i>	Our department would have submitted the names and their contact information to the IT team, so they can set-up the VPN for staff members which allows them to have access to the network at home. It would probably take about two weeks for IT to get them set up and running.
<i>IT applications for which there is no workaround</i>	No.

#### **Part 6: Action Items for IT**

See Action Item List (Section VI)

*To edit this plan section, use the Step 4 tab of the UC Ready web tool.*

## **IV. FACULTY PREPAREDNESS**

Listed here are actions that can be done to promote disaster-consciousness and disaster-readiness among our unit's Faculty.

These will appear also in the Action Item List in section VI.

**Action Item**

**Comment**

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## V. KEY RESOURCES

### Part 1: Staff Basics

<i>Does your unit have a (printed) emergency contact list for Faculty &amp; staff?</i>	Yes
<i>Who holds copies of the emergency contact list? (be specific)</i>	All the staff in the department
<i>Who updates the emergency contact list?</i>	An administrative assistant
<i>Who knows how to check messages on your department's main phone line?</i>	All the staff in the department
<i>Who knows how to record a greeting on your department's main phone line?</i>	All the staff in the department
<i>Who can post messages on your department's web site (i.e., do the actual mechanics)?</i>	Sandy Beach - Senior Manager
<i>Do your staff use any shared passwords that should be kept available?</i>	Yes

*Comment*

### Key People in Your Unit:

<i>Name</i>	Charles Wu
<i>Title or function</i>	Operations Manager of Feng Shui Studies
<i>Special skill</i>	Immense knowledge of the office structures
<i>Special role</i>	First Leadership Successor,
<i>Comment</i>	



## V. KEY RESOURCES (cont.)

### **Part 3: Teams**

These are important teams on which departmental faculty and/or staff participate. Only the team members from OUR department are shown.

*Team Name* C-SAR Team  
*Purpose* Following a large campus emergency or disaster, the need to activate the C-SAR teams will be assessed. C-SAR team members will apply their training to search lightly damaged buildings, triage injured people, provide limited first aid, and perform other duties as necessary. C-SAR team members will be the vital 'extra hands' to emergency responders such as the fire department, paramedics, and other agencies.

*Members*

*Comment* There are currently two members in the team.

*Team Name* Communication Committee  
*Purpose* The purpose of the team is to establish marketing materials and enhance awareness of the department in order to entice interest from other departments on campus and the public.

*Members*

*Comment* This team was formed at the beginning of 2009.

*Team Name*

*Purpose*

*Members*

*Comment*

To edit this plan section, use the Step 5 tab of the UC Ready web tool.

## V. KEY RESOURCES (cont.)

### Part 4: Skills

Skills that may be needed post-disaster to perform our unit's critical functions:

<b>Skill</b>	<b>Description</b>	<b>Comment</b>
Graphic Design	Proficient in web page design	

## **V. KEY RESOURCES (cont.)**

### **Part 5: Staffing Requirements**

This list displays both

- numbers of staff who may be REQUIRED during crisis, and
- numbers of staff who may be AVAILABLE FOR RE-ASSIGNMENT during crisis

#### **Definitions:**

*Critical 1: Must continue at normal or increased service load.*

*Critical 2: Must continue if at all possible, perhaps in a reduced mode.*

*Critical 3: May pause if forced to do so, but must resume in 30 days or sooner.*

*Deferrable: May pause; resume when conditions permit.*

PLEASE NOTE: THIS PAGE IS OPTIONAL AND IS CURRENTLY NOT BEING USED.

<b>Function</b>	<b>Criticality Level</b>	<b>Category of staff</b>	<b>Shift</b>	<b>FTE required under normal conditions</b>	<b>FTE required during crisis</b>	<b>FTE who may be available for re-assignment</b>
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## V. KEY RESOURCES (cont.)

### **Part 6: Staff of Other Units**

These are staff of other units whom you may need to contact:

<i>Name</i>	Jeremy Roberts
<i>Department/Org</i>	Administrative Computing Services
<i>Address</i>	423 Physical Sciences Quad Irvine, CA 92697-1175
<i>Work phone</i>	949-824-8500
<i>Cell phone</i>	None
<i>Fax</i>	949-824-5090
<i>Email</i>	helpdesk@uci.edu
<i>Comment</i>	Expert on computer network

<i>Name</i>	Norma Rodriguez
<i>Department/Org</i>	Department of Anthropology
<i>Address</i>	4229 Social Sciences Plaza B Irvine, CA 92697-1175
<i>Work phone</i>	949-824-4357
<i>Cell phone</i>	949-824-4357
<i>Fax</i>	949-824-4357
<i>Email</i>	NRod@uci.edu
<i>Comment</i>	Office Manager

## V. KEY RESOURCES (cont.)

### Part 7: Stakeholders

These are stakeholders whom you may need to contact:

		<i>Type of Stakeholder</i>
<i>Name</i>	Nguyen, Scott	Vendor
<i>Department/Org</i>	Nguyen Securities, Inc.	
<i>Address</i>	538 Pacific Avenue Costa Mesa, CA 92626	
<i>Work phone</i>	714-123-4567	
<i>Cell phone</i>	714-123-4567	
<i>Fax</i>	714-123-4567	
<i>Email</i>	Scotty@nsi.com	
<i>Products/Services</i>	Consulting firm for software securities	
<i>Alternate Vendors</i>	Sam Woo Corporation	
<i>Comment</i>	Cal State Northridge in Computer Science	

## V. KEY RESOURCES (cont.)

### Part 8: Equipment & Supplies

Minimum equipment needed to carry out all critical functions:

#### A. Office Equipment

	<i>Minimum Number</i>	<i>Comment</i>
<i>Workstations</i>	27	One per FTE, including faculty
<i>Laptop computer</i>	16	For key staff - faculty have their own
<i>Telephone</i>	27	
<i>Printer</i>	4	2 for Social Sciences Hall, 2 for Social Sciences Lecture Hall
<i>Fax</i>	1	
<i>Copier</i>	1	
<i>Scanner</i>	0	
<i>Server</i>	6	

#### B. Other Equipment

*(major items only)* Dept. pickup truck is needed to load furniture.

#### C. Supplies

*Necessary Consumables* Mainly office supplies.

*Inventory or Stockpiling Considerations* We require a 2-week inventory but plan to increase that to 6 weeks.

To edit this plan section, use the Step 5 tab of the UC Ready web tool.

## V. KEY RESOURCES (cont.)

### **Part 9: Facilities & Transportation**

*Facilities (special needs beyond office-classroom lab needs)* Loading dock for bulky/heavy equipment related to our Feng-Shui Exhibition.

*Utilities (very important to the functioning of the department)*

*Utility Name*

*Comment*

Air Conditioning

City Water

Natural Gas

*Transportation (special transportation needs)*

*Other Resources*

No

To edit this plan section, use the Action Item Summary tab of the UC Ready web tool.

## VI. ACTION ITEM LIST

<b>Action Item #1</b>	Develop a plan for alternate space in case some classrooms are not usable.
<i>Supports this critical function</i>	Classroom instruction
<i>Estimated cost</i>	\$100 - \$1,000
<i>Cost one-time or annual?</i>	One-time
<i>Within whose scope</i>	the campus
<i>Comment</i>	
<i>Status</i>	In progress
<b>Action Item #2</b>	Request faculty committee to develop strategy for alternate-channel delivery of courses (in case there is a temporary shortage of classrooms post-disaster).
<i>Supports this critical function</i>	Classroom instruction
<i>Estimated cost</i>	\$100 - \$1,000
<i>Cost one-time or annual?</i>	One-time
<i>Within whose scope</i>	my unit together with other units on campus
<i>Comment</i>	
<i>Status</i>	Not yet begun
<b>Action Item #3</b>	Do periodic trial-recoveries of servers/applications
<i>Supports this critical function</i>	Information Technology
<i>Estimated cost</i>	\$1,000 - \$10,000
<i>Cost one-time or annual?</i>	Annual
<i>Within whose scope</i>	my unit together with other units on campus
<i>Comment</i>	
<i>Status</i>	In progress
<b>Action Item #4</b>	Have department IT Manager discuss work from home issues at faculty meeting.
<i>Supports this critical function</i>	Information Technology
<i>Estimated cost</i>	less than \$100
<i>Cost one-time or annual?</i>	One-time
<i>Within whose scope</i>	my unit itself
<i>Comment</i>	
<i>Status</i>	Completed
<b>Action Item #5</b>	Make mutual arrangements with sister UC campuses to borrow technical staff if needed during recovery.

<i>Supports this critical function</i>	Information Technology
<i>Estimated cost</i>	Don't know
<i>Cost one-time or annual?</i>	
<i>Within whose scope</i>	the campus
<i>Comment</i>	
<i>Status</i>	In progress
<b><i>Action Item #6</i></b>	Cross-train 2 staff members to process departmental payroll (to serve as backup for Erik Ramirez).
<i>Supports this critical function</i>	Payroll
<i>Estimated cost</i>	less than \$100
<i>Cost one-time or annual?</i>	Annual
<i>Within whose scope</i>	my unit itself
<i>Comment</i>	
<i>Status</i>	In progress
<b><i>Action Item #7</i></b>	Cross-train 2 staff members to do departmental purchasing.
<i>Supports this critical function</i>	Purchasing
<i>Estimated cost</i>	less than \$100
<i>Cost one-time or annual?</i>	Annual
<i>Within whose scope</i>	my unit itself
<i>Comment</i>	
<i>Status</i>	In progress
<b><i>Action Item #8</i></b>	Investigate whether PalCard limits & restrictions can be lifted for recovery period.
<i>Supports this critical function</i>	Purchasing
<i>Estimated cost</i>	less than \$100
<i>Cost one-time or annual?</i>	One-time
<i>Within whose scope</i>	my unit together with other units on campus
<i>Comment</i>	
<i>Status</i>	Completed
<b><i>Action Item #9</i></b>	Obtain 2 additional PalCards.
<i>Supports this critical function</i>	Purchasing
<i>Estimated cost</i>	less than \$100
<i>Cost one-time or annual?</i>	One-time
<i>Within whose scope</i>	my unit itself
<i>Comment</i>	
<i>Status</i>	Completed

**Action Item #10** Design departmental networks to allow faculty & students to connect remotely (e.g. from home) in case office/lab space is damaged.

*Supports this critical function* Research

*Estimated cost* Don't know

*Cost one-time or annual?* One-time

*Within whose scope* my unit together with other units on campus

*Comment*

*Status* Needs further discussion

**Action Item #11** Develop a fund for emergency grants to faculty and graduate students to cover expenses of conducting research in alternate ways or at alternate locations.

*Supports this critical function* Research

*Estimated cost* Don't know

*Cost one-time or annual?* Annual

*Within whose scope* my unit together with other units on campus

*Comment*

*Status* Not yet begun

**Action Item #12** Encourage faculty to request seismic bolting and bracing furniture and equipment. (Allocate departmental funds - first come/first serve up to funding limit)

*Supports this critical function* Research

*Estimated cost* \$10,000 - \$100,000

*Cost one-time or annual?* One-time

*Within whose scope* my unit together with other units on campus

*Comment*

*Status* In progress

**Action Item #13** Request faculty committee to develop strategy for secure storage of non-electronic research materials.

*Supports this critical function* Research

*Estimated cost* less than \$100

*Cost one-time or annual?*

*Within whose scope* my unit itself

*Comment*

*Status* Needs further discussion

To edit this plan section, use the Step 5 tab (Document Summary) of the UC Ready web tool.

## Appendix A.

### List of Key Documents

These documents have been identified as important for continuing our critical functions.

Documents that have been uploaded into the UC Ready system (as indicated below) can be viewed on-screen, then printed.

<i>Name</i>	Current Course List
<i>Description</i>	Course offering during Spring quarter of 2009
<i>Medium</i>	Electronic (computer)
<i>Location</i>	215 Aldrich Hall Irvine, CA 92697-4975
<i>Owner (department)</i>	University Registrar
<i>Contact person(s)</i>	Peter Anteater
<i>Backup measures</i>	Schedule of Courses booklet
<i>Comment</i>	Reconstruct from Registrar's Office if necessary
<i>Uploaded into UC Ready system?</i>	No

<i>Name</i>	Current List of Funded Research Projects
<i>Description</i>	These are the projects that have been fully funded by the State.
<i>Medium</i>	Electronic (computer)
<i>Location</i>	4199 Campus Drive, Suite 300 Irvine, CA 92697-7600
<i>Owner (department)</i>	Office of Research Administration
<i>Contact person(s)</i>	John Chen
<i>Backup measures</i>	Data is being backed-up every 24 hours
<i>Comment</i>	
<i>Uploaded into UC Ready system?</i>	No

<i>Name</i>	Current List of Pending Grant Applications
<i>Description</i>	These are proposed research projects that are waiting for grant approval.
<i>Medium</i>	Electronic (computer)
<i>Location</i>	4199 Campus Drive, Suite 300 Irvine, Ca 92697-7600
<i>Owner (department)</i>	Office of Research Administration
<i>Contact person(s)</i>	John Chen
<i>Backup measures</i>	Data is being backed-up every 24 hours
<i>Comment</i>	
<i>Uploaded into UC Ready system?</i>	No

<i>Name</i>	Payroll Procedures & Guidelines - Dept. of Feng Shui Studies
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*Description* Payroll processing instructions for our department.  
*Medium* Electronic (computer)  
*Location* Payroll Services 111 Academy, Suite 210 Irvine, CA 92697  
*Owner (department)* Accounting & Fiscal Services  
*Contact person(s)* Nabila Khalil  
*Backup measures* Hard copy is available  
*Comment*  
*Uploaded into UC Ready system?* No

*Name* Purchasing Procedures & Guidelines - Dept. of Feng Shui Studies  
*Description* Very clear set of guidelines  
*Medium* Electronic (computer)  
*Location* Purchasing Department 250 Public Services Building Irvine, CA 92697  
*Owner (department)* Purchasing Department  
*Contact person(s)* Canute McLean  
*Backup measures* Hard copy available  
*Comment*  
*Uploaded into UC Ready system?* No

## Appendix B.

### Glossary

**Action Item.** An action item is something that could be done now (or anytime before disaster strikes) to make your organization more prepared. Action items can be big or small, costly or costless, within the scope of your department to perform, or outside your scope. Taken together, a department's action items comprise a **to-do list for readiness**.

The typical action item begins with a verb and can be stated in one sentence. Some examples:

- Do seismic bracing in all department laboratories
- Develop a plan for redeploying nursing staff to critical areas
- Cross-train two staff members to handle payroll & purchasing
- Make an emergency contact list and ask all staff to keep a copy at home.

**Broadband Connection.** Broadband describes an internet connection that is faster than dial-up. The usual at-home broadband connections are DSL (telephone), cable, and wireless.

**Centrally-Owned Application.** A centrally-owned application is a computer application or system whose technical owner is your central IT department. (The functional owner of the application could any department.)

**Continuity Plan.** See the title-page (cover-page) of this document for a definition of continuity plan.

- Continuity plans are also called **business continuity** plans and **business resumption plans**. The terms are interchangeable.
- In higher education, the term **business continuity plan** is sometimes used to denote a plan for the administrative & support sectors, but not the academic. Such plans have only limited value. If the "business" of higher education is teaching, research, public service, and patient care, a continuity plan must focus directly on those functions (as well as on the support functions). The **UC Ready** tool does that.
- Information technology (IT) departments commonly do a form of continuity planning called **Disaster Recovery ("DR") Planning**. This is a very specific form of continuity planning that focuses on the security and recoverability of IT applications and systems during and after a disaster-event. The **UC Ready** tool is not designed to produce DR Plans.

**Cost Center.** An accounting term that denotes a department that incurs costs but does not directly produce revenue. In some organizations, this term is loosely used to divide up the organization for the purposes of allocating budget (with no reference to revenue or profit).

**Critical Function.** A critical function is an activity that is essential to the core mission of the organization. For disaster planning, a critical function is one that must be continued through disaster, or resumed soon after a disaster-event, to ensure either the viability of the organization, or its ability to serve its customers.

The UC Ready methodology defines four **levels of criticality**:

- Level 1: Must be continued at normal or increased service load. Cannot pause. Necessary to life, health, security. (Examples: inpatient care, police services).
- Level 2: Must be continued if at all possible, perhaps at reduced service load. Pausing completely will have grave consequences. (Examples: provision of care to at-risk outpatients, functioning of data networks, at-risk research)
- Level 3: May pause if conditions demand, but must be restored to acceptable functionality in 30 days or less. Acceptable functionality means the work is happening, even if in a struggling mode. (Examples: payroll, classroom instruction, research)
- Level 4: May pause; resume when conditions permit. (Examples: elective surgery, routine building maintenance, training, marketing).

**Interview Form.** An interview form is typically a paper form that is used to collect information for later entry into a database. Examples are

- templates for taking hand-written notes while interviewing a subject
- paper survey instruments
- substitute paper forms that are kept available for use during periods when a computer system is down.

**Departmentally-Owned Application.** A departmentally-owned application is a computer application or system whose technical owner is your department or another department (but not central IT).

**Downstream Dependency.** A downstream dependency is a department that depends on your department. If your department fails to perform, the ability of the downstream department to carry out its mission will be seriously

impaired. If, for example, your department does scheduling of nursing staff, the inpatient and/or clinical units will be among your downstream dependencies.

**Emergency Contact List.** List of all people in your unit, and perhaps some outside your unit, whom you might want to contact during and after a disaster-event. The list should include home address, home phone, personal & work cell phones, personal & work email addresses, plus any other available means of contact.

The list should be kept on paper, and stored in multiple locations by multiple people. It should be updated at appropriate intervals

Some emergency contact lists are organized as "calling trees", but except in very large units that is not usually necessary.

**Functional Owner.** The functional owner of an IT application is the unit that governs the design (and often the use) of the application. When an application implements a business process, the unit responsible for that business process is typically regarded as the functional owner of the application. Modifications to an application must be authorized by the functional owner (but are implemented by the technical owner).

For example, the Admissions Office would typically be the functional owner of the on-line admissions system. The technical owner might be the Central IT department, or could be the Admissions Office itself if it has its own IT person or section.

**Offsite Storage.** Offsite storage refers to the storage of tapes, disks, paper documents and other materials at a location far enough from an organization's operating location that a disaster-event at one location is not likely to impact the other location.

**Onsite Storage.** Onsite storage refers to the storage of tapes, disks, paper documents and other materials at an organization's operating location, rather than elsewhere. Onsite storage of backups is adequate for protection against some types of disasters, and is less expensive and more-quickly-accessed than offsite storage. For more valuable and less-replaceable items, offsite storage becomes desirable.

**Sponsor.** Sponsor refers to an agency or organization that provides grant funding for research projects

**Technical Owner.** The technical owner of an IT application is the unit that has top-level administrator and programming access, implements any modifications, and troubleshoots and fixes any technical problems.

**Upstream Dependency.** An upstream dependency is a department that your department depends on. If the upstream department fails to perform, the ability of your department to carry out its mission will be seriously impaired. For example, the central IT department is typically an upstream dependency of every other department. The sponsored projects office (grants office) is an upstream dependency of the research enterprise. The food services department is an upstream dependency of inpatient units.

**Windows Remote Desktop.** Windows Remote Desktop is a technology that enables Windows computer users to log into and operate their computer, via the internet, from a remote location. It is commonly used by employees to operate their office computers either from home sitting at their home computer, or from any other location sitting at a laptop or desktop machine

An inherent feature of the Windows Remote Desktop technology is that the office computer (the accessed computer) must be running. This places a limitation on the dependability of this technology as a disaster-coping strategy

An increasingly-popular alternative to the Windows Remote Desktop technology is Virtual Private Network (VPN) technology. The VPN connection allows a remote user to access his/her organization's network resources (mainframes, servers, network drives) directly - even if the "office" desktop machine is destroyed.

**Workaround.** The term "workaround" refers to an alternative process that can substitute for a temporarily non-functioning process. Paper forms for recording data can be workarounds to allow business to continue when computers are down. Identifying workarounds for critical processes is one aspect of continuity planning.