*Unit/Division* Business Continuity Plan

*Unit/Division name*

*Unit/Division* BCP Lead

*Revision Date*

|  |
| --- |
| **Your next revision date: *ideally one year from this date*** |

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PART ONE:

GENERAL INFORMATION

**This business continuity plan is for:**

*Please list the unit name and the various entities this plan may cover.*

**This unit’s “parent” department is:**

*If your unit reports directly to another, please list the department/division/ entity here.*

**UNIT OVERVIEW**

Indicate below the principal nature of your department’s operations (check all that apply):

* Instruction
* Laboratory research
* Other research
* Administration
* Student life
* Facilities support

Other (describe): **\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

***INSTRUCTIONS:*** *Write a brief description of your department’s mission; describe teaching, research and service objectives. Include such items as principal services, number of staff, buildings, location and space needs. The goal is to create a picture of the size of your unit and the scope of its activities. You may have most of the needed information in another document or on your website. This can be copied, pasted and modified for use in this BCP document. Please include any unique situations or conditions that the unit may face if there is a need to relocate for an extended period of time or experience significant staffing loss****.***

**General Instructions for completing a Business Continuity Plan**

**1.** Understand the role of the unit within the larger context of the University of Toronto.

2. Complete all sections as accurately and completely as possible.

3. The completion of this plan should be a collaborative effort and include discussion with both internal and external stakeholders.

4. Upon approval, the plan should be discussed with your staff to assure they are aware of their roles and responsibilities.

5. Business Continuity Plans should be reviewed and updated annually.

6. Submit approved plans to XXX by Date

7. Emergency Management must approve the plans by Date.

# LEADERSHIP SUCCESSION

Orders of succession are provisions that are implemented when leadership personnel are unable to execute their duties during a disruptive event. Units must establish, communicate and maintain their orders of succession for key positions. This succession may be addressed through by-laws, codes, ordinances or internal policy. When considering succession, attempt to identify at least two successors to an incumbent. Although succession most frequently goes downward in the organization hierarchy, it may be necessary or desirable to move upward instead; some positions may require successors from outside the immediate unit or even the division. There also may be situations in which it is necessary to assign successors from outside the geographic proximity.

## UNIT DELEGATION OF AUTHORITY

***INSTRUCTIONS:*** *List the people who can make operational decisions if the Unit leader is absent.*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Name** | **Position** | **Email** | **Office Phone** | **24/7 Phone** |
| **Unit Lead** |  |  |  |  |  |
| **Alternate lead** |  |  |  |  |  |
| **Second Alternate lead** |  |  |  |  |  |

* **Unit Organizational Chart:
*Please provide a unit organizational chart* *(insert here or attach with plan).***
* **Location(s):**

 **INSTRUCTIONS:** List the buildings used by your Unit. Please include both primary and secondary uses (administrative, instruction, lab, etc.) and any special considerations or comments if needed.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Building Name** | **Primary Use** | **Secondary Use** | **Number of Personnel at location** | **Special Considerations** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

* **Any rented Space? Y/N – Locations**

*If your organization rents office space, please list landlord information here. Also, list all locations that you rent here.*

* **Identify the Unit management and additional BCP contacts within the Unit.**

(*Note: The three people noted below are responsible for understanding the BCP plan. This prompt ensures that there is continuity redundancy.)*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Primary BCP Contacts** | **Name** | **Email** | **Phone** | **Fax** |
| **Unit BCP Lead** |  |  |  |  |
| **Alt. BCP Contact** |  |  |  |  |
| **2nd Alt BCP Contact** |  |  |  |  |

* **Number of personnel (headcount rather than FTEs)**
	+ Faculty & Other Appointees: *If applicable*
	+ Staff (full-time): *List your full-time staff at all locations – If you have multiple office sites and/or locations please break out staff here.*
	+ Staff (part-time): *List your part-time staff at all locations – If you have multiple office sites and/or locations list staff by location.*
	+ Other:

**UNIT BCP OBJECTIVES**

***INSTRUCTIONS:*** *Essential functions are based on the units’ customers and needs. Assigning a priority to the customers’ needs helps BCP planners distinguish between critical and supportive functions. Essential functions are the foundation for BCP programs and plans. For a unit that is at the beginning stage of Business Continuity Planning, determining essential functions must be completed before moving to any other area. Identifying essential functions requires an intimate understanding of all the organization’s operations. Although many functions are important, not every activity the organization performs is a critical function that must be sustained in a disruptive event.*

*Completing this worksheet will help each unit prioritize the recovery of its primary functions and assist the campus in determining the essential functions that need to be restored first following a disruptive event. Keep in mind that a function may be more essential at certain periods throughout the year. For example, if employees are paid on the biweekly of each month and a disruptive event strikes on the day following payment, payroll would not be a Tier I or Tier II function. However, if a disruptive event occurs on the day before payment, payroll will need to be reestablished within 24 hours to ensure personnel are paid. It is recommended that time-sensitive or date-specific functions be considered as if the disruptive event were to take place immediately before the function needs to be accomplished. If an incident affects the unit when the function is not time-critical, the BCP would be adjusted to keep that function at a lower priority for recovery.*

# DEFINITIONS

To better understand critical and non-critical functions, please refer to definitions below:

**Tier I – Critical Functions: Must be operational within 72 hours**

Also known as Essential Services in emergency situations, are defined as:

* those services or activities required to provide food and shelter to students in residence;
* protection of human health and safety through EHS, the Hazardous Materials Group, etc;
* full and complete care of animals in research capacities/facilities;
* and all services of security, police and regulatory personnel**.**

**Critical Business Functions have been defined as:**

* accounts payable continuity (cheque and payment creation, etc) and
* systems continuity (AMS, VPN, UT Alerts, Website, etc).

**Critical services shall include:**

* those providing continuous access to buildings and grounds (including FOB system),
* central communications, and
* indirect support such as building operations, preservation of infrastructure, utility systems, material procurement (Examples: campus police, hazardous material clean-up, physical plant operations, at-risk research) and
* certain contract and legal activities.

**Tier II – Intermediate Functions: Must be operational within 1 week (7 days)**

Those functions and services that are secondary to the University’s critical functions that can withstand a short-term disruption of more than 72 hours, but need to be resumed in a timely manner (1 week) to avoid a long term impact to the operation (examples: classroom instruction, student counselling, general, less time-sensitive research).

**Tier III – Deferrable Functions: Must be operational within 30 days –**

Those functions and services that can be paused or deferred during an incident and can resume when conditions permit (examples: routine building maintenance, training, donor solicitation, grant solicitation).

* **Critical Functions performed by this Unit, as noted under “Definitions” (above):**

*In this section provide all the critical functions performed by your unit.*

* **Extraordinary functions (special functions that this Unit may need to perform during a time of crisis):**

*During times of crisis, it may be necessary for your unit to add functions to your unit.*

**Is there a specific plan for this extraordinary function?**

*If you have identified an extraordinary function, please develop a specific plan to make this function operational.*

* How would you go about adding this function?
* Whose responsibility would this function be?
* What would have to happen for this function to be needed? (Note: we will work with you to answer these questions.)
* **Functions judged to be non-critical:**

*Please list those non-critical functions here:*

PART TWO:

ACTION ITEMS TO INCREASE YOUR UNIT’S READINESS

**“An ounce of prevention is worth a pound of cure.”**

The most effective way to handle a major disaster is to act ahead of time to reduce the potential impacts. Our business continuity plan identifies a number of such mitigation actions.

We call them ACTION ITEMS.

Some of these Action Items may be doable now. Others may require additional resources. Still others may be within the purview of another unit, or of the campus as a whole. Taken together, these Action Items are the most important outcome of business continuity planning – a “To Do List” for disaster readiness.

The list of Action Items may not fully apply to your unit. Please address Action Items which apply and use the items noted below to identify Action Items and process for addressing open items.

**Action Item**

1. Develop plan for alternate space (see Relocation Considerations, below)
2. Consider a strategy for alternate channel delivery of courses– If applicable
3. Develop strategy for secure storage of non-electronic materials
	* This section is asking you whether you have contracted an off-site document storage provider. If you have not done so and you maintain documents which are sensitive and/or critical, you may want to start identifying resources for off-site storage.
4. Do periodic trial recoveries of servers/applications
	* We are asking if you are already conducting trial recoveries of all your servers and applications. If you are not already doing so, please develop a plan to begin conducting trial recoveries.
5. Have your department IT manager(s) discuss work-from-home issues –
	* If you haven’t already done so, work with your IT manager/department to develop a strategy which allows your staff to work from home. You may want to consider allowing employees one day per month or quarter that they can VPN from home. This will build capacity for your organization should a disruptive event impact the university. This section is asking you to develop the strategy and think about how you may implementing any future policies/programs.
6. Ensure that your network allows authorized users to connect remotely
	* Ensure that key network users have been trained and that remote hardware has been configured for remote access
7. Consider making mutual arrangements with other units, schools, research centers to borrow technical staff if needed during a recovery
8. List all critical functions and develop plan to cross train
9. Cross train 2 staff members to process your unit’s identified key functions (these may be shared between 2 units)
10. Cross train 2 staff members to do departmental purchasing (these may be shared between 2 units)
11. Investigate if current purchasing procedures have restrictions/limits and list any limits
	* Identify if your purchasing credit card has a daily spending limit or if you have any other spending restrictions. Identifying these limits/restrictions ahead of time may prove crucial at time of crisis.
12. Confirm 2 alternative purchasing mechanisms
	* In the event local vendors are impacted by a city-wide or regional event, your unit may wish to identify vendors who operate outside of the impacted area.
13. Develop a fund for emergencies
	* This ties in with any restrictions you may have with purchasing: do you have a ready source of cash? What steps would be required to access funds? Can these be arranged for ahead of time?

# RELOCATION CONSIDERATIONS:

***INSTRUCTIONS:*** *You must determine what your work unit will need in terms of space, equipment, and infrastructure to continue operation of essential functions. Identify the requirements for the alternate location by work unit. An alternate facility is a location, other than the normal facility, used to carry out essential functions in the event of BCP activation. Requirements include personnel, back-up power, communications and space requirements.*

Begin by identifying the work site needs within your work unit in order to perform identified Tier I and II functions. In the event that the organization has to move to an alternate facility, there are additional needs of staff operating at the facility that must be met.

* Record the number of essential staff that would be required to perform identified essential functions in the event physical relocation is needed.
* List the furniture and office equipment that are needed.
* Identify what type of power supply is needed to carry out the identified essential functions.
* Identify communications needs such as land lines, cell phones, satellite dish, two-way radios, tape recorders, network access, and internet access.
* Estimate the floor space needed to accommodate the staff. This can be listed as square footage or as space for a specified number of people.
* Indicate what security requirements may be necessary for potential alternate facilities. This may include security access and/or secure storage, etc.
* Indicate any special considerations or needs to be taken into account for relocation. This may include wheelchair access, transportation considerations as well as food and lodging.

There is no guarantee that there will be alternate work site available. This will help prioritize operational relocation needs during a disruptive event.

*If a disruptive event renders facilities uninhabitable, the work unit must have alternate space options or telecommuting capabilities to perform essential functions. For the essential function listed, the work unit, in consultation with staff who do the work, should determine: (a) whether the work can be done manually or whether a power supply is needed and, if so, what type of power and how many outlets; (b) what types of equipment are needed such as desks, chairs, computers, tape recorders, copy and fax machines; c) the number and types of communication devices such as land line and cell phones, two-way radios and whether network or internet access is needed; and, d) the approximate square footage to accommodate the number of staff needed to perform the functions, and whether security access is required.*

# VITAL RECORDS

***INSTRUCTIONS:*** *A successful BCP also provides for the identification, protection, and ready availability of electronic hardcopy documents, references, records, and information systems needed to support each essential function under any type of emergency. Vital records are records, files, documents or databases, which, if damaged or destroyed, would cause considerable inconvenience or require replacement or re-creation at considerable expense. For legal, regulatory or operational reasons these records cannot be lost or damaged without materially impairing the organization’s ability to conduct operations. It is necessary that personnel need to have access to and be able to use these records and systems in conducting essential function activities.*

In this section, determine the records necessary for emergency operations and/or recovery or the continuation of the identified function for up to 30 days.

* List the vital records needed to support the operation of the essential function for at least 30 days. *Do not include records that may be useful but are not essential to performing this function.*
* Provide a brief description of each record and how it pertains to the essential function. Describe the form (paper, electronic, microfilm).
* List the current storage location for each record. *List current path if stored electronically*.
* Identify the current maintenance frequency for each vital record.
* Identify current protection methods.
* If necessary, please identify additional protection methods.

# VITAL EQUIPMENT AND SYSTEMS

***INSTRUCTIONS:*** *A system or piece of equipment is vital if it is required to perform emergency operations and/or to allow forthe University’s continuance of critical processes and services during a disruptive event for a minimum or 30 days. Business Continuity Planningfor vital systems and equipment proceeds in the same way as planning for vital records. The first step is to identify vital systems and equipment, and the second step is to select and arrange protection methods for vital systems and equipment. Many of the critical processes supporting unit functions include or consist entirely of IT systems or applications. For this reason, the IT component of any agency plays a vital role in Business Continuity Planning.*

* List the mission critical systems or equipment needed to support the operation of the utility for at least 30 days. Do not include systems or equipment that may be useful but are not essential to performing the service.
* Provide a brief description of each piece of equipment or system and how it pertains to the utility.
* Identify the location of the mission critical systems or equipment.
* Identify the current maintenance frequency for each vital record.
* Describe the current protection methods for these mission critical systems and equipment.
* Identify additional protection methods and/or equipment that can be called upon to restore or replace systems that are inoperable.

# MITIGATION STRATEGY

Identifying mitigation strategies within the unit is the most important step in Business Continuity Planning. One of the benefits of pre-planning is that it reveals potential risks and vulnerabilities. Once a risk has been identified through planning, applying a mitigating action can prevent adverse outcomes or reduce their severity and impact upon the unit or campus.

*INSTRUCTIONS:*

1. *Review the information entered into this BCP Template and list the department’s vulnerabilities that could be acted upon now to reduce the impact on operations.*
2. *Then list the mitigation strategy that would be effective in reducing the risk to your work unit.*
3. *What is the contingency plan for personnel related issues? (Identify work redesign and redeployment strategies to ensure this critical operation is able to continue.)*
4. *What is the contingency plan for building or system failures? (If this critical function would be adversely impacted by utility failure, loss of natural gas, water loss, and phone or internet disruption, identify how this would affect the operation and contingency plan in place to allow the critical function to continue.) For example, the unit may wish to stock up on critical supplies or develop contingency work-at-home procedures. Be sure to set a timeline to accomplish the mitigation action.*

PART THREE:

INFORMATION & STRATEGIES FOR OPERATING DURING A PROLONGED CRISIS

How to continue or resume our critical functions

##### **CRITICAL FUNCTIONS**

(Use the outline below for each identified critical function as identified in Part 1)

**Critical Function #1 (*please replicate this template for all additional critical functions as noted in Part 1*):**

* Description of this critical function:
* Section or unit that performs this function: (if applicable)
* Person(s) responsible:
* Upstream dependencies (units or systems whose failure-to-perform will affect us):
* Downstream dependencies (units or systems that will be affected by our failure-to-perform):
* Peak periods and/or Critical Timeframes: Comment on peak periods and/or timeframes
* Space: How to perform this function if the usual space is not available:
* Equipment: How to perform this function if the usual equipment is not available:
* Staff: How to perform this function if faculty/staff absenteeism averages 50% for two months (e.g. during pandemic flu):
* Unique skills: Are there any personnel with unique skills, knowledge, or files whose absence would create difficulty?
* Working at home: Can this critical function be performed with some (or all) staff working from home? What equipment, supplies, and arrangements would be needed?
* Data networks: How to perform this function if computer networks are not available:
* Show Stoppers (resources that cannot be replaced, substituted, or done without):
* Campus closure: If campus closure were declared, would it be POSSIBLE to stop doing this critical function for a month or two?
* Risks generated by using alternate procedures:
* Policy exceptions needed for alternate procedures (& who can grant these exceptions):
* Recovery Time Objective: when must this function restart, to enable the campus to meet its 30-day goal for restarting teaching and research?
* Recovery Point Objective: how far back in time can transactions and data associated with this function be restored to avoid unacceptable loss.
* Vital Records for restarting this function: Where are they located and how can copies be obtained?
* Consequences of failure to re-start this function

|  |  |  |
| --- | --- | --- |
| ***Possible Harmful Consequence*** | ***Time following crisis when this consequence become critical*** | ***Comments*** |
| **0-2** **days** | **1****week** | **2** **weeks** | **3** **weeks** | **4** **weeks** | **>4** **weeks** |
| ***Disruption of teaching***  |  |  |  |  |  |  |  |
| ***Disruption of research*** |  |  |  |  |  |  |  |
| ***Loss of faculty*** |  |  |  |  |  |  |  |
| ***Loss of staff*** |  |  |  |  |  |  |  |
| ***Loss of students*** |  |  |  |  |  |  |  |
| ***Well-being of faculty/staff*** |  |  |  |  |  |  |  |
| ***Well-being of students*** |  |  |  |  |  |  |  |
| ***Payment deadlines unmet by unit*** |  |  |  |  |  |  |  |
| ***Loss of revenue to campus*** |  |  |  |  |  |  |  |
| ***Legal obligations unmet by campus*** |  |  |  |  |  |  |  |
| ***Legal harm to university*** |  |  |  |  |  |  |  |
| ***Impact on other campus unit(s)*** |  |  |  |  |  |  |  |
| ***Impact on other important business partner(s)*** |  |  |  |  |  |  |  |
| ***Other*** |  |  |  |  |  |  |  |

# INFORMATION TECHNOLOGY

### Recovery Details for Applications:

*(Use the outline below for each identified application)*

**For each application:**

* **Name of Application**
* **Type of application:**
* **Functional owners:**
* **Technical expert:**
* **Person responsible for recovery:**
* **Is this a database application?**
* **Does this application move data to or from core campus systems?**
* **If so, what systems?**
* **Departments impacted by failure of this application:**
* **Peak periods and/or Critical Timeframes:** Comment on peak periods and/or timeframes
* **Recovery Time Objective:** when must this application restart, to enable the campus to meet its 30-day goal for restarting teaching and research?
* **Recovery Point Objective:** how far back in time can systems and data be restored to avoid unacceptable data loss.
* **Backup medium:**
* **Backup auto or manual?**
* **Online storage at:**
* **Offsite storage at:**
* **Installation disks and documentation located:**
* **Successful recovery ever conducted? When?**
* **Comments:**

### Recovery Details for Servers:

(Use the outline below for each identified application)

**For each server:**

* **Name of server:**
* **Type:**
* **Server Software:**
* **Technical Expert:**
* **Person responsible for recovery:**
* **Applications impacted by failure of this server:**
* **Departments impacted by failure of this server:**
* **Peak periods and/or Critical Timeframes:** Comment on peak periods and/or timeframes
* **Recovery Time Objective:** when must this function restart, to enable the campus to meet its 30-day goal for restarting teaching and research?
* **Recovery Point Objective:** how far back in time can systems and data be restored to avoid unacceptable data loss.
* **Backup frequency:**
* **Backup media:**
* **Backup auto or manual:**
* **Onsite storage at:**
* **Offsite storage at:**
* **Offsite storage frequency:**
* **Installation disks and documentation located:**
* **Successful recovery been done – when?**
* **Comments:**

### Backup of Workstations:

* Computer users (faculty/staff/students) in this unit backup workstations as follows:

|  |  |  |
| --- | --- | --- |
| ***Backup Method*** | ***Percent of users who use this method*** | ***Comment*** |
| ***User files are stored on departmental server***  |  |  |
| ***Backup by U OF T IT*** |  |  |
| ***Local backup of workstation by user (automatic)*** |  |  |
| ***Local backup of workstation (manual)*** |  |  |
| ***No backup*** |  |  |
| ***Don’t know*** |  |  |

* **Workstation support is performed by: (comments)**

### IT Strategies:

* **Purchasing:** How to purchase new hardware quickly:
* **Disks and documentation:** Location of software and related documentation
* **Special environmental needs for IT equipment:**
* **Technical staff:** Will your technical support staff be adequate during a disruptive event?
* **Obstacles:** Potential obstacles that could hinder quick re-establishment of critical IT services:
* **Work from home:** IT strategies that will enable & support users to work from home:
* **Systems that lack workarounds:** Systems or applications that could NOT be replaced temporarily by ‘workarounds’:

# UNIT PREPAREDNESS

**Unit plan to promote preparedness:**

### Plan Distribution Policy:

**(*insert policy here)***

# COMMUNICATION PLAN

### Unit Communication Procedure:

*All units should maintain call trees to contact employees in a disruptive event. The Primary Callers will be contacted by their Executive Team Leader to disseminate information. Each Primary Caller will then make personal contact with each assigned member of the unit on the list and share a scripted message regarding the emergency. All employees are responsible for staying informed of emergencies by monitoring news media reports and U of T’s homepage.*

**STAFF CALL TREE – INITIATOR**

**INSTRUCTIONS:** List all of the people in the work unit and all available methods of contacting them in case of a disruptive event. Keep this up to date. Each employee should have a copy of the list in their office, in their vehicle and at home.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| ***CALL TREE CALLER*** | ***NAME*** | ***POSITION*** | ***EMAIL*** | ***OFFICE PHONE*** | ***24/7 PHONE*** |
| ***PRIMARY CALLER*** |  |  |  |  |  |
| ***ALTERNATE CALLER*** |  |  |  |  |  |
| ***SECOND ALTERNATE*** |  |  |  |  |  |

##### **UNIT CALL LIST**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| ***NAME*** | ***POSITION*** | ***EMAIL*** | ***OFFICE PHONE*** | ***24/7 PHONE*** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

### Disaster Recovery/Business Continuity Assessment Teams:

* **Core Disaster Recovery/Business Continuity Team:** (oversee the overall disaster recovery and business continuity efforts)

**List Staff Assigned and their Roles and Responsibilities:**

* **Damage Assessment Team:** determine the extent of damage and salvageable items

**List Staff Assigned and their Roles and Responsibilities:**

* **Continuity/Resumption Team: (carry out alternate business continuity activities during an outage)**

**List Staff Assigned and their Roles and Responsibilities:**

* **Other Teams:** (ie Emergency Response Team, Recovery Team, Restoration Team, etc)

### Action Items:

* **Do the previous sections of this plan (3A Critical Functions and 3B IT) contain action items related to the preparedness of individual staff/faculty/students? If so, list:**
* **Comments:**
* **Are there any other action items you would like to add?**

##### **KEY PEOPLE & RESOURCES**

### Communication Resources:

|  |  |
| --- | --- |
| ***Resource:*** | ***Emergency home contact list*** |
| **Question:** | **Who keeps printed copies?** |
| **Who:** | **All staff** |
| **Location:** |  |
| **Comment:** |  |
| **Description:** | **Staff emergency contact list** |

|  |  |
| --- | --- |
| ***Resource:*** | ***Emergency home contact list (faculty)*** |
| **Question:** | **Who keeps printed copies?** |
| **Who:** | **All faculty** |
| **Location:** |  |
| **Comment:** |  |
| **Description:** | **Faculty list** |

|  |  |
| --- | --- |
| ***Resource:*** | ***Emergency home contact list (all)*** |
| **Question:** | **Who maintains it?** |
| **Who:** |  |
| **Location:** | **Where is it maintained and stored?** |
| **Comment:** | **How often?** |
| **Additional Info:** |  |

|  |  |
| --- | --- |
| ***Resource:*** | ***Important email lists*** |
| **Question:** | **Who holds these?** |
| **Who:** |  |
| **Location:** |  |
| **Comment:** |  |
| **Additional Info:** |  |

|  |  |
| --- | --- |
| ***Resource:*** | ***List of students (if applicable)*** |
| **Question:** | **Who holds these?** |
| **Who:** |  |
| **Location:** |  |
| **Comment:** |  |
| **Additional Info:** | **Student roster** |

|  |  |
| --- | --- |
| ***Resource:*** | ***System accounts shared by several people*** |
| **Question:** | **What are these and who knows them?** |
| **Who:** |  |
| **Location:** |  |
| **Comment:** |  |
| **Additional Info:** | **List all shared passwords** |

|  |  |
| --- | --- |
| ***Resource:*** | ***Accounts used by employees*** |
| **Question:** | **What are these and who knows them in case staff is not available?** |
| **Who:** |  |
| **Location:** |  |
| **Comment:** |  |
| **Additional Info:** |  |

|  |  |
| --- | --- |
| ***Resource:*** | ***Recorded messages on phone lines*** |
| **Question:** | **Who has access and knowledge to record/change these?** |
| **Who:** |  |
| **Location:** |  |
| **Comment:** | **How many lines?** |
| **Additional Info:** |  |

|  |  |
| --- | --- |
| ***Resource:*** | ***Message posted on departmental web site (s)*** |
| **Question:** | **Who has access and skills to post these?** |
| **Who:** |  |
| **Location:** |  |
| **Comment:** |  |
| **Additional Info:** |  |

|  |  |
| --- | --- |
| ***Resource:*** | ***Text-messaging*** |
| **Question:** | **Which staff have text messaging on phones?** |
| **Who:** |  |
| **Location:** |  |
| **Comment:** |  |
| **Additional Info:** |  |

|  |  |
| --- | --- |
| ***Resource:*** | ***Other communications tools*** |
| **Question:** | **What is available?** |
| **Who:** |  |
| **Location:** |  |
| **Comment:** |  |
| **Additional Info:** |  |

### Working from Home:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Name** | **Position** | **Home computer adequate?** | **Broadband Connection?** | **Currently uses campus fileservers from home?** | **Currently uses campus enterprise applications from home?** | **Comment** |
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### Critical or Key Staff: (*copy and paste additional table for each key staff member)*

|  |  |
| --- | --- |
| **Name:** |  |
| **Title or Function:** |  |
| **Special Skill:** |  |
| **How far from campus:** |  |
| **Car:** |  |
| **License Plate:** |  |
| **Email (U of T):** |  |
| **Email (Alternate):** |  |
| **Work Phone:** |  |
| **Cell Phone:** |  |
| **Home Phone:** |  |

### Key Staff of Other Campus Units: (*copy and paste additional table for each staff member or unit*)

|  |  |
| --- | --- |
| **Name:** |  |
| **Department:** |  |
| **Work Address:** |  |
| **Work Phone:** |  |
| **Work Cell:** |  |
| **Cell Phone:** |  |
| **Home Phone:** |  |
| **Fax:** |  |
| **Email (U OF T):** |  |
| **Email (Alternate):** |  |
| **Comment:** |  |

### Key EXTERNAL Partners: (copy and paste additional table for each partner)

|  |  |
| --- | --- |
| **Name:** |  |
| **Organization:** |  |
| **Work Address:** |  |
| **Work Cell Phone:** |  |
| **Fax:** |  |
| **Email:** |  |
| **Comment:** |  |

### Key Vendors: (copy and paste additional table for each partner)

|  |  |
| --- | --- |
| **Name:** |  |
| **Organization:** |  |
| **Work Address:** |  |
| **Work Cell:** |  |
| **Fax:** |  |
| **Email:** |  |
| **Comment:** |  |
| **Alternate Vendor (s):** |  |

### Key Others: donors, stakeholders, clients, customers

**(COPY AND PASTE ADDITIONAL TABLE FOR EACH PARTNER)**

|  |  |
| --- | --- |
| **Name:** |  |
| **Organization:** |  |
| **Address:** |  |
| **Cell:** |  |
| **Fax:** |  |
| **Email:** |  |
| **Comment:** |  |
| **Affiliation:** |  |

### Office & IT Equipment:

**In order to reestablish \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (department) to a functioning level, we would need at a minimum:**

**\_\_\_\_ computers with appropriate software**

**\_\_\_\_ monitors**

**\_\_\_\_ workstations (desks, chairs, and other desk paraphernalia and supplies)**

**\_\_\_\_ tables**

**\_\_\_\_ filing cabinets**

**\_\_\_\_ telephones**

**\_\_\_\_ network connections**

**\_\_\_\_ image scanner**

**\_\_\_\_ office printers**

**\_\_\_\_ combination photocopier and fax machine**

**\_\_\_\_ (other please specify) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

### Operating Requirements:

* **Layout needed for working**

**(Common workspace, individual offices, etc)**

* **Desks and table space Details**

**(Number of desks, tables, office equipment)**

* **Telephones Details**

**(Type, U of T numbers, Location)**

* **Computer Configuration Requirements**

### Other Equipment:

**(if applicable)**

### Supplies:

**(if applicable)**

* **Identify inventory strategy and what types of office supplies will be required for your unit to operate**
* **Do you have a 2 week inventory?**
* **What is your plan after a disruption?**

### Facilities:

**(special space or facilities needed i.e. loading dock or bulk/heavy equipment for your operations)**

##### **TESTING**

**(Insert proposed testing schedule)**

# APPENDIX A: ESSENTIAL FUNCTION(S) WORKSHEET

**ESSENTIAL FUNCTION I:**

|  |  |  |  |
| --- | --- | --- | --- |
| **FORM COMPLETED BY:** |  |  |  |
| **NAME** | **TITLE** | **DATE** |

**RECOVERY TIME OBJECTIVE: Tier I or Tier II (circle one) Hours:**

**# OF PERSONNEL REQUIRED:**

**Provide the total number of staff needed to perform the function**

**PEAK TIME:**

**Indicate the peak times of year and/or peak day(s) of the week and/or peak time of the day, if any for this essential function or its associated applications.**

## CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **PROCESS** | **PRIMARY EMPLOYEE** | **SECONDARY EMPLOYEE** | **TERTIARY EMPLOYEE** | **CAN THIS PROCESS BE COMPLETED REMOTELY? (I.E. WORK FROM HOME)(If yes, how long can the process be sustained remotely?)** |
|  |  |  |  | **Yes or No** |
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## INTERNAL DEPENDENCIES ON U OF T WORK UNITS

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **U OF T SERVICE OR PRODUCT** | **U OF T PROVIDER** | **CONTACT** | **TITLE** | **CAMPUS PHONE** |
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## OUTSIDE VENDORS AND SERVICE PROVIDERS

|  |
| --- |
|  |
| **SERVICE/PRODUCT** |  | **PHONE** | **24/7 PHONE** | **ALT CONTACT** |
| **1ST PROVIDER** |  |  |  |  |
| **2ND PROVIDER** |  |  |  |  |
|  |
| **SERVICE/PRODUCT** |  | **PHONE** | **24/7 PHONE** | **ALT CONTACT** |
| **1ST PROVIDER** |  |  |  |  |
| **2ND PROVIDER** |  |  |  |  |
|  |
| **SERVICE/PRODUCT** |  | **PHONE** | **24/7 PHONE** | **ALT CONTACT** |
| **1ST PROVIDER** |  |  |  |  |
| **2ND PROVIDER** |  |  |  |  |
|  |
| **SERVICE/PRODUCT** |  | **PHONE** | **24/7 PHONE** | **ALT CONTACT** |
| **1ST PROVIDER** |  |  |  |  |
| **2ND PROVIDER** |  |  |  |  |
|  |
| **SERVICE/PRODUCT** |  | **PHONE** | **24/7 PHONE** | **ALT CONTACT** |
| **1ST PROVIDER** |  |  |  |  |
| **2ND PROVIDER** |  |  |  |  |

## KEY INTERNAL DEPARTMENTS THAT RELY ON SERVICES

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **DEPARTMENT(S)** | **SERVICE(S)** | **PHONE** | **24/7 PHONE** | **ALT CONTACT** |
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## KEY EXTERNAL CUSTOMERS THAT RELY ON U OF T FOR SERVICES

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **CUSTOMER(S)** | **SERVICE(S)** | **PHONE** | **24/7 PHONE** | **ALT CONTACT** |
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## VITAL RECORDS

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **RECORD NAME AND DESCRIPTION** | **STORAGE LOCATION** | **MAINTENANCE FREQUENCY** | **PROTECTION METHOD** | **OTHER INFORMATION** |
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## EQUIPMENT AND SYSTEMS

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| --- | --- | --- | --- | --- |
| **NAME AND DESCRIPTION** | **STORAGE LOCATION** | **MAINTENANCE FREQUENCY** | **PROTECTION METHOD** | **OTHER INFORMATION** |
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## MITIGATION STRATEGY

|  |  |  |
| --- | --- | --- |
| **VULNERABILITY** | **MITIGATION STRATEGY** | **MITIGATION TIMELINE** |
|  | **TARGET DATE** | **COMPLETION DATE** |
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