**BCP Instruction & Planning Form**

**Introduction**

Use this planning form to gather information for your continuity plan. The questions in this document are the same questions that are displayed in the online tool. You can gather information from your colleagues over the phone or in person (when appropriate) or provide the questions electronically to department members for input. Return to the online tool to enter the responses you have collected.

Feel free to edit and revise the document as needed. You may wish to break this into several separate documents or remove sections. Questions marked with a double asterisk \*\* in this document refer to areas in the tool that contain custom content (pick lists in drop down boxes) for the University.

**Plan Details**

**Department Information**

* **Department description:** Provide a very brief description so that anyone picking up the plan will understand the department’s purpose.
* **\*\*Major division:** from the onscreen drop-down list, select the division to which this department reports.
* **Number of personnel:** (headcount, approximation is OK)

Faculty and other academic appointees:

Residents/Fellows:

Staff (full-time):

Staff (part-time, excluding students):

Student-staff:

Volunteers:

Guests:

Other (explain below):

* **\*\* Type of Department:** From the onscreen drop-down list, please select the description that best fits this unit.
* **\*\* Location(s) occupied:** Fromthe onscreen drop-down list, select the building(s) that your unit occupies. Please indicate all space used, including storage space. Use the comments field to give specific location you occupy within the building (i.e., 3rd floor, room 324).
* **Evacuation Plans:**  Do all your buildings have evacuation plans? Select one:

Yes

No
Some, not all
Do not know

*If evacuation plan(s) are available to upload to your online continuity plan. If an evacuation plan is not available, create an action item for the department as a reminder to complete a plan in the future*.

* **Cost Center:** List the FOAP for your department.
* **Comment or explanation:** Use this field to enhance any responses in this section, if needed.

**Action Items Summary**

User generated/created action items for follow up.

**Department Documents**

Documents uploaded centrally to as BCP help documents along with user created and uploaded documents.

**Manage Plan Access**

Manage access to your plan.

**Update Plan Status**

Update the status of your plan.

**Contacts**

**Instructions**

The left navigation in the Contacts section contains three categories of contacts: Department Contacts, Key Institution Contacts, and Key External Contacts. It is important to collect all contact information requested.

*A spreadsheet with Department employees by Division can found under your department documents tab.*

**Department Contacts**

*Add contact information for key staff members within the department*. It is important to capture all information requested, including alternate contact information, so that staff can be reached, even if they are off campus.

* First name
* Last name
* Title or function
* Phone
* Alternate phone
* Office email
* Alternate email
* Any special skills
* Successorship (chain of employees who can make financial & administrative decisions for department)

*If this is a large department, an Excel or Word Document with all contact information can be attached in the Key Resource section of your plan. You can also do this for large numbers of Key Institution Contacts and Key External Contacts as appropriate.*

**Key Institution Contacts**

Add contact information for people outside of the department but within the institution that may need to be contacted to assist the department during an emergency (i.e., HR may need to contact legal for advice). It is important to capture all information requested. If this list is extensive, a document with all institutional contacts and contact information can be attached in the Key Resource section

* First name
* Last name
* Email
* Alternate email
* Dept/organization
* Address
* Title
* Work phone
* Mobile phone
* Fax

**Key External Contacts**

Add contact information for any external party that you may need to contact during an emergency. These include vendors, grantors / donors, partners, sponsors, etc. It is important to capture all information requested.

* Company or organization
* Contact first name
* Contact last name
* Email
* Address
* Work phone
* Mobile phone
* Fax
* Type of external contact
* Products or services provides
* Alternate vendors if primary vendor is experiencing an outage (where appropriate)

**Critical Functions**

**Instructions**

To add a critical function and to view the left navigation detail containing the following, click the **+Add Critical Function** link in the plan navigation to add a function. Fill out one copy of this section for EACH of your department’s Critical Functions. Do not agonize over these questions. Be brief, give the best answer, and move on. The critical function name should an actionable statement (includes a verb). Some examples include: Process Payroll, Maintain the Campus Grounds, Provide Training for…)

**Description**

* Description: Provide a brief description of this function.
* Name, section, or unit that performs the function, if applicable (leave blank if the department does not have multiple sections or units).
* Responsible person(s) (Give names unless this is a generic group.):

*Critical Functions included in your Emergency Operations/ Business Continuity Plan submitted last year can be found under your department documents tab.*

*Most departments will have 3-5 Critical Functions*

*A document with more detailed explanations of critical functions can be found under your department documents tab.*

**Levels of Criticality Defined**

**Critical**

Must be continued at normal or increased service load. Cannot pause. Necessary to life, health, security.

Examples: Maintain campus emergency web presence, police services, conduct hazardous waste materials response, etc.

Duration: Less than 4 hours and up to 8 hours.

**Priority**

Must be continued if possible, perhaps in reduced mode. Pausing completely will have grave consequences.

Examples: Provide back-up facilities our housing, functioning of data networks, deliver instruction, at risk research, maintain campus phone system, administer campus email system, conduct purchasing of campus goods or supplies, etc.

Duration: Less than 24 hours and up to 72 hours.

**Important**

May pause if forced to do so but stopping for a week may cause major disruption. Must resume in 30 days or sooner.

Examples: Research, payroll, course scheduling/room assignments, student advising, etc.

Duration: 4 to 7 days recovery as a target and up to 30 days maximum.

**Deferrable**

May pause; resume when conditions permit.

Examples: routine building maintenance, training, marketing, delivery of conferences or special events.

Duration: Greater than 30 days.

From the left navigation, complete the following for each individual critical function

**Peak Periods**

These are periods of high activity. Please indicate any months when you would expect there to be especially high activity involved in accomplishing this function. For example, this might be a peak workload period such as the annual fiscal closing for accounting functions. Identify as many months as needed. Explain if necessary. If this function has no peak periods, leave blank.

**Documents**

Here you can upload, or refer to a URL for, any documents that are very important to this function – whether they are individual documents (such as policy manuals) or sets of records (such as department files, research files, or vendor invoices). You can also reference a URL to link to a shared folder of documents.

|  |
| --- |
| **Name of document #1**:**Description** in your own words (brief):**Name of owner** (department, not a person):**Location where kept** (be specific):**Medium:** Select from paper, electronic (computer), microfiche, microfilm, more than one (explain), other (explain):**Principal contact person(s):****Any backup** or other loss protection measures? (be specific.):**Comment,** if needed: |

**\*\*Dependencies**

*Upstream Dependencies* are the departments (WITHIN the University) whose reduced functioning would seriously impair your own department's ability to perform this Critical Function.

*Downstream Dependencies* are the departments that would be seriously impacted if YOUR department could not perform this Critical Function.

* Consider who produces what you need (upstream) and who needs what you produce (downstream).
* Dependencies are primarily departments, although occasionally you might name a process (i.e., instruction) or a group of people (i.e., students).
* Please do not name IT systems as either upstream or downstream dependencies. IT systems are treated separately.
* Add comments to clarify selections.

**Consequences**
Suppose the critical function named on this form is not restarted quickly enough following a disaster. Indicate which of the “harmful consequences” might occur from the list below by entering Yes and explain if needed:

|  |  |  |
| --- | --- | --- |
| **Harmful Consequence** | **Might this occur?****(Enter Yes, if so)** | **If yes, explain**  |
| Disruption of teaching |  |  |
| Disruption of research |  |  |
| Disruption of patient care |  |  |
| Departure of faculty |  |  |
| Departure of staff |  |  |
| Departure of students |  |  |
| Well-being of faculty/staff |  |  |
| Well-being of students |  |  |
| Payment deadlines un-met |  |  |
| Loss of revenue |  |  |
| Legal obligations un-met  |  |  |
| Legal harm to the Institution |  |  |
| Impact on other unit(s) |  |  |
| Impact on important business partner(s) |  |  |
| Other (please explain): |  |  |

**How to Cope**
The following questions ask you to visualize the conditions that might prevail in the weeks or months following a disaster. You may be missing certain key resources such as your usual office space, some of your staff, power, network access, etc.

Please answer the questions below using one-to-several bullets or sentences each. Be brief. Give ideas, not detailed procedures.

Responses should be confirmed. For instance, if your response to your usual work space is not available is, “we would relocate to the Library, second floor back office”, be sure to confirm with the owner of that space that it will be made available to your department in the event of a disaster that displaces you from your normal work location. If the space is not confirmed, create an action item to close the gap.

**Space**

How would you carry out this critical function if your usual space is not available?

**Staff**

How would you carry out this critical function if, for a couple of months, your average absence rate of faculty and staff were 50%? This could easily be the case in a flu pandemic.

**Unique Skills**

Does the successful performance of the critical function require the skills or knowledge of any one particular staff member (or their files)? If so, how will you deal with their absence? Cross-train a co-worker in advance? Outsource? Some other strategy?

**Working at Home**

Visualize an environment of contagious illness. Suppose the Institution requested that as many faculty and staff as possible work from home for a month or two to minimize contagion. Can you perform this critical function with some (or all) staff working from home? What equipment, supplies, and arrangements would be needed?

**Network Access**

How would you carry out this critical function if the data network is not available?

**Showstoppers**

Is there any resource that is so important or irreplaceable that you CANNOT perform this function without it?

**Risk**

Will any of your above suggestions expose the Institution to risk? If so, can you suggest how to mitigate/control this risk?

**Policy Exceptions**

What policy exceptions might be needed to carry out your above suggestions? Who would have the authority to grant them?

**Additional Vulnerabilities**

Is there anything ELSE that could prevent you from continuing or restarting this function?

**Campus Closure**

Visualize that, during a flu pandemic, the Institution officially closes, with all operations (except non-stoppable activities) to cease for at least a month. Is it possible for your unit to simply cease doing this critical function?

* Yes
* No
* Comment?

**Action Items**

Action Items are designed for you to enter items that you will need to follow up with or complete over time. Think of it as your task list.

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

* Confirm alternate space will be available to our department if an emergency event occurs.
* Store enough MREs (Meals-Ready-To-Eat) to feed all resident students for 3 days.
* Discuss preparedness at one faculty meeting per semester.
* Develop a plan for secure storage of critical research materials.
* Cross-train staff to do department purchasing.

*Action items are ideas, not commitments. So, think outside the box and don’t feel constrained by resources. Some of your Action Items may need to be carried out by another unit. That is OK; the campus needs your ideas!*

A sample action item follows:

|  |
| --- |
| **Action Item #1: Description** |
| **Cost: (choose one)*** less than $100
* $100 - $1,000
* $1,000 - $10,000
* $10,000 - $100,00
* More than $100,000
* Don’t know

**Cost is: (choose one)*** one-time
* annual
* both one-time & annual
* other
 | **Carrying out this Action Item is within the scope of: (choose one)*** my unit itself
* my unit together with other units on campus
* my larger department, division or control unit
* the campus
* the multi-campus System (if any)
* other
* not sure

**Comment?** |

**Key Resources**

**Staff Basics**

**Work from Home**

Please list below the names of faculty and staff who could do at least part of their work from home. You may want to follow up later to answer several additional (on-screen) questions about each person.

|  |
| --- |
|  |

**Teams**

Are there teams that will be important to help your department cope with adverse events? If so, write down the names of teams & team members below (or collect names later).

|  |
| --- |
|  |

**Equipment and Supplies**
Aside from the usual office furniture and equipment, is there other equipment (or consumables) that you may need immediately after a disruptive event? Consider the minimum equipment & supplies that you may need to perform ALL the critical functions that you listed in Section 3.

List these items below.

|  |
| --- |
| **Equipment (major items only):** |
| **Unique Supplies (consumables):** |
| **Inventory Strategy:** In a severe pandemic, deliveries may slow or cease for a couple of months due to employee absences at every level of the supply chain. Do you need to adjust your inventory practices, or to stockpile more of any specific item? |

**Facilities and Transportation**

**Facilities:** List any special space or facilities needs that are IN ADDITION TO your office/classroom/lab needs. Be brief. Explain if necessary.

|  |
| --- |
|  |

**Utilities:** Please identify the utilities that are very important to the functioning of your specific department.

|  |
| --- |
|  |

**Transportation:** Please list any special transportation needs.

|  |
| --- |
|  |

**Other Resources:** Are there any OTHER resources you may need to continue/resume your critical functions? (Do not list funds. List staff ONLY IF you will need temporary staff - for recovery - in addition to your current staff.)

|  |
| --- |
|  |

**Information Technology**

|  |
| --- |
| The Information Technology section is designed to be to be completed on-screen with assistance by your ITS LSP. The LSP list can be found at the following link:<https://www.memphis.edu/umtech/desktop_services/ltsp.php>Also, several ITS questions are already pre-filled with central ITS solutions. |

 **Faculty Preparedness (Only complete as Appropriate)**

**Instructions:**

Individual faculty drive instruction and research. Readiness for disaster is a faculty issue as well as a staff issue. Please list here anything that your **department** can do to promote disaster-consciousness and disaster-readiness among your faculty. These are things that might be initiated by the department Chair or by the department’s chief staff person. Use an additional page if needed.

|  |
| --- |
| **Action Item #1:** |
| **Comment?** |

|  |
| --- |
| **Action Item #2:** |
| **Comment?** |

|  |
| --- |
| **Action Item #3:** |
| **Comment?** |

|  |
| --- |
| **Action Item #4:** |
| **Comment?** |