



Business Continuity Planning- Sections to Your Plan

Nine Sections to a Plan

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Profile

Department / Unit Description

We provide instruction and conduct ocean research.

Scope of Plan

Providing information on contingency plans for departments essential functions.

Department / Unit Director

Title	Name	Business Phone	Cell Phone	Email
Business Continuity Coordinator	Elizabeth Herrera	+1 909-869-4751		emmunguia@cpp.edu

Continuity Planner Contact

Title	Name	Business Phone	Cell Phone	Email
Business Continuity Coordinator	Elizabeth Herrera	+1 909-869-4751		emmunguia@cpp.edu

Personnel

Faculty	FT Employees	PT Employees	Interns	Student Employees
28	10	3	0	6
Contractors	Consultants	Temp Employees	Volunteers	Total Personnel
0	0	13	0	60

Department / Unit Staff

Name	Title	Type	Business Phone	Email
example@cpp.edu	Department Chair	Full-Time Employee Mandatory / Essential	+1 909-869-5215	example@cpp.edu
Elizabeth Herrera	Department Head	Department Head Mandatory / Essential	+1 909-868-8686	emmunguia@cpp.edu
example@cpp.edu	Office Coordinator	Full-Time Employee Mandatory / Essential	+1 909-555-6854	example@cpp.edu
example@cpp.edu	Professor	Full-Time Employee Mandatory / Essential	+1 909-869-8894	example@cpp.edu
example@cpp.edu	Shark Handler	Full-Time Employee Mandatory / Essential	+1 909-869-9898	example@cpp.edu

Leadership and Staff

Current Head of Department	Continuity Responsibilities
Elizabeth Herrera	Supports department head in activation of Business Continuity Plan and ensure essential functions are carried out within their recovery time objective.
Department Chair	

Activation Authority <i>(individual(s) who have the authority to activate this Plan.</i>	Department Chair
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Orders of Succession & Delegations of Authority:

Title	Department Head	
1st Successor	2nd Successor	3rd Successor
<i>Internal (within the Department / Unit)</i> example@cpp.edu, Office Coordinator	<i>Internal (within the Department / Unit)</i> example@cpp.edu, Professor	
Delegated Authorit(ies)		

Title	Office Coordinator	
1st Successor	2nd Successor	3rd Successor
<i>Internal (within the Department / Unit)</i> example@cpp.edu, Professor		
Delegated Authorit(ies)		

Other Delegated Authorit(ies):

Essential Contacts

Other [Institution] Department Contacts:

Contact in EM?	Title	Name	Department / Unit
Yes	Buyer	Joanna Johnston	
	Business Phone	After Hours Phone	Email
	+1 909-869-5455	+1 909-869-5485	joannaj@School.com

Non-[Institution] Contacts:

Contact in EM?	Agency / Business	Name	Title
Yes	Central Procurement	Joanna Johnston	Buyer
	Business Phone	After Hours Phone	Email
	+1 909-869-5455	+1 909-869-5485	joannaj@School.com

Essential Functions

Essential Function Name: Provide care of research animals		Calculated Criticality Score: 63% (Medium)						
Brief Description	The Ocean Sciences Department is responsible for the care of its research animals which are maintained in Bld.3 { Lab 16}							
Function Manager	Dr. David Dorian-Professor; Susan Brown-Office Coordinator	Function Participants						
Recovery Strategy: Reduced Workforce	David Dorian normally oversees this function. in his absence, Susan Brown has been cross trained to step in as a replacement. Additionally, written procedures titled "Care of Research Animals" are uploaded.							
Peak Period(s)	Yes - Monthly	January February March April May August September October November December	Care is not necessary in the month of June and July.					
Can be performed remotely?	Yes	Susan Brown is prepared to perform office functions pertaining to the care of research animals from home. She has established VPN access, which is tested on a quarterly basis. Care of the animals cannot be performed from home, so we would move the animals to Mt. Sac as agreed in our MOU for alternate space.						
Primary Role:	Business Operations	Impact Analysis	Unit Mission	Safety / Health	Regulatory	Financial	Reputational	
Duration:	8 to 24 hours	1 Day	Significant	No Impact	Minor	No Impact	Minor	
Institution Impact:	Impacts multiple departments / units	1 Week	Significant	No Impact	Moderate	Minor	Moderate	
Reference Document(s)		1 Month	Unknown	Moderate	Significant	Severe	Severe	
Other Possible Consequences:	<ul style="list-style-type: none"> • Disruption of research <ul style="list-style-type: none"> ◦ If animals are not cared for, this will interrupt research process. • Disruption of patient care <ul style="list-style-type: none"> ◦ Research is connected to patient care recovery. • Departure of faculty <ul style="list-style-type: none"> ◦ Lack of enrollments lead lack of funding for faculty. • Departure of students <ul style="list-style-type: none"> ◦ Lack of animals for research will lead to lack of enrollment into program. • Well-being of faculty/staff <ul style="list-style-type: none"> ◦ Faculty and staff will need to think of new ways to provide hands on experience. • Well-being of students <ul style="list-style-type: none"> ◦ Students might have to push back graduation times, due to lack to class related to research animals. • Legal obligations unmet <ul style="list-style-type: none"> ◦ Obligations to Grantors • Impact on important business partners <ul style="list-style-type: none"> ◦ We have several corporate research partners. 	Operational Impacts in Financial Terms:			<ul style="list-style-type: none"> • Potential could loose 1.6 Million in Grant Funding 			

Essential Function Name: Provide instruction to students		Calculated Criticality Score: 41% (Low)					
Brief Description	Undergraduate and graduate instruction including staff support of faculty.						
Function Manager	Faculty Instructors & Graduate Student Instructors	Function Participants					
Recovery Strategy: Reduced Workforce	Staff: We have pre-prioritized staff work and will share tasks among those who are at work. Faculty: In some cases, graduate student instructors will be reassigned to high-priority courses. The Department Chair maintains a list of these courses, as well as the contact information for the qualified graduate student instructors. For the renaming courses, temporary lectures will be borrowed from other Universities. We have an MOU with Mt. Sac for temporary lectures, as they also have an Ocean Sciences Program. Please see this MOU in the Documents.						
Peak Period(s)	Yes - Annually						No peak periods as instruction occurs year-round.
Can be performed remotely?	Yes	Staff will work from home and will connect to the campus' VPN. Staff save their files to the shared drive, so that they can access the files from home through the VPN. Their VPN connections have already been established and tested. All faculty can access VPN and Canvas. Additionally, some faculty can work from home using podcast technology.					
Primary Role:	Teaching	Impact Analysis	Unit Mission	Safety / Health	Regulatory	Financial	Reputational
Duration:	> 1 month	1 Day	No Impact	No Impact	No Impact	No Impact	No Impact
Institution Impact:	Impacts multiple departments / units	1 Week	Minor	No Impact	No Impact	Minor	Minor
Reference Document(s)		1 Month	Significant	No Impact	Moderate	Moderate	Moderate
Other Possible Consequences:	<ul style="list-style-type: none"> • Disruption of teaching <ul style="list-style-type: none"> • Depending on the emergency, this can last for a long time for hands on classes and labs. • Disruption of research <ul style="list-style-type: none"> • Students are apart of some of the research process. This will interrupt research. • Departure of faculty <ul style="list-style-type: none"> • Lack of enrollments lead lack of funding for faculty. • Departure of staff <ul style="list-style-type: none"> • Lack of enrollments can lead to lack of funding for staff. • Departure of students <ul style="list-style-type: none"> • Depending on student time lines, they can transfer to another university to graduate on time. • Well-being of faculty/staff <ul style="list-style-type: none"> • Faculty and staff will need to think of new ways to provide hands on experience. • Well-being of students 	Operational Impacts in Financial Terms:		<ul style="list-style-type: none"> • Possible loss of grant funding. Lost tuition if graduate students leave. 			



Continuity of Research

Plan / Procedures

Non-Structural Hazard Mitigation Measures



Continuity of Care

Plan / Procedures

Continuity of Instruction

Plan / Procedures

Which elements of your course(s) can be supplemented using online content?			
Could you record and share lectures for your students?		Can you adapt to an asynchronous vs synchronous method of instruction?	
Which course activities can be translated to online?			
What is the minimum adaption you need to continue instruction?			

Technology Requirements

Key Resources refers to information systems and applications, including sensitive data, needed to support the essential functions during a continuity event. Key Resources are mission critical applications that must be operational to maintain continuous business operations.

Required IT Applications for Essential Functions and/or Department / Unit Mission:

Owner	Application	Related Essential Function(s)	Peak Period(s)	Unit RTO	Workaround
Central	Bronco Direct	Provide care of research animals Provide instruction to students		> 1 Week	Need to speak with management team to think of pivot. Max Time for Workaround:

Required IT Services for Essential Functions and/or Department / Unit Mission:

Type of Service	Related Essential Function(s)	Peak Period(s)	Unit RTO	Unit RPO	Workaround
Office 365 (Email, Word, Excel, PowerPoint)	Provide care of research animals Provide instruction to students		0 - 4 Hours	0 Hours	Need to speak with management to think of alternative ways to communicate. Max Time for Workaround:

Required External Websites / Services for Essential Functions and/or Department / Unit Mission:

Name (URL)	Owner	Related Essential Function(s)	Peak Period(s)	Unit RTO	Workaround
()		Provide care of research animals Provide instruction to students		0 - 4 Hours	Need to speak with management to think of alternative ways to communicate. Max Time for Workaround:

Essential Resources

Essential Resources are necessary to continue the essential functions identified in this continuity plan. These include specialized equipment and specialized supplies that department relies to complete this essential functions.

Specialized Equipment & Supplies:

Type	Item	Related Essential Function(s)	Stored Location(s)	Vendor(s) / Supplier(s)
Equipment	Workstation	Provide care of research animals Provide instruction to students	3801 West Temple Avenue	
Equipment	Laptop Computer	Provide care of research animals Provide instruction to students	3801 West Temple Avenue	
Equipment	Telephone (hard-wired)	Provide care of research animals Provide instruction to students	3801 West Temple Avenue	
Equipment	Printer	Provide care of research animals Provide instruction to students	3101 West Temple Avenue	
Supply	paper	Provide care of research animals Provide instruction to students	3101 West Temple Avenue	
Supply	disposable cameras	Provide care of research animals Provide instruction to students	3101 West Temple Avenue	
Equipment	Pick-up Truck	Provide care of research animals Provide instruction to students	3101 West Temple Avenue	

Vendors:

Business / Company	Type	Website / Email	Contact Name / Title	Phone Numbers
Staples	Retailer	https://www.staples.com/ ssmith@staples.com	Sarah Smith Account Representative	+1 800-546-2921

Interdependencies:

Upstream and Downstream dependencies are essential for business continuity. Understanding which departments are the most dependent upon operationally and which threats to those organizations could have the most significant impact on your department / unit.

Downstream Dependent:		Related Essential Function(s):	
Dependency Type:	Internal	Dependent Aware?	

How Dependent Impacts Unit:		How Dependent Affected by Unit:	
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Upstream Dependent:	Cal Poly Pomona Foundation	Related Essential Function(s):	
Dependency Type:	Internal	Dependent Aware?	Yes
How Dependent Impacts Unit:	We rely on allowable payment methods for the research animals. This includes feeding and transporting.	How Dependent Affected by Unit:	

Facility & Alternate Site Requirements

Related Essential Function(s)			
Currently Housed / Primary Location	On-Campus: College of Science ()		
Access	Room Number(s) & Floor(s)	Spaces Required	
Card Access, Open Access	Room 235/236/237 Floor 2	Classroom(s), Laborator(ies), Office(s), Storage Area(s)	
Recovery Strategy: Loss of Utilities	Labs need to be set at a set temperature. If temperature control would be lost and affect certain chemicals. This could lead to possible toxics released.		
Requirements / Description	N/A		
Emergency Action Plan (EAP)	(Last Updated: 2019-Feb-21)		
Building Coordinator	Elizabeth Herrera	Department / Unit Safety Representative	Elizabeth Herrera
Alternate Facility	Location TBD During / After Event	: ()	
Room Number(s) & Floor(s)		IT Equipment Requirements	
Required Square Footage	1200	Workstations	24
Special Facility Needs	N/A	Laptops	16
Required Specialized Equipment / Supplies	N/A	Telephones	4
Emergency Power Required	Need a generator to keep chemicals a certain temperature.	Printers	4
IT Equipment Comment(s) / Specifications		Servers	4

Related Essential Function(s)			
Currently Housed / Primary Location	On-Campus: Science Laboratory ()		
Access	Room Number(s) & Floor(s)	Spaces Required	
Card Access		Laborator(ies)	
Recovery Strategy: Loss of Utilities	Temperature control would be lost and affect certain chemicals. This could lead to possible toxics released.		
Requirements / Description	N/A		
Emergency Action Plan (EAP)	<i>(Last Updated: 2022-Jan-26)</i>		
Building Coordinator	Elizabeth Herrera	Department / Unit Safety Representative	Elizabeth Herrera
Alternate Facility	Location TBD During / After Event	: ()	
Room Number(s) & Floor(s)		IT Equipment Requirements	
Required Square Footage	600	Workstations	24
Special Facility Needs	Freezer located in laboratory.	Laptops	16
Required Specialized Equipment / Supplies	N/A	Telephones	4

Emergency Power Required	Need a generator to keep chemicals a certain temperature.	Printers	4
IT Equipment Comment(s) / Specifications		Servers	4

Activation:

Courses of Action	Details / Description / Steps	Position(s) Responsible
Authority to Activate BCP	Leadership determines when plan will be activated.	example@cpp.edu, Professor
Assessment of personnel and facilities after incident	If power outage happens in labs, first have to get all clear from EH&S since temperature control has been compromised.	example@cpp.edu, Office Coordinator
Notification for Personnel	Notification will be sent to CPP email, along with a phone call from Leadership.	example@cpp.edu, Department Chair
Communications for report times	This will be detailed in the original email drafted to staff.	example@cpp.edu, Shark Handler
Changes in Succession Determination	Follow the BCP as follows. Every staff member listed under succession should have a hard copy of the plan.	example@cpp.edu, Department Chair
Communication Methods	Email, Microsoft Teams, Telephone	example@cpp.edu, Shark Handler
Prioritization of Essential Functions	Based on percentage levels, along with health & safety concerns. Flowed by financial impact.	Elizabeth Herrera, Department Head example@cpp.edu, Office Coordinator example@cpp.edu, Department Chair example@cpp.edu, Professor example@cpp.edu, Shark Handler
Transpiration of resources to alternative/remote locations	Transporting research animals is the priority with the pick up truck on hand. First coordinate with Mt. SAC regarding MOU and see if additional transportation resources can be shared.	example@cpp.edu, Professor
Teleworking- Communication update to personnel	Personnel will receive updates via Microsoft Teams and via email.	example@cpp.edu, Office Coordinator example@cpp.edu, Department Chair
Notifications Sent to Essential Contacts and Vendors	Notifications will be done by leadership. Leadership will give a phone call to essential vendors.	example@cpp.edu, Office Coordinator example@cpp.edu, Professor

Demobilization:

Courses of Action	Details / Description / Steps	Position(s) Responsible
Determination of phasing down BCP	Leadership, along side with Emergency Management, will start the process of phasing down the business continuity plan.	example@cpp.edu, Office Coordinator
Re-assessment of personnel and facilities	Along side with facilities department, EH&S, and Risk, leadership will determine what needs to be replaced with damaged items.	example@cpp.edu, Department Chair example@cpp.edu, Professor example@cpp.edu, Shark Handler

Notification process of phase down to personnel	Notification will be sent to CPP email, along with a phone call from Leadership.	Elizabeth Herrera, Department Head example@cpp.edu, Department Chair
Incorporating new process into BCP	After demobilization, leadership will talk about strengths and weaknesses in the BCP. Make updated changes as necessary. Once these changes have been made meet with personnel to become familiar.	Elizabeth Herrera, Department Head example@cpp.edu, Office Coordinator example@cpp.edu, Department Chair example@cpp.edu, Professor example@cpp.edu, Shark Handler

Appendix: Attachments

Department / Unit Profile	
Essential Contacts	
Leadership & Staff	
Essential Functions	<u>Ocean Sciences Department - Sample Plan - June 22 2023 1 16 PM.pdf</u>
Essential Functions	<u>Ocean Sciences Department - Sample Plan - June 22 2023 1 16 PM.pdf</u>
Continuity of Research	
Continuity of Care	
Continuity of Instruction	
Technology Requirements	
Essential Resources	
Facility & Alternate Facility Requirements	
Activation & Demobilization	
Department / Unit Review & Approval	