UC Santa Barbara

Research Continuity Planning

**Introduction**

Thank you for taking part in the Mission Continuity Planning process. A Mission Continuity Plan will work to ensure our campus community can continue to operate, and can recover more effectually, in the case of a serious emergency or disaster.

Your Research Unit Mission Continuity Plan:

* Contains various information that will be needed during and after the disruptive event
* Identifies your Research Unit’s most essential tasks/functions
* Provides likely scenarios for you to anticipate how your Research Unit can prepare and carry out these tasks/functions under diminished resources

A Mission Continuity Plan centers on each unit’s **Essential Functions**. An Essential Function (EF) is a task or service that either must be continued through a disruption, or restored as soon as possible in order to continue the critical functioning of the Research Unit and the University as a whole.

This worksheet is designed to establish a basic understanding of your Research Unit’s continuity-critical functions. Once you have completed the following questions to the best of your ability, please provide a copy of the document to your Research Unit head, the Office of Research, and the campus Mission Continuity Specialist. It will serve as the basis of your Mission Continuity Plan, and may be updated and added to as needed in the future.

Essential Functions\*

\*Helpful tips for identifying Essential Functions:

1. Essential functions are your unit’s ordinary, day-to-day, critical functions – **not** your unit’s extraordinary, emergency response functions
2. Typically, each functional area of a unit has between two and four essential functions
3. Consider combining functions that use similar resources, have similar outputs and objectives, or are discrete steps of a larger process

Questions to consider:

* Is the function necessary to achieve your unit’s mission?
* Are other functions or campus unit’s dependent on this function for its successful completion?
* Are these services that your unit’s customers/clients depend on?
* Is there a potential for significant revenue loss if this function is not performed?
* Does the function fulfil a legal obligation?
* Does the function play a key role in maintaining the campus’s reputation?
* Does the function safeguard an irreplaceable asset?

**If you answered yes to three or more of these questions, then the function is likely one of your unit’s essential functions.**

**Research Unit:**

**Briefly name and describe your Research Unit’s Essential Functions**:

\*The Maximum Tolerable Downtime **(MTD)** is the maximum length of time this function can be down without intolerable consequences to the Campus. Choose from: **<1 day, 1 day, 1 week, 2 weeks, 4 weeks,** or **> 4 weeks**.

|  |  |  |
| --- | --- | --- |
| Essential Function Name/Title | Brief Description | Maximum Tolerable Downtime (MTD)\* |
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Strategies for Continuing to Function

**1.** If your Research Unit experiences a loss of the IT Network, which of the following will the Research Unit do to maintain the Essential Functions? (Indicate all that apply; please elaborate below.)

Keep local backups of key records

A strategy needs to be developed

Not applicable

Other strategy: ­­­­­­­­­­­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Reduce or prioritize services

Defer operations until network restored

Work from home

Work from other remote site

Use manual or paper workarounds

Details of the Loss of IT Network Plan:

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**2.** If for some reason your Research Unit experiences a loss of your normal workspace, which of the following will the Research Unit do? (Indicate all that apply; please elaborate below.)

Backup lab materials in remote location

Request grantor to approve project delay

Defer operations until space restored

A strategy needs to be developed

Not applicable

Other strategy: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Reduce or prioritize services

Work at home

Work at alternate site (on-campus)

Work at alternate site (off-campus)

Make advance agreement to share space

Backup vital records in remote location

Details of Loss of Normal Workplace Plan\*:

Details of the Loss of Normal Workspace Plan:

\*Please also indicate if your Research Unit has any existing agreements with other facilities for use as alternate workspaces in the event of a disruption, and with which facilities.

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**3.** If for some reason your Research Unit experiences a loss of key personnel, which of the following will the Research Unit do? (Indicate all that apply; please elaborate below.)

Ensure clear line of management authority

Reduce or prioritize services

Defer operations until staff available

Use overtime/comp time

Reassign staff

Borrow staff from other Research Units

Borrow staff from other UC locations

Use vendor personnel

Hire temporary staff

Standing contract with temp agency

Transfer workload to another facility

Cross-train staff in advance

Maintain good training materials

Ensure accessibility of files/systems

A strategy needs to be developed

Not applicable

Other strategy: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Details of the Loss of Key Personnel Plan:

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**4.** If for some reason your Research Unit experiences a loss of utilities, which of the following will the Research Unit do? (Indicate all that apply; please elaborate below.)

Backup generator available

Emergency lighting available

Emergency sanitation and hygiene supplies available

Relocate to alternate site

Temperature control backups available (space heater or portable A/C unit

Unit has potable water available

Unit has uninterruptible power supply units, allowing graceful shut down of critical computers and equipment

See loss of workplace strategy

A strategy needs to be developed

Not applicable

Other strategy: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Details of the Loss of Utilities Plan:

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**Important Resources**

**Essential staff/other contacts:**

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| --- | --- |
| Contact Name/Position | Why Essential |
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Final Notes:

Use this space to indicate any additional information deemed important to your Research Unit’s Continuity Plan under limited planning time.

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For any questions regarding the continuity planning process, please contact the Campus Mission Continuity Specialist:

Michael Brindle

Mission Continuity Specialist

Emergency Management and Mission Continuity

University of California, Santa Barbara

[michaelbrindle@ucsb.edu](mailto:michaelbrindle@ucsb.edu)

**Research Continuity Self-Assessment**

Use the following questions to evaluate the effects a disruption would have on your lab or research space. Disruptions could range from a building fire, to a sprinkler leak, hard drive crash, or loss of regular workforce due to sickness. What steps would you take to protect and sustain your research?

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| --- | --- | --- |
| **Topic** | **Question** | **Answer** |
| Communications | Do you have and distribute a contact list of all important people who might need to be in contact with each other after a disruption? | Yes  Partially/Somewhat  No  Don’t Know  Does not apply  Comments: |
| Backup of Research Data | Do you back up your important research and instructional documents & data in a different location so that they are retrievable in the event their primary location such as a server, office, or computer is destroyed? | Yes  Partially/Somewhat  No  Don’t Know  Does not apply  Comments: |
| Availability of resources used in research | Have you made arrangements to protect your research in the event normal service providers, materials, and/or utilities, are not available? For example, coping with the loss of refrigeration, loss of HVAC, etc. | Yes  Partially/Somewhat  No  Don’t Know  Does not apply  Comments: |
| Alternate Location | If a disaster forced your building to close for lengthy repairs, are you able to conduct at least part of your research from another remote location? This could include having a collaborator in a different region who can be a backup for you. | Yes  Partially/Somewhat  No  Don’t Know  Does not apply  Comments: |