Z - ALTITUDE RESEARCH (FICTION DEPT.)

Business Continuity Plan

Most recent update: November 12, 2008
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1. General Information

**Business unit:** Natural Sciences and Mathematics

**Number of personnel** (approximate headcount):

- 17 Faculty and other academic appointees
- 10 Staff (full-time)
- 2 Staff (part-time, excluding students)
- 16 Student-staff
- 18 Other

**Location(s):** Boettcher Center West, F.W. Olin Hall

**Any rented space?** Yes

**Location(s) of rented space?** Research facilities in Empire Building, 123 Main St., Leadville, Colorado

**Comment:** "Other" staff is the crew of the exploration lab -- 5 FTE plus 13 seasonal employees.

**Critical Functions performed by this unit** (functions that are essential to the conduct of DU’s teaching, research & public service activities during a major crisis):

- Classroom instruction
- Research
- Payroll
- Purchasing
- Donor Relations

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

**Functions judged to be non-critical:**

- Publish quarterly Mountain Research Journal
- Education tours for public in off-season

**Contact person(s) for this business continuity plan:** Scott Wiggans
2. Preparation Phase (pre-disaster)

"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 (mitigate) the potential impacts. Our business continuity plan identifies a number of such mitigative 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 province 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.

1. Do periodic trail-recoveries of servers/applications
   - **Supports critical function:** Information Technology
   - **Estimated cost:** $1,000 - $10,000
   - **Cost one-time or annual:** Annual
   - **Within whose scope:** My unit together with other units on campus
   - **Status:** In progress

2. Have department IT manager discuss work-from-home issues at faculty meeting
   - **Supports critical function:** Information Technology
   - **Estimated cost:** Less than $100
   - **Cost one-time or annual:** One-time
   - **Within whose scope:** My unit itself
   - **Status:** Completed

3. Make mutual arrangements with other departments to borrow technical staff if needed during recovery
   - **Supports critical function:** Information Technology
   - **Estimated cost:** Don't know
   - **Cost one-time or annual:**
   - **Within whose scope:** The campus
   - **Status:** In progress

4. Request faculty committee to develop strategy for secure storage of non-electronic research materials.
   - **Supports critical function:** Faculty Preparedness
   - **Estimated cost:**
   - **Cost one-time or annual:**
   - **Within whose scope:**
   - **Status:**

5. Develop plan for alternate space in case some classrooms are not usable
   - **Supports critical function:** Classroom instruction
   - **Estimated cost:** $100 - $1,000
   - **Cost one-time or annual:** One-time
   - **Within whose scope:** The campus
   - **Status:** In progress

6. Request faculty committee to develop strategy for alternate-channel delivery of courses (in case there is a temporary shortage of classrooms post-disaster)
   - **Supports critical function:** Classroom instruction
   - **Estimated cost:** $100 - $1,000
   - **Cost one-time or annual:** One-time
   - **Within whose scope:** My unit together with other units on campus
   - **Status:** Not yet begun

7. Cross train 2 staff-members to process dept. payroll and Banner transactions (serve as backup)
   - **Supports critical function:** Payroll
   - **Estimated cost:** Less than $100
   - **Cost one-time or annual:** Annual
   - **Within whose scope:** My unit itself
   - **Status:** In progress
8. Investigate whether P-card limits & restrictions can be lifted for recovery period

- Supports critical function: Purchasing
- Estimated cost: Less than $100
- Cost one-time or annual: One-time
- Within whose scope: My unit together with other units on campus
- Status: Completed

9. Obtain 2 additional P-cards

- Supports critical function: Purchasing
- Estimated cost: Less than $100
- Cost one-time or annual: One-time
- Within whose scope: My unit itself
- Status: Completed

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

- Supports 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
- Status: Needs further discussion

11. Develop a fund for emergency grants to faculty & graduate students to cover expenses of conducting research in alternate ways or at alternate locations.

- Supports critical function: Research
- Estimated cost: Don’t know
- Cost one-time or annual: Annual
- Within whose scope: The campus
- Status: Not yet begun

12. Develop a plan for alternate office space for faculty & graduate students in case normal office space is not usable.

- Supports critical function: Undergraduate Instruction
- Estimated cost: Less than $100
- Cost one-time or annual: One-time
- Within whose scope: My unit together with other units on campus
- Status: Not yet begun

13. Prioritize course list on Registrar’s web site each semester

- Supports critical function: Undergraduate Instruction
- Estimated cost: 
- Cost one-time or annual: 
- Within whose scope: 
- Status:
3. Information & Strategies for Operating During Crisis
   (how to continue or resume our critical functions)

A. Critical Functions
B. Information Technology
C. Faculty Preparedness
D. Key People & Resources
3-A. Critical Functions

1. **Classroom instruction**: Undergraduate & graduate instruction, including staff support of faculty.

   - **Section or unit that performs this function (if applicable)**: N/A
   - **Responsible person(s)**: Faculty instructors
   - **Graduate student instructors**
   - **Upstream dependencies (units or systems whose failure-to-perform will affect us)**: Registrar's Office (undergrad registration, course & classroom scheduling)
   - **Financial Aid office (undergrad financial aid)**
   - **Graduate Division Office (grad student registration & financial aid)**
   - **Facilities Management (space)**
   - **Media Services (classroom electronics)**
   - **Campus Bookstore (book ordering & sales)**
   - **Downstream dependencies (units or systems that will be affected by our failure-to-perform)**: Students
   - **Peak periods**: January, April, September
   - **start of quarters**
   - **Space - How to perform this function if the usual space is not available**: We will depend on the campus to handle space issues.
     - In the event that sufficient classroom space is not available, the Chair has provided to the Registrar (in advance of each quarter) a prioritization of courses for post-disaster resumption. Courses of lower priority for which classroom space is not available either will be held at an informal location chosen by the Faculty Instructor, or will be cancelled.
   - **Equipment - How to perform this function if the usual equipment is not available**: The equipment most necessary for classroom instruction are
     - textbooks
     - computers (faculty & student)
     - library materials.
     - Classes could begin in the absence of any one of these three, perhaps even two of the three. However, all three would be need to be available by the end of the first month of instruction. If the interruption were to occur partway through the quarter, functioning in the absence of any of the three would be more difficult.
   - **Staff - How to perform this function if faculty/staff absenteeism averages 50% for two months (e.g. during pandemic flu)**: --- 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. Temporary lecturers might also be obtained from the Rocky Mountain Institute. The Chair’s list of potential faculty recruits could also be a source of names.
   - **Unique skills - Personnel with unique skills, knowledge, or files whose absence would create difficulty**: Faculty. See above.
   - **Working at home - Can this critical function be performed with some (or all) staff working from home?**
     - Equipment, supplies, and arrangements that would be needed?: --- Staff can work from home if their computers are adequate & if they have broadband connections (cable, DSL). Some staff currently work from home. We use Windows Remote Desktop.
       - --- Some faculty could work from home using podcast technology. Most could not.
   - **Data networks - How to perform this function if computer networks are not available**: 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.
   - **Show Stoppers (resources that cannot be replaced, substituted, or done without)**: Most faculty
     - Most graduate student instructors.
   - **Campus closure - If campus closure were declared, would it be POSSIBLE to stop doing this critical function for a month or two?** Yes
   - **Comment**: Exception is if the Vail mountain pass or Eisenhower tunnel are inaccessible
   - **Risks generated by using alternate procedures**: Primary risk is that students would be unable to take desired courses.
   - **Policy exceptions needed for alternate procedures (& who can grant these exceptions)**: Changes in curriculum & academic calendar. Need approval by Dean, Executive Vice Chancellor, and Academic Senate.
   - **Timing - when must this function restart, to enable the campus to meet its 30-day goal for restarting teaching and research?**: 30 days post-disaster (simultaneous with teaching/research)
• Additional vulnerabilities (other things that could prevent continuing this function, or restarting it on time):
  None that we can think of.

• Records that will be vital for restarting this function:
  Name of Records: Student Course Rosters
  Medium: Paper
  Owner: Other dept. or school is owner
  Location: 453 Higgins Hall
  Backup details: No backup-destruction would pose great difficulty

  Name of Records: Student Folders
  Medium: Paper
  Owner: My own dept or school owns these records
  Location: 234 Higgins Hall
  Backup details: Duplicates are kept in separate location

• Consequences - if this function is not restarted on time, these harmful consequences might result:

<table>
<thead>
<tr>
<th>Possible Harmful Consequence</th>
<th>0-2 days</th>
<th>1 wk</th>
<th>2 wks</th>
<th>3 wks</th>
<th>4 wks</th>
<th>&gt;4 wks</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disruption of teaching</td>
<td></td>
<td></td>
<td>x</td>
<td></td>
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<td>more than 2 weeks without classes is hard to recover from.</td>
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<tr>
<td>Disruption of research</td>
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<td>Loss of faculty</td>
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<td>Loss of staff</td>
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<td>Loss of students</td>
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<td>Well-being of faculty/staff</td>
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<td>Well-being of students</td>
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<tr>
<td>Payment deadlines unmet by campus</td>
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<tr>
<td>Loss of revenue to campus</td>
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<td></td>
<td>x</td>
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<td></td>
<td></td>
<td>lost tuition if students leave</td>
</tr>
<tr>
<td>Legal obligations unmet by campus</td>
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<tr>
<td>Legal harm to university</td>
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</tr>
<tr>
<td>Impact on other campus unit(s)</td>
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<tr>
<td>Impact on important bus partner(s)</td>
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<tr>
<td>Other</td>
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</tr>
</tbody>
</table>

• Key Documents: See Appendix.

2. **Research**: Faculty research & graduate student research, including staff support

• Section or unit that performs this function (if applicable): N/A

• Responsible person(s): Faculty

• Upstream dependencies (units or systems whose failure-to-perform will affect us): --- Campus libraries
  --- Campus IT networks
  --- Facilities Management (space)
  --- Sponsored Projects Office (communication with grantors)

• Downstream dependencies (units or systems that will be affected by our failure-to-perform): Faculty Graduate students

• Peak periods: April, May, November, December

  Peak periods are typically connected with the fall & spring research expeditions

• Space - How to perform this function if the usual space is not available: --- We will depend on the Campus to handle space issues.
  --- In the event that the usual office space for faculty & graduate students is not available, faculty & grad students will be encouraged & assisted to work from home (see action items below).

• Equipment - How to perform this function if the usual equipment is not available: The equipment most necessary for research in the field of Altitude Research are
--- computers
--- equipment & measuring instruments
--- library materials.
A short-term alternative if campus computer networks are down would be to work elsewhere (e.g. home).
A short-term alternative if campus libraries are closed would be to use other libraries (even if travel were
required – see action items below). It is anticipated that individual faculty and graduate students would
device their own best (temporary) solutions.

- Staff - How to perform this function if faculty/staff absenteeism averages 50% for two months (e.g. during
  pandemic flu): Affected research projects might have to delay their schedules. Substitutes are generally
  not feasible for faculty & graduate students engaged in research.

- Unique skills - Personnel with unique skills, knowledge, or files whose absence would create difficulty: See
  "staff" section above. Research skills are not easily replaced.

- Working at home - Can this critical function be performed with some (or all) staff working from home?
  Equipment, supplies, and arrangements that would be needed?: --- Faculty & staff & students can work
  from home if their computers are adequate & if they have broadband connections
  (cable, DSL). Some staff currently work from home. We use Windows Remote Desktop.
  --- Support from our IT staff would be necessary to iron out problems.

- Data networks - How to perform this function if computer networks are not available: 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.

- Show Stoppers (resources that cannot be replaced, substituted, or done without): Computer networks
  and libraries (except for short-term).

- Campus closure - If campus closure were declared, would it be POSSIBLE to stop doing this critical function
  for a month or two? Yes

- Comment: --- Professors would typically continue their research in any fashion possible. Few faculty
  would see themselves as "shut down."

- Risks generated by using alternate procedures: 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.

- Policy exceptions needed for alternate procedures (& who can grant these exceptions): Granting agencies
  might be asked to alter/waive conditions of grants to allow recovery periods.

- Timing - when must this function restart, to enable the campus to meet its 30-day goal for restarting
  teaching and research? 30 days post-disaster (simultaneous with teaching/research)

- Additional vulnerabilities (other things that could prevent continuing this function, or restarting it on time):
  None.

- Records that will be vital for restarting this function:

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<th>Owner</th>
<th>Location</th>
<th>Backup details</th>
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</thead>
<tbody>
<tr>
<td>Student Course Rosters</td>
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<td>Other dept. or school is owner</td>
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- Consequences - if this function is not restarted on time, these harmful consequences might result:

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<td></td>
<td>0-2 days</td>
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<tr>
<td>Disruption of teaching</td>
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<tr>
<td>Disruption of research</td>
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</tr>
<tr>
<td>Loss of faculty</td>
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<tr>
<td>Loss of staff</td>
<td></td>
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<tr>
<td>Loss of students</td>
<td></td>
</tr>
<tr>
<td>Well-being of faculty/staff</td>
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</tr>
<tr>
<td>Well-being of students</td>
<td></td>
</tr>
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</table>
Payment deadlines unmet by campus
Loss of revenue to campus
Legal obligations unmet by campus
Legal harm to university
Impact on other campus unit(s)
Impact on important bus partner(s)
Other
Possible loss of grant funding

- Key Documents: See Appendix.

3. **Payroll**: Processing of payroll information for all departmental personnel (campus has central payroll system to which departmental payroll assistant submits information).

- Section or unit that performs this function (if applicable): Departmental Business Office
- Responsible person(s): Mary Jones, Budget Officer
  Harry Chan, Payroll Assistant
- Upstream dependencies (units or systems whose failure-to-perform will affect us): Central IT (all payroll systems are web-based).
- Downstream dependencies (units or systems that will be affected by our failure-to-perform): Central Payroll
  Faculty & staff who might receive incorrect (or no) paychecks.
- Peak periods:
  No peak periods. Load is somewhat lighter in summer due to fewer student employees.
- Space - How to perform this function if the usual space is not available: --- We will depend on the Campus to handle space issues.
  --- If Campus does not quickly provide alternate space, the Budget Officer will arrange alternate location for payroll assistant to work (telecommute if possible).
  --- In the event that departmental payroll processing cannot be done in a timely fashion, campus Central Payroll has committed to re-issuing the former period’s payroll checks to all personnel (then making corrections later).
- Equipment - How to perform this function if the usual equipment is not available: The equipment needed for the payroll function are
  --- a computer for the payroll assistant (plus network connection)
  --- staff personnel files (paper).
  If computer or network are not available, Central Payroll has committed to furnish (paper) data-gathering forms to all departments for manual submission of payroll changes. If staff personnel folders are not available, payroll information contained therein is available from on-line Campus HR Information System whenever networks are restored. For personnel for whom a repeat of last period’s paycheck would not suffice (e.g. new employees), Central Payroll has committed to manual production of checks (though a time delay on manually-cut checks would probably occur).
- Staff - How to perform this function if faculty/staff absenteeism averages 50% for two months (e.g. during pandemic flu): At present, the payroll assistant (Harry Chan) is the only person trained in payroll issues. Two other staff will be cross-trained (see action item later).
- Unique skills - Personnel with unique skills, knowledge, or files whose absence would create difficulty: See commentary about cross-training above.
- Working at home - Can this critical function be performed with some (or all) staff working from home? Equipment, supplies, and arrangements that would be needed?: --- Staff can work from home if their computers are adequate & if they have broadband connections (cable, DSL). Some staff currently work from home. We use Windows Remote Desktop.
  --- Support from our IT staff would be necessary to iron out problems.
- Data networks - How to perform this function if computer networks are not available: If computer networks are not available, Central Payroll has committed to furnish (paper) data-gathering forms to all departments for manual submission of payroll changes.
- Show Stoppers (resources that cannot be replaced, substituted, or done without): No
- Campus closure - If campus closure were declared, would it be POSSIBLE to stop doing this critical function for a month or two? No
- Comment: We would have to ensure that paychecks keep flowing. Work-from-home by our payroll assistant or his backup would help, and Central Payroll would have to do its part.
• Risks generated by using alternate procedures: Risk of delayed paychecks. Central Payroll states that worst case would be a 2 week delay.

• Policy exceptions needed for alternate procedures (& who can grant these exceptions): No policy exceptions at department level. Central Payroll will obtain any needed exceptions at its level.

• Timing - when must this function restart, to enable the campus to meet its 30-day goal for restarting teaching and research? 10 days post-disaster

• Additional vulnerabilities (other things that could prevent continuing this function, or restarting it on time): --- Failure of Central Payroll --- Prolonged absence of both payroll assistant and backup substitutes.

• Records that will be vital for restarting this function:

<table>
<thead>
<tr>
<th>Name of Records</th>
<th>Medium</th>
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<th>Location</th>
<th>Backup details</th>
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<tr>
<th>Possible Harmful Consequence</th>
<th>How long after the disaster might this harm begin to occur?</th>
<th>Comment</th>
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<tr>
<td>Disruption of teaching</td>
<td>0-2 days, 1 wk, 2 wks, 3 wks, 4 wks, &gt;4 wks</td>
<td></td>
</tr>
<tr>
<td>Disruption of research</td>
<td></td>
<td></td>
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<tr>
<td>Loss of faculty</td>
<td></td>
<td></td>
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<tr>
<td>Loss of staff</td>
<td></td>
<td></td>
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<tr>
<td>Loss of students</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Well-being of faculty/staff</td>
<td>x</td>
<td>student employees</td>
</tr>
<tr>
<td>Well-being of students</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Payment deadlines unmet by campus</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Loss of revenue to campus</td>
<td></td>
<td></td>
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<tr>
<td>Legal obligations unmet by campus</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Legal harm to university</td>
<td></td>
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<tr>
<td>Impact on other campus unit(s)</td>
<td></td>
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<tr>
<td>Impact on important bus partner(s)</td>
<td></td>
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<tr>
<td>Other</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

• Key Documents: See Appendix.

4. **Purchasing:** Procuring all departmental supplies & equipment. Department purchasing assistant uses one of three processes to make a purchase:
--- Campus purchasing card (P-Card).
--- Purchase Order created by purchasing assistant within Banner.
--- Purchase Requisition created by purchasing assistant within Banner and sent to Purchasing Services who converts to a Purchase Order.

• Section or unit that performs this function (if applicable): Departmental Business Office
• Responsible person(s): Mary Jones, Budget Officer
  George Rudzinski, Purchasing Assistant
• Upstream dependencies (units or systems whose failure-to-perform will affect us): Purchasing Services Banner
External Vendors

- Downstream dependencies (units or systems that will be affected by our failure-to-perform): Faculty, staff, students in Department of Altitude Research

- Peak periods: May, June
  
  There is usually a May-June peak load in purchasing due to end-of-fiscal-year deadline

- Space - How to perform this function if the usual space is not available: --- We will depend on the Campus to handle space issues.
  --- If Campus does not quickly provide alternate space, the Budget Officer will arrange alternate location for purchasing assistant to work (telecommute if possible).

- Equipment - How to perform this function if the usual equipment is not available: 
  --- Computer for purchasing assistant and access to Banner
  --- Phone for purchasing assistant
  --- P-Card
  All three are very important. In the short term, a phone and BluCard would suffice for most purchases (see below).

- Staff - How to perform this function if faculty/staff absenteeism averages 50% for two months (e.g. during pandemic flu): 
  --- At present, the purchasing assistant (George Rudzinski) is the only person trained in purchasing issues. Two other staff will be cross-trained (see action item later).
  --- At present, only George has a P-Card (a P-Card is assigned only to an individual). An additional P-card should be obtained for one of the cross-trained staff members.

- Unique skills - Personnel with unique skills, knowledge, or files whose absence would create difficulty: See commentary about cross-training above.

- Working at home - Can this critical function be performed with some (or all) staff working from home? Equipment, supplies, and arrangements that would be needed?: 
  Staff can work from home if their computers are adequate & if they have broadband connections (cable, DSL). Some staff currently work from home. We use Windows Remote Desktop.
  --- Support from our IT staff would be necessary to iron out problems.

- Data networks - How to perform this function if computer networks are not available: 
  Use P-Card for purchases until networks are re-established. Will require increased upper limit on P-Cards (see action item below).

- Show Stoppers (resources that cannot be replaced, substituted, or done without): Phone for purchasing assistant.

- Campus closure - If campus closure were declared, would it be POSSIBLE to stop doing this critical function for a month or two? Yes

- Comment: It is possible, but could seriously hinder research. Better alternative would be to have purchasing assistant work from home.

- Risks generated by using alternate procedures: Risk of P-Card abuse if upper limit is raised. Control this by requiring Budget Officer to authorize purchases in advance if possible.

- Policy exceptions needed for alternate procedures (& who can grant these exceptions): Raise limit on P-Cards. Lift restricted-item rules on P-Cards. These exceptions need approval by Controller and by Purchasing Services.

- Timing - when must this function restart, to enable the campus to meet its 30-day goal for restarting teaching and research? 15 days post-disaster

- Additional vulnerabilities (other things that could prevent continuing this function, or restarting it on time): No.

- Records that will be vital for restarting this function:

  Name of Records: Student Course Rosters
  Medium: Paper
  Owner: Other dept. or school is owner
  Location: 453 Higgins Hall
  Backup details: No backup-destruction would pose great difficulty

  Name of Records: Student Folders
  Medium: Paper
  Owner: My own dept or school owns these records
  Location: 234 Higgins Hall
  Backup details: Duplicates are kept in separate location

- Consequences - if this function is not restarted on time, these harmful consequences might result:
### Possible Harmful Consequence

<table>
<thead>
<tr>
<th>Possible Harmful Consequence</th>
<th>0-2 days</th>
<th>1 wk</th>
<th>2 wks</th>
<th>3 wks</th>
<th>4 wks</th>
<th>&gt;4 wks</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disruption of teaching</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Disruption of research</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Loss of faculty</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Loss of staff</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Loss of students</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Well-being of faculty/staff</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Well-being of students</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Payment deadlines unmet by campus</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>Inability to pay vendors</td>
</tr>
<tr>
<td>Loss of revenue to campus</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Legal obligations unmet by campus</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>Inability to pay vendors</td>
</tr>
<tr>
<td>Legal harm to university</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Impact on other campus unit(s)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>Inability to pay vendors</td>
</tr>
<tr>
<td>Impact on important bus partner(s)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>x</td>
<td>Inability to pay vendors</td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Key Documents:** See Appendix.

5. **Donor Relations:** Over the past decade, the Department of Altitude Research has benefited significantly from 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.

- **Section or unit that performs this function (if applicable):** Chair's office
- **Responsible person(s):** Chair of Department (Jane Diaz)
- **Upstream dependencies (units or systems whose failure-to-perform will affect us):** none
- **Downstream dependencies (units or systems that will be affected by our failure-to-perform):** Department of Altitude Research
- **Peak periods:**
  - No peak periods
- **Space - How to perform this function if the usual space is not available:** Not an issue.
- **Equipment - How to perform this function if the usual equipment is not available:** Not an issue.
- **Staff - How to perform this function if faculty/staff absenteeism averages 50% for two months (e.g. during pandemic flu):** If Chair cannot maintain communication with donors, she will assign a senior faculty member to do so.
- **Unique skills - Personnel with unique skills, knowledge, or files whose absence would create difficulty:** Not an issue.
- **Working at home - Can this critical function be performed with some (or all) staff working from home? Equipment, supplies, and arrangements that would be needed?:** Yes. Telephone or email is sufficient.
- **Data networks - How to perform this function if computer networks are not available:** Telephone.
- **Show Stoppers (resources that cannot be replaced, substituted, or done without):** No.
- **Campus closure - If campus closure were declared, would it be POSSIBLE to stop doing this critical function for a month or two?** No
- **Comment:** There would be no reason to cease contact with donors.
- **Risks generated by using alternate procedures:** None.
- **Policy exceptions needed for alternate procedures (& who can grant these exceptions):** None.
- **Timing - when must this function restart, to enable the campus to meet its 30-day goal for restarting teaching and research?** Not needed for restarting teaching or research, but will be critical later on
• Additional vulnerabilities (other things that could prevent continuing this function, or restarting it on time).

No

• Records that will be vital for restarting this function:

<table>
<thead>
<tr>
<th>Name of Records</th>
<th>Student Course Rosters</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medium</td>
<td>Paper</td>
</tr>
<tr>
<td>Owner</td>
<td>Other dept. or school is owner</td>
</tr>
<tr>
<td>Location</td>
<td>453 Higgins Hall</td>
</tr>
<tr>
<td>Backup details</td>
<td>No backup-destruction would pose great difficulty</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name of Records</th>
<th>Student Folders</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medium</td>
<td>Paper</td>
</tr>
<tr>
<td>Owner</td>
<td>My own dept or school owns these records</td>
</tr>
<tr>
<td>Location</td>
<td>234 Higgins Hall</td>
</tr>
<tr>
<td>Backup details</td>
<td>Duplicates are kept in separate location</td>
</tr>
</tbody>
</table>

• Consequences - if this function is not restarted on time, these harmful consequences might result:

<table>
<thead>
<tr>
<th>Possible Harmful Consequence</th>
<th>How long after the disaster might this harm begin to occur?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0-2 days</td>
</tr>
<tr>
<td>Disruption of teaching</td>
<td></td>
</tr>
<tr>
<td>Disruption of research</td>
<td></td>
</tr>
<tr>
<td>Loss of faculty</td>
<td></td>
</tr>
<tr>
<td>Loss of staff</td>
<td></td>
</tr>
<tr>
<td>Loss of students</td>
<td></td>
</tr>
<tr>
<td>Well-being of faculty/staff</td>
<td></td>
</tr>
<tr>
<td>Well-being of students</td>
<td></td>
</tr>
<tr>
<td>Payment deadlines unmet by campus</td>
<td></td>
</tr>
<tr>
<td>Loss of revenue to campus</td>
<td></td>
</tr>
<tr>
<td>Legal obligations unmet by campus</td>
<td></td>
</tr>
<tr>
<td>Legal harm to university</td>
<td></td>
</tr>
<tr>
<td>Impact on other campus unit(s)</td>
<td></td>
</tr>
<tr>
<td>Impact on important bus partner(s)</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
</tr>
</tbody>
</table>

• Key Documents: See Appendix.
3-B. Information Technology

1. Recovery Details for Applications (that support critical functions)

- **Departmental Faculty Roster & database**
  
  Type: Desktop  
  Functional owner: Dept of Altitude Research  
  Technical owner: Dept of Altitude Research  
  Technical expert: Sally Robertson  
  Person responsible for recovery: Sally Robertson  
  Is this a database application? Yes  
  Does this application move data to-or-from core campus systems? No  
  If so, what systems?  
  Departments impacted by failure of this application: our own department  
  Backup frequency: Daily  
  Backup medium: Other  
  Backup auto or manual? Automatic  
  Onsite storage location:  
  Offsite storage location: Iron Mountain, Colorado Springs  
  Offsite storage frequency: Weekly  
  Installation disks and documentation location: Higgins 372  
  Successful recovery been done? Yes  
  Comment: Backed up to a network server that is co-located in Campus Data Center

- **Departmental P-Card Log**
  
  Type: Desktop  
  Functional owner: Dept of Altitude Research  
  Technical owner: Dept of Altitude Research  
  Technical expert: Jake McGuirk  
  Person responsible for recovery: Jake McGuirk  
  Is this a database application? No  
  Does this application move data to-or-from core campus systems? No  
  If so, what systems?  
  Departments impacted by failure of this application: our own department  
  Backup frequency: Daily  
  Backup medium: Other  
  Backup auto or manual? Automatic  
  Onsite storage location:  
  Offsite storage location: Iron Mountain, Colorado Springs  
  Offsite storage frequency: Weekly  
  Installation disks and documentation location: Higgins 372  
  Successful recovery been done? Yes  
  Comment: This is simply an Excel file, manually updated. Nightly backup to Campus Data Center via DUBackup

- **Departmental Student Roster & Database**
  
  Type: Desktop  
  Functional owner: Dept of Altitude Research  
  Technical owner: Dept of Altitude Research  
  Technical expert: Sally Robertson  
  Person responsible for recovery: Sally Robertson
- Mountain Mapper
  - Type: Client-Server Application
  - Functional owner: Dept of Altitude Research
  - Technical owner: Dept of Altitude Research
  - Technical expert: Helen Jefferson
  - Person responsible for recovery: Helen Jefferson
  - Is this a database application? Yes
  - Does this application move data to-or-from core campus systems? No
  - If so, what systems?
  - Departments impacted by failure of this application: our own department
  - Backup frequency: Daily
  - Backup medium: Other
  - Backup auto or manual? Automatic
  - Onsite storage location:
  - Offsite storage location: Iron Mountain, Colorado Springs
  - Offsite storage frequency: Weekly
  - Installation disks and documentation location: Higgins 372
  - Successful recovery been done? Yes
  - Comment: Backed up to network server that is co-located in Campus Data Center

2. Recovery Details for Servers

- Avalanche
  - Type: Application server
  - Explanation: Runs critical mountain mapping application used by government partners.
  - Server software: Apache/Unix
  - Technical expert: James Nguyen
  - Person responsible for recovery: James Nguyen
  - Applications impacted by failure of this server: MountainMapper
  - Departments impacted by failure of this server: Our department
  - National Forest Service
  - Bureau of Land Management
  - several other universities
  - If so, what systems?
  - Departments impacted by failure of this application: our own department
  - Backup frequency: Daily
  - Backup medium: Other (describe)
  - Backup auto or manual? Automatic
Onsite storage location: Higgins 377
Offsite storage location: Iron Mountain, Colorado Springs
Offsite storage frequency: Weekly
Installation disks and documentation location: Higgins 372
Successful recovery been done? Yes
Comment: Dual backup -- onsite backup server in Higgins plus colocated server in Campus Data Center.

- Cliffhanger
  Type: Web server
  Explanation: student web sites
  Server software: Apache/Unix
  Technical expert: Carol Brown
  Person responsible for recovery: Carol Brown
  Applications impacted by failure of this server: student web sites
  Departments impacted by failure of this server: our own department
  If so, what systems?
  Departments impacted by failure of this application: our own department
  Backup frequency: Daily
  Backup medium: Local tape
  Backup auto or manual? Automatic
  Onsite storage location: Higgins 377
  Offsite storage location: None
  Offsite storage frequency: No offsite storage
  Installation disks and documentation location: Higgins 372
  Successful recovery been done? No
  Comment: Backup is to local tape.
  Considered to be a non-critical server

- Fourteener
  Type: Web server
  Explanation: Runs both dept. and faculty websites plus various instructional applications used in courses.
  Server software: Windows Server 2003
  SQL Server 2003
  Technical expert: Jerry Winsley
  Person responsible for recovery: Jerry Winsley
  Applications impacted by failure of this server: All instructional applications used in undergraduate courses.
  Departments impacted by failure of this server: our own department
  If so, what systems?
  Departments impacted by failure of this application: our own department
  Backup frequency: Daily
  Backup medium: Remote backup server
  Backup auto or manual? Automatic
  Onsite storage location:
  Offsite storage location: Iron Mountain, Colorado Springs
  Offsite storage frequency: Weekly
  Installation disks and documentation location: Higgins 372
  Successful recovery been done? No
  Comment:

- Mountain Top
  Type: File server
  Explanation: department file server
3. Backup of Workstations - computer users in this unit backup their workstations as follows:

<table>
<thead>
<tr>
<th>Backup method</th>
<th>% using method</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>User’s files stored on dept server, which is backed up</td>
<td>95%</td>
<td></td>
</tr>
<tr>
<td>DU Backup (by Central Computing Services)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local backup by user (automatic)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local backup by user (manual)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No backup</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Don’t know</td>
<td>5%</td>
<td>One professor on sabbatical - will check on her return</td>
</tr>
</tbody>
</table>

Workstation support is performed by:

Comment:

4. IT Strategies

- Purchasing - How to purchase new hardware quickly: If campus Procurement Dept. is functioning, purchase through them to get campus special pricing. If not, buy direct from manufacturer via web or phone. (IBM/Lenovo is preferred vendor, Dell & HP also OK) (ask for higher-education pricing).
- Disks and documentation - Location of software & documentation that will be needed by technicians to rebuild workstations and servers: Higgins 372
- Special environmental needs for IT equipment: Server room needs air conditioning.
- Technical staff - Will your technical support staff be adequate in numbers & skills to rebuild your systems quickly? If not, what to do? Have 5 programmer/analysts plus manager. If entire Altitude Research Dept. had to relocate to new quarters, could take 1-2 weeks to rebuild all desktops & servers (after new hardware arrives). Worse if any of the IT team is not here. Possible solutions: outside vendor / temporary hire / borrow staff from other dept. on campus.
- Obstacles - Potential obstacles that could hinder the quick re-establishment of critical IT services:
  --- Inability to purchase new hardware quickly.
  --- Inability to obtain additional IT support technicians.
  --- Need Central IT to re-establish central campus networks & applications.
- Work from home - IT strategies that will enable & support users to work from home (e.g. during
This depends what level of support the Dept. wants us to offer. To offer full support to all faculty/staff would require travelling to some of their homes to troubleshoot problems (in violation of contagion-avoidance policy!) Phone support is more do-able. Best strategy would be to set up key users NOW, encourage some telecommuting to keep the work-from-home arrangement working, and that way we enter the crisis with a working system.

- Systems that lack workarounds: Systems or applications that could NOT be replaced temporarily by "workarounds":  
  --- The MoutainMap application certainly has no workaround. Conceivably, we could get it running at a remote site if one were offered.
  --- Administrative applications & files can generally be worked-around.
  --- The instructional applications that we support would generally have no workarounds. Faculty would have to adapt their pedagogy in order to temporarily teach without these.
3-C. Faculty Preparedness

Departmental plan to promote faculty preparedness:

1. Do the previous sections of this plan (Critical Functions and Information Technology) contain action items related to the preparedness of individual faculty?

   Yes.

2. Comment?

3. Are there any other Action Items you would like to add?

   Action Item: Request faculty committee to develop strategy for secure storage of non-electronic research materials.
3-C. Key People and Resources

1. Communication Resources:

   Resource: Emergency home contact list (faculty & staff)
   Question: Who keeps printed copies?
   Description: Staff emergency contact list
   Who: all central office staff
   Location: home and office
   Comment:

   Resource: Emergency home contact list (faculty & staff)
   Question: Who keeps printed copies?
   Description: Faculty emergency contact list
   Who: Chair, Budget Officer, all faculty
   Location: home and office
   Comment:

   Resource: Emergency home contact list (faculty & staff)
   Question: Who maintains it?
   Description: Faculty emergency contact list
   Who: Alicia Torres
   Location: Higgins 452
   Comment: updated each semester

   Resource: Emergency home contact list (faculty & staff)
   Question: Who maintains it?
   Description: Staff emergency contact list
   Who: Jaren Chan
   Location: Rogers Hall 125
   Comment: updated immediately with each staff changes

   Resource: Important email lists
   Question: Who holds these?
   Description: donor list
   Who: Jane Gallegos
   Location: Higgins 357
   Comment:

   Resource: Important email lists
   Question: Who holds these?
   Description: Student e-mail list
   Who: Jane Gallegos
   Location: Higgins 357
   Comment:

   Resource: Lists of students
   Question: Who holds these?
   Description: Student Roster
   Who: Irene Watanabe
   Location: Undergrad Advising Office
   Comment:

   Resource: Passwords used by several people (e.g. department email account)
   Question: What are these and who knows them?
   Description: all shared passwords
   Who: all central office staff
   Location: Higgins 357 - in "Office Affairs" folder
   Comment: kept up to date by Budget Officer

   Resource: Passwords used by student-employees
   Question: What are these and who knows them in case the student is not available?
2. Working From Home:

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Adequate Home Computer</th>
<th>Current Broadband Connection</th>
<th>Current Use of Campus FileServers from Home</th>
<th>Current Use of Campus Database Applications from Home</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cathy Wilson</td>
<td>Faculty</td>
<td>Probably</td>
<td>Probably</td>
<td>Probably</td>
<td>Probably not</td>
<td>will check when she returns from sabbatical</td>
</tr>
<tr>
<td>Irene Watanabe</td>
<td>Staff</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Irene telecommutes regularly.</td>
</tr>
<tr>
<td>James Scott</td>
<td>Faculty</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Jorge Escobar</td>
<td>Staff</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Jorge is payroll backup - we should get him enabled to work from home.</td>
</tr>
<tr>
<td>Wilma Gutteriez</td>
<td>Faculty</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Probable</td>
<td></td>
</tr>
</tbody>
</table>

3. Key Staff:

Name: Jorge Escobar
Title or function: Faculty
Special skill: payroll backup, also has web skills
Essential:
Comment:

Name: Josephine Casteneda
Title or function: Chair
Special skill: former provost
Essential:
Comment:

Name: Mary Jones
Title or function: Budget Officer
Special skill:
Essential:
Comment:

Name: Harv Chan
Title or function: Payroll Assistant
Special skill: 
Essential: 
Comment: long term staff member, knows most business functions

Name: Jerry Sanchez
Title or function: IT Manager
Special skill: 
Essential: 
Comment: Jerry is our main contact with campus central computing

4. Key Staff of Other Campus Units:

Name: Steve Brown
Department: UTS
Work address: Floral Building
Work phone: 303-123-1234
Cell phone: 970-123-1234
Fax: 
Email: steveyboybrown@du.edu
Comment: expert on student database

Name: Sara Chang
Department: College of Letters & Science
Work address: 206 Careron Hall
Work phone: 303-321-4321
Cell phone: 970-321-4321
Fax: 
Email: sarachachaching@du.edu
Comment: HR Manager

5. Key Off-Campus Partners:

Name: Alice El-Baradei
Organization: Colorado State University
Work address: 123 Main St
Fort Collins, CO 80111
Work phone: 303-112-2233
Cell phone: 970-333-2222
Fax: 
Email: abc@csu.edu
Comment: expert on student database

Name: Raymond Sanford
Organization: Summit Foundation
Work address: 6509 Delaware St.
Sante Fe, NM 66213
Work phone: 612-123-1234
Cell phone: 612-321-3211
Fax: 
Email: raymondmymainman@summit.org
Comment: expert on student database

6. Key Vendors:

Name: Stephanie Shabazz
Organization: Xerox
Work address: 675 Broadway
Denver, CO
Work phone: 303-112-2233
Cell phone: 970-321-4321
Fax: 
Email: 
Comment: expert on student database
Alternate Vendor(s): yes, GTP Office Services, Ft Collins, CO
7. Key Others (donors, stakeholders, clients, customers - DU or external) who may need to be contacted or kept informed:

Name: Henry Nguyen  
Organization: Nguyen Securities  
Work address: 34 Wall St.  
New York, NY 10047  
Work phone: 212-212-2121  
Cell phone: 212-232-2121  
Fax:  
Email: noogie@nguyen.com  
Comment: graduate and benefactor of Dept of Altitude Research

Name: Teresa Chu  
Organization: Acme Holdings, Inc.  
Work address: 45 Holden Way  
Redlands, CA 34278  
Work phone: 475-212-2121  
Cell phone: 475-345-3456  
Fax:  
Email: choochu@acme.com  
Comment: benefactor

8. Office & IT Equipment:

Listed here are SOME items that will be needed to resume all if the critical functions in this plan.

<table>
<thead>
<tr>
<th>Item</th>
<th>Minimum Required</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Workstation (including computer, network connection, table, chair)</td>
<td>27</td>
<td>one per FTE, including faculty</td>
</tr>
<tr>
<td>Laptop computer &amp; car charger</td>
<td>16</td>
<td>for key staff - faculty have their own</td>
</tr>
<tr>
<td>Telephone (hard-wired or cell)</td>
<td>27</td>
<td></td>
</tr>
<tr>
<td>Printer</td>
<td>4</td>
<td>3 for Higgins Hall 1 for Rogers Hall</td>
</tr>
<tr>
<td>Fax</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Copier</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Scanner</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Server</td>
<td>6</td>
<td></td>
</tr>
</tbody>
</table>

9. Other Equipment (EXCLUDING classroom equipment, lab equipment, and consumables):

Dept. pickup truck is needed to prepare the research ship (MV California) for expeditions.

10. Supplies (Consumables - including inventory strategy):

Mainly office supplies. We keep a 2-week inventory but plan to increase that to 6 weeks.

11. Facilities (special space or facilities needs that are in addition to office-classroom-lab needs):
12. Other Resources (that will be needed to resume critical functions):
4. Plan History

1. Original Plan Completed:
   Date: 01/15/08
   Person Entering Date: Scott Wiggans
   Comment: From Berkeley Sample Plan

2. Most Recent Update:
   Date: 02/29/08
   Person Entering Date: Scott Wiggans
   Comment: updated action items

3. Most Recent Exercise/Test:
   Date: 01/31/08
   Person Entering Date: Scott Wiggans
   Comment: internal review

4. Most Recent Unit Head Review:
   Date: 02/27/08
   Person Entering Date: Scott Wiggans
   Comment: approved

5. Unit Head: Craig Woody, VC- Business & Financial Affairs
5. Plan Users

Scott Wiggans
Stacie Trexel
Appendix

1. List of key documents:

   Name:  Current Course List
   Owner:  Susan Brown
   Printed copy location:  234 Higgins Hall
   Digital copy in duContinuity?  Yes
   Comment:  Reconstruct from Registrar’s Office if necessary

   Name:  Current list of funded research projects
   Owner:  Harriette Madison
   Printed copy location:  238 Higgins Hall
   Digital copy in duContinuity?  Yes
   Comment:  

   Name:  List of Pending Grant applications
   Owner:  Harriette Madison
   Printed copy location:  238 Higgins Hall
   Digital copy in duContinuity?  Yes
   Comment:  

   Name:  Payroll Procedures & Guidelines - Dept of Altitude Research
   Owner:  Harry Chan
   Printed copy location:  Higgins 455
   Digital copy in duContinuity?  Yes
   Comment:  Very clear set of instructions for processing payroll

   Name:  Purchasing Procedures & Guidelines
   Owner:  George Rudzinski
   Printed copy location:  Higgins 455
   Digital copy in duContinuity?  No
   Comment:  on DU website - purchasing link