



CONTINUITY PLANNING AND RECOVERY CHECKLIST FOR LABORATORIES AND RESEARCH FACILITIES

This checklist has been developed to help you develop a continuity plan to help ensure that vital research operations can continue following a disaster or major disruption.

A continuity plan is a collection of resources, actions, procedures, and information that is developed, tested, and held in readiness for use in the event of a major disruption of operations. In the event of a major disaster or other disruption, having a continuity plan will minimize the impact and help you return to normal operations as quickly as possible.

Review the below checklist to see what you can do to better prepare your lab for speedy recoveries after a campus disaster or disruption. More detail on all the items listed here can be found in the *Continuity Planning and Recovery Guide for Laboratories and Research Facilities (CPRG)*.

Tasks		Relevant Section in the <i>CPRG</i>
<input type="checkbox"/>	<p>GET STARTED:</p> <ul style="list-style-type: none"> - Develop a continuity planning team. - Follow guidelines listed in the <i>CPRG- Laboratories and Research Facilities</i>. 	Entire plan
<input type="checkbox"/>	<p>CREATE A LABORATORY OR UNIT PROFILE:</p> <p>The Laboratory or Unit Profile provides basic information about your facility as well as information about any existing emergency or business continuity plans.</p> <ul style="list-style-type: none"> - Complete the Laboratory / Research Unit Profile Worksheet found on page 3 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. 	Laboratory or Unit Profile- Page 2
<input type="checkbox"/>	<p>IDENTIFY KEY EMERGENCY CONTACTS:</p> <p>Knowing who to contact in an emergency is critical. Start your continuity planning by identifying the key emergency contacts for your site. Keep a written copy with you at all times and share it with others in your lab.</p> <ul style="list-style-type: none"> - Complete the Key Emergency Contacts Worksheet on page 4 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. - Create contact lists for important contacts (employees, students, postdocs, funding sponsors, etc.). 	Identify Key Emergency Contacts- Page 3



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<input type="checkbox"/>	<p>DETERMINE YOUR ESSENTIAL FUNCTIONS:</p> <p>Essential functions are those services, programs, or activities that are necessary to the ongoing business of the university and would directly affect the success of your department if they were to stop for an extended period of time.</p> <p>Your essential functions will serve as your guide for how to restart your operations following a disaster or major disruption. By identifying and prioritizing your essential functions, you can determine which personnel, facilities, equipment, and materials are absolutely necessary to keep your department functioning following a disaster or major disruption.</p>	<p>Determining Your Essential Functions- Page 5</p>
<input type="checkbox"/>	<p>CONDUCT A BUSINESS IMPACT ANALYSIS (BIA) & PRIORITIZE YOUR ESSENTIAL FUNCTIONS:</p> <p>A Business Impact Analysis (BIA) is completed for each essential function to help assess and document potential impacts and negative consequences of a disaster or major disruption on the function. Conducting a BIA also helps establish recovery priorities by looking at dependencies, peak periods, harmful consequences, and financial risks.</p> <p>Knowing the priorities of your essential functions will help you establish a recovery plan that focuses on the functions that are the most important.</p> <ul style="list-style-type: none"> - Complete the Essential Function and Business Impact Analysis Worksheet for each essential function on pages 7-18 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. 	<p>Conducting A Business Impact Analysis- Page 5</p> <p>&</p> <p>Prioritizing Your Essential Functions- Page 5</p>
<input type="checkbox"/>	<p>DETERMINE ESSENTIAL RESOURCES:</p> <p>It is important to know what essential resources are needed for each essential function. Resources can be broken down into three main categories – People, Places, and Things. Making a brief list of your essential resources will help you track and locate them after an incident occurs.</p>	<p>Determining Essential Resources- Page 19</p>
<input type="checkbox"/>	<p>INVENTORY SPECIALIZED LABORATORY EQUIPMENT:</p> <p>Many laboratories rely on highly specialized equipment. Some of these are one-of-a-kind while others are fairly common, but very expensive. Consider the most important equipment in your lab. Having a detailed inventory of your essential equipment and a backup plan can help minimize the effects of a disaster or other emergency.</p> <p>Complete the Specialized Equipment Worksheet on page 21 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>.</p>	<p>Specialized Laboratory Equipment- Page 19</p>



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<input type="checkbox"/>	<p>INVENTORY TEMPERATURE-SENSITIVE EQUIPMENT:</p> <p>Most laboratories today rely on an array of temperature-sensitive equipment. Consider what would happen if this equipment failed. How would it impact your research? Having a detailed inventory of temperature-sensitive equipment and a backup plan can help minimize the effects of a disaster or other emergency.</p> <ul style="list-style-type: none"> - Complete the Temperature-Sensitive Equipment Worksheet on page 23 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. - Complete the Temperature-Sensitive Materials Worksheet on page 24 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. 	<p>Temperature – Sensitive Equipment- Page 22</p>
<input type="checkbox"/>	<p>IDENTIFY SPECIALIZED SUPPLIES AND ESSENTIAL VENDORS:</p> <p>Laboratories require highly specialized equipment, chemicals, samples, and other materials, as well as specialized vendors. Consider how you would operate if your routine supply chains were disrupted.</p> <ul style="list-style-type: none"> - Complete the Specialized Supplies Worksheet on page 26 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. - Complete the Essential Vendors Worksheet on page 27 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. 	<p>Supplies And Vendors- Page 25</p>
<input type="checkbox"/>	<p>PROTECT UNIQUE SPECIMENS AND MATERIALS:</p> <p>Live, fixed, and frozen samples/specimens are extremely important and invaluable assets of many laboratories. Researchers collecting, developing, generating, or otherwise in possession of such materials have a high level of responsibility for their protection and future availability.</p>	<p>Protect Unique Specimens And Materials- Page 28</p>
<input type="checkbox"/>	<p>PLAN FOR LOSS OF POWER:</p> <p>One of the biggest fears of any laboratory manager or research scientist is the thought of a power outage. A power outage creates the potential for loss of valuable specimens and years of research. At some point during your research you could lose power in your laboratory due to extreme weather, rolling blackouts, or equipment malfunctions. You can lessen the effects of a power outage, and your chances of losing your hard work, by being prepared and following some easy procedures.</p>	<p>Loss Of Power- Page 28</p>
<input type="checkbox"/>	<p>PLAN FOR LOSS OF OTHER UTILITIES:</p>	<p>Loss Of Other Utilities-</p>



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	<p>Consider the impact of a prolonged failure of water systems, heating and cooling, or specialized ventilation systems. Some of these failures will have limited impact on a laboratory, while others may be catastrophic.</p> <ul style="list-style-type: none"> - Describe how the loss of basic utilities would impact your operations on page 30 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. 	Page 29
<input type="checkbox"/>	<p>CONDUCT CONTINUITY PLANNING FOR INFORMATION TECHNOLOGY:</p> <p>It is difficult to imagine how we could possibly work without our computers and the Internet. Unfortunately, computers and systems can fail or get stolen. What would you do if the internet were to go down? How long could you manage? What if your hardware or software crashed or was destroyed? Do you have secure automatic backup?</p> <ul style="list-style-type: none"> - Complete the Vital Documents Worksheet on page 32 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. - Complete the Drives, Files, Folders Worksheet on page 33 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. - Write a brief explanation of how your electronic information is backed up on page 33 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>. 	Continuity Planning For Information Technology- Page 31
<input type="checkbox"/>	<p>COLLECT/STORE OTHER VITAL DOCUMENTS:</p> <p>While most documents and files are sent and kept electronically, there are still occasional paper copies of research notes, letters, and other documents. Consider how difficult it would be to replace these items. What if you couldn't get back into your lab to retrieve your lab notes?</p> <ul style="list-style-type: none"> - Create a secure folder on department drive to store vital records. - Create a secure folder on Box.com to store vital records. 	Other Vital Documents- Page 34
<input type="checkbox"/>	<p>DOCUMENT PEER SUPPORT:</p> <p>During a disaster or other major disruption, consider the support that might be available from others in your field who are conducting similar research. Do you have a colleague or collaborator using the same samples, specimens, or</p>	Peer Support- Page 34



Tasks		Relevant Section in the CPRG
	<p>equipment? Is there another university nearby with similar research facilities that you can turn to for support?</p> <ul style="list-style-type: none"> - Complete the Peer Support Network Worksheet on page 34 of the Continuity Planning and Recovery Guide for Laboratories and Research Facilities. 	
<input type="checkbox"/>	<p>DETERMINE EMERGENCY RELOCATION AREA:</p> <p>A disaster, whether large or small, could force you to relocate your operations for an extended period of time. A laboratory fire, chemical spill, sprinkler malfunction, or even smoke from a fire in another lab, are just some of the incidents that might require you to relocate. Total recovery and restoration may take several days to several months. Where would you go if you couldn't use your current site?</p>	<p>Emergency Relocation- Page 35</p>
<input type="checkbox"/>	<p>IDENTIFY NON-UT DALLAS BACKUP SITES:</p> <p>If a UT Dallas property is not available, it might be possible to relocate your work or research to a non-UT Dallas facility. The DFW area is host to several other schools and universities which might have specialized space that could be utilized during a disaster. The Office of Emergency Management and Continuity Planning (OEMCP) must pre-approve any and all alternative sites.</p> <ul style="list-style-type: none"> - Write a brief description of the minimum space requirements of your work location on page 36 of the Continuity Planning and Recovery Guide for Laboratories and Research Facilities. - Complete the Alternate Site Worksheet on page 36 of the Continuity Planning and Recovery Guide for Laboratories and Research Facilities. 	<p>Non-UT Dallas Backup Sites- Page 35</p>
<input type="checkbox"/>	<p>DEVELOP RECOVERY STRATEGIES AND TASKS:</p> <p>When a disaster or major disruption happens, every moment counts. The next step is to outline the actions to take after a disaster to maintain or restore each function. This will involve developing recovery strategies and recovery tasks.</p> <ul style="list-style-type: none"> - Complete the Recovery Planning Worksheet on pages 38-45 of the Continuity Planning and Recovery Guide for Laboratories and Research Facilities. 	<p>Developing Recovery Strategies And Tasks- Page 37</p>



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<input type="checkbox"/>	<p>DEVELOP A PLAN FOR EMERGENCY COMMUNICATIONS AND NOTIFICATIONS:</p> <p>Effective communication, both internally and externally, is crucial during any emergency. Consider the following when developing your emergency communications plan:</p> <ul style="list-style-type: none"> - Who do you need to communicate with? Employees, students, visitors, vendors, department leadership? - Who is responsible for communicating to each group? - How will you communicate? E-mail? Phone? Text? - What do you need to say? What do they 	<p>Emergency Communications And Notification- Page 46</p>
<input type="checkbox"/>	<p>CREATE A LABORATORY 'CALL TREE':</p> <p>An emergency notification call tree is a quick and convenient way to notify your key contacts. To set up a call tree, identify who needs to be called and who will call them. Determine who has the authority to activate the call tree.</p> <ul style="list-style-type: none"> - Create a Laboratory Call Tree 	<p>Laboratory 'Call Tree'- Page 46</p>
<input type="checkbox"/>	<p>DEVELOP EMPLOYEE PREPAREDNESS:</p> <p>The most valuable resources at UT Dallas are human resources. Following a disaster or other emergency, all of your preparedness and planning will go to waste if you don't have qualified people available to help execute the plan. Employee preparedness is an important part of your overall emergency preparedness planning and will help increase the likelihood that your employees will be safe and available after a disaster.</p>	<p>Employee Preparedness- Page 47</p>
<input type="checkbox"/>	<p>COMPLETE CONTINUITY TRAINING:</p> <p>Completing training can help you better understand the continuity planning process. Training is currently offered by OEMCP. Online resources providing an introduction to continuity planning can be found on the Continuity Planning webpage at http://www.utdallas.edu/safety/programs/continuity/.</p> <ul style="list-style-type: none"> - Review the online continuity planning resources provided on the Continuity Planning webpage at the link above. - Contact OEMCP to sign up for a continuity training workshop. 	<p>Complete Continuity Training- Page 48</p>
<input type="checkbox"/>	<p>TEST/EXERCISE YOUR PLAN:</p> <p>Once your continuity plan is finished, you will want to test it to be sure you and the rest of your department or unit are familiar with it. One way to test your plan is to conduct a tabletop exercise or drill. Additional information about conducting a tabletop exercise can be found at http://www.utdallas.edu/ehs/programs/emergency/.</p> <ul style="list-style-type: none"> - Contact OEMCP to develop an exercise for your plan. 	<p>Testing/ Exercising Your Plan- Page 48</p>



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<input type="checkbox"/>	<p>RECORD AND WORK ON MITIGATION/FOLLOW-UP ACTIONS:</p> <p>Complete the Mitigation/Follow-Up Actions Worksheet on page 50 of the <i>Continuity Planning and Recovery Guide for Laboratories and Research Facilities</i>.</p>	<p>Mitigation/ Follow-Up Actions- Page 49</p>
<input type="checkbox"/>	<p>UPLOAD YOUR PLAN AND REVIEW IT ANNUALLY:</p> <p>Once you have completed the guide, upload it into Box.com. Share the folder with Courtney Spooner, Angela Dees, and Mariah Phipps. Box.com is an online application that ensures you have uninterrupted access to your information. Contact OEMCP for additional instructions if needed.</p> <p>Continuity plans should be reviewed at least annually to insure that information and process outlined in the plan are updated and current. Annual reviews must be scheduled with OEMCP.</p>	<p>How To Use The Guide- Page 1</p>