Civil & Environmental Engineering

CONTINUITY OF OPERATIONS PLAN

September 15, 2009
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1.0 PLAN APPROVAL

Approval expires on: ________________

Approved by: __________________________       Approval Date: ________________

Joe Rowe
Director of Administration
School of Civil & Environmental Engineering Unit

Approved by: __________________________       Approval Date: ________________

Director of Facilities
College of Engineering

The plan will be reviewed, updated and approved again no later than September 15th of each year.
2.0 PLAN PURPOSE AND SCOPE

2.1 Purpose and Scope

This is the Continuity of Operations Plan (COOP) for the School of Civil & Environmental Engineering Unit (hereinafter CEE) of the Cornell University College of Engineering (COE). Its purpose is to provide guidance to the faculty and staff of the Unit, the COE and Cornell University on maintaining and restoring the Unit’s identified critical functions during and after an emergency or disaster.

This COOP is intended to be implemented whenever one or more of the Unit’s identified critical functions, as defined herein, are significantly disrupted due to emergency or unanticipated conditions from any cause.

2.2 Relationship to Other Emergency Plans

This plan is related to and consistent with the COE Emergency Plan, as well as the Cornell University Emergency Plan. These plans provide guidance regarding the response to major emergency situations, protection of people and property, and disaster recovery operations.

Protection of the health and safety of the Unit’s personnel is addressed in the emergency plans for the building(s) occupied by the Unit.

Depending on the scope and type of emergency, the COOP may be activated and implemented independently by the Unit.

It may also be activated and implemented concurrently with a building’s emergency plan, the COE Emergency Plan, and/or the Cornell University Emergency Plan and associated Emergency Operation Centers (EOCs).
3.0 CONCEPT OF OPERATIONS

This section of the Unit’s COOP defines the concept of operations for its activation and implementation.

3.1 Pre-Emergency Preparedness

During times of normalcy, the Unit maintains a two-part review of its plan. program.

First, the Unit will annually review and update the COOP to ensure that:

- The COOP corresponds accurately to the Unit’s current personnel, operations, responsibilities and requirements
- The Unit’s designation herein of critical functions remains valid
- The capabilities to restore critical functions remain accurately identified and available for timely use
- Unit and COE personnel remain knowledgeable in their responsibilities to activate and implement the COOP

Secondly, the Unit will, on a continuing basis, identify and assess the vulnerabilities of its critical functions to disruption.
- The Unit will define appropriate mitigation actions, and take steps to implement those actions.
- The Unit, in conjunction with COE Administration, will maintain a current list of these mitigation action items and will strive to implement them as soon as it is feasible to do so.

3.2 Unit COOP Response Team

In order to respond to emergency situations that will or may disrupt one or more of the Unit’s critical functions, a Unit COOP Response Team has been defined. The Team will consist of the following individuals:

- The Unit Director of Administration will coordinate response requests related to emergencies. In the absence of this individual, the CEE Facilities Coordinator will take the lead at initiating the assessment and COOP implementation. The Director will have managerial and administrative responsibility for decisions and activities necessary to restore disrupted critical functions.
- Support staff, who will assist the Director in implementing the actions required of the Unit to restore disrupted critical functions may include:
  - CEE Director
  - CEE Manager of Technical Services
  - CEE Equipment Technician
  - CEE Consultant/Advisor for Network Support
  - CEE Lead Finance
  - The responsible faculty member(s) affected by the event
  - Other Unit staff as assigned
  - COE Director of Facilities

Roles
• An individual be designated to serve as the Unit’s Liaison to other Units and entities within the COE and the University that are stakeholders in the disrupted critical function(s) and who will require accurate and timely information regarding the status of restoration efforts.
• The Team is responsible for providing the necessary technical guidance and information to the Unit Director of Administration. That information will be used to complete the activities to restore the disrupted critical functions.

3.3 Activation of the Unit COOP

Promptly after the occurrence of an event, the Unit Director of Administration will work with the Team to ensure completion of a damage assessment. The findings of the assessment will be used to define the extent to which Unit critical functions will be disrupted, relying on consideration of the following factors:

• The proportion or percentage of the critical function(s) disrupted or lost
• The relative consequences to the Unit, the COE and/or the University
• The estimated time required to complete actions to restore the disrupted critical function(s)
• The availability of the essential personnel for undertaking restoration actions
• The availability of funding and/or other key resources for implementing restoration actions
• The ease with which alternate actions to temporarily replace the disrupted critical function could be implemented and the extent to which they would mitigate the consequences of the disruption.
• Other factors originating from the unique circumstances of the emergency and its impact

Based on these considerations, the Unit Director of Administration will make a determination whether the Unit COOP should be activated. If the situation warrants COOP implementation, the Director will coordinate and oversee the actions identified herein for restoration of the disrupted critical function.

3.4 Notification of COOP Activation

Upon a decision to activate the COOP, the Unit Director of Administration will ensure that the following are notified as soon as feasible regarding the disrupted critical function(s). Notification requests are subject to the circumstances that dictate COOP activation:

• COOP Team
• Director
• COE Associate Dean of Administration
• Cornell University Office of Emergency Planning
• Unit faculty, staff, students and other building occupants
• Other students outside of unit affected by the disrupted critical function(s)
• All personnel designated as essential for restoration of the disrupted critical function(s)
• All identified dependency and partner stakeholders of the disrupted critical function(s)
• Other individuals and entities as required by the circumstances

### 3.5 Request for Activation of the COE Emergency Plan

If needed, due to the number of disrupted critical functions, the complexity of restoration activities, and/or the magnitude of the consequences, the Unit Director may request the COE Associate Dean of Administration to activate the COE Emergency Plan.

The COE Associate Dean or designee will determine if the situation warrants activation of the COE Emergency Plan and the EOC, and if so, will issue instructions to do so. Pursuant to the COE Emergency Plan, the EOC will provide support, coordination and technical advice to the Unit as it implements its COOP.

Once the COOP is fully implemented by the Unit, the EOC may deactivate some or all of its support operations, upon a decision of the Associate Dean or designee to do so.

During the period of EOC activation, the assigned Unit Director of Administration will either deploy to the EOC or will ensure that an individual from the Unit is deployed as a liaison to the EOC. Through this liaison, the Unit will make requests to the EOC for assistance as needed and will provide continuing status reports on the progress of COOP implementation and the temporary restoration of the disrupted critical function(s).

If the Unit is the only entity implementing its COOP, prioritization of resources and decision-making will occur jointly between the Unit and the Command staff of the EOC. However, if the emergency situation has previously required activation of the EOC and the COOPs of several COE Units, the EOC will be responsible for prioritization of resources among COE Units and decision-making regarding the COE’s overall response to the situation.

All public information and/or media releases regarding the COE’s response to the emergency situation and the restoration of critical function(s) will be managed through the EOC, if activated, or through the Dean's Office if the EOC is not activated.
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4.0 CHARACTERISTICS OF THE UNIT

4.1 Unit Functions

CEE has most of its offices, classrooms and laboratories in Hollister Hall, although it is responsible for the CEE Bovay Laboratory in the subbasement of Bard and Thurston Halls. The Unit has responsibility for 25 classrooms in Hollister Hall, which are also used by other Units. Many of the Unit’s classes are also attended by students from Units other than CEE. The Unit’s four laboratories are all used for teaching as well, and the faculty members generally share laboratory space and equipment. Several laboratories are “wet labs” equipped with fume hoods, controlled environment rooms, and specialized computer clusters. The research/teaching laboratories are used on a 24 hour/day basis. In addition, CEE conducts extensive joint research and teaching with Cornell’s Department of Biological and Environmental Engineering (BEE). CEE is also responsible for a machine shops which fabricate and/or modify equipment for use in the Unit’s teaching and research functions.

CEE also has responsibility for a large meeting room, McMannus Lounge, which is heavily used by a variety of groups and Units within and outside of the Unit for conferences and training.

Hollister Hall has propane and steam piped throughout the building. The University’s fiber cable and chilled water system are routed through Hollister Hall. Therefore, if an emergency caused physical damage to Hollister Hall, damage to these systems could affect several other buildings.

During non-emergency periods of normal operation, the Unit’s direct administrative functions cover a typical range of services. Administrative functions include purchasing, human resources, student services, and record keeping. Administrative record keeping utilizes both paper and electronic format documents.

Overall, CEE’s faculty indicates that there is a high vulnerability of the research laboratories to a power failure which would shut down and/or damage computers, and laboratory equipment, such as refrigerated cell collection storage. The faculty also reports to hazards which could physically damage equipment, e.g., a building fire, water damage, etc. Some faculty’s research is dependent on specially fabricated equipment, which would require an extended period to replace if damaged. Bovay Laboratory has unique equipment that would be difficult and time consuming to relocate to or replace in another laboratory.

4.2 Unit Personnel

At the time of authorization of this plan, the personnel associated with the Unit are given below, with additional information provided in Appendix A.

- 24 academic appointments/faculty
- 9 adjunct professors, lecturers and emeritus faculty
- 9 Information Technology Specialists and Technicians
- 9 administrative staff full time
- 5 research associates
• About 240 graduate and undergraduate students
• 9 visiting and post-doctoral scientists

4.3 Space

This Unit has the following spaces types and quantities which are subject to change
• Offices
• Classrooms
• Lecture/conference rooms
• Teaching laboratories

Refer to Appendix B – Space Summary.

4.4 Information Technology

The information technology (IT) processes utilized by the Unit are vital to all of its operations and the fulfillment of its critical functions. The Unit has its own network within Hollister Hall, which also has access to wireless internet service provided by Cornell Information Technology (CIT). The Unit uses two computer clusters to support administrative information management, as well as data management for some research operations. Most research operations have their own computers and servers, and management of other research data is directly by the faculty. Data held on CEE administrative servers is backed up by the Unit itself, as is the research data managed by the Unit IT staff. For other research data, most faculty members report that the research staff itself backs up its own electronic information.

Some faculty report use of paper copies of information such as lecture notes, interim grades, and other reports that would be considered critical if lost. Other faculty members keep all critical data in electronic format.

The Unit is dependent on the University’s computer network for email, data transfer and Internet access. The functionality of this network, outside of Unit offices and laboratories, is the responsibility of CIT. If this network fails for an extended period, normal Unit operations could be significantly impacted.

The Unit engages in a shared web-based teaching program with Syracuse University. The Unit also is responsible for 5 classrooms that utilize high tech electronic teaching and research tools. In addition, the Unit also maintains a website with comprehensive information regarding its programs and personnel.

4.4.1 IT Communication and Responsibility

The following IT applications and/or systems, as described below, are considered important to the Unit.

a. Administrative data information management

• Functional owner: CEE Director of Administration
• Technical owner: CEE Network Administrator
• Responsibility for recovery: CEE Director of Administration
- Time objective for recovery: 3 days

b. **Electronic communication (email, internet access)**

- Function owner: Cornell Information Technologies (CIT)
- Technical owner: CIT
- Responsibility for recovery: CIT
- Time objective for recovery: 1 day

c. **Network**

- Function owner: Cornell Information Technologies (CIT)
- Technical owner: CIT
- Responsibility for recovery: CIT
- Time objective for recovery: 1 day

Refer to Appendix D for more detailed information related to IT systems.

4.5 **Hazardous Operations**

The Unit’s teaching classrooms/laboratories utilize small amounts of various hazardous materials. The Unit relies on Cornell University Environmental Health & Safety (EHS) for support and guidance regarding management of hazardous materials. The Unit has established a safety committee that does inspections in accord with EHS guidance and provides safety training to students and other personnel.
5.0 IDENTIFIED UNITAL CRITICAL FUNCTIONS

The following critical functions have been identified for CEE programs:

1. Maintain the Unit’s instructional function
2. Maintain the availability of IT network
3. Maintain the Unit’s research functions
4. Maintain the Unit’s administrative functions

5.1 Critical Function Number 1 – Maintain the Unit’s instructional function

This function is designated as critical for the Unit because of the importance of the availability of the instructional services to student progress towards graduation.

5.1.1 Description

The Unit provides instruction to approximately 250 students within CEE, as well as numerous students from BEE and other Units. Many of the courses given by CEE are required for graduation. To support the instructional function for the College and other University units, CEE maintains 25 classrooms in Hollister Hall, with four designated teaching laboratories, although most laboratories have classroom space. There are three CEE classes that have more than 80 students.

5.1.2 Major Related Dependencies

The ability to sustain the instructional function does not have major dependencies on other entities outside of CEE. There are dependencies within CEE with its machine shops to fabricate or modify equipment used in instruction, as well as CEE’s IT function to maintain the high tech electronic classrooms.

5.1.3 Consequences of Failure of the Critical Function

Loss of several classrooms and/or the ability to teach several courses could interfere with a large number of students’ progress towards and schedule for graduation.

5.1.4 Variations in the Criticality of the Function

This function is critical during the academic year.

5.1.5 Essential Documents, Data or Records Associated with this Function

There are documents, data or records that are considered an essential component of maintaining and/or restoring this critical function. These are described as follows:

<table>
<thead>
<tr>
<th>Document/Record Description</th>
<th>Storage Location and Media Type</th>
<th>Contact Information for Responsible Individual</th>
<th>Explanation of Need for Document/Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lecture notes and instructional aids</td>
<td>Written, paper copies; Electronic copies</td>
<td>Individual faculty members</td>
<td>Documentation necessary to restore or resume instructional programs</td>
</tr>
</tbody>
</table>
Student records and/or interim grades | Written, paper copies; Electronic records | Individual faculty members, teaching assistants | Important until records/grades transmitted to Cornell

**Critical Function 1 Restoration – Restoration of instructional laboratories**

**5.1.6 Personnel:**

Restoration of the functionality of the Unit’s instructional laboratories would be coordinated by the Unit’s Director of Administration, who would be assisted by the affected faculty member. The COE Director of Facilities, the COE Registrar and COE Office of Information Technology (OIT) would also be expected to provide support, as needed. Other support is noted in the Go Kit #1 for this critical function, which is provided as an attachment.

**5.1.7 Space Requirements**

Space requirements for restoration of the Unit’s instructional function would be dependent upon the number of classroom/laboratories requiring restoration.

*Refer to Appendix B for Space and Occupancy*

**5.1.8 Equipment Requirements**

There would be some equipment requirements for restoration of the instructional function, principally through restoration of the laboratory aspects of instruction.

*Refer to Appendix B for Equipment information.*

**5.1.9 Information Technology and Communications**

Restoration of the function would generally require classroom IT and Communications support such as projectors and internet connections. If the Unit’s high tech electronic classrooms were damaged, additional IT and communications services and equipment would be necessary for restoration of these instructional functions.

*Refer to Appendix D for server locations, backups and computer needs.*

**5.1.10 Actions for restoration of the CEE’s instructional function:**

<table>
<thead>
<tr>
<th>Item</th>
<th>Actions for Instructional Function Restoration</th>
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<tr>
<td>1</td>
<td>Assess the extent of damages and the number of classrooms lost</td>
</tr>
<tr>
<td>2</td>
<td>Notify faculty and students of classrooms out of service</td>
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<tr>
<td>3</td>
<td>Identify instructional equipment/IT functionality required for restoration</td>
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<tr>
<td>4</td>
<td>Determine if alternate space available within CEE; If not, request assistance from COE Registrar and COE Director of Facilities to locate alternate space</td>
</tr>
<tr>
<td>5</td>
<td>Confirm alternate space and determine if IT capability and laboratory equipment adequate; Take action to relocate IT capability and laboratory equipment as necessary</td>
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</table>
6 Reestablish teaching function in alternate space and notify stakeholders accordingly

5.2 Critical Function Number 2 – Maintain the availability of IT network

5.2.1 Description

CEE maintains a network internal to Hollister Hall for which it is responsible. This network is also connected to CIT’s network for email and internet access. This connectivity is vital to the normal administrative, teaching and research functions of the Unit.

5.2.2 Major Related Dependencies

In addition to the impact on Unit personnel, loss of the Hollister Hall network functionality would affect Engineering Admissions and Engineering Communications, both of which are located in Hollister Hall.

The Cornell University network, however, is the function of CIT, who would be responsible for addressing a network failure if it occurred outside of Hollister Hall.

Refer to Appendix D – Contact Information for Critical Dependents, for more information

5.2.3 Consequences of Failure of the Critical Function

The loss of the Hollister Hall network would adversely affect all aspects of Unit operations, including administration, teaching and research. This assumes that the cause for the failure of the network did not result in data loss from the Unit’s servers and/or from faculty servers and computers.

5.2.4 Variations in the Criticality of the Function

This function is considered critical throughout the year.

5.2.5 Essential Documents, Data or Records Associated with this Function

There are no documents, data or records that are considered an essential component of maintaining and/or restoring this critical function. This assumes that the cause for the loss of the

Critical Function 2 Restoration – Restoring IT and Network Functionality

5.2.6 Personnel Responsibilities

The CEE Director of Administration will coordinate efforts to determine the cause of network failure and to restore its functionality. The Director of Administration will be assisted by the CEE Network Administrator. In addition, as indicated, support from the COE OIT and/or CIT is likely to be necessary.

5.2.7 Space Requirements
Definition of this critical function assumes that the space normally utilized by the affected faculty members for teaching and research remains available.

*Refer to Appendix C for a list of spaces normally utilized*

### 5.2.8 Equipment Requirements

Equipment requirements for restoration of the CEE Network are likely to require network connections and similar equipment. The definition of this critical function assumes that administrative, teaching and research equipment would not be damaged by the event.

*Refer to Appendix C for equipment related to instruction and laboratories.*

### 5.2.9 Information Technology and Communications:

Definition of this critical function assumes that IT and communications functionality has been lost and, as indicated, would have to be restored. Components necessary for repairing and/or rebuilding the Hollister Hall network would be required. If the failure is within CIT’s network, the responsibility for restoring connectivity to Hollister Hall is with CIT.

*Refer to Appendix D for normally used server locations, backups and computer needs*

### 5.2.10 Actions Needed to Restore the Function

<table>
<thead>
<tr>
<th>Item</th>
<th>Actions for Restoring IT and Network Functionality</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Determine the cause(s) of network failure. If not within Hollister Hall, notify CIT of the network outage and request restoration actions. If the outage is within Hollister Hall, continue restoration actions.</td>
</tr>
<tr>
<td>2</td>
<td>Initiate diagnostic actions to identify the cause(s) and location(s) of the network failure</td>
</tr>
<tr>
<td>3</td>
<td>Notify stakeholders within Hollister Hall of the failure and restoration actions being taken</td>
</tr>
<tr>
<td>4</td>
<td>Obtain assistance from COE OIT, if indicated.</td>
</tr>
<tr>
<td>5</td>
<td>Repair equipment and/or purchase and install equipment</td>
</tr>
<tr>
<td>6</td>
<td>Test network and confirm functionality</td>
</tr>
<tr>
<td>7</td>
<td>Notify stakeholders of the restoration of the network.</td>
</tr>
</tbody>
</table>

### 5.3 Critical Function Number 3 – Maintain the Unit’s research functions

#### 5.3.1 Description

This function is designated as critical for the Unit in order to maintain sponsored research within CEE which is an important source of revenue, as well as the avenue through which students participate in classes, complete theses, and progress toward graduation.

#### 5.3.2 Major Related Dependencies
A significant component of the research within CEE is the acquisition and management of data. This means that many of the research functions conducted within Hollister Hall are dependent on the networks maintained by CEE and CIT. Several faculty members also have indicated that their research has a vulnerability to power loss and the failure of the chilled water system. Both of these utilities are also outside of the control of CEE.

Several laboratory operations utilize unique equipment which, if damaged, would have to be specially manufactured or fabricated. Bovay Laboratory has unique equipment that would be difficult and time consuming to relocate to or replace in another laboratory.

5.3.3 Consequences of Failure of the Critical Function

The failure of the research function could jeopardize the ability of faculty members to achieve the deadlines established by the agencies sponsoring the research. Loss of research grants as a result would cause a significant financial impact to the Unit.

Loss of the capability to complete research projects could also interfere with the ability of students to complete thesis and required courses, and thereby jeopardize progress towards graduation.

5.3.4 Variations in the Criticality of the Function

This function is considered critical throughout the year.

5.3.5 Essential Documents, Data or Records Associated with this Function

There are documents, data or records that are considered an essential component of maintaining and/or restoring this critical function. These are described as follows:

<table>
<thead>
<tr>
<th>Document/Record Description</th>
<th>Storage Location and Media Type</th>
<th>Contact Information for Responsible Individual</th>
<th>Explanation of Need for Document/Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment inventories and specifications</td>
<td>Both written, paper copies and electronic files</td>
<td>Faculty members, manufacturers and/or the Tech staff</td>
<td>Necessary for repair and/or re-fabrication of the equipment.</td>
</tr>
<tr>
<td>Research data</td>
<td>Electronic files</td>
<td>Faculty members and laboratory staff</td>
<td>Loss of research data could significant impede resumption of research</td>
</tr>
</tbody>
</table>

Critical Function 3 Restoration – Maintain the Unit’s research functions

5.3.6 Personnel Responsibilities

The Unit Director of Administration would coordinate operations to restore CEE’s research functions following an emergency. This person will be assisted by the affected faculty member and laboratory staff, as well as by the CEE Facilities Coordinator, Manager of Technical Services and Network Administrator. As indicated, the COE Director of Facilities and Director of OIT may also provide assistance.
5.3.7 Space Requirements

Restoration of this critical function may require renovation/replacement of the existing laboratory space damaged during the event. Space requirements could vary from a single laboratory to several.

*Refer to Appendix B which provides information on the Unit’s space needs.*

5.3.8 Equipment Requirements

Restoration of this function would require, as indicated, repair or replacement of laboratory equipment damaged during the event. In the case of specialized or unique equipment, this may require special fabrication or manufacture of the equipment.

*Refer to Appendix C for other equipment.*

5.3.9 Information Technology and Communications

Restoration of this critical function assumes that the laboratory’s IT and communications technology remains available and functional outside of the damaged laboratory or a restored laboratory in an alternate location. Unique IT requirements and/or network interfaces within the laboratory would have to be reconstructed. IT interfaces required for operation of specialized laboratory equipment would be considered to be a component of the equipment to be fabricated and/or ordered from the manufacturer.

5.3.10 Actions for Restoring CEE’s Research Function

<table>
<thead>
<tr>
<th>Item</th>
<th>Actions for the Research Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify the laboratories impacted and the scope of the damages; Determine if alternate laboratory space will be required</td>
</tr>
<tr>
<td>2</td>
<td>Determine if CEE has available laboratory space and, if not, request the COE Director of Facilities to secure suitably equipped alternate space</td>
</tr>
<tr>
<td>3</td>
<td>Determine the equipment and IT functionality required for laboratory restoration; If indicated, develop specifications and order unique equipment</td>
</tr>
<tr>
<td>4</td>
<td>Obtain and install required laboratory furniture and fixtures</td>
</tr>
<tr>
<td>5</td>
<td>Restore and test network connectivity</td>
</tr>
<tr>
<td>6</td>
<td>Install and test laboratory equipment</td>
</tr>
<tr>
<td>7</td>
<td>Notify stakeholders of the relocation/restoration of the laboratory</td>
</tr>
</tbody>
</table>

5.4 Critical Function Number 4 – Maintain the Unit’s administrative functions

5.4.1 Description

The Unit’s responsibilities for administrative functions include several that would have significant consequences if they could not be maintained or restored within a short period of time. These include processing of grant and contract pre and post award data, faculty and student support services, the processing of student records, purchase orders, processing of payroll and similar functions upon which others in the Unit depend.

5.4.2 Major Related Dependencies
The Unit is dependent on the functionality of CIT’s network for the maintenance or restoration of this critical function.

5.4.3 Consequences of Failure of the Critical Function

Extended disruption to critical administrative functions would interfere with the Unit’s capabilities to maintain its other critical functions, such as supporting instructional and research functions.

5.4.4 Variations in the Criticality of the Function

This function would be relatively more critical during the academic year when student services are the most intensive. However, because of the ongoing nature of research, the function is critical throughout the year.

5.4.5 Essential Documents, Data or Records Associated with this Function

This critical function addresses essential documents, data or records, most of which can be summarized as follows:

<table>
<thead>
<tr>
<th>Record Description</th>
<th>Storage Location</th>
<th>Responsible Individual</th>
<th>Need</th>
</tr>
</thead>
<tbody>
<tr>
<td>Handwritten student records and interim grades</td>
<td>Faculty member’s office</td>
<td>Faculty member and/or Teaching Assistant</td>
<td>Required to provide to Central University for student graduation</td>
</tr>
</tbody>
</table>

**Critical Function 4 Restoration – Maintain the Unit’s administrative functions**

5.4.6 Personnel Responsibilities

The Unit Director of Administration would coordinate operations to restore and/or relocate key administrative functions. The DOA would be supported by the CEE System Administrator, and the Director’s Administrative Assistant. If indicated, the COE Director of Facilities would provide assistance in locating alternate office space.

5.4.7 Space Requirements

If required due to damages to the original administrative offices, alternate office space would be required elsewhere in Hollister Hall or in another building.

5.4.8 Equipment Requirements

Equipment requirements would include replacement furnishings and other office equipment, including computer, copiers and printers.

*Refer to Appendix C for Unit equipment.*

5.4.9 Information Technology and Communications
The IT requirements for restoration of key administrative functions include connectivity to the CIT network. If other CEE operations are ongoing in Hollister Hall, connectivity to the CEE network would also be important. In addition, administrative back up data from CIT would also likely be needed to restart several administrative functions.

Refer to Appendix D for additional information regarding CEE’s IT systems.

5.4.10 Actions for Restoring Administrative Functions

<table>
<thead>
<tr>
<th>Item</th>
<th>Actions for Restoring Administrative Functions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Assess the impact of the event; Determine the administrative functions affected and if alternate office space will be needed</td>
</tr>
<tr>
<td>2</td>
<td>Notify stakeholders of the situation and actions being taken</td>
</tr>
<tr>
<td>3</td>
<td>If alternate office space is needed, determine if available in Hollister Hall; If not, request support from the COE Director of Facilities</td>
</tr>
<tr>
<td>4</td>
<td>Secure office space and purchase necessary furnishings and office equipment</td>
</tr>
<tr>
<td>5</td>
<td>Establish connectivity of the office space to the CIT network and, if applicable, Hollister Hall network</td>
</tr>
<tr>
<td>6</td>
<td>Relocate and resume administrative operations</td>
</tr>
<tr>
<td>7</td>
<td>Obtain backed up administrative data as necessary</td>
</tr>
<tr>
<td>8</td>
<td>Notify stakeholders of re-established administrative operations</td>
</tr>
</tbody>
</table>
ATTACHMENTS

“Go Kits” to guide and support restoration of the designated critical functions of the Cornell University College of Engineering, School of Civil & Environmental Engineering.

“Go Kit #1” – Maintain the Unit’s instructional function

“Go Kit #2” – Maintain the availability of IT network

“Go Kit #3” – Maintain the Unit’s research functions

“Go Kit #4” – Maintain the Unit’s administrative functions
Go Kit #1- Maintain the Unit’s instructional function

Building: _________________________________________________________
Room(s) Affected: _________________________________________________
Occupant(s): _____________________________________________________
Occupant(s) Office Phone: ____________________  Cell Phone:____________
Occupant(s) Home Phone:  ____________________  E-mail:_______________

Incident Description:
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________
______________________________
Continue on back of form, if more space is needed.

Incident date: _______________________

Notification Personnel:
Director of Administration:  (255-0549 office
426-1004 cell
562-8304 home)
Administrative Assistant to the Director (255-3690)

RESTORATION ACTIONS:

Step 1: Notifications regarding incident

Immediate Notifications:

Unit Director 255-3690) Date: ______________
Affected Faculty Date: ______________
CEE Undergraduate Coordinator (255-3412) Date: ______________
CEE Graduate Program Coordinator (255-3438) Date: ______________

COE Registrar (255-7140) Date: ______________
COE Facilities Director: 254-7285, 327-2936 Date: ______________

Reference Information:

• Facility Codes – Hollister Hall (2046)
• Unit Standing Work Order - #______________
Step 2: Impact/damage assessment

Actions:

Assess impact to the Unit’s classrooms/teaching labs:
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________

Step 3: Activation of Unit Continuity of Operations Plan

1) Can this be handled within the Unit? Yes _____

No _____ (Implement additional COOP notifications)

2) Will this Critical Function be out of service for an extended time period?

Yes _____ Duration ________ (Range)

Considerations:

• Disruption to classes/labs
• Duration of disruption
• Disruption to faculty schedules
• Disruption to student progress towards graduation or thesis completion

Actions:

• Complete immediate and additional notifications
• Prioritize classroom restoration needs
• Define implementation schedule
• Reschedule non-essential activities

Additional notifications:

COE Associate Dean Administration (255-4914) Date: _______________
COE OIT Director (255-6227) Date: _______________
Facilities Customer Service (255-5322) Date: _______________
CU Risk Management (254-1575) Date: _______________
Custodial Care Coordinator (255-5174) Date: _______________

COE Dean’s Office:

• Situation requires activation of COE Emergency Plan
Yes____ No____

- Situation does not require activation of COE Emergency Plan
  Yes____ No____

- Dean’s office concurs with decision on COE Emergency Plan activation
  Yes____ No____

Step 4: Response Actions

Actions:

- Assess the extent of damages and the number of classrooms lost
- Notify faculty and students of classrooms out of service
- Identify instructional equipment/IT functionality required for restoration
- Determine if alternate space available within CEE; If not, request assistance from COE Registrar and COE Director of Facilities to locate alternate space
- Confirm alternate space and determine if IT capability and laboratory equipment adequate; Take action to relocate IT capability and laboratory equipment as necessary
- Reestablish teaching function in alternate space and notify stakeholders accordingly

Injuries:

- Student Injury (notify parents)
  __________________________________________________________

- Faculty/Staff Injury (notify family)
  __________________________________________________________

- Accident Report Completed
  __________________________________________________________

- Cause
  __________________________________________________________

- Mitigation Measures
  __________________________________________________________

Security/Safety/Restrict Access:

________________________
________________________
________________________
________________________

System Lock-Out/Tag-Out:

- Ventilation
- Plumbing
- Electrical
- Compressed Gas
- Hazards Removed
- Other

Signage Needed:
- Caution tape
- Signage Posted

Emergency Kit Materials:
- Padlock(s)
- First Aid Kit
- Batteries
- Other

----- END CHECKLIST -----
CONTINUITY OF OPERATIONS PLAN

Go Kit #2 – Maintain the availability of IT network

Building: _________________________________________________________
Room(s)Affected:__________________________________________________
Occupant(s):
________________________________________________________________
________________________________________________________________
________________________________________________________________

Occupant(s) Office Phone: _____________ Cell Phone: ________________
Occupant(s) Home Phone: _______________ E-mail:_____________________

Incident Description:
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________

Continue on back of form, if more space is needed.

Incident date: _________________

Notification Personnel:

   Unit Director of Administration: (????)
   Assistant to the Director of Administration (????)
   Network Administrator (351-6211????)

RESTORATION ACTIONS:

Step 1: Notifications regarding incident

Immediate Notifications:

   CEE Director/Chair (???)       Date: _______________
   CEE Faculty (???)              Date: _______________
   COE Director of OIT (???)      Date: _______________
   CIT Network Administrator (???) Date: _______________

Reference Information:

   • Facility Codes – Hollister Hall (2046)

Step 2: Impact/damage assessment
Actions:

- Identify points of failure in Unit’s network or failure to CIT’s network:
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________

Step 3: Activation of Unit Continuity of Operations Plan

1) Can this be handled within the Unit?  Yes _____
   No _____ (Implement additional COOP notifications)

2) Will this Critical Function be out of service for an extended time period?
   Yes _____ Duration ________ (Range)

Additional Notifications:

Actions:

- Complete immediate and additional notifications
- Prioritize CEE network restoration actions/Advise CIT of restoration priority
- Define implementation schedule
- Reschedule non-essential activities

COE Dean’s Office:

- Situation requires activation of COE Emergency Plan  Yes___ No_____
- Situation does not require activation of COE Emergency Plan  Yes___ No_____
- Dean’s office concurs with decision on COE Emergency Plan activation  Yes___ No_____

Step 4: Response Actions

Actions:
- Determine the cause(s) of network failure. If not within Hollister Hall, notify CIT of the network outage and request restoration actions. If the outage is within Hollister Hall, continue restoration actions.
- Initiate diagnostic actions to identify the cause(s) and location(s) of the network failure
- Notify stakeholders within Hollister Hall of the failure and restoration actions being taken
- Obtain assistance from COE OIT, if indicated.
- Repair equipment and/or purchase and install equipment
- Test network and confirm functionality
- Notify stakeholders of the restoration of the network.

----- END CHECKLIST -----
CONTINUITY OF OPERATIONS PLAN

Go Kit #3 – Maintain the Unit's research functions

Building:
_________________________Room____________________________

Individuals(s) Affected: ________________________________
Individuals(s) Office Phone: _______________ Cell Phone: _______________
Individuals (s) Home Phone: _______________ E-mail: __________________

Incident Description:
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________

Continue on back of form, if more space is needed.

Incident date: _________________

Notification Personnel:

Unit Director of Administration (???)
Administrative Assistant to the Director (???)
Facilities Coordinator (351-6210???)

RESTORATION ACTIONS:

Step 1: Notifications regarding incident

Immediate Notifications:

Unit Director/Chair Date: _______________
CEE Undergraduate Coordinator (????) Date: _______________
CEE Graduate Coordinator (????) Date: _______________
Faculty members Date: _______________
COE Facility Coordinator (255-3579) Date: _______________

Step 2: Impact/damage assessment

Actions:
• Identify the damaged laboratories and research/teaching equipment:
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________

Step 3: Activation of Unit Continuity of Operations Plan

1) Can this be handled within the Unit?  Yes _____
   No _____ (Implement additional COOP notifications)

2) Will this Critical Function be out of service for an extended time period?
   Yes _____ Duration ________ (Range)

Additional Notifications:

  COE Associate Dean Administration (255-4914) Date: ___________
  CU Risk Management Date: ___________
  CU Office of Sponsored Programs (????) Date: ___________
  COE Director of OIT (???) Date: ___________

Actions:

  • Complete immediate and additional notifications
  • Prioritize laboratory and equipment restoration needs
  • Define implementation schedule
  • Reschedule non-essential activities

COE Dean’s Office:

  ▪ Situation requires activation of COE Emergency Plan
    Yes_____  No_____ 
  ▪ Situation does not require activation of COE Emergency Plan
    Yes_____  No_____ 
  ▪ Dean’s office concurs with decision on COE Emergency Plan activation
    Yes_____  No_____ 

Step 4: Response Actions

Actions:

  • Identify the laboratories impacted and the scope of the damages; Determine if alternate laboratory space will be required
- Determine if CEE has available laboratory space and, if not, request the COE Director of Facilities to secure suitably equipped alternate space
- Determine the equipment and IT functionality required for laboratory restoration; If indicated, develop specifications and order unique equipment
- Obtain and install required laboratory furniture and fixtures
- Restore and test network connectivity
- Install and test laboratory equipment
- Notify stakeholders of the relocation/restoration of the laboratory

**Injuries:**
- Student Injury (notify parents)
- Faculty/Staff Injury (notify family)
- Accident Report Completed
- Cause
- Mitigation Measures

**Security/Safety/Restrict Access:**

**System Lock-Out/Tag-Out:**
- Ventilation
- Plumbing
- Electrical
- Compressed Gas
- Hazards Removed
- Other

**Signage Needed:**
- Caution tape
- Signage Posted

**Emergency Kit Materials:**
- Padlock(s)
- First Aid Kit
- Batteries
- Other

----- END CHECKLIST -----
CONTINUITY OF OPERATIONS PLAN

Go Kit #4 – Maintain the Unit’s administrative functions

Building: ________________________________________________________

Individuals(s) Affected: _____________________________________________

Individuals(s) Office Phone: _______________ Cell Phone: _______________

Individuals (s) Home Phone: _______________ E-mail: ________________

Incident Description:
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________

Continue on back of form, if more space is needed.

Incident date: _________________

Notification Personnel:

Unit Director of Administration (???)
CEE Administrative Assistant to the Director (???)

RESTORATION ACTIONS:

Step 1: Notifications regarding incident

Immediate Notifications:

Director/Chair (????) Date: ______________
Faculty Date: ______________
CEE Undergraduate Coordinator (????) Date: ______________
CEE Graduate Coordinator (????) Date: ______________
CEE Network Administrator (????) Date: ______________
CEE Accounts Coordinator (255-6192????) Date: ____________________

CEE Finance Specialist (255-3684????) Date: ____________________

Step 2: Impact/damage assessment

Actions:
• Define the administrative processes disrupted and expected duration:
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________
  _______________________________________________________________

Step 3: Activation of Unit Continuity of Operations Plan

1) Can this be handled within the Unit? Yes _____
   No _____ (Implement additional COOP notifications)

2) Will this Critical Function be out of service for an extended time period? Yes _____ Duration ________ (Range)

Additional Notifications:

  COE Associate Dean Administration (255-4914) Date: ___________
  COE OIT (???) Date: ___________

Actions:

• Complete immediate and additional notifications
• Prioritize administrative functions for recovery
• Define implementation schedule
• Reschedule non-essential activities

COE Dean’s Office:

• Situation requires activation of COE Emergency Plan
  Yes_____ No_____  
• Situation does not require activation of COE Emergency Plan
  Yes_____ No_____  
• Dean’s office concurs with decision on COE Emergency Plan activation
  Yes_____ No_____ 

Step 4: Response Actions

Actions:

• Assess the impact of the event; Determine the administrative functions affected and if alternate office space will be needed
• Notify stakeholders of the situation and actions being taken
• If alternate office space is needed, determine if available in Hollister Hall; If not, request support from the COE Director of Facilities
- Secure office space and purchase necessary furnishings and office equipment
- Establish connectivity of the office space to the CIT network and, if applicable, Hollister Hall network
- Relocate and resume administrative operations
- Obtain backed up administrative data as necessary
- Notify stakeholders of re-established administrative operations

----- END CHECKLIST -----
### Appendix A (To be Replaced with Unit Data)

#### Contact Information for Essential Personnel

<table>
<thead>
<tr>
<th>Name</th>
<th>Unit / Position</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Judy Starr</td>
<td>Assistant to the Unit Chair</td>
<td></td>
</tr>
<tr>
<td>Larry Brown</td>
<td>Unit Chair</td>
<td></td>
</tr>
<tr>
<td>Steve Gallow</td>
<td>Computer Operations Manager</td>
<td></td>
</tr>
<tr>
<td>Joe Sovocoool</td>
<td>Facilities Coordinator</td>
<td></td>
</tr>
<tr>
<td>Amy Colvin</td>
<td>Accounts Representative</td>
<td></td>
</tr>
<tr>
<td>Linda Hall</td>
<td>Admin. Ass’t Faculty Support</td>
<td></td>
</tr>
<tr>
<td>Duncan Bell</td>
<td>COE Registrar</td>
<td></td>
</tr>
<tr>
<td>Paul Davis</td>
<td>COE OIT Director</td>
<td></td>
</tr>
<tr>
<td>Dave Vernon</td>
<td>CIT NCS Director</td>
<td></td>
</tr>
<tr>
<td>Amy Ritter</td>
<td>COE Director of Facilities</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>UNIT Faculty/PI</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>UNIT Faculty/PI</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>UNIT Faculty/PI</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name</th>
<th>Unit / Position</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Judy Starr</td>
<td>University Contact Information</td>
<td></td>
</tr>
<tr>
<td>Larry Brown</td>
<td>Personal Contact Information</td>
<td></td>
</tr>
<tr>
<td>Steve Gallow</td>
<td>University Email</td>
<td></td>
</tr>
<tr>
<td>Joe Sovocoool</td>
<td>Home Address</td>
<td></td>
</tr>
<tr>
<td>Amy Colvin</td>
<td>Personal Cell Telephone</td>
<td></td>
</tr>
<tr>
<td>Linda Hall</td>
<td>Home Telephone</td>
<td></td>
</tr>
<tr>
<td>Duncan Bell</td>
<td></td>
<td></td>
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<tr>
<td>Paul Davis</td>
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<tr>
<td>Dave Vernon</td>
<td></td>
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<tr>
<td>Amy Ritter</td>
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<td>2</td>
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<tr>
<td>3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix B *(To be Replaced with Unit Specific Information, final format to be determined)*

Space Summary with Alternate Locations *(obtained from survey and EH&S records)*

<table>
<thead>
<tr>
<th>Room #</th>
<th>Principle Investigator(s)</th>
<th>Square Feet</th>
<th>Equipment</th>
<th>Lab Type <em>(wet/dry)</em></th>
<th>Students</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>
Appendix C *(To be Replaced with Unit Data)*

<table>
<thead>
<tr>
<th>Course</th>
<th>Instructor</th>
<th>Location</th>
<th>Enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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## Appendix D (To be replaced by Unit specific information)

### Servers

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