Guide to Business Continuity Planning on Campus

CSUDH

CALIFORNIA STATE UNIVERSITY, DOMINGUEZ HILLS

Revised: April 2017

Table of Contents

Introduction

Welcome to California State University Dominguez Hills' "Guide to Business Continuity Planning on Campus." We are pleased that you are taking time to ensure your department is prepared to respond to various types of operational interruptions. This Guide will help you plan not only for major disasters (e.g. total loss of a building) but also lessen interruptions to service (e.g. the computers are down). It puts planning in perspective and makes it more likely that crisis response will run smoothly.

The goals of business continuity are:

- To ensure that maximum possible service levels are maintained during a crisis, and
- To ensure that departments recover from interruptions as quickly as possible.

Business continuity plans must be reasonable, practical and achievable. We are not planning for *every* possibility that could cause an interruption; instead we are planning for the *effects* of any interruption. For example, your building may be unavailable for many reasons (fire, flood, wind damage, etc.), but the effect is still the same: you cannot work in that location.

Generally speaking, however, we need four things to do our jobs on campus:

❶ Employees/staff

❷ Utilities

❸ Telecommunications

❹ Office/facility to work

Some offices also need and utilize specialized equipment.

How to Use this Guide

This ***Guide to Business Continuity Planning on Campus*** was developed to provide California State University, Dominguez Hills (CSUDH) departments with business continuity planning information and a guide to develop and maintain their business continuity plan.

The next several pages will provide planning steps, tips and suggestions to guide you through the business continuity planning process for your department on campus.   Utilizing this Guide and the interview form contained in the appendix, planners will be able to obtain and document the information and items necessary to complete the business continuity plan development through Kuali Ready, our campus business continuity planning software program. Once one or two of the planning steps have been completed in this Guide, the information can be easily transferred from the interview forms into Kuali Ready. Completion of the steps in this Guide and once entered into Kuali Ready, your department will have a basic business continuity plan. We encourage you and your team to regularly discuss your department's business continuity plan.

As you begin business continuity planning for your department, it would be helpful to consider what risks your department might face. Are there chemicals or other substances in your building that might make it more likely to experience a fire? Is there a chance that enrollment in your department's program could significantly decrease or could the department experience a loss of personnel? Would your co-workers, staff, building or department operations be affected by adverse weather?

You could let your imagination run wild with potential risks! Some of them are more probable than others - perhaps they have happened before or perhaps you are aware of imminent problems. What are the most likely risks your department faces? Consider these risks as you develop and maintain your department's business continuity plan.   Your department may be able to plan for that risk now by finding strategies to reduce the risk or reduce its effects.

It is important to review these risks annually to gauge your continuity and recovery progress. As more mitigation strategies are implemented, the risks will diminish or change, as will their potential effects, and your department will be better prepared for interruptions. Set a date to review risks and the plan each year (such as the first of the new calendar year or when daylight savings time begins).

We suggest that you discuss identified risks and their potential effects with your leadership and your co-workers or staff. Business continuity planning should be completed as a collaborative effort, so sharing ideas and discussing options is a great way to start.

If you have any questions about this Guide, or if you need any assistance in your business continuity plan development, please contact Risk Management/EHOS at 310-243-2895.

Executive Order 1014

Executive Order 1014[1] delegates to each president or his/her designee, the responsibility for implementing and maintaining an ongoing program on each campus that ensures the continuity of essential functions or operations following or during the recovery phase of a catastrophic event. Our campus President has designated business continuity responsibility to the Risk Management/ Environmental Health and Occupational Safety Department Manager (RM/EHOS).

Executive Order 1014 Purpose Statement

The purpose of the executive order is to maintain an ongoing program on each campus that ensures the continuity of essential functions or operations following a catastrophic event.

---

[1] http://www.calstate.edu/EO/EO-1014.html

Kuali Ready

California State University, Dominguez Hills has secured and maintains a license for Kuali Ready software program to provide the framework for our Business Continuity Program.

Kuali Ready provides step by step instructions to assist departments in planning for continuity of operations in the event they are without essential services, adequate staffing or facilities/buildings. When you have done this, you will have created a complete continuity plan.

How to build your plan: Simply answer the questions; your plan will be produced automatically.

This Guide will assist departments in compiling the required information needed to create and maintain their business continuity plan utilizing the Kuali Ready software program.

Kuali Ready planning software is set up in 5 planning steps and an action item summary.

The steps are:

❶ Department Identification

❷ Critical Functions

❸ Information Technology

❹ Instruction
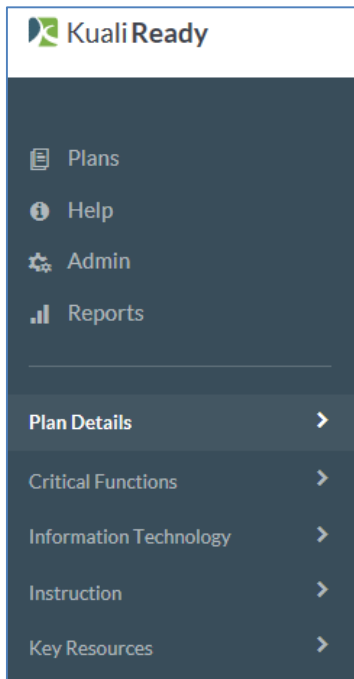
❺ Key Resources

⬤ Action Item Summary

To assist with business continuity planning efforts, each step will be discussed further in this plan and interview forms provided to capture department information required to be entered into Kuali Ready.

Click the following link to access the Kuali Ready Logon page.

https://csudh.kuali.co/ready/users/sign_in

Getting Started

Once you log into Kuali Ready, you can immediately begin building or updating your department's business continuity plan. The tabs on the left navigation of the Kuali Ready home screen provide options for editing your department information, adding and removing Kuali Ready users assigned to your plan, printing interview forms and reviewing instructions for the annual plan review sign-off.

Take a few minutes to explore the information currently contained in your plan. Have any personnel or plan users changed?

Forgot your user login or password? Not a problem, simply select the "Get Login/Password" tab from the main Kuali Ready login page.

Don't have an account but are responsible for business continuity planning for your department? Not a problem, simply select the "Create New Account" tab from the main Kuali Ready login page.

Any questions regarding account access can be addressed to the Manager of Risk Management/Environmental Health and Occupational Safety.

Step 1: Department Information

In Step 1, departments are asked to provide specific department information.

Step 2: Critical Functions

In Step 2, departments are asked to name major functions that the department NORMALLY performs. Typical examples include:

- Instruction
- Research
- Purchasing
- Payroll
- Facilities management
- University Housing activities
- Financial aid processing
- Grants accounting

> During a crisis or disaster, a department should strive to maintain as high a level of operations as possible. By identifying your critical functions, you can better determine which staff, materials, procedures and equipment are absolutely necessary to keep your department functioning.

In addition to listing the major functions performed, departments are also asked to identify the levels of criticality following a disaster. Levels include:

- **Critical 1:** must be continued at normal or increased service load. Cannot pause. Necessary to life, health, security. (Example: police services)
- **Critical 2:** must be continued if at all possible, perhaps in reduced mode. Pausing completely will have grave consequences. (Example: functioning of data networks)
- **Critical 3:** may pause if forced to do so, but must resume in 30 days or sooner. (Examples: classroom instruction, research, payroll, student advising)
- **Deferrable:** may pause; resume when conditions permit. (Examples: routine building maintenance, training, marketing)

What does your department receive funding or payment to do? What are the priority operations for your department? Some departments may define critical functions as those whose loss would cause adverse effects on students. Some might determine this based on loss of income or loss of important research.

Ask the questions: *"who produces what we need?"* and *"who needs what we produce?"*.

Step 3: Information Technology

In Step 3, departments are asked about applications owned by Information Technology (IT) and how critical the availability of the application would be FOR YOUR DEPARTMENT while you are recovering from a disaster.

The levels of criticality are similar to the levels that you used earlier to classify your critical functions. Levels of criticality of IT systems**:**

- **Critical 1 -** Cannot pause. Necessary to life, health, security.
  (Possible example: police dispatch system).
- **Critical 2 -** Failure will lead to imminent and very serious consequences.
  (Possible examples: data networks and email system)
- **Critical 3 -** Can endure a pause, but ONLY for a short time. Must be recovered by some time sooner than 30 days.
  (Possible examples: financial system, payroll system, student systems and library systems)
- **Deferrable -** Important, but we can function without this system for more than 30 days. (Possible examples: document imaging system and budget preparation software.)

Centrally-owned means that Central IT is the technical owner. The functional owner could be any department.)

Functional Owner: The unit that **authorizes** any modifications.

Technical Owner: The unit that has system administrator or programming access and **implements** any modifications.

Step 4: Instruction

Academic continuity is vitally important because it focuses on the core business of higher education: providing students with the opportunity to learn. In the event of a disaster on campus, or other significant interruption, it may be necessary to provide alternative means of instruction.

Step 4 addresses a core question: what can faculty and department chairs do to increase the likelihood that instruction will continue during and after a major disaster? Departments that do not provide either undergraduate or graduate instruction can skip this step and proceed directly to Step 5.

Click here or turn to page 28 to access the Step 4 Interview Form

---

Step 5: Key Resource

Step 5 addresses key resources for your department. Envision your department 1-3 days after a major disaster. You are calling together a group to plan how to resume operations. Who are the key people (staff or faculty) whose positions or knowledge might place them in that group?

- Every unit is asked to keep its own list of home contact information for faculty and staff. Your list should be:

    - In a format of your choosing
    - Held by enough people to be useful
    - Treated as confidential
    - Kept securely at home and at work
    - Reviewed and updated at least twice a year

- Resist the temptation to list all your staff under "Key People". The staff you should list here are the ones you would call upon first in time of crisis - who have the experience, skills, or authority to help "sort things out" and plan the next steps.

- A **leadership successor** is a person who would be an appropriate substitute if the head of the unit is absent. In most cases, this will not be an officially-designated position.
- A **formal delegation of authority** is an assignment of authority and responsibility to perform specified acts on behalf of the organization. This assignment is almost always granted via a written document.

Click here or turn to page 33 to access the Step 5 Interview Form

Action Item Summary

Action Items are:
- The most important things in a continuity plan.
- Things that could be done now (or any time before disaster strikes) to make your unit more prepared.
- Ideas, not commitments to act

Typically Action Item begins with a verb and can be stated in one sentence. Please think outside the box and don't feel constrained by resources. Sample action items include:

- *Have department IT Manager discuss work-from-home issues at faculty meeting.*
- *Design departmental networks to allow faculty and students to connect remotely in case office/lab space is damaged.*
- *Cross-train two staff members to process department payroll*
- *Do periodic trial recoveries of servers/applications.*
- *Train all instructors in the use of the XYZ course-management tool.*

Some of your Action Items may be beyond the scope of your unit to perform. That's OK; we can deliver your ideas to the proper people!

Interview Form Step 1: Department Information

Department Identification	
Personnel	**Number of Staff**
Faculty and other academic appointees:	
Residents/Fellows:	
Staff (full-time)	
Staff (part-time, excluding students)	
Student-staff	
Volunteers	
Guests	
Other (explain)	

The definition of "academic appointee" varies from campus to campus. Some typical examples are:

- professor
- lecturer
- librarian
- curator
- teaching assistant
- graduate student instructor
- graduate student researcher

"Student-staff" refers to work-study students and other employed undergraduates. Do not count unpaid student interns.

Department Questions	Answer
Department Description	
Major Division	From the drop down list, select the department's division.
Head of Unit	
Type of Department	From the list provided, check all that apply.
Location(s) occupied and spaced used	From the Kuali Ready onscreen drop-down list, select the building(s) that your unit occupies. Indicate all space used, including storage space.
Do all your buildings have evacuation plans?	☐ Yes ☐ No ☐ Some ☐ Don't Know
What cost center(s) does this plan cover? **Leave blank if this term is not used in your department**	

 Once the department information is obtained it should be entered into Kuali Ready – Step 1

Interview Form Step 2: Critical Functions

<mark>Please complete the entire Step 2 questionnaire for *each* critical function identified.
Make additional copies for each critical function identified.</mark>

Critical Function Name:	Critical Level:
	☐ Critical 1: Must continue (life, health, security) ☐ Critical 2: Must continue perhaps in reduced mode ☐ Critical 3: Pause if forced. Must resume in 30 days or sooner ☐ Deferrable: Resume when conditions permit

Brief description of this function:

Name of section or unit that performs this function (if applicable):

Responsible person(s) (give names unless this is a generic group):

Periods of High Activity - Please indicate any months when you would expect there to be especially high activity involved in accomplishing this function. This might be a peak workload period such as the annual fiscal closing for accounting functions; or it might denote activities that happen only at certain times - such as course-registration that happens once per semester.

Select as many months as needed. Explain if necessary. If this function has no peak periods, leave blank.

☐ January	☐ April	☐ July	☐ October
☐ February	☐ May	☐ August	☐ November
☐ March	☐ June	☐ September	☐ December
☐ No Peak Period			

Comments regarding peak periods:

Critical Documents

Please identify any documents that are very important to this function – whether they are **individual documents** (such as policy manuals) or **sets of records** (such as student files, research files or vendor invoices).

The documents listed may be paper or electronic. Do not include records that are stored within a database application such as a financial system, an HR system, a medical records system, etc.   These will be treated elsewhere.

Name of document or record	
Medium	☐ Paper ☐ Electronic (computer) ☐ Microfiche/Microfilm ☐ More than one (explain in comments) ☐ Other (explain in comments)
Description of Document (brief)	
Owner (department)	
Location	
Uploaded file	
Principal contact person(s)	
Backup or other loss-protection measures?	
Comment, if needed	

Dependencies

Upstream Dependencies are the departments (WITHIN the campus) whose reduced functioning would seriously impair your own department's ability to perform this Critical Function.

Downstream Dependencies are the departments that would be seriously impacted if YOUR department could not perform this Critical Function.

- Consider who produces what you need (upstream) and who needs what you produce (downstream).
- Dependencies are primarily departments, although occasionally you might name a process (e.g. instruction) or a group of people (e.g. students).
- Please do not name IT systems as either upstream or downstream dependencies. IT systems are treated separately.
- Add comments to clarify selections.

Dependencies – UPSTREAM Please indicate the departments (WITHIN the campus) whose reduced functioning would seriously impair your own department's ability to perform the critical functions identified.	
Dependencies – DOWNSTREAM Please indicate those departments that would be seriously impacted if YOUR DEPARTMENT could not perform the above function.	

Consequences of Slow Recovery

Suppose the function named above is not restarted quickly enough following a disaster. Which of the listed "harmful consequences" might occur?

Harmful Consequence	May occur (☑)	Explain - if needed
Disruption of teaching?	☐	
Disruption of research?	☐	
Disruption of patient care?	☐	
Departure of faculty?	☐	
Departure of staff?	☐	
Departure of students?	☐	
Well-being of faculty/staff?	☐	
Well-being of students?	☐	
Payment deadlines unmet?	☐	
Loss of revenue?	☐	
Legal obligations unmet?	☐	
Legal harm to the Institution?	☐	
Impact on other unit(s)?	☐	
Impact on important business partner(s)?	☐	
Other? (please explain)	☐	

How to Cope

The following questions ask you to visualize the conditions that might prevail in the weeks or months following a disaster. You may be missing certain key resources, such as

- Your usual space
- Some of your staff
- Certain equipment
- A key vendor
- Power
- Phone service
- Network access
- Data

Based on the critical function identified, answer the questions below using only **one-to-several bullets or sentences each**. Give ideas, not detailed procedures.

Space: How would you carry out this critical function if your usual space is not available?	
Staff: How would you carry out this critical function if, for couple of months, your average absence rate of faculty/staff was 50%? (Example: Flu pandemic)	
Unique Skills: Does the successful performance of this critical function require the skills or knowledge of any one particular staff member (or his/her files)? If so, how will you deal with her absence? Cross-train a co-worker in advance? Outsource? Some other strategy?	
Working at Home: Visualize an environment of contagious illness. Suppose the campus requested that as many faculty & staff as possible work from home for a month or two (stay away from campus to minimize contagion). Can you perform this critical function with some (or all) staff working from home? What equipment, supplies, and arrangements would be needed?	
Network Access: How would you carry out this critical function if the data network is not available?	

Show Stoppers: Is there any resource that is so important or irreplaceable that you CANNOT perform this function without it?	
Risk: Will any of your above suggestions expose the institution to risk? If so, can you suggest how to mitigate/control this risk?	
Policy Exceptions: What policy exceptions might be needed to carry out your above suggestions? Who would have the authority to grant them?	
Additional Vulnerabilities: Is there anything ELSE that could prevent you from continuing or restarting this function?	
Campus Closure: Visualize that the campus officially closes, with all operations (except non-stoppable activities) to cease for at least a month. Is it possible for your unit to simply cease doing this critical function?	

Action Items

What can be done to PREPARE? What can your unit (or another unit, or the campus) do BEFORE ANY DISASTER STRIKES to lessen its impact on this critical function or to make it easier for you to continue/restart this function?

Action Item	
Cost:	☐ Less than $100 ☐ $100-1,000 ☐ 1,000 - $10,000 ☐ 10,000 - $100,000 ☐ More than $100,000 ☐ Not sure
Cost frequency:	☐ One-time ☐ Annual ☐ Both one-time and annual ☐ Other ☐ Not sure
Assigned to:	
Due Date:	
Carrying out this action item is within the scope of:	☐ My unit itself ☐ My unit together with other departments on campus ☐ My larger department/division ☐ The campus ☐ Multi-campus/Chancellor's Office ☐ Other ☐ Not sure
Status:	☐ Not Yet Begun ☐ In Progress ☐ Completed ☐ Needs Further Discussion

Details:

Once the critical function information is obtained it should be entered into Kuali Ready – Step 2

Interview Form Step 3: Information Technology

Central Applications

List the applications owned by Information Technology. For each, please indicate how critical the availability of that application would be for your department while you are recovering from an adverse event. The levels of criticality are similar to the levels that you used to classify your critical functions.

- **Functional Owner**:   the unit that authorizes any modifications.
- **Technical Owner**:   the unit that has system administrator or programming access and implements any modifications.

Levels of Criticality of IT systems:

- Critical 1 -   Cannot pause. Necessary to life, health, security. (Possible example: police dispatch system).

- Critical 2 -   Failure will lead to imminent & very serious consequences. (Possible examples: data networks, email system, patient scheduling system, medical records system)

- Critical 3 -   Can endure a pause, but ONLY for a short time. Must be recovered by some time sooner than 30 days. (Possible examples: financial system, payroll system, HR system, research administration systems, student systems, library systems, courseware).

- Deferrable -   Important, but we can function without this system for more than 30 days. (Possible examples: calendaring application, document imaging system, budget preparation software.)

Central Application:	
Custom Application:	
Level of Criticality:	☐ Critical 1: Must continue (life, health, security) ☐ Critical 2: Must continue perhaps in reduced mode ☐ Critical 3: Pause if forced. Must resume in 30 days or sooner ☐ Deferrable: Resume when conditions permit
Comment:	

Departmentally-Owned Applications

Your department's technical support staff may need to assist in completing the following information related to departmentally owned applications.

In Step 2, critical functions were identified. Please enter the IT applications or systems that support the identified critical functions. You may want to consult with the functional managers to identify these applications. DO NOT include applications whose technical owner (The unit that **authorizes** any modifications) is Information Technology. Do not list servers - they will be treated later.

The applications to list here are those whose technical owner is your department or another department (but not Information Technology).

☐   Our unit has no applications or systems that fit this description. Go to Step 4

List all critical functions. Use additional sheets if necessary.

Critical Functions (Identified in Step 2)	IT Application(s) Supporting the Critical Function	Functional Owner (Department)	Technical Owner (Department)
Critical Function:			
Critical Function:			
Critical Function:			
Critical Function:			

Functional Owner: The unit that **authorizes** any modifications.

Technical Owner: The unit that has system administrator or programming access and **implements** any modifications.

New Department Application

Application Name:	
Functional owner:	
Technical owner:	
Person Responsible for Recovery:	
Application Type:	☐ Web Application ☐ Mainframe Application ☐ Client Server Application ☐ Desktop ☐ Other: (please explain)
Back up frequency:	☐ Multiple times per day ☐ Daily ☐ Weekly ☐ Every 2 weeks ☐ Monthly ☐ Transactions daily, database weekly ☐ Varies (please explain) ☐ Other (please explain) ☐ Backup is done occasionally ☐ Backup is not done
Back up Media:	☐ Disk ☐ Tape ☐ Other (please explain)
Location of offsite storage, if any:	
Frequency of offsite storage:	☐ Daily ☐ Weekly ☐ Every 2 weeks ☐ Monthly ☐ Varies (please explain) ☐ Other (please explain) ☐ No offsite storage
Comment:	

Servers

Does your department own any **servers**?

☐ No, we don't own servers.

☐ Yes. List all servers owned by your department

Name of Server:	
Server Type:	☐ File server ☐ Application server ☐ Database server ☐ Web server ☐ Backup server ☐ Mainframe server ☐ Other (please explain)
Technical expert(s) for this application:	
Back up frequency:	☐ Multiple times per day ☐ Daily ☐ Weekly ☐ Every 2 weeks ☐ Monthly ☐ Transactions daily, database weekly ☐ Varies (please explain) ☐ Other (please explain) ☐ Backup is done occasionally ☐ Backup is not done
Back up Media:	☐ Disk ☐ Tape ☐ Other (please explain)
Is backup automatic or manual?	☐ Automatic ☐ Manual ☐ Other
Location of offsite storage, if any:	
Frequency of offsite storage:	☐ Daily ☐ Weekly ☐ Every 2 weeks ☐ Monthly ☐ Varies (please explain) ☐ Other (please explain) ☐ No offsite storage

Workstations

Please describe the current state of **WORKSTATION BACKUP PROCEDURES** in your department or other unit. Estimate the percentages - do not do a survey. The intent is to get your opinion on the adequacy of backup at the workstation level. No need to agonize over the percentages; take your best guess.   Your entries may total greater than 100%, if some users employ more than one method of backup.

Backup Method for Workstations	Backup Method for Workstations Percent of Users in Your Unit Who Back Up Their Files in This Way (0-100%)	Comment, if needed
Files are stored on dept. server, which gets backed up.		
Automated backup by IT (via network)		
Local backup of workstation by user (automatic)		
Local backup of workstation by user (manual)		
Other (describe)		
No backup		
Don't Know		

Who Provides Your Workstation Support	Name of group or organization	Comment, if needed
☐ Technicians employed by department ☐ Technicians from another department ☐ External vendor ☐ Other (describe)		

Recovery Strategies

Your department's technical support staff may need to assist in completing the following information related to servers.

What will you need to restart your IT? Consider this scenario: the department's normal workplace is destroyed or inaccessible. New space, furniture and internet access have been provided by others.
How would you handle the following?

Where will you quickly purchase new workstations, servers, or other hardware?	
When your support technicians rebuild your workstations or servers in the new location (on the new hardware), where will they find the systems software, applications software, and related documentation that they will need?	
Does your IT equipment have any environmental requirements (air conditioning, high power consumption, unusual physical security, etc.?)	
Will your technical support staff be adequate in numbers and skills to rebuild your systems quickly? Will they be available? Do they have other clients to serve?	
Are there any other obstacles that could hinder the quick re-establishment of your critical IT services?	
Visualize now a flu pandemic. If all staff were requested to work from home (where possible) for a couple of months to minimize contagion, what would you have to do to enable and support their IT? (Presume the users all have adequate computers at home, plus broadband connections.) Be specific, and estimate how long it would take to get them set up and running.	
When IT systems become unavailable for an extended time, people use workarounds – paper forms to gather data, snail-mail, chalkboard instead of PowerPoint. In the collection of IT applications and systems that you support, are there any that could not somehow be "worked around" for a few weeks or months? Explain.	

IT Action Items

What can be done to PREPARE? What can your unit (or another unit, or the campus) do BEFORE ANY DISASTER STRIKES to lessen its impact on this critical function or to make it easier for you to continue/restart this function?

Action Item:	
Cost:	☐ Less than $100 ☐ $100-1,000 ☐ 1,000 - $10,000 ☐ 10,000 - $100,000 ☐ More than $100,00 ☐ Not sure
Cost frequency:	☐ One-time ☐ Annual ☐ Both one-time and annual ☐ Other ☐ Not sure
Assigned to:	
Due Date:	
Within whose scope:	☐ My unit itself ☐ My unit together with other departments on campus ☐ My larger department/division ☐ The campus ☐ Multi-campus/Chancellor's Office ☐ Other ☐ Not sure
Status:	☐ Not Yet Begun ☐ In Progress ☐ Completed ☐ Needs Further Discussion

Details:

Once the information technology information is obtained it should be entered into Kuali Ready – Step 3

Interview Form Step 4: Instruction

This unit does not provide instruction. **Skip to Step 5**

If your department does provide instruction, you will be asked to select your department from the drop down list provided in Kuali Ready. It may be appropriate to select more than one department if this continuity plan is being written for a "cluster" of departments, or for some other unit that encompasses more than one academic department.

Department(s)	

High Priority Courses

Please list any High Priority courses taught by your department. Generally a course is considered high priority if it meets these three criteria:

1.   It is an undergraduate course
2.   It is a large-enrollment course
3.   It is a pre-requisite for a major or part of a sequence.

- Graduate-level courses in professional schools that meet the 2nd and 3rd criteria will also be considered High Priority.

If a course does not meet the definition of High Priority but is important for another compelling reason, you may choose to include it. If possible, write in the course numbers and course titles prior to conducting the interview. Add more rows as needed.

Course Number	Course Title	Course recording is available	Course recording is available but may be outdated	Course recording is not available but course is suitable for recording	Do all current sections have a LMS site? (Y/N)	Is there another instructor who can teach this course if necessary? (Y/N)	Comment?
		Check only one of the three boxes below					
		☐	☐	☐			
		☐	☐	☐			

- **High Priority** courses are those for which alternative teaching methods will be most important if disaster strikes – whether the disaster be pervasive (flood, earthquake, pandemic) or local (illness of an instructor).
- **Course Number & Title:** Use the official course numbers and titles displayed in the campus's Course Catalog. In the number, include any coded names, prefixes & suffixes as appropriate – e.g. CHEM 1A or COMPSCI 61B.
- **Course recording:** Course recording encompasses all technologies used for audio or video recording and dissemination of classes – lecture capture, webcasting, podcasting, YouTube, etc.

All Courses (undergraduate courses only)

Please **estimate** your department's current usage of the practices shown below. 100% accuracy is not necessary –this information to promote discussion and to encourage adoption, not for audit purposes.

	Recommended Practice	Estimate your department's current usage of this practice.	Can this practice be expanded in your department?	Comment?
1.	**LMS Sites**: Every course has a LMS site.	☐ None ☐ Some courses ☐ Many courses ☐ All courses ☐ Not sure	☐ Yes ☐ No ☐ Maybe ☐ Not sure	
2.	**Grades Current**: Grades are kept current at all times (using the LMS gradebook tool, if available).	☐ None ☐ Some courses ☐ Many courses ☐ All courses ☐ Not sure	☐ Yes ☐ No ☐ Maybe ☐ Not sure	
3.	**Good Communication Among Graduate Student Instructors (GSI)**: Consistency is achieved across discussion & lab sessions by fostering communication among GSIs. (Possible methods: regular meetings, a dedicated LMS site for GSIs, etc.)	☐ None ☐ Some courses ☐ Many courses ☐ All courses ☐ Not sure	☐ Yes ☐ No ☐ Maybe ☐ Not sure	
4.	**Common Course Materials**: When instructors teach the same or similar courses, common textbooks and other course materials are used.	☐ None ☐ Some courses ☐ Many courses ☐ All courses ☐ Not sure	☐ Yes ☐ No ☐ Maybe ☐ Not sure	

Notes:

Departmental Practices

We are requesting this information to promote discussion and to encourage adoption, not for audit purposes.

	Recommended Practice	Is this currently being done?	Comment?
1.	**Strategy for Disaster Communications:** The department has a plan that details how it will communicate rapidly with faculty, staff and students if disaster strikes.	☐ Yes ☐ No ☐ Partially ☐ Not sure	
2.	**Backup Plan for Academic Personnel:** The department has a plan for instructor substitution if necessary. The groundwork is laid by practices such as team-teaching, rotating instructors, or substituting "topics in" courses. (Note: this backup plan need not be a formal document.)	☐ Yes ☐ No ☐ Partially ☐ Not sure	
3.	**Faculty Leaves:** When faculty leaves are approved, faculty members are informed of the possibility of recall.	☐ Yes ☐ No ☐ Partially ☐ Not sure	
4.	**Innovative Pedagogy:** Faculty members are actively encouraged to experiment with teaching tools before disaster strikes and to share experiences with colleagues.	☐ Yes ☐ No ☐ Partially ☐ Not sure	

Notes:

Special Teaching Issues

Many courses require specialized resources and logistics, for example:
- Laboratories
- Design or performance studios
- Field work / internships / experiential learning
- Specialized instructional software
- Access to collections (library, museum etc.)

These may pose particular challenges to the continuation of instruction during and after a major disaster. If your department teaches courses that have such specialized requirements, please identify them here. Be brief.
- Many courses have special formats or require special resources. This screen asks you to identify teaching situations that may pose particular challenges following a disaster, so we can explore possible solutions.
- The availability of alternative strategies for special format courses may vary. In some cases, viable alternatives may not exist. If you do have specific solutions that would enable instruction to continue, please indicate.

Specialized resources and logistics include:
- Science labs
- Computer labs
- Design studios
- Performance studios
- Field work / internships / experiential learning
- Specialized instructional software
- Access to collections (library, museum etc.)
- Select any of the above that apply, or add others:

	Special Teaching Issue	Potential Impact:	Are there potential alternatives?
1.			
2.			
3.			
4.			
5.			

Action Items

What can be done to PREPARE? What can your unit (or another unit, or the campus) do BEFORE ANY DISASTER STRIKES to lessen its impact on this critical function or to make it easier for you to continue/restart this function?

Action Item:	
Cost:	☐ Less than $100 ☐ $100-1,000 ☐ 1,000 - $10,000 ☐ 10,000 - $100,000 ☐ More than $100,00 ☐ Not sure
Cost frequency:	☐ One-time ☐ Annual ☐ Both one-time and annual ☐ Other ☐ Not sure
Assigned to:	
Due Date:	
Within whose scope:	☐ My unit itself ☐ My unit together with other departments on campus ☐ My larger department/division ☐ The campus ☐ Multi-campus/Chancellor's Office ☐ Other ☐ Not sure
Status:	☐ Not Yet Begun ☐ In Progress ☐ Completed ☐ Needs Further Discussion

Notes:

Once the instruction information is obtained it should be entered into Kuali Ready – Step 4

Interview Form Step 5: Key Resources

Staff Basics

Does your unit have a (printed) emergency contact list for faculty and/or staff?	☐ Yes ☐ No
Who holds copies of the emergency contact list? (be specific)	
Who updates the emergency contact list?	
Who knows how to check messages on your department's main phone line?	
Who knows how to record a greeting on your department's main phone line?	
Who can post messages on your department's web site (i.e., do the actual mechanics)?	
Do your staff use any shared passwords that should be kept available?	☐ Yes ☐ No
Comment?	

Key People in Your Unit

Now envision your unit 1-3 days after a major disaster. You are calling together a group to PLAN how to resume operations. Who are the key people (staff or faculty) whose positions or knowledge might place them in that group?

Name	Title or Function	Special Skills	Check if any of these apply
			☐ First leadership successor ☐ Second leadership successor ☐ Third leadership successor ☐ Holds formal delegation(s) of authority
			☐ First leadership successor ☐ Second leadership successor ☐ Third leadership successor ☐ Holds formal delegation(s) of authority
			☐ First leadership successor ☐ Second leadership successor ☐ Third leadership successor ☐ Holds formal delegation(s) of authority

Work from Home

Many of us have jobs that could be done (at least partially) from home. Please list below the names of Faculty and staff who could do at least part of their work from home if they had adequate computers and high-speed internet access. It is assumed that all faculty belong in this group, so please list them along with staff.

☐ **Not applicable:** None of the work that this unit does could be accomplished from home.

Please explain: [   ]

(If you checked the box above you can skip the following table of questions)

Name	Position	Broadband Connection	Currently *does* connect from home	Must office computer be running?	Comments?
	☐ Faculty ☐ Staff ☐ Other	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Don't know	
	☐ Faculty ☐ Staff ☐ Other	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Don't know	
	☐ Faculty ☐ Staff ☐ Other	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Don't know	
	☐ Faculty ☐ Staff ☐ Other	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Don't know	
	☐ Faculty ☐ Staff ☐ Other	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Don't know	
	☐ Faculty ☐ Staff ☐ Other	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Probably ☐ Don't know	☐ Yes ☐ No ☐ Don't know	

Teams

Are there teams that will be important to help your department cope with adverse events?

Teams may include external members in addition to your own staff. List them all.

Name:	Purpose:	Comment

- Resist the temptation to list all your staff under "Key People". The staff you should list here are the ones you would call upon first in time of crisis - who have the experience, skills, or authority to help "sort things out" and plan the next steps.
- A **leadership successor** is a person who would be an appropriate substitute if the head of the unit is absent. In most cases, this will not be an officially-designated position.
- A **formal delegation of authority** is an assignment of authority and responsibility to perform specified acts on behalf

Skills

In time of crisis, we need to enlist the help of others. We borrow staff, do temporary hiring, enlist volunteers, or engage contractors. The Skills drop-down list contains skills, licenses, or certifications that might be needed post-disaster. Please select those skills appropriate to the performance of your department's critical functions.

If a particular skill will be needed post-disaster, include it on your list even though you think you will "have it covered". For example, "ability to process payroll" will be needed by many units. Even though you have a person who does payroll, he/she might not be available.

Skill:	Select from drop down list in Kuali Ready
Custom Skill Name:	
Custom Skill Description:	
Comments:	

Staffing Requirements

The extreme demands that we may face during time of crisis - including the need to ramp up certain services - may require temporary realignments of staff. These questions attempt to address that need by asking you how many and what types of staff in your department might be available to assist elsewhere.

IMPORTANT:

When estimating FTEs needed during crisis, please consider the function's criticality level -

- Critical 1: must continue (life, health, security)
- Critical 2: must continue, perhaps in reduced mode
- Critical 3: pause if forced, but must resume in 30 days or sooner
- Deferrable: resume when conditions permit

Critical Function: (Previously identified)	
Staff Category:	
Shift:	
FTE under normal conditions (use partial FTEs – e.g. 3.5)	
FTE required during crisis (see guidance above)	

Staff of Other Units

Who are the **most important people from elsewhere in your campus** whom your staff will need to contact within the first few hours or days after a disruptive event? Collect information that you may need close at hand because:

- Crucial staff may not be reachable
- Offices may not be accessible
- Computer networks may be down
- Leaders/managers may have to handle issues outside their normal spheres.

Name	Department	Work Phone	Cellular Phone	Email	Comment

Other Stakeholders

Are there any **other people** that your staff may need to contact after a disruptive event? For example - vendors, clients, project partners, donors, sponsors, other stakeholders? When listing vendors, include only those that your department makes individual purchases from (as opposed to those vendors who sell in bulk to the central purchasing department).

Name	Company	Email	Cellular Phone	Work Phone	Products/Services

Documents Summary

Please identify any documents that are very important to this function – whether they are individual documents (such as policy manuals) or sets of records (such as patient files, research files, vendor invoices, etc.).

The documents listed here may be paper or electronic.

Do not include records that are stored within a database application such as a financial system, an HR system, a medical records system, etc. These will be treated elsewhere.

- Documents uploaded via this screen are copied to a secure server, for access by authorized people only. They also remain in their current location on your own computer or server.

- If a document is confidential or sensitive, please describe it but do not upload it. Although your plan lives on a secure server, the group of people authorized to see your plan may not all be authorized to see that document.

Caution: All types of documents will be accepted for upload (20MB per document size limit). But future opening, viewing & downloading requires that the computer being used at that time have the appropriate software. Use Adobe Acrobat (.pdf) format when possible. Avoid less-common document types, and use our system as your secondary repository only - make sure your documents are also available elsewhere.

If a document is **confidential** or **sensitive**, please describe it but do not upload it. Although your plan lives on a secure server, the group of people authorized to see your plan may not all be authorized to see that document.

Name of document or records	
Description	
Owner (department)	
Location	
Uploaded file	
Medium	
Principal contact person(s)	
Backup or other loss-protection measures? (be specific)	
Comment, if needed	

Equipment and Supplies

Please indicate on this screen the MINIMUM equipment you will need to perform ALL the critical functions that you listed in Step 2. Estimate if needed.

Office Equipment

Item	Minimum Number Required	Comment
Workstation (includes computer, network connection, table, chair)		
Laptop computer (car charger advised)		
Telephone (hard-wired)		
Printer		
Fax		
Copier		
Scanner		
Server		

Other Equipment and Supplies:

Aside from the usual office furniture and equipment, is there other equipment (or consumables) that you may need immediately after a disruptive event? Consider the minimum equipment and supplies that you may need to perform ALL the critical functions that you listed in Step 2. Estimate or guess if needed.

Equipment (major items only)
Supplies (consumables)
Inventory Strategy: In a severe pandemic, deliveries may slow or cease for a couple of months due to employee absences at every level of the supply chain. Might your unit face a supply crisis? Do you need to adjust your inventory practices, or to stockpile more of specific items?

"Just-in-time procurement" can be excellent management practice - but your vendor's crisis can quickly become your crisis. Do you have enough crucial supplies on hand?

Facilities, Utilities and Transportation

Some examples of "special space or facilities needs":

- Parking for vehicles
- Secure space for cash-handling
- Licensable space for child care

Facilities: List any special space or facilities needs that are IN ADDITION TO your office/classroom/lab needs.
Utilities: Please identify the utilities that are very important to the functioning of your department**.** (Please note that Kuali Ready provides a drop down list of utilities on campus)
Transportation: List any special transportation needs.
Other Resources: Are there any OTHER resources you will need to continue/resume your critical functions?

Action Item Summary

The Action Items you identified throughout your planning stages will be summaries online in Kuali Ready.

Notes:

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Conclusion

Continuity and Recovery

Continuity and recovery are not the same. Continuity planning prepares you to maintain your critical functions *during* a crisis. Recovery planning helps you rebuild all of your typical functions in a more permanent location.

Continuity and recovery do not begin after disaster strikes. They begin right now, with you and your co-workers reviewing this Guide and beginning your business continuity planning. The information you have collected in the previous steps, and entered into Kuali Ready will prepare you for a quick and effective continuity response and, finally, recovery.

Unfortunately, a large scale disaster may occasionally strike a campus, causing serious damage to one or more buildings. Sometimes University resources can be stretched thin, so your prior planning is essential to help your department recover quickly as well as to maintain the critical functions you previously identified.

Employee Preparedness

There is no more important resource on campus than *human* resources. After a disaster, computer backups and new facilities are useless without staff. For this reason, it is important to communicate with your employees, to identify your essential staff, and to help your employees better prepare themselves for emergencies.

Before an incident or interruption occurs, share your department's continuity and recovery plans with your staff and co-workers. They may offer additional ideas or options that could enhance planning.

After Action Reports

It is important to document steps taken during any recovery, no matter the size or extent of the disruption. Use this information to evaluate your department's response. Prepare a summary to share with leadership, co-workers and staff, including what worked well, what needed improvement, which phone numbers were out of date, etc., and conduct meetings with staff to discuss ways to improve your department's response. Retain a copy of your notes on the recovery and your summary to review after the next incident occurs. This will help you document your department's progress in becoming more prepared for continuity and recovery.

Plan Test and Review

Business units are required to test some part of their Business Continuity Plan once a year, with all parts tested every seven years. In addition, departments are required to review their Business Continuity Plan and tests at least annually or more frequently as needed and update the plans whenever changes occur in their operating procedures, processes, or key personnel.

Initial training on conducting business continuity planning shall be provided to all individuals responsible for developing and implementing plans.

Kuali Ready has a method to document the completion and annual review of your business continuity plan. From the "Plan Details" right navigation, there is a tab titled, "Update Plan Status" that allows plan status to be entered.

Marking your plan "complete" does not require that every on-screen box be filled in. The principal criterion for completeness is your judgment that the plan and its action items will help your unit to become more resilient against disaster.

PLAN STATUS	
In Progress:	A plan that is currently being written or edited.
Complete:	A new plan that has been finished.
Due for Review:	An existing plan that needs to be reviewed as part of a regular review cycle.
In Review:	An existing plan that is being reviewed.
Current:	An existing plan that has been reviewed and is up-to-date.

The Plan status information shall be entered into Kuali Ready