

Guide to Campus Continuity Planning

Stanislaus State

Department of Safety & Risk Management



Guide to Campus Continuity Planning

Stanislaus State

Table of Contents

Introduction.....	2
How to Use This Guide.....	3
StanReady	5
Getting Started	6
Step 1: Department Information	7
Step 2: Critical Functions.....	8
Step 3: Information Technology	9
Step 4: Instruction	10
Step 5: Key Resource.....	10
Action Item Summary.....	11
Interview Form Step 1: Department Information ..	12
Interview Form Step 2: Critical Functions.....	13
Interview Form Step 3: Information Technology ..	19
Interview Form Step 4: Instruction	20
Interview Form Step 5: Key Resources	27
Interview Form: Action Item Summary.....	31
Plan Test and Review.....	32
Conclusion	39

Safety & Risk Management

One University Circle

Turlock, CA 95382

Phone: (209) 667- 3057

Fax: (209) 667-3350

risk@csustan.edu

Introduction

Welcome to Stanislaus State's Guide to Campus Continuity Planning. 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 not only plan for major disasters (e.g. total loss of a building) but also lesson interruptions to services (e.g. the computers are down). It puts the planning in perspective and makes it more likely that crisis response will run smoothly.

The purpose of campus continuity is to ensure the continuity of University mission-critical functions such as instruction to enrolled students, facility security, and employee communication.

An Essential Function (as defined in the *Federal Preparedness Circular 65*) is a function that enables an organization to [Note: CSU Stanislaus uses the term *Critical Function* to describe Essential Functions]:

- Provide vital or mission-critical services;
- Exercise civil authority;
- Maintain the safety of the general public; and/or
- Sustain the industrial or economic base during an emergency.

Campus 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 the same: you cannot work in that location.

How to Use This Guide

This Guide to Campus Continuity Planning was developed to provide Stanislaus State department's with campus continuity planning information and a guide to develop and maintain their department continuity plan.

The next several pages will provide planning steps, tips and suggestions to guide you through the campus 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 campus continuity plan development through StanReady. 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 StanReady. Completion of the steps in this Guide and once entered into StanReady, your department will have a basic department business continuity plan. We encourage you and your team to regularly discuss your department's business continuity plan.

If you have any questions about this Guide, or if you need any assistance in your department continuity plan development, please contact your Campus Continuity Coordinator at (209) 667-3022 or risk@csustan.edu.

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 staff? 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 or 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 process. 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, critical functions and plan annually with your Campus Continuity Coordinator. Contact your Campus Continuity Coordinator at (209) 667-3022 or risk@csustan.edu.

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

Executive Order 1014

Executive Order 1014 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 campus continuity responsibility to the Safety & Risk Management department.

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.

StanReady

Stanislaus State has secured and maintains a license for StanReady software program to provide the framework for Campus Continuity Program.

StanReady 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 department business 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 department continuity plan utilizing the StanReady software program.

These areas are:

- Plan Details
- Critical Functions
- Information Technology
- Instruction
- Key Resources

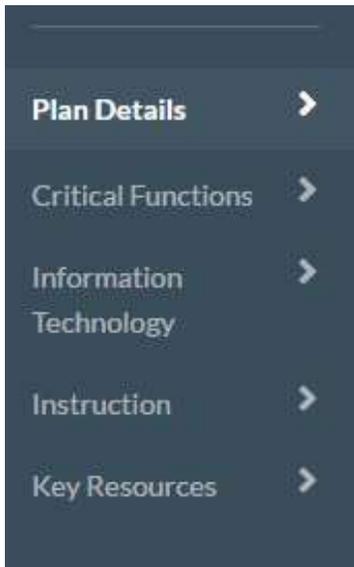
To assist with campus continuity planning efforts, each step will be discussed further in this plan and interview forms provided to capture department information required to be entered into StanReady.

Click the following link to access the StanReady login page.

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



Getting Started



Once you log into StanReady, you can immediately begin building or updating your departments business continuity plan. The tabs on the left navigation of the StanReady home screen provide options for editing your department information, adding and removing StanReady users assigned to your plan, and managing your plan status.

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

Don't have an account but are responsible for campus continuity planning for your department? Not a problem, simply contact the Campus Continuity Coordinator to add you as a user under your department.

Any questions regarding account access can be addressed to the Campus Continuity Coordinator at (209) 667-3022 or risk@csustan.edu.

Warrior Sign In

Warrior Username
Warrior Password

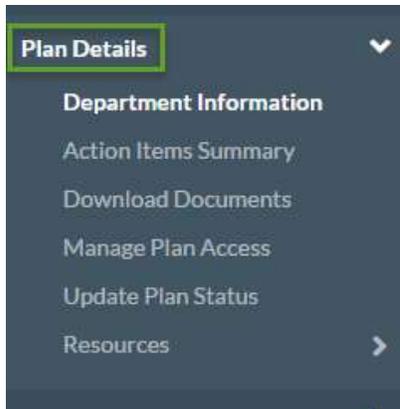


[Forgot your Warrior Username or Password?](#)

Step 1: Plan Details

Click [here](#) or turn to page 12 to access the Step 1 Interview Form.

The top most menu within a plan is the Plan Details section. In this section you will see the critical plan management functions as well as some commonly used links.



Department Information

Use this section to complete the remaining department information details for your plan.

Action Items Summary

If action items have been added you can see a presentation of all action items within your plan and filter them by status and other details.

Download Documents

If documents have been added as attachments to the plan, you can select the Download Documents link to view a list with links to download each document.

Manage Plan Access

When you create a plan, you're automatically assigned the Plan Manager Role. Plan Managers can use the Manage Plan Access link in the plan navigation to add other users, including additional Plan Managers, to plans. There are three user roles for plans.

- Plan Managers: can view and edit plans and Manage Plan Access
- Plan Editors: can view and edit plans
- Plan Viewers: can view plans but cannot edit them

Update Plan Status

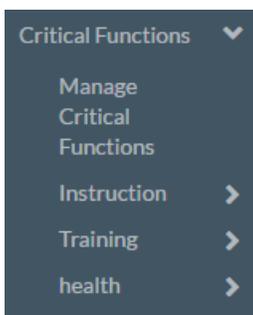
All plans begin with the status of In Progress. When the plan is complete, the person responsible for the plan should update the plan status to mark it Complete. Once it's marked Complete, a plan can be changed to In Review status any time it is being reviewed. When the plan is done being reviewed, the reviewer can change it to Current status. The most recent Plan Status is listed at the top of the Plan Navigation. The Update Plan Status screen keeps a record of each update. Updates can be deleted up to seven days after they were entered. After that the record becomes permanent.

Resources

Link to sample plan, the interview form and the glossary from this section.

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

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. (Examples: functioning of data networks, at risk research)
- **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?”

Click [here](#) or turn to page 13 to access the Step 2 Interview Form.

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.

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 example: 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 example: document imaging system and budget preparation software.

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

Click [here](#) or turn to page 19 to access the Step 3 Interview Form.

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

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

Area 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.

Click [here](#) or turn to page 20 to access the Step 4 Interview Form.

Area 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 27 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 Items 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 a representative from Office of Information Technology discuss work-from-home issues at faculty meetings.*
 - *OIT Help Desk: (209) 667-3343*
- *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 XYZ course-management tool.*

Some of your Action Items may be beyond the scope of your unit to perform. If this is the case, please notify the Campus Continuity Coordinator for assistance in notifying the responsible unit.

Click [here](#) or turn to page 31 to access the Action Item Summary Interview Form.

Interview Form Step 1: Department Information

Interview forms are designed to aid in hard-copy collection of details for your plan. The hard copies can then be easily uploaded into the online plan; or this step can be skipped and answered directly into the StanReady system.

Section 1: Department Identification

Number of personnel: (headcount, approximation OK)

Faculty and other academic appointees:

Residents/Fellows:

Staff (full-time):

Staff (part-time, excluding students):

Student-staff:

Volunteers:

Guests:

Other (explain below):

**** Type of Department:** From the onscreen drop-down list, please select the description that best fits this unit. Select more than one if appropriate.

**** Location(s) occupied:** From the onscreen drop-down list, select the building(s) that your unit occupies. Please indicate all space used, including storage space.

Evacuation Plans: Do all your buildings have evacuation plans? Select one:

Yes

No

Some, not all

Do not know

Cost Center: What cost center(s) does this plan cover? (Leave blank if this term is not used in your organization.)

Comment or explanation (if needed):

Interview Form Step 2: Critical Functions

Section 2: Critical Functions

Instructions:

This interview form follows the sequence of the online tool for Section 2 Critical Functions. To view the detail screens containing these questions, you must first use the **+Add Critical Function** link in the Plan navigation to add a function. For Section 2, you will need to fill out one copy of this form for EACH of your department's Critical Functions. Do not agonize over these questions. Be brief, give the best answer, and move on.

a. Description

Critical Function Name:

Assign a Level of Criticality: (See tool for definitions)

Critical 1

Critical 2

Critical 3

Deferrable

Brief description of this function:

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

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

b. Peak Periods

These are periods of high activity. Please indicate any months when you would expect there to be especially high activity involved in accomplishing this function. For example, this might be a peak workload period such the annual fiscal closing for accounting functions. Identify as many months as needed. Explain if necessary. If this function has no peak periods, leave blank.

c. 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 patient files, research files, or vendor invoices.) 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.

Space is provided for 3 documents. Use an additional sheet if you have more.

Name of document #1:

Description in your own words (brief):

Name of owner (department, not a person):

Location where kept (be specific):

Medium: Select from paper, electronic (computer), microfiche, microfilm, more than one (explain), other (explain):

Principal contact person(s):

Any backup or other loss protection measures? (be specific.):

Comment, if needed:

Name of document #2:

Description in your own words (brief):

Name of owner (department, not a person):

Location where kept (be specific):

Medium: Select from paper, electronic (computer), microfiche, microfilm, more than one (explain), other (explain):

Principal contact person(s):

Any backup or other loss protection measures? (be specific.):

Comment, if needed:

Name of document #3:

Description in your own words (brief):

Name of owner (department, not a person):

Location where kept (be specific):

Medium: Select from paper, electronic (computer), microfiche, microfilm, more than one (explain), other (explain):

Principal contact person(s):

Any backup or other loss protection measures? (be specific.):

Comment, if needed:

**** d. Dependencies**

Instructions:

Upstream Dependencies are the departments (WITHIN your campus, medical center, or other institution) 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.

** Special Instruction: Before your interview, go online and look at the pick-lists on the Dependencies screen. These lists offer some common possibilities.

<p>Upstream Dependencies: (1) from pick-lists: (2) add others?</p>	<p>Downstream Dependencies: (1) from pick-lists: (2) add others?</p>
--	--

e. Consequences

Consequences of slow recovery: Suppose the critical function named on this form is not restarted quickly enough following a disaster. Indicate which of the “harmful consequences” might occur from the list below by entering Yes and explain if needed:

Harmful Consequence	Might this occur? (Enter Yes, if so)	Explain (if explanation is 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 un-met		

Harmful Consequence	Might this occur? (Enter Yes, if so)	Explain (if explanation is needed)
Loss of revenue		
Legal obligations un-met		
Legal harm to the Institution		
Impact on other unit(s)		
Impact on important business partner(s)		
Other (please explain):		

f. How to Cope

Instructions:

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 office space, some of your staff, power, network access, etc.

Please answer the questions below using one-to-several bullets or sentences each. Be brief. 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 a couple of months, your average absence rate of faculty and staff were 50%? This could easily be the case in a flu pandemic.

Unique Skills: Does the successful performance of the critical function require the skills or knowledge of any one particular staff member (or 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 University requested that as many faculty and staff as possible work from home for a month or two 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?

University Closure: Visualize that, during a flu pandemic, the University 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?

Yes

No

Comment?

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?

g. Action Items

Instructions:

An Action Item will answer the question:

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?

The typical Action Item begins with a verb and can be stated in one sentence. Some examples:

- Store enough MREs (Meals-Ready-To-Eat) to feed all resident students for 3 days.
- Discuss preparedness at one faculty meeting per semester.
- Develop a plan for secure storage of critical research materials.
- Cross-train staff to do department purchasing.

Action items are ideas, not commitments. So, think outside the box and don't feel constrained by resources. Some of your Action Items may need to be carried out by another unit. That is OK; the campus needs your ideas!

Space is provided below for four Action Items. Use additional sheets if needed.

Action Item #1: Description	
<p>Cost: (choose one)</p> <ul style="list-style-type: none"> • less than \$100 • \$100 - \$1,000 • \$1,000 - \$10,000 • \$10,000 - \$100,00 • More than \$100,000 • Don't know <p>Cost is: (choose one)</p> <ul style="list-style-type: none"> • one-time • annual • both one-time & annual • other 	<p>Carrying out this Action Item is within the scope of: (choose one)</p> <ul style="list-style-type: none"> • my unit itself • my unit together with other units on campus • my larger department, division or control unit • the campus • the multi-campus System (if any) • other • not sure <p>Comment?</p>

Action Item #2: Description	
<p>Cost: (choose one)</p> <ul style="list-style-type: none"> • less than \$100 • \$100 - \$1,000 • \$1,000 - \$10,000 • \$10,000 - \$100,00 • More than \$100,000 • Don't know <p>Cost is: (choose one)</p> <ul style="list-style-type: none"> • one-time • annual • both one-time & annual • other 	<p>Carrying out this Action Item is within the scope of: (choose one)</p> <ul style="list-style-type: none"> • my unit itself • my unit together with other units on campus • my larger department, division or control unit • the campus • the multi-campus System (if any) • other • not sure <p>Comment?</p>

Action Item #3: Description	
<p>Cost: (choose one)</p> <ul style="list-style-type: none"> • less than \$100 • \$100 - \$1,000 • \$1,000 - \$10,000 • \$10,000 - \$100,00 • More than \$100,000 • Don't know <p>Cost is: (choose one)</p> <ul style="list-style-type: none"> • one-time • annual • both one-time & annual • other 	<p>Carrying out this Action Item is within the scope of: (choose one)</p> <ul style="list-style-type: none"> • my unit itself • my unit together with other units on campus • my larger department, division or control unit • the campus • the multi-campus System (if any) • other • not sure <p>Comment?</p>

Action Item #4: Description	
<p>Cost: (choose one)</p> <ul style="list-style-type: none"> • less than \$100 • \$100 - \$1,000 • \$1,000 - \$10,000 • \$10,000 - \$100,00 • More than \$100,000 • Don't know <p>Cost is: (choose one)</p> <ul style="list-style-type: none"> • one-time • annual • both one-time & annual • other 	<p>Carrying out this Action Item is within the scope of: (choose one)</p> <ul style="list-style-type: none"> • my unit itself • my unit together with other units on campus • my larger department, division or control unit • the campus • the multi-campus System (if any) • other • not sure <p>Comment?</p>

Interview Form Step 3: Information Technology

Section 3: Information Technology

Section 3: Information Technology. Section 3 is designed to be completed on-screen by your department IT manager or IT help desk support person.

Interview Form Step 4: Instruction

Section 4: Faculty Preparedness

If your unit does not employ faculty, please omit Section 4.

Instructions:

Individual faculty drive teaching, research, and patient care. Readiness for disaster is a faculty issue as well as a staff issue. Please list here anything that your **department** can do to promote disaster-consciousness and disaster-readiness among your faculty. These are things that might be initiated by the department Chair or by the department's chief staff person. Use an additional page if needed.

Action Item #1:
Comment?

Action Item #2:
Comment?

Action Item #3:
Comment?

Action Item #4:
Comment?

Section 4: Instruction

Please note: If the online tool displays Section 4: Faculty Preparedness instead of Section 4: Instruction, see the previous section of this document.

Instructions (very important):

The screens in Section 4: Instruction contain much explanation and context. To use this interview form effectively, you should first familiarize yourself with the on-screen material. In the Plan Navigation under the Instruction heading, select **+Add Department** to add an instructional department and reveal the detail screens.

It is possible that your continuity plan may encompass more than one instructional department (for example, if your plan is for a “cluster” of departments, or if your plan is for some other entity that includes more than one department). If this is the case, you will need to fill out one copy of this interview form for EACH of your instructional departments.

A. High Priority Courses

Please list here any High Priority courses taught by your department. The on-screen text explains what types of courses are judged to be 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 Nos. and Course Titles prior to conducting the interview. Add more rows as needed.

Note: We make the assumption that every campus uses a **Learning Management System (LMS)** to provide a course website for instructors who choose to use it. Some examples are Blackboard, Canvas, Moodle, and Sakai, though there are many others. **Course Recordings** may also be referred to as Course-casts or Lecture Capture.

Course No.	Course Title	Course recording is available	Course recording is available but may be outdated	Course recording not available, but course is suitable for course recording	Do all current sections have an 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					

B. All Courses (undergraduate courses only)

Please **estimate** your department's current usage of the practices shown below. 100% accuracy is not necessary – we are requesting 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?
		Check one.	Check one.	
1.	LMS Sites: Every course has an LMS site.	None	Yes	
		Some courses	No	
		Many courses	Maybe	
		All courses		
		Not sure		
2.	Grades Current: Grades are kept current at all times (using an electronic gradebook tool, if available).	None	Yes	
		Some courses	No	
		Many courses	Maybe	
		All courses		
		Not sure		
3.	Good Communication Among GSIs: Consistency is achieved across discussion & lab sessions by fostering communication among GSIs. (Possible methods: regular meetings, a dedicated LMS site for GSIs, etc.) (Note: GSI = Graduate Student Instructor)	None	Yes	
		Some courses	No	
		Many courses	Maybe	
		All courses		
		Not sure		
4.	Common Course Materials: When instructors teach the same or similar courses, common textbooks and other course materials are used.	None	Yes	
		Some courses	No	
		Many courses	Maybe	
		All courses		
		Not sure		

C. 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?
		Check one.	
1.	Strategy for Disaster Communications: The department has a plan that details how it will communicate rapidly with faculty, staff & students if disaster strikes.	Yes	
		No	
		Partially	
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	
3.	Faculty Leaves: When faculty leaves are approved, faculty members are informed of the possibility of recall.	Yes	
		No	
		Partially	
4.	Innovative Pedagogy: Faculty are actively encouraged to experiment with teaching tools before disaster strikes and to share experiences with colleagues.	Yes	
		No	
		Partially	

D. Special Teaching Issues

Many courses require specialized resources and logistics, for example:

- 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	Describe how this issue may affect your ability to continue your instructional program during and after a disruptive event (disaster):	Are there potential alternatives? (Note: In some cases, viable alternatives may not exist. If you do have specific solutions that would enable instruction to continue, please say so!)
1.			
2.			
3.			
4.			
5.			
6.			

E. Action Items

An Action Item answers the question “What can your department do BEFORE ANY DISASTER STRIKES to become more ready to continue the curriculum?”

The typical Action Item begins with a verb and can be stated in one sentence. For example, “Discuss instructional continuity topics at department meetings at least twice each semester”.

Action items are ideas, not commitments to act. Please think outside the box and don’t feel constrained by resources.

Some of your Action Items may be beyond the scope of your unit to perform. That’s OK – the campus needs your ideas and we can deliver them to the proper people!

Space is provided below for four Action Items. Use additional sheets if needed.

Action Item #1: Description	
<p>Cost: (choose one)</p> <ul style="list-style-type: none"> • less than \$100 • \$100 - \$1,000 • \$1,000 - \$10,000 • \$10,000 - \$100,00 • More than \$100,000 • Don't know <p>Cost is: (choose one)</p> <ul style="list-style-type: none"> • one-time • annual • both one-time & annual • other 	<p>Carrying out this Action Item is within the scope of: (choose one)</p> <ul style="list-style-type: none"> • my unit itself • my unit together with other units on campus • my larger department, division or control unit • the campus • the multi-campus System (if any) • other • not sure <p>Comment?</p>

Action Item #2: Description	
<p>Cost: (choose one)</p> <ul style="list-style-type: none"> • less than \$100 • \$100 - \$1,000 • \$1,000 - \$10,000 • \$10,000 - \$100,00 • More than \$100,000 • Don't know <p>Cost is: (choose one)</p> <ul style="list-style-type: none"> • one-time • annual • both one-time & annual • other 	<p>Carrying out this Action Item is within the scope of: (choose one)</p> <ul style="list-style-type: none"> • my unit itself • my unit together with other units on campus • my larger department, division or control unit • the campus • the multi-campus System (if any) • other • not sure <p>Comment?</p>

Action Item #3: Description	
<p>Cost: (choose one)</p> <ul style="list-style-type: none"> • less than \$100 • \$100 - \$1,000 • \$1,000 - \$10,000 • \$10,000 - \$100,00 • More than \$100,000 • Don't know <p>Cost is: (choose one)</p> <ul style="list-style-type: none"> • one-time • annual • both one-time & annual • other 	<p>Carrying out this Action Item is within the scope of: (choose one)</p> <ul style="list-style-type: none"> • my unit itself • my unit together with other units on campus • my larger department, division or control unit • the campus • the multi-campus System (if any) • other • not sure <p>Comment?</p>

Action Item #4: Description	
<p>Cost: (choose one)</p> <ul style="list-style-type: none"> • less than \$100 • \$100 - \$1,000 • \$1,000 - \$10,000 • \$10,000 - \$100,00 • More than \$100,000 • Don't know <p>Cost is: (choose one)</p> <ul style="list-style-type: none"> • one-time • annual • both one-time & annual • other 	<p>Carrying out this Action Item is within the scope of: (choose one)</p> <ul style="list-style-type: none"> • my unit itself • my unit together with other units on campus • my larger department, division or control unit • the campus • the multi-campus System (if any) • other • not sure <p>Comment?</p>

Interview Form Step 5: Key Resources

Section 5: Key Resources

a. Staff Basics

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? 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 Sections.

List names below. You may want to follow up later to answer several additional (on-screen) questions about each person.

b. Work from Home

Please list below the names of faculty and staff **who could do at least part of their work from home**. You may want to follow up later to answer several additional (on-screen) questions about each person.

c. Teams (Optional screen that your campus may or may not be using.)

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

If so, write down the names of teams & team members below (or collect names later).

d. Skills That May Be Needed (Optional screen that your campus may or may not be using.)

What skills may be needed by your department immediately after a disaster, to continue or restart its critical functions?

** You may wish to refer to the pick-list on the screen.

You may also add other skills that are not on the pick-list.

e. Staffing Requirements (Optional screen that your campus may or may not be using.)

Please refer to the online tool. This is a question that may take time to fill out, and is probably best handled otherwise than in your initial interview. If you prefer, you can add the names of the appropriate managers to your plan as authorized users (on the Manage Plan Access screen), to enable the managers to input their information directly into the online tool.

f. Staff of Other Units

Who are the **most important people from elsewhere in your campus or medical center** whom your staff may need to contact within the first few hours or days after a disruptive event?

List names below. You may want to follow up later to answer several additional (on-screen) questions about each person.

g. Stakeholders

Are there **other stakeholders** that your staff may need to contact after a disruptive event? For example - vendors, clients, project partners, donors, or sponsors?

When listing vendors, please include only those that your department makes individual purchases from (as opposed to those vendors who sell in bulk to the central purchasing department).

List **names (or organizations)** below. You may want to follow up later to answer several additional (on-screen) questions about each.

h. Document Summary

Are there any other documents that will be important to have access to, during a crisis (in addition to the ones you named earlier)?

i. 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 & supplies that you may need to perform ALL the critical functions that you listed in Section 2. Estimate, don't agonize. Guess if you need to.

List these items below.

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?

j. Facilities and Transportation

Facilities: List any special space or facilities needs that are IN ADDITION TO your office/classroom/lab needs. Be brief. Explain if necessary.

Utilities: Please identify the utilities that are very important to the functioning of your department.

** Select from the on-screen pick-list.

Transportation: Please list any special transportation needs.

Other Resources: Are there any OTHER resources you may need to continue/resume your critical functions? (Do not list funds. List staff ONLY IF you will need temporary staff - for recovery - in addition to your current staff.)

Plan, Test and Review

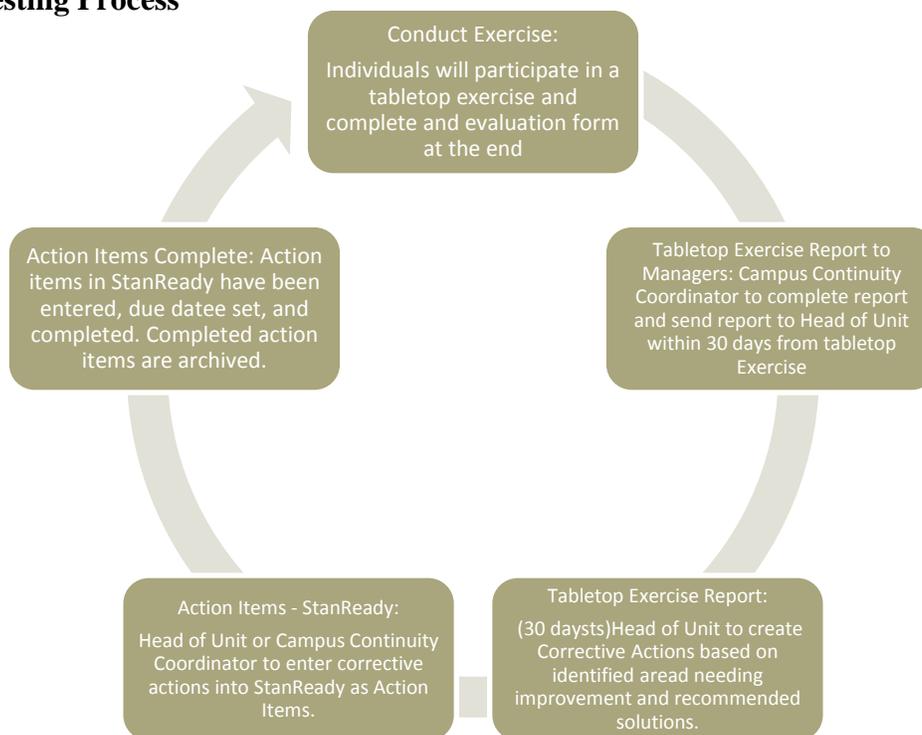
Plan

Departments are required to review their department continuity plan, participate in 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 department continuity planning shall be provided to all individuals responsible for developing and implementing plans.

Test

Per Executive Order 1014 departments are required to test some part of their department continuity plan once a year, with all parts tested every seven years. The purpose of a tabletop exercise is to provide documentation of test results and lessons learned in the Tabletop Exercise Report.

Testing Process



Schedule a Tabletop

Per Executive Order 1014, each Department – Business Continuity Plan (D – BCP) needs to be tested and reviewed annually. Each year all D – BCPs are tested by having a tabletop discussion with members of the department. The Campus Continuity Coordinator or your division representative contacts your department head to schedule a Tabletop Exercise.

Conduct Tabletop Exercise

The Campus Business Continuity Coordinator will conduct an annual tabletop exercise with your team. Below is an example for a typical Department – Business Continuity Planning Tabletop Exercise meeting. These meeting sessions usually take an hour or less to complete as a group.

Business – Department Continuity Plan Tabletop Exercise

“A successful exercise uncovers and documents problems.”

Department:

Date:

Exercise Agenda

- I. Introduction of Participants and Roles**
- II. Business – Department Continuity (D – BCP) Exercise Requirement**
 - A. Per Executive Order 1014, Section IV.3
 - B. Test some part of the plan every year with all parts tested every 7 years
 - C. An actual event necessitating activation of the BC Plan will meet this requirement
 - D. Provide full documentation of test results and lessons learned in Tabletop Exercise Report which must be signed by Department Head and Campus Continuity Coordinator
- III. Exercise Objectives**
 - A. Ensure the D – BCP works when it’s needed (assess the validity of the D - BC Plan)
 - B. Identify limitations of the D – BCP
 - C. Ensure individuals within department are able to communicate with one another
 - D. Utilize exercise results to update and improve the D – BCP
 - E. Familiarize staff with the D – BCP and their role in continuing critical functions
- IV. Overview of Department’s Critical Functions**
- V. Presentation of Exercise Scenario**
- VII. Summary and Actions**
 - A. Assignments
 1. Complete and submit evaluation form
 2. Create Action Items in D – BCP based on recommended solutions from the Tabletop Exercise Report
 - B. Next Steps
 1. Ongoing D – BCP maintenance
 2. Annual review, per Executive Order 1014, Section IV.4
- VIII. Disengage**

Complete Tabletop Exercise Evaluation

Once your team has completed an annual tabletop exercise, each participant will then be prompted to complete an evaluation form. This will help identify the department's successes, areas for improvement and future steps to take based on the tabletop exercise discussion. Below is an example of the tabletop exercise evaluation.

Tabletop Exercise Evaluation

Department: _____

Participant: _____

Please take a few minutes to fill out this form. Your opinions and suggestions will help us to better prepare for an incident.

- 1) **List three things that your department currently has in place to aid in resuming your campus critical functions.**

- 2) **List three things that you have identified for improvement to aid in resuming your campus critical functions**

- 3) **What steps do you recommend to take for items identified in question 2?**

- 4) **Any additional comments?**

Complete Tabletop Exercise Report

The Tabletop Exercise Report is composed by the Campus Continuity Coordinator with recommended solutions based on areas needing improvement from the evaluation forms and due within 30 days. These areas needing improvement are placed in the corrective action table. The head of unit is responsible for completing the table by deciding the level of priority, what the corrective action will be, the lead person for completing the action, and when it will be completed by.

Once the corrective action table section of the report has been completed the Tabletop Exercise Report must be signed, dated and submitted to Safety & Risk Management. Once the Tabletop Exercise Report is received, the Campus Continuity Coordinator will place any outstanding action items into your plan in StanReady. Below is an example of the tabletop exercise report.

Tabletop Exercise Report

This Tabletop Exercise Report (Corrective Action Plan) is intended to aid in your Department – Business Continuity Plan (D-BCP) evaluation and improvement by registering situation-response interactions, analyzing critical functions, determining coping strategy effectiveness and efficiency, and proposing adjustments and recommendations.

Exercise Overview

Campus Continuity Plan Tested: [NAME OF PLAN EXERCISED]
Date of Exercise: [DATE EXERCISED]
Location: [WHERE EXERCISE OCCURRED]
Exercise Participants: [LIST OF PARTICIPANTS, AND TITLE]
Exercise Overview: [OBJECTIVES SET FOR EXERCISE]
Exercise Scenario: [LIST OF SCENARIO USED IN EXERCISE]

Summary

Successes

The tabletop exercise worked as planned, and participants were able to communicate with one another. Additional successes that were identified during the tabletop exercise are as follows:

- [LIST IF SUCCEEDED IDENTIFIED FROM THE EXERCISE]

Discovery

Per the evaluation forms completed by the participants, the areas needing improvement have been identified, and they are as follows:

- [LIST OF AREAS IDENTIFIED NEED IMPROVEMENT]

Recommended Solutions

The following are the Campus Continuity Coordinator’s **suggestions** for the areas needing improvement:

- [LIST SUGGESTIONS MADE BY THE CAMPUS CONTINUITY COORDINATOR FIR TGE AREAS NEEDING IMPROVEMENT]

Corrective Actions

The following corrective actions have been created for the areas needing improvement by the department head(s) or designee. For all corrective actions outstanding, they will be placed into *StanReady* as **Action Items** by the Campus Continuity Coordinator.

Areas needing improvement	Priority Level 1-5 (Low to High)	Corrective Actions	Lead Person	Due Date

Department Head(s) or Designee

Date

Campus Continuity Coordinator

Date

StanReady Action Items

Outstanding corrective action items can be placed into StanReady as Action Items by the Campus Continuity Coordinator or Plan Owner.

Review

StanReady has a method to document the completion and annual review of your department continuity plan. From the Plan Details drop down menu, there is an Update Plan Status screen. This screen is used to update the status of a plan.

- In Progress: The default status for all new plans.
- Complete: A new plan has been completed.
- In Review: An existing plan is being reviewed.
- Current: An existing plan has successfully been reviewed.

Instructions for Update Plan Status – Mark Your Plan Complete

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 (hence more able to continue functioning).

If your plan was completed in the past and you are now doing an annual review of your plan, please select the Update Plan Status screen and update your status to Current.

The screenshot shows the 'Update Plan Status' form in the StanReady system. The form is titled 'Update Plan Status' and is located in the 'Plan Details' section. It includes the following fields and options:

- Name:** Test User
- Role:** Admin
- Date:** 2016-07-01
- Status:** A dropdown menu is open, showing three options: Complete (selected), In Review, and Current.
- Comment:** A text area for providing additional information.
- Buttons:** Cancel, Save, and Save and New.
- Guidance:** A section on the right titled 'Hide Guidance' provides instructions: 'Use this screen to update the status of a plan.' It lists the status definitions: In Progress (default for new plans), Complete (new plan completed), In Review (existing plan being reviewed), and Current (existing plan successfully reviewed). It also notes that the Comment field allows for flexibility with procedures for status updates.

Annual Review Checklist

When completing your annual review in StanReady, you will be provided with an Annual Review Checklist. Once you have gone through your plans and made updates you will then update your plan status to Current. Below is an example of the annual review checklist.

Annual Review Checklist

- Plan Details
 - Department Information
 - Faculty, Staff, Students and Volunteers
 - Action Item Summary
 - Mark action items as not yet begun, in progress, needs further discussion or complete.
 - Are any completed? If yes, have they been marked completed?
 - If action items have not been completed, does the due date need to change?
 - Note: If making a change to due date please add a comment indicating its original due date.
 - Download Documents
 - Are the documents the most current, up-to-date?
 - Are there telephone numbers contained in the documents? If yes, are they correct?
 - Manage Plan Access
 - Any new users?
- Critical Function
 - Level of Criticality – Any changes?
 - Person responsible – review all and make updates.
 - Peak Periods – any new peaks to note?
 - Dependencies – any change in dependency across campus?
 - How to Cope
 - Operating procedures the same? Should any written procedures be uploaded?
- Key Resources
 - Staff Basics
 - Name and Phone numbers – Review for update.
 - Names – Review list
 - Stakeholders – Have names or numbers changed? Are there any new vendors that should be added?

Conclusion

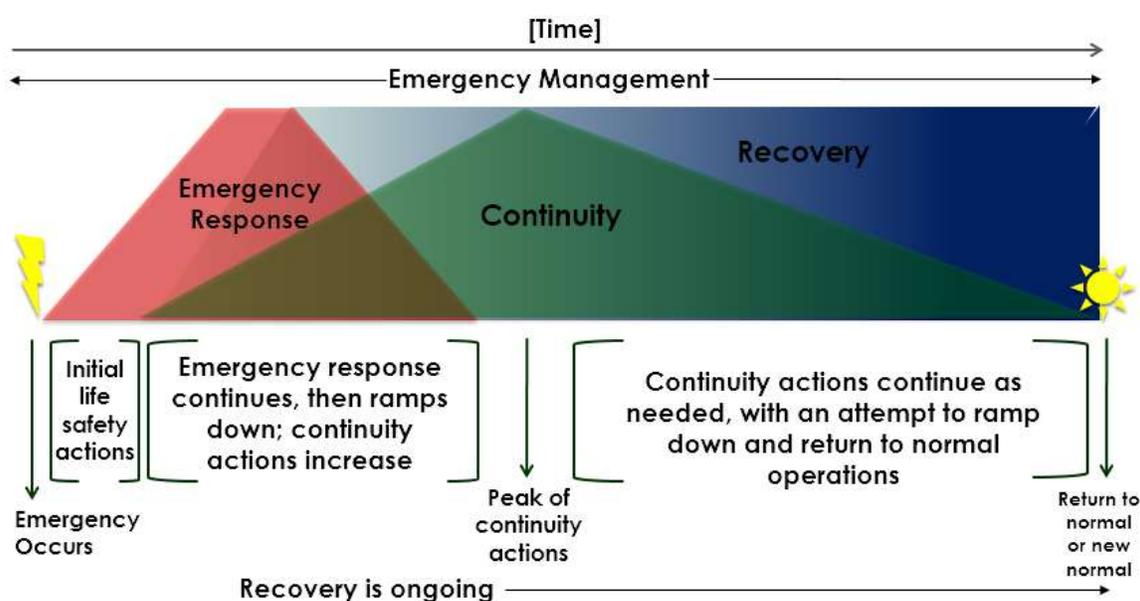
Continuity and Recovery

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 campus continuity planning. The information you have collected in the previous steps, and entered into StanReady 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.

Emergency Management and Continuity: During an Incident



Employee Preparedness

There is no more important resources 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 business continuity and recovery plans with your staff and co-workers. They may offer additional ideas or options that could enhance planning.

