

Guide to Business Continuity Planning



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Introduction

Welcome to Suffolk University's ***Guide to Business Continuity Planning***. This document will help you and your department create a business continuity plan that will prepare you to continue to function in the face of an interruption of any kind. This guide and the planning process will help you organize information related to your department's critical functions, determine alternative ways of fulfilling those functions and identify actions that you can take now to make it more likely that crisis response will run smoothly.

Business continuity planning is a planning process that helps your organization:

- Identify the essential business functions that support your mission
- Assess the potential impact of disruption to those functions
- Develop strategies to continue or quickly resume those functions when faced with adverse events
- Evaluate the effectiveness of plans during simulated and actual events

Business continuity planning and preparation allows the University and its schools and departments to remain focused on its mission in the face of adverse circumstances. This means that students are learning, faculty are teaching and services remain available.

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

Good continuity planning will result in action items that when completed ahead of a disruption, will position your area and the University with some alternative ways of fulfilling critical functions. Plans do not guarantee outcomes, but they can improve readiness and resilience.

No matter what happens today, we want to be able to do tomorrow, what we did yesterday.

How to Use this Guide

Utilizing this guide and the included interview form, planners will obtain and document the information and items necessary to complete the business continuity plan through **Suffolk Ready**, our campus business continuity planning software program. Suffolk Ready's online, guided planning process is designed specifically for higher education and simplifies what can seem like a complex process. The first part of this guide will help you understand how to navigate and utilize Suffolk Ready. Subsequent pages will provide planning steps, tips and suggestions to guide you through the business continuity planning process for your department on campus.

Suffolk Ready uses an "all hazards" approach that prompts you to consider the potential impact of events such as natural disasters, power or technology failures, and health epidemics. The questionnaire format encourages you to add action items you can track and complete to become even more prepared.

While we utilize the all hazards approach, there are benefits to considering what risks your department might face. What are the most likely risks your department faces? Would your co-workers, staff, building or department operations be affected by adverse weather? What would happen if information stored locally on your computer was lost due to a fire or flood? 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 or fiscal year).

We suggest that you discuss identified risks and their potential effects with your leadership and your coworkers 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 at 617-973-1142.

Suffolk Ready

Suffolk University has secured and maintains a license for the Kuali Ready software program to provide the framework for our Business Continuity Program.

Suffolk Ready, our version of 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 Suffolk Ready software program.

Suffolk Ready planning software is set up in 5 planning steps and an action item summary. The steps are:

1. Department Information
2. Critical Functions
3. Information Technology
4. Instruction
5. Key Resources
- Action Item Summary

To assist with business continuity planning efforts, each step will be discussed further in this plan. Additionally, the interview forms provide at a quick glance the information required to be entered into Suffolk Ready.

Click the following link to access the Suffolk Ready logon page.

<https://suffolk.kuali.co>



Getting Started

To access Suffolk Ready you will be asked to enter a username and password. Use your Suffolk credentials to login.

Accessibility

Kuali Ready was designed with accessibility in mind. If you discover issues related to accessibility, please contact ready-support@kuali.co and the Kuali Ready team will work to resolve the issue as soon as possible.

Mobile Devices

Kuali Ready was designed to function across all devices and is responsive across multiple screen sizes.

User Dashboard

Ready has a User dashboard that appears as the homepage for all Users of the system. The dashboard highlights three things:

- My Plans: this section shows the User the list of all plans they have access to
- My Action Items: this section shows the User the list of all action items currently assigned to them within all plans they have access to. Action items with a red bar are past due according to their assigned due date.
- Unassigned Action Items: this section holds all the unassigned action items for all plans the user has access to.

My Plans

Plan Name	Status	Created	Last Updated	
HUM - Humanities Department	In Progress	Oct 16, 2017	Oct 26, 2017	view edit
Residential Living	Due for Review	Sep 14, 2017	Oct 27, 2017	view
SCI - Science Plan	In Review	Jul 15, 2016	Oct 27, 2017	view edit

My Action Items

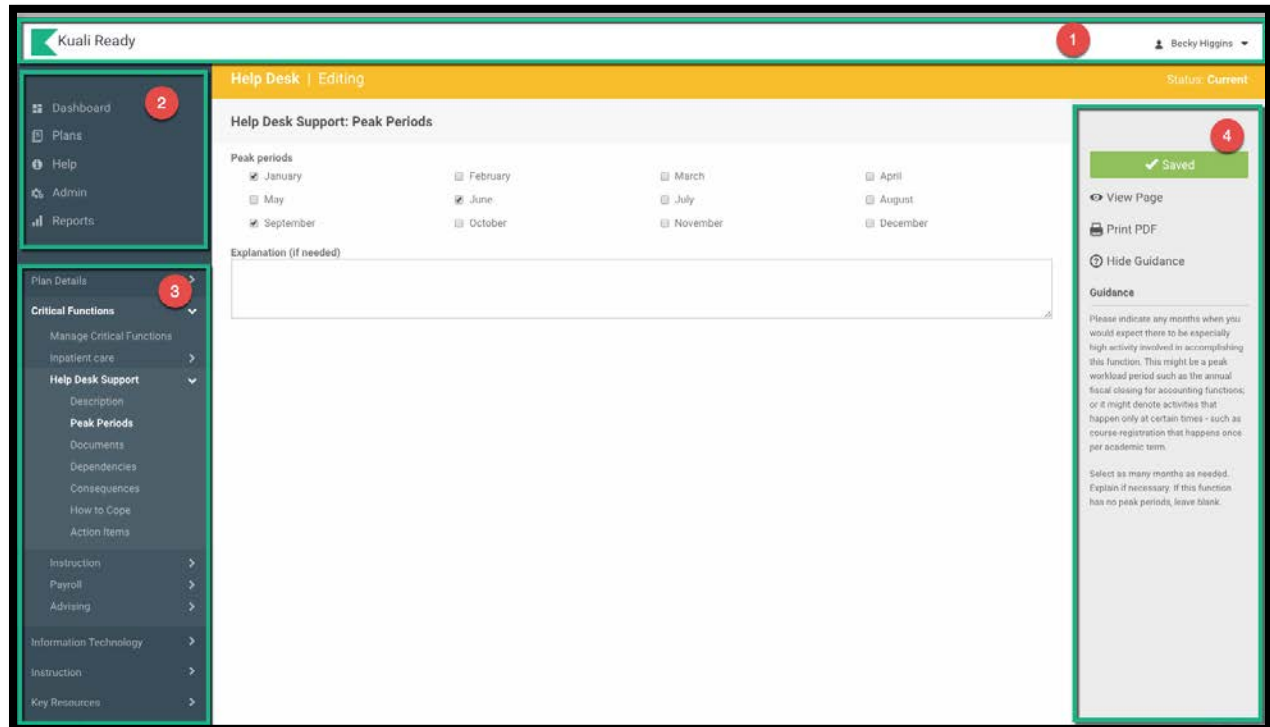
Action Item	Plan	Status	Critical Function	Due Date
Put course in our LMS	SCI - Science Plan	In Progress	Science Department	Nov 02, 2016
Science dept call tree uploaded to documents	SCI - Science Plan		Science Department	
Humanities high priority class definitions	HUM - Humanities Department			Dec 14, 2017

Unassigned Action Items

Action Item	Plan	Status	Critical Function	Due Date
Schedule call with EH&S	Residential Living	Completed		Sep 14, 2017
Initiative evaluation, cost and employee time	Residential Living	Not Yet Begun		
Interview faculty about high priority courses	SCI - Science Plan			Sep 12, 2017

Navigation

The system has 4 primary navigation components: (1) Banner, (2) Global Navigation, (3) Panel Navigation and the (4) Action Menu. All four are shown below.



Banner

The top most part of the Suffolk Ready application contains the Banner.

Suffolk Ready Link

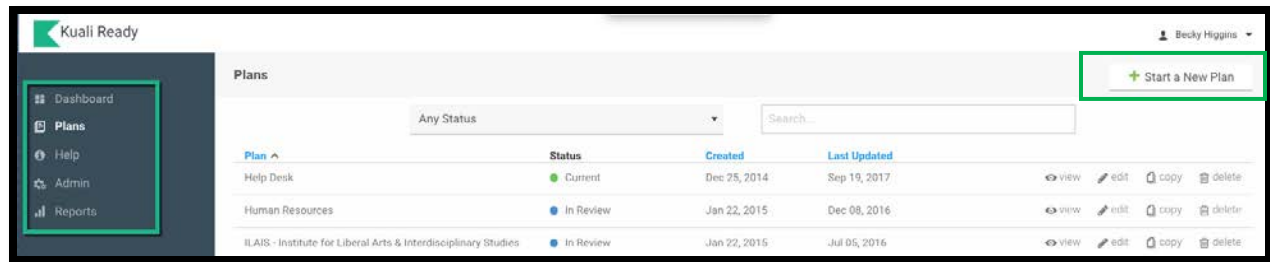
The Suffolk Ready text at the top left side of the screen links to the Plans screen.

Profile Icon Menu

The person icon menu at the upper right includes links to account settings and system sign-out.

Global Navigation

The upper left hand side of each screen in Suffolk Ready contains the Global Navigation links. Global Navigation presents the same options on every screen you visit, based on your assigned user role.



Dashboard Link

The Dashboard link loads the Admin dashboard which contains information to help the administrator see high level activity across all plans.

Plans Link

The Plans link loads the Plans screen, which contains a list of all the plans. This list gives a quick view of plan status, as well as options for viewing, editing and deleting plans, depending on your user role and plan permissions. If you need to create a new plan, simply select the +Start a New Plan button at the top of the page. If you are updating a plan, simply click on your plan and begin editing the information.

Help Link

The Help link loads the main Help screen that includes a navigation menu with links to Help resources configured by the Ready Admin.

Admin Link

The Admin link loads the main Admin screen that includes a navigation menu with links to all administrator settings. It includes links to Setup and some of the frequently visited Admin resources. Accessible only to administrators.

Reports Link

The Reports link loads the menu for the canned reports accessible only to administrators.

Panel Navigation

Many screens provide navigation menus in the left panel below the Global Navigation. When you select a link that leads to a sub-menu, that menu will then appear in the left panel. Arrows next to navigation section headers indicate you can click to expand and collapse those sections. The Panel Navigation highlights your current location at all times.







Action Menu

When working within a plan, the Action Menu exists on the right hand side. It contains different content depending on your location within a plan. Normally you will find the save function, the edit/view mode links, the ability to print the plan and the link to guidance if available.

General Features and Functions

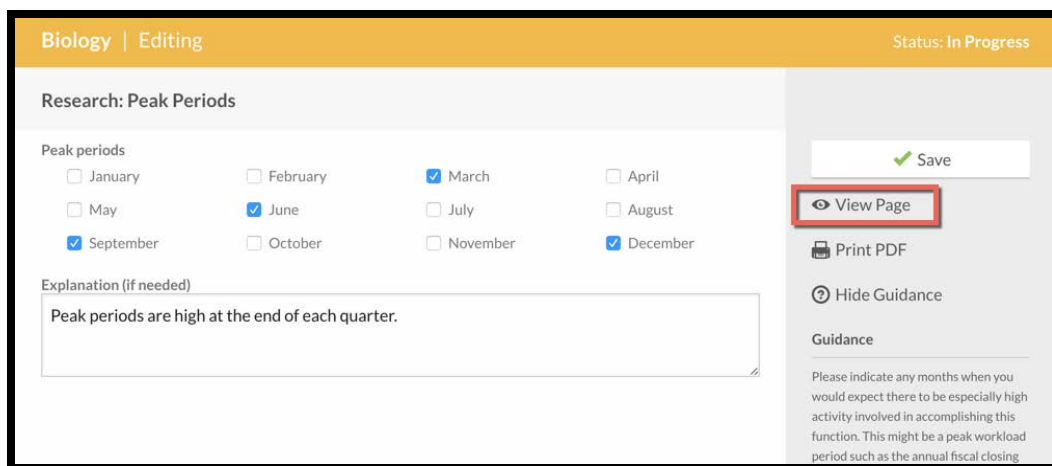
Icons

Simple icons link to functions throughout the system. You can hover the mouse pointer over the icon to view the icon label.

-  edit Edit - Select the pencil icon to edit content.
-  view View - Select the eye icon to view content
-  delete Delete - Select the trash can icon to delete content.
-  Archive - Select the file drawer icon to archive Action Items.
-  Move - Hover over the icon and the mouse pointer turns into a cross. Select and hold the icon to drag and drop list items to rearrange the order.
-  Locked - This item is in use by other sections of your plan. You cannot delete this item until its associated content has been removed or deleted.

Edit and View Modes

Each page within a plan can be accessed in either an edit or view mode. Edit mode allows you to see all the fields that can be edited, make changes and save changes. Edit mode has an orange banner across the top. To switch to view mode click on the View Page link in the right hand side bar.



The screenshot shows a web interface for editing a page titled 'Biology | Editing'. The top banner is orange and contains the text 'Status: In Progress'. The main content area is titled 'Research: Peak Periods' and contains a form with a section for 'Peak periods' with checkboxes for months (January through December). The 'March', 'June', 'September', and 'December' checkboxes are selected. Below this is a text area for 'Explanation (if needed)' with the text 'Peak periods are high at the end of each quarter.' To the right of the main content is a sidebar with a 'Save' button (green checkmark), a 'View Page' link (eye icon, highlighted with a red box), a 'Print PDF' button, and a 'Hide Guidance' button. Below these is a 'Guidance' section with a paragraph of text.

The view mode allows you to see a clean display of all content available without the chance of erroneously editing or saving content. View mode has a blue banner across the top.

Biology Status: In Progress

Research: Peak Periods

Peak Periods	Explanation
March, June, September, December	Peak periods are high at the end of each quarter.

✎ Edit Page

🖨 Print PDF

🔍 Hide Guidance

Guidance

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.

Save

Several screens have open fields that allow you to edit content without explicitly selecting an Edit button. When you edit content on these screens, make sure you select the Save button before you leave the screen.

Biology | Editing Status: In Progress

Research: Description

* Critical Function Name

* Level of Criticality

Thing 2

Brief Description of This Function

Name of Section or Unit That Performs This Function (if applicable)

Responsible People (give names unless this is a generic group)

✔ Save

👁 View Page

🖨 Print PDF

🔍 Hide Guidance

Guidance

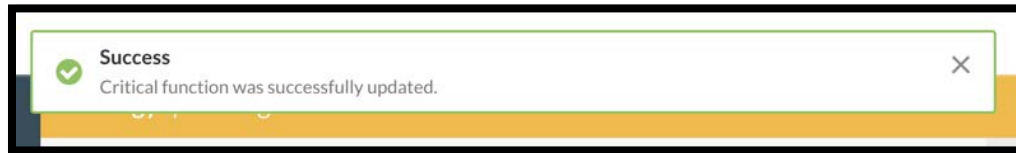
Remember to use the Save button after entering or editing information on this page.

When there is no content that needs to be saved you will see the Saved button surrounded by green. When you have made changes that need to be saved, you will see the Save button surrounded by white. Click on the Save button to save all changes.

✔ Save

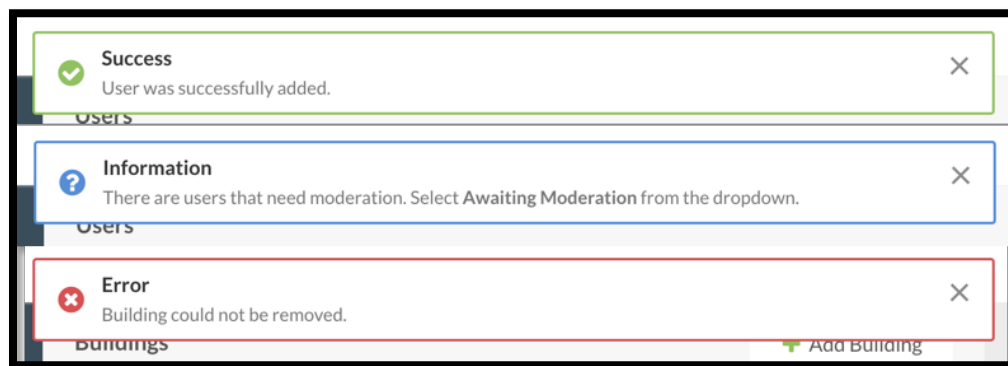
✔ Saved

Clicking on the save button will also provide you with a notification in the upper portion of your screen to let you know you have successfully saved your changes. If you attempt to navigate away from the screen with unsaved changes you will be prompted to save them.



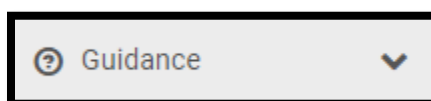
Alerts

Within the system, user alerts appear at the top of the application partially covering the Banner. These alerts have three forms: Successes in green, Information in blue and Errors in red. They will automatically dismiss if no action is taken after 3 seconds. You can also manually close them by clicking on the X in the right hand side.



Guidance Panels

Within the Action Menu you will find the Guidance content. This text contains helpful instructions and suggestions to guide users through the system and prompt them for quality responses. You can reveal the guidance panel by clicking on the Guidance arrow and you can hide the guidance panel by clicking again on the arrow. Your current selection will persist as you navigate between screens.



Drag and Drop Ordering

Some of the list content can be rearranged to change the order of list items. This content is indicated by a hamburger icon (3 parallel horizontal lines). Hover over the icon and the mouse pointer turns into a cross. Select and hold the icon to drag and drop a list item to the appropriate place.

Function	Level of Criticality	
IT	Thing 1	edit delete
Purchasing	Thing 1	edit delete
Human Resources	Thing 1	

Upload

There are a few places where you can upload content. In screens within Administration you can upload files to quickly add list content. The files must be .CSV files. First select the Choose File button to locate the file on your system. Then select the Upload File button.

Automated Upload

You can upload this data from a file:

- Must be a CSV (Comma Separated Values) file.(In MS Excel, use 'Save as' to create a CSV file)
- The file should include five columns, and no header/title rows
- The order of columns must be (left to right) Common Name, Identifier, Official Name, Ownership, Address (do not create a header row with those titles)
- In the Ownership (4th) column the value must be Owned, Not Owned, or Special Status. The upload will be rejected if you use different terms.
- Existing data will remain. Uploaded data will be APPENDED to existing data (added at bottom)

No file chosen

☐ Delete all records before upload

File Encoding / Character Set
 (Auto Detect) ▼

Within plans you can upload documents that need to be stored with plans. The Documents section in Plans allows you to also drag and drop files to upload them. You can attach any type of file to plans, but users must have the appropriate application on their system in order to open files. Keep accessibility in mind as you add documents.

Comment (if needed)

Attachment

Drag and drop a file or click to attach a file

2014 Higher Education...ent.pdf

Cancel Save Save and New

Content Editor

The Admin menu includes several screens you can add and edit custom content to support your users. These screens feature a basic content editor with typical editing functions, such as font formatting, adding images, and creating links. You can hover over the buttons in the editor to view the label describing the function of the button.

Edit Contact

* Content

B I U S x₂ x² [Alignment icons] [List icons] [Link icon] [Image icon] [I_x icon]

Font Size A A

Call First Last @ 456-345-3456 if you have questions regarding the use of Kualu Ready.

body p

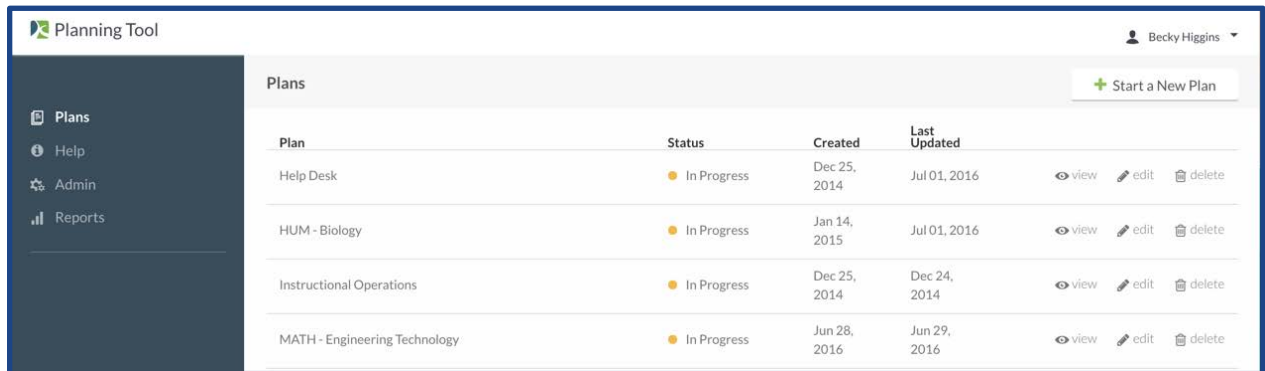
Cancel Save Save and New

Browser functions

You can use your browser's back and forward buttons to navigate between screens. You will be prompted to save when you attempt to navigate away from a screen you have made changes on. You can also use your browser's print function to save screens to PDF or print. On screens with links, the URL for links is included in the print view.

Continuity Plans

Continuity plans are the heart of Suffolk Ready. The Plans screen is the home base for accessing and creating plans. You can always return to the Plans screen using the Plans link in the Global Navigation at the top of every screen.

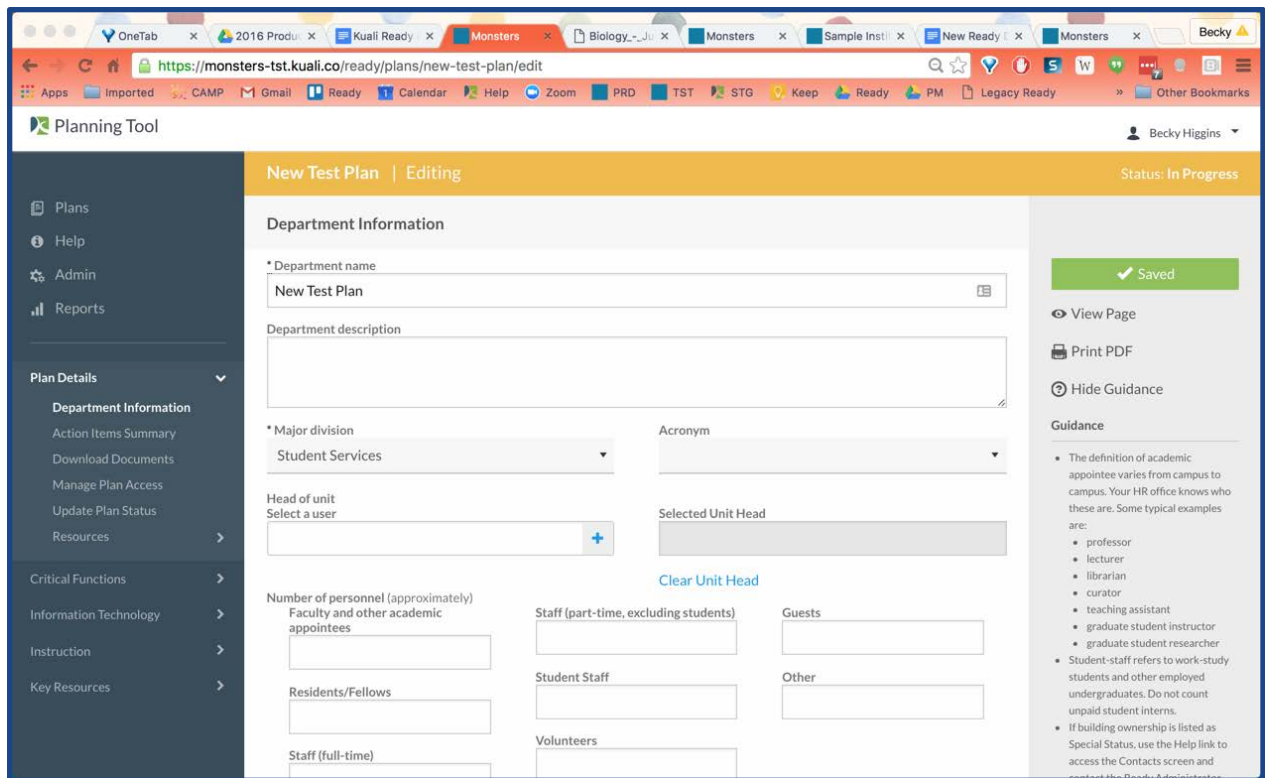


The screenshot shows the 'Plans' screen in the Planning Tool. On the left is a sidebar with links to Plans, Help, Admin, and Reports. The main area displays a table of plans. At the top right of the main area is a '+ Start a New Plan' button. The table has columns for Plan, Status, Created, and Last Updated. Each row includes icons for view, edit, and delete.

Plan	Status	Created	Last Updated	
Help Desk	In Progress	Dec 25, 2014	Jul 01, 2016	view edit delete
HUM - Biology	In Progress	Jan 14, 2015	Jul 01, 2016	view edit delete
Instructional Operations	In Progress	Dec 25, 2014	Dec 24, 2014	view edit delete
MATH - Engineering Technology	In Progress	Jun 28, 2016	Jun 29, 2016	view edit delete

Start a New Plan

Users can create plans using the Start a New Plan button on the Plans screen. When you start a new plan you are automatically taken to the Department Information screen to continue the process of completing a plan.



The screenshot shows the 'New Test Plan | Editing' screen in the Planning Tool. The top bar indicates 'Status: In Progress'. The left sidebar shows 'Plan Details' expanded with options like Department Information, Action Items Summary, Download Documents, Manage Plan Access, Update Plan Status, and Resources. The main area is divided into sections for Department Information, Head of unit, and personnel counts. A 'Clear Unit Head' link is visible. On the right, there is a 'Saved' button and a 'Guidance' section with a list of roles and instructions.

Department Information

* Department name
New Test Plan

Department description

* Major division
Student Services

Acronym

Head of unit
Select a user

Selected Unit Head

Clear Unit Head

Number of personnel (approximately)

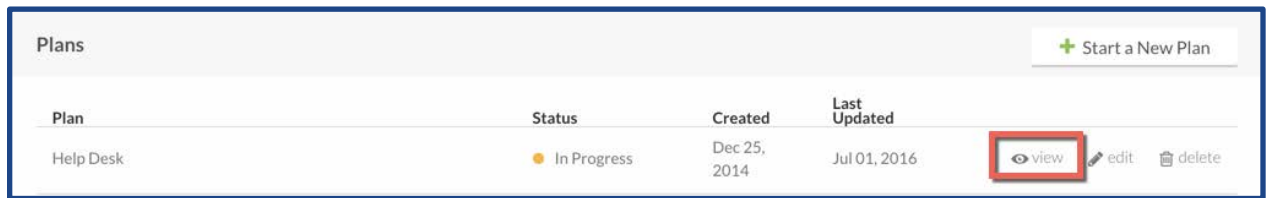
Faculty and other academic appointees	Staff (part-time, excluding students)	Guests
Residents/Fellows	Student Staff	Other
Staff (full-time)	Volunteers	

Guidance

- The definition of academic appointee varies from campus to campus. Your HR office knows who these are. 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.
- If building ownership is listed as Special Status, use the Help link to access the Contacts screen and contact the Building Department.

View Plans

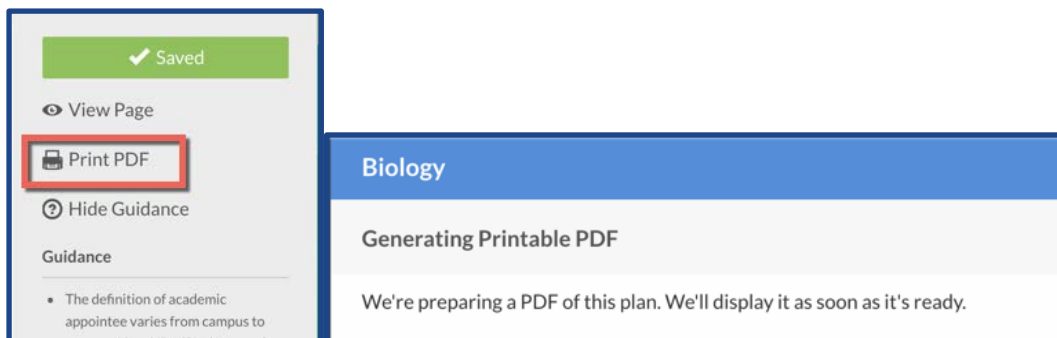
From the Plans screen, you can select the eye icon to view any plan for which you're authorized. If you're in Plan Edit mode, you can select the View or Print Plan link near the top of the left navigation.



Plan	Status	Created	Last Updated	
Help Desk	In Progress	Dec 25, 2014	Jul 01, 2016	view edit delete

Print Plans

From within a plan (in edit or view mode) select the Print PDF icon from the Action Menu to view an on screen presentation of the plan that you can print using your browser functions.



The Print PDF link will generate a nicely-formatted PDF in a new browser tab. You can then download or print the PDF. Tip: You can also select the plan content on the screen, copy it, and paste it into an external document. You might choose to do this if you want to add comments and feedback to users to help them improve their plans.

Edit Plans

There are two paths to Edit Plans.

- From the Plans screen, you can select the pencil icon link to any plan for which you're authorized.
- If you're within a plan you have access to you can select the Edit Page link from within the Action Menu.

Plan Navigation

When you're editing a plan, the Plan Navigation is located within the Panel Navigation of the screen. Arrows next to the main headings allow you to expand and collapse the plan sections so you can focus on one section at a time.

Planning Tool

Becky Higgins

Status: In Progress

Biology

Department Information

Department Name
Biology

Department Description
department description

Major Division
Facilities

Acronym
HUM

Head of Unit

Faculty and Other Academic Appointees	Residents/Fellows	Staff (Full-Time)	Staff (Part-Time, Excluding Students)
0	0	0	0

Student Staff	Volunteers	Guests	Other
0	0	0	0

Department Type(s)
Administration, Instruction

Building Name	Identifier	Ownership	Comments
East	E	Owned	

Edit Page

Print PDF

Hide Guidance

Guidance

- The definition of academic appointee varies from campus to campus. Your HR office knows who these are. 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.
- If building ownership is listed as Special Status, use the Help link to access the Contacts screen and contact the Ready Administrator.

Completing Your Continuity Plan

Plan Details

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

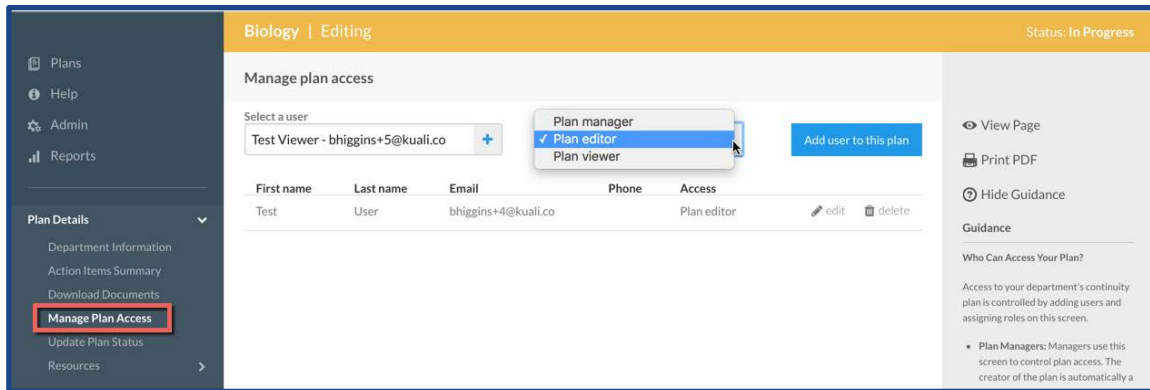
If documents have been added as attachments to the plan, you can select the Download Documents link to view a list with links to download each document.

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.

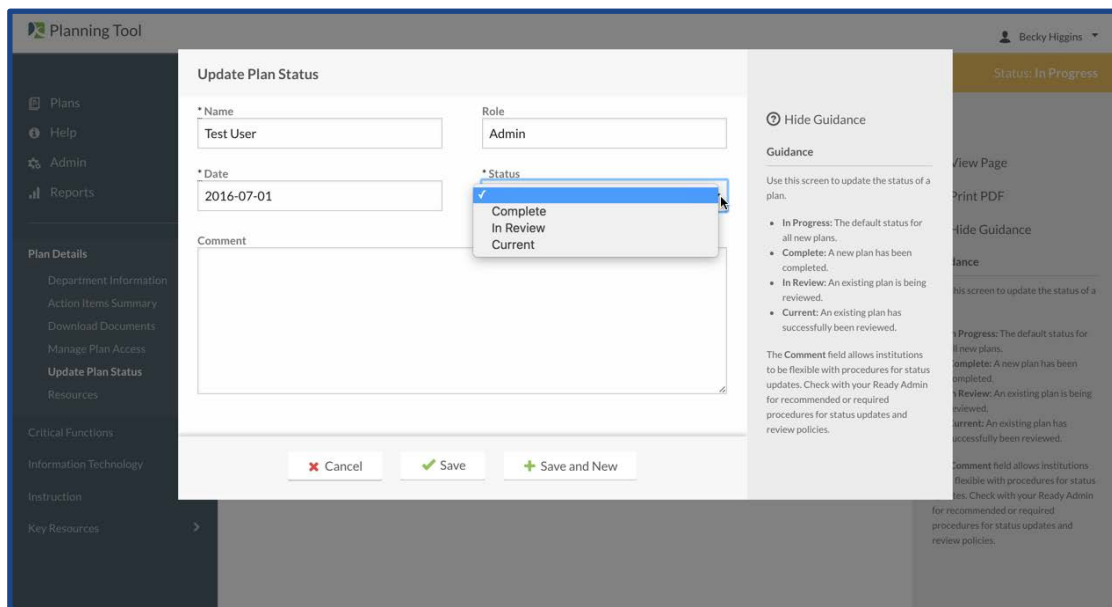
- Plan Managers can view and edit plans and Manage Plan Access.
- Plan Editors can view and edit plans.
- Plan Viewers can view plans, but cannot edit them.



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.

Note: Not everyone can edit the plan status. Only system Admins and Plan Managers can use this feature.



Resources

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

Critical Functions

In this section, 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. (Examples: inpatient care, police services)
- **Critical 2:** must be continued if at all possible, perhaps in reduced mode. Pausing completely will have grave consequences. (Examples: provision of care to at-risk outpatients, 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: elective surgery, routine building maintenance, training, marketing)

What is a Critical Function?

A critical function is a service or a collection of services normally performed by a unit that must continue at a sufficient level without interruption or restart within given timeframes (within the first 30 days) after a disruption to the service.

If a given critical function isn't available at a sufficient level within the resumption timeframe, the campus community risks direct and immediate adverse effect(s) in terms of: loss of life, personal injury, loss of property, and/or the University's ability to maintain direction, control of, or accountability for instruction, research or service essential to its mission.

A function is critical if it:

- Preserves life, prevents injury, or protects property
- Provides indispensable support for provision of other critical functions
- Is required by law or regulatory authority
- It must be continued under all circumstances/Cannot suffer a significant interruption
- Directs or controls instruction or research—be sparing about tagging a function as directing or controlling these services.
- Provides vital support to another department, unit, or organization with critical functions

Four Principles of Critical Functions

- All university functions are necessary: some are critical.
- A critical function is a unit activity or service, not a unit name, not an object.
- A critical function is comprised of several—perhaps many—processes and almost never is comprised of a single process.
- A critical function is a high-value activity or an activity set that is normally performed by your unit & must be available at a sufficient level within 30 days or less if a negative event affects the campus.

Tips for Determining Critical Functions/Services

Determining critical functions can be a challenge. Over inclusion can result in a burdensome, costly plan, while under inclusion may render a plan ineffective.

When determining a unit's critical functions:

- Identify them in terms of function and services, not processes.* Examples of functions:
 - Provide undergraduate instruction
 - Pay employees
 - Provide parking for vehicles
 - Convey outgoing mail
 - Ensure Restroom access
 - Provide meals for residents of university housing

*"Processes" are the steps needed to accomplish a function. For example, "food buying", "food storage", "cooking", "serving", and "clean-up" are processes, but the function they accomplish is "providing meals for residents of university housing."

- Consider a function as critical if it has a direct and immediate effect on the campus community in terms of loss of life, personal injury, loss of property.
- Consider a function as critical if it has a direct and immediate effect on the University's ability to maintain direction and control of instruction, research, and/or mission-critical services at sufficient levels if not continued or restarted in the shortest amount of time possible and within no more than 30 days.

- As a rule of thumb, consider a function “critical” if it is absolutely essential for teaching or research. More specifically, a critical function is likely one that must be re-started during the first 30 days post-disaster in order to enable instruction or research to re-start or continue.
- Consider indirect relationships. Many functions have only an indirect relationship to instruction or research. Nevertheless, these functions may be critical if their cessation would have a significant negative impact on the campus’s ability to carry out instruction or research.
- Set the bar high when determining what is critical. For example, visualize department team members performing a function while working in a large tent with a few computers on extension cords, and question whether they really need to be doing this function.

Information Technology

In this section, 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 & 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.)

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 modification

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.

This section 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? A good plan can also help departments manage interruptions caused by less severe events such as weather cancellations. Departments that do not provide either undergraduate or graduate instruction can skip this step and proceed directly to the Key Resources section.

Key Resources

This section 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
- 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.

Action Items

Action items are the most important part of continuity planning. The process of thinking through the steps you need to take to prepare is critical to developing a culture of preparedness.

- Action Items are things that could be done now (or any time before disaster strikes) to make your unit more prepared.
- The typical Action Item begins with a verb and can be stated in one sentence.
- Action Items are ideas, not commitments to act.
- Some of your Action Items may be beyond the scope of your unit to perform. That's OK, use them to start a conversation with colleagues.
- Action Items can be moved to Archived status. Archived Action Items will not show on the plan view screen or on PDFs. You can filter Action Items by status on this screen to view archived items and 'Unarchive' them if you would like them to display again.

Action items appear in two locations for a user:

- Within a given plan
 - Action Items Summary Page
 - Action Items Page within each Critical Function

- Action Items Page within Information Technology
- Action Items Page within Faculty Preparedness (if turned on in System Parameters)
- On the User Dashboard
 - My Action Items are the assigned action items for a given user
 - Unassigned Action Items are action items for a plan the user has access to, that are not currently assigned to a system user

Action Item Notifications

If an action Item is assigned to a system user, that user will be notified of a few things:

1. Action item assigned to that user
2. Action item is coming due (if a Due Date exists, notifies 1 week before assigned Due Date)
3. Action item is overdue (if a Due Date exists, notifies 1 week after assigned Due Date)

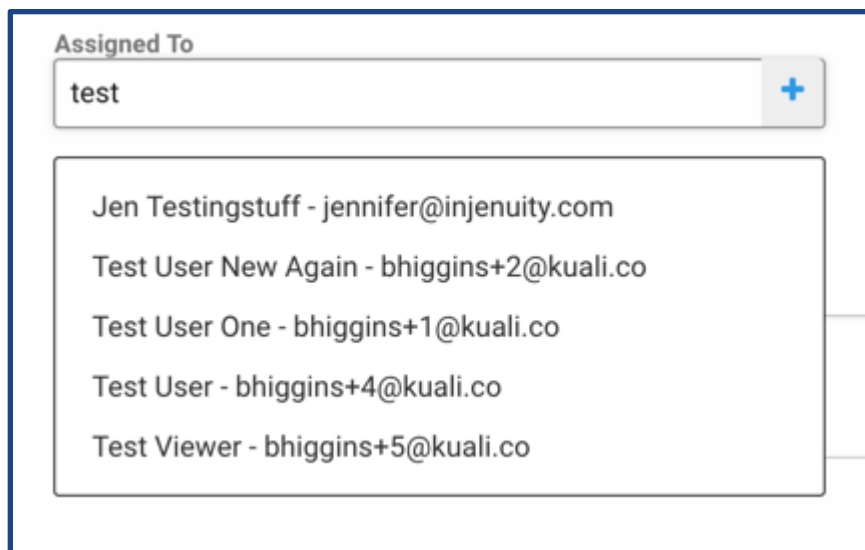
Each time an action item is marked complete, the Plan Manager(s) are also notified.

How to re-assign Unassigned Action Items

The Unassigned action items in the User Dashboard are a mixture of the action items across all plans the user has access to.

- If a user is a plan manager, they can edit all action items within a plan
- If a user is a plan editor, they can edit all action items within a plan
- If a user is a plan viewer, they cannot edit any action items within a plan

To assign an action item to a system user, use the Assigned To field to search system users. Select a user from the drop down menu.



The screenshot shows a web interface with a label "Assigned To" above a search input field. The input field contains the text "test" and a blue plus icon to its right. Below the input field is a dropdown menu displaying a list of user names and email addresses:

- Jen Testingstuff - jennifer@injenuity.com
- Test User New Again - bhiggins+2@kuali.co
- Test User One - bhiggins+1@kuali.co
- Test User - bhiggins+4@kuali.co
- Test Viewer - bhiggins+5@kuali.co

If a name existed in the Assigned To field (previously keyed in) but that name was not associated with a system user, you will see this message when you open the action item:

Assigned To

Enter a name or email to search
+

Previously assigned to: Tom Jones. Please reassign this action item.

To assign this item to a system user, search the existing users and select from the drop down menu. Otherwise, leave the item as is.

Action Item	Put course in our LMS			edit	archive
Critical Function	Science Department	Type	Active		
Due Date	2016-11-02	Date Entered	2016-07-15		
Estimated Cost	\$1000 - \$10,000	Cost Frequency	One-time		
Whose Scope	My unit itself	Assigned To	Test User		
Status	In Progress	Comment	Joan has several modules created in our LMS already.		

Interview Form

The interview form is designed to support the information gathering process. The form includes most of the questions presented in Suffolk Ready for the Department Information, Critical Functions, Instruction and Key Resources sections of plans. You may find it helpful to see all of the questions in one place prior to entering information into Suffolk Ready.

Interview Form Step 1: Department Information

Department Information	
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)	

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 space used	From the 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Some <input type="checkbox"/> Don't Know
What cost center(s) does this plan cover? Leave blank if this term is not used in your department.	

Interview Form Step 2: Critical Functions

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

Critical Function Name:	Critical Level: <ul style="list-style-type: none"> <input type="checkbox"/> Critical 1: Must continue (life, health, security) <input type="checkbox"/> Critical 2: Must continue perhaps in reduced mode <input type="checkbox"/> Critical 3: Pause if forced. Must resume in 30 days or sooner. <input type="checkbox"/> 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 be denote activities that happen only at certain times—such as course registration that happens once per semester.			
<input type="checkbox"/> January	<input type="checkbox"/> April	<input type="checkbox"/> July	<input type="checkbox"/> October
<input type="checkbox"/> February	<input type="checkbox"/> May	<input type="checkbox"/> August	<input type="checkbox"/> November
<input type="checkbox"/> March	<input type="checkbox"/> June	<input type="checkbox"/> September	<input type="checkbox"/> December
<input type="checkbox"/> 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	<input type="checkbox"/> Paper <input type="checkbox"/> Electronic (computer) <input type="checkbox"/> Microfiche/Microfilm <input type="checkbox"/> More than one (explain in comments) <input type="checkbox"/> Other (explain in comments)
Description of Document (brief)	
Owner (department)	
Location Where Kept	
Principal Contact Person	
Backup or other loss-protection measures (be specific)	
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 <input type="checkbox"/>	Explain, if needed
Disruption of teaching?	<input type="checkbox"/>	
Disruption of research?	<input type="checkbox"/>	
Disruption of patient care?	<input type="checkbox"/>	
Departure of faculty?	<input type="checkbox"/>	
Departure of staff?	<input type="checkbox"/>	
Departure of students?	<input type="checkbox"/>	
Well-being of faculty/staff?	<input type="checkbox"/>	
Well-being of students?	<input type="checkbox"/>	
Payment deadlines unmet?	<input type="checkbox"/>	
Loss of revenue?	<input type="checkbox"/>	
Legal obligations unmet?	<input type="checkbox"/>	
Legal harm to the institution?	<input type="checkbox"/>	
Impact on other unit(s)	<input type="checkbox"/>	
Impact on important business partner(s)?	<input type="checkbox"/>	
Other? (please explain)	<input type="checkbox"/>	

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:	<input type="checkbox"/> Less than \$100 <input type="checkbox"/> \$100-\$1,000 <input type="checkbox"/> \$1,000-\$10,000 <input type="checkbox"/> \$10,000-\$100,000 <input type="checkbox"/> More than \$100,000 <input type="checkbox"/> Not sure
Cost Frequency:	<input type="checkbox"/> One-time <input type="checkbox"/> Annual <input type="checkbox"/> Both one-time and annual <input type="checkbox"/> Other <input type="checkbox"/> Not sure
Assigned To:	
Due Date:	
Carrying out this action item is within the scope of:	<input type="checkbox"/> My unit itself <input type="checkbox"/> My unit together with other departments on campus <input type="checkbox"/> My larger department/division <input type="checkbox"/> The campus <input type="checkbox"/> Multi-campus/Chancellor's Office <input type="checkbox"/> Other <input type="checkbox"/> Not sure
Status:	<input type="checkbox"/> Not Yet Begun <input type="checkbox"/> In Progress <input type="checkbox"/> Completed <input type="checkbox"/> Needs Further Discussion
Details:	

Interview Form Step 3: Information Technology

The Information Technology Section should be completed by someone familiar with the IT applications and equipment used in your department.

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:	Select an existing application from the list
Custom Application:	
Level of Criticality:	<input type="checkbox"/> Critical 1: Must continue (life, health, security) <input type="checkbox"/> Critical 2: Must continue perhaps in reduced mode <input type="checkbox"/> Critical 3: Pause if forced. Must resume in 30 days or sooner <input type="checkbox"/> Deferrable: Resume when conditions permit
Comment:	

Department Applications

The Information Technology Section should be completed by someone familiar with the IT applications and equipment used in your department.

In Step 2, critical functions were identified. Please enter the IT applications or systems that support these 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).

List all critical functions. Use additional sheets if necessary.

Functional Owner: The unit that authorizes any modifications

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

Department Applications continued

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

Servers

The Information Technology Section should be completed by someone familiar with the IT applications and equipment used in your department.

Does your department own any servers?

- ☐ We own no servers
- ☐ Yes. List all servers owned by your department

Name of server:	
Server Type:	<input type="checkbox"/> File Server <input type="checkbox"/> Application Server <input type="checkbox"/> Database server <input type="checkbox"/> Web server <input type="checkbox"/> Backup server <input type="checkbox"/> Mainframe server <input type="checkbox"/> Other (please explain)
Explanation:	
Backup frequency:	<input type="checkbox"/> Multiple times per day <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Every 2 weeks <input type="checkbox"/> Monthly <input type="checkbox"/> Transactions daily, database weekly <input type="checkbox"/> Varies (please explain) <input type="checkbox"/> Other (please explain) <input type="checkbox"/> Backup is done occasionally <input type="checkbox"/> Backup is not done
Backup Media	<input type="checkbox"/> Local tape <input type="checkbox"/> Local backup server <input type="checkbox"/> Remote tape <input type="checkbox"/> Remote backup server
Is backup automatic or manual?	<input type="checkbox"/> Automatic <input type="checkbox"/> Manual <input type="checkbox"/> Other
Applications impacted by failure of this server:	
Departments impacted by failure of this server:	
Server Software (be specific)	
Technical expert(s) for this application:	
Person(s) responsible for recovery:	

Location of onsite storage (if any):	
Location of offsite storage (if any):	
Frequency of offsite storage	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Every 2 weeks <input type="checkbox"/> Monthly <input type="checkbox"/> Varies (please explain) <input type="checkbox"/> Other (please explain) <input type="checkbox"/> No offsite storage
Locations of installation disks & documentation:	
Has a successful recovery been done?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partial (please explain) <input type="checkbox"/> Not sure <input type="checkbox"/> N/A
Explanation or comment for any of the above:	

Workstations

The Information Technology Section should be completed by someone familiar with the IT applications and equipment used in your department.

Please describe the current Workstation backup procedures for this department. Estimates are fine. The intent here 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	% of users in your unit who back up their files in this way	Comment, if needed
Files are stored on dept. server, which gets backed up		
Automated backup by central 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.
<input type="checkbox"/> Technicians employed by department		
<input type="checkbox"/> Technicians from another department		
<input type="checkbox"/> External vendor <input type="checkbox"/>		
<input type="checkbox"/> Other (describe) <input type="checkbox"/>		

How to Restart (Recovery Strategies)

The Information Technology Section should be completed by someone familiar with the IT applications and equipment used in your department.

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 & 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 & 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 & 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 & systems that you support, are there any that could not somehow be “worked around” for a few weeks or months? Explain.	

Information Technology Action Items

Action Items are the most important part of Continuity Planning. The process of thinking through the steps you need to take to prepare, is critical to developing a culture of preparedness.

- Action Items are things that could be done now (or any time before disaster strikes) to make your unit more prepared.
- The typical Action Item begins with a verb and can be stated in one sentence.
- Action Items are ideas, not commitments to act.
- Some of your Action Items may be beyond the scope of your unit to perform. That's OK, use them to start a conversation with colleagues.

Action Item:	
Critical Function:	Defaults to Information Technology in drop down
Cost:	<input type="checkbox"/> Less than \$100 <input type="checkbox"/> \$100-\$1,000 <input type="checkbox"/> \$1,000-\$10,000 <input type="checkbox"/> \$10,000-\$100,000 <input type="checkbox"/> More than \$100,000 <input type="checkbox"/> Not sure
Cost Frequency:	<input type="checkbox"/> One-time <input type="checkbox"/> Annual <input type="checkbox"/> Both one-time and annual <input type="checkbox"/> Other <input type="checkbox"/> Not sure
Assigned To:	
Due Date:	
Within Whose Scope:	<input type="checkbox"/> My unit itself <input type="checkbox"/> My unit together with other units on campus <input type="checkbox"/> My larger department, division or control unit <input type="checkbox"/> The campus <input type="checkbox"/> The multi-campus (if any) <input type="checkbox"/> Other <input type="checkbox"/> Not sure
Status:	<input type="checkbox"/> Not yet Begun <input type="checkbox"/> In Progress <input type="checkbox"/> Completed <input type="checkbox"/> Needs Further Discussion
Details:	

Interview Form Step 4: Instruction

If your unit does not provide instruction then select that box and Skip to Step 5.

This section is for academic departments that provide instruction – either undergraduate or graduate.

- The Instruction Critical Function Section addresses a core question: what can faculty and department chairs do to increase the likelihood that instruction will continue during and after a major interruption or disaster?
- It may be appropriate to select more than one department on this screen – e.g., 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

On this screen we give special attention to **High Priority courses**: the courses whose interruption would **most** threaten the progress of our students and the integrity of the curriculum.

Each school and/or department may utilize this planning page as needed. High priority courses may be courses that are large-enrollment courses, pre-requisite courses for a major or part of a sequence, or some other criteria relevant to your area. **If labeling courses as high priority is not helpful to your area, then skip this page.**

Please list here any High Priority courses taught by your department. If a course does not meet the above criteria but is important for another compelling reason, you may choose to include it.

- 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.
- Relevant documents can be uploaded on the Documents screen.

High Priority Courses (cont.)

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 Blackboard sites? (Y/N)	Is there another instructor who can teach this course, if necessary? (Y/N)	Comments
		Check only one of the three boxes below					
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

All Courses

Please estimate your department's current usage of the practices on this screen; 100% accuracy is not necessary. We are requesting this information to promote discussion and to encourage adoption, not for audit purposes. Relevant documents can be uploaded on the Documents screen.

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

Department Practices

We are requesting this information to promote discussion and to encourage adoption, not for audit purposes. Strategies for identifying substitute instructors may vary by discipline and by course type. Your “backup plan for academic personnel” need not be a formal document; however, it is important to discuss this topic and take appropriate action. Relevant documents can be uploaded on the Documents screen.

	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 & students if disaster strikes.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <input type="checkbox"/> 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.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <input type="checkbox"/> Not sure	
3.	Faculty Leaves: When faculty leaves are approved, faculty members are informed of the possibility of recall.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <input type="checkbox"/> Not sure	
4.	Innovative Pedagogy: Faculty are actively encouraged to experiment with teaching tools before disaster strikes and to share experiences with colleagues.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially <input type="checkbox"/> Not sure	

Special Teaching Issues

Many courses require specialized resources and logistics, for example:

- Science laboratories
- Design or performance studios
- Computer labs
- 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 say so!
- Relevant documents can be uploaded on the Documents screen.

Select any of the above resources and logistics 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:	<input type="checkbox"/> Less than \$100 <input type="checkbox"/> \$100-\$1,000 <input type="checkbox"/> \$1,000-\$10,000 <input type="checkbox"/> \$10,000-\$100,000 <input type="checkbox"/> More than \$100,000 <input type="checkbox"/> Not sure
Cost Frequency:	<input type="checkbox"/> One-time <input type="checkbox"/> Annual <input type="checkbox"/> Both one-time and annual <input type="checkbox"/> Other <input type="checkbox"/> Not sure
Assigned To:	
Due Date:	
Carrying out this action item is within the scope of:	<input type="checkbox"/> My unit itself <input type="checkbox"/> My unit together with other departments on campus <input type="checkbox"/> My larger department/division <input type="checkbox"/> The campus <input type="checkbox"/> Multi-campus/Chancellor's Office <input type="checkbox"/> Other <input type="checkbox"/> Not sure
Status:	<input type="checkbox"/> Not Yet Begun <input type="checkbox"/> In Progress <input type="checkbox"/> Completed <input type="checkbox"/> Needs Further Discussion
Details:	

Interview Form Step 5: Key Resources

Staff Basics

Does your unit have a (printed) emergency contact list for faculty & staff?	<input type="checkbox"/> Yes <input type="checkbox"/> 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Comment	

Key People

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 & responsibility to perform specified acts on behalf of the organization: e.g., to sign specified types of contracts. This assignment is almost always granted via a written document.

Name	Title or Function	Special Skills	Check if any of these apply
			<input type="checkbox"/> First leadership successor <input type="checkbox"/> Second leadership successor <input type="checkbox"/> Third leadership successor <input type="checkbox"/> Holds formal delegation(s) of authority
			<input type="checkbox"/> First leadership successor <input type="checkbox"/> Second leadership successor <input type="checkbox"/> Third leadership successor <input type="checkbox"/> Holds formal delegation(s) of authority
			<input type="checkbox"/> First leadership successor <input type="checkbox"/> Second leadership successor <input type="checkbox"/> Third leadership successor <input type="checkbox"/> Holds formal delegation(s) of authority

Work from Home

Many of us have jobs that could be done entirely or partially from home. Please list 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.

If no one is able to work from home, check 'Not applicable' and enter an explanation.

☐ Not applicable

Please explain:

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

Name	Position	Does this person have a reliable home internet connection?	Does this person currently connect to the office from home?	Must their office computer be running to connect from home?	Comment
	<input type="checkbox"/> Faculty <input type="checkbox"/> Staff <input type="checkbox"/> Other	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Probably <input type="checkbox"/> Probably not <input type="checkbox"/> Don't know	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Probably <input type="checkbox"/> Probably not <input type="checkbox"/> Don't know	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know	
	<input type="checkbox"/> Faculty <input type="checkbox"/> Staff <input type="checkbox"/> Other	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Probably <input type="checkbox"/> Probably not <input type="checkbox"/> Don't know	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Probably <input type="checkbox"/> Probably not <input type="checkbox"/> Don't know	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know	
	<input type="checkbox"/> Faculty <input type="checkbox"/> Staff <input type="checkbox"/> Other	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Probably <input type="checkbox"/> Probably not <input type="checkbox"/> Don't know	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Probably <input type="checkbox"/> Probably not <input type="checkbox"/> Don't know	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know	
	<input type="checkbox"/> Faculty <input type="checkbox"/> Staff <input type="checkbox"/> Other	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Probably <input type="checkbox"/> Probably not <input type="checkbox"/> Don't know	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Probably <input type="checkbox"/> Probably not <input type="checkbox"/> Don't know	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know	
	<input type="checkbox"/> Faculty <input type="checkbox"/> Staff <input type="checkbox"/> Other	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Probably <input type="checkbox"/> Probably not <input type="checkbox"/> Don't know	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Probably <input type="checkbox"/> Probably not <input type="checkbox"/> Don't know	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know	

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?

The lists in the Key Resources Section 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	Mobile Phone	Email	Comment

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, 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).

Name	Dept./Org.	Email	Work Phone	This is a ____	Products/ services (if vendor)	Alternate vendors: (If vendor, name one or two alternates)
				<input type="checkbox"/> Client <input type="checkbox"/> Donor <input type="checkbox"/> Sponsor <input type="checkbox"/> Vendor <input type="checkbox"/> Project Partner <input type="checkbox"/> Other stakeholder <input type="checkbox"/> Other		
				<input type="checkbox"/> Client <input type="checkbox"/> Donor <input type="checkbox"/> Sponsor <input type="checkbox"/> Vendor <input type="checkbox"/> Project Partner <input type="checkbox"/> Other stakeholder <input type="checkbox"/> Other		

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, 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.

Name of Document or Record	
Owner (department)	
Description of Document (brief)	
Backup or Loss-Prevention Measures (be specific)	
Medium	
Location Where Stored (Physical)	
Location Where Stored (URL)	
Principal Contact Person(s)	
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 earlier. Estimate, don't agonize. Guess if you need to.

- "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?
- If you prefer, existing lists can be uploaded on the Document Summary page.

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

Other Equipment

List equipment of any type, major items only. DO NOT list consumables. Explain if necessary. If you prefer, upload lists on the Documents screen.

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Supplies

What supplies (consumables) must your unit absolutely have in order to function? If you prefer, upload lists on the Documents screen.

--

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 specific items?

--

Facilities, Utilities and Transportation

Some examples of "special space or facility needs":

- parking for vehicles
- secure space for cash-handling
- Performance studios

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 indicate the utilities that are very important to the functioning of your department. (Please note that a drop down list of utilities is provided)

Transportation: List any special transportation needs.

Other Resources: Are there any OTHER resources you will 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.

Action Items Summary

Action Items are the most important part of Continuity Planning. The process of thinking through the steps you need to take to prepare is critical to developing a culture of preparedness.

The action items you identified throughout your planning stages are summarized under the “Plan Details” section.

Plan, Test and Review

Business units are encouraged 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.

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.

The screenshot shows the Kuali Ready web application interface. The top navigation bar includes the Kuali Ready logo, the user name 'Test Admin', and the status 'Status: In Progress'. The main header area displays 'Earth Sciences | Editing'. The left sidebar contains a menu with 'Plans', 'Help', 'Admin', 'Reports', and a 'Plan Details' section with sub-items: 'Department Information', 'Action Items Summary', 'Download Documents', 'Manage Plan Access', 'Update Plan Status' (which is highlighted), 'Resources', 'Critical Functions', 'Information Technology', 'Instruction', and 'Key Resources'. The main content area is titled 'Update Plan Status' and contains a form with the following fields: 'Name' (with 'First Last' as a placeholder), 'Role', 'Date' (with '2016-07-11' as a placeholder), and 'Status' (a dropdown menu). There is also a 'Comment' text area. At the bottom of the form are three buttons: 'Cancel', 'Save', and 'Save and New'. To the right of the form is a 'Guidance' section with a 'Hide Guidance' button and a list of status options: 'In Progress: The default status for all new plans.', 'Complete: A new plan has been completed.', 'In Review: An existing plan is being reviewed.', and 'Current: An existing plan has successfully been reviewed.'. Below this list is a note: 'The Comment field allows institutions to be flexible with procedures for status updates. Check with your Ready Admin for recommended or required procedures for status updates and review policies.'

Plan Status Options

- **In Progress:** A plan that is currently being written or edited. This is the default status for all new plans.
- **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.

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 Suffolk 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.