The Business Continuity Planning process

1) What are the PROCESS DETAILS of your department’s CRITICAL FUNCTIONS?

2) What is your UPWARD and DOWNWARD COMMAND STRUCTURE

3) Identify the staff ROLES and/or RESPONSIBILITIES?

4) WHAT does it take to perform the CRITICAL FUNCTIONS?

5) HOW would you get that process [critical function] started again?

6) EVERYONE within the division/department/unit should be trained on the above.

7) Perform TABLE-TOP EXERCISES - where are there holes in the processes?

8) Perform UPDATES within the BCP regarding any changes that occur - additions, deletions, changes

https://us.ready.kuali.org/iub
or, www.businesscontinuity.iu.edu
Email IUEMC-BCP at, bcp@indiana.edu

INTRODUCTION

Indiana University faces a variety of risks from disasters and events that can disrupt our teaching, research, and public service mission. These risks can be wide in scope (earthquake, wind damage, ice & snow, pandemic, terrorism) or localized (fire in your building, loss of network capabilities, or even the failure of your hard drive!). We must make plans to continue our critical work-no-matter what happens.

A Business Continuity Specialist from Emergency Management & Continuity (IUEMC) will help departments implement readiness planning for such events through the use of an online software tool known as “IU READY.” This tool enables departments to produce continuity plans. It is designed to be user friendly and efficient in both time and effort through ‘fill-in-the-blank’ features and ‘drop-down lists’. The tool has been customized for the Indiana University campuses for departments to use to create their own continuity plans. All eight campuses will be using the web-based tool IU READY to store their plans.

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We face many risks to our work and these risks affect our opportunities and our abilities. What we do today will determine what our lives are like tomorrow.

Because we are Indiana University ...

Indiana University is a world-renowned university. We have a major economic impact in our region such as:

- Generating $3 billion in regional economic activity
- Being the 4th largest employer in the state of Indiana.
- Employing over 20,000 Faculty and Staff
- Utilizing classroom space of 10.9M square feet
- Real estate acreage of more than 8,500 acres

IU is also a multi-billion dollar entity operating on a massive scale such as:

- Annually offering 4,500 courses to 212K students system-wide for 2.47M credit hours
- Serving 23K meals a day at IUB and IUPUI

We live in an area of great risk and with that risk, comes great responsibility. Our families, our community, our co-workers depend on us to take steps to protect Indiana University.

**WHAT DOES AN IU READY CONTINUITY PLAN CONTAIN?**

The IU Ready tool will guide you, step by step, to create a continuity plan that identifies:

- **Critical Functions**: Work that is essential for continuing the mission of the department and the factors needed for their continuance.
**Departmental Continuity Committee (DCC).** A Group assigned to make decisions towards business continuity.

**Departmentally-Owned Application.** A departmentally-owned application is a computer application or system whose technical owner is your department or another department (but not central IT).

**Documents.** For continuity planning, you will identify any documents that are very important to a particular Critical Function. They can be individual documents (such as policy manuals) or sets of records (such as patient files, research files, vendor invoices, etc.). The documents listed under Critical Functions may be paper or electronic. Do not include records that are stored within a database application such as financial system, an HR system, a medical records system, etc. These will be treated elsewhere.

**Downstream Dependency.** A downstream dependency is a department that depends on your department. If your department fails to perform, the ability of the downstream department to carry out its mission will be seriously impaired. If, for example, your department does scheduling of nursing staff, the inpatient and/or clinical units will be among your downstream dependencies.

**Emergency Contact List.** List of all people in your unit, and perhaps some outside your unit, whom you might want to contact during and after a disaster-event. The list should include home address, home phone, personal & work cell phones, personal & work email addresses, plus any other available means of contact. The list should be kept on paper, and stored in multiple locations by multiple people. It should be updated at appropriate intervals. Some emergency contact lists are organized as “calling trees”; but except in very large units that is not usually necessary.

**Function (normal).** These are functions that a unit normally performs. Here are some typical examples:

- Laboratory research
- Classroom instruction
- Non-elective surgery
- Purchasing
- Paying employees
- Inpatient care
- Course scheduling
- Providing meals
- Facilities repair
- Pharmacy services
- Grant accounting
- **Function (emergency).** These are functions that your unit may perform during and after a disaster-event.

**Functional Owner.** The functional owner of an IT application is the unit that governs the design (and often the use) of the application. When an application implements a business process, the unit responsible for that business process is typically regarded as the functional owner of the application. Modifications to an application must be authorized by the functional owner (but are implemented by the technical owner). For example, the Admissions Office would typically be the functional owner of the on-line admissions system. The technical owner might be the Central IT department, or could be the Admissions Office itself if it has its own IT person or section.

**Offsite Storage.** Offsite storage refers to the storage of tapes, disks, paper documents and other materials at a location far enough from an organization’s operating location that a disaster-event at one location is not likely to impact the other location.

**Onsite Storage.** Onsite storage refers to the storage of tapes, disks, paper documents and other materials at an organization’s operating location, rather than elsewhere. Onsite storage of backups is adequate for protection against some types of disasters, and is less expensive and more-quickly-accessed than offsite storage. For more valuable and less-replaceable items, offsite storage becomes desirable.

**Information and Strategies** that will help during and after a disaster-event.

**Action Items** that can be started immediately to prepare us for and lessen the impact of disaster events.

**How does this plan help my department?**

A continuity plan will assist departments in becoming ready for disaster-events by:

- Helping departments to prioritize actions to take before, during, and after events that disrupt a department’s functions.
- Assisting in a broad range of events, from natural disasters to loss of staff.
- Reducing liability and helping with decision making by preventing disruptions to work and providing details for recovery.

**How will IU Ready help me?**

IU Ready is an online tool that will prompt you to provide answers in Steps 1 through 5. When you have done this, you will have created a complete continuity plan. The tabs and steps are explained in the following sections.

**Getting Started**

After the orientation, you will be able to log-in to IU Ready by entering your name and passphrase from IU’s Central Authorization System (CAS).

- **Business Continuity Coordinator (BCC):** (Project Coordinator) - The person selected to lead the planning effort [a back up BCC Alternate referred to as ABCC should likewise be appointed]; work with the Emergency Management & Continuity (UEMC) division; and ensure testing and updates of plans are timely.

- **Planning Team:** Key people that know the department well enough to understand its functions and priorities. If you are a small department, a manager may create the plan without a team.

- **Computer with internet access.**
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**HOW LONG DOES IT TAKE TO CREATE A PLAN?**

With regular internal meetings, it could take two to four months. Planning teams usually meet and discuss the with little or no “homework”. The BCC [and ABCC] often creates the continuity plan with **IU Ready** during planning meetings using a projector to share the plan with the other planning team members.

**PLANNING SCHEDULE**

This planning schedule has been created for your reference and convenience. Your department may create plans in whatever fashion and time frame that is the most manageable to your staff.

- **Week 1**: Select Departmental Continuity Committee (DCC) members\(^1\), attend an orientation meeting with UEMC Business Continuity Planning Manager (bcp@indiana.edu). As a team, discuss and define the naming convention for single or multiple plans; brainstorm a list of critical functions within your department/division/unit - as they pertain to the university mission\(^2\). Then, complete **Step 1: Department Identification** TAB and begin **Step 2: Critical Functions** TAB in the tool. Begin gathering any documents that support the critical functions that you may want to upload to the system.
- **Week 2**: Assign your Information Tech (IT) to complete **Step 3: Information Technology**
- **Week 3 - 5**: **Step 4: Instruction**, only applies if your department employs faculty. **Step 5: Resources** applies to everyone. Complete Step 2.
- **Week 6 - 7**: Ensure that any and all documents desired are uploaded to the system and complete any remaining steps.
- **Week 8**: Present the plan to Department Head (Chair, Dean, VP or AVP…) for review, changes, or approval.

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**GLOSSARY**

**Action Item.** An action item is something that could be done now (or anytime before disaster strikes) to make your organization more prepared. Action items can be big or small, costly or costless, within the scope of your department to perform, or outside your scope. Taken together, a department’s action items comprise a **to-do list for readiness**.

The **Action Item** begins with a verb and can be stated in one sentence. Some examples:
- Do seismic bracing in all department laboratories.
- Develop a plan for redeploying nursing staff to critical areas.
- Cross-train two staff members to handle payroll & purchasing.
- Make an emergency contact list and ask all staff to keep a copy at home.

**Broadband Connection.** Broadband describes an internet connection that is faster than dial-up. The usual at-home broadband connections are DSL (telephone), cable, and wireless.

**Business Continuity Coordinator (BCC).** Person assigned to head the process of creating a business continuity plan. (May be in charge of creating a committee and gathering resources.)

**Centrally-Owned Application.** A centrally-owned application is a computer application or system whose technical owner is your central IT department. (The functional owner of the application could be any department.)

**Clustered Departments.** Departments that share administrative staff.

**Consequences.** For the purposes of continuity planning, harmful consequences of slow recovery may impact the Critical Functions of a department, such as disruption of teaching and departure of faculty and students.

**Continuity Plan.** Continuity planning addresses the question: how can we prepare to continue operations despite those adverse events that we call disasters – or if we can’t continue, how can we resume our operations rapidly and gracefully.

The mission of higher education is teaching and public service; many institutions add research and patient care. These four enterprises, along with the infrastructure that supports them, are the focus of our continuity planning. A departmental continuity plan:
- Identifies your department’s critical functions.
- Describes how you might carry on these functions under conditions of diminished resources.
- Contains various information that will be needed during and after the disaster event.
- Describes how we can prepare.

**Deferrable:** May pause; resume when conditions permit. (Examples: elective surgery, routine building maintenance, training, marketing).

**Data-Gathering Form.** A data-gathering form is typically a paper form that is used to collect information for later entry into a database. Examples are:
- templates for taking hand-written notes while interviewing a subject
- paper survey instruments
- substitute paper forms that are kept available for use during periods when a computer system is down.

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\(^1\) **Leverage Office Personnel for Departmental Continuity Committee - IT Manager, Business Functions Manager (accounts payable, receivable, purchasing, etc.), Service or Product Owners (could be several managers based on services offered), HR/Payroll Representative; External Personnel - could include... Service Providers and other important Vendors, Partners, Other IU departments (physical plant, building coordinator, etc.), State/Federal Agencies (if regulatory policies apply to your department.)

\(^2\) **INDIANA UNIVERSITY** is a major multi-campus public research institution, grounded in the liberal arts and sciences, and a world leader in professional, medical, and technological education. Indiana University’s mission is to provide broad access to undergraduate, graduate, and continuing education for students throughout Indiana, the United States, and the world, as well as outstanding...
6) DEVELOPING THE KEY RESOURCES PLAN (STEP 5)

- List necessary resources and reference materials
- **Staff Basics** (holder of emergency contact list, voicemail functions, website updates) by person
- **Work from Home** (hardware, software, network connections, phones, faxes, etc.)
- **Teams** (teams that will be important to help your department cope with adverse events)
- **Skills** (list of skills, licenses, or certifications that might be needed post-disaster)
- **Staffing requirements** (how many and what types of staff in your department might be available to assist elsewhere)
- **Staff of Other Units** (contact information for the most important people from elsewhere in your campus whom your staff will need to contact within the first few hours or days after a disruptive event)
- Collect a resources of **Vendors, stakeholders, students, customers, donors, etc.** include contact information, contract numbers, P.O. numbers and other vital information
- **Specialized / custom forms**
- **Vital records lists** – Lists should include the name/type of document, person responsible and location. The list should include records necessary to support resumption of services and disaster recovery documentation (mutual aid agreements, memo of understanding for services & Products, and contracts)
  - Include **procedures and checklists** to reference during recovery
  - **Other information** as needed
  - **Minimum supplies lists** (office, lab, production materials, etc.)
  - **Develop a list of Action Plan** these are things that could be done now (or anytime before a disaster strikes) to make your unit more prepared. Action plans are ideas, not commitments.
  - **Facilities & Transportation** (any special space or facilities needs that are IN ADDITION TO your office/classroom/lab needs)

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Indiana University seeks to create dynamic partnerships with the state and local communities in economic, social, and cultural development and to offer leadership in creative solutions for 21st century problems. **Indiana University strives to achieve full diversity, and to maintain friendly, collegial, and humane environments, with a strong commitment to academic freedom.**


**In the following months - the Departmental Continuity Committee:**

1) Determines frequency of updating uploaded documents, reports, lists, (including contact information, emergency lists). The BCC should create a calendar outlining updates with appropriate dates.

   **Example:**
   **Employee Emergency Contacts** (annual) - 1st week of October
   **Quarterly Progress Report** (4x/year) - 1st week Jan/Apr/July/Oct

2) Performs action items that are included in the plan. Some action items can be done immediately and others might wait until resources are available. Some action items might be beyond the scope of your department and can be referred to the appropriate person or unit for action.

**A year from now:**

Conduct an annual review of your plan. Call the UEMC to schedule the review. The major focus is on action items; what has been done, what still needs to be done, what action items need to be dropped or added, and what assistance is needed.

https://us.ready.kuali.org/<campus initials>

**Features in IU Ready**

These are tabs, buttons and features that you will use to create your plan.

**Starting Your Plan**

When you first log-on, you will see the **Introduction Screen** that will “Welcome <name> - Indiana University”, click on “Begin or Edit Your Plan” to be taken to a listing of existing plans for the campus.

Select your plan or chose the “Create New Plan” Button.

*NOTE: You will only have access to your own department’s plans.*
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FEATURES IN IU READY (CONTINUED)

Plan Tabs

This column, on the right of each screen, will provide useful context that will help you to create your plan. As you move to each new screen, check here for coaching and tips.

Guidance

Handy Links

This drop-down list, at the upper right of every page, places all features of this tool within easy reach. FAQ’s, planning guidance, and interview forms are also included.

Save Your Work

Hit the “Save” button before leaving a page. If you prefer, the “Save & Continue” buttons will move you through the pages in the pre-set sequence.

IMPORTANT - leaving a page without saving may lose the data you have just entered!

Logging Out

The logout button is located at the bottom center of each page. Remember to Save your work!

- Identify essential employees and other critical inputs (sub-contractors, services, logistics, etc.) required to maintain business operations by function and location during the event.
- Determine the list dependencies – Upstream dependencies – YOU depend on them. Downstream dependencies — Determine what other departments are affected by a disruption in your functions/presses/service.
- Understand the rules or regulations governing your business operations. If you had a business failure, would you be able to maintain compliance? (Sarbanes Oxley, HIPPA, privacy, FERPA, etc.)
- Understand customer or business partner performance metrics/service level agreements to assess risk for breach of contract, or to put in place performance remedies for your customers

4) ASSESSING YOUR DATA AND TECHNOLOGY NEEDS IN THE EVENT OF A FAILURE IN OPERATIONS (STEP 3)

- Conduct a technology asset inventory (CENTRAL and DEPARTMENTAL APPLICATIONS) to determine and document the mission-critical technology components, their location, how they're configured, and who is responsible for management.
- Set clear recovery time objectives for each of your internal business/technology areas.
- Determine the need for offsite data storage and backup.
- Develop a technology plan that includes hardware, software, facilities, and service vendors
- Secure a backup vendor, if necessary, to perform that critical function if your primary vendor is impacted by a business failure
- Perform security risk assessments around specific threats where possible. Examples of data security include: Virus protection, intrusion detection, hacker prevention, network events, component failures and system crashes.

5) DEVELOPING THE ACADEMIC INSTRUCTION CONTINGENCY PLAN (STEP 4)

- List necessary resources and reference materials
- Each academic dept./area/division (and using the Unit Guide to Academic Continuity, June 2010) should determine and list the high priority courses (the courses whose interruption would most threaten the progress of our students and the integrity of the curriculum).
- For each high priority course collect the course number, title, and if a podcast is available.
- For all courses determine the use of Oncourse, Grades, AI's, and use of common materials.
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**PRE-PLANNING CHECKLIST:**

1) **PRE-PLANNING FOR THE IMPACT OF AN UNEXPECTED OR CATASTROPHIC EVENT OR INTERRUPTION**
   - Assign departmental/division/unit **Business Continuity Coordinator(s)** (BCC)
   - Also assign an **Alternate BCC** (ALT. BCC) to serve as a backup and assist BCC
   - Consider assembling a **Departmental Continuity Committee** (DCC) – internal – gather all types of personnel representation; obtain input toward plan development, resource allocation. Potential team members may include: IT manager, dept./division/unit chairs or managers, key faculty, security, building coordinator, financial planners, Human Resources, Procurement, etc.
   - Know your **Vice President** or **Provost level** to which your department reports.

2) **DEPARTMENTAL IDENTIFICATION - PERSONNEL INFORMATION (STEP 1)**
   - **Number of Personnel** – headcount, faculty, residents, staff, students, etc.
   - **Location(s) occupied** – building addresses should appear in the pull-down
   - **Type of Department** – choose the most appropriate for your plan.
   - **Employee notification list** – call tree; when, how, who?
   - **Other University service contact** information and forms
   - **Vendor contact lists** – (including third party services, supplies, etc.)

3) **DEPARTMENT CRITICAL FUNCTIONS/PROCESSES - (MAJOR FUNCTIONS) (STEP 2)**
   - Conduct a **business process and services** [functions] **inventory** to understand which processes are mission-critical to the survivability of the departmental mission.
   - Categorize the functions by **LEVELS OF CRITICALITY** - Tier 1 must be continued at normal or increased service load (necessary to life, health, security); Tier 2 must be continued if at all possible, perhaps at reduced mode; Tier 3 may pause if forced to do so—must resume in 30 days or sooner. **DEFERRABLE**—may continue when conditions permit; Tier 4 resume when conditions permit.
   - Determine the **maximum/minimum amount of time process/services can discontinue** before significant impact occurs. Determine what **processes need to be maintained or restored first** to keep the business running – Prioritize process and services.
   - Determine an **alternative recovery process for each priority business process** and service - temporary recovery; normal recovery.
   - Determine **impact for the loss of critical functions/processes**. Impact should be considered in both **non-monetary and monetary** outcomes.

**PLAN HOME**

This is the home page for your plan where you can edit your department information, add/remove a user, print out interview forms, and printout your plan.

**Departmental Information Change EXAMPLE:**

1) **Name Changes**: Cyclotron Facility -> [Jan. ‘10] Integrated Science & Accelerator Technology Hall

2) **Organizational Change**: [OLD] Veterans Affairs -> Provost ... [NEW] Dean of Students

3) **Head of Unit Change**: [OLD] Henry Craig ... [NEW] Tom Dreson

**Add / Remove User**: access to your department’s plan is restricted to persons who are specifically authorized for your plan. There are two options: **FULL ACCESS** or **VIEW ONLY ACCESS**. “Full Access” users can do anything to the plan: read/write/add or delete other users. “View Only” access users can view anything within the plan or uploaded documents, but are not allowed to edit the plan.

**Interview Forms**: To assist you with interviewing others to learn needed information (optional).

**Printing Menu**: Here you can print or view your department’s continuity plan, print any documents that have been uploaded to accompany the plan, and print interview forms.

**Choose a Different Plan**: If you have multiple plans, this button will allow you to select another plan without going back to the home page.

Once you leave this TAB, you may also access these feature options [except “Edit Your Dept Info”] from the HANDYLINKS pull-down menu that appears at the upper right portion of each page.
**THINGS TO KNOW BEFORE YOU PLAN . . . “Know…”**

a. … who your Business Continuity Coordinator(s) (BCC) and Alternate(s) are; be sure the entire department / division will be covered
b. … who will participate on the Departmental Continuity Committee (DCC)
c. … if one plan or multiple plans are conducive for your departmental situation. In some cases it is appropriate to create divisional plans or sub-divisional plans based on function or location, or a way to divide a large organization.
d. … the number of personnel (faculty, staff, work study) your plan covers
e. … the departmental hierarchy - which Vice President or Vice Provost or School does your department / division / unit / area report to—top level.
f. … all locations [addresses], please include where personnel for your department are housed as well as facilities your department is responsible for.
g. … the functions. Collect a ‘10-minute list’ from all managers of FUNCTIONS [or services offered] that your department performs
h. … who keeps the personnel EMERGENCY contact and non-emergency contact information?
i. … who depends on the functions you perform, who you depend on to preform your departmental functions?
j. … how your department would cope. How functions would operate without current space, staff, network access? What particular skills are needed and who can perform them? Risks involved in alternate methods of operations?
k. … proprietary software applications that your department utilizes exclusively (Any software that is not utilized commonly throughout other departments)
l. Key Resources:
   m. … who can work from home
   n. … Departmental Stakeholders (Vendors, Clients, Partners, Sponsors, etc.
o. … Supplies & Equipment needed (Computers, Printers, Back-up equipment, Phones, etc.)
p. … Facility & transportation needs
Alternatively, the coordinator can provide the group with the printed plan (which includes all entries-to-date) for discussion. On occasion, the coordinator or someone else may interview a key manager or do a bit of research, but even the coordinator’s role should not require a heavy time commitment. Indiana University’s approach to continuity planning asks for you thoughtful consideration of issues, not for detailed research or legwork.

6. How ‘detailed and completed’ does our plan need to be?
IU Ready will prompt you for the appropriate level of detail, and most of those details will be things that your group easily knows or can figure out.

If you find yourself debating whether an answer is thorough enough, declare victory and move on!

7. How safe and secure are the continuity plans being online?
The IU Ready tool is hosted by UC Berkeley, which has taken a variety of security measures to protect the data and has recovery procedures in place. Access to IU Ready requires an Indiana University username and passphrase through the Central Authorization Services firewall.

A Caution! Please Read!
The reason for this caution is the user-authorization scheme that is designed into the IU Ready tool. Any person who is authorized as a gate-keeper to departmental continuity plan within IU Ready is allowed to grant that same authorization to others. Thus, a person could be added to your plan’s list of authorized users without your pre-approval. This access scheme was designed to promote ease-of-use. But this design means that you should not enter sensitive information or upload sensitive documents. Name the documents, describe what’s in them, tell how to obtain them, but don’t upload them.

****Despite all of the above, we recommend that users of IU Ready do not enter data that is sensitive, confidential, or restricted.

8. Should we do a plan for an entire college or school, or plan for each unit within it?
This is a crucial decision. The Business Continuity Manager can help you with this decision. Contact the IUEMC via email at, bcp@indiana.edu.

IMPORTANT - Additional Critical Function Detail Screens - IMPORTANT
Click on “Go to Detail Screens” to enter detail about the specific function.

Description of this critical function
Sub-tabs ‘a’ through ‘g’ focus on the critical function named at the top of the screen under the main tabs. Step through each sub-tab, then SAVE or SAVE and CONTINUE to proceed to the next sub-tab.

‘a. Description - provide a brief description, name of section or unit that performs the function, name and title of the responsible person unless it is a generic group.

‘b. Peak Periods - periods of high activity. (NOTE: if this is a year-round activity, type the word “Annual Activity” in the comment box.)

‘c. Documents - identify any documents that are important to this function. The documents may be paper or electronic. Do not include records that are stored within a database application such as FMS, HR system, medical records system, etc. as these are system wide applications.

‘d. Dependencies - here you answer “who produces what we need” and “who needs what WE produce”. (NOTE: Do not name IT SYSTEMS as either upstream or downstream dependencies. IT Systems are treated separately.)
‘e. **Consequences:** These questions show why this function is critical. IF the service does not restart quickly, which of the ‘harmful consequences’ might occur.

‘f. **How to Cope:** These questions ask you to visualize the conditions that might prevail in the weeks or months following a disaster.

‘g. **Action Items:** What can be done to prepare? Action Items are the most important thing in a continuity plan. They are a list of things that could be done now to make your unit more prepared. Typically they begin with a verb. EX: “update …” or “Cross-train….” or “Purchase….”

**Step 3: INFORMATION TECHNOLOGY**

![Diagram of Step 3: INFORMATION TECHNOLOGY]

Ask your department IT professional to complete this part of the plan for you. **IU Ready** collects a variety of information regarding IT as it relates to your department and its operations.

**Sub-Tab ‘a’ - Applications (central):** Using the pull-down menu, you will list / name the centrally-owned applications [i.e., TIME, PeopleSoft, FMS, EPIC, etc.] your unit utilizes and assign each the same level of criticality as described for critical functions. (See page 10 of this booklet)

**Sub-Tab ‘b’ - Applications (departmental):** Departmental applications [or systems] support internal critical functions. This type of application is unique to a limited number of users or fellow departments. (Example - the IU Campus Call Center utilizes a proprietor application for directory assistance and call completion called TeleDirectory.) List both the Functional Owner and the Technical Owner of the application.

**FREQUENTLY ASKED QUESTIONS**

(Additional FAQ’s and Guidance available on IU Ready)

1. **Who needs to do continuity planning?**
   All colleges, schools, departments, and units that conduct teaching, research, or public service need to have a continuity plan(s). Other affiliate units that provide essential support or infrastructure to any university college, school, department, or unit also need to do continuity planning. These two statements encompass virtually every unit of the campus.

2. **Who should departments appoint as a business continuity coordinator?**
   Typically a employee [staff or faculty] who has access to senior management; are given the authority to facilitate the BCP process; are organized and respected by others to ensure that this venture is successful. The role emulates that of a project manager, requires the ability to delegate and follow-up. It is a temporary, part-time assignment for the duration of the planning project. But the coordinator often continues informally as the departmental expert and contact person for the continuity issues.

3. **How long does it take to create a continuity plan?**
   It can take two to four months with regularly scheduled meetings; most of this time is waiting for meetings to happen. After the original plan is created, it can be supplemented with additional policy changes as needed.

4. **Who needs to be in the planning group?**
   Upper and middle managers; assistant deans, assistant directors, HR managers, IT managers, key functional managers, building coordinators. These are people who have access to the boss and who understand how the organization operates. Keep the group size manageable. If your unit is an academic department, faculty input is essential. It is important to enlist [at least] a couple of key faculty members into your group.

5. **How do planning teams work?**
   Planning teams usually meet and discuss with little or no “homework”. The coordinator often creates the continuity plan with **IU Ready** during planning meetings using a projector to share the plan with the other planning team members.

   The number of actual staff hours required is surprising small, virtually no time is spent figuring out what to do—simply fill in the blanks and your plan is done. Easy as that!
Facilities & Transportation: List any special space or facilities needs that are IN ADDITION TO your office/classroom/lab needs. (EXAMPLE: Parking for vehicles, secure space for cash-handling, child care, etc.)

NOTE: all lists of items can be uploaded as a separate document. Adding the date to all documents will ensure that you’ve uploaded the most up-to-date document. Use the following naming convention in the first comment field, “See <document name> - <mm/dd/yyyy>“.

ACTION ITEM SUMMARY

You will again see the yellow button, “Go To Detail Screen” in the record line of your entry. Click on the button to see the “Details for This Application” screen. Enter details about the specific departmental application.

Sub-Tab ‘c’ - Servers: Departmental servers that support internal critical functions. List the name, type of server and explanation of what its purpose is.

Sub-Tab ‘d’ - Workstations: The intent here is to get your opinion on the adequacy of the current backup procedures at the workstation level.

Sub-Tab ‘e’ - How to Restart: What will you need to restart your IT?

Sub-Tab ‘f’ - IT Action Items: Action Items are the most important things in a continuity plan. What can your division/unit do BEFORE ANY DISASTER STRIKES to lessen its impact on your IT.
Step 4: INSTRUCTION
This is the core question: what can faculty and department chairs do to increase the likelihood that instruction will continue during and after a major 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 units, or for some other unit that encompasses more than one academic department—either undergraduate or graduate.

Sub-tabs ‘a’ through ‘e’ focus on the critical function named at the top of the screen under the main tabs. Step through each sub-tab, then SAVE or SAVE and CONTINUE to proceed to the next sub-tab.

‘a. **High Priority Courses** - those courses for which alternative teaching methods will be most important if disaster strikes.

‘b. **All Courses** - Estimate your department’s current usage of the practices as it pertains to online tools—Oncourse, Grades, other materials.

‘c. **Departmental Practices** - Estimate your department’s current usage of ‘departmental’ practices regarding - disaster communication, backup of academic personnel, faculty leave, innovative pedagogy. This is not for audit purposes.

‘d. **Special Teaching Issues** - Many courses have special formats or require special resources. Identify the teaching situations that may pose particular challenges [i.e. Labs, studios, field work, special software, study abroad, etc.] following a disaster, so UEMC can explore possible solutions.

‘e. **Action Items** - What can be done to prepare? Action Items are the most important thing in a continuity plan. They are a list of things that could be done now to make your unit more prepared. Typically they begin with a verb. EX: “update ….” or “Cross-train….,” or “Purchase….,”

Step 5: KEY RESOURCES
Here you will identify key resources of your unit as identified by the sub-tabs listed above.

‘a. **Staff Basics:** Every unit is asked to keep its own list of home contact information for faculty and staff. Your list should, 1) be in a format of your choosing; 2) treated as confidential; 3) contain enough persons to be useful; 4) kept securely at home \(\text{or work; and} \) 5) updated twice a year. (NOTE: under “Key People” - resist the temptation to list all your staff.)

‘b. **Work from Home:** Who could do at least part of their work from home if they had adequate computers and high-speed internet access.

‘c. **Teams:** Are there teams that will be important to help your department cope with adverse events?

‘d. **Skills:** In time of crisis, we need to enlist the help of others—temp help, volunteers, or contractors. This is where skills, licenses, or needed certifications can be listed.

‘e. **Staffing Requirements:** In extreme demands- including the need to ramp up certain services - may require temporary realignment of staff. This area addresses how many and what type of staff

‘f. **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.

‘g. **Stakeholders:** Other people that may need to be contacted after a disruptive event (i.e., vendors, clients, project partners, donors, sponsors, etc.)

‘h. **Document Summary:** These are key documents you have identified for all of your Critical Function.

‘i. **Equipment & Supplies:** “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? List minimum OFFICE EQUIPMENT needed to perform ALL the critical functions. List OTHER EQUIPMENT that is considered critical but not categorized as Office Equipment. List SUPPLIES (consumables) absolutely must have in order to function?