

An interview form to use with our on-line continuity planning tool

Interview Form for All Steps

Instructions:

Purpose. This is an interview form that may be of assistance if you choose to conduct any interviews to gather information for your continuity plan. The questions below are the same questions that are displayed in the on-line tool. This form will enable you to collect information for later entry into the on-line tool.

Add space if desired. Feel free to add blank lines to suit your personal preferences for note-taking.

Asterisks. Questions marked with a double asterisk ** utilize an on-screen picklist unique to your institution. These picklists cannot be reproduced here – so you should decide in advance how to handle these questions.

Glossary. A Glossary of Terms can be printed separately (see the Printing Menu).

Step 1: Department Identification

Number of personnel: (headcount, approximation OK)

Faculty and other academic appointees:

Residents/Fellows:

Staff (full-time):

Staff (part-time, excluding students):

Student-staff:

Volunteers:

Guests:

Other (explain below):

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

Faculty: Does this unit employ faculty?

Yes

No

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

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

Yes

No

Some, not all

Do not know

(Note to interviewer: Ask if evacuation plan(s) are available to upload to your on-line continuity plan.)

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

Comment or explanation (if needed):

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Step 2: Critical Functions

Instructions:

This interview form follows the sequence of the online tool for Step 2 Critical Functions.

The questions in Step 2 become viewable on-screen only after you enter the name of a critical function. To view these questions, proceed as follows:

- Go to your plan (on-screen) and type in the name of your first Critical Function. Enter anything you choose; you can change it later.
- Click the “Add to List” button.
- Select one of the levels of criticality (Critical 1, Critical 2, or Critical 3. Do not select Deferrable because no questions will be displayed).
- Hit “Save.”
- Select “Go to Detail Screens” and look at all the 7 sub-screens that ask questions about this Critical Function.

For Step 2, you will need to fill out one copy of this form for EACH of your department's Critical Functions. Do not agonize over these questions. Be brief, give the best answer, and move on.

a. Description

Critical Function Name:

Assign a Level of Criticality: (See Glossary)

Critical 1

Critical 2

Critical 3

Deferrable (If Deferrable, stop here & move to the next Critical Function. Deferrable Functions are not considered any further.)

Brief description of this function:

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

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

b. Peak Periods

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

c. Documents

Please identify any documents that are very important to this function – whether they are individual documents (such as policy manuals) or sets of records (such as patient files, research files, or vendor invoices.) Do not include records that are stored within a database application such as a financial system, an HR system, a medical records system, etc. These will be treated elsewhere.

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

Name of document #1:

Description in your own words (brief):

Name of owner (department, not a person):

Location where kept (be specific):

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

Principal contact person(s):

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

Comment, if needed:

Name of document #2:

Description in your own words (brief):

Name of owner (department, not a person):

Location where kept (be specific):

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

Principal contact person(s):

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

Comment, if needed:

Name of document #3:

Description in your own words (brief):

Name of owner (department, not a person):

Location where kept (be specific):

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

Principal contact person(s):

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

Comment, if needed:

**** d. Dependencies**

Instructions:

Here we answer the questions, "Who produces what we need?" and "Who needs what we produce?"

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Please indicate on the chart below the departments (WITHIN your campus, medical center, or other institution) whose reduced functioning would seriously impair your own department's ability to perform the above critical function.

Conversely, please also indicate those departments that would be seriously impacted if YOUR DEPARTMENT could not perform the above critical function.

In other words, whom do you depend on (we call that dept. an upstream dependency), and who depends on you (we call that dept. a downstream dependency)? For example, the central IT department is typically an upstream dependency of most other departments.

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

Upstream Dependencies: (1) from pick-lists: (2) add others?	Downstream Dependencies: (1) from pick-lists: (2) add others?
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e. Consequences

Consequences of slow recovery: Suppose the critical function named on this form is not restarted quickly enough following a disaster. Indicate which of the "harmful consequences" might occur from the list below by checking Yes or No and explain if needed:

Harmful Consequence	Might this occur? (if so, check here)	Explain (if explanation is needed)
Disruption of teaching		
Disruption of research		
Disruption of patient care		
Departure of faculty		
Departure of staff		
Departure of students		
Well-being of faculty/staff		
Well-being of students		
Payment deadlines un-met		
Loss of revenue		
Legal obligations un-met		
Legal harm to the Institution		

Impact on other unit(s)		
Impact on important business partner(s)		
Other (please explain):		

f. How to Cope

Instructions:

The following questions ask you to visualize the conditions that might prevail in the weeks or months following a disaster. You may be missing certain key resources such as your usual office space, some of your staff, power, network access, etc.

Please answer the questions below using one-to-several bullets or sentences each. Be brief. Give ideas, not detailed procedures.

Space: How would you carry out this critical function if your usual space is not available?

Staff: How would you carry out this critical function if, for a couple of months, your average absence rate of faculty and staff were 50%? This could easily be the case in a flu pandemic.

Unique Skills: Does the successful performance of the critical function require the skills or knowledge of any one particular staff member (or her files)? If so, how will you deal with her absence? Cross-train a co-worker in advance? Outsource? Some other strategy?

Working at Home: Visualize an environment of contagious illness. Suppose the University requested that as many faculty and staff as possible work from home for a month or two to minimize contagion. Can you perform this critical function with some (or all) staff working from home? What equipment, supplies, and arrangements would be needed?

Network Access: How would you carry out this critical function if the data network is not available?

Show-Stoppers: Is there any resource that is so important or irreplaceable that you CANNOT perform this function without it?

University Closure: Visualize that, during a flu pandemic, the University officially closes, with all operations (except non-stopable activities) to cease for at least a month. Is it possible for your unit to simply cease doing this critical function?

Yes

No

Comment?

Risk: Will any of your above suggestions expose the Institution to risk? If so, can you suggest how to mitigate/control this risk?

Policy Exceptions: What policy exceptions might be needed to carry out your above suggestions? Who would have the authority to grant them?

Additional Vulnerabilities: Is there anything ELSE that could prevent you from continuing or restarting this function?

g. Action Items

Instructions:

An Action Item will answer the question:

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

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

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

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

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

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

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

Cost is: (choose one) <ul style="list-style-type: none"><input type="checkbox"/> one-time<input type="checkbox"/> annual<input type="checkbox"/> both one-time & annual<input type="checkbox"/> other	<ul style="list-style-type: none"><input type="checkbox"/> other<input type="checkbox"/> not sure Comment?
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Action Item #3: Description	
Cost: (choose one) <ul style="list-style-type: none"><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"/> Don't know Cost is: (choose one) <ul style="list-style-type: none"><input type="checkbox"/> one-time<input type="checkbox"/> annual<input type="checkbox"/> both one-time & annual<input type="checkbox"/> other	Carrying out this Action Item is within the scope of: (choose one) <ul style="list-style-type: none"><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 System (if any)<input type="checkbox"/> other<input type="checkbox"/> not sure Comment?

Action Item #4: Description	
Cost: (choose one) <ul style="list-style-type: none"><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"/> Don't know Cost is: (choose one) <ul style="list-style-type: none"><input type="checkbox"/> one-time<input type="checkbox"/> annual<input type="checkbox"/> both one-time & annual<input type="checkbox"/> other	Carrying out this Action Item is within the scope of: (choose one) <ul style="list-style-type: none"><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 System (if any)<input type="checkbox"/> other<input type="checkbox"/> not sure Comment?

Step 3: Information Technology

No interview form is provided for **Step 3: Information Technology**. Step 3 is designed to be completed on-screen by your department IT manager or other tech support person.

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Please note: There are two Step 4's shown below: Step 4: Faculty Preparedness and Step 4: Instruction. You should use only one. Check the on-screen tool to see which Step 4 is in use on your campus (that decision is made by your campus's administrator of the on-line planning tool).

Step 4: Faculty Preparedness

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

Instructions:

Individual faculty drive teaching, research, and patient care. Readiness for disaster is a faculty issue as well as a staff issue.

Please list here anything that your **department** can do to promote disaster-consciousness and disaster-readiness among your faculty. These are things that might be initiated by the department Chair or by the department's chief staff person. For suggestions, see the onscreen Guidance.

Action Item #1:
Comment?

Action Item #2:
Comment?

Action Item #3:
Comment?

Action Item #4:
Comment?

Use an additional page if needed.

Step 4: Instruction

Please note: If the on-line tool displays Step 4: Faculty Preparedness instead of Step 4: Instruction, see the previous section of this document.

Instructions (very important):

The screens in Step 4: Instruction contain much explanation and context. To use this interview form effectively, you should first familiarize yourself with the on-screen material.

Five of the six screens in Step 4 become viewable only after you enter the name of an instructional department. To view these screens, proceed as follows:

- Click on the Step 4: Instruction tab (on-screen)
- From the drop-down list, select the name of your (instructional) department.
- Hit “Add to List.”
- Hit “Save.”
- Now click the “Go to Detail Screens” button to see the other five screens that comprise Step 4.

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

A. High Priority Courses

Please list here any High Priority courses taught by your department. The on-screen text explains what types of courses are judged to be High Priority. If a course does not meet the definition of High Priority but is important for another compelling reason, you may choose to include it. If possible, write in the Course Nos. and Course Titles prior to conducting the interview. Add more rows as needed.

Note: We make the assumption that every campus uses a **Course Management Tool (CMT)** to provide a web-based adjunct for instructors who choose to use it. These are also called Learning Management Systems. Some examples are Blackboard, Moodle, and Sakai, though there are many others. We use the abbreviation **CMT** in the tables below.

Course No.	Course Title	Course- cast is availabl e	Course- cast is availabl e but may be outdate d	Course-ca st not available, but course is suitable for course-ca sting	Do all current section s have a CMT site? (Y/N)	Is there another instructor who can teach this course if necessary? (Y/N)	Comment?
		Check only one of the three boxes below					

B. All Courses (undergraduate courses only)

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

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

C. Departmental Practices

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

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

D. Special Teaching Issues

Many courses require specialized resources and logistics, for example:

- Science labs
- Computer labs
- Design studios
- Performance studios
- Field work / internships / experiential learning
- Specialized instructional software
- Access to collections (library, museum etc.)

Select any of the above that apply, or add others:

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

E. Action Items

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

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

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

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

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

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

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

Action Item #3: Description	
Cost: (choose one)	Carrying out this Action Item is within the scope of:

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

Step 5: Key Resources

a. Staff Basics

Envision your unit 1-3 days after a major disaster. You are calling together a group to plan how to resume operations. Who are the key people (staff or faculty) whose positions or knowledge might place them in that group? Resist the temptation to list all your staff under "Key People." The staff you should list here are the ones you would call upon first in time of crisis - who have the experience, skills, or authority to help "sort things out" and plan the next steps.

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

b. Work from Home

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

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

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

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

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

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

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

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

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

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

f. Staff of Other Units

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

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

--

g. Stakeholders

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

When listing vendors, please include only those that your department makes individual purchases from (as opposed

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to those vendors who sell in bulk to the central purchasing department).

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

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h. Document Summary

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

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i. Equipment and Supplies

Aside from the usual office furniture and equipment, is there other equipment (or consumables) that you may need immediately after a disruptive event? Consider the minimum equipment & supplies that you may need to perform ALL the critical functions that you listed in Step 2. Estimate, don't agonize. Guess if you need to.

List these items below.

Equipment (major items only):

Supplies (consumables):

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

j. Facilities and Transportation

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

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

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

Transportation: Please list any special transportation needs.

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

- End of Questionnaire -