**Continuity Planning Interview Form**

**Introduction**

Use this interview form to conduct interviews to gather information for your continuity plan. The questions in this document are the same questions that are displayed in the online tool. You can conduct interviews over the phone or in person or provide the questions electronically to department members who may have answers. Return to the online tool to enter the responses you have collected.

Feel free to edit and revise the document as needed. You may wish to break this into several separate documents or remove sections that refer to sections of the tool your Admin has disabled. Questions marked with a double asterisk \*\* in this document refer to areas in the tool that contain custom content (pick lists) for your institution. If you’d like to include those in your interview process, visit that section of the tool to gather the content of those lists.

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**Key Section 1: Plan Details**

**Department Information**

**Department description:** Provide a very brief description so that anyone picking up the plan will understand the department’s purpose.

**\*\*Major division:** from the onscreen drop-down list, select the division to which this department reports.

**Number of personnel:** (headcount, approximation is 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.

**\*\* Location(s) occupied:** Fromthe onscreen drop-down list, select the building(s) that your unit occupies. Please indicate all space used, including storage space. Use the comments field to give specific location you occupy within the building (i.e., 3rd floor, room 324).

**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 online continuity plan. If an evacuation plan is not available, create an action item for the department to close the gap.)

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

**Comment or explanation:** Use this field to enhance any responses in this section, if needed.

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**Section 2: Contacts**

**Instructions:**

This interview form follows the sequence of the online tool for Section 2: Contacts. The left navigation in the Contacts section contains three categories of contacts: Department Contacts, Key Institution Contacts, and Key External Contacts. It is important to collect all contact information requested.

**Department Contacts**: Add contact information for all staff members within the department. It is important to capture all information requested, including alternate contact information, so that staff can be reached, even if they are off campus. If this is a large department, a document with all contact information can be attached in the Key Resource section.

* First name
* Last name
* Title or function
* Phone
* Alternate phone
* Office email
* Alternate email
* Any special skills
* Successorship

**Key Institution Contacts:** Add contact information for people outside of the department but within the institution that may need to be contacted to assist the department during an emergency (i.e., HR may need to contact legal for advice). It is important to capture all information requested. If this list is extensive, a document with all institutional contacts and contact information can be attached in the Key Resource section

* First name
* Last name
* Email
* Alternate email
* Dept/organization
* Address
* Title
* Work phone
* Mobile phone
* Fax

**Key External Contacts:** Add contact information for any external party that you may need to contact during an emergency. These include vendors, grantors / donors, partners, sponsors, etc. If a list already exists, it can be attached as a document in the Key Resource section. It is important to capture all information requested.

* Company or organization
* Contact first name
* Contact last name
* Email
* Address
* Work phone
* Mobile phone
* Fax
* Type of external contact
* Products or services provides
* Alternate vendors if primary vendor is experiencing an outage (where appropriate)

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**Section 3: Critical Functions**

**Instructions:**

This interview form follows the sequence of the online tool for Section 3 Critical Functions. To view the left navigation detail containing these questions, you must first use the **+Add Critical Function** link in the plan navigation to add a function. Fill out one copy of this section for EACH of your department’s Critical Functions. Do not agonize over these questions. Be brief, give the best answer, and move on.

**Add Critical Function**

Critical Function Name: This must be an actionable statement (includes a verb). Some examples include: Process Payroll, Maintain the Campus Grounds, Provide Training for…)

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

Critical 1

Critical 2

Critical 3

Deferrable

From the left navigation, complete the following for each individual critical function

**Description:**

* Description: Provide a brief description of this function.
* Name, section, or unit that performs the function, if applicable (leave blank if the department does not have multiple sections or units).
* Responsible person(s) (Give names unless this is a generic group.):

**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.

**Documents**

Here you can upload, or refer to a URL for, 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). You can also reference a URL to link to a shared folder of documents.

|  |
| --- |
| **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: |

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| **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: |

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| --- |
| **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: |

**\*\*Dependencies**

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

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

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

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

|  |  |
| --- | --- |
| **Upstream Dependencies:**  (1) from pick-lists:  (2) add others? | **Downstream Dependencies:**  (1) from pick-lists:  (2) add others? |

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

|  |  |  |
| --- | --- | --- |
| **Harmful Consequence** | **Might this occur?**  **(Enter Yes, if so)** | **If yes, explain** |
| 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): |  |  |

**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 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.

Responses should be confirmed. For instance, if your response to your usual work space is not available is, “we would relocate to the Library, second floor back office”, be sure to confirm with the owner of that space that it will be made available to your department in the event of a disaster that displaces you from your normal work location. If the space is not confirmed, create an action item to close the gap.

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**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 Institution 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?

**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, during a flu pandemic, the Institution officially closes, with all operations (except non-stoppable activities) to cease for at least a month. Is it possible for your unit to simply cease doing this critical function?

Yes

No

Comment?

**Action Items**

An Action Item will answer the question:

What can be done to PREPARE? What can your unit (or another unit, or the Campus) do BEFORE ANY DISASTER STRIKES to lessen its impact on this critical function? Or to make it easier for you to continue/restart this function? Addressing an action item closes a gap in the plan and a gap to recoverability.

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

* Confirm alternate space will be available to our department if an emergency event occurs.
* 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)**   * less than $100 * $100 - $1,000 * $1,000 - $10,000 * $10,000 - $100,00 * More than $100,000 * Don’t know   **Cost is: (choose one)**   * one-time * annual * both one-time & annual * other | **Carrying out this Action Item is within the scope of: (choose one)**   * 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)**   * less than $100 * $100 - $1,000 * $1,000 - $10,000 * $10,000 - $100,00 * More than $100,000 * Don’t know   **Cost is: (choose one)**   * one-time * annual * both one-time & annual * other | **Carrying out this Action Item is within the scope of: (choose one)**   * 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)**   * less than $100 * $100 - $1,000 * $1,000 - $10,000 * $10,000 - $100,00 * More than $100,000 * Don’t know   **Cost is: (choose one)**   * one-time * annual * both one-time & annual * other | **Carrying out this Action Item is within the scope of: (choose one)**   * 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 #4: Description** | |
| **Cost: (choose one)**   * less than $100 * $100 - $1,000 * $1,000 - $10,000 * $10,000 - $100,00 * More than $100,000 * Don’t know   **Cost is: (choose one)**   * one-time * annual * both one-time & annual * other | **Carrying out this Action Item is within the scope of: (choose one)**   * 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?** |

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**Section 4: Key Resources**

**Staff Basics**

**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.

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|  |

**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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|  |

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

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

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**Equipment and Supplies**  
  
Aside from the usual office furniture and equipment, is there other equipment (or consumables) that you may need immediately after a disruptive event? Consider the minimum equipment & supplies that you may need to perform ALL the critical functions that you listed in Section 3.

List these items below.

|  |
| --- |
| **Equipment (major items only):** |
| **Unique 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. Do you need to adjust your inventory practices, or to stockpile more of any specific item? |

**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.

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

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| --- |
|  |

**Transportation:** Please list any special transportation needs.

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|  |

**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.)

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**Section 5: Information Technology**

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| No interview form is provided for **Section 5: Information Technology**. Section 5 is designed to be completed on-screen by your department IT manager or other tech support person. |

**Please note:** The two sections that follow are supplemental for academic departments: Section 6a: Faculty Preparedness and Section 6b: Instruction. You should use only one. Check the on-screen tool to see which Section is in use on your campus (that decision is made by your campus’s administrator of the online planning tool). **If your unit does not employ faculty, please omit Section 6.**

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**Section 6a: Faculty Preparedness**

**Instructions:**

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

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| **Action Item #1:** |
| **Comment?** |

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| --- |
| **Action Item #2:** |
| **Comment?** |

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| --- |
| **Action Item #3:** |
| **Comment?** |

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| --- |
| **Action Item #4:** |
| **Comment?** |

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**Section 6b: Instruction**

Please note: If the online tool displays Section 6a: Faculty Preparedness instead of Section 6b: Instruction, see the previous section of this document.

**Instructions (very important):**

The screens in Section 6b: Instruction contain much explanation and context. To use this interview form effectively, you should first familiarize yourself with the on-screen material. In the Plan Navigation under the Instruction heading, select **+Add Department** to add an instructional department and reveal the detail screens.

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

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**High Priority Courses**

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

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

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Course No.** | **Course Title** | **Course recording is available** | **Course recording is available but may be outdated** | **Course recording not available, but course is suitable for course recording** | **Do all current sections have an LMS site?**  **(Y/N)** | **Is there another instructor who can teach this course if necessary?**  **(Y/N)** | **Comment?** |
|  |  | **Check only one of**  **the three boxes below** | | |  |  |  |
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**All Courses (undergraduate courses only)**

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

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

**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 |

**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. |  |  |  |

**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)**   * less than $100 * $100 - $1,000 * $1,000 - $10,000 * $10,000 - $100,00 * More than $100,000 * Don’t know   **Cost is: (choose one)**   * one-time * annual * both one-time & annual * other | **Carrying out this Action Item is within the scope of: (choose one)**   * 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)**   * less than $100 * $100 - $1,000 * $1,000 - $10,000 * $10,000 - $100,00 * More than $100,000 * Don’t know   **Cost is: (choose one)**   * one-time * annual * both one-time & annual * other | **Carrying out this Action Item is within the scope of: (choose one)**   * 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?** |

- End of Questionnaire -