

Kuali Ready Continuity Program Outline & Instructions

Table of Contents

Purpose	2
Plan Details	2
Department Information	2
Department Documents	2
Contacts	2
Departmental Contacts	2
Key Institutional Contacts	2
External Contacts	3
Critical Functions	3
Description.....	3
Levels of Criticality	3
Peak Periods & Documents	3
Dependencies	3
Consequences.....	4
‘How To Cope’	4
Action Items	4
Key Resources	4
Staff Basics & Work from Home.....	4
Temas & Unique Skills	5
Staffing Requirements & Documents.....	5
Equipment & Supplies	5
Facilities & Transportation.....	5
Information Technology	5
Central Applications	5
Departmental Applications.....	5
Workstations.....	6
Instruction.....	6
High Priority Courses	6
Undergraduate Courses Recommended Practices.....	6
Department-Specific Courses Recommended Practices	6
Special Teaching Issues	6

Purpose

The purpose of developing a continuity plan for your department is to take stock of the various resources and critical services that your department provides while outlining adaptive strategies to continue providing services if/when possible. Outlining these critical services, essential resources, and adaptive strategies allows your department to easily adjust to unforeseen circumstances that would affect your department's ability to conduct business.

Plan Details

Department Information

The 'Department Information' subsection requests some general information about your department.

The Department Name and Major Division should be filled out already, though if you do not see the correct one, please contact me and let me know what to change it to.

The Description of your department is completely up to you though I would suggest whatever you write or copy into the box is a holistic description of your department.

Your 'Head of Unit' can be the acting Department Chair or Program Director who I suggest would later review the final iteration once complete.

For personnel counts, Quali Ready separates them into various groups including: faculty, staff, guests, student staff, fellows, volunteers, etc. Approximations in this section are more than enough, though take some time to confirm that all types of personnel are accounted for.

'Building' includes both partial and fully owned spaces, so if your department takes advantage of the space and works out of it place it here. If you do not see the facility a room resides in, email me the name and address of the missing building to add on the administrative side. If an area is only partially used within a building, as seen in the example screenshot, list out what rooms exist that are under your control.

Lastly, the 'Evacuation Plan' asks whether one is in place and how it's implemented. In the comment box, I'd suggest you describe how you disseminate the plan to other staff whether it be during your new employee orientation or if your building has emergency evacuation signs or placard maps on the wall that illustrate the nearest exit.

Department Documents

The 'Department Documents' subsection will be whatever existing documentation your department deems important and/or relevant to include (like an administrative/emergency contact list, chemical storage list, expensive property list, etc.). The later sections describe how to go about adding them in, but they'll be visible here once added.

Contacts

Departmental Contacts

'Departmental Contacts' are only those within your department. If you have an existing document for this already, you can go ahead and skip this part since we'd be putting that document into the plan later. I would recommend adding your top 3 departmental executives to disclose order of successorship and any specialized personnel that are not part of successorship that still hold some level of authority.

Key Institutional Contacts

'Institutional Contacts' are for those within Dartmouth College. This list of contacts would be your point of contact for other departments. To help you develop your list of important contacts, I'd suggest asking yourself: what departments do you most often work with and/or talk to?

External Contacts

The 'External Contacts' list is for organizations, companies, agencies, and vendors that are not affiliated with Dartmouth though are important to your department's functionality. Typically, these vendors/organizations offer a resource or service which your department utilizes.

Critical Functions

In the context of this continuity plan, a critical function is a service or collection of services that are normally provided by a group or team within your department that would either need to continue to operate at reduced levels or be restarted within a certain timeframe after an incident has occurred.

For every critical function listed, there are 6 subsections that will request information: description, levels of criticality, peak periods & documents, dependencies, consequences, and how to cope.

Description

This subsection will ask for a name & description of the critical function. I'd suggest you're relatively detailed in your descriptions even if titles are self-explanatory since details may assist in differentiating parts of your department and can aid in future updating a year or so following its completion.

This subsection also asks for the Section/Unit Name of those performing that particular function and the Name of the Responsible Party. For these, I'd suggest using job titles over names of people since you'd have to change things less often when an employee leaves your department.

Levels of Criticality

The 'Levels of Criticality' subsection starts off by asking a set of institutional impact questions that can auto-generate a level of criticality for that particular critical function.

There are 4 levels of criticality: Levels 1 through 3 and Deferrable. Level 1 is the highest tier which implies the immediate need to recover and return to a sufficient level of operations, while Deferrable implies that this function, though important, can be put on the back burner for a certain amount of time.

If you disagree with the initial assessment, you can manually change the rating but would need to provide an explanation as to why it is being changed. I'd recommend providing enough detail in your reasoning to portray your thought process to a future successor, so they can better understand why things were done a certain way and adapt to any changes that may have occurred in their assessment.

The last piece that this section asks for is a Recover Time Objective (RTO). Using the preset options, you are to answer how long can this particular function be offline or how long can your department last without it.

Peak Periods & Documents

The 'Peak Periods' subsection asks what months of the year your department is busiest. In the box, I'd ask that you provide a fair level of detail describing what makes that particular period the busiest point in your year.

Similar to the other 'Documents' subsection, this is for important & relevant documentation, but this particular subsection is for documents relating to the critical function. So, if one of your critical functions is 'Academic Instruction' a possible important document could be a syllabus or a blank waiver, ultimately this particular portion is at your discretion.

Even if it pertains to your critical function, types of documentation that should **NOT** go into this section include Records Stored Elsewhere or Confidential Documents. Your department may choose to include important/relevant documents after confidential information is redacted from the original document.

Dependencies

There are 2 types of dependencies that we ask you to disclose in the 'Dependencies' subsection: upstream and downstream. Upstream dependencies are for the departments that your department relies on to function, while downstream dependencies are the departments that rely on you.

Regardless of the type, I suggest that you use the comment box to go into detail on generally what it is you particularly depend on or what other departments depend on you for. You can find more examples of this in the sample document sent to you which is available on request if you do not have it.

Consequences

The 'Consequences' subsection is being answered as if the department's particular critical function were severely hindered or disabled. The 'Other' comment box is for consequences not already foreseen by Quali Ready in their template for you to disclose. If something may occur, you'd check the box above the comment box and disclose how that particular consequence would come about. I ask that you be relatively detailed in this section for the sake of your future successor, so they have a clear understanding behind the thought process and do not have to start from scratch.

Lastly, in this subsection, type "This Critical Function does not have/impact [BLANK]." if a consequence is unrelated to your department's function to show that this possible consequence has already been thought through and was not passed over.

'How To Cope'

The 'How to Cope' subsection generally poses the question: what is the backup plan if [BLANK]? The Quali Ready platform presents us with a few ubiquitous effects of any emergency like: loss of space, staff, phone service, and network services.

Other questions you are requested to answer are more straightforward than others, like whether that particular function can be done remotely or in-person only to what unique skills are necessary to do this particular function. In the context of the continuity plan, the term 'showstoppers' refers to resources that are so critical that the critical function could not even be done.

In the event your department's backup plans pose a risk to Dartmouth, you can disclose that level of risk and whether a policy exemption is needed in the comment boxes as seen in the image.

Lastly, the comment box under 'Campus Closure' poses the question whether that particular function can be outright suspended along with a justification for the response.

Action Items

The 'Action Items' subsection allows you to make a to-do list to help organize what needs to be done in relation to the critical function. It can be items like an equipment procurement list to checklists for specific procedures to comprehensive relocation plans to whatever you feel is necessary to complement the document to make it more functional.

As a disclaimer, I will say that once an action item is recorded and/or complete it will be archived and there is no means to remove completed or in progress action items. Also, action items are one-time events that cannot be put on a routine schedule. The capability to have cyclical action items is currently being explored with Quali Ready and could be an option in the future.

Key Resources

Staff Basics & Work from Home

The 'Staff Basics' subsections ask a handful of staff-related questions that can be seen on the neighboring image. A suggestion while answering these questions is to use Position Titles instead of names to minimize the number of future updates that will need to be done.

One question that I wanted to bring attention to was whether the staff use any shared passwords. I'd suggest that you do not share the password in the continuity plan for safety reasons. If your department uses a shared account, I'd suggest addressing this question with the location or person who holds the password information rather than what it is.

The 'Work from Home' subsection is for outlining which positions, if any, can work from home or remotely. In today's work environment, some positions may be hybrid allowing for both remote and in-person work. If this is the case for some positions in your department, I'd suggest including information like what days to expect a position in the office and where their physical office space is when working on campus.

Teams & Unique Skills

The 'Teams' subsection can be boiled down to a list of employees in a particular team or unit. You'll need to establish a team name, their purpose, and a running list of personnel that are within this group. You are free to split your staff into teams however you would like, though I'd suggest teams are made with as little overlap as possible.

The 'Unique Skills' subsection is also fairly straightforward. This subsection is to disclose what unique skills are utilized in your department. For example, an Office Manager's ability to do payroll or invoices can be considered a unique skill or if your department has an in-house IT person that is responsible for software unique to your department. When developing this list of skills, I would keep in mind that listing these skills is to create a list of requirements for temporary assistance among other departments. Having this list allows your department to easily identify needs and call out the particular assistance needed from other departments.

Staffing Requirements & Documents

The 'Staffing Requirements' subsection is all about your department identifying minimum staffing requirements to function. Quali Ready allows you to list the number of personnel needed normally and during a crisis to help your department identify who can be temporarily reassigned in the event of an emergency.

The 'Documents' subsection is where you can add documents your department finds important or relevant. The neighboring image shows the information you'll need to add as you add whatever documents you deem necessary including file location, contact person for access, backup storage means/location, etc.

Equipment & Supplies

Like the previous subsections, the 'Equipment & Supplies' subsection is where your department can disclose the pieces of equipment in your department's possession. This includes general office equipment, important non-consumable equipment, and supplies. If your department owns/operates vehicles, please omit them from this section as there is a separate section for vehicles where that can be disclosed.

Facilities & Transportation

This subsection is where you can disclose the facilities your department owns or operates in like lab/workshop spaces. When adding facilities, be relatively specific and include addresses, floor numbers, and/or room numbers if possible.

The 'Utilities' subsection is for disclosing the important utilities your department uses from a master list. Utilities are added onto a master list by those with administrator level access, so if you do not see a utility on the list, please email me at joshua.b.ladesma@dartmouth.edu with those details so it can be added.

The 'Transportation' subsection is where you can disclose your department's vehicles. Knowing that departments don't always have everything they need, I suggest creating a list under 'Other Resources' within this subsection of departments that can be reached out to for specialized vehicle needs. That same comment box is also where your department can disclose who they can turn to for temporary personnel in the event of a shortage.

Information Technology

ITC has developed a guidance sheet that may assist your department in completing these sections. If you do not have access to the guidance sheet, please contact the Emergency Management Specialist at joshua.b.ladesma@dartmouth.edu

Central Applications

Centrally Controlled Applications are those overseen by Dartmouth. If you do not see a central application on the list that is important to your department, please contact me with the information and I can add it into the master list. You'll also be able to use the same criticality ranking system to deem how important the program is to your department.

Departmental Applications

Department Applications are those overseen by your specific department. There is no master list for these programs, so you'll need to fill out the pop up as prompted when adding one, and an example of the different pop ups are visible on the screen. Also,

if you have a physical server or store a specific software program without ITCs knowledge. Please contact ITC and disclose that information, so they can work with your department on backing up information, etc.

Workstations

Lastly, there's 'Workstations'. This portion will ask you how workstation data is typically backed up and I suggest going into detail in the neighboring comment box. The last few questions in this subsection relate to IT assistance. Though we have ITC, some departments have internal IT staff who are the initial technical resource when troubleshooting. For this section you'll need to disclose the different avenues where your department can receive IT assistance whether internal, institutional, or external.

Instruction

High Priority Courses

Here you can list the various "high priority" courses that are an important piece of your department.

Though your department ultimately decides which ones to prioritize, Quali offers some level of guidance for both undergraduate and graduate courses.

When adding courses to this list, consider the accessibility options that are available (recordings/virtual learning management system) and whether there are backup professors available to teach the course.

Undergraduate Courses Recommended Practices

This subsection is meant to encourage adoption of certain practices into your department's continuity plans.

Here, you'll approximate the level of use of the recommended practices relating to learning management systems, gradebook upkeep, professor-to-professor communication, and common course materials. If your department sees a recommended practice that they would like to attempt to implement, please reach out to OEM at emergency.manager@dartmouth.edu to collaboratively build your department's continuity plans even further.

Department-Specific Courses Recommended Practices

This subsection is also meant to encourage adoption of certain practices into your department's continuity plans.

These questions about disaster communication, academic personnel backup plans, faculty leave notifications, and innovative teaching strategies can be answered as you see fit. If your department sees a recommended practice that they would like to attempt to implement, please reach out to OEM at emergency.manager@dartmouth.edu to collaboratively build your department's continuity plans even further.

Special Teaching Issues

The term 'issues' is better described as conditions in this context. Some questions to ask when you get to this section is whether a course requires a specialized learning space (like a lab or workshop); the potential impact to curriculum if the space is lost; and are there alternative learning spaces that can supplement the loss of the primary space.

Supplemental Items

As your department goes through completing the Quali Ready template, you may identify gaps in your department's continuity plans that can be filled with more comprehensive documentation. If this occurs, reach out to OEM at emergency.manager@dartmouth.edu to collaboratively build your department's continuity plans even further.

This can be in the form of additional procedures, or checklists and these documents can be added to the 'Documents' subsection as they are completed. If a more comprehensive document is better suited to address a certain aspect of your department's continuity plans, we can omit the section in Quali Ready's template and construct our own that tailors to your department's needs.