**Interview Form**

**Step 2: Critical Functions**

**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.

**Asterisk:** Questions marked with an asterisk (\*) are mandatory/ required response.

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

**Special Note:** 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.

**FIUready System Note:** The questions in Step 2 become viewable in the FIUready system only after you enter the name of a critical function, add it to the list, select one of the levels of criticality, and click on “Go To Detail

Screens”.

**GUIDANCE:**

* Critical functions are major activities that your unit **normally** performs to meet its mission. Some typical

examples include: instruction, research, payroll, non-elective surgery, purchasing, inpatient care, facilities repair, providing meals for resident students, pharmacy services, grant accounting, etc.

* Some units have functions that they do not normally perform, but may be called upon to do so in times of crisis.

**Do not** include such “extraordinary functions” on your list of critical functions. These "extraordinary"

functions (done only during crisis) typically require specific and detailed plans. Most units will not have such functions, but if your unit does, you can attach any separate plan. If no separate plan exists, you might create an Action Item to remind your unit to develop a separate plan.

**The levels of criticality are defined as follows:**

* Critical 1: Must be continued at normal or increased service load. Cannot pause. Necessary to life, health, or security. (Examples: inpatient care, police services)
* Critical 2: Must be continued if at all possible, perhaps in reduced mode. Pausing completely will have grave consequences. (Examples: provision of care to at-risk outpatients, functioning of data networks, at-risk research)
* Critical 3: May pause if forced to do so, but must resume in 30 days or sooner. (Examples: classroom instruction, student advising)
* Deferrable: May pause; resume when conditions permit. (Examples: elective surgery, routine building maintenance, training, marketing).

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.)

**a. Description**

Brief description of this function:

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

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

**b. Peak Periods**

**GUIDANCE:**

If this function has no peak periods, leave blank.

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 the annual fiscal closing for accounting functions.

|  |  |
| --- | --- |
| [ ]  January | [ ]  July |
| [ ]  February | [ ]  August |
| [ ]  March | [ ]  September |
| [ ]  April | [ ]  October |
| [ ]  May | [ ]  November |
| [ ]  June | [ ]  December |

Explain if necessary:

**c. Documents**

**GUIDANCE:**

* Here you can identify any documents that are important to this critical function.
* Documents uploaded via this screen are copied to a secure server, for access by authorized people only. They should also remain in their current location on your own computer or server.
* If a document is confidential or sensitive, please describe it but do not upload it. Although your plan lives on a secure server, any current user of your plan can grant access privileges to anyone else.
* Any type of standard document can be uploaded, but for continuity, we request all Microsoft Office files (Word, Excel, PowerPoint, etc.) be uploaded in version 2003.

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 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):

**Owner** (department, not a person):

**Location where kept** (be specific):

**Medium:**

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):

**Owner** (department, not a person):

**Location where kept** (be specific):

**Medium:**

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):

**Owner** (department, not a person):

**Location where kept** (be specific):

**Medium:**

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**

**GUIDANCE:**

* These questions address "who produces what we need" and "who needs what we produce".
* Dependencies are primarily departments, although occasionally it is appropriate to name a process (e.g.

instruction) or a group of people (e.g. students).

* Please do not name IT systems as either upstream or downstream dependencies. IT systems are treated

separately in Step 3.

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. These are **Upstream Dependencies**.

Conversely, also indicate those departments that would be seriously impacted if your department could not

perform the above critical function. These are **Downstream Dependencies.**

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

|  |  |
| --- | --- |
| **Upstream Dependencies:** | **Downstream Dependencies:** |

**e. Consequences**

Consequences of slow recovery: Suppose the critical functions named on this form are not restarted quickly enough following a disaster. Indicate which of the “harmful consequences” might occur from the list below by checking the box 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**

**GUIDANCE:**

* Accept this challenge: We will continue (or rapidly restart) our teaching, research, patient care, and necessary support functions, no matter what the conditions.
* Be brief! If a lot of details (including policies and procedures) are needed, create a separate document and upload it on the Documents screen.
* If your suggestions require pre-disaster preparations, that's fine. Later you will be asked to identify such "Action Items."
* When planning for the staffing of your unit during and after a crisis-event, remember that many factors

influence a person's ability to come to work -- availability of child care, schools, elder care, pet care,

transportation, and many other factors when our lives get disrupted. Would it be possible to compensate with temporary help? Where will you get them? Will they need training?

* The Work from Home screen in Step 5 will ask who among your faculty and staff can do computing from home. Consider whether your unit also has tasks that can be done at home without a computer.

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, certain equipment, a key vendor, 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-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?

**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**

**GUIDANCE:**

* A stitch in time saves nine. An ounce of prevention is worth a pound of cure. And Action Items are the most important things in a continuity plan.
* Action Items are things that could be done now (or anytime before disaster strikes) to make your unit more prepared.
* The typical Action Item begins with a verb and can be stated in one sentence. Some examples: Develop a plan for secure storage of critical research materials; Cross-train 2 staff members to do departmental purchasing; Train clinical staff in procedures to follow if medical record system is down.
* 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!
* Some of your Action Items may be beyond the scope of your unit to perform. That's OK, we can deliver your ideas to the proper people.

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?

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 critical staff for 3 days.
* Discuss preparedness at one departmental meeting per semester and invite the Emergency Manager.
* Develop a plan for secure storage of critical research materials.
* Cross-train staff to do department purchasing.

Space is provided in the next pages for three Action Items. Use additional sheets if needed.

|  |
| --- |
| **Action Item #1 Description** |
| **Cost: (Choose one)** | **Carrying out this Action Item is within the scope of: (choose one)** |
| [ ]  less than $100 | [ ]  my unit itself |
| [ ]  $100 - $1,000 | [ ]  my unit together with other units on campus |
| [ ]  $1,000 - $10,000 | [ ]  my larger department, division or control unit |
| [ ]  $10,000 - $100,00 | [ ]  the campus |
| [ ]  More than $100,000 | [ ]  the multi-campus System |
| [ ]  Don’t know | [ ]  other |
| **Cost is: (choose one)** | [ ]  not sure |
| [ ]  one-time | **Comment** |
| [ ]  annual |  |
| [ ]  both one-time & annual |  |
| [ ]  other |  |

|  |
| --- |
| **Action Item #2 Description** |
| **Cost: (Choose one)** | **Carrying out this Action Item is within the scope of: (choose one)** |
| [ ]  less than $100 | [ ]  my unit itself |
| [ ]  $100 - $1,000 | [ ]  my unit together with other units on campus |
| [ ]  $1,000 - $10,000 | [ ]  my larger department, division or control unit |
| [ ]  $10,000 - $100,00 | [ ]  the campus |
| [ ]  More than $100,000 | [ ]  the multi-campus System |
| [ ]  Don’t know | [ ]  other |
| **Cost is: (choose one)** | [ ]  not sure |
| [ ]  one-time | **Comment** |
| [ ]  annual |  |
| [ ]  both one-time & annual |  |
| [ ]  other |  |

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| --- |
| **Action Item #3 Description** |
| **Cost: (Choose one)** | **Carrying out this Action Item is within the scope of: (choose one)** |
| [ ]  less than $100 | [ ]  my unit itself |
| [ ]  $100 - $1,000 | [ ]  my unit together with other units on campus |
| [ ]  $1,000 - $10,000 | [ ]  my larger department, division or control unit |
| [ ]  $10,000 - $100,00 | [ ]  the campus |
| [ ]  More than $100,000 | [ ]  the multi-campus System |
| [ ]  Don’t know | [ ]  other |
| **Cost is: (choose one)** | [ ]  not sure |
| [ ]  one-time | **Comment** |
| [ ]  annual |  |
| [ ]  both one-time & annual |  |
| [ ]  other |  |