

DEPARTMENT OF HISTORY

BUSINESS RESUMPTION PLAN

Approved: October 16, 2005
Most recent update: May 10, 2006

PART 1 – GENERAL INFORMATION

- ◆ *This Business Resumption Plan is for*
Department of History
- which is within*
College of Letters
- ◆ *Number of Staff (approximate headcount):*
 - *Academic appointees (covered by Academic Personnel Manual or MOU):* 22
 - *Other full-time staff:* 18
 - *Other part-time staff (excl. students):* 2
 - *Student-staff:* 7
- ◆ *Location(s):*
Higgins Hall
Estrada Hall
- ◆ *Critical Functions performed by this unit. (These are functions essential to the rapid resumption of teaching & research post-disaster):*
 - Classroom instruction
 - Research
 - Payroll
 - Purchasing
 - Donor relations
 - IT support

CRITICAL FUNCTION #1: CLASSROOM INSTRUCTION

- ◆ *Description of this critical function:*
Undergraduate and graduate instruction, including staff support of faculty.
- ◆ *Responsible person(s):*
Faculty instructors, graduate student instructors
- ◆ *Upstream dependencies (units or systems whose failure-to-perform will affect us):*
Registrar's Office (undergrad registration, course & classroom scheduling)
Financial Aid Office (undergrad financial aid)
Graduate Division Office (grad student registration & financial aid)
Facilities Management (space)
Media Services (classroom electronics)
Campus Bookstore (book ordering & sales)
- ◆ *Downstream dependencies (units or systems that will be affected by our failure-to-perform):*
Students
- ◆ *Peak periods:* August, January *Comment on peak periods :* start of semesters
- ◆ *How to restart this function if the usual space is not available:*
 - We will depend on the Campus to handle space issues.
 - In the event that sufficient classroom space is not available, the Chair has provided to the Registrar (in advance of each semester) a prioritization of courses for post-disaster resumption. Courses of lower priority for which classroom space is not available either will be held at an informal location chosen by the Faculty Instructor, or will be cancelled.
- ◆ *How to restart this function if the usual equipment is not available:*
The equipment most necessary for classroom instruction are
 - textbooks
 - computers (faculty & student)
 - library materials.

Classes could begin in the absence of any one of these three, perhaps even two of the three. However, all three would need to be available by the end of the first month of instruction. If the interruption were to occur partway through the semester, functioning in the absence of any of the three would be more difficult.
- ◆ *How to restart this function if some staff are not available:*
 - Substituting for absent faculty instructors might be possible in some cases, not possible in others. In some cases, faculty from other universities might be induced to teach a course here.
 - Graduate student instructors in some cases could be reassigned to high-priority courses.
- ◆ *How to restart this function if computer networks are not available:*
As stated above, classes could be held in the absence of computer networks for about one month, but would require the networks to function after that time. If the interruption occurs partway through a semester, tolerance for non-functioning networks would be lower.
- ◆ *Show-stoppers (resources that cannot be replaced, substituted, or done without):*
Most faculty and most graduate student instructors.
- ◆ *Risks generated by using alternate procedures:*
Primary risk is that students' ability to take desired courses would be impaired.
- ◆ *Policy exceptions needed for alternate procedures (& who can grant these exceptions):*
Changes in curriculum & academic calendar. Need approval by Dean, Chancellor, and Academic Senate.
- ◆ *Timing: when must this function restart, to enable the campus to meet its 30-day goal for the resumption of teaching and research?*

30 days post-disaster

- ◆ *Additional vulnerabilities (other things that could prevent restarting this function on time):*
As above.

- ◆ *Records that will be vital for restarting this function:*

Name	Medium	Owner	Location	Backup Details	Other Security
none					

- ◆ *Action Items (things we can do to get ready):*

Action Item	Estimated Cost	One-Time or Annual?
Request faculty committee to develop strategy for alternate-channel delivery of courses (in case there is a temporary shortage of classrooms post-disaster).	no cost for planning phase	
Develop plan for alternate space in case some classrooms are not usable (campus-level recommendation)	no cost for planning phase	

- ◆ *Consequences: if this function is not restarted on time, these harmful consequences might result:*

Possible Harmful Consequence	How long after the disaster might this harm begin to occur?						Comment?
	0-2 days	1 wk	2 wks	3 wks	4 wks	>4 wks	
Disruption of teaching					X		
Disruption of research					X		
Loss of faculty						X	
Loss of staff					X		Possible staff layoffs
Loss of students				X			Students begin to migrate away
Well-being of staff	X						
Well-being of students	X						
Payment deadlines unmet by campus							
Loss of revenue to campus						X	Lost tuition, lost housing revenue
Legal obligations unmet by campus							
Legal harm to university							
Impact on other campus unit(s)							
Impact on important business partner(s)							
Other							

- ◆ *Key Documents that are attached:*

Documents available digitally:	Owner
None.	

Documents available only in hardcopy:	Owner
None.	

◆ *Description of this critical function:*
Faculty research & graduate student research, including staff support

◆ *Responsible person(s):*
Faculty

◆ *Upstream dependencies (units or systems whose failure-to-perform will affect us):*

- Campus libraries
- Campus IT networks
- Facilities Management (space)
- Sponsored Projects Office (communication with grantors)

◆ *Downstream dependencies (units or systems that will be affected by our failure-to-perform):*
Faculty & graduate students

◆ *Peak periods:* None *Comment on peak periods* :

◆ *How to restart this function if the usual space is not available:*

- We will depend on the Campus to handle space issues.
- In the event that the usual office space for faculty & graduate students is not available, faculty & graduate students will be encouraged & assisted to work from home (see action items below).

◆ *How to restart this function if the usual equipment is not available:*
The equipment most necessary for research in the field of history are

- computers
- library materials.

A short-term alternative if campus computer networks are down would be to work elsewhere (e.g. home). A short-term alternative if campus libraries are closed would be to use other libraries (even if travel were required – see action items below). It is anticipated that individual faculty and graduate students would devise their own best (temporary) solutions.

◆ *How to restart this function if some staff are not available:*
On a short-term basis, no staff (in addition to the researcher) are needed for most research in this department.

◆ *How to restart this function if computer networks are not available:*
See above.

◆ *Show-stoppers (resources that cannot be replaced, substituted, or done without):*
Computer networks and libraries (except for short-term).

◆ *Risks generated by using alternate procedures:*
None.

◆ *Policy exceptions needed for alternate procedures (& who can grant these exceptions):*
None.

◆ *Timing: when must this function restart, to enable the Campus to meet its 30-day goal for the resumption of teaching and research?*
30 days post-disaster

◆ *Additional vulnerabilities (other things that could prevent restarting this function on time):*
As above.

◆ *Records that will be vital for restarting this function:*

Name	Medium	Owner	Location	Backup Details	Other Security
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None.

◆ *Action Items (things we can do to get ready):*

<i>Action Item</i>	<i>Estimated Cost</i>	<i>One-Time or Annual?</i>
Encourage faculty to request seismic bolting-and-bracing of furniture and equipment. (Allocate departmental funds – first come/first served up to funding limit)	\$20,000	one-time
Design departmental networks to allow faculty & students to connect remotely (e.g. from home) in case office space is damaged.	not known	
Develop plan for alternate office space for faculty & graduate students in case normal office space is not usable (campus-level recommendation).	no cost for planning phase	
Develop a fund for emergency grants to faculty & graduate students to cover expenses of conducting research in alternate ways or at alternate locations (campus-level recommendation).	not known	

◆ *Consequences: if this function is not restarted on time, these harmful consequences might result:*

<i>Possible Harmful Consequence</i>	<i>How long after the disaster might this harm begin to occur?</i>						<i>Comment?</i>
	<i>0-2 days</i>	<i>1 wk</i>	<i>2 wks</i>	<i>3 wks</i>	<i>4 wks</i>	<i>>4 wks</i>	
<i>Disruption of teaching</i>					X		
<i>Disruption of research</i>					X		
<i>Loss of faculty</i>						X	
<i>Loss of staff</i>					X		Possible layoffs
<i>Loss of students</i>				X			Students begin to migrate away.
<i>Well-being of staff</i>	X						
<i>Well-being of students</i>	X						
<i>Payment deadlines unmet by campus</i>							
<i>Loss of revenue to campus</i>						X	Grants at risk. Lost tuition if grad students leave.
<i>Legal obligations unmet by campus</i>					X		Obligations to Grantors.
<i>Legal harm to university</i>							
<i>Impact on other campus unit(s)</i>							
<i>Impact on important business partner(s)</i>							
<i>Other</i>							

◆ *Key Documents that are attached:*

<i>Documents available digitally:</i>	<i>Owner</i>
None.	

Documents available only in hardcopy:
None.

Owner

CRITICAL FUNCTION #3: PAYROLL

- ◆ *Description of this critical function:*
Processing of payroll information for all departmental personnel (campus has central payroll system to which departmental payroll assistant submits information).
- ◆ *Responsible person(s):*
Mary Jones, MSO. Cathy Smith, Payroll Assistant.
- ◆ *Upstream dependencies (units or systems whose failure-to-perform will affect us):*
Central IT (all payroll systems are web-based).
- ◆ *Downstream dependencies (units or systems that will be affected by our failure-to-perform):*
Central Payroll; faculty & staff who might receive incorrect (or no) paychecks.
- ◆ *Peak periods:*
August
- Comment on peak periods* :
new faculty, new grad students, new student-staff
- ◆ *How to restart this function if the usual space is not available:*
 - We will depend on the Campus to handle space issues.
 - If Campus does not quickly provide alternate space, MSO will arrange alternate location for payroll assistant to work (telecommute if possible).
 - In the event that departmental payroll processing cannot be done in a timely fashion, campus Central Payroll has committed to re-issuing the former period's payroll checks to all personnel (then making corrections later).
- ◆ *How to restart this function if the usual equipment is not available:*
The equipment needed for the payroll function are
 - a computer for the payroll assistant (plus network connection)
 - staff personnel files (paper).

If computer or network are not available, Central Payroll has committed to furnish (paper) data-gathering forms to all departments for manual submission of payroll changes. If staff personnel folders are not available, payroll information contained therein is available from on-line Campus HR Information System whenever networks are restored. For personnel for whom a repeat of last period's paycheck would not suffice (e.g. new employees), Central Payroll has committed to manual production of checks (though a time delay on manually-cut checks would probably occur).
- ◆ *How to restart this function if some staff are not available:*
At present, the payroll assistant (Cathy Smith) is the only person trained in payroll issues. Two other staff will be cross-trained (see action item below).
- ◆ *How to restart this function if computer networks are not available:*
If computer networks are not available, Central Payroll has committed to furnish (paper) data-gathering forms to all departments for manual submission of payroll changes.
- ◆ *Show-stoppers (resources that cannot be replaced, substituted, or done without):*
None.
- ◆ *Risks generated by using alternate procedures:*
Risk of delayed paychecks. Central Payroll states that worst case would be 1 week delay.
- ◆ *Policy exceptions needed for alternate procedures (& who can grant these exceptions):*
No policy exceptions at department level. Central Payroll will obtain any needed exceptions at its level.
- ◆ *Timing: when must this function restart, to enable the Campus to meet its 30-day goal for the resumption of teaching and research?*
Within 1-2 weeks post-disaster.
- ◆ *Additional vulnerabilities (other things that could prevent restarting this function on time):*

- Failure of Central Payroll.
- Prolonged absence of both payroll assistant and backup substitutes.

◆ *Records that will be vital for restarting this function:*

<i>Name</i>	<i>Medium</i>	<i>Owner</i>	<i>Location</i>	<i>Backup Details</i>	<i>Other Security</i>
Staff personnel files	paper	HR manager	324 Higgins	none	locked cabinet

◆ *Action Items (things we can do to get ready):*

<i>Action Item</i>	<i>Estimated Cost</i>	<i>One-Time or Annual?</i>
Cross-train two staff members to process department payroll.	\$100-\$1000	annual

◆ *Consequences: if this function is not restarted on time, these harmful consequences might result:*

Possible Harmful Consequence	How long after the disaster might this harm begin to occur?						Comment?
	0-2 days	1 wk	2 wks	3 wks	4 wks	>4 wks	
Disruption of teaching						X	
Disruption of research						X	
Loss of faculty							
Loss of staff						X	
Loss of students							
Well-being of staff	X						
Well-being of students							
Payment deadlines unmet by campus			X				Payroll dates.
Loss of revenue to campus							
Legal obligations unmet by campus			X				Payroll dates (state laws, union contracts).
Legal harm to university							
Impact on other campus unit(s)							
Impact on important business partner(s)							
Other							

◆ *Key Documents that are attached:*

<i>Documents available digitally:</i>	<i>Owner</i>
None.	

<i>Documents available only in hardcopy:</i>	<i>Owner</i>
None.	

CRITICAL FUNCTION #4: PURCHASING◆ *Description of this critical function:*

Procuring all departmental supplies & equipment. Department purchasing assistant uses one of three processes to make a purchase –

- Campus purchasing card (P-Card)
- Purchase Order created by purchasing assistant within Campus Financial System (CFS)
- Purchase Requisition created by central buyer (on staff of Central Purchasing).

◆ *Responsible person(s):*

MSO (Mary Jones), Purchasing Assistant (James Cheung)

◆ *Upstream dependencies (units or systems whose failure-to-perform will affect us):*

- Central Purchasing
- Campus Financial System (CFS)
- External vendors

◆ *Downstream dependencies (units or systems that will be affected by our failure-to-perform):*

Faculty, staff, students in History Department

◆ *Peak periods:*

None

Comment on peak periods :

◆ *How to restart this function if the usual space is not available:*

- We will depend on the Campus to handle space issues.
- If Campus does not quickly provide alternate space, MSO will arrange alternate location for purchasing assistant to work (telecommute if possible).

◆ *How to restart this function if the usual equipment is not available:*

The equipment most necessary for purchasing are

- Computer for purchasing assistant
- Phone for purchasing assistant
- P-Card

All three are very important. In the short term, a phone and P-Card would suffice for most purchases (see below).

◆ *How to restart this function if some staff are not available:*

- At present, the purchasing assistant (James Cheung) is the only person trained in purchasing issues. Two other staff will be cross-trained (see action item below).
- At present, only James has a P-Card (a P-Card is assigned only to an individual). An additional P-Card should be obtained for one of the cross-trained staff members, plus one card for the MSO.

◆ *How to restart this function if computer networks are not available:*

Use P-Card for purchases until networks are re-established. Will require increased upper limit on P-Cards (see action item below).

◆ *Show-stoppers (resources that cannot be replaced, substituted, or done without):*

Phone for purchasing assistant.

◆ *Risks generated by using alternate procedures:*

Risk of P-Card abuse if upper limit is raised. Control this by requiring MSO to authorize purchases in advance if possible.

◆ *Policy exceptions needed for alternate procedures (& who can grant these exceptions):*

Raise limit on P-Cards. Lift restricted-item rules on P-Cards. These exceptions need approval by Controller and by Central Purchasing.

◆ *Timing: when must this function restart, to enable the Campus to meet its 30-day goal for the resumption of teaching and research?*

◆ *Additional vulnerabilities (other things that could prevent restarting this function on time):*
As above.

Name	Medium	Owner	Location	Backup Details	Other Security
Departmental P-Card log	Paper	J.Cheung	124 Estrada	none	none

Action Item	Estimated Cost	One-Time or Annual?
Cross-train two staff members to do departmental purchasing.	\$100-\$1000	annual

Investigate whether P-Card limits & restrictions can be lifted for recovery period.	no cost
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Possible Harmful Consequence	How long after the disaster might this harm begin to occur?						Comment?
	0-2 days	1 wk	2 wks	3 wks	4 wks	>4 wks	
Disruption of teaching					X		
Disruption of research					X		
Loss of faculty						X	
Loss of staff						X	
Loss of students						X	
Well-being of staff	X						
Well-being of students	X						
Payment deadlines unmet by campus						X	Inability to pay vendors.
Loss of revenue to campus							
Legal obligations unmet by campus							
Legal harm to university							
Impact on other campus unit(s)							
Impact on important business partner(s)						X	Inability to pay vendors.
Other							

Documents available digitally: Owner
None.

Documents available only in hardcopy: Owner
None.

CRITICAL FUNCTION #5: DONOR RELATIONS

- ◆ *Description of this critical function:*
Over the past decade, the History Department has benefited significantly from the interest shown by two donors. Both benefactors (an individual and a family foundation) continue to express active interest in Departmental affairs, and in continuing their financial support. It is important to keep them informed and engaged in departmental activities.
- ◆ *Responsible person(s):*
Chair (Jane Diaz)
- ◆ *Upstream dependencies (units or systems whose failure-to-perform will affect us):*
None
- ◆ *Downstream dependencies (units or systems that will be affected by our failure-to-perform):*
History Department
- ◆ *Peak periods:* _____ *Comment on peak periods* :
None.
- ◆ *How to restart this function if the usual space is not available:*
Not an issue.
- ◆ *How to restart this function if the usual equipment is not available:*
Not an issue.
- ◆ *How to restart this function if some staff are not available:*
The essential person for contacting donors is the Chair. In her absence, an appropriate faculty member could substitute.
- ◆ *How to restart this function if computer networks are not available:*
Not an issue. Telephone is adequate.
- ◆ *Show-stoppers (resources that cannot be replaced, substituted, or done without):*
Need either telephone or email.
- ◆ *Risks generated by using alternate procedures:*
None.
- ◆ *Policy exceptions needed for alternate procedures (& who can grant these exceptions):*
None.
- ◆ *Timing: when must this function restart, to enable the Campus to meet its 30-day goal for the resumption of teaching and research?*
No impact on 30-day resumption of teaching & research. Very important for the long term.
- ◆ *Additional vulnerabilities (other things that could prevent restarting this function on time):*
None.
- ◆ *Records that will be vital for restarting this function:*

Name	Medium	Owner	Location	Backup Details	Other Security
None.					
- ◆ *Action Items (things we can do to get ready):*

Action Item	Estimated Cost	One-Time or Annual?
None.		
- ◆ *Consequences: if this function is not restarted on time, these harmful consequences might result:*

Possible Harmful Consequence	How long after the disaster might this harm begin to occur?						Comment?
	0-2 days	1 wk	2 wks	3 wks	4 wks	>4 wks	
Disruption of teaching							
Disruption of research							
Loss of faculty							
Loss of staff							
Loss of students							
Well-being of staff							
Well-being of students							
Payment deadlines unmet by campus							
Loss of revenue to campus						X	Important benefactors
Legal obligations unmet by campus							
Legal harm to university							
Impact on other campus unit(s)							
Impact on important business partner(s)							
Other							

◆ Key Documents that are attached:

Documents available digitally:

Owner

None.

Documents available only in hardcopy:

Owner

None.