

UC READY REFERENCE MANUAL

INTRODUCTION

UC Ready is the University of California's on-line continuity planning tool.

This tool will help your department prepare for those adverse events that we call disasters. Disaster events can be wide in scope (earthquake, wildfire, pandemic, terrorism). Disasters can also be more localized (fire in your building, or even the failure of your hard drive!).

The goal of continuity planning is to enable us to continue our mission despite these events. Some departments—particularly our fire, police and medical centers—will be expected not only to continue but to expand their services during these times.

This *UC Ready* tool will guide you, step by step, to create a continuity plan. Your plan will identify:

- **CRITICAL FUNCTIONS** performed by your department, and the factors needed for their continuance.
- **INFORMATION AND STRATEGIES** that will help during and after the disruption or disaster-event.
- **ACTION ITEMS** that can be done, starting now, to lessen the impact of these events and make us ready to cope.

The *UC Ready* tool is designed for departmental continuity planning. Department is loosely defined as any sub-unit of the campus. It might be an entire school, college or division, or a small specialized unit. The tool is appropriate for all types of departments - instructional, research, patient care, as well as administrative and other support units.




Continuity planning using this tool fulfills a requirement of the *UC Policy on Safeguards, Security, and Emergency Management* (January 2007), and other policies specific to the various UC campuses and medical centers.

The *UC Ready* tool is easy-to-use and requires no advance training. However, we strongly recommend that you begin by contacting Kim Hau in the Environmental Health & Safety Department who will provide guidance and context.

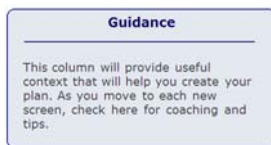
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GETTING STARTED

- Visit the UC Ready website at:
- <https://ucready.berkeley.edu>
- Login using your UCInetID and Password
- Select University of California - Irvine as your Institution
- Click on Begin 
- Click to Begin or Edit Your Plan
- Select your plan  or create new plan 

GUIDANCE



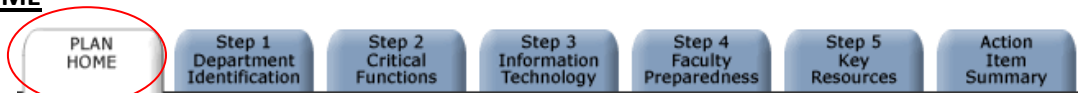
This column, on the right of each screen, will provide useful context that will help you create your plan. As you move to each new screen, check here for coaching and tips.

HANDYLINKS



This drop-down list, at upper right of every page, makes all the features of this tool easy to reach.

PLAN HOME



UC Ready is an online tool that will prompt you to provide answers in Steps 1 through 5. When you have done this, you will have created a complete continuity plan.

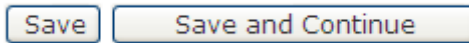
- *How to build your plan:* Simply answer the questions; your plan will be produced automatically.
- *How to navigate:* Use the tabs. Some tabs will display sub-menus. It's OK to use your browser's Back button.

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- *Use the HandyLinks.* This drop-down list, at upper right of every page, makes all the features of this tool easy to reach.



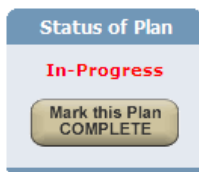
- *How to save:* Hit the “Save” button before leaving a page. If you prefer, the “Save & Continue” buttons will move you through the pages in a pre-set sequence. This is important - leaving a page without saving may lose the data you have just entered!



- *Must every question be answered?* It is OK to leave blanks; you will be told when an answer is required.

* indicates a required answer.

- *How to view your plan:* At any stage, you can use the **Printing Menu** button on the left of the Plan Home page to view or print your plan in its then-current state. You can also view or print sections of your plan, such as Critical Functions, Action Items, etc.



- *Returning:* You may exit at any time and resume later.
- *Logout:* The logout button is located at the bottom center of each page.

[UC Ready Home](#) | [UC Home](#) | [Contact Us](#) | [Logout](#)

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PLAN HOME SUB-TABS

- *Edit Your Department Info:* Here you can add contact persons, name the head of your unit, and alter the name attached to this plan—do so, for example, if your unit gets renamed, if you prefer a different variation of your unit’s name.



- *Add/Remove User:* Access to your department's continuity plan is restricted to those persons specifically authorized for your plan. There are two options: FULL ACCESS vs. VIEW-ONLY ACCESS. The creator has full access to the plan (read/write). Subsequent authorized users will be granted either full access or view-only access (selected on this screen). Users with view-only

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access are not allowed to edit the plan, but can view *anything* within or uploaded into the plan. Any user with full access can do *anything* to a plan (read/write/delete) and may use this screen to authorize others.



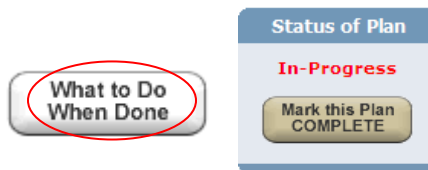
- *Interview Forms*: Interview forms are available to assist you with interviewing others to learn needed information. Interview forms exits for each “Step” in the planning process, except Step 3 – Information Technology. These forms essentially ask the need information that goes into answering each Step and will assist both with handwritten note-taking; or if you do your note-taking on a laptop.



- *Printing Menu*: Here you can view or print your unit’s continuity plan. Print any documents that have been uploaded to accompany the plan. Print interview forms you may use when gathering information.



- *What to Do When Done*: Your plan will be permanently available via this **UC Ready** tool for updates and changes by authorized people. In order to mark your plan "Complete" on the Plan Home screen, you must affirm on this current screen (What to Do When Done) that your plan has been reviewed by the appropriate person in your department.



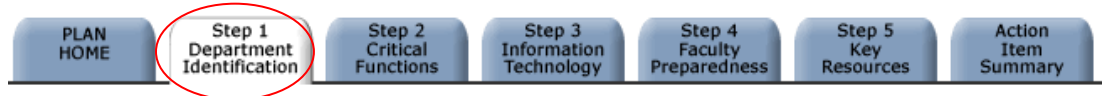
- *Choose a Different Plan*: Click here to choose from the list of all available plans. Only those plans you have access to will display with a blue Go to this Plan button.



STEPS 1 THROUGH 5: A QUICK WALK-THROUGH

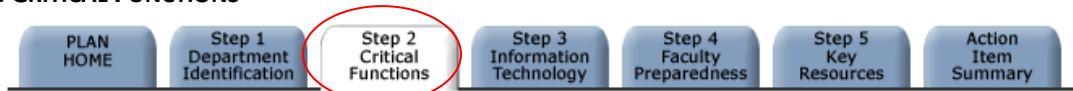
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- **STEP 1: DEPARTMENT IDENTIFICATION**



- Here you will provide key information that identifies your department such as number of personnel, type of department, faculty, location(s) occupied, etc.

- **STEP 2: CRITICAL FUNCTIONS**



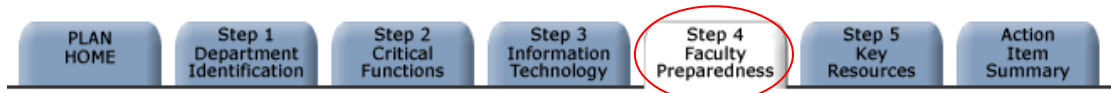
- Here you will name the functions your unit normally performs and assign each a level of criticality, as well as provide details on the function.

- **STEP 3: INFORMATION TECHNOLOGY**



- UC Ready collects a variety of information regarding Information Technology (IT) as it relates to your department and its operations. We will be asking your department IT professional to complete that part of the plan for you.

- **STEP 4: FACULTY PREPAREDNESS**



- Individual faculty drive teaching, research, and patient care. Readiness for disaster is a faculty issue as well as a staff issue. Here you will list anything your department can do to promote disaster-consciousness and disaster-readiness among your faculty. See the Guidance on this page for suggestions.

- **STEP 5: KEY RESOURCES**



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- Here you will identify various information regarding the key resources of your unit as identified by the tabs listed above.
- **Staff Basics:** Includes information regarding the emergency contact list; who has copies of it, who is responsible for updating it, who checks messages as well as the location of shared passwords (see Guidance for requirements).
- **Working from Home:** Many of us have jobs that could be done (at least partially) from home so this portion asks you to name those faculty and staff members that could do at least part of their work from home if they had adequate computer and high-speed internet access.
- **Teams:** Here you will be asked to name teams that will be important to help your department cope with adverse events. Teams may include external members in addition to your own staff.
- **Skills:** In time of crisis, we need to enlist the help of others. We borrow staff, do temporary hiring, enlist volunteers, or engage contractors. Listed on this page are **skills, licenses, or certifications** that might be needed post-disaster. You will be asked to select those skills appropriate to the performance of your department's critical functions.
- **Staff of Other Units:** This part asks you to define who are the most important people from elsewhere in your campus or medical center whom your staff will need to contact within the first few hours or days after a disruptive event.
- **Stakeholders:** Here you will be asked if there are any additional people that your staff may need to contact after a disruptive event (e.g. vendors, clients, project partners, donors, sponsors, other stakeholders).
- **Equipment and Supplies:** Here you will indicate the minimum equipment required to perform ALL the critical functions listed in Step 2. Estimations are okay.
- **Facilities and Transportation:** Here you will briefly list any special space or facilities you require IN ADDITION to your office/classroom/lab needs.
- **Document Summary:** In this section you will also be provided with a document summary which is comprised of the key documents you identified for all of your Critical Functions.

- **ACTION ITEM SUMMARY**



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- Here you will be provided a summary of all the actions items you have identified during the creation of your plan. You may also add action items directly to this list from this page.

[Add New Action Item](#)

For more information on UC Ready, visit: <http://www.ehs.uci.edu/ucready.html>

Contact:

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- **Glossary: Attached**

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UC Ready Glossary

The following is a glossary of terms used in the UC Ready planning tool.

Action Item. An action item is something that could be done now (or anytime before disaster strikes) to make your organization more prepared. Action items can be big or small, costly or costless, within the scope of your department to perform, or outside your scope. Taken together, a department's action items comprise a **to-do list for readiness**.

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

- Do seismic bracing in all department laboratories.
- Develop a plan for redeploying nursing staff to critical areas.
- Cross-train two staff members to handle payroll & purchasing.
- Make an emergency contact list and ask all staff to keep a copy at home.

Broadband Connection. Broadband describes an internet connection that is faster than dial-up. The usual at-home broadband connections are DSL (telephone), cable, and wireless.

Centrally-Owned Application. A computer application or system whose technical owner is your central IT department. (The functional owner of the application could be any department.)

Clustered Departments. Departments that share administrative staff.

Consequences. For the purposes of the UC Ready tool, harmful consequences of slow recovery may impact the Critical Functions of a department, such as disruption of teaching and departure of faculty and students.

Continuity Plan. Continuity planning addresses the question: how can we prepare to **continue operations** despite those adverse events that we call disasters and if we can't continue, how can we **resume our operations** rapidly and gracefully?

The mission of the University of California is teaching, research, public service, and patient care. These four enterprises, along with the infrastructure that supports them, are the focus of our continuity planning.

Your departmental continuity plan:

- Identifies your department's critical functions.
- Describes how you might carry on these functions under conditions of diminished resources (diminished staff, space, equipment, or IT infrastructure).
- Contains various information that will be needed during and after the disaster event.
- Describes how we can prepare. This is most important of all, because "a stitch in time does indeed save nine." A good continuity plan will identify action items; things that we can do now to lessen the impact of disaster events and make it easier to recover.

Cost Center. An accounting term denoting a department that incurs costs but does not directly produce revenue. In some organizations, this term is loosely used to divide up the organization for the purposes of allocating budget (with no reference to revenue or profit).

Critical Function. A Critical Function is an activity that is essential to the core mission of the organization. For disaster planning, a Critical Function is one that must be continued through disaster, or resumed soon after a disaster-event, to ensure either the viability of the organization or its ability to serve its customers.

The UC Ready methodology defines **four levels of criticality**:

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- **Critical 1:** Must be continued at normal or increased service load. Cannot pause. Necessary to life, health, 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, research, payroll, student advising)
- **Deferrable:** May pause; resume when conditions permit. (Examples: elective surgery, routine building maintenance, training, marketing).

Data-Gathering Form. A data-gathering form is typically a paper form that is used to collect information for later entry into a database. Examples are

- templates for taking hand-written notes while interviewing a subject
- paper survey instruments
- substitute paper forms that are kept available for use during periods when a computer system is down.

Departmentally-Owned Application. A computer application or system whose technical owner is your department or another department (but not central IT).

Documents. For continuity planning, you will identify any documents that are very important to a particular Critical Function. They can be individual documents (such as policy manuals) or sets of records (such as patient files, research files, vendor invoices, etc.). The documents listed under Critical Functions may be paper or electronic. Do not include records that are stored within a database application such as financial system, HR system, or medical records system, etc. These will be treated elsewhere.

Downstream Dependency. A downstream department is a department that depends on your department. If your department fails to perform, the ability of the downstream department to carry out its mission will be seriously impaired. For example, if your department does scheduling of nursing staff, the inpatient and/or clinical units will be among your downstream dependencies.

Emergency Contact List. List of all people in your unit, and perhaps some outside your unit, whom you might want to contact during and after a disaster-event. The list should include home address, home phone, personal & work cell phones, personal & work email addresses, plus any other available means of contact. The list should be kept on paper, and stored in multiple locations by multiple people. It should be updated at appropriate intervals. Some emergency contact lists are organized as “calling trees”, in very large units but that is not usually necessary.

Function (normal). These are functions that you normally perform. Here are some typical examples

- laboratory research
- classroom instruction
- non-elective surgery
- purchasing
- paying employees
- inpatient care
- course scheduling
- providing meals

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- facilities repair
- pharmacy services
- grant accounting

Functional Owner. The functional owner of an IT application is the unit that governs the design (and often the use) of the application. When an application implements a business process, the unit responsible for that business process is typically regarded as the functional owner of the application. Modifications to an application must be authorized by the functional owner (but are implemented by the technical owner). For example, the Admissions Office would typically be the functional owner of the on-line admissions system. The technical owner might be the Central IT department, or could be the Admissions Office itself if it has its own IT person or section.

Offsite Storage. Offsite storage refers to the storage of tapes, disks, paper documents and other materials at a location far enough from an organization's operating location that a disaster-event at one location is not likely to impact the other location.

Onsite Storage. Onsite storage refers to the storage of tapes, disks, paper documents and other materials at an organization's operating location, rather than elsewhere. Onsite storage of backups is adequate for protection against some types of disasters and is less expensive and more-quickly-accessed than offsite storage. For more valuable and less-replaceable items, offsite storage becomes desirable.

Peak Periods. These are months when you would expect there to be especially high activity involved in accomplishing a Critical Function. This might be a peak workload period such as the annual fiscal closing for accounting functions or it might denote activities that happen only at certain times - such as course-registration that happens once per semester.

Sponsor. Sponsor refers to an agency or organization that provides grant funding for research projects.

Technical Owner. The technical owner of an IT application is the unit that has top-level administrator and programming access, implements any modifications, and troubleshoots and fixes any technical problems.

Upstream Dependency. An upstream dependency is a department that **your** department depends on. If the upstream department fails to perform, the ability of your department to carry out its mission will be seriously impaired. For example, the central IT department is typically an upstream dependency of most departments. The Sponsored Projects office (grants office) is an upstream dependency of the research enterprise. The food services department is an upstream dependency of inpatient units.

Virtual Private Network (VPN). VPN is a technology that enables a user to establish a secure connection with a remote network. For example, a VPN connection allows a user at home to connect to the campus network, access files and applications, and work from home. An advantage of the VPN connection is that one's office computer need not be running. A disadvantage of the VPN connection is that files stored on the user's office computer (i.e., on the office computer's local hard drive) will not be accessible; and client-server applications will function only if the user has pre-installed the "client" software on her home computer. As a strategy to enable working-from-home (or from any remote location) during times of crisis, a VPN connection is considered superior to a Windows Remote Desktop connection.

Windows Remote Desktop. Windows Remote Desktop is a technology that enables Windows computer users to log into and operate their computer, via the internet, from a remote location. It is commonly used by employees to operate their office computers either from home sitting at their home computer, or from any other location sitting at a laptop or desktop machine. A limitation of the windows remote desktop technology (for disaster recovery) is that the office computer must be powered and running.