



Barton Financial Aid Office Business Continuity Plan

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KCCLI 2017-18

Purpose

The implementation of a business continuity plan will prepare Barton's financial aid office, as well as the institution for any:

- Unexpected changes or absences with human resources
- Technology Failures
- Natural Disasters

Objectives

- Human Resources
 - This section describes how Barton's Financial Aid Office ensures continuation of all vital operations and student services with existing staff in the event a staff member has to be out of the office for an extended period of time.
- Technology
 - This section describes alternative methods of processing and communication in the event Barton's Financial Aid software and systems are not available.
- Natural Disasters
 - This section describes how Barton's Financial Aid Office would continue business operations in the event of a natural disaster.

Strategies

- Research existing plans and Identify necessary components
- Determine what existing framework exists that can be built upon
- Determine how the plan will be stored, accessed and used.

Outcomes

Barton's Financial Aid Business Continuity Plan

2017-18

1 Human Resources

This section describes how Barton's Financial Aid Office ensures continuation of all vital operations and student services with existing staff and in the event a staff member had to be out of the office for an extended period of time.

2 Technology

This section describes alternative methods of processing and communication in the event Barton's Financial Aid software and systems are not available.

3 Natural Disasters

This section describes how Barton's Financial Aid Office would continue business operations in the event of a natural disaster.

Human Resources Components

- Organizational Chart
 - Including clear designation of chain of command in the absence of the Director
- Position-Specific Responsibilities and Procedures
 - Job function, priority, frequency of completion, link to procedure, backup personnel
- Critical Office Functions
 - Taken from priority level components across all positions
- List of External Vendors
 - Including contact information and contract lengths/renewal information
- List of Professional Contacts and Resources
 - FSA Regional Contacts; SAIG, NSLDS, COD.

Assistant Director of Financial Aid

Wednesday, January 24, 2018 12:32 PM

Job Function	Priority	Frequency of Completion	Link to Procedure (In OneNote)	Backup Personnel
Over Award Monitoring (RORCALC)	Critical	Fridays		Shanda
Reviewing Loans Prior to Disbursement	Critical	Prior to Scheduled Disbursement Dates	DL Disbursement	Myrna (New)
Right to Cancel Notifications	Critical	Following Disbursements	Right to Cancel - Review	Shanda (New)
Monthly/Annual Reconciliation	Critical	Monthly/Year-End in August	Reconciling Federal Pell Grants Reconciling with COD	Shanda (New)
Scheduled Academic Years	Critical	New Year Start-up /Monitored Daily-Weekly depending on time of year	Updating SAY's	Myrna (New)
Loan Exit Counseling	Critical	January/April/July	Exit Counseling	Shanda (New)
Loading COD/NSLDS files from EdConnect	High	Daily		Shanda (New)
Sending DL Originations to COD	High	Daily	Step 6: Sending Loan Files to COD	FAO's (New)
Updating Enrollment/Authorizing Aid	High	Daily prior to Freeze Date	RSRENRL/RPDISB	Myrna
Adjusting COA for weeks of attendance	High	Weekly and Prior to Disbursement	Pre-Disbursement Checklist	FAO's (New)
Adjusting COA for LSEC Courses	High	Weekly and Prior to Disbursement	Pre-Disbursement Checklist	FAO's (New)

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Organizational Chart

Critical Office Functions

Director of Financial Aid

Assistant Director of Financi

Financial aid Risk Managem

Financial Aid Programs Sup

Financial Aid Officer (A-K)

Financial Aid Officer (L-Z)

Financial Aid Communicati

Technology Components

- IT Disaster Plan
 - Be familiar with IT plans, network backup, availability of systems and order of restoration.
- Technology Chart
 - Office processes, technology needed for those processes, identify backup technology, detailed instructions for deploying the backup system.
- Outsourcing options
 - Identify in advance viable options for outsourcing office processes if software will be unavailable for a lengthy period of time.

Technology Lapse

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Technology Lapse

IT Disaster Plans

Outsourcing Options

Process	Tech Currently Used	Backup Technology	Instructions
Receiving ISIRs	EDConnect	None	<p>In the event of network failure, where the network installation of EdConnect received via a workstation installation of EdConnect on a personal PC. The file is available at https://fsadownload.ed.gov/index.htm</p> <ul style="list-style-type: none"> Select Software and Associated Documents Select "SAIG Mailbox Software & Manuals: Edconnect, TDClient, TD Select the "Full Download" for EDConnect Download for Windows Complete the "Local Install" the installation wizard will guide you through the process. Assistance is available via the SAIG helpdesk (800)330-5947 <p>Alternative option - TD Client - command line process (will require tech support and server to provide guidance (800)330-5947)</p>
Reviewing Student ISIRs	Banner/Campus Logic	Campus Logic/CPS	<p>Use Campus Logic to load and review student ISIR records</p> <ul style="list-style-type: none"> Notifications to students will have to be sent manually to the email If students do not have access to MyBarton Portal, then a direct link to the student's email account with detailed instructions on what to do.
Verification	Campus Logic	Banner/CPS	<p>Verification should not be interrupted if there is a lapse in Banner availability. If Banner is unavailable, Campus Logic, then banner serves as its backup.</p>
Sending ISIR Corrections	Campus Logic/Banner	Banner/Campus Logic	<p>Banner and Campus Logic should back each other up on this. Whichever system is available should be used to make corrections should be available for ISIRs to be extracted from.</p> <p>Note - If the network is down and banner/WinSCP/EdConnect are not available, corrections should be extracted through Campus Logic. However, this will need to be done on a workstation where WinSCP has been installed on so that the file can be located and sent through the workstation. For this, the file location in EdConnect will be set to whatever the file location is on the PC.</p>

Natural Disaster Components

- Outline necessary steps to resume normal operations
 - Human resources, physical office arrangements, available technology, communication with students, plan to normalcy

The screenshot shows a web-based document titled "Business Continuity Plan" with a navigation menu including "Overview", "Human Resources", "Technology", "Natural Disasters", and "External Entities". The current page is "Natural Disaster Plan", dated Wednesday, January 24, 2018, at 12:14 PM. The document content is titled "Steps to take in the event of a Natural Disaster" and contains a table with five steps.

Step #	Step Description	Details
Step #1	Evaluate available human Resources	Distribute critical and high priority job functions among available staff members - Refer to Human resources section of the plan.
Step #2	Evaluate available physical office arrangements	Determine what, if any, physical office space is available for staff to utilize. Is the network available? Are staff desktops working and available for remote access?
Step #3	Evaluate available technology resources	What systems are available? What systems need to be bypassed? What is IT's estimate on Network Access? What is IT's estimate on SIS Access? Once this is determined use the Technology guide to map out office procedures. (Develop a checklist/flowchart?)
Step #4	Notify students/campus of available services	Post information on website regarding any expected delays in service. Also update and make available methods by which students can contact the financial aid office.
Step #5	Create a plan to normalcy	Once temporary procedures and systems are in place, evaluate and create a plan to bring the office back up to normal operating procedures.

Sharing and Storing the Plan

- Completed plan will be shared with campus administration so that they are aware of the plan and where/how it is stored.
- Copies will be updated and archived annually on institutional network
- Current copy of the plan, in addition to a current copy of our procedure guide will be stored in a shared Drop Box account so that it will be accessible in the event of a network outage or other disaster.

Impact

- Clear organization of the financial aid office
- Demonstrates stability to administration
- Peace of Mind
- Awareness and motivation for financial aid staff members and other departments on campus
- Provides a template that can be copied and used by other departments and institutions

Recommendations for Others

- Don't work on this alone. Involve all office staff, at minimum in the outlining of job responsibilities.
- Spend time talking to IT and other support services for the technology that you use.
- Establish a method to keep the plan updated.
- Try and help other departments on your campus see the value in building this type of plan. Our plan will be much more successful if other departments have backup procedures in place as well.



QUESTIONS??