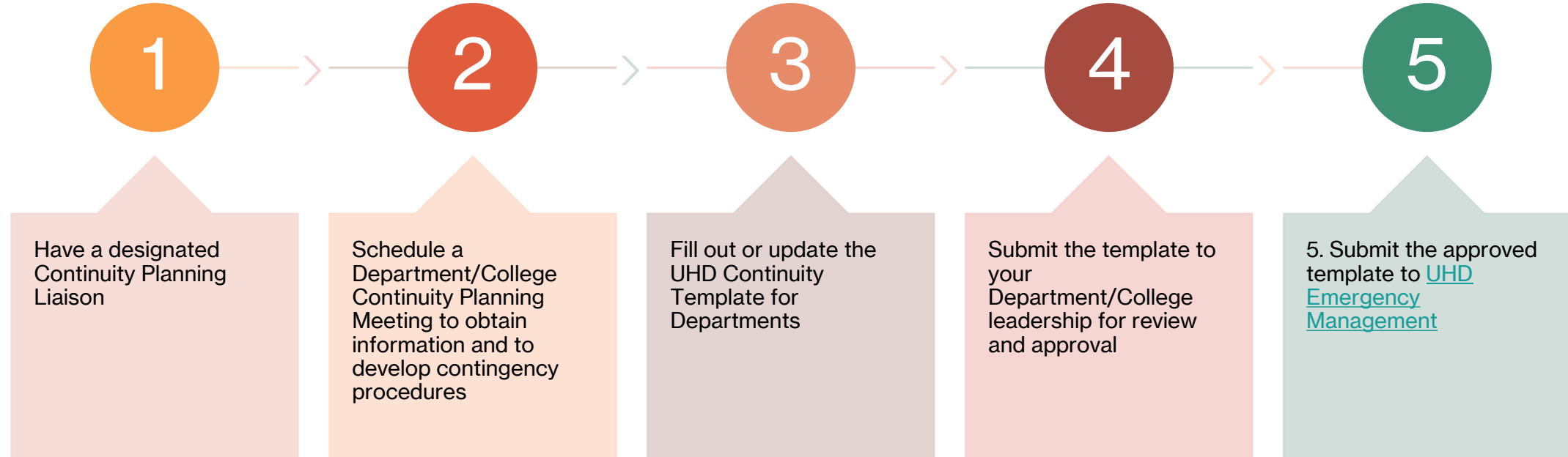




Completing Your Continuity Plan (COOP)

COOP Planning Steps





Continuity Planning (COOP) Support

- UHD Emergency Management offers consulting to assist your department in completing, reviewing, and exercising your continuity plan. Contact the COOP Program Coordinator Kimani Alston (alstonk@uhd.edu or uhdemergencymanagement@uhd.edu for assistance.

UHD Continuity Plan Template



CONTINUITY OF OPERATIONS PLAN [Year]

College/Division:	
Department Name:	
Building/Suite:	
COOP Liaison:	
Date Completed:	
Approved By:	
Approval Date:	

A **continuity plan** is a collection of resources, actions, procedures, and information that is developed, tested, and held in readiness for use in the event of a disaster or major disruption of operations. This guide has been developed to help departments develop a continuity plan to ensure that essential activities can continue following a disaster or major disruption. A comprehensive continuity plan will help you maintain your essential functions and allow you to return to normal operations as quickly as possible after a disaster or major disruption.

Introduction - Implementation Plan

The Implementation Plan provides general guidance on implementing your continuity plan following an emergency or disaster. The steps included can be followed by anyone within the organization charged with implementing the plan. Additional steps can be added as needed based on the specific needs of your department. In the event of an emergency or incident disrupting essential functions, the division, college, or department will implement this plan based on the general strategy below:

- Notify key personnel of plan activation
- Establish staff accountability
- Resume essential functions based on priority rating
- Communicate with internal and external stakeholders
- Conduct damage assessments
- Report damage up through chain of command
- Review available internal space within your division/college/department
- Report facility requirements up through division or college if your areas internal space is not available or adequate
- Relocate staff to alternate space
- Demobilize and resume normal activities as appropriate

Business Impact Analysis

Describe how or whether the disruption would adversely affect your operations.

What recovery or mitigation strategy could you use to continue your operations?

Business Impact Analysis Worksheet		
<i>Instructions: Complete the table. Add more rows as needed. *Assume disruption is 3 days or longer.</i>		
Business Impact Analysis		
Disruption	How would this disruption impact your division, college, or department?	How would you continue operations following a disruption?
Loss of Facilities		
Loss of electricity*		
Loss of physical structure*		
Loss of heating/HVAC*		
Loss of Personnel		
10% of workforce lost		
50% of workforce lost		
Loss of Information Technology		
Loss of vital servers/data*		
Loss of network access*		

Leadership Succession (Chain of Command)

Succession planning enables an orderly and predefined transition of leadership when leadership becomes absent.

Succession planning helps to ensure that necessary talent and skills will be available when needed, and that essential knowledge and abilities will be maintained when leadership in critical positions become unavailable.

Succession planning serves as a sound risk management practice that ensures the viability of an agency during disruptive events.

***Instructions:** A successor will assume the duties of the leadership role when the usual leader is not able to be contacted by usual methods and will relinquish leadership duties when the usual leader is contacted or until a permanent successor has been named by appropriate line management or another appropriate individual. Please indicate below the succession of authority amongst the top-level leadership in your division, college, or department. Add additional rows as needed.*

	Name and Title	Successor Name(s)	Responsibilities
Primary			
Secondary			
Tertiary			

Completed Leadership Succession

	Name and Title	Successor Name(s)	Responsibilities
Primary	Jane Doe, Executive Director	Jim Dot, Director	Signature, Purchasing up to \$100,000
Secondary	Jim Dot, Director	Ralph Gator, Asst. Director	Signature Purchasing up to \$10,000
Tertiary	Ralph Gator, Asst. Director	Sherry Dov, Manager	Signature, Purchasing up to 3,000

Unit Overview

Unit Overview

Instructions: Indicate and describe below the principal nature of your division, college, or department's operations. Check all that apply.

<input type="checkbox"/>	Academic/Instructional
<input type="checkbox"/>	Research
<input type="checkbox"/>	Administration
<input type="checkbox"/>	Student Life
<input type="checkbox"/>	Facilities
<input type="checkbox"/>	Operations
<input type="checkbox"/>	Public Safety
<input type="checkbox"/>	Other – Please describe:

Overview:

The [division, college or department] of xxx is responsible for

This section helps department's focus on the core nature of their operations and identify their essential functions. Indicate and describe the principal nature of your department's operations on the Unit Overview worksheet. The overview section should be filled with your department or unit's mission statement or with a brief description of your department's operations.

What are Recovery Time Objectives?

A **recovery time objective (RTO)** is the maximum time a function can be down before it must be resumed. The RTO is the answer to the question: "what is the maximum time a function can be down before it must be resumed?"

RTOs help us organize our essential functions into the following categories: Critical, High, Medium, Low, Deferrable. We can prioritize our essential functions based on their RTOs:

- Critical – must be restored within 4 hours
- High- Pausing for more than 24 hours may cause significant consequences of serious harm
- Medium – Stopping for more than one week may cause major disruptions. Must continue, perhaps in a reduced mode
- Low – May be suspended for up to one month without causing significant disruption
- Deferrable – May pause until conditions permit





Determining and prioritizing your department's essential functions

One way to determine your essential functions is to look at your department's organizational structure. This should help you identify the general functions that your department performs.

While everything you do each day may seem important, some functions and activities are more essential than others. Some activities can be suspended for several weeks, while others cannot stop for more than a few hours. Prioritizing your functions will help you establish a recovery plan that focuses on the functions that are the most important.

You should be able to organize your operations into 4 to 6 essential functions. This number may increase or decrease depending on the complexity of your department or unit. If your list of functions is long, consider grouping similar activities into a single function.

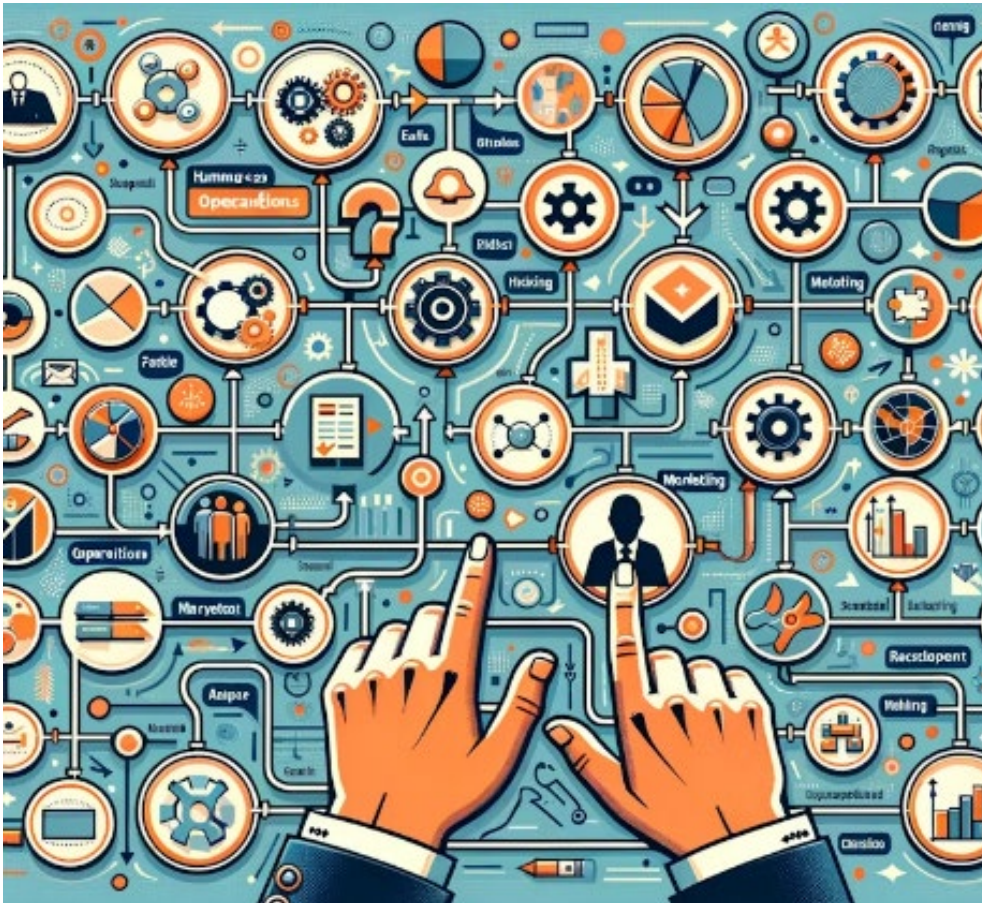
A function may be essential if:

- There are a limited number of employees available who could perform the function or job duty; and/or ;
- The position was created for the purpose of performing the function or job duty;
- The function or job duty is highly specialized, and the position requires a special expertise or ability to perform the job duty.

Activity - Determining Essential Functions

The following activity can help your team and relevant stakeholders determine essential functions for your department:

- As a team, list the functions your department performs. *Note: functions are what your department does while processes are how your department accomplishes that function. For example, "special event planning" would be a function and "going to meetings" is part of the process.*
- Assign a recovery time objective to each of the functions identified. *Remember, the recovery time objective is the maximum time a function can be down before it must be resumed.*
- Separate and organize all your functions into the **critical, high, medium, low, and deferrable** categories based on the recovery time objectives.
- Congratulations! Your department has determined and organized its essential functions. We recommend completing essential function worksheets as a team for those functions in the **critical, high, and medium** categories. Add additional worksheets for functions in the **low and deferrable** categories as appropriate.



Examples of Essential Functions



Academic Departments

- Conduct Classes (High)
- Academic Records/ Transcripts (Medium)
- Academic Advising (Low)
- Student Support Services (High)
- Administrative and Leadership Support (Medium)
- Study Abroad (High)

Operational Departments

- Payroll (Medium)
- Purchasing (High)
- Workers Compensation Services (Medium)

Research Departments

- Preserve Specimens & Data (High)
- Conduct Research (Medium)
- Grant Administration (Low)

General Information

Indicate your group's name, the essential function being detailed in the worksheet, and a brief description of the function in this section.

Essential Function:	[List essential function]
Brief Description: What is this function responsible for? What does it accomplish?	

Essential Function Category & Recovery Time Objective (RTO)

Check one box with the category corresponding with the essential function. Remember, the recovery time objective (RTO) is the maximum time a function can be down before it must be resumed.

	Rating	Description	RTO
Priority Rating + RTO RTO = Recovery Time Objective Maximum time this function can be down before significant problems occur	<input type="checkbox"/> Critical	It directly impacts life, health, safety, or security. Cannot stop.	< 4 hours
	<input type="checkbox"/> High	Must continue at normal or increased level. Pausing more than 24 hours may cause significant consequences or serious harm.	< 24 hours
	<input type="checkbox"/> Medium	Must continue, if possible, in a reduced mode. Stopping for more than one week may cause major disruption.	< 1 week
	<input type="checkbox"/> Low	May be suspended for up to one month without causing significant disruption	< 1 month
	<input type="checkbox"/> Deferrable	May pause and resume when conditions permit.	> 1 month

Emergency Access to Information and Systems

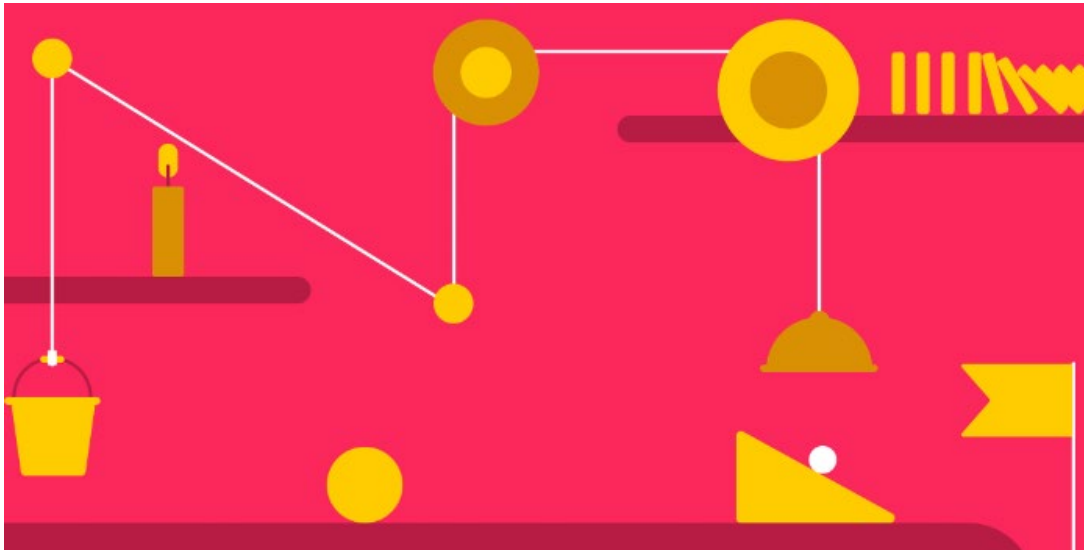
Consider the Following Scenarios:

- A disaster causes physical damage to computers and drives containing valuable files and information
- Your department's information is compromised by a cyberattack
- A power failure causes hardware damage and data loss on many computers

Continuity Planning Considerations:

- Maintain a list of vital documents, drives, and folders and where they are backed up
- Ensure that automatic back-up is scheduled and performed on all network computers
- Keep duplicate copies of important documents stored in a secure off-site location or on an encrypted USB storage device.

Internal Dependencies vs External Dependencies



Internal Dependencies

Products and Services provided by other UHD units.
Example:

- Risk Management provides support and information related to insurance needs.

External Dependencies

Products and Services provided by non-UHD entities. Example:

- Reliance on Chartwells to provide food on campus.

Alternate Site Worksheet

A disaster, whether large or small, may force you to relocate your operations for an extended period of time. A fire, flood, chemical spill, sprinkler malfunction, or even smoke from a fire in another office are just some of the incidents that may require you to relocate. Total recovery and restoration may take several days to several months. If your unit was relocated to a different building or suite, what space needs do you have?

Having those site requirements prepared beforehand will help expedite the process of obtaining an alternate space in case of a disaster.

Minimum Site Requirements Worksheet		
Space	Minimum Required (minimum # or Sq. ft.)	Comments / Notes
Total square footage		
Reception area		
Private offices		
Shared offices or cubicles		
Conference rooms		
Storage rooms		
Copy / Mail room		
Support staff workspace		
Specialized rooms		
Other space		
Specialized equipment		
Specialized supplies		
Hard-line telephones		
Other helpful information:		

Resource Considerations

Resource(s)	
1	List physical resources required to perform your essential functions. (forms, office supplies, computer, etc.)
2	Does your unit have any special needs such as refrigeration, humidity control, etc.?
3	Are there special security requirements for a replacement space?
4	If the office/building is accessible, but there is an extended loss of power, does your area require backup power for onsite operations?
5	Do you have any high value or difficult to replace equipment?
6	Other

Describe other supply and equipment needs that you may have: how many docking stations, laptops, monitors, or computers will you need? Will you need landlines, printers, scanners or digital screens?

If you require refrigeration, what size and how many appliances are needed?

Do you need cubicles? How many and what type?

Personnel

List Essential Personnel and persons needing campus access during emergencies and during campus closures. At times, researchers, campus leaders, or employees performing specialized functions may need access to campus. During university closures, personnel must check-in at the UHD Police Department to enter campus. List these persons on Attachment C.

ATTACHMENT C: PERSONNEL INFORMATION		
<i>Instructions: List Essential Personnel and Personnel requiring campus access during an emergency. Add additional sections as needed.</i>		
Name:	Title:	Campus Location:
Preferred Email:	Secondary Email:	Work Phone:
Essential Personnel? (Y/N)	Preapproved to Telecommute? (Y/N)	Cell Phone:
Other:		
Name:	Title:	Campus Location:
Preferred Email:	Secondary Email:	Work Phone:
Essential Personnel? (Y/N)	Preapproved to Telecommute? (Y/N)	Cell Phone:
Other:		
Name:	Title:	Campus Location:
Preferred Email:	Secondary Email:	Work Phone:
Essential Personnel? (Y/N)	Preapproved to Telecommute? (Y/N)	Cell Phone:
Other:		
Name:	Title:	Campus Location:
Preferred Email:	Secondary Email:	Work Phone:
Essential Personnel? (Y/N)	Preapproved to Telecommute? (Y/N)	Cell Phone:
Other:		
Name:	Title:	Campus Location:
Preferred Email:	Secondary Email:	Work Phone:
Essential Personnel? (Y/N)	Preapproved to Telecommute? (Y/N)	Cell Phone:
Other:		

Emergency Communications

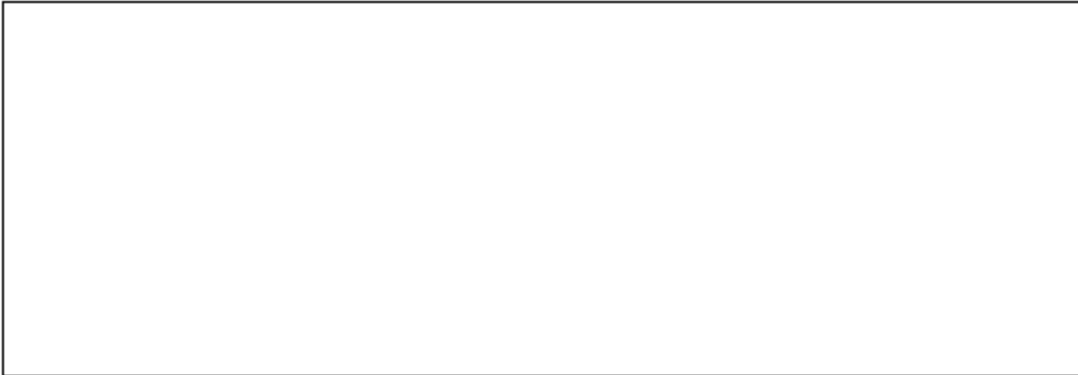


Following an emergency, UHD will publish general information via text, email, social media, and the UHD web page. However, every division, college, and department needs to ensure they can communicate with their own employees. In addition to accounting for employee wellbeing, there may be specific work-related procedures that need to be implemented or changed.

Resumption to Normal Operations

Once the disaster has ended and you can reoccupy your suites or building, how will you transition back to campus? Will you need a phased approach for your division, college, or department?

Resumption of Normal Operations
Instructions: Describe your plan to transition back to normal operations.



Training, Exercise, and Continuity Plan Maintenance

A continuity plan must be reviewed and tested in order to be effective. All employees of your department should be familiar with the continuity plan to help ensure that your department continues operations following a disaster or major disruption. The template includes a schedule to help your area train, exercise, and maintain its continuity plan.

Instructions: Create a schedule for your area to train and exercise this continuity plan.

Training, Exercise, and Plan Maintenance Schedule		
Action	Responsible Person	Frequency
Training (staff orientation meeting, roles, and responsibilities review, etc.)		Annually every [insert month]
Exercise/Drill (Call Tree Drill, Work from Home Drill, Table-Top Exercise with Training, etc.)		Annually every [insert month]
Plan review and update		Annually every March

Training

Training is essential to ensure that everyone knows what to do if there is an emergency or disruption of business operations. For your department, training could involve reviewing the continuity plan annually at a staff meeting. **All members of your department** should be trained so they are familiar with the department's continuity actions as well as their roles and responsibilities during an emergency.

- **Staff Orientation Meeting** - At a staff meeting, take a few minutes to walk through each part of your departmental continuity plan to familiarize staff with your department's continuity procedures.
- **Roles and Responsibilities Review** - Convene members of each unit or department annually to review their roles and responsibilities and ensure they are prepared to implement their portions of the plan, if activated.



Exercises

1



2



3



4

Exercises are instruments to train for, assess, practice, and improve performance in a risk-free environment. Exercises can be used to test and validate your continuity plan and identify opportunities for improvement. We recommend that your department exercise its continuity plan once a year. Exercise options include:

Tabletop Exercise - Discussion-based sessions where team members meet in an informal, classroom setting to discuss their roles during an emergency and their responses to a particular emergency situation

Call Tree Drill - A phone test to test communications, staff accountability, and if phone numbers are correct in the continuity plan

Work From Home Drill - A test of VPN connections and other IT related systems to ensure access to necessary files and programs from an off-campus location

Annual Plan Review

ATTACHMENT B: PLAN REVIEW

Date of Review	Reviewed by:	Changes Made? Y/N	If yes, indicate Change #

Your area's continuity plan should be reviewed annually by someone in your division, college or department. The review process should ensure that information and contacts in the plan are up to date. If significant changes are made that would influence how the University, you or other departments within the University would conduct continuity operations, the new version of your area's COOP should be submitted to the UHD Continuity Coordinator (uhdemergencymanagement@uhd.edu) within 30 days of the change.

Submitting Your COOP



Give yourself a minimum of one month to review and update your plan.

Once the COOP Liaison has updated the plan, have your plan reviewed and approved by your division, college or department Head. Upon their approval, submit a copy of your plan to the UHD Continuity Coordinator at (uhdemergencymanagement@uhd.edu) by **April 1** of each year.

Maintain a copy in your department and share your plan with your division, college, and department leaders.