Preface

**Using the PSC COOP Unit Plan Template**

The PSC Continuity of Operations Plan Template contains the planning required to restore operations

and maintain continuity of essential college functions, subsequent to an occurrence which results in

damage to facilities or interruption of services, support systems or the academic mission.

Using this template assures that all PSC Unit plans follows a standard format that will be familiar to each

member of the campus community; and that each plan includes the basic information required for

effective recovery and continuity of operations.

Once you have created or updated your Unit Plan, please print a paper copy of the COOP and save the file on a flash drive and keep it for future update, such as when a new employee joins your Unit or when there has been a re-assignment or change is the scope of your unit’s responsibilities or location of operations.

Please note that some Units also have campus wide responsibilities. Units with campus wide

responsibilities are typically members of the PSC Emergency Operations Planning Group.

All Units are **required** to review and submit their revised plans to the Emergency Management & Compliance Coordinator by August 1, each year.

Checklists have been included for guidance in completing this plan. It is important that you use these,

based on the specific needs and/or exposures of your Unit and determine what your strategies (Program

Management and Multi-Year Strategy) to fill the gaps.

**OVERVIEW**

**The Emergency Management Planning Group Mission Statement**

“To fulfill the College’s mission and commitments in the event of a disaster, the College strives to become disaster-resistant. Disaster resistance is achieved through recognition and analysis of the risks of natural and man-made hazards, mitigation of the human and economic impact of disasters and comprehensive planning for continuity of College activities.”

A COOP is not a one-time project with an established start and end date. It is a living document that

contains information and action plans that are viable and current. It should be tested once a year, or at a

greater frequency as determined by management. The COOP itself is considered a vital record, and its

information must be readily available to the people who will need it in hard copy format.

**BACKGROUND**: A changing threat environment and recent events emphasize the need for COOP

capabilities that enable agencies to continue their essential functions across a broad spectrum of

emergencies. Testing, training, and exercising of COOP capabilities are necessary to demonstrate and

improve the ability of agencies to execute their essential functions.

**COOP OBJECTIVE**: The primary objective of the COOP Plan is to ensure the capability exists to

continue essential functions across a wide range of hazards. It establishes policies and procedures

to be used in the event of an interruption of service within a pre-established time period. Its goals include

responding or reacting after an event or emergency, restoring critical time-sensitive operations, and

eventually, recovering to full functional capacity.

**AUTHORITIES AND REFRENCES:**

*FEMA Continuity of Operations Programs:* [*http://www.fema.gov/government/coop/index.shtm*](http://www.fema.gov/government/coop/index.shtm)

*FEMA Continuity of Operations Assessment Tool*

<http://www.fema.gov/government/coop/coopassessment3.shtm>

*Guide for Developing High-Quality Emergency Operations Plans for Institutions of Higher Education*<https://www.fema.gov/media-library-data/20130726-1922-25045-3638/rems_ihe_guide.pdf>

Paul Smith’s College – President’s Letter of Promulgation – Emergency Management Plan

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| **Emergency Agency Telephone Numbers** | |
| **Agency** | **Telephone** |
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| **Campus Emergency Operations Center** |  |
| Notes:  In the event of EOC activation, the telephone number  518-327-6451 will be transferred to the EOC located in  Phelps Administartion Building – 1st Floor Lounge | 518-327-6451 |
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| **Emergency Information Hotlines** |  |
| Campus ALERT Line | 518-327-6219 |
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| **ABBREVIATIONS** | |
| List all  abbreviations | List full words |
| COOP | Continuity of Operations Plan |
| ECC | Emergency Command Center (Campus) |
| EMCC | Emergency Management & Compliance Coordinator |
| EMPG | Emergency Management Planning Group |
| EMP | Emergency Management Plan |
| EOC | Emergency Operations Center |
| PSC | Paul Smith’s College |
| PSC CS | Paul Smith’s College – Campus Safety |
| GTK | Go-to Kit |
| HAZMAT | Hazardous Materials |
| IC | Incident Commander |
| MEF | Mission Essential Function |
| MR/PI | PSC Media Relations/Public Information |
| MR/PIO | PSC Media Relations/Public Information Officer |
| TT&E | Testing, Training, and Evaluation |
| UERP | Unit Emergency Response Plan |
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**KEY TERMS**

**Alert** – Advanced notification that a disaster situation may occur. This forewarns participants of the

possible implementation of the COOP.

**Alternate Site** - A location, other than the normal facility, used to process data and/or conduct mission

essential functions in the event that access to the primary facility is denied or the primary facility is

damaged. Examples of alternate sites include: hot site, cold site, warm site, and mobile recovery.

**Backup** - The practice of copying information, regardless of media (paper, microfilm, audio or video tape,

computer disks, etc.) to provide a duplicate copy. This is done for protection in case the active

information is unreadable or destroyed. Backups to support a recovery effort must include a storage

strategy which physically separates the backup data from the original data so there is a minimum of

chance that the same event could destroy both copies. Backups may be of various media types. .

**Business Interruption** - Any event, whether anticipated or unanticipated which disrupts the normal course

of operations at a business location.

**Call Tree** - A list of key individuals to be contacted. Many of these individuals are responsible for

contacting additional individuals linked below them on the list. With a call tree, you can help ensure that

all of the employees assigned to the plan will be notified promptly.

**Cold Site** - Typically a fully-constructed facility without computer hardware or similar equipment. A cold

site facility has necessary environmental and support systems such as access controls, raised flooring,

chilled water, tele-communications access for voice and data, electrical power, and air conditioning.

**Contingency Plan** - A document containing the recovery timeline methodology, test-validated

documentation, procedures, and action instructions developed specifically for use in restoring

organization

**Continuity of Operations Plan** **(COOP)**: A plan which ensures the performance of an organization’s mission

essential functions during any emergency or situation that may disrupt operations.

**Emergency Command Center** – A command center will typically be a location with ample voice

communications capabilities as well as office space, furniture, and office equipment to support

emergency management team members. The command center can be located in an alternate recovery

facility, mobile facility, in another building, or in a facility such as a hotel or conference center, remote

from the normal business facilities. This command center is set up on individual campuses.

**Data Integrity** - Information and data that accurately reflects the status of a business function at a given

point of time, representing complete, synchronized information that has passed all data validation and

error checking routines. Data integrity is critical in the post interruption environment when data is

reconstructed from backups.

**Disaster Recovery** - The ability to respond to an interruption in services by implementing a recovery plan

that ensures the orderly and timely restoration of an organization’s business capabilities and supporting

resources.

**Emergency Operations Center** – The Colleges Emergency Command Center. This serves the entire

College community and supports the campus emergency command centers.

**Emergency Operations Team** – The individuals serving in the Emergency Operations Center.

**Exercise** - A test or drill in which actions in the contingency plan are performed or simulated as though

responding to an event. It is during the exercise that planners and participants can evaluate whether the

planned activities and tasks properly address potential situations.

**Hot Site** - A fully equipped support facility. A hot site contains the stand-by computer equipment,

environmental systems, communications capabilities, and other equipment necessary to fully support a

using organization's mission essential functions in the event of an emergency or a disaster.

**Mission Essential Function** – An essential function necessary for the continued success of the

organization. If an essential function is non-operational, the organization could suffer serious legal,

financial, goodwill, or other serious losses or penalties. Generally, mission essential function(s) must

operate continuously or sustain only brief interruptions.

**Mitigation** - Any measure taken to reduce or eliminate the exposure of assets or resources to risk.

**Mobile Recovery** – Typically a moveable alternate site with scalable modules depending on needs.

**Off-Site Storage** - The process of storing vital records in a facility that is physically remote from the

normal site. Usually this facility is environmentally protected for proper care and storage of magnetic

media, microfilm, and paper.

**Recovery** - Those long-term activities and programs which are designed to be implemented beyond the

initial crisis period of an emergency or disaster in order to return all systems to normal status or to

reconstitute those systems to a new condition that is less vulnerable.

**Restoration** - The act of returning a piece of equipment or some other resource to operational status.

Commercial service companies provide a restoration service with staff skilled in restoring sensitive

equipment or large facilities. Such vendors often work with insurance companies and may restore

equipment for a fee or may purchase damaged equipment with the intent of restoring the equipment and

re-marketing the product.

**Risk** - The potential for harm or loss. The chance that an undesirable event will occur.

**Risk Analysis** - An analysis of potential threats to an organization's ability to maintain current business

operations.

**Threat** - Threats are the events that cause a risk to become a loss. Threats include natural phenomena

such as storms and floods as well as man-made incidents such as cyber-terrorism, sabotage, power

failures, and bomb threats.

**Unit** – An entity or group or entities that share similar essential functions. Can be a division, department,

college, office or center.

**Vital Records** - Records or documents, regardless of media (paper, microfilm, audio or video tape,

computer disks, etc.) which, if damaged or destroyed, would disrupt business operations and information

flows and cause considerable inconvenience and require replacement or recreation at considerable

expense.

**Warm Site** - An alternate recovery facility partially equipped with hardware, communications, power, and

environmental support equipment.

1. UNIT/Office OPERATIONS, FUNCTIONS, AND FACILITIES

* 1. **Operations and Functions:** State the mission of the unit/department.

**1.2 Facilities**: Describe the facilities (primary, secondary, tertiary, etc) by campus, and the occupancy

of such facilities (administrative vs teaching vs laboratories etc).

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| **Unit FACILITIES** | | |
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| **Building** | **Use** | **Location** |
| *Need to* | *address all facilities* | *on all campuses/sites.* |
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**1.3. Unit Contact Information** List your unit contact information here

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| **Unit Staff Contact Information** | | | | | |
| **Name** | **Title** | **Landline** | **Cellular** | **Home** | **E-Mail** |
| *First Name Last*  *Name* |  | *xxx-xxx-xxxx* | *xxx-xxx-xxxx* | *xxx-xxx-xxxx* |  |
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SECTION 2. “Your Office or Unit Name” CONTINUITY OF OPERATIONS PLAN

**2.1 General**

The UNIT maintains a Continuity of Operations Plan for the safety of all personnel and protection of critical equipment, materials, supplies, records, and databases.

**Planning Assumptions:** These plans are limited to situations that affect Unit operations directly.

**Planning Scenarios**

The COOP plan has been developed around a set of scenarios which reflect Unit’s assessment regarding the types of events which may result in COOP plan activation. For each type of scenario, activities have been identified to ensure the activation of the COOP plan and the continuous capability of the Unit to

make decisions and take action.

Activation of the COOP plan may involve:

• the deliberate and pre-planned movement of selected key personnel and technical personnel to an alternate operating facility;

• the implementation of temporary work procedures;

• the delegation of emergency authorities to successors of senior management and technical personnel who are unavailable during the emergency; and/or

• the assignment of COOP teams to perform specific activities necessary to ensure essential functions.

The following four types of scenarios have been identified by PSC as the most likely to trigger COOP plan activation:

**Planning Scenario 1: Unit Facility Alone Affected.** Under this type of scenario, the main Unit facility is closed for normal business activities, but the cause of the disruption has not affected surrounding facilities, utilities, or the transportation network. The most likely causes of such disruption are fire; system/mechanical failure; loss of utilities such as electricity, telephone, water,or heat; or explosion (regardless of cause) that produces no significant damage to any other facilities or systems used by the Unit. This type of event could significantly impact the Unit’s communications, monitoring, and information technology capabilities. Vehicles and maintenance facilities, located at or adjacent to the operations and administration facility, may be damaged or destroyed. Senior management, technical and supporting personnel working at the facility may be lost, injured, or not accounted for.

**Planning Scenario 2: Unit Facility and Surrounding Area Affected.** Under this scenario, the Unit Facility as well as supporting facilities are closed for normal business activities as a result of widespread utility failure; massive explosion (whether or not originating in the operations and administrative facility); civil disturbance; or credible threats of actions that would preclude access or use of the Unit Facility and surrounding areas. Under this scenario there could be uncertainty regarding whether additional events (such as secondary explosions or cascading utility failures) could occur. During this type of event, the Unit’s primary facilities and the immediate areas surrounding them are inaccessible.

**Planning Scenario 3: Supporting Facilities Affected.** Under this scenario, the Unit facility is left unharmed, but one or more support facilities is inoperable. These may include vehicle storage facilities, maintenance facilities, stations, or other systems used by the Unit. This type of event could be the result of a natural disaster, workplace violence, cyber attack or other event.

**Planning Scenario 4: Local/Regional Area Affected.** Under this scenario, the Unit’s service area would be inaccessible for normal business activities as a result of a major disaster (hurricane) or an actual or threatened use of a weapon of mass destruction such as a chemical, biological, radiological, or nuclear agent (whether or not directed at the operations and administrative facility). The Unit’s facilities are functional, but cannot be used because of the nature of the emergency.

**Activation Decision:** Upon receipt of emergency message and consultation with \_*(indicate who would be a part of the decision making process for COOP activation: EH&S, EOC, Emergency Executive Committee),* the Unit Leader or designee will activate this plan.

**Execution:**

Unit COOP Plan activation is dependant on the following circumstances:

* **Known threats and emergencies (with warning)**: There are some threats to operations that may afford advance warning that will permit the orderly alert, notification, evacuation, and if necessary, the relocation of employees. Situations that might provide such warning include an ice/snow storm, a transportation accident resulting in a threat of a release of hazardous material (HAZMAT) or a threat of a terrorist incident.
* **Unanticipated threats and emergencies (no warning) During Non-Duty Hours**: Incidents maynot be preceded by warning, e.g., arson, HAZMAT, or terrorist incidents, and may occur while the majority of on-site staff are not at work. In these circumstances, while operations from the primary facilities may be impossible, the majority of our employees will still be able to respond to instructions, including the requirement to relocate following proper notification.
* **Unanticipated threats and emergencies (no warning) During Duty Hours**: Incidents may also occur with no warning during normal office hours. In these circumstances, execution of theCOOP, if indicated by the circumstances of the event, would begin by execution of the Unit’s Emergency Response Plan to support notification, evacuation and shelter-in-place, and situation assessment.

In each of these circumstances, the Unit should develop an executive decision process that allows for a review of the emergency situation and determination of the best course of action for response and recovery.

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| **General Actions** | |
| COOP Activation | The Unit Leader or designee is responsible for COOP Plan activation |
| Alternate Operations | Alternate Operations will be directed by the Unit Leader or designee and  conducted by members of the Unit Emergency Relocation Group as  appropriate during and after an emergency event either at the primary or  alternate site. |
| Reconstitution and  Termination | Following an emergency event, reconstitution of all Unit operations and  services will be directed by the Unit Leader or designee. The Unit’s  Emergency Relocation Group and Non-Emergency Relocation Group will  report to the Unit Leader or designee the status of operations and needs for  reconstitution, including damage assessment and any insurance claims.  Termination of event response and mitigation activities will be on order of the  Unit Leader or designee. |

**Plan Integration:** The Enter Title (usually the COOP writer) will ensure that its COOP/EMP is integrated with all appropriate Division, Campus and College Plans for all Unit facilities.

**COOP Author and Point of Contact:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

(insert name here)

**Notification:**

The Unit will notify the following of emergency related issues and decisions including relocation status and personnel accountability:

* Unit essential and non-essential personnel
* College EOC and/or partner campus Emergency Command Center (ECC)
* Alternate Facility/Facilities
* Other points of contact: external and internal (vendors, other Units etc)

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| **Phase** | | **Time Frame** | | **Activity** |
| Phase I-  Activation and  Relocation | 0-12 Hours | | * Notify alternate facility manager of impending activation and relocation requirements. * Notify affected internal and external contacts. * Activate plans to transfer to alternate facility. * Instruct advance team to ready alternate facility. * Notify agency employees and contractors regarding activation of COOP plan and their status. * Assemble documents/equipment required for essential functions at alternate facility. * Order needed equipment/supplies. * Transport documents and designated communications. * Secure original facility. * Continue essential functions at regular facility, if available, until alternate facility is ready. * Advise alternate facility on status. * Where are the operations and support teams? * Activate advance, operations, and support teams as necessary. | |
| Phase II-  Alternate  Facility/Work  Site  Operations | 12 Hours to  Termination of  Emergency | | * Provide guidance to personnel performing essential functions and information to the public. * Identify replacements for missing personnel (delegation of authority and orders of succession). * Commence full execution of operations supporting essential functions at the alternate facility. | |
| Phase III-  Reconstitution | Termination of  Emergency | | * Inform all personnel that the threat no longer exists. * Supervise return to normal operating facility. * Conduct a review of COOP plan execution and effectiveness. | |

**Time-Phased Implementation**

The Unit will use a three-phased approach to the activation, management, and eventual de-escalation of the COOP plan.

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| **Level of**  **Emergency** | **Unit Leadership COOP Plan Activation Decision Matrix**  **Impact on Unit and COOP Decision** |
| **1** | **Impact**: Disruption of up to 12 hours, with little effect on services or impact to essential functions or critical systems.  **Example**: Major accident on highway or transit system.  **Decision**: No COOP activation required. |
| **2** | **Impact**: Disruption of 12 to 72 hours, with minor impact on essential functions.  **Example**: Computer virus, small fire or moderate flooding.  **Decision**: Limited COOP activation, depending on Unit requirements. |
| **3** | **Impact**: Disruption to one or two essential functions or to a vital system for no more than three days.  **Example**: Power outage, heightened Homeland Security Advisory System Threat Level.  **Decision**: May require partial COOP activation to move certain personnel to an alternate facility or  location in the primary facility for less than a week. |
| **4** | **Impact**: Disruption to one or two essential functions or to the entire Unit with potential of lasting for more than three days but less than two weeks.  **Example**: Hurricane, workplace violence, major telecommunications failure or major power outage.  **Decision**: May require partial COOP plan activation. For example, orders of succession for some key personnel may be required; in addition, movement of some personnel to an alternate work site or location in the primary facility for more than a week may be necessary. Personnel not supporting essential functions may be instructed not to report to work, or be re-assigned to other activities. |
| **5** | **Impact**: Disruption to the entire Unit with a potential for lasting at least two weeks.  **Example**: Explosion in/contamination of primary facility; major fire or flooding; tsunami.  **Decision**: COOP plan activation. May require activation of orders of succession for some key  personnel. May require movement of many, if not all, essential personnel to an alternate work site for  more than two weeks. Personnel not supporting essential functions may be instructed not to report to  work, or be re-assigned to other activities. |

**Section 2.2. Mission Essential Functions (MEFs) & Services**

The following addresses the mission critical operations, services, equipment and records which **Your** planning team has determined to be essential for effective recovery, restoration and resumption of operations for this Unit. They are functions that cannot be suspended or if suspended, need to be operational within 12 hours and kept operational for 30 days.

To determine these:

* Look at how you serve other units/departments/divisions/colleges etc. as well as students/employees/visitors/parents etc.
* Should your primary facility/facilities of operationson any campus or PSC site be rendered inoperable, or functions/services disrupted but the college was still operational, what functions would you have to maintain in order to keep on serving the college community?

To complete the table below:

* Designate a Primary and Alternate for each mission essential operation & service identified
* Assign personnel based on knowledge, skill and likely availability
* Beware of “single points” of failure where the ability to accomplish a mission critical objective is dependent on a single specific resource (equipment or personnel – you must develop contingencies for such cases)
* Prioritize operations/services in terms of the order in which they must be restored after an occurrence in order to fulfill each mission essential function
* Determine which mission essential services must continue during the occurrence
* Make NO assumptions about support from other units – establish agreements in writing and attach to the plan.
* Resources need range from: specialized equipment, supplies, SOPs, manuals, data & databases, skilled personnel, vendors, etc.
* Indicate which functions have a continuance strategy in place and which are in progress: cross training, staggered schedules, data back- up, off-site storage, work-from home capability, priority vendor contracts to equipment and supplies. *(Identify Equipment and Supplies in Annex 3, Vital records and Databases, Section 2.8)*

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| **Table 2.2.A. Mission Essential Functions** | | | | |
| Comprehensive Mission Essential Functions in Order of Priority | Personnel Roster (by Title) | | Resources needed | Continuance   * strategy |
| Primary | Aleternate | Data, equipment, plans, manuals, procedures, SOPs | In place vs In Progress |
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See Mission Essential Function Checklist for guidance.

Of all the Mission Essential Functions, what are the few “Time-Sensitive” functions and the absolute bare minimum number of personnel needed

to conduct them in a “Disruption” mode?

List any legal actions that will be incurred if disrupted, for example, may result in loss of sensitive information, personnel records, affect the health

and safety of employees, students or visitors, etc? Indicate which internal units and external agencies, parties, organizations etc may be affected

in “Disruption” mode.

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| **Table 2.2.C Regulatory, Legal and Affected Base** | | | |
| Mission Essential Function or Service in Order of  Priority | List any legal actions if disrupted | Group(s) of internal  customers affected by  extended disruption? | Group(s) of external  customers affected by  extended disruption? |
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| **Table 2.2.B. Time Sensitive Mission Essential Functions** | | |
| “Time-Sensitive” functions in Order of Priority | Full-time  Personnel | Part-time  Personnel |
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**Section 2.3. Personnel and Responsibilities**

**Emergency Relocation Group (ERG):** The Emergency Relocation Group consists of who will be deployed from the primary facility that can no

longer maintain the mission essential functions nor accommodate resumption within 12 hours, to the alternate facility to coordinate and resume

essential functions of the primary facility.

**Non-Emergency Relocation Group (Non-ERG)**: The non –Emergency Relocation Group consists of Unit individuals or others who may be from

other locations or from the alternate facility who need to help make it ready to receive the ERG.

Keep in mind that some individuals from unaffected Unit facilities may become part of the ERG to handle issues such as delegation of authority or

implementing orders of succession. This is situation based and is not expected to be addressed in detail.

To complete the table address each facility separately and group personnel accordingly (this can be a general list with specific duties outlined in

other documents that must be attached to this plan or referenced):

**Phase 1: Activation and Relocation**

* **Alert and Notification**. The Unit should establish specific procedures to alert and notify the all internal and external parties of interest for

example, President, senior management staff and staff, that COOP activation is imminent.

* **Initial Actions**. The Unit should identify specific actions to be taken to terminate primary operations and activate COOP efforts,

communications links, and the alternate facility. In the event that this plan is activated, the Unit will relocate essential operations personnel

offsite in either one or more backup locations, depending on the extent of the catastrophe. Staff will inform all parties of interest regarding

pre-determine options that will be used to resume critical business operation.

* **Deployment and Departure Procedures (Time-Phased Operations)**. Allowances should be made for partial pre-deployment of any

essential functions that are critical to operations; determination will be based on the level of threat.

* **Transition to Alternate Operations**. The Unit should establish minimum standards for communication, direction, and control to be

maintained until the alternate facility is operational.

**Site-Support Responsibilities**. The Unit should develop a checklist to guide activation of the alternate facility. In the event that this plan is

activated, The Unit will relocated essential operations personnel offsite in either one or more backup locations, depending on the extent of the

catastrophe.

**Phase 2: Alternate Operations**

* **Execution of Essential Functions**. The Unit should perform any essential functions determined to be critical to operations from the

alternate facility or using temporary work orders or procedures.

* **Establishment of Communications**. The Unit will re-establish normal lines of communication within the College, to external agencies,and to the public.
* **Support and Contingency Responsibilities**. Responsibilities will be assigned to personnel to perform essential functions. These

personnel will provide the establishment of the alternate site. They will provide critical support functions for the staff housed at the

alternate site. These critical functions include:

o Purchasing supplies, furniture, transportation, office equipment (non-IT and telephone) for the recovery and any temporary sites.

o Communicating status with internal and external parties of interest.

o Disbursing and tracking recovery funds

o Assisting with travel arrangements for relocation purposes

o Coordinating communications at offsite recovery locations(s)

o Managing relocation (moving) logistics

o Coordinate the establishment of postal mail and express mail delivery and distribution at the alternate site

o Responsible for finding additional space for other teams

The Unit Leader will oversee this, while staff members who are knowledgeable in the administrative functions execute it. They will also

work with IT to establish an operational technology infrastructure at the alternate site.

* **Augmentation of Staff**. As the situation comes under control, additional staff will be activated to provide other services and functions, as

necessary. The Unit Leader will oversee this, while staff members who are knowledgeable in the central administrative functions execute

it. They will reestablish core business functions that are critical to the day-to-day operation of the Unit. Initially they will focus on

determining what key activities need to be supported during the early stages after the event, and working with IT establish connection to

the college’s systems. These key activities include:

o To be responsible for the locating and tracking of employees.

o In conjunction with other staff, they will recover critical files.

o To be responsible for the recruitment and hiring of new employees, in conjunction with Human Resources during the recovery process.

o To be responsible for the tracking of employee benefits in conjunction with Human Resources, during the recovery process.

* + **Amplification of Guidance to Unit Staff**. Additional guidance will be provided to all personnel in regards to duration of alternate

operations and include pertinent information on payroll, time and attendance, duty assignments, etc.

* + **Development of Plans and Schedules for Reconstitution and Termination**. As soon as feasible, preparation of communication, vital

records and databases, and other activities to transfer operations back to primary facility will begin. Circumstances may dictate that a new

primary facility is designated and subsequently occupied.

**Phase 3: Reconstitution**

* **Reconstitution Process**. The Unit will develop general guidance and policy on ending alternate operations and returning to a non-

emergency status at the designated primary facility. The Unit provides the College EOC or the Division of Facilities with an assessment

of the damages. **Responsibility:**

* + - * Damage assessment
* **Reconstitution Procedures**. The Unit will establish specific actions to ensure a timely and efficient transition of communications, direction

and control, and transfer of vital records and databases to primary facility. Every effort should be made to mitigate the loss of critical or

vital information. The restoration of data is prioritized based on PSC’s IRM Disaster Recovery Plan. In the event of loss of data or

telecommunications alert the appropriate member of IRM and inform that person of importance of the information so it can be prioritized

properly for the Unit. The nature of the event could render part of all of Unit facilities unavailable for normal use. Materials that are

needed for the recovery or resume process will have to be requisitioned through Purchasing.

* **After-Action Review and Remedial Action Plans**. The Unit will develop a team to assess all phases and elements of the alternate

operations and provide specific solutions to correct any areas of concern. The Functional Leader will meet with all staff and make any

necessary changes.

**Ensure proper training and cross training of all Unit personnel.**

See Unit Leader Checklist

**See Appendix \_\_\_\_\_\_\_\_\_ for Unit call tree**

(insert # here)

**See Appendix \_\_\_\_\_\_\_\_\_ for Inter-Unit call tree**

(insert # here)

**See Appendix \_\_\_\_\_\_\_\_\_ for External contacts**

(insert # here)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Table 2.3.C. Personnel and Responsibilities** | | | | |
| Roster  Unit  Personnel:  **ERG** |  | Individuals performing duties (by facility) | | |
| Phases | Duties | Insert facility name or location | Insert facility name or location |
| **1.**  **Activation and**  **Relocation** | 1. Alert and Notification  2. Initial Actions  3. Deployment and Departure  4. Transition to Alternate  Operations  5. Site Support  Responsibilities |  |  |
| **2.**  **Alternate**  **Operations** | 1. Execution of Essential  Functions  2. Establishment of  Communications  3. Support and Contingency  Responsibilities  4. Staff Augmentation  5. Development of Plans and  Schedules for  Reconstitution |  |  |
| **3.**  **Reconstitution** | 1. Coordination and  Recovery  2. Establishment of  Communications  3. Transition to Primary  Operations  4. Notification |  |  |
| **Non-ERG** | **This will be dependent on the building/site rendered inoperable. Available personnel from all sections or sites**  **may help with relocation and set up.** | | | |
| **Readiness** | **This will be dependent on the building/site rendered inoperable. Available personnel from all sections or sites**  **may be asked to respond without or without warning or during duty or non-duty hours.** | | | |

**Section 2.4. Delegation of Authority**

These specify who is authorized to make decisions or act on behalf of the Unit Leader or other key individuals. They are specific and limited and

are used for specific purposes during COOP emergencies. Delegations should be **predetermined** and **documented in writing.**

Delegations of authority have several purposes, including, approving emergency policy changes, approving changes in Standard Operating

Procedures (SOPs), empowering designated representatives to participate as members of interdepartmental emergency response teams to act on

behalf of the Unit Leader, making personnel management decisions, approving commitment of resources, signing contracts.

Each key position – VP, Director, Coordinator, etc. has decision making authority for several key areas. Address these here:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Table 2.4.A. Delegation of Authority** | | | | | |
| Delegated  Authorities | Position | Authority | | | |
| e.g Unit Leader |  | | | |
| e.g. Administrator |  | | | |
| Add other key positions | and the associated authorities. | | | |
| Delegation  Circumstances | 1. Effective: Unit Leader or key position holder out of contact, or authority delegated by Unit Leader or key position  holder  2. Termination: Authorities in contact and can assumes duties | | | | |
| Assigned Authority | Authority | | Primary (Title) | Secondary (Title) | Tertiary (Title) |
|  | |  |  |  |
|  | |  |  |  |
|  | |  |  |  |
| *Add rows if needed* | |  |  |  |
| Limitations | Address financial, decision making limitations and authority to re-delegate functions or activities to initial authority  holder or other holders. (Address each of the title holders mentioned in the assigned authority sub-section.) | | | | |

**Section 2.5. Orders of Succession**

These are provisions for the assumption of senior Unit leadership positions during an emergency when the incumbents are unable or unavailable

to execute their duties. They allow for an orderly and predefined transition of leadership.

Orders of succession are different from delegations of authority in that delegations of authority are specific and limited. For example, they may

take effect during periods when those in charge are unavailable due to travel. Successors are vested with most of the authorities and powers of

the incumbent.

Succession to office is critical in the event that the Unit leadership is unavailable, debilitated, or incapable of performing their authorized

duties, roles, and responsibilities. Orders of succession provide for the orderly and predefined assumption of senior Unit offices during an

emergency in the event that any officials are unavailable to execute their legal duties.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Table 2.5.A. Orders of Succession** | | | | | |
| Conditions for  Succession | Unit Leader or key position holder unable or unavailable to execute their duties (extended period of time). | | | | |
| Method of  Notification | *Address how the successor will be notified as well as external and internal personnel as well.* | | | | |
| Succession  by Position | Key Postion Title | Primary Succession  Title | Secondary Succession  Title | Tertiary Succession  Title | Time, Geographical, and  Organizational Limitations |
| *e.g. Unit Leader* | *Associate Unit Leader* | *Assistant Unit Leader* | *Lead Coordinator* | *1. Lead Coordinator does not have*  *financial authority*  *2. Assistant Unit Leader lives 50*  *miles away from Boca Raton Facility.* |
|  |  |  |  |  |
|  |  |  |  |  |
| *Add rows if needed* |  |  |  |  |
| Succession  Revision  Procedures | *Address who will review and revise succession plans annually and insert completion date here.* | | | | |

**Section 2.6. Alternate Facilities**

It is assumed that, if COOP activation is required, a Unit’s primary operating facility is unavailable and that essential functions will require

relocating. All Units must identify a location, other than the normal facility, that can be used to carry out essential functions in a COOP situation.

Units should also identify secondary alternate sites in case the alternate facility is made inoperable.

If a location has not been determined indicate the approximate minimum square footage you will need.

Account for all facilities/sites.

|  |  |  |
| --- | --- | --- |
| **Table 2.6.A. Alternate Facilities Support** | | |
| Facility/Site Name | Alternate sites  location | Prepositioned Assets and Capabilities |
| 1. | Primary | *Address the assets, equipment or resources already available at the alternate site/s e.g.*  *Assets*  1. *Furniture*  2. *Internet access*  3. *Equipment*  4. *Supplies*  *Capabilities (look at any specialized equipment, items that you need to use that it can support or that you*  *will need to have supported))*  *e.g. Ability to support fume hood etc.* |
| Secondary |  |
| 2. | Primary |  |
| Secondary |  |
| 3. | Primary |  |
| Secondary | *Add rows and columns if needed* |

See Alternate Facilities Checklist for guidance.

**Section 2.7 Inter-operable Communications**

Alternate communications provide the capability to perform essential functions, in conjunction with other agencies, until normal operations can be resumed. Interoperable communications must:

* Support the execution of the Unit’s essential functions.
* Ensure the capability to communicate internally and externally.
* Permit access to data, systems, and services.

Interoperable communications must also be:

* + Redundant.
  + Available within 12 hours of activation, or less, depending on the mission and requirements of the organization.
  + Sustainable for up to 30 days.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Table 2.7.A. Inter-Operable Communications** | | | | |
| Device type/name | Internal  capability | External  capability | Data, systems or services that can be  accessed | Primary or  redundant |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
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| *Add rows* |  |  |  |  |

**2.8 Vital Records and Database**

Vital records include any document in paper or electronic format that is essential to continue operations during and after an emergency. Emergency employee’s hard drives.

As with all other aspects of this Plan, a primary and alternate must be identified to assure vital records are protected.

Identification criteria for vital records:

* Does the record/ management specialists estimate that 1 – 5 percent of records are “vital records”. They estimate that 10% percent of each Unit’s data is located on individual document affect the financial, legal or operational needs of the Unit?
* To the best of your knowledge is this record the only copy that will be protected? If duplicate records exist, will you have access to these documents as needed?

Remember that access to information stored in an electronic format may not be available during and immediately after a widespread disaster.

Based on Section 2.2 (Mission Essential Functions and Services), including Time Sensitive Functions address each function or service, including any support functions, in the following tables:

See Vital Records Checklist for guidance

See Plans and Procedures Checklist for guidance

|  |  |  |  |
| --- | --- | --- | --- |
| **Table 2.8.A. Vital Records and Databases – Documentation, Forms and Procedures** | | | |
| Mission Essential Function or Service  (Prioritized) | Associated Vital Records and Databases | Record Type | Media |
| e.g. Contacting vendors/suppliers | *1. Vendor Point of Contact Information*  *2. COOP Plan* | *1. Requisition Records*  *2. Emergency Operating Record* | *1.A.Electronic*  *1.B Paper*  *2. Paper* |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| *Add rows* |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Table 2.8.C Vital Records and Databases – Regulatory, Legal and Needs** | | | |
| Vital Record or Database  (from Table 2.8.A) | Unique/highly modified  equipment, tools, specific  databases or computer  applications needed | Regulatory requirements that  influence how the business,  data or records are managed | Completely manual process applicable to  continue this Critical Operation during a  computer or network outage? If so, name  and location of directives, forms etc. |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| *Add rows* |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Table 2.8.B. Vital Records and Databases – Documentation, Forms and Procedures** | | | | |
| Vital Record or Database  (from Table 2.8.A) | Location | Name and location of pre-  printed forms required | Name and location of written  procedures to document  execution of day-to-day function | Location of off-site storage  of documentation or forms |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| *Add rows* |  |  |  |  |

|  |  |  |
| --- | --- | --- |
| **Table 2.8.D. Vital Records and Databases – Mutual Aid and External Issues** | | |
| Mission Essential Function or Service | Title and location of cooperative  arrangements and memoranda of  understanding for purposes of mutual aid, as  alternate operating sites (address internal and  external) | Title and location of alternate vendor agreements  and/or contracts executed that define vendor’s service  during disaster events |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
| *Add rows* |  |  |

**Section 2.9 Devolution of Control and Direction**

Devolution is the capability to transfer statutory authority and responsibility for essential functions from a Unit's primary operating staff and facilities to other employees and facilities. Devolution is sometimes also called "fail over."

Devolution planning supports overall COOP planning and addresses catastrophic or other disasters that render a Unit's leadership and staff unavailable or incapable of performing its essential functions from either its primary or alternate facilities.

In the event that this occurs, you may look to pursuing agreements with other Universities or colleges or other entities with similar units and set-up. Any plan that relies on devolution as a part of it’s COOP must initiate an MOU for inclusion in this document.

**Section 2.10. Reconstitution**

Reconstitution is the process by which surviving and/or replacement Unit personnel resume normal Unit operations from the original or replacement primary operating facility.

Units should identify and outline a plan to return to normal operations **(not just maintaining essential functions)** after unit leaders or their successors determine that reconstitution operations can begin.

|  |  |  |  |
| --- | --- | --- | --- |
| **Table 2.3.C. Personnel and Responsibilities** | | | |
|  | Individuals performing duties (by facility) | | |
| Phases | Duties | Insert facility name or location | Insert facility name or location |
| **1.**  **Relocation from**  **Alternate Facility**  **to Primary**  **Facility** | 1. Alert and Notification  a. Internal  b. External  2. Initial Actions  a. Transfer equipment, vital  records, data  b. Transfer  communications  3. Deployment and Departure  4. Transition to Primary  Operations  5. Site Support  Responsibilities:  a. Set up |  |  |
| **2.**  **Operations** | 1. Execution of Functions  a. Essential  b. Non-essential  2. Establishment of  Communications  3. Procuring equipment and  supplies  4. Conduct a review of COOP  plan execution and  effectiveness. |  |  |

SECTION 3: Annexes

Appendix 3.1. Telephone Tree

The Primary/Alternate contact will be notified by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Direct supervisor of Unit or their designee

The Primary/Alternate contact will make at least \_\_\_\_ attempts over a period of \_\_\_\_ hours to notify each of the following persons, at any/all of the numbers listed:

|  |  |  |
| --- | --- | --- |
| **Name & Email** | **Contact Numbers** | **Contact Date &**  **Time**  (To be completed at the time of emergency) |
| **Primary Contact 1** (See list 1.01 to 1.08) | | |
|  | Work |  |
|  | Home |  |
|  | Pager |  |
| Cell |
|  | | |
|  | Work |  |
|  | Home |  |
|  | Pager |  |
| Cell |
|  | | |
|  | Work |  |
|  | Home |  |
|  | Pager |  |
| Cell |
|  | | |
|  | Work |  |
|  | Home |  |
|  | Pager |  |
| Cell |
|  | | |
|  | Work |  |
|  | Home |  |
|  | Pager |  |
| Cell |
|  | | |
|  | Work |  |
|  | Home |  |
|  | Pager |  |
| Cell |

|  |  |  |
| --- | --- | --- |
| **Name &**  **Email** | **Contact Numbers** | **Contact Date &**  **Time**  (To be completed at the time of  emergency) |
| 1.01 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 1.02 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 1.03 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 1.04 | Work |  |
|  |  |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 1.05 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 1.06 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 1.07 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 1.08 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |

**CONTACT 1 notifies the following individuals:**

**CONTACT 2 notifies the following individuals:**

|  |  |  |
| --- | --- | --- |
| **Name &**  **Email** | **Contact Numbers** | **Contact Date &**  **Time**  (To be completed at the time of  emergency) |
| 2.01 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 2.02 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 2.03 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 2.04 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 2.05 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 2.06 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 2.07 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 2.08 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |

**CONTACT 3 notifies the following individuals:**

|  |  |  |
| --- | --- | --- |
| **Name &**  **Email** | **Contact Numbers** | **Contact Date &**  **Time**  (To be completed at the time of  emergency) |
| 3.01 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 3.02 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 3.03 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 3.04 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 3.05 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 3.06 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 3.07 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |
| 3.08 | Work |  |
|  | Home | AM/PM |
|  | Pager |  |
| Cell |

Annex 3.2 Equipment and Supplies

**Equipment**: Describe the academic labs and program materials, curriculum and testing supplies, and other

equipment and supplies in each location necessary to continue mission essential functions.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Annex 3.2**  **30 Day Operations Supplies and Equipment** | | | | |
| Item | Description | Location | Person Responsible for  relocation or equipment to  alternate site | Person responsible for  tracking inventory |
| 1 | *List equipment/supplies, including specialized items* | *Note Location* | *Title* | *Title* |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
| 4 |  |  |  |  |
| 5 |  |  |  |  |
| 6 |  |  |  |  |
| 7 |  |  |  |  |
| 8 |  |  |  |  |
| 9 |  |  |  |  |
| 10 |  |  |  |  |
| 11 |  |  |  |  |
| 12 |  |  |  |  |
| 13 | *Add rows if needed* |  |  |  |

Annex 3.3 Go-To-Kits (GTK)

Go-to Kits are essential items that units or key personnel would need to mitigate and recover from a disaster. Emergency plans, contact lists, back-up records and databases, office supplies, radios, batteries, flashlights, are some examples that could be contained in a go-to kit.

Your Unit may have several GTKs in varying locations: Drive Away (vehicle), alternate facility, primary facility etc.

|  |  |  |  |
| --- | --- | --- | --- |
| **Annex 3.3.A**  **Unit Go-To Kit Checklist** | | | |
| Type and Location | Item | Description | Person/s Responsible maintaining  and updating kit |
| *e.g. Drive Away/Unit Leader’s*  *Vehicle* | 1 | *List equipment, supplies, and vital records including specialized items* | *Title* |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |
| *e.g. Primary Facility #1/Bldg 55, Rm*  *103* | 1 |  |  |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

All employees, especially essential employees should have a personal GTK containing supplies and equipment that they need, should they be required to stay extended hours to continue or resume mission essential functions. Some of these include medications, apparel, toiletries, flashlights, whistles, etc. Ensure that all appropriate Unit Staff receive a copy of this to complete and fill their GTK.

|  |  |  |
| --- | --- | --- |
| **Annex 3.3.B**  **Personal Go-To Kit Checklist** | | |
| Item | Description | Notes |
| 1 | *List equipment/supplies/medications/apparel/toiletries* | *Note Location, or conditions required e.g. refrigeration etc.* |
| 2 |  |  |
| 3 |  |  |
| 4 |  |  |
| 5 |  |  |
| 6 |  |  |
| 7 |  |  |
| 8 |  |  |
| 9 |  |  |