



FLORIDA
ATLANTIC
UNIVERSITY

(Please enter the name of Your Functional Unit, Department, School, etc.)

Unit Continuity of Operations Plan (UCOOP)

(Insert Year)

Department of Emergency Management – (561)297-2889

<http://www.fau.edu/emergency>

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Preface

Using the FAU COOP Unit Plan Template

The FAU Continuity of Operations Plan Template contains the planning required to restore operations and maintain continuity of essential University functions, subsequent to an occurrence which results in damage to University facilities or interruption of services, support systems or the academic mission.

Using this template assures that all FAU Unit plans follows a standard format that will be familiar to each member of the University community; and that each plan includes the basic information required for effective recovery and continuity of operations. As some departments are larger than others, additional forms have been created in order to accurately reflect Unit's supplies, inventory and personnel. The additional forms can be found at <http://www.fau.edu/emergency>

Once you have created or updated your Unit Plan, please 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 University wide responsibilities. Units with University wide responsibilities are typically members of the FAU Emergency Executive Team (EET).

All Units are **required** to submit their plans to the Emergency Management Coordinator by January 31st, 2014.

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

POLICY: It is the policy of the State of Florida to have in place a comprehensive and effective program to ensure continuity of essential state functions under all circumstances. As a baseline of preparedness for the full range of potential emergencies, all state agencies shall have in place a viable COOP capability, which ensures the performance of their essential functions during any emergency or situation that may disrupt normal operations. Inherent in this policy is the requirement that all State agencies periodically test, train, and exercise their COOP plans individually and collectively.

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.

A State agency's mission essential functions include those functions, stated or implied, which are required to be performed by statute or executive order; involve the legal or financial rights of the government or citizens; or directly support important administrative functions or mission-related activities, such as counter terrorism and survival of critical infrastructures.

COOP OBJECTIVE: The primary objective of the Unit COOP Plan is to ensure the capability exists to continue essential Unit 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 REFERENCES:

- *Section 252.365 2002 Florida Statutes*
http://www.leg.state.fl.us/Statutes/index.cfm?App_mode=Display_Statute&Search_String=&URL=Ch0252/SEC365.HTM&Title=->2008->Ch0252->Section%20365#0252.365
- *FEMA Continuity of Operations Programs:* <http://www.fema.gov/continuity-operations-division>
- *University Policy on Emergency Management (University Policy 4.1.1)*
- *FEMA Continuity of Operations Assessment Tool*
http://www.fema.gov/sites/default/files/orig/fema_pdfs/pdf/about/org/ncp/cat.pdf

FAU Emergency Telephone Numbers

Unit	Telephone
EH&S Main Office	561-297-3129
FAU Boca Raton (FAU Police)	561-297-3500
FAU Broward	
Davie (FAU Police) Davie (Security)	954-236-1140 954-236-1018
Fort Lauderdale - AT Building (Security) Fort Lauderdale - HE Building (Security)	954-762-5611 954-762-5352
FAU Dania Beach	954-924-7000
FAU MacArthur (FAU Police)	561-799-8700
FAU HBOI (FAU Police)	772-216-1124
University and Campus Status Hotline	888-8FAUOWL (832-8695)

ABBREVIATIONS	
List all abbreviations	List full words
Example:	Example:
COB	Campus Operations Building (FAU Building 69)
COOP	Continuity of Operations
ECC	Emergency Coordination Center (Campus)
EH&S	FAU Environmental Health and Safety
EMP	Emergency Management Plan
EOC	Emergency Operations Center (University)
EOT	Emergency Operations Team (University)
ERG	Emergency Relocation Group
FAU	Florida Atlantic University
FAU PD	Florida Atlantic University Police Department
GTK	Go-to Kit
HAZMAT	Hazardous Materials
IC	Incident Commander
MEF	Mission Essential Function
MR/PI	FAU Media Relations/Public Information
MR/PIO	FAU Media Relations/Public Information Officer
TT&E	Testing, Training, and Evaluation
UERP	Unit Emergency Response Plan

KEY TERMS
<p>Alert – Advanced notification that a disaster situation may occur. This forewarns participants of the possible implementation of the COOP.</p> <p>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.</p> <p>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. .</p> <p>Business Interruption - Any event, whether anticipated or unanticipated which disrupts the normal course of operations at a business location.</p> <p>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.</p>

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: A plan which ensures the performance of an organization's mission essential functions during any emergency or situation that may disrupt operations over a 30-day period

Emergency Coordination Center – A coordination 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 coordination 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 coordination 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 University Emergency Command Center. This serves the entire University 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 OPERATIONS, FUNCTIONS, AND FACILITIES

1.1 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).

Unit FACILITIES		
Building	Use	Location
<i>Need to</i>	<i>address all facilities</i>	<i>on all campuses/sites.</i>

1.3. Unit Contact Information

List your unit contact information here

Unit Staff Contact Information				
Name	Title	Landline	Cellular	Home
<i>First Name Last Name</i>		<i>xxx-xxx-xxxx</i>	<i>xxx-xxx-xxxx</i>	<i>xxx-xxx-xxxx</i>

SECTION 2. UNIT 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 emergencies that affect **Unit** operations directly. Campus or University-wide emergencies are described in the FAU COOP.

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 FAU 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 steam; 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 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 Group/Team), the **Unit Leader** or designee will activate this plan.

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 .

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 a hurricane, 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 may not 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 the COOP, 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.

Plan Integration: The **Enter Title (usually the COOP writer)** will ensure that its COOP is integrated with all appropriate Division, Campus and University 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
- University EOC
- Alternate Facility/Facilities
- Other points of contact: external and internal (vendors, other Units etc)

Time-Phased Implementation

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

Phase	Time Frame	Activity
Phase I- Activation and Relocation	0-12 Hours	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ Inform all personnel that the threat no longer exists. ▪ Supervise return to normal operating facility. ▪ Conduct a review of COOP plan execution and effectiveness.

Level of Emergency	Unit Leadership COOP Plan Activation Decision Matrix Impact on Unit and COOP Decision
1	<p>Impact: Disruption of up to 12 hours, with little effect on services or impact to essential functions or critical systems.</p> <p>Example: Major accident on highway or transit system.</p> <p>Decision: No COOP activation required.</p>
2	<p>Impact: Disruption of 12 to 72 hours, with minor impact on essential functions.</p> <p>Example: Computer virus, small fire or moderate flooding.</p> <p>Decision: Limited COOP activation, depending on Unit requirements.</p>
3	<p>Impact: Disruption to one or two essential functions or to a vital system for no more than three days.</p> <p>Example: Power outage, heightened Homeland Security Advisory System Threat Level.</p> <p>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.</p>
4	<p>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.</p> <p>Example: Hurricane, workplace violence, major telecommunications failure or major power outage.</p> <p>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.</p>
5	<p>Impact: Disruption to the entire Unit with a potential for lasting at least two weeks.</p> <p>Example: Explosion in/contamination of primary facility; major fire or flooding; tsunami.</p> <p>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.</p>

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 operations **on any campus or FAU site** be rendered inoperable, or functions/services disrupted but the University was still operational, what functions would you have to maintain in order to keep on serving the University 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)

Table 2.2.A. Mission Essential Functions				
Comprehensive Mission Essential Functions in Order of Priority	Personnel Roster (by Title)		Resources needed	Continuance strategy
	Primary	Alternate	Data, equipment, plans, manuals, procedures, SOPs,	In place vs in progress
1.				
2.				
3.				
4.				
5.				
6. <i>Add rows if needed</i>				

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?

Table 2.2.B. Time Sensitive Mission Essential Functions		
“Time-Sensitive” functions in Order of Priority	Full-time Personnel	Part-time Personnel
<i>Add rows if needed</i>		

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.

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?
<i>Add rows if needed</i>			

Section 2.3. Personnel and Responsibilities

Table 2.3.A. Personnel Issues and Coordination	
Family Health and Safety	University will determine if staff families will shelter-at-home or shelter-at-work, otherwise assume that all families will shelter-at-home.
Personal Go-to Kits	As per Annex 3: Personal Go-To Kit Content Requirements. This is required of ERG or essential personnel
Special Needs	Staff will notify and/or update Unit Leader or designee of any special needs. Unit Leader or designee or COOP Writer will incorporate information into plans.

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 University, 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:
 - Purchasing supplies, furniture, transportation, office equipment (non-IT and telephone) for the recovery and any temporary sites.
 - Communicating status with internal and external parties of interest.
 - Disbursing and tracking recovery funds
 - Assisting with travel arrangements for relocation purposes
 - Coordinating communications at offsite recovery locations(s)
 - Managing relocation (moving) logistics
 - Coordinate the establishment of postal mail and express mail delivery and distribution at the alternate site
 - 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 IRM 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 IRM establish connection to the University's systems. These key activities include:
 - To be responsible for the locating and tracking of Unit employees.
 - In conjunction with other staff, they will recover critical and personnel files.
 - To be responsible for the recruitment and hiring of new employees, in conjunction with Human Resources and the Division of Financial Affairs during the recovery process.
 - 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 University 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. . In the event of loss of data or telecommunications alert the appropriate member of OIT 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 Unit 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:	Individuals performing duties (by facility)			
	Phases	Duties	Insert facility name or location	Insert facility name or location
ERG	1. Activation and Relocation	<ol style="list-style-type: none"> 1. Alert and Notification 2. Initial Actions 3. Deployment and Departure 4. Transition to Alternate Operations 5. Site Support Responsibilities 		
	2. Alternate Operations	<ol style="list-style-type: none"> 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	<ol style="list-style-type: none"> 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.

There may be legal restrictions on the authorities that can be delegated. To avoid problems during an emergency, all delegations of authority should be reviewed by the Office of General Counsel.

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

See [Delegation of Authority Checklist](#) for guidance.

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 legally 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.

See [Order of Succession Checklist](#) for guidance

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 Position Title	Primary Succession Title	Secondary Succession Title	Tertiary Succession Title	Time, Geographical, and Organizational Limitations
	<i>e.g. Unit Leader</i>	<i>Associate Unit Leader</i>	<i>Assistant Unit Leader</i>	<i>Lead Coordinator</i>	1. <i>Lead Coordinator does not have financial authority</i> 2. <i>Assistant Unit Leader lives 50 miles away from Boca Raton Facility.</i>
	<i>Add rows if needed</i>				
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.

See [Alternate Facilities Checklist](#) for guidance.

Table 2.6.A. Alternate Facilities Support		
Facility/Site Name	Alternate sites location	Prepositioned Assets and Capabilities
1.	Primary	<p><i>Address the assets, equipment or resources already available at the alternate site/s e.g.</i></p> <p><i>Assets</i></p> <ol style="list-style-type: none"> 1. <i>Furniture</i> 2. <i>Internet access</i> 3. <i>Equipment</i> 4. <i>Supplies</i> <p><i>Capabilities (look at any specialized equipment, items that you need to use that it can support or that you will need to have supported)</i></p> <p><i>e.g. Ability to support fume hood etc.</i></p>
	Secondary	
2.	Primary	
	Secondary	
3.	Primary	
	Secondary	<i>Add rows and columns if needed</i>

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.

See [Interoperable Communications Checklist](#) for guidance.

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
<i>Add rows</i>				

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 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 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/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. <i>Vendor Point of Contact Information</i> 2. <i>COOP Plan</i>	1. <i>Requisition Records</i> 2. <i>Emergency Operating Record</i>	1.A. <i>Electronic</i> 1.B <i>Paper</i> 2. <i>Paper</i>
<i>Add rows</i>			

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
<i>Add rows</i>				

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.
<i>Add rows</i>			

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
<i>Add rows</i>		

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. Address with the Office of General Counsel when doing this.

See [Devolution and Control Checklist for guidance](#)

Triggers	Devolution sties and entities

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.

See [Reconstitution Checklist for guidance](#)

Table 2.10.A. Personnel and Responsibilities			
Phases	Duties	Individuals performing duties (by facility)	
		Insert facility name or location	Insert facility name or location
1. Relocation from Alternate Facility to Primary Facility	1. Alert and Notification <ul style="list-style-type: none"> a. Internal b. External 2. Initial Actions <ul style="list-style-type: none"> a. Transfer equipment, vital records, data b. Transfer communications 3. Deployment and Departure 4. Transition to Primary Operations 5. Site Support Responsibilities: <ul style="list-style-type: none"> a. Set up 		
2. Operations	1. Execution of Functions <ul style="list-style-type: none"> 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 2.11. Plan Maintenance, Testing, Training and Exercise

The Unit Continuity of Operations Plan must be updated at least annually.

The contact information for the person responsible for development and maintenance of the Plan at Location 1 is as follows:

Name:
Telephone: (W)
Email:
Campus Mailing Address:

The contact information for the person responsible for development and maintenance of the Plan at Location 2 is as follows:

Name:
Telephone: (W)
Email:
Campus Mailing Address:

The contact information for the person responsible for development and maintenance of the Plan at Location 3 is as follows:

Name:
Telephone: (W)
Email:
Campus Mailing Address:

The contact information for the person responsible for development and maintenance of the Plan at Location 4 is as follows:

Name:
Telephone: (W)
Email:
Campus Mailing Address:

The individuals identified above are responsible to:

- Review and update the Plan at least annually, based on updates to the University Continuity of Operations Plan, and changes in their operations.
- Update the Plan to include Unit organizational changes.
- Distribute the Plan to all new employees.

See [Plan Maintenance, Testing, Training and Exercises Checklist](#) for guidance.

Table 2.11.A. Plan Maintenance

ACTIVITY	PERSON RESPONSIBLE		COMPLETION DATE
	Primary	Alternate	
Schedule Unit meeting: Purpose: Discuss updates needed for Unit			
Inventory & restock supplies (see page 20) Remember to consider number of employees in Units			
Review list of mission critical operations and services			
Identify Essential Employees and confirm their availability			
Update Unit Assignment Contact Information, Emergency Call Roster, Operations, Equipment and Services Checklists			
Update and submit the property inventory for items purchased for less than \$1000			
Establish assistance / cooperative agreements for special services such as off-site storage or restoration services (See addendum)			
Establish contracts/agreements with suppliers & vendors for specialized recovery and resumption operations			
Identify computer network interdependencies (such as servers connected to University network) and coordinate with OIT to assure ability to recover or restore files			
Notify / Follow-up with Facilities Management regarding any building leaks or breaches in building integrity in your work area			
Other:			
Other:			
Other:			
Other:			
Other:			
Complete update of Unit Plan			
Distribute copies of the updated Unit Plan to Unit staff and Review changes at Unit meeting			
All Units: Forward a copy of the updated plan to the Emergency Management Coordinator			

Table 2.11.B. Testing, Training and Exercises			
ACTIVITY	PERSON RESPONSIBLE		COMPLETION DATE
	Primary	Alternate	
Annual TT&E and evaluation of lessons learned			
Leadership training			
At least one announced and one unannounced Alert and Notification test conducted every year.			
The Alternate Facility tested at least annually (include an accessibility test, security, alternate equipment and stores check, and communications capability. Also include operational capability within 12 hours and up to 30 days)			
See Alternate Facility Checklist			

Section 2.12 Program Management and Multi-Year Strategy

Using the audit tools, gaps in the plan are identified by those areas marked as “In progress” or “Not started”. Prioritize and devise strategies to address them, so your Unit is better prepared to respond to future events. List gaps in order of priority and corresponding activities or strategies to address them along with estimated costs associated.

Remember, to include any associated costs that you will have in your Unit budgeting to the best of your Unit’s abilities given expenditure limitations.

Indicate completion date terms of year (2014, 2015). **(DO NOT EXCEED 3 YEARS FROM PRESENT YEAR)**

Table 2.12.A. Program Management and Multi-Year Strategy					
GAP/LACKING AREA	ASSOCIATED ACTIVITY/STRATEGY	COST	PERSON RESPONSIBLE (TITLE)		COMPLETION DATE
			Primary	Alternate	

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
Number Number
of the following persons, at any/all of the numbers listed:

Name & Email	Contact Numbers	Contact Date & Time <small>(To be completed at the time of emergency)</small>
Primary Contact 1 (See list 1.01 to 1.08)		
	Work	
	Home	AM/PM
	Pager	
	Cell	
Alternate Contact 1 (See list 1.01 to 1.08)		
	Work	
	Home	AM/PM
	Pager	
	Cell	
Primary Contact 2 (See list 2.01 to 2.08)		
	Work	
	Home	AM/PM
	Pager	
	Cell	
Alternate Contact 2 (See list 2.01 to 2.08)		
	Work	
	Home	AM/PM
	Pager	
	Cell	
Primary Contact 3 (See list 3.01 to 3.08)		
	Work	
	Home	AM/PM
	Pager	
	Cell	
Alternate Contact 3 (See list 3.01 to 3.08)		
	Work	
	Home	AM/PM
	Pager	
	Cell	

CONTACT 1 notifies the following individuals:

Name & Email	Contact Numbers	Contact Date & Time <small>(To be completed at the time of emergency)</small>
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 2 notifies the following individuals:

Name & Email	Contact Numbers	Contact Date & Time <small>(To be completed at the time of emergency)</small>
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 <small>(To be completed at the time of emergency)</small>
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, and curriculum and testing supplies, and other equipment and supplies in each location necessary to continue mission essential functions.

Annex 3.1 30 Day Operations Supplies and Equipment				
Item	Description	Location	Person Responsible for relocation or equipment to alternate site	Person responsible for tracking inventory
1	<i>List equipment/supplies, including specialized items</i>	<i>Note Location</i>	<i>Title</i>	<i>Title</i>
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13	<i>Add rows if needed</i>			

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 3.2.A Unit Go-To Kit Checklist			
Type and Location	Item	Description	Person/s Responsible maintaining and updating kit
<i>e.g. Drive Away/Unit Leader's Vehicle</i>	1	<i>List equipment, supplies, and vital records including specialized items</i>	<i>Title</i>
	2		
	3		
	4		
	5		
<i>e.g. Primary Facility #1/Bldg 55, Rm 103</i>	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 3.2.B Personal Go-To Kit Checklist		
Item	Description	Notes
1	<i>List equipment/supplies/medications/apparel/toiletries</i>	<i>Note Location, or conditions required e.g. refrigeration etc.</i>
2		
3		
4		
5		
6		
7		
8		
9		

SECTION 4: Reference Material

4.1. Unit Glossary

Add unit specific abbreviations, terms, concepts and their definitions.