



**Guide to
Continuity of Operations Planning**

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Table of Contents**

Instructions.....1
A. Background Information for Emergency Planning.....2
B. Your Department’s Objectives3
C. More Information Regarding Your Department4
D. Emergency Communication Systems4
E. Emergency Access Information and Systems.....6
F. Your Department’s Essential Functions8
G. Your Department’s Leadership Succession13
H. Key Internal (Within UND) Dependencies.....14
I. Key External Dependencies15
J. Mitigation Strategies16
K. Recovery After the Emergency.....16
L. Special Considerations for Your Department.....19
M. Consider Home Emergency Planning for Individuals and Families.....19
N. Definitions.....20
O. Exercising Your Plan and Informing Your Staff21
P. BCP Submission21

Instructions

To be better prepared, all University of North Dakota (UND) departments and components may use this form to complete a Continuity of Operations Plan (COOP) - to describe how your department will operate during an emergency and recover afterwards to be fully operational. The intent is to help you plan not only for major disasters (e.g. total loss of a building) but also lesser interruptions to service (e.g., the computers are down). It puts planning in perspective and makes it more likely that crisis response will run smoothly. This is your Plan; feel free to augment this template to meet your needs.

The goals of a COOP and recovery are:

- To ensure that maximum possible service levels are maintained during an event, and
- To ensure that departments recover from interruptions as quickly as possible.

For guidance and more information, see the UND Emergency Management website at <http://und.edu/emergency-management/> or contact Terry Sando, senior emergency manager, at 777-5931 or by email: Terry.Sando@email.und.edu.

Department/Unit			
Plan Development	Developer		Date Plan Updated
Head of Operations	Name	Phone Number	Alt Phone Number
Email Address			

A Background Information for Emergency Planning

Continuity of Operations Planning must be reasonable, practical and achievable. We are not planning for every possibility that could cause an interruption. Instead we are planning for the effects of any interruption. For example, your building may be unavailable for many reasons (fire, flood, tornado, etc.), but the effect is still the same: you cannot work in that location.

Generally speaking, we need four things to do our jobs on campus:

- Employees/staff
- Utilities
- IT and communications
- A facility in which to work

There is no more important resource on campus than human resources. After a disaster, computer backups and new facilities are useless without staff. Before an incident or interruption occurs, share your department's continuity of operations and recovery plans with staff and co-workers. They may offer additional ideas or options that could enhance planning.

No one can predict when an emergency might happen or how severe it will be. It is prudent to plan for one, especially since these plans can be applied to any major emergency that could threaten the health and safety of the campus community or disrupt University programs and essential operations. This plan should address any kind of emergency that is severe enough to impact the UND community including an infectious disease epidemic, severe weather events, fires or explosions, hazardous materials releases, extended utility outages, floods, terrorism or mass casualty events.

In the event of an emergency, UND will have four objectives:

- Sustain the safety and welfare of University employees, students and visitors;
- Deliver academic programs to students;
- Preserve critical research; and
- Maintain critical business, finance, and infrastructure operations.

Consider the minimum number of employees necessary for maintaining your department's essential functions. Determine what type of cross-training may be needed to ensure backup for essential functions/roles if key personnel are unavailable.

In the event your facility is unavailable, some employees may be able to work from home. In the event of a catastrophic event or disaster, it would not be necessary to receive prior approval from Human Resources for staff to work from home. It would be wise to develop some general good practices, such as providing daily updates of work completed, tracking hours worked, etc. This will be especially helpful when tracking Time and Effort reporting.

Briefly describe your department's work-at-home plan:

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Providing for your staff and co-workers' well-being is recognized as one of the best ways to ensure effective recovery. If individuals and families are prepared, your department is better positioned for emergency situations. Following a disaster, basic services such as electricity, gas, water, sewage treatment, and telephones may be out of service for days or longer.

A key element of personal preparedness is the creation of a Family Preparedness Plan that includes a basic disaster supply kit. A Family Preparedness Plan template can be found on the Emergency Management Web Site, <http://und.edu/emergency-management/> and more information can be found at www.ready.gov.

B Your Department's Objectives

Considering your department's unique mission, describe your operations and service objectives. What does your department receive funding or payment to do?

Describe the priority operations of your department:

C More Information Regarding Your Department

Complete the contact information below for your department.

COOP Contact Dept. Email Address Dept. Locations	Name	Phone Number	Email

Please indicate below the principle nature of your department’s operations (check all that apply):

- | | |
|---|---|
| <input type="checkbox"/> First responder | <input type="checkbox"/> Student life support |
| <input type="checkbox"/> Operations support | <input type="checkbox"/> Research support |
| <input type="checkbox"/> Damage assessment | <input type="checkbox"/> Facilities support |
| <input type="checkbox"/> Administration | <input type="checkbox"/> Other (describe): |

D Emergency Communication Systems

Communications is the most frequent point of failure in a disaster event. Poor communications is usually at the top of customer and staff complaints. Therefore, it is important for you to carefully consider the planning items below and implement a schedule for testing your communications plan for an unexpected event. Your communications plan should include the following areas:

- Audience – Who should receive the communication?
- Responsibility – Who is responsible for the communication?
- Medium – In what way will your message be delivered?
- Content – What information will your message include?
 - Who, what, where, when, why, and how
- Timing/Frequency – How often will information be presented or updated?

After an incident on campus, one of the most important priorities will be to communicate with your staff as soon as possible. You will want to update them on the effects of the incident and current status of your department. This may also be the time to give staff alternative work plans or information regarding relocation.

After a serious disaster or major event that happens off campus, it may prevent staff and students from getting to the University. Designate a phone number in your department where staff can call and leave a voicemail message saying “I’m okay,” or a similar personal update message. This could be an administrator’s number or another designated number.

Employee Update Number: _____

Make a list of your department’s most important customers and all staff. Be proactive in developing a plan to communicate regularly with them before, during, and after an incident. Make sure to share with them your crisis communication plan.

All UND employees are responsible for keeping informed of emergencies by monitoring news media reports, UND’s web home page, UND’s Emergency Management website, by calling the UND Emergency Hotline (777-6700), email and phone alert messages. To rapidly communicate with your employees in an emergency, all departments are encouraged to prepare and maintain a

call tree. These can be easily created in an Excel file. A sample is also available from Emergency Management (<http://und.edu/emergency-management/>). You can modify the sample to fit your department’s particular needs. Call tree drills should be conducted at least every six months, or whenever there is a significant staff turnover. If you are conducting a drill, you should say, “This is a test of the [department] call tree”. This will discourage unnecessary panic.

Effective crisis communications relies on “push,” where the information is pushed and disseminated to the audience via different systems. You might want to supplement those systems with a “pull” method in which information is made available, but your staff has to access it. A department website is a good example of a “pull” method of communications. If you intend on using a website for providing updates, be sure to inform your audience of that plan and give them the appropriate URL address before and during the event.

Before a crisis, as your department shares information about business continuity and recovery planning, you may want to use newsletters, staff meetings, and other communications tools. The purpose is to make sure that information is fully shared and understood, so using a variety of communication mediums is appropriate.

When considering content and timing in communications planning use the following for guidance.

- Keep initial crisis messaging simple, report only what is known without speculation.
- Explain that more information will be provided as it becomes available.
- Direct them to any additional resources such as the department website for updates if appropriate.
- Outline procedures for follow-up by scheduling times to continue communicating and provide the additional information as promised.
- If the situation has not changed, communicate that fact. Failure to communicate effectively and frequently may escalate anxieties and contribute to further problems.

Note below the system(s) you will use to contact your employees in an emergency. departments should identify multiple communication systems that can be used for backup, after hours, when not on campus, or for other contingencies.

- | | | |
|--|---|---|
| <input type="checkbox"/> Phone | <input type="checkbox"/> Email | <input type="checkbox"/> Text messaging |
| <input type="checkbox"/> Call tree | <input type="checkbox"/> Departmental website | <input type="checkbox"/> Pager |
| <input type="checkbox"/> Instant messaging | <input type="checkbox"/> Other (describe): | |

E Emergency Access to Information and Systems

In this exciting age of technological advances, it is difficult to imagine how we could possibly work without our computers and internet access. Computer and system crashes can seriously jeopardize our work and productivity.

- What if software and data are not accessible or are corrupted?
- What if equipment (hardware) has malfunctioned or is destroyed? How would the department function if the mainframe, network, and /or Internet access were not available?
- What critical interdependencies exist between internal systems, applications and business processes? What other departments depend on the work your department produces?

Although the department will rarely be in a position to prevent catastrophic incidents, it can, at a minimum, create plans and strategies to mitigate the potential impact. For example, maintaining a list of vital records and ensures that electronic copies are maintained on more than one computer and/or on more than one system. Documents usually can be quickly retrieved or recreated if they reside on more than one system.

In the event of a network problem in which you cannot access your software, files, or emails, contact the IT support within your department to establish the nature and duration of the problem. This will be a reflection point to help decide whether or not to retrieve your vital records from their backup location and what actions can be continued.

Department IT Support Contact Information

Name:	Phone number:
Email:	

Make copies and a list of important documents and store them somewhere other than your office to ensure they are retrievable in the event of a system or computer crash. Some examples include continuity plans, insurance policies, financial account information, laboratory research notes, grade books, etc.

	Document Name (and file name)	Backup Location
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		

Essential Function:			
Recovery Time Objective (RTO):			
Essential Position Title:			
	Primary	Alternate	Second Alternate
People Responsible			
Phone Number			
What would be the effect of loss of staff on this function? This loss could be due to health concerns, furloughs, adverse weather, etc.		What is your continuity strategy for this risk?	
What would be the effect of loss of utilities on this function? Examples would be loss of electricity, gas, and water.		What is your continuity strategy for this risk?	
What would be the effect of loss of IT and comm on this function? This includes phones, computers, and internet access.		What is your continuity strategy for this risk?	
What would happen if there was an entire loss of facility on this function? This could be due to fire, tornado, gas release, etc.		What is your continuity strategy for this risk?	

Essential Function:			
Recovery Time Objective (RTO)			
Essential Position Title:			
	Primary	Alternate	Second Alternate
People Responsible			
Phone Numbers			
What would be the effect of loss of staff on this function? This loss could be due to health concerns, furloughs, adverse weather, etc.		What is your continuity strategy for this risk?	
What would be the effect of loss of utilities on this function? Examples would be loss of electricity, gas, and water.		What is your continuity strategy for this risk?	
What would be the effect of loss of IT and comm on this function? This includes phones, computers, and internet access.		What is your continuity strategy for this risk?	
What would happen if there was an entire loss of facility on this function? This could be due to fire, tornado, gas release, etc.		What is your continuity strategy for this risk?	

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Essential Position Title:			
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What would be the effect of loss of IT and comm on this function? This includes phones, computers, and internet access.		What is your continuity strategy for this risk?	
What would happen if there was an entire loss of facility on this function? This could be due to fire, tornado, gas release, etc.		What is your continuity strategy for this risk?	

Essential Function:			
Recovery Time Objective (RTO)			
Essential Position Title:			
	Primary	Alternate	Second Alternate
People Responsible			
Phone Numbers			
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What would be the effect of loss of utilities on this function? Examples would be loss of electricity, gas, and water.		What is your continuity strategy for this risk?	
What would be the effect of loss of IT and comm on this function? This includes phones, computers, and internet access.		What is your continuity strategy for this risk?	
What would happen if there was an entire loss of facility on this function? This could be due to fire, tornado, gas release, etc.		What is your continuity strategy for this risk?	

Sections F and G contain the list of your department’s key personnel and leaders - those responsible for the above essential functions. The Head of Operations and each primary person listed in an essential position are your department’s primary Essential Personnel. In an emergency, essential personnel are expected to report to work unless directed by supervisor or the Emergency Management Team not to report for health and safety reasons.

G Your Department’s Leadership Succession

The first priority in a disaster or significant interruption is to communicate with your department leadership to let them know what has happened. This contact will provide an opportunity for initial assessment and to give initial guidance as necessary. Campus leadership may also need to assist with alerting the public if necessary. List the people who can make business decisions if the head of your department or unit is absent.

	Name	Phone Number	Alt Phone Number
Head of Business Operations			
First Successor			
Second Successor			
Third Successor			

H Key Internal (Within UND) Dependencies

All UND departments and components rely on IT, Payroll, Purchasing, Business & Finance, University Police, Human Resources and Office of Facilities Management. List below are the other products and services upon which your department depends and the internal UND departments or units that provide them.

Dependency (product or service) :	
Provider (UND department):	

Dependency (product or service) :	
Provider (UND department):	

Dependency (product or service) :	
Provider (UND department):	

Dependency (product or service) :	
Provider (UND department):	

Dependency (product or service) :	
Provider (UND department):	

Dependency (product or service) :	
Provider (UND department):	

Dependency (product or service) :	
Provider (UND department):	

Dependency (product or service) :	
Provider (UND department):	

I Key External Dependencies

List below the products, services, suppliers and providers upon which your department depends. We recommend that you encourage them to prepare a continuity of operations plan.

Dependency (product or service) :		
	Primary	Alternate
Supplier/Provider		
Phone Numbers		

Dependency (product or service) :		
	Primary	Alternate
Supplier/Provider		
Phone Numbers		

Dependency (product or service) :		
	Primary	Alternate
Supplier/Provider		
Phone Numbers		

Dependency (product or service) :		
	Primary	Alternate
Supplier/Provider		
Phone Numbers		

Dependency (product or service) :		
	Primary	Alternate
Supplier/Provider		
Phone Numbers		

Dependency (product or service) :		
	Primary	Alternate
Supplier/Provider		
Phone Numbers		

J Mitigation Strategies

Considering your objectives, dependencies and essential functions, describe below the steps you can take now to minimize the impact of various types of crises on your operations. For example, you may wish to stock up on your critical supplies and develop contingency work-at-home procedures. This may be the most important step of your emergency planning process. Formulation of your mitigation strategies may require reevaluation of your objectives and functions.

K Recovery After the Emergency

Continuity and recovery are not the same. Continuity of operations planning prepares you to maintain your essential functions during a crisis. Recovery planning helps you to rebuild all of your typical functions in a more permanent location. Recovery, like continuity, does not begin after a disaster strikes. It has already begun when you and your co-workers started to fill out this template. Your communications plan, computer backup and other mitigation strategies are the very first steps in continuity and recovery. The information you have collected in the previous sections will prepare you for a quick and effective continuity response and finally, recovery.

Continuity – Relocating

Considering the essential functions described earlier in this template, if your department has an extremely short Recovery Time Objective, there may be a need for a “hot site” where you can immediately move critical operations. A hot site would be equipped with everything your department needs to continue or resume operations. Examples would be work stations and computers with duplicate software programs, vital records, supplies, special equipment, etc. A formal agreement should be in place with this service provider.

If you have a hot site, complete the following information:

Location: _____

Main Contact Information: _____

Which of your essential functions could be completed from this site?

Key supplies/equipment available:

What specialized equipment, forms or supplies would need to be acquired?

Another option is to develop mutual aid agreements with other departments on campus that offer similar services or use similar equipment as your staff. You can store duplicates of vital records, backup supplies and other key materials you might need in their offices, and perhaps plan to use a conference room as your continuity site. Conversely, your department would offer the same help to the other department. These agreements do not need to be excessively formal, but there does need to be an agreement to denote the location, main contact persons, and what space and supplies are available to document for planning purposes. The Emergency Management Office can help to facilitate these agreements.

If you have an agreement, complete the following information:

Location: _____

Main Contact Information: _____

Which of your essential functions could be completed from this site?

Key supplies/equipment available

What specialized equipment, forms or supplies would need to be acquired?

In the event of wide scale destruction on campus, you should have plans for off-campus relocation or at least some ready options. Some examples service agreements for office space and services in the local community that could be leased or rented, employees working from home, relocating to other Universities in the region. Remember to use your department's communications plan to inform your many audiences of the new location and if applicable your

limited services. What equipment would be needed at a relocation site to communicate with employees, students, vendors, and customers? Is it Web access available?

A large scale disaster at the University could disrupt or delay numerous campus services. Central purchasing, pay, and delivery services may not be able to process all requested needs of the campus. These functions may also be impacted by the disaster and may not be available for a number of weeks. Your department is encouraged to maintain contact information for its own specialized vendors, including companies and individuals providing repair services to specialized equipment. In the event of a large scale incident on campus, you may need to contact them directly.

Product	Vendor	Contact Information

Recovery

Once the University has determined that the crisis has passed, you may be asked to relocate your offices again, hopefully to a permanent location. To fully re-establish your department’s office or other work area, you will need a Recovery Inventory. This inventory is created by assessing what equipment and supplies you currently have and would potentially need to replace, to run at full operations. This could be computers, furniture, specialized equipment, and supplies etc.

Equipment/Supplies	Number	Possible Sources

If you have a more extensive list, it can be included here. Make sure your key staff have copies as well.

Once the work area has been recovered, it is time to recover your department’s critical data. Work with your information technology (IT) specialist or the University’s Information Technology Services to retrieve data that has been backed up to network drives or other storage services. Also, retrieve and reproduce any critical document that may have been lost.

Describe your plan to fully resume business operations as soon as possible after the crisis has passed. Identify and address resumption/scheduling of normal activities and services, work backlog, resupply of inventories, absenteeism, the use of earned time off, and emotional needs.

L Special Considerations for Your Department

Describe here any additional or unique considerations that your department may face in an emergency.

M For Events Impacting the Region Consider Home Emergency Planning for Individuals and Families

Employees, students and their families should plan for any type of emergency that could impact them in their home, apartment or residence hall. Don't wait—an emergency can occur at any time. Past experience has taught us that employees may not show up for work if they are concerned for the safety and security of their families. The following list of guides would be helpful for employees. Information can be accessed on the Emergency Management Website: <http://und.edu/emergency-management/>

- Family Preparedness Plan
- Emergency Procedures
- Emergency Management Websites
- NotiFind: Get Emergency Alerts

N Definitions

- **Alternate Location** – A location, other than the normal facility, used to process data and/or conduct essential functions in the event of a disaster.
- **Business Impact Analysis** – The process of determining the potential consequences of a disruption or degradation of critical and/or business functions.
- **Cold Site** – An alternate site that is reserved for emergency use, but which requires the installation of equipment before it can support operations.
- **Continuity of Operations Planning (COOP)** – The effort to assure that the capability exists to continue essential functions across a wide range of potential emergencies.
- **Delegations of Authority** – Pre-delegated authorities for making policy determinations and decisions in crisis conditions, at alternate locations, etc., as appropriate.
- **Essential Functions** – Activities, processes or functions that could not be interrupted or unavailable without significantly jeopardizing the operation of an organization.
- **Essential Personnel** – Personnel designated by their division as critical to the continuity and/or resumption of essential functions and services.
- **Facility** – A location or work space containing the equipment, supplies, and voice and data communication lines to conduct transactions required to conduct functions and business under normal conditions.
- **Hot Site** – A fully-equipped facility, which includes stand-by computer equipment, environmental systems, communications capabilities and other equipment necessary to fully support a department's immediate work and data processing requirements in the event of a disruption or a disaster.
- **Recovery Time Objective (RTO)** – The period of time in which systems, applications or functions must be recovered after an outage to prevent significant impact on business or service responsibilities.
- **Risk** – An ongoing or impending concern that has a significant probability of adversely affecting operations and business continuity.
- **Risk Management** – The discipline that ensures that an organization does not assume an unacceptable level of risk.
- **Shelter in Place** – The process of staying where you are and taking shelter, rather than trying to evacuate.
- **Vital Records, Systems and Equipment** – Records, files, documents or databases, which, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or re-creation at considerable expense. For legal, regulatory or operational reasons these

records cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct business.

- **Vulnerability** – The susceptibility of a department to a hazard. The degree of vulnerability to a hazard depends upon its risk and consequences.
- **Warm Site** – An alternate work site which is only partially equipped.

O Exercising Your Plan & Informing Your Staff

Share your completed plan with your staff. Hold exercises to test the plan and maintain awareness. Note below the type of exercises you will use and their scheduled dates.

- | | | |
|--|---|---|
| <input type="checkbox"/> Staff orientation meeting | <input type="checkbox"/> Emergency communication test | <input type="checkbox"/> Interdepartmental exercise |
| <input type="checkbox"/> Call tree drill | <input type="checkbox"/> Off-site information access test | <input type="checkbox"/> Emergency assembly drill |
| <input type="checkbox"/> Tabletop exercise | <input type="checkbox"/> Unscheduled work at home day | |
| <input type="checkbox"/> Other drill: | | |

Staff Distribution Date	
Exercise Dates	

P BCP Submission

Thank you for completing your department's All Hazards Business Continuity Plan (BCP). Please submit this plan to your Dean or Vice President for approval and identification of essential positions within your department/unit.

Name:	Title:
Signature:	Date Submitted:

Send an electronic copy of this BCP to Terry.Sando@email.und.edu