



Continuity of Operations Plan

CREATIVE

INNOVATIVE

ENTREPRENEURIAL

SPIRITED

Approvals

This Continuity of Operations Plan (COOP) was prepared by the University of North Dakota to develop, implement, and maintain a viable COOP capability. This COOP Plan complies with applicable internal policy, local, and state regulations, and supports recommendations provided in the Federal Emergency Management Agency's Federal Continuity Directive 1 (FCD 1). We submit the plan with the understanding that a number of aspects of the plan remain to be fully developed and implemented.

I hereby approve of this COOP Plan, which describes how the continuity of essential functions and activities at the University of North Dakota in Grand Forks, North Dakota will be performed in the event of an emergency that prevents normal operations.



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Date 28 Jul 2011

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1 INTRODUCTION

The University of North Dakota (UND) is committed to the safety and protection of its employees, students, facilities, and visitors. In support of this commitment, the University has critical operations that must be performed, or rapidly and efficiently resumed, in an emergency. The UND Continuity of Operations Plan (COOP) will enable the University community to maintain the infrastructure of essential functions at the institution. In this era of homeland security and domestic preparedness, universities that are not actively establishing continuity of operations plans for their campus may find themselves severely hampered in their ability to continue to serve their students, faculty, and staff following a disaster or business interruption. Emergencies can occur at any time, without warning. All emergency or crisis events will require some degree of recovery before resumption of normal activity. The changing threat environment along with recent events have raised awareness of the need for continuity of operations capabilities that will enable the University to continue the performance of essential functions across a broad spectrum of emergency events. By planning for operations under such conditions, we hope to mitigate the impact of the incident on our people, our facilities, and our campus. A separate Continuity of Business Plan will detail each college and department's critical core business processes for risk management and disaster recovery planning processes.

1.1 Purpose

It is vital that UND establish guidelines for dealing with critical incidents. Most people think only in terms of a devastating disaster like a tornado or flood, but the reality is that even small localized disruptions, such as power outages, may lead to a loss of critical functions. This plan includes instructions for continuing university operations when the normal environment is disrupted, or specific operations are taken out of service. UND will continue the following essential functions during an emergency requiring continuity of operations:

- 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.

This plan provides a framework to continue these essential functions in the event that an emergency at the University or in the region threatens operations or requires the relocation of select personnel and functions. The COOP presents our approach to begin continuity operations within 12 hours of activation, continues essential functions within the identified recovery time objectives, and maintains essential functions for up to 30 days.

1.2 Applicability and Scope

This plan is intended to provide guidance and assistance for all UND colleges, departments, units, and personnel. The COOP covers all facilities, systems, buildings, and vehicles operated or maintained by UND. It will involve input from all areas of the University, as well as follow a systematic approach. The COOP Plan supports the performance of essential functions from alternate locations and also provides for continuity of management and decision-making in the event that senior management or technical personnel are unavailable. The plan for continuity of services is to address recovery efforts and the decision making process. The events below, at a minimum, will be taken into consideration in the formation of this plan.

- Bomb Threat
- Civil Protest
- Earthquake
- Explosion
- Fire
- Hazardous Materials Incident
- Medical Emergencies
- Severe Weather
- Tornado
- Violent Incident
- Active Shooter
- Train Derailment

The UND Continuity of Operations Plan is intended to work in combination with the Emergency Management Framework and the Business Continuity Plan. This COOP will focus on how UND will attempt to continue normal operations under adverse conditions.

1.3 Authorities, Guidance and References

The following outlines significant authorities, guidance and references that influenced the development of the COOP.

- National Response Framework
- National Incident Management System
- Robert T. Stafford Disaster Relief and Emergency Act, 42 U.S.C (Federal Government disaster preparedness and assistance)
- Title 44 Code of Federal Regulations, Federal Emergency Management Agency, Department of Homeland Security (rules and regulations on Federal disaster response and recovery).
- North Dakota Century Code
 - 37-17, Civil Defense

- 37-17.1, Emergency Services
- 37-17.3, State Radio Broadcast System

1.4 Situation

The University of North Dakota is located in Grand Forks, North Dakota, on 547.8 acres in Grand Forks and elsewhere. There are 240 buildings (222 owned buildings valued at \$813,669,285 and non-owned buildings valued at \$17,918,853) and major facilities with a replacement value of more than \$814 million dollars. For the 2010-2011 academic year, a total of 14,194 students were enrolled in the University. In addition, there were 1045 full-time instructional/research faculty and 2375 full-time staff, giving a total of 3420 staff members. Our library collections boast 1,608,350 million books, 18,305 linear feet manuscripts and archives, over 11,683 map titles, in excess of 3,600 films and videos, and more than 17,100 text and images in digital collections. UND's Law Library collections boast 165,224 books, 26,358 electronic books, 102,642 microforms, 3,429 serials, 514 audiovisuals, and 33 e-references. There are 250 law students enrolled at UND.

UND supports research and scholarship in many fields. Sponsored research awards total more than \$143.3 million from all sources (federal and state agencies, industry and private foundations). UND has a nationally renowned academic medical center supporting more than 30,800 outpatient visits, and over 244 medical students in multiple locations. The Medical Library has 43,934 books, 65,408 manuscripts and archives, 1620 films and videos, and 411 digital collections.

The University of North Dakota nationally acclaimed Aerospace Sciences program includes more than 15 flight training simulators, 100 fixed wing aircraft and 13 helicopters located at Grand Forks. In addition, there are 9 small aircraft and 4 simulators under the UAS (Unmanned Aerial Systems) department with eight aircraft hangers dedicated to aircraft storage plus two other hangers (maintenance hangar and wash bay which are also available for storage when needed). The latest numbers on student enrollment for fall 2010 totals 1,924 enrolled in the various majors with the Aerospace Science program (Computer Science, Atmospheric Sciences, Earth Systems Science, Space Studies and Aviation). Of these students, 1,531 students are aviation majors.

The University's hazard identification and risk assessment resulted in a ranked and prioritized evaluation of hazards based on previous and anticipated impact to the University. Tornado or high wind events, building fires and severe winter storms offer the most significant threats to the University.

1.5 Planning Assumptions

Assumptions used to develop the University of North Dakota COOP include the following elements:

- Emergencies or threatened emergencies can adversely impact the University's ability to continue essential functions and provide support to the day-to-day operations.
- The type of disaster (fire, natural disaster, HAZMAT incident, terrorist attack) and the impact of the disaster will vary significantly.
- There will be a sufficient number of surviving and available senior managers with adequate supporting personnel to continue the essential functions of the University.
- When an emergency incident that impacts essential University functions occurs, the University will implement the COOP/BCP.
- Some level of technical resources may not be available for more than 72 hours in the affected buildings.
- Communications capabilities, transportation, and other infrastructures will be sufficiently intact to allow implementation of this plan.
- University personnel and federal, state, local, private, and military resources will be available as necessary to continue essential functions.
- Recovery of a critical subset of the University's functions and application systems will occur and allow essential operations to continue.
- Adequate training is given in the use of the COOP and all faculty and staff are made aware of its existence and their roles.
- A disaster may require student, faculty, staff, and the public to function with limited support services and some degradation of service, until a full recovery is made.

1.6 Plan Review

The University of North Dakota Continuity of Operations Plan will be reviewed annually and updated and revised as appropriate.

Interim revisions will be made when one of the following occurs:

- A change in university site or facility configuration that materially alters the information contained in a specific department's plan or materially affects implementation of the plan,

- A substantial change in response resources,
- An incident which requires review of procedures,
- New laws, regulations, or internal policies are implemented that affect the plans' contents or the implementation of the plan,
- Internal assessments and reviews, or actual responses that identify shortfalls in the plan, and
- Other changes deemed significant.

2 CONCEPTS OF OPERATIONS

The University of North Dakota COOP provides a flexible, scalable strategy to manage and recover from situations or events that have a direct adverse impact on University operations. If an incident results in serious injury or loss of University leadership, reconstitution of the leadership position will be considered and appropriate personnel reassigned, in accordance with the Orders of Succession and Delegations of Authority documentation.

Operating disruptions can occur with or without warning, and the results may be predictable or unknown. It is important that the three missions (teaching, research, and service) of the University are sustained during any emergency. First priority is always the safety of the staff, faculty, students, and visitors. The COOP focuses on campus operations and the sustenance of critical functions for the university. Campus operations for UND must be resilient and the effects of disruptions in service must be minimized in order to maintain campus trust and confidence. Effective continuity of operations planning establishes the basis for the university to maintain and recover operations after an unexpected disruption.

The objectives of this COOP is to minimize financial loss to the University or components; continue to appropriately serve students, staff, faculty, and visitors; and mitigate the effects disruptions can have on the University's long-range plans, reputation, operations, and ability to remain in compliance with applicable laws and regulations. Changing business processes (internal to the university and externally to the broader community) and new threat scenarios require the University to maintain updated and viable Continuity of Operations Plans at all times.

New business practices, changes in technology, and increased terrorism concerns, have focused even greater attention on the need for effective continuity of operations planning. This COOP will take into account the potential for wide-area disasters that affect an entire region and for the resulting loss or inaccessibility of staff. This plan also considers and addresses the interdependencies of all University units as well as infrastructure. In most cases, recovery time objectives are now much shorter than they were even a few years ago, and for some unit's recovery time objectives are based on hours and even minutes.

Departments and agencies of the University should proactively incorporate continuity of operations considerations into business process development to mitigate the risk of service disruptions. In creating an effective COOP, university components should not assume a reduced demand for services during the disruption. In fact, demand for some services may increase.

Following initial crisis response and life safety efforts, focus will shift to continuity of operations, including the functions, systems, and facilities, in an effort to fully restore operations of the University. When necessary, reconstitution may require use of alternate locations, acquisition and installation of equipment and communications, and placement of personnel.

2.1 Implementation Conditions

Continuity of operations planning is the process whereby the University and its subordinate components attempt to ensure the maintenance or recovery of operations, including services, when confronted with adverse events such as natural disasters, technological failures, human error, or terrorism.

The UND COOP is implemented in response to an emergent situation or any other situation that disrupts normal University operations. The plan can be implemented fully or partially. The decision to implement the COOP is tailored to the specific situation and is based on the event's projected or actual impact and severity.

Activation of the COOP can occur under any of the following conditions:

With Warning. It is expected that in many cases, UND will receive a warning of at least a few hours prior to an incident. This will enable full execution of the COOP with the complete and orderly alert, notification, and deployment of key personnel to assembly sites or pre-identified deployment locations before the incident takes place. Notifications will occur through email, telephonic, and other mass notification methods, using standard procedures developed by the University of North Dakota and authorized by the President and Vice President of Finance and Operations..

Without Warning. Execution of the COOP Plan following an incident that occurs with little or no warning will depend on the severity of the event and the number of personnel affected. COOP team personnel and Building Safety and Security Representatives (BSSRs) should expect to be alerted at all hours, depending on the nature of the emergency. Notifications will include a specified report time and location. This communication may occur through email, telephone, and other mass notification methods. Under certain circumstances, in-person notification may be necessary. During activation of the COOP, UND's operating hours for essential functions will remain 24 hours a day, seven days a week. As additional services become available, regular operating hours for each of these will be determined and

announced. Regardless of the warning condition, the University will deploy the most critical resources first and other resources will follow as needed.

This plan recognizes that while technology is the primary basis for concern, an enterprise-wide, process-oriented approach that considers technology, business processes, testing, and a communication strategy, is critical to building a viable Continuity of Operations Plan.

Each college, school, department and component of the University is required to participate in the development of a Business Continuity Plan to address disruptions. These plans will augment this Continuity of Operations Plan.

The Business Continuity Plan will include:

- Operations Impact Analysis
- Risk Analysis
- Risk Assessment
 - Plan Components
 - Strategy
 - Prevention Measures
 - Mitigation Measures
 - Emergency Response
 - Unit Continuity and Succession of Leadership
 - Emergency Communications
 - Resource Management and Logistics
 - Mutual Aid (Internal and External)
- Training and Awareness
- Exercise and Testing

The university will ensure coordination with the following external agencies:

- The North Dakota Department of Emergency Services
- The City of Grand Forks
- Grand Forks County
- State Board of Higher Education
- The North Dakota University System
- Other agencies as determined that will facilitate COOP planning

2.2 Senior Leadership Responsibilities

University senior leadership including deans, vice presidents, associate vice presidents, directors, and equivalents are responsible for:

- Allocating sufficient resources and knowledgeable personnel to develop the Continuity of Operations Plan;
- Developing a continuity and succession of leadership section;
- Setting policy by determining how the institution will manage and control identified risk;
- Approving the COOP on an annual basis;
- Conducting and documenting a continuity of operations risk assessment annually that identifies critical operations; and
- Ensuring the Continuity of Operations Plan is kept up-to-date and employees are trained and aware of their role in its implementation.

Senior leadership, as noted above, is responsible for identifying, assessing, prioritizing, managing, and controlling risks. They must ensure necessary resources are devoted to creating, maintaining, and testing the plan.

The effectiveness of business continuity planning depends on the University's leadership commitment and ability to clearly identify what makes existing operations processes work. Each college, school, department, or component must evaluate its own unique circumstances and environment to develop a comprehensive COOP.

2.3 President's Executive Council

The Presidents Executive Council (PEC) is an advisory body for the University community on issues related to an emergency. The PEC will not respond to the scene nor will they manage the initial response to an incident. The PEC is responsible for:

- Determining the scope and impact of the incident,
- Prioritizing emergency actions,
- Identifying impacts to operations requiring continuity actions to be undertaken,
- Managing and directing the activities of the departments that will be involved in response and recovery,
- Disseminating timely, accurate and appropriate information through University Relations as appropriate to University faculty, staff, students and patients, and to the news media, and
- Coordinating with federal, state, local officials, military, private businesses, and other institutions, as appropriate.

The President in consultation with the Vice President of Finance and Operations will determine if the Presidents Executive Council needs to be augmented with additional University personnel. The incident and the corresponding response will determine team make-up and functions.

2.4 Emergency Management Teams

Emergency Management Team (EMT) has a core team and is augmented by personnel from departments, units, and schools from across the University. Any organizational element that has a role in continuing or restoring essential functions is considered part of this team. Overall, Emergency Management Teams are responsible for:

- Determining the scope and impact of the incident on operations,
- Prioritizing and implementing continuity and recovery actions,
- Managing and directing the activities of department personnel involved in continuity and recovery,
- Deploying requested resources and equipment for continuity operations,
- Providing status reports to the Operations Center/PEC,
- Requesting any additional resources and equipment needed to continue essential functions,
- Implementing their departments reconstitution plan, and
- Providing facts to support the dissemination of timely, accurate and appropriate information.

2.5 Essential Functions

The University of North Dakota will continue the following essential functions during an emergency requiring continuity of operations:

- 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.

These essential functions guide the continuity planning efforts of all departments across the University. The supporting departmental COOP captures unit-specific actions that will allow continuing functions.

2.6 Essential Personnel

Essential personnel must be prepared to sustain essential functions remotely or from a relocation site for a period of up to 30 days. If a relocation site is used, staff will receive an orientation briefing regarding administrative issues from site staff upon arrival at the site. Supplies and equipment needed to perform essential functions will be pre-positioned, but individuals are responsible for their personal items. The University relies on human capital resources and their flexibility to assist EMT team members and the rest of the University population in an emergency. University leadership is expected to:

- Be fully informed and understand human capital tools, flexibilities, and strategies;
- Regularly review and update personnel contact information and notification protocols to assure that information remains current;
- Ensure employees have a clear understanding of their role in an emergency; and
- Develop, review, and update emergency guides as needed.

2.7 Alternate Facilities

UND recognizes that normal operations may be disrupted and that there may be a need to perform essential functions at alternate sites or facilities. The University's footprint makes it less likely that an emergency situation will require the relocation of all University operations. As such, the PEC has identified two locations on campus as their primary and secondary command center.

Individual departments will identify in their COOP primary and secondary operating locations for their COOP teams. In addition, depending on the issue, UND, through cooperative agreements and mutual aid agreements completed or under development, also has access to additional facilities outside the area that could support the essential functions of the University.

2.8 Orders of Succession

In the absence of, or in the event that the President is unable to perform the duties as the leader of the University, the duties of the President will be assumed by administration staff in the following order:

1. Vice President for Academic Affairs and Provost
2. Vice President for Finance and Operations
3. Vice President for Student Affairs

Departmental COOP will outline unit-specific orders of succession.

3 CONTINUITY OF OPERATIONS PLANNING PROCESS

The University continuity of operations planning process reflects the following objectives:

- Continuity of operations planning is about maintaining, resuming, and recovering the business, not just the recovery of the technology;
- The planning process should be conducted on an enterprise-wide basis;
- A thorough business impact analysis and risk assessment is the foundation of an effective Continuity of Operations Plan;

- The effectiveness of a COOP can only be validated through exercising or practical application; and
- The COOP will be updated at least annually to reflect and respond to changes at the University or its service provider(s).

The university will conduct continuity of operations planning on an enterprise-wide basis. Colleges, schools, departments, and units must consider the critical aspects of its operations in creating a plan for how it will respond to disruptions. This plan is not limited to the restoration of information technology systems, services, or data maintained in electronic form, as such actions, by themselves, cannot always put a unit back in operation. Without a COOP that considers every critical business function, including personnel, physical workspace, and similar issues, the university may not be able to resume or maintain its teaching, research, and community service missions at an acceptable level. The university recognizes the systemic impact that service disruptions may have on the integrity of the university.

On pages 20 and 21 of the Emergency Management Framework, there is a list of 39 incidents that can impact UND operations. Included on these pages is a broad University risk assessment of emergency incidents through the probability of occurrence and the estimated impact on health, safety, property, and the environment. This list is a good starting point for component Business Impact Analysis (BIA) and risk assessments. The University's consolidated COOP will be consistent if all components use this list as a starting point for their BIA and risk assessment to evaluate operational requirements. This phase may initially prioritize operational processes based on their importance to the institution's achievement of strategic goals and maintenance of safe and sound practices.

3.1 Essential Equipment and Information

The entire University community relies heavily on the Information Technology Department and associated communications infrastructure for communications, networking, data management, information security, and help-desk support. As such, the Information Technology and Communication COOP and information technology and communication disaster recovery are intimately connected to effective continuity operations.

3.2 Vital Records, Systems and Equipment

The COOP will provide for the protection, accessibility, and recovery of UND's vital records, systems, and equipment. These are the records, systems, and equipment that if irretrievable, lost, or damaged will materially impair the University's ability to carry out essential functions and to continue to conduct business.

UND, through Department COOPs, has identified those vital records and databases which must be available to support performance of the designated essential functions. The University of

North Dakota has also identified vendors and contractors available to support restoration of said resources.

3.3 Communications

Interoperable and resilient communications form a critical component for a successful University COOP capability. Internal communications systems must support connectivity to other departments, students, faculty, staff, their families and visitors under all circumstances.

To ensure the provision of critical emergency communications, UND relies on layers of technological tools with the expectation that different tools may work at different times during continuity operations. The following communication tools will support University COOP operations:

- Voice lines
- Fax lines
- Data lines
- Cellular phones
- E-mail
- University home page postings
- Instant messenger services
- Blackberry and other personal digital assistants (PDAs)
- Radio communication systems

3.4 Public Information

University Relations serves as the authorized Public Information Officer (PIO) for the University. All public information and media releases must be coordinated by University Relations staff with assistance from other University departments and personnel.

In the event that regular telecommunications on University property are not available, University Relations will establish a media relations site at a designated location. Information will be available there for the news media and, where possible, for faculty, staff, and students.

During critical incidents, University Relations will work with each organizational unit to gather accurate and substantial information regarding the situation and details of the University response. The University PIO, working with PEC members, city and county PIOs, as appropriate, will provide notification to faculty, staff, students, and the general public on progress toward recovery.

4 PLAN IMPLEMENTATION

The Continuity of Operations Plan at the UND will transition through three phases. These phases are:

- Activation and Relocation
- Continuity Operations
- Reconstitution

The COOP is activated based on known or anticipated threats and emergencies that may occur with or without warning. Once a disruption to operations exists, the period of COOP Plan implementation begins.

4.1 Activation

The decision to activate the plan will be based upon the best available information, previous experience, and upon the advice of University leadership, and local emergency services agencies. It is the responsibility of the Operations Center to monitor message traffic, media and the North Dakota Department of Emergency Services to ensure that emergency information messages reaches the University leadership, if an incident is identified or predicted. Once information on an incident is received, UND uses an executive decision-making process to review the emergency situation and determine the best course of action for response and recovery.

Decision will focus on the way in which the emergency event may impact the capabilities of UND to provide its mission critical and essential functions. To maintain flexibility in the variety of situations that could trigger an activation or partial activation of the COOP, all aspects of the emergency will be considered before recommending a course of action. Recommended decisions and impacts may be modified based on the actual events. Once the decision is made to activate the COOP, the following actions may be required.

- Notify Building Safety and Security Representatives of impending activation and relocation requirements;
- Notify affected local, state, and regional agencies;
- Activate plans to transfer to alternate facilities if required;
- Instruct advance team to ready alternate facilities;
- Notify EMT personnel regarding activation of COOP and their status;
- Prepare non-prepositioned documents and equipment required for essential functions for transport to the alternate facilities;
- Secure original facilities; and
- Move to the designated alternate facilities and check in.

Once the decision to activate the COOP is made the EMT will be notified of activation. The full extent of the University's communications tools will be used to contact EMT personnel, and existing procedures for broadcasting emergency notifications will be followed.

4.2 Relocation

After receiving the activation notification, EMT members will gather personal effects and assemble at the alternate location, if designated in the notification message.

- The University COOP Coordinator initiates activities to support actions taken by the departments, this may include guidance to non-COOP personnel as well as the public (e.g., reduction in services or operational hours).
- The Departmental COOP coordinators ensure their alternate facility is ready to receive the Departmental COOP team members.
- Within two hours, activated staff assembles at the alternate site location.
- Within each affected department, leadership confirms the safe evacuation of staff from facilities, if applicable, and account for personnel throughout the duration of the COOP event.
- Supervisors and managers make contact with staff under their span of control via use of staff contact list.

5 CONTINUITY OPERATIONS

UND will perform any essential functions determined to be critical to University operations from the alternate facilities using temporary work orders or procedures as required. Responsibilities will be assigned to personnel in order to maintain essential functions and additional staff will be activated as required to provide other services and functions as necessary. The PEC will provide additional guidance to all personnel regarding the duration of alternate operations and include pertinent information on payroll, time and attendance, duty assignments, etc. Normal lines of communication will be reestablished within the University to external agencies, and to the public as soon as possible. These procedures are detailed in each of the appropriate Department COOP. Activities during the continuity of operations phase include, but are not limited to:

- Reviewing communications traffic, situation reports, or other reports related to the event;
- Coordinating with appropriate internal and external organizations to gather information;
- Assessing the impact, damage or potential damage, or response requirements of the incident through the Operations Center;
- Coordinating and acquiring any necessary assistance;
- Coordinating with COOP members on response activities;

- Executing activities that continue essential function operations;
- Compiling updates and briefings on the status of the event, actions completed, actions in progress, and potential impact to specific departments;
- Evaluating and determining changes in EMT staffing requirements based on essential support function needs;
- Providing additional guidance as required by the situation to non-designated employees through available means;
- Reprioritizing and recommending future response actions;
- Initiating reconstitution planning, both internal and external;
- Providing or requesting assistance to (or from) the University's PEC Team response, as necessary;
- Conducting information-sharing activities with relevant University entities to assist in planning and conducting response operations;
- Ensuring the Presidents Executive Council is apprised of departmental activities;
- Keeping a record on actions taken and financial commitments; and
- Ensuring timely and accurate reports are prepared and disseminated as they relate to event response operations.

6 RECONSTITUTION

Reconstitution involves actions needed to help the University return to full, normal operations. While a majority of actions taken to continue essential functions following an emergency are the same, there are unique characteristics to every situation that will impact how the response actions are carried out. As soon as feasible, planning and preparation for demobilization and the transfer of communication, vital records, databases, and other essential activities back to the primary facilities will begin. The options for reconstituting normal operations include:

- Return to the normal department facilities
- Transfer operations to a long-term temporary site
- Transfer operations to a new, permanent location

Reconstitution procedures will be put into action when the University leadership and appropriate emergency response officials confirm that the emergency situation has ended and is unlikely to recur in the foreseeable future. Circumstances may dictate that new university facilities have to be designated and subsequently occupied. A University Reconstitution Manager will be designated and will be the central coordination point for this phase. The University Reconstitution Manager will work with the PEC to facilitate a smooth transition to normal operations. The University will develop general guidance and policy on demobilizing alternate operations and returning to a non-emergency status at the designated primary facilities. As soon

as possible following EMT deactivation, the Operations Center will convene a team to collect information on critical issues requiring leadership attention, lessons learned, and best practices associated with the response. The information gathering effort will focus on identifying what did and did not facilitate response efforts and on developing recommendations to improve procedures for future event response operations. All information is documented for future reference and is used to update planning documents and operating procedures. Once developed, new or updated procedures should be evaluated for effectiveness in an exercise.

6.1 Reconstitution Scenario Specific Considerations

Two general planning scenarios and specific considerations are provided. The specific scenarios are:

1. Loss of access to a facility or facilities
2. Loss of services due to a reduction in workforce

6.1.1 Scenario – Loss of Access to Facility/Facilities

Unique department assumptions will be considered when the COOP is activated due to the loss of access to a facility or facilities, as well as implementation actions that will be enacted to mitigate the impact to UND.

Unique assumptions:

- If the facility is an academic building, the Vice President of Academic Affairs will be heavily involved in identifying alternate classroom space.
- Some buildings with research will present long-term recovery issues due to potential hazardous materials challenges.
- Insurance and Risk Management personnel will be available to support damage assessment activities.

Implementation Phases:

Activation: The COOP will be activated during the transition from emergency operations crisis response actions phase to recovery management actions.

Continuity Operations

- For localized facility or facilities access issues, the affected building safety and security representatives will implement their COOP and engage the Operations Center to assist in identifying alternate space requirements.

- During an event that leaves residents and guests without shelter for a significant period of time, those affected will be relocated according to the strategy in the Housing COOP.
- If a housing facility or portion of a facility is deemed uninhabitable, displaced residents will be assigned new permanent housing in order of priority and availability.

Reconstitution: All assets and capabilities of the University will be leveraged to facilitate the return to normal operations.

6.1.2 Scenario – Loss of Services (Reduction in Workforce)

Unique department assumptions will be considered when the COOP is activated due to the loss of services from a reduction of workforce, access to a facility or facilities, as well as implementation actions that will be enacted to mitigate the impact to UND.

Unique assumptions:

- The reduction in workforce will be widespread, making redistribution of resources across communities unreliable.
- The impact of the event is a continuously evolving process, rather than a discrete event, with ongoing adverse effect that can increase exponentially.
- Vital systems are available and accessible to staff via telecommuting.
- Some employees responsible for supporting critical systems may work from locations other than their offices (telecommuting), and extended telecommuting operations will be supported if necessary.
- Departments have identified alternate work arrangements such as alternate work schedules, and remote support to deal with emergencies that create a reduction in workforce.
- Should the reduction in workforce be significant, it may be necessary for services to be prioritized and those deemed as non-essential be reduced in some manner.
- If the reduction of workforce is due to a pandemic, the University will follow recommendations from the Centers for Disease Control and Prevention and the World Health Organization.

Implementation Phases:

Activation: Due to the potentially slow evolution of the event, the University will monitor the situation closely and keep EMT members on alert and advised of changes.

The EMT will not collocate to manage the response; social distancing practices will be employed if the event is a pandemic.

Continuity Operations: During the lifespan of the reduction of workforce, activities at the University will slowly be minimized in response to the situation. The reduction may unfold as follows:

- Normal operations will continue with the exception of increased surveillance for potential local impacts.
- There will be restrictions on UND-related travel during a pandemic.
- Throughout the event, there will be continued development, refinement, and deployment of the incident-specific action plan.
- If the event is a pandemic, there will be a potential closure of classroom instruction, which will move to the closure of all classroom instruction and human-contact educational activity.
- Research activities will have to be assessed and may be discontinued.
- During a pandemic, there will be a quarantine of incoming personnel from involved regions.
- Only essential personnel will be allowed at their work-sites.
- Communications internally and externally will be maintained.

Reconstitution: Since facilities are intact, as the reduction in workforce wanes, employees will be able to return to their regular work locations.

7 SUMMARY

In summary, the following six factors are critical aspects of effective continuity of operations planning:

- Continuity of operations planning needs to be conducted through an enterprise-wide approach.
- A thorough operations impact analysis and risk assessment are the foundation of an effective COOP.
- Continuity of operations planning is more than the recovery of the technology; it is the recovery of operations.
- The effectiveness of a Coop can only be validated through testing and exercising.
- The COOP and test results should be subjected to an outside audit done by another component of the University.
- The Continuity of Operations Plan should be periodically updated to reflect and respond to changes at the institution.