GTReady Training

Continuity of Operations Planning Basics

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What is Continuity of Operations?

COOP

- A planning effort focused on how to continue the most essential functions of an organization during an interruption (acute to large-scale).

Goal

- To facilitate a rapid response to any interruption so that an organization can resume normal operations with the least possible disruption to services.

What is Continuity of Operations?

- Think of COOP planning as a comprehensive assessment of the unit.
  - What does the unit do?
  - What are they required to do?
  - What are the most essential functions of the organization?
  - Who does them?
  - What equipment and technology is required to do it?
  - How would a leader prioritize some functions while delaying or jettisoning others?

COOP: Emergency Planning vs. Continuity Planning

- Continuity Planning discusses how a unit continues to do their core mission.
- Emergency Planning discusses how a unit responds immediately to an emergency to protect life, property and the environment.
- The emergency may require an emergency response while also causing disruptions that warrant units engaging continuity plans to continue their normal work.

Why COOP?

COOP is an Institute Initiative and has been identified as a high priority by Institute leadership.

Initiative Goals

- All units on campus have COOP plans.
- Develop comprehensive, all-hazards Institute-wide COOP plan.
- Ensure campus resources are used optimally.
- Create annual plan maintenance campaign and exercise program.
- Build a culture of resiliency on campus.

The Office of Emergency Management is the lead department for COOP planning efforts.

Institute Initiative

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Plan Development: All-Hazards Approach

- Utility issues
- Building damage
- Police activity
- Inability to access campus
- Sudden loss of key personnel and/or system(s)
- Pandemic

Plan Development: Planning Team

- Each unit has identified Plan Manager(s).
  - Responsible for leading the planning effort
  - Should coordinate with personnel within their unit who have the knowledge/experience to cover all critical functions of the unit.
    - Unit IT lead
    - Facilities resource
    - Personnel resource
    - Special situations

Plan Development: Sections

- Plan Details
- Contacts
- Critical Functions
- Key Resources
- Information Technology
- Faculty/Unit Preparedness

Plan Development: Plan Details

- Action Item Summary
  - List of all identified action items
- Department Documents
  - Compilation of all uploaded documents
- Manage Plan Access
  - Assign access privileges for your unit
    - Plan Manager
    - Plan Editor
    - Plan Viewer

- Update Plan Status
  - Due for Review
  - In Progress*
  - Complete*
  - In Review
  - Current

**changed by plan manager*

Plan Development: Contacts

- Department Contacts
  - List all unit contacts that will have a role in a recovery effort
  - Can be added as a document if the list is too long
- Key Institutional Contacts
  - List contacts at Tech, but not in your unit, that may need to assist during an emergency
- Key External Contacts
  - List contacts that are not a part of Tech
  - Examples:
    - Vendors
    - Service providers
    - Clients

Plan Development: Critical Functions

- Critical Functions
  - Any activity that must be continued throughout an interruption/emergency, or resumed soon after, to ensure either the viability of the Institute, or its ability to serve the community.

- Critical functions enable the Institute to:
  - Provide vital services
  - Maintain the safety and well-being of its community
  - Sustain the industrial and economic base in an emergency

Plan Development: Critical Functions

- A function is critical if it:
  - Preserves life, prevents injury, or protects property
  - Provides indispensable support for provision of other critical functions
  - Is required by law or regulatory authority
  - It must be continued under all circumstances/Cannot suffer a significant interruption
  - Directs or controls instruction or research
  - It provides vital support to another department, unit, or organization (with critical functions)

Plan Development: Critical Functions

- Four Principles of Critical Functions
  - All Institute functions are necessary: some are critical.
  - A critical function is a unit activity or service, not a unit name, not an object.
  - A critical function is comprised of several—perhaps many—processes and almost never is comprised of a single process.
  - A critical function is a high-value activity or an activity set that is normally performed by your unit & must be available at a sufficient level within 30 days or less if a negative event affects the campus.

Plan Development: Critical Functions

- Identify critical functions in terms of function and services, not processes.
- Examples of functions:
  - Provide undergraduate instruction
  - Pay employees
  - Provide parking for vehicles
  - Convey outgoing mail
  - Ensure restroom access
  - Provide meals for residents of university housing
- Processes are the steps needed to accomplish a function.
  - For example, "food buying", "food storage", "cooking", "serving", and "clean-up" are processes, but the function they accomplish is "providing meals for residents of Institute housing."

Plan Development: Critical Functions

- Consider a function as critical if it has a direct and immediate effect on the campus community in terms of loss of life, personal injury, loss of property.
- Consider a function as critical if it has a direct and immediate effect on the Institute's ability to maintain direction and control of instruction, research, and/or mission-critical services at sufficient levels if not continued or restarted in the shortest amount of time possible and within no more than 30 days.
- As a rule of thumb, consider a function "critical" if it is absolutely essential for teaching or research.
- Set the bar high when determining what is critical.

Plan Development: Critical Functions

Once you have identified your critical functions, you must assign each function a criticality rating (recovery priority).

- Critical 1: must be continued at normal or increased service load. Cannot pause. Necessary to life, health, security.
  - Life safety
  - Police services
  - Feed/House Institute residents
  - Student medical care
  - Hazardous waste response
- Critical 2: must be continued if at all possible, perhaps in reduced mode. Pausing completely will have grave consequences.
  - Classroom instruction
  - Campus phone/email/network services
  - At-risk research
  - Procurement
- Critical 3: may pause if forced to do so, but must resume in 30 days or sooner.
  - Research
  - Payroll
  - Course scheduling
  - Student advising
- Deferrable: may pause; resume when conditions permit
  - Routine building maintenance
  - Training
  - Marketing
  - Student programming

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Plan Development: Critical Functions

Critical Function Sections

- Once you add a critical function into Kuali, you must add supplementary information.
  - Description on function
  - Peak periods
  - Documents related to the function
  - Dependencies
  - Consequences
  - How to cope
  - Action items

Plan Development: Upstream & Downstream Dependencies

Dependencies

- How does this function depend on other functions or provide services for the completion of other functions?

Upstream

- Units or services whose reduced functioning would seriously impair your own ability to perform a critical function

Downstream

- Units or services that would be seriously impacted if your unit could not perform a critical function

Plan Development: Consequences

Consequences

- What are the possible harmful consequences that could occur if your unit was not able to restart this critical function in a timely manner?
- Understanding consequences helps explain why a function is critical and why it is a priority.

Plan Development: How to Cope

How to Cope

- How will you overcome limitations to execute the function?
  - Staffing issues
  - Communication issues
  - Facility issues
- What are the vulnerabilities in executing a function in a limited capacity?
- Are there any policies or regulations related to this function?
- Are there unique skills or equipment required for this function?
- What is the show stopper?

Plan Development: IT

The unit's IT lead is responsible for completing this section.

- Applications
  - List central (Institute-managed) and departmental (unit-specific) applications that are essential to executing functions
- Servers
  - Notate and provide details (if applicable) about unit servers
- Workstations
  - Equipment, backup process, and technical support details
- How to Restart

Plan Development: IT

How to Restart

- Recovery Strategies:
  - How and where to purchase new equipment
  - Where to get system software, related documentation
  - Environmental requirements of equipment
  - Scale of responsibility for technical support
  - Obstacles
  - Work-arounds

Plan Development: Key Resources

Key Resources

- Personnel
  - Staffing requirements
  - Teams within the unit
  - Specific skillsets found in the unit
- Equipment & Supplies
  - List pertinent office equipment and supplies
    - Consider inventory of important supplies
- Facilities and Transportation
  - Special considerations for unit facilities, utilities, and transportation
- Documents
  - Any documents related to personnel, equipment, facilities, or transportation resources of the unit.

Plan Development: Unit Preparedness

- Awareness of the plan
- Annual plan review/updates
- COOP exercises
- Standard operating procedure (SOP) development
- Cross-training on critical functions
- General preparedness

Think through how your department can be more prepared and add these as action items into your plan.

Kuali Walkthrough

Recommended Process

1. Identify planning team for the unit
2. Identify critical functions of the unit
3. Assign criticality
4. Develop strategies to execute functions
5. Identify resources needed to execute function
6. Identify action items to ensure follow through

Workshop

I will send out the training deck + reference materials after the presentation.

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