



UNIVERSITY OF
SOUTH ALABAMA

Continuity of Operation Plan
2016

CONTINUITY OF OPERATIONS PLAN

A. CONTINUITY OF OPERATIONS PLAN

This Continuity of Operations Plan (COOP) will document how the division or department will perform essential operations during an emergency situation or long-term disruption, which might last from seventy-two hours to several weeks. The plan will identify mission-critical functions, departmental communication methods, and alternate personnel, systems and locations. Each university division needs a COOP to ensure the University can respond effectively to a variety of situations.

B. DEPARTMENTAL OPERATIONAL FUNCTION

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

- | | |
|--|--|
| <input type="checkbox"/> Instruction
<input type="checkbox"/> Laboratory research
<input type="checkbox"/> Other research
<input type="checkbox"/> Administration | <input type="checkbox"/> Student life support
<input type="checkbox"/> Research support
<input type="checkbox"/> Facilities support
<input type="checkbox"/> Other (describe):
----- |
|--|--|

C. VULNERABILITY/RISK ASSESSMENT AND MITIGATION STRATEGIES

Considering your objectives, dependencies and essential functions, list below your vulnerabilities, and whether or not you can mitigate this vulnerability or area of risk. If yes, what mitigation strategies have you implemented or could you implement in order to minimize the impacts from this vulnerability/risk? This may be the most important step of your continuity of operations planning process. Formulation of your mitigation strategies may require reevaluation of your objectives and functions. Refer to attachment (A).

Vulnerability/Risk	Can you mitigate?	Mitigation Strategies
	Yes/No	
EXAMPLE: USA Emergency Operation center depends on internet access to function properly	Yes	1. Hotspot (\$480.00 annually) 2. Request priority access from IT

D. DEPARTMENT OBJECTIVES/KEY SERVICE FUNCTIONS

Describe your teaching, research and/or service objectives during an emergency.

Examples include: Backup procedure for relocation to an alternate facility or changing lectures from classroom setting to an on-line offering.

Objective 1:
Objective 2:
Objective 3:

E. DEPARTMENT CRITICAL ESSENTIAL FUNCTIONS/PERSONNEL

Critical Essential Functions: Critical essential functions are those functions that ***must*** continue or ***resume rapidly*** after a disruption of normal activities.

Do you have essential functions* within your college, division, department, area or unit?

Assessment worksheet will assist in determining whether or not your area has any essential functions. Essential functions are listed as people, places or processes that must continue functioning during a wide range of emergencies. Once the essential functions have been identified, use the section below to list those functions.)

- Yes Continue by listing essential functions and contact information below
- No Proceed to Section F

Essential Functions Listing

Essential Function	EXAMPLE: Online Learning		
	Primary	Alternate	Second Alternate
People Responsible	Dr. Brenda Litchfield	Jeff Davidson	Jason Smith
Phone Numbers	251-461-1888	251-380-2845	251-380-2727
Essential Function			
	Primary	Alternate	Second Alternate
People Responsible			
Phone Numbers			
Essential Function			
	Primary	Alternate	Second Alternate
People Responsible			
Phone Numbers			
Essential Function			
	Primary	Alternate	Second Alternate
People Responsible			
Phone Numbers			

F. YOUR DEPARTMENTS/DIVISIONS LEADERSHIP SUCCESSION

List the leadership succession for your department/division. This is a listing of people who can make operational decisions for the department or unit.

	Name	Phone Number	Alt. Phone Number
Department/ Division Head			
First Successor			
Second Successor			
Third Successor			

G. EMERGENCY ACCESS TO INFORMATION AND SYSTEMS

If access to your department’s information and systems is essential in an emergency, describe your emergency access plan below. Include your plans in the event that your building(s) are closed or the University networks are unavailable. Will you be able to access essential information?

Is your essential data regularly backed up, and adequately protected against fire or other damage to your computers and building? Data backup may consist of backup files on flash drives, hard copies, mobile devices, or cloud storage or other off-site data backup. Describe your plans to access your data in the event of emergency.

If your critical data is stored on the University storage network, confer with the University Computer Services Center to confirm how your data is backed up and how you may access it during an emergency.

All data must be protected in accordance with the University Information Systems Security Policy (<http://www.southalabama.edu/departments/csc/resources/securitypolicy.pdf>) .This document includes guidelines for handling backup media which may contain confidential data.

Identify what critical data and records are backed up, whether the backup is stored on-site or off-site. Simulate a failure scenario that tests the ability to recover “lost” critical data.

Describe how your department will respond to the loss of critical data. If telecommuting is an option for one or more of your staff, include the specifics to ensure compliance.

H. KEY INTERNAL (WITHIN USA) DEPENDENCIES

What are your department's business interdependencies? What do you need from other departments to perform critical essential functions? List below the other products and services upon which your department depends on and the internal USA departments that provides that service.

Dependency (product/service): EXAMPLE	Access to student's records
Provider (USA department):	Registrar
	Date Contacted: <u>3/28/16</u> Contact: <u>Kelly Osterbind</u> Phone Number: <u>251-460-6251</u>
Dependency (product/service):	
Provider (USA department):	
	Date Contacted: _____ Contact: _____ Phone Number: _____
Dependency (product/service):	
Provider (USA department):	
	Date Contacted: _____ Contact: _____ Phone Number: _____
Dependency (product/service):	
Provider (USA department):	
	Date Contacted: _____ Contact: _____ Phone Number: _____
Dependency (product/service):	
Provider (USA department):	
	Date Contacted: _____ Contact: _____ Phone Number: _____

I. KEY EXTERNAL DEPENDENCIES

What are your department's business dependencies?

Dependency (product/service): EXAMPLE	Medical Waste	
	Primary	Alternate
Supplier/Provider	Stericycle	Currently None
Phone Numbers/Contact	251.456.1495/Bruce Trubee	N/A
Dependency (product/service):		
	Primary	Alternate
Supplier/Provider		
Phone Numbers/Contact		
Dependency (product/service):		
	Primary	Alternate
Supplier/Provider		
Phone Numbers/Contact		
Dependency (product/service):		
	Primary	Alternate
Supplier/Provider		
Phone Numbers/Contact		
Dependency (product/service):		
	Primary	Alternate
Supplier/Provider		
Phone Numbers/Contact		

J. VULNERABILITY ASSESSMENT WORKSHEET: Refer to attachment (A) when completing.

Tier 1 = Department/Division Emergency Response Plan
Initial 72 hours or less

Condition

Tier 2 = Department/Division Continuity
Operation Plan 4-10 days of
essential operations impact

Tier 3 = Department/Division Continuity
Operation Plan 11+ days of essential
operations impact

Critical program space & facilities are damaged or not available		
Critical equipment is damaged or not available		
Centrally provided utilities becomes unavailable		
Communications via phone, fax, email, and internet becomes unavailable		
Central Information Systems are nonfunctional. Mission critical data is not available		
Faculty/Staff/Students		
Critical business partners or vendors are unable to provide goods or services		

K. EMERGENCY COMMUNICATION SYSTEMS

All USA employees are responsible for staying informed of emergencies by monitoring news media reports, USA's emergency website home page, email, and mass notification system. To rapidly communicate with our staff in an emergency, we have prepared a call tree.

Note: List 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"/> Call tree |
| <input type="checkbox"/> Mass notification systems | <input type="checkbox"/> Email |
| <input type="checkbox"/> USA web sites | <input type="checkbox"/> Text messaging |
| <input type="checkbox"/> Pager | |
| <input type="checkbox"/> Other (describe): Electronic Billboard, Siren/PA system | |

L. RESUMPTION OF NORMAL OPERATIONS

Review continuity of operational plans for modifications based on recent activities and/or drill scenarios. Identify key recovery team members and assignments.

M. COOP ACKNOWLEDGMENT AND APPROVAL

Name Date

Title

Signature

Name Date

Title

Signature

N. EXERCISING YOUR CONTINUITY PLANS & INFORMING YOUR STAFF

Share your completed continuity of operations plan with your staff. Hold exercises to test the Plan and to maintain preparedness and 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 | Exercise Dates |
| <input type="checkbox"/> Call tree drill | <input type="checkbox"/> Off-site information access test | ----- |
| <input type="checkbox"/> Tabletop exercise | <input type="checkbox"/> Unscheduled work at home day | ----- |
| <input type="checkbox"/> Interdepartmental exercise | <input type="checkbox"/> Emergency assembly drill | Staff Distribution Date |
| <input type="checkbox"/> Other drill or exercise (describe): | | ----- |
| | | ----- |

POTENTIAL VULNERABILITIES LIST

O. ATTACHMENT A

NATURAL EVENTS	TECHNOLOGICAL EVENTS	HUMAN HAZARDS	HAZARDOUS MATERIALS
Hurricane	Electrical Failure	Mass casualty Incident (trauma)	Mass casualty Hazmat Incident
Tornado	Generator Failure	Mass casualty Incident (medical/infectious)	Small Casualty Hazmat Incident (From historic events at your MC with <5 victims)
Severe Thunderstorm	Transportation Related	Terrorism, Biological	Chemical Exposure, External
Snow Fall	Fuel Shortage	VIP Situation	Small - Medium Sized Internal Spill
Ice Storm	Natural Gas Failure	Abduction	Large Internal Spill
Earthquake	Water Failure	Hostage Situation	Radiologic Exposure, External
Storm Surge	Sewer Failure	Civil Disturbance	Radiologic Exposure, Internal
Temperature Extreme	Steam Failure	Labor Action	Terrorism, Chemical
Drought	Fire Alarm Failure	Forensic Admission	Terrorism, Radiologic
Flood, External	Communications Failure	Active Shooter	
Wild Fire	Medical Gas Failure	Bomb Threat	
Dam Inundation	Medical Vacuum Failure		
Sink Hole	HVAC Failure		
Epidemic	Information Systems Failure		
	Fire, Internal		
	Flood, Internal		
	Hazmat Exposure, Internal		
	Supply Shortage		
	Explosion		
	Train Derailment		
	Aircraft Related		
	Structural Damage		