**Minnesota State University, Mankato**

**Department of**

*Enter Dept Here*

**Continuity of Operations Plan**



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| --- | --- |
| **COOP Contact** | **Department Director** |
| Name:  Title:  Phone:  Email: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name Signature  Date: |

**Revised: May 2024**

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# Introduction

Minnesota State University is committed to maintaining essential operational services to the students, staff, and visitors. Emergency planning is an essential function of all “critical” departments within the campus community. A “critical” department/service is one the University cannot operate its basic level of service without continued operational service to the campus. Some examples include:

* Utilities: Facilities Management
* Housing: Residential Life
* Security: Dispatch/Patrol
* Education: Academic Affairs

University administrative policy identifies the critical units within the University who are required to plan for emergencies/disasters. This plan is intended to assist departments in meeting the policy. Other departments are encouraged to complete the Continuity of Operations Plan (COOP) using this template.

# Purpose

The purpose of this plan is to assist critical departments within the University re-establish critical operations during an emergency. The COOP identifies critical operations with essential staff within each department to restore and/or provide continued operational services in an emergency.

# Applicability and Scope

Today’s society has a changing threat environment, this COOP is designed to address an “all hazards” approach to emergencies. The intent of the plan is not to be hazard specific but more operational specific. The University believes that there shall be consistent approach to planning for emergencies and this template is to be used as the standard across the University system.

This plan is divided into steps which identify the critical actions to be taken when an emergency occurs which affects the operations of a department. It also identifies day-to-day proactive steps to be taken by this department to ensure that critical systems are backed-up and available with limited to no interruption of service.

# Confidentiality Statement

This document, along with its supporting documents, contains confidential information and are for official use only. These documents are to be controlled in accordance with the standard university procedures for confidential information of the department and are limited, and not to be released without prior approval from VP of Student Affairs & Enrollment Management and/or the University Security Director. Distribution of this plan is limited to those individuals who need to know the information to activate and implement the COOP plan.

# Background Information for Emergency 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 MSU, Mankato 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, Minnesota State University, Mankato will have three objectives:

1. Protect life and safety
2. Secure critical infrastructure and facilities
3. Facilitate the resumption of teaching and research programs

# Authorities & References

This policy is consistent with State and Federal governmental agencies who have also been required to develop plans to ensure that critical operations are maintained during an emergency. See annex D (page 16) for federal laws and policies related to COOP.

The COOP identifies 4 different levels of emergency response at the University to this plan. This system is designed to assist departments in the decision-making process during a crisis. Levels of department action and agency impact as applied to this plan are:

|  |  |  |
| --- | --- | --- |
| **Level** | **Dept Action** | **Dept Impact** |
| 4 | No activation of plan. | Isolated incident 1-2 employees, not impacting service |
| 3 | No activation of plan, continuously monitor situation. Notify dept head. | Localized emergency affecting several within the dept, operations could be down for 1-2 hours |
| 2 | Partial or full activation of plan. Notify dept head, VP of unit and Cabinet. | Major dept emergency affecting service for up to 8 hours |
| 1 | Full activation of plan. Notify the VP of unit and Cabinet. | Disaster (dept or campus) affecting service for more than 8 hours |

**Continuity of Operations Plan (COOP)**

# A: Department Purpose/Objectives

*Identify the purpose and/or objectives your department provides, and what functions are essential to the operational continuity of services for the campus community. Explain your department operations and what objectives are critical to accomplishing your administrative goals. A department impact form is available to assist with the development of your COOP in annex A.*

|  |
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# B: Leadership and Succession

*This section should identify orders of succession to key positions within the organization. Orders of succession from the position of Vice President, Dean, Director, or Dept Chair are established to ensure the division/department can perform essential functions and remain viable in the absence of administrative personnel. Recommended practice is at least three deep.*

| Position Title | Successors |
| --- | --- |
| 1. | 1. |
| 2. |
| 3. |
| 2. | 1. |
| 2. |
| 3. |
| 3. | 1. |
| 2. |
| 3. |

# C: Designation of Authority

*This section should identify, by position, the authorities for making department decisions when the chief operation officer/dept head is absence or unavailable. Delegation of authority would transfer emergency or administrative responsibilities from the incumbent to a designee. Designation of authority should document the legal authority for making key decisions, and provide the administrative authority needed for effective operations until relieved by a higher department authority.*

**Designation of Authority Worksheet**

|  |  |  |  |
| --- | --- | --- | --- |
| **Authority** | **Delegated to** | **Conditions** | **Limitations** |
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# D: Essential Functions

*Essential functions are the activities a department determines cannot be deferred during an emergency, and should be continued under any and all circumstances. The department should prioritize each essential function based on importance of the critical services/programs provided. An essential functions decision-making matrix for helping establish whether a function meets your department essential criteria is available in annex B.*

# 1. Essential Functions

|  |  |  |  |
| --- | --- | --- | --- |
| **Priority** | **Essential Function** | **Resources Needed** | **# of Essential Personnel** |
| 1. |  |  |  |
| 2. |  |  |  |
| 3. |  |  |  |
| 4. |  |  |  |
| 5. |  |  |  |

# 2: Supporting Essential Functions

*Supporting essential activities are sub-tasks which are necessary for the success of an essential function. The following supporting essential activities, i.e., activities that must occur for essential functions to be maintained. Identify the supporting activities and the person(s) leads by name or job classification.*

|  |  |  |
| --- | --- | --- |
| **Essential Function(s)** | **Supporting Essential Activities** | **Dept Lead(s)** |
| 1. | |  | | --- | | 1. | | 2. | | 3. | | 4. | | 5. | | |  | | --- | |  | |  | |  | |  | |  | |
| 2. | |  | | --- | | 1. | | 2. | | 3. | | 4. | | 5. | | |  | | --- | |  | |  | |  | |  | |  | |
| 3. | |  | | --- | | 1. | | 2. | | 3. | | 4. | | 5. | | |  | | --- | |  | |  | |  | |  | |  | |
| 4. | |  | | --- | | 1. | | 2. | | 3. | | 4. | | 5. | | |  | | --- | |  | |  | |  | |  | |  | |
| 4. | |  | | --- | | 1. | | 2. | | 3. | | 4. | | 5. | | |  | | --- | |  | |  | |  | |  | |  | |

# 3. Staffing

*This section is intended to identify the staffing requirements for this department to perform and maintain its essential functions in critical incidents. Department staff are encouraged to cross-train with other allowable job classified positions to overlap services provided in the absence of employees. Rapid notifications of employees is necessary to prepare and maintain an efficient method of contacting essential staff in an emergency.*

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Title** | **24-hr Phone** | **Email** |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
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| 40 |  |  |  |  |

# 4. Vendor List

*List the current vendors/suppliers that provide needed supplies for essential functions for continued operations.*

|  |  |  |  |
| --- | --- | --- | --- |
| **Name/Organization** | **Phone** | **Email** | **Note** |
|  |  |  |  |
|  |  |  |  |
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# E. Continuity Facilities

Continuity facilities, or alternative work locations, are locations from which leadership and critical positions may operate during an emergency event. Internal (on-campus) and external (off-campus) alternate work locations need to be identified and documented. A memorandum of understanding (MOU) establishing parameters is recommended before a department takes physical occupancy of an alternative work location.

# Alternate Work Location

*The alternate location section should examine the requirements for determining an alternate facility and the operational risk associated with each facility. A risk assessment is vital in determining which alternate location will best service the department and campus. An alternate location worksheet is provided in annex C.*

|  |  |
| --- | --- |
| **Alternate Site #1** | **Resources/Space Needed** |
| Site Name:  Site Address:  Contact Person:  Site Phone #:  Site Email:  Agreement:  Notes: | Sq Feet:  Rooms:  Electrical:  Utilities:  Distance from campus:  Capability Time to Occupy:  Capability Length to Occupy: |
| **Alternate Site #2** | **Resources/Space Needed** |
| Site Name:  Site Address:  Contact Person:  Site Phone #:  Site Email:  Agreement:  Notes: | Sq Feet:  Rooms:  Electrical:  Utilities:  Distance from Campus:  Capability Time to Occupy:  Capability Length to Occupy: |

# F. Vital Records

*Document how your department will respond to the destruction of critical data. Identify what critical data and records, if damaged, destroyed or inaccessible, would disrupt your department operations and cause considerable inconvenience. If records are stored electronic or with a hardcopy, indicate where or how data is stored (e.g., N-drive, network, hard drive, cloud based, flash drive, etc.), and where the records can be found.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Essential File, or Function** | **Vital Record Name/Source** | **Type**  **(Electronic or Hardcopy)** | **Storage Location(s)** | **How Delivered to Alternate Facility** |
| 1. | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | |
| 2. | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | |
| 3. | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | |
| 4. | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | |
| 5. | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | | |  | | --- | |  | |  | |  | |

# G: Devolution

*The devolution section should prepare a department to transfer all of their essential functions and responsibilities to personnel at a different location should emergency events render leadership or staff unavailable or incapable of supporting current job duties. The devolution segment focuses on continuing organization operations through the transfer of statutory authority and responsibilities from an organization’s primary operating staff and facilities to another designated staff and facility following an actual or anticipated continuity event that causes an organization to lose access to its normal and continuity personnel and/or its normal or alternate facilities. A checklist for devolution manager is located at annex D.*

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# H: Reconstitution

*This phase provides general guidance and policy on ending alternate operations and returning to a non-emergency status at the designated primary facility. You will develop procedures to inform all personnel that the emergency no longer exists, provide instructions for resumption of normal operations, and ensure the timely and efficient transition of communications, direction and control and transfer of vital records and databases to the primary facility. Reconstitution is the process by which department personnel resume normal department operations as a fully functional entity at the original or replacement operating facility.*

|  |
| --- |
|  |

# I. 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.

|  |  |  |
| --- | --- | --- |
| ❑ Staff orientation meeting | ❑ Emergency communication test | **Exercise Dates** |
| ❑ Call tree drill | ❑ Off site information access test |  |
| ❑ Tabletop exercise | ❑ Unscheduled work at home day | **Staff Distribution Date** |
| ❑ Interdepartmental exercise | ❑ Emergency assembly drill |  |
| ❑ Other (describe): | | |

# Annex A: Department Impact Form:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Department Name: | |  | | | | | |
| Department Function Name: | |  | | | | | |
| Department Director: | |  | | Title: | |  | |
| Department Description: | | | | | | | |
| Does this function have to be performed at a specific time of the day/week/month/year?  🞎 Yes 🞎 No if yes, what is the requirement? | | | | | | | |
| Can this function be performed for a time at a reduced level of efficiency?  🞎 Yes 🞎 No if yes, for how long and at what level? | | | | | | | |
| How long can this function be unavailable before impacting the overall business?  \_\_\_\_\_\_\_\_\_ hours/days/weeks/months | | | | | | | |
| Does this function depend on any particular technology (hardware and/or software)?  🞎 Yes 🞎 No if yes, please describe? | | | | | | | |
| Does this function depend on any services or products provided by outside suppliers?  🞎 Yes 🞎 No if yes, please check type of supplier: 🞎 Sole 🞎 Major 🞎 Many Alternatives | | | | | | | |
| For every unit of time that this function is unavailable quantify the following: | | | | | | | |
| Unit of time | Direct Financial Loss | Legal Compliance Impact | Impact on Customer Confidence | | Loss of Supplier Confidence | | Damaged Public Image |
| 1 hour |  |  |  | |  | |  |
| 4 hours |  |  |  | |  | |  |
| 1 day |  |  |  | |  | |  |
| 2 days |  |  |  | |  | |  |
| 1 week |  |  |  | |  | |  |
| 2 weeks |  |  |  | |  | |  |

|  |  |
| --- | --- |
| What legal compliance issues would be created? | |
| Describe the impact on customer/employee/student confidence: | |
| Describe the loss of supplier confidence created: | |
| Describe the damage that would be caused for our public image: | |
| What critical documents are created, used or stored by this department function: | |
| Document Name | Purpose |
|  |  |
|  |  |
|  |  |
|  |  |
| List the non-IT related equipment that is vital to this department function: | |
| Equipment Name | Purpose |
|  |  |
|  |  |
|  |  |
|  |  |

# Annex B: Essential Function Decision Matrix:

Maybe

Maybe

**NOT AN ESSENTIAL FUNCTION**

**NOT AN ESSENTIAL FUNCTION**

**NOT AN ESSENTIAL FUNCTION**

**THIS IS A DRAFT ESSENTIAL FUNCTION**

Yes

Maybe

No

Yes

No

Yes

No

Is this function or output critical to your financial or operational capability?

Can this function or output be paused with impacting the campus community, or building safety?

Can another department perform this function or provide this output?

# Annex C: Alternate Location/Facility Information

*This annex should include general information about the alternate location/facility. Examples include the address, points of contact, and available resources at the alternate location. Show maps highlighting your facility and the alternate facility that include driving directions and available mode of transportation available. Review evacuation routes and plan emergency response plans.*

*ALTERNATE FACILITY INFORMATION*

|  |
| --- |
| *Facility Name :* |
| *Address:* |
| *Phone:* |
| *Contact Name:* |
|  |
| ***Basic Facility Specifications*** |
| *Number of Private Offices:* |
| *Number of cubicles: Loading dock:* |
| *Conference rooms? Handicapped accessible?* |
| *Number of Parking Stalls:* |
| *Back-Up Power* |
| *Dimensions:* |
| *Square Footage:* |
| *Rooms:* |
| *Restrooms:* |
| ***Office Equipment Available*** |
| *Number of desks: Computers:* |
| *Number of chairs: Internet access:* |
| *Number of telephones: Number of copiers:* |
| *Communications:* |
| *Number of commercial telephone lines available?* |
| *Cellular telephone service available?* |
| *Network Interface Ports available* |
| *Two-way radio support infrastructure?* |
| *Utilities:* |
| *Network:* |
| *Loading dock:* |
| *Rental Fees:* |
| *Existing Contractual Fees:* |
| *Utility Fees:* |
| *Communication Fees:* |
| *Time Restrictions Before Occupancy:* |
| *Time Limitations on Occupancy:* |
| *Occupancy Limitations/Restrictions:* |

# Annex D: Devolution Checklist

*This checklist is designed to assist managers in the efficient and successful execution of devolution operations during stressful events. This checklist is not intended to be a definitive answer to what should be done or inhibit the creation of additional items not listed.*

|  |
| --- |
| **Phase I: Readiness and Preparedness** |
| * Identify a Devolution Manager and establish work group * Develop/revise devolution plans, procedures, and checklists for all operations * Develop/revise orders of succession and delegations of authority * Conduct planning and information sharing meetings * Develop and maintain an essential records list * Develop and maintain an internal/external contact list for key personnel * Develop/assess Memoranda of Understanding and/or Memoranda of Agreement * Develop and conduct devolution tests, training and exercises * Test continuity systems and equipment * Develop corrective action plans that aid in the updating and maintenance of the plan |
| **Phase II: Activation and Transfer of Authority** |
| * Activation of plans * Notify, relocate, and account for personnel * Determine internal and external messaging/communications * Transition of responsibilities to the devolution counterpart/dept/agency * Review essential function priorities |
| **Phase III: Devolution Operations** |
| * Director conduct initial status meeting * Organization Head in coordination with the Director provides guidance and oversight over devolution operations, including prioritizing essential functions * Director establishes communications with supporting agencies and stakeholders * Director assumes responsibilities for the performance of essential functions |
| **Phase IV: Reconstitution** |
| * Develop and secure leadership approval to transfer all functions, personnel, equipment, essential records, etc. from the devolution/continuity facility back to normal operating facility, a temporary operating facility, or a new permanent operating facility * Provide reconstitution status reports as directed/needed * Supervise the repair/construction process * Conduct safety inspections * Ensure the operational readiness of key functions such as safety and security of employees, communications, information technology, facility infrastructure, etc., before returning to a permanent facility * Recover damaged essential records * Identify, replace, and train new personnel as needed * Develop a plan and supervise the phased transition of all functions back to the permanent facility * Provide guidance for overseeing devolution site shut-down procedures * Develop and implement a phase-down plan * Update reporting and communications requirements operating procedures * Document all lessons learned in After-Action Report (AAR) |

# Annex E: Federal Authorities & References

*The following are the authorities and references for this Federal Continuity Directive.*

AFI 10-208: USAF Continuity of Operations Program

Executive Order 12148, “Federal Emergency Management”, July 1979

Executive Order 12472, Assignment of Nat’l Security and Emergency Preparedness Telecommunications Functions

Executive Order 12656, Assignment of Emergency Preparedness Responsibilities

Federal Continuity Directive 1 (FCD 1) 2017

Federal Continuity Directive 2 (FCD 2) 2017

Federal Executive Branch Continuity of Operations (COOP) July 26, 1999

Federal Preparedness Circular (FPC) 60, November 20, 1990

Federal Preparedness Circular 65, "Federal Executive Branch Continuity of Operations (COOP)", July 26, 1999

Federal Response Plan, January 2023

FEMA 9230.1-PL, "Federal Response Plan" April 1999

FEMA Continuity Guidance Circular 1 (CGC 1) and CGC 2, July 2013

FEMA Continuity of Operations Plan Template

FEMA Continuity of Operations Plan Template Instructions

FPC 65 Federal Preparedness Circular 61, August 2, 1991

FPC 65 Federal Preparedness Circular 62, August 1, 1991

FPC 65 Federal Response Planning Guidance 01-94, "Continuity of Operations (COOP)", December 4, 1994

Homeland Security “Continuity of Operations Guidance” April 2004

Homeland Security Presidential Directive 5, Management of Domestic Incidents.

Homeland Security Presidential Directive 7, Critical Infrastructure Identification

Homeland Security Presidential Directive 8, National Preparedness

National Incident Management System (NIMS)

National Security Act of 1947

National Security Presidential Directive 51/Homeland Security Presidential Directive 20, National Continuity Policy

[Presidential Decision Directive 62](https://en.wikipedia.org/wiki/Presidential_Decision_Directive_62), May 22, 1998

Presidential Decision Directive 63, May 22, 1998

Presidential Decision Directive 67, October 21, 1998

Presidential Decision Directive 67 National Security Directive 69, "Enduring Constitutional Government", 1992

NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs

NSD 69 National Security Directive 37, "Enduring Constitutional Government", April 18, 1990

41 Code of Federal Regulations 101-2, "Occupant Emergency Program", revised as of July 1, 1998

36 Code of Federal Regulations 1236, "Management of Vital Records", revised as of July 1, 1998