



CALIFORNIA STATE UNIVERSITY, STANISLAUS

Continuity of Operations Plan (COOP)

*Per Executive Order 1014
The California Emergency Services Act in Chapter VII §8550
Division I of Title II of the Government Code*

COOP REVIEW

This sheet should be completed each time the COOP is reviewed and/or modified. The Business Continuity Coordinator is responsible to review and update this plan annually, or more frequently as needed per Executive Order 1014.

Date Issued	July 1, 2014
Date Reviewed	Annually
Reviewed by	BCP Coordinator & BCP Workgroup Members
Name of Responsible Vice President	Russ Giambelluca
Signature and Date	Signed version on file with Business Continuity Coordinator
Were changes made to the Plan on this date?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If changes were made, to which sections? (List below)	
	Initial Plan

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I. EXECUTIVE SUMMARY

The California State University, Stanislaus is a mid-size higher education institution that serves 9,000 students, 1,000 employees, and a diverse community in the San Joaquin Valley of California. The CSU Stanislaus Continuity of Operations Plan, referred to as the COOP throughout this document, provides guidance for the continuation of services to the students and community in the event of a large scale incident that interrupts normal business operations.

II. INTRODUCTION

The COOP is needed to address exceptional and adverse operating conditions such as localized threats (e.g., earthquakes, fires, floods, bombs, etc.) or global threats (e.g., Flu Pandemic). As part of the overall Emergency Operations Plan, the COOP includes a list of the plan names and the critical functions by the University Departments who are responsible to perform them. The BCPs are available online at StanReady at <https://stanready.csustan.edu>. The focus of this plan is to maintain, resume, and recover the critical functions of this higher education institution.

The COOP was originally developed as a campus wide BCP. It was developed in 2006 by a team of the University's senior administrators and department managers representing all University divisions: Business & Finance, Academic Affairs, Student Affairs, and Advancement. The business continuity planning team conducted a risk assessment and a business impact analysis. The BCP team meets as needed to review, develop, and assess the COOP over time. The document will be updated at least annually in compliance with State and Chancellor's Office orders.

The plan covers several COOP components:

- Critical Functions Identification;
- Hazard and Vulnerability Assessment (Business Impact Analysis);
- List of Business Continuity Plan names by Critical Function/Division; and
- Testing, Training, and Exercises.

III. PURPOSE AND ASSUMPTIONS

A. Purpose

The purpose of the CSU Stanislaus COOP is to ensure the continuity of University mission critical functions such as instruction to enrolled students, facility security, and employee communication. The plan identifies recovery strategies for critical functions. Although the University recognizes many important functions, this plan only covers those that are mission and time critical.

An Essential Function (as defined in the *Federal Preparedness Circular 65*) is a function that enables an organization to [Note: CSU Stanislaus uses the term *Critical Function* throughout the COOP and BCP to describe Essential Functions]:

1. Provide vital or "mission critical" services;
2. Exercise civil authority;
3. Maintain the safety of the general public; or
4. Sustain the industrial or economic base during an emergency.

B. Assumptions

1. Emergencies or threatened emergencies may adversely affect the University's ability to continue to support essential internal operations, and to provide services to students and employees or to support external agency interdependencies; and

2. Personnel, other resources from the University, other local agencies, or CSU partners not affected by the emergency or threat will be made available if required to continue essential operations.

IV. APPLICABILITY AND SCOPE

A. Applicability

This COOP applies to the personnel/employees, registered students, state owned/leased facilities and interdependent agencies, or groups within the University. This plan works in conjunction with all other University plans such as the Emergency Operations Plan (EOP), Department Business Continuity Plans (BCPs), and all other applicable policies and procedures for CSU Stanislaus.

B. Scope

The COOP strives to map out the restoration of normal operations and failed facilities or equipment with a skeletal crew and minimum resources needed to achieve this task. The focus of planning efforts are based on the “worst case scenario” which would include the inaccessibility or unavailability of University facilities and all contents necessary to support critical functions. Consideration has been given to the various services covered by this plan, and the anticipated response time required to recover critical functions under emergency circumstances for the period of sustainment.

V. CRITICAL FUNCTIONS

University critical functions are prioritized based on level of criticality following a disaster, and they must be continued under any and all circumstances. The following table shows the levels of criticality, per StanReady, that will determine our responsibilities and critical functions addressed in the BCPs.

Critical Function Prioritization	
Level of Criticality	Description
Critical 1	Must be continued at normal or increased services load. Cannot pause. Necessary to life, health, security.
Critical 2	Must be continued if at all possible, perhaps in reduced mode. Pausing completely will have grave consequences.
Critical 3	May pause if forced to do so, but must resume in 30 days or sooner.
Deferrable	May pause; resume when conditions permit.

A. Risk Analysis

A risk analysis is the process of collecting and evaluating information on risks and hazards that may impact the University’s essential operations. Risks can typically be categorized into four groups:

1. Naturally occurring events - hazards such as floods, earthquakes, fires, severe weather, and public health emergencies (e.g., infectious disease pandemic);
2. Human-related events – hazards or technological events such as: bomb threat, civil disturbance, workplace violence, mass casualty event, assaultive behavior, etc.;
3. Physical infrastructure & technological events – hazards causing catastrophic facility or technology failure or interruption such as: electrical service failure, explosion, sewer system loss, fire, HVAC failure, data system failure, communication system failure, etc.; and,
4. Hazardous materials events – hazards causing damage or exposure to people and buildings such as: chemical exposure, large chemical spills, radiologic exposures, terrorism chemical blast, etc.

B. Vulnerability Assessment

The purpose of this risk analysis is to identify vulnerabilities in operations and take steps to mitigate losses, and/or develop recovery strategies. A hazard and vulnerability assessment was conducted in 2013.

Below are the top six (6) risks that were identified in the campus wide hazard and vulnerability assessment

HAZARD AND VULNERABILITY ASSESSMENT		
TOP RISK EVENTS	PROBABILITY (FREQUENCY)	SEVERITY (SERIOUSNESS)
Assaultive Behavior/Workplace Violence	MODERATE	HIGH
Communications, Data, Info System Failure	MODERATE	HIGH
Drought	MODERATE	MODERATE
Electrical Service Failure	MODERATE	MODERATE
Facility Lock Down (any emergency causing building closure for safety)	MODERATE	MODERATE
HVAC Failure/Temperature Extremes	MODERATE	MODERATE

The following table includes all additional risks that were identified in the hazard and vulnerability assessment.

OTHER POTENTIAL RISK EVENTS	PROBABILITY (FREQUENCY)	SEVERITY (SERIOUSNESS)
Air Plane Crash, Commercial	LOW	HIGH
Bomb Explosion - human caused	LOW	HIGH
Bomb Threat	LOW	HIGH
Chemical Spill or Release - accidental	LOW	HIGH
Civil Disturbance	LOW	HIGH
Dirty Bomb/Radiologic Exposure	LOW	HIGH
Earthquake, >6 local	LOW	HIGH
Explosion - any	LOW	HIGH
Fire, Large	LOW	HIGH
Flood, Internal	LOW	MODERATE
Hazmat Incident Small Size	LOW	MODERATE
Mass Casualty Event (medical/infectious)	LOW	MODERATE
Mass Casualty Event (trauma)	LOW	HIGH
Mold/Mildew Growth	LOW	MODERATE
Sick Building Syndrome	LOW	MODERATE
Terrorism, Blast/Chem/Radiological	LOW	HIGH

University Departments identified as having critical function responsibilities have evaluated their capabilities during disruptions and have developed individual Business Continuity Plans (BCPs). The BCPs are available online at StanReady at <https://stanready.csustan.edu>.

C. Resource Requirements

University Departments identified as having critical function responsibilities have identified minimum resource requirements needed to support each critical function. The resource lists may be found within the BCPs which are available online at StanReady at <https://stanready.csustan.edu>.

For any resources that cannot be adequately safeguarded, university administrators will select alternate or back-up resources in order to ensure that critical functions are available at all times.

D. Function Dependencies

Many of the University's critical functions may rely on the availability of resources or functions controlled by another organization, including other agencies: federal, state and/or local governments; and private entities. These relationships are called critical interdependencies.

University Departments identified as having critical function responsibilities have identified critical interdependencies. These interdependent relationships can be found within the BCPs which are available online at StanReady at <https://stanready.csustan.edu>.

VI. AUTHORITIES AND REFERENCES

The California State University

- CSU Business Continuity Program - Executive Order Number 1014.

State of California

- *Continuity Planning Guidance and Plan Template. California Emergency Management Agency. December 2010*

Federal

- *Federal Preparedness Circular 65, Federal Emergency Management Agency, June 15, 2004.*

VII. CONCEPT OF OPERATIONS

A. Phase I – Activation and Relocation

1. Decision Process

The COOP is officially activated by order of the University President or designee. The plan will be activated to a level appropriate to the scope of the emergency, and as determined by the COOP Executive Team (see Section VIII). The key staff positions are as follows:

- COOP Activation Team;
- COOP Planning Team; and,
- COOP Critical Function Recovery Team.

Refer to Annex Section VIII for specific COOP coordination responsibilities.

As soon as practical following a major emergency, normal management of California State University, Stanislaus operations will be restored. Disaster assistance for affected persons will be coordinated through the Stanislaus County operational area. If major damage has occurred, the recovery aspects of this Plan will be implemented to coordinate planning and decision-making for recovery and reconstruction efforts.

Actions:

- Implementing health and safety measures;
- Protecting, controlling, and allocating vital resources;
- Restoring or activating essential facilities and systems;
- Enforcing police powers in controlling the locations; and,
- Establishing access controls, erecting traffic barricades, etc.

2. Alert, Notification and Implementation Process

As information becomes available, the Public Information Officer (PIO) or a designee will determine the best methods of communication to the campus community. The following tools are available for mass communication regarding the status of the University and alternate facilities:

- Stan Alert – Emergency Notification System
- Emergency Information Hotline (recorded message), (877) STAN-411 or (877) 782-6411
- Emergency Website, www.csustan.edu/emergency
- KCSS Radio 91.9 FM
- University Facebook, Twitter and/or other social media outlets

3. Leadership

In the event that the President is not present or is disabled, the authority and responsibility to activate the COOP shall follow this chain of succession:

Acting President

1. Provost/Vice President for Academic Affairs
2. Vice President for Student Affairs
3. Vice President for Business and Finance
4. Vice President for University Advancement
5. Vice President for Faculty Affairs and Human Resources
6. In the event that a Vice President is serving in an interim capacity, s/he shall be last in the "acting" rotation.

7. Emergency Operations Director/Chief of Police or Alternate EOC Director if aforementioned is not available.

4. Relocation

Specific procedures for relocation are available by critical function as described in various department BCPs. These BCPs are available online at StanReady at <https://stanready.csustan.edu>.

B. Phase II – Alternate Facility Operations and Recovery Strategies

1. Alternate Locations

Departments, responsible for the continuation of critical functions, maintain individual BCPs which specifically describe alternate locations. These BCPs are available online at StanReady at <https://stanready.csustan.edu>.

Alternate facilities are in the process of being identified. Departments are responsible for developing strategies for the pre-positioning of supplies, mirroring computer systems and databases at the alternate facility, or putting service level agreements in place with key vendors. For any alternate facilities that CSU Stanislaus does not own, or lease, the Departments are also responsible for ensuring that the Contracts Coordinator assists in developing Memorandum of Understanding (MOU)/Memorandum of Agreement (MOA).

2. Mission Critical Systems and Equipment

Departments, responsible for the continuation of critical functions, maintain individual BCPs which specifically identify critical assets and the protection of them. The BCPs are available online at StanReady at <https://stanready.csustan.edu>.

3. Vital Files, Records and Databases

Departments, responsible for the continuation of critical functions, maintain individual BCPs which specifically identify vital records and protection plans for them. The BCPs are available online at StanReady at <https://stanready.csustan.edu>.

4. Interoperable Communications

The University employs a variety of mission critical communication systems necessary to perform critical functions and activities. Departments, responsible for the continuation of critical functions, maintain individual BCPs which clearly describe their communications plan. The BCPs are available online at StanReady at <https://stanready.csustan.edu>.

Communication systems include:

- cellular telephones
- satellite telephones (President, Chief, Facilities, EOC)
- Blackberries/PDAs
- two-way radios (UPD, Facilities, Bldg. Marshals)
- non-secure telephones
- secure telephones (EOC)
- wireless internet connectivity
- facsimile

The alternate site in Stockton is technologically capable of supporting basic business operations including telephone communication. The Stockton Campus computer lab houses 75 IBM compatible and 15 Macintosh computers all run the latest version of Microsoft Word, Microsoft Excel, SPSS, Netscape, and Internet Explorer. The alternate site also has digital cameras, flatbed scanners, LCD projectors, and video projectors. The CSU Stanislaus Distance Learning system allows students to attend classes transmitted from Turlock via live videoconferencing to three rooms at the Stockton campus. These rooms have maximum seating capacities (determined by Facilities and the Fire Marshal) to be 23, 31, & 58. Available in every classroom is a TV/VCR

combo and overhead projector. Also available on reserve is a data projector, slide projector, LCD Panel, PA system, and film projector.

5. Human Capital

Departments, responsible for the continuation of critical functions, maintain individual BCPs which specifically describe the resources and personnel to be transferred to the alternate site and the methods for safely transporting them to the site. The BCPs are available online at StanReady at <https://stanready.csustan.edu>.

Employees are given disaster planning material and checklists at the new employee orientation, in order to encourage and facilitate individual and family preparedness for emergencies. They are informed of the disaster service worker code and the need for them to have personal plans that coordinate with University plans.

6. Vendors & Other Agency Functions

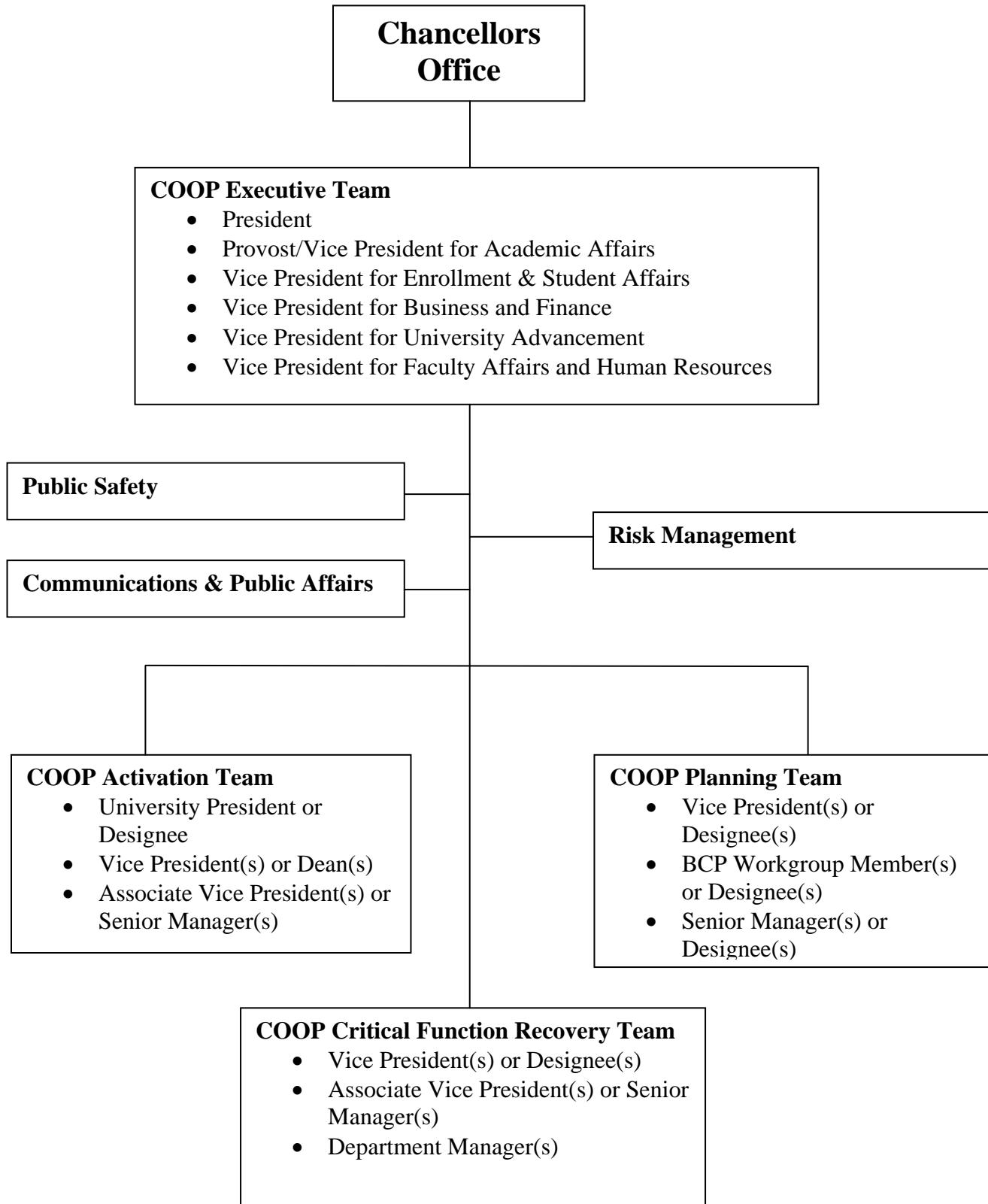
The University has emergency contracts and agreements with external vendors and supporting agencies which can be directed to alternate sites. Specific details and vendor contact information is available for critical functions through the BCPs which are available online at StanReady at <https://stanready.csustan.edu>.

C. Phase III – Reconstitution and Resumption Strategies

Departments, responsible for the continuation of critical functions, maintain individual BCPs which specifically identify reconstitution and resumption strategies. The BCPs are available online at StanReady at <https://stanready.csustan.edu>.

VIII. COOP COORDINATION RESPONSIBILITIES

The following organizational chart depicts the relationships and reporting requirements for CSU Stanislaus COOP Coordination. Descriptions of roles and responsibilities are provided below.



COOP Executive Team

The main objective of the COOP Executive Team is to oversee the restoration of services to CSU Stanislaus campus and continuation of critical functions following a disruption to the CSU mission whether due to a natural disaster, human-caused emergency, or technological failure. The Executive Team is responsible for overall decision making at the policy level, especially when conflicts arise due to immediately limited resources. The Executive Team also serves as the main decision-making body for emergency response efforts, as described in the CSU Stanislaus Emergency Operations Plan (EOP).

Position	COOP Executive Team
Reports to	Chancellor, Board of Trustees
Staffed by	<ul style="list-style-type: none"> • President • Provost/Vice President for Academic Affairs • Vice President for Enrollment & Student Affairs • Vice President for Business and Finance • Vice President for University Advancement • Vice President for Faculty Affairs and Human Resources
Duties	<p>The specific duties of the COOP Executive Team are:</p> <ul style="list-style-type: none"> • Activate the COOP Plan and assign activation Level (low, medium, or high); • Activate the COOP Activation Team ; • Provide leadership throughout the business disruption; • Make executive, policy-level decisions; • Appoint members to actively lead the COOP Activation Team; • Provide situation updates to the Chancellor and Board of Trustees, as well as to emergency response personnel, on the status of COOP activities; • Provide support for relocation needs identified by the COOP Activation Team; and, • Ensure decisions on relocation facilities are communicated to all staff members.

Position	Communications/Public Affairs
Reports to	COOP Executive Team Leader
Staffed by	Manager of Public Affairs (primary)
Duties	<ul style="list-style-type: none"> • Provide for communications with mass media, the public, and staff members. Communicate to external entities, including to media inquiries. Clear releases as the designated Public Information Officer for CSU Stanislaus to ensure that coordinated, appropriate public statements are made.

Position	Public Safety
Reports to	COOP Executive Team Leader
Staffed by	Manager of UPD
Duties	<ul style="list-style-type: none"> • Public Safety works in an advisory and situational status reporting capacity to the COOP Executive Team Leader. During an emergency, Public Safety will be directing the response to the emergency, and will likely be communicating with incident command established at the site of the emergency, as well as with local public safety entities. In this capacity, updates should be provided to the COOP Executive Team and COOP Coordination Team about the Public Safety response efforts and any effects the emergency will have on continuity of operations.

Position	Risk Management
Reports to	COOP Executive Team Leader
Staffed by	Manager of Safety & Risk Management
Duties	<ul style="list-style-type: none"> Risk Management works in an advisory capacity to the COOP Executive Team Leader. During a COOP event, Risk Management will provide insight on liability and contractual concerns as part of effective decision making by the Executive Team.

COOP Activation Team

The main objective of the COOP Activation Team is to support restoration of the critical functions to CSU Stanislaus. The key areas of focus are on supporting CSU Stanislaus's Staff Members, Information Technology systems, Business and Finance concerns, and Academic Affairs. Some of these positions may overlap with those assigned to coordinate emergency response activities, as described in the CSU Stanislaus Emergency Operations Plan (EOP).

Position	COOP Activation Team
Reports to	COOP Executive Team Leader
Staffed by	University President or Designee Vice President(s) or Dean(s) Associate Vice President(s) or Senior Manager(s)
Duties	<ul style="list-style-type: none"> Ensure decisions on relocation facilities are communicated to all staff members. Restoration of vital cyber-infrastructure and IT support services for the Chancellor's Office and for System-wide users. Provide for the coordination of personnel tracking and staffing efforts of CSU CO personnel conducting COOP efforts. Support decision making around staff expectations, especially in a COOP event. Provide for coordination of staff and resources to meet recovery time objectives for all Financial Services essential functions for both the Chancellor's Office and the CSU System. Provide for coordination of staff and resources to meet recovery time objectives for all Academic Affairs essential functions for both the Chancellor's Office and the CSU System.

COOP Planning Team

The main objective of the COOP Planning Team is to develop and maintain situation updates of all departments at CSU Stanislaus that have activated their continuity plans. This includes tracking financial expenditures, providing for immediate emergency spending authorizations, and developing short-term and long-term business services restoration plans for returning to normal operations. Some of these positions may overlap with those assigned to coordinate emergency response activities, as described in the CSU Stanislaus Emergency Operations Plan (EOP).

Position	COOP Planning Team
Reports to	COOP Executive Team Leader
Staffed by	<ul style="list-style-type: none">• Vice President(s) or Designee(s)• BCP Workgroup Member(s) or Designee(s)• University Police Lieutenant
Duties	<ul style="list-style-type: none">• Develop short- and long- term specific plans for continuity of services and long-term return to normal business operations. Maintain situation reports, including financial records. Track and document expenses incurred by the COOP Coordination Team and overall efforts during a disaster/crisis to support financial recovery once the crisis is over. Disburse emergency funding in accordance with the Chancellor's Office delegated levels of spending.

COOP Critical Function Recovery Team

The main objective for COOP Critical Function Recovery Team is to provide resource options for departments and divisions that must relocate or access additional resources during a continuity event. Some of these positions may overlap with those assigned to coordinate emergency response activities, as described in the CSU Stanislaus Emergency Operations Plan (EOP).

Position	COOP Critical Function Recovery Team
Reports to	COOP Executive Team Leader
Staffed by	<ul style="list-style-type: none">• Vice President(s) or Designee(s)• Associate Vice President(s) or Senior Manager(s)• Department Manager(s)
Duties	<ul style="list-style-type: none">• Oversees the physical plant recovery efforts toward restoration of priority essential functions. This Unit works closely with the Logistics Section Chief working in the emergency response operations if one has been assigned. Estimates of damage and recovery are essential to the COOP Coordination Team's long-term relocation and telework strategies especially if the emergency has caused extensive physical damage to the main building or local campuses.• The team member(s) will also be the coordination point for procurement of critical equipment that is affiliated with essential functions.

IX. LOGISTICS

Information about recovery logistics requirements is determined by University Departments identified as having critical function responsibilities. Logistical requirements for critical functions are described in individual Business Continuity Plans (BCPs). The BCPs are available online at StanReady at <https://stanready.csustan.edu>.

A. Alternate Location

Depending on the nature of the incident, the University maintains a number of alternate facilities on/off site that could sustain operations. For incidents affecting the entire area of the campus in Turlock, the University maintains a satellite campus location in Stockton (See Annex E). This site has been identified as an alternate facility for some critical functions.

The COOP Critical Function Recovery Team will assist senior managers to identify alternate facilities based on the requirements for operations, operational risk, and advantages/disadvantages for each option. Performance of a risk assessment is vital in determining which alternate location will best satisfy a Department's requirements. Alternate facilities should provide:

1. Sufficient space and equipment;
2. Capability to perform critical function(s) within 12 hours and for up to 30 days (or other time frame determined);
3. Reliable logistical support, services, and infrastructure systems;
4. Consideration of health, safety, and emotional well-being of personnel;
5. Interoperable communications; and,
6. Computer equipment and software.

B. Critical Functions – Mission Critical Systems and Equipment

Alternate systems and equipment will provide the University with the ability to perform critical functions at the alternate facility, as well as to support the Universities resumption to normal operations. Mission critical systems and equipment will provide:

1. Capability commensurate with the University's critical functions;
2. Ability for personnel to access systems and equipment;
3. Ability to support COOP/BCP operational requirements; and,
4. Ability to operate at the alternate facility within 12 hours and for up to 30 days (or other time frame determined).

C. Communication Plan – Interoperable Communications

The University will identify available and redundant critical communication systems for use at the alternate facility in Stockton. The existing systems provide redundancy and the ability to communicate within the University and outside the University.

Interoperable communications will provide:

1. Capability to commensurate with the University's critical functions;
2. Ability to communicate with essential personnel;
3. Ability to communicate with other agencies, organizations and customers;
4. Access to data and systems;
5. Communication systems for use in situations with and without warning;
6. Ability to support COOP and BCP operational requirements;

7. Ability to operate at the alternate facility within 12 hours and for up to 30 days (or other time frame determined); and,
8. Interoperability with existing field infrastructures.

University Departments maintain their own emergency contact information and plans for phone tree contacts. All CSU Stanislaus employees have registered their contact information in the PeopleSoft system, which can be used to notify employees of an emergency. Additional emergency communication systems include:

- campus phones
- mobile satellite phones/radios
- cellular phones
- emergency website
- 800 MHz radio system
- VHF radio system
- Stan Alert notification system

D. Personnel

Department BCPs, which are available online at StanReady at <https://stanready.csustan.edu>, describe the identification of personnel with key skills or experience and available back-up resources. The identification of key personnel requires the consideration of the following circumstances:

1. Specialized training or skills that are required to perform the critical function(s);
2. The minimum number of personnel required to perform the critical function(s);
3. Other personnel available with skills that are transferrable to support critical function(s); and
4. Whether performance of the critical function(s) requires transfer of the personnel to an alternate site.

E. Vendor/Agency Contact Information

The University has emergency contracts and agreements with external vendors and supporting agencies which can be directed to alternate sites. Specific details and vendor contact information is available for critical functions within the BCPs.

X. TEST, TRAINING, AND EXERCISES

Tests, Training, and Exercises (TT&E) familiarize staff members with their roles and responsibilities during an emergency, ensure that systems and equipment are maintained in a constant state of readiness, and validate certain aspects of the BCP plan. Managers may be creative when it comes to BCP readiness and include power outages, server crashes, and other ad-hoc opportunities to assess preparedness.

To maximize the capabilities of potential responders, all employees should participate in the planning, implementation, and critique of exercises that test their BCP. Testing the BCP will validate the plans, policies, procedures and systems; identify deficiencies in the BCP and allow for subsequent correction.

The TT&E plans should provide:

1. Individual and team training of university personnel;
2. Internal department testing and exercising of BCPs and procedures;
3. Testing of alert and notification procedures;
4. Refresher orientation for BCP personnel; and,
5. Joint inter-department exercising of BCPs, if appropriate.

The effectiveness of the training exercises should be documented in an After Action/Corrective Action Report (see Annex D), which should be prepared in a timely manner. For more information on Testing, Training and Exercises, see Annex C.

A. Approval and Renewal

The Campus BCP Coordinator will oversee review, and conduct an annual review of COOP. The signed Business Continuity Plan page will identify year to year changes and updates beyond typo corrections. Responsible Departments will be contacted upon approval or if any revisions are necessary. The Campus BCP Coordinator will contact responsible Departments approximately 60 days prior to the annual renewal date to initiate the individual BCP renewal process. EO 1014 requires that the reports be approved/signed-off by the head of the business unit and the campus BCP Coordinator, or the Business Continuity Planning Committee.

B. Business Continuity Plan Testing

The Campus BCP Coordinator will follow up with each responsible Department managers to test portions of their Business Continuity Plan. EO 1014 requires that a portion of each plan be tested annually, with the entire plan being tested once every 7 years.

XI. MULTI-YEAR STRATEGY PROGRAM MANAGEMENT PLAN AND BUDGET

The University's comprehensive COOP is the result of a layer after layer of development over time. This document is a work in progress by phases.

A. Phase I (Completed 2013)

1. Initially, the University has focused on establishing a baseline of capability for meeting critical functions in individual Business Continuity Plans (BCPs). The BCPs are available online at StanReady at <https://stanready.csustan.edu>. Drafting and approval of the COOP (this document) that will encompass and guide the maintenance of the BCPs.

B. Phase II (2014-2015)

1. BCP Workgroup members will document where there continues to be gaps/weaknesses in the University preparedness and develop a plan/strategy for addressing them.
2. Establish the BCP Coordinator position and ongoing organizational structure for COOP/BCP oversight in compliance with EO1014.
3. Identify a multi-year maintenance plan for:
 - a. Short and long term BCP goals and objectives;
 - b. Budgetary requirements;
 - c. Testing, training & exercise plans;
 - d. Planning milestones or tracking systems to monitor accomplishments;
 - e. Prioritized list of identified vulnerabilities;
 - f. Update of most current information (i.e.; emergency contacts, evacuation routes, contracts, alternate site arrangements);
 - g. Annual review process; and
 - h. Integration of event-driven changes.

C. Phase III (ongoing)

Under the direction of the BCP Workgroup and BCP Coordinator:

1. Long term continuity goals and objectives;
2. Annual and periodic Testing, Training, and Exercise plan execution;
3. Implementation of improvements and corrective actions from exercise lessons;
4. Annual review process for COOP and all Department BCP maintenance including:
 - a. Update of most current information (i.e.; emergency contacts, evacuation routes, contracts, alternate site arrangements);
 - b. Update plan elements that may be affected by changes in unit structure or functions; and,
5. Communication of business continuity activities to the campus community
6. Emergency contracts with vendors/stakeholders

ANNEXES

ANNEX A – Critical Functions by University Department

Level of Criticality	Description
Critical 1	Must be continued at normal or increased services load. Cannot pause. Necessary to life, health, security.
Critical 2	Must be continued if at all possible, perhaps in reduced mode. Pausing completely will have grave consequences.
Critical 3	May pause if forced to do so, but must resume in 30 days or sooner.
Deferrable	May pause; resume when conditions permit.

	Plan Name	Critical Function	Criticality Level
Academic Affairs	AA - Athletics	Athletic Events	3
	AA - Office of International Education	Immigration	3
		Admission File Processing	3
	AA - Research and Sponsored Programs	Animal Welfare Committee (AWC) Administration	2
		IRB Administration	2
		Grant/Contract Proposal Submission	3
	AA-CAHSS - Instructional Support Services	Instruction	3
	AA-CBA - Instructional Support Services	Instruction	3
	AA-COE - Instructional Support Services	Credential Processing	2
		Instruction	3
	AA-COS - Instructional Support Services	Instruction	3
	Stockton Center Instructional Support Services	Instruction	2
Business and Finance	Facilities Services	To provide safe buildings for teaching and support services	1
		To provide electrical power to teaching and support space	1
		To provide HVAC to teaching & support space	1
		To provide domestic water to campus	1
		To provide fire protection to campus	1
		To provide sewage system service to campus	1
		To provide road and walkway access on campus	2
		To provide sanitation services to campus	2

Business and Finance

FS - Accounting Services	External Reporting (Financial, Board, Federal, State, Local)	3
	Cash Management	3
FS - Accounts Payable	Payment Processing	2
FS - Auxiliary & Business Services	Dining Services	1
	Warrior Card	1
	Vending	2
	Bookstore	2
	Event Services	2
FS - Budget Office	Position Control	2
	Labor Cost Distribution LCD Payroll Tape Posted	2
	Budget Transfers	3
	Payroll Expense Adjustments	3
FS - Grant Post Award Administration	Sponsor Agency Billings	3
	Grant Accounting	3
	Program Reporting and Compliance	3
FS - Procurement	Purchasing	2
	PCard Administration	2
	Public Works (Bid Process)	3
	Contract Review	3
FS - Student Financial Services	Main Cashiers	2
	Student Accounts Receivable & Collections (SARC)	2
	Satellite Cashiers	2
FS - Support Services	Mail Services	2
	Property Control	2
	Receiving/Shipping	2
	Surplus Property	2
	Print Shop	2
	Records Management	2
OIT - Learning Services/OIT	Streaming Video Services	3
	Equip. repair & installation in 3 DL classrooms in Stockton	3
	Support for 3 Distance Learning classrooms at Turlock	3
	Technology Workshops for faculty	Deferrable
	Instructional Design Services	Deferrable
	Digital Media Production	Deferrable
OIT - Office of Information Technology	Network Availability	2
	Server Availability	2
	Voice Communications	2
	Workstation Support	3
	Classroom Technology Support	3
	Staff Training	3
	Computer Lab Support	Deferrable

Business and Finance	Safety & Risk Management	Environmental Safety	1
		Insurance Management	2
		Emergency Operations Center (EOC)	2
	Student Recreation Complex	Recreational Services and Programs	2
		Athletic and Academic Activities Support Facilities	3
		Alt. Emergency Response Site, Public Asst.&Srvce, Auxiliary	Deferrable
	University Police	Emergency Response	1
		Emergency Communications	1
		Site Security and Traffic Control	1
		Criminal Investigation	1
		Public Assistance/Service	2
	VPBF - Audit Services	Provide audit services for campus & auxiliaries	Deferrable
Enrollment and Student Affairs	ESA - Admission & Outreach Services	Communications	2
		Outreach and Recruitment	3
		Pre-admission Advising	3
	ESA - Advising Resource Center	Academic Advising	3
		Approval of Petitions and Graduation	3
	ESA - Associated Students, Inc.	Student Voice	3
		Programming	3
	ESA - Career Services	Advising	3
		Employer Services	3
	ESA - Disability Resource Services	Provide support services to students with disabilities.	2
	ESA - Education Opportunity Program	Academic Advising	3
		Admissions	3
	ESA - Enrollment Services	Admissions	2
		Records	2
		Registration	2
	ESA - Financial Aid & Scholarship Office	Reporting to the Federal Department of Education and the CO	2
		Award and Disburse Federal, State, and Institutional Funds	2
	ESA - Housing & Residential Life	house students	1
	ESA - Office of Student Leadership & Development	Program management	3
		Student organization advisement & oversight	Deferrable
	ESA - Program for Academic & Career Excellence (PACE)	Annual Performance Report	2
		Academic Advising	2
	ESA - Psychological Counseling Services	counseling / assessment / referral	1
		crisis intervention / debriefing / assessment / referral	1
		consultation	1
		outreach	3

Enrollment and Student Affairs	ESA - Student Affairs	Administer the Student Code of Conduct	2
		Provide leadership to division and departments	2
	ESA - Student Support Services	Annual Budget to ED	2
		Annual Performance Report (APR)	2
		Academic Advising	2
		Instruction	Deferrable
	ESA - Tutoring/Writing Center and Testing Office	Testing Administration	2
		Provide testing information to potential students	2
		Writing Center Tutoring	2
		Tutoring	2
		Probation Advising	3
	ESA - University Student Union	Venue for students and campus community	2
		Programming	3
Faculty Affairs and Human Resources	Faculty Affairs and Human Resources	Employee Communication	1
		Benefits	1
		Employee Assistance Plan (EAP)	2
		Access to CMS/PeopleSoft Database	2
		Payroll	2
		Employment	2
		Employee Training	3
		Compensation/Classification	3
		Employee/Labor Relations	3
	FAHR - Student Health Center	Acute Primary Care Services	1
		Availability of EOC operations	1
		Access/maintain Medical Records	2
		Pharmacy Services	3
		Consultative functions for Campus	3
		Public Health Services	3
		Provide Non-Acute Primary Care	3
		Laboratory Services	3
President's Office	President's Office	Communication	1
University Advancement	University Advancement	Public Information	1
		Advancement Operations: Gift Acceptance/Processing	2

ANNEX B – Operational Checklists

This section contains operational checklists for use during a COOP event. A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task.

Sample operational checklists may include:

- Phone trees [SEE DEPARTMENT BCP'S]
- Key personnel roster and critical functions checklist [SEE DEPARTMENT BCP'S]
- Critical Function Recovery Team Checklist [SEE BELOW]
- Telecommute/Alternate Work Location Safety Checklist [SEE BELOW]
- Emergency Operating Records and IT Checklist [SEE EOC RECORDS]
- Emergency Equipment Checklist [PENDING COORDINATION BY EACH DEPT.]

Critical Function Recovery Team Checklist

Action	Comments (log time etc.)	Check when done
1. Receive Communication on Disaster Declaration for XXXXXX Site.		
2. Contact additional Recovery Team members as requested using notification procedures in COOP under Alert, Notification and Implementation Process.		
3. Communicate recovery action steps to all employees.		
4. Ship key documents to alternate site.		
5. Re-route critical existing phone numbers.		
6. Report to Alternate Site. Notify Critical Function Team Leader of your arrival and arrival of your team members. <ul style="list-style-type: none"> <input type="checkbox"/> Transportation planning. Do you have a map to the alternate site? <input type="checkbox"/> Identify any travel needs for team members if some are coming from other sites/locations. Be sure to consider the need for local transportation and lodging as well. <input type="checkbox"/> Any access or credentialing issues? Arrange for access to alternate site for vendors, contractors, or employees traveling in from other locations. 		
7. Set-up work station.		
8. Determine source for back-up technical resources (PCs, servers, printers, etc.) <ul style="list-style-type: none"> <input type="checkbox"/> Are there technical recovery procedures to be followed in the event of an interruption? 		
9. Execute the recovery procedures for your critical functions in priority sequence. Adopt a proactive attitude. Think ahead and anticipate situations and problems before they occur.		
10. Communicate recovery status to Critical Function Team Leader to update recovery timeline.		
11. Document critical data to be restored and backup all data at off-site location.		
12. Escalate issues through Critical Function team Leader.		
13. Identify additional resource needs (hardware, telephones, copy machines, office supplies, computer software etc.) and escalate to the Critical Function Team Leader for resolution.		
14. Identify additional human resources needs (administrative and technical support) and escalate to the Critical Function Team Leader for resolution.		
15. Establish schedule for recovery team 7 x 24 for duration of recovery effort as needed.		
16. Identify Recovery Team members to Critical Function Team Leader for food, travel, accommodation and expense needs.		
17. After completion of critical function recovery, identify requirements to return to normal operations.		
18. Participate in team to return operations to Primary site when available.		

Telecommute/Alternate Work Location Safety Checklist

Alternate Work Location (AWL)

- | |
|--|
| <input type="checkbox"/> The employee has clearly defined workspace that is kept clean and orderly. |
| <input type="checkbox"/> The lighting is adequate for assigned tasks. |
| <input type="checkbox"/> All entranceways, exits, halls and walks are well lighted. |
| <input type="checkbox"/> Exits are free of obstructions. |
| <input type="checkbox"/> Supplies and equipment (both departmental and employee-owned) are in good condition. |
| <input type="checkbox"/> The work area provides adequate ventilation and heat for assigned tasks. |
| <input type="checkbox"/> Portable fans and heaters are in good condition, located where they cannot be knocked over, and they are kept at least three feet from furnishings and flammable materials. |
| <input type="checkbox"/> Storage is organized to minimize risks of fire and spontaneous combustion. |
| <input type="checkbox"/> Cords, cable or other items are placed in an orderly fashion to prevent a tripping hazard, and out of traffic areas. |
| <input type="checkbox"/> Surge protectors are used for CSU Stanislaus owned computers, fax machines and printers. |
| <input type="checkbox"/> Heavy items are securely placed on sturdy stands close to walls. |
| <input type="checkbox"/> Computer components are kept out of direct sunlight and away from heaters. |

Emergency preparedness

- | |
|---|
| <input type="checkbox"/> Emergency phone numbers (hospital, fire and police departments) are stored at the AWL by all telephones. |
| <input type="checkbox"/> A first aid kit is easily accessible and replenished as needed. |
| <input type="checkbox"/> Portable fire extinguishers are easily accessible and serviced as needed. |

Ergonomics

- | |
|---|
| <input type="checkbox"/> The workstation (desk, chair, computer and other equipment) is arranged to be comfortable without unnecessary strain on the back, arms, neck, etc. |
|---|

Other Safety Items

- | |
|--|
| <input type="checkbox"/> |
| <input type="checkbox"/> Comments attached |

Employee Certification

I have reviewed this checklist with my supervisor and have taken steps to ensure safety and security at my alternate work location. I understand this checklist is not all-inclusive and it is my duty as an employee of CSU Stanislaus to create and maintain a safe working environmental at my AWL. I understand authorized department personnel may review my alternate work location with reasonable notice.

Signature

Date

Supervisor Review

I have reviewed this form with the employee.

Signature

Date

ANNEX C – Test, Train and Exercise

A. Testing

Testing of equipment and systems should be an ongoing effort, and ideally the equipment being used during a COOP/BCP event will be the same as what is used on a daily basis (exceptions include specialty equipment such as satellite phones). Tests help to ensure that procedures, processes, and systems function as planned. This includes a test of vital records backup procedures, continuity communications protocols, and employee alert and notification systems. Such testing procedures can take place consecutively with other safety testing schedules. Testing will meet frequency as set forth in Executive Order 1014.

B. Training

Training is a key element to BCP success, and will be conducted annually for the BCP Coordination Team and for division or department staff responsible for leadership during COOP/BCP events. Before the COOP plan is exercised, personnel must be trained so that they know what their responsibilities are and have the skill and knowledge necessary to carry out their responsibilities. Trainings confirm that when an incident occurs all personnel know what to do, how to do it, and when it should be done. BCP training may be incorporated as elements of staff meetings, included as part of overall emergency preparedness training events or provided as stand-alone BCP focused training events. Those with critical COOP/BCP focused responsibilities (especially COOP Activation Team) will obtain a more comprehensive annual training.

The Campus BCP Coordinator will provide, as-needed, COOP training to those assigned to implement COOP/BCP procedures. This training will focus on alternate facility use, available services, communications, equipment use, vital records backup, and security. Such training will emphasize communications protocols and maintenance of accurate Situational Reporting of COOP activities.

COOP/BCP preparedness also requires division and department leadership to cross-train their staff members to step into all critical positions that support high priority critical functions. In case of any emergency, but especially when there is a significant loss of personnel (e.g., a disease outbreak), programs need to have replacement staff ready. Training will meet frequency as set forth in Executive Order 1014.

C. Exercises

Exercises, like training, are a key element to BCP success. The primary purpose of an exercise is to identify areas that require additional training, planning, or other resources. Exercises help provide practice and verification to determine that the plan works as intended. Exercises may focus on parts of the plan, or the entire plan as a whole. Exercises include plan review seminars, focused drills on one BCP implementation procedure, discussion-based tabletop exercises, or functional exercises involving the activation of the entire COOP Coordination Team. COOP/ BCP exercises will be conducted to validate plan elements, and identify COOP implementation procedures that need improvement or clarification. Exercises also allow staff members to remain fluent with the plan and procedures, including using systems and equipment to ensure their readiness.

Ideally an exercise event will involve the participation of various divisions/departments to ensure effective interdepartmental (or interagency) interoperability. The Campus BCP Coordinator will serve as the interface for inter-department COOP/BCP training, planning, and exercising. They will also involve local governmental entities and CSU campuses as part of exercises and preparedness activities to develop interoperability and find synergies in planning and response. Exercises will meet frequency as set forth in Executive Order 1014.

ANNEX D – After Action Report

AFTER ACTION REPORT

This After Action Report is intended to aid in business continuity plan evaluation and improvement by registering situation-response interactions, analyzing critical functions, determining coping strategy effectiveness and efficiency, and proposing adjustments and recommendations.

Exercise Overview

Business Continuity Plan Exercised: [NAME OF PLAN EXERCISED, EX. OCEAN SCIENCES DEPARTMENT]

Date of Exercise: [DATE EXERCISED]

Location: [LOCATION WHERE EXERCISE OCCURRED]

Exercise Participants: [LIST PARTICIPANTS]

Exercise Type: [EX. ACTUAL EVENT OR TABLETOP EXERCISE]

Exercise Setting: [DESCRIBE SETTING, EX. EXERCISE HELD AS A DEPARTMENT MEETING]

Exercise Overview: [DESCRIBE THE ACTUAL EVENT OR TABLETOB EXERCISE]

Summary

[PLEASE PROVIDE A SUMMARY OF WHAT YOU LEARNED DURING THIS EXERCISE. YOU MAY WANT TO CONSIDER THE FOLLOWING:]

- HOW WELL DID YOUR PLAN WORK?
- WHAT WERE YOUR PLAN'S SUCCESSES?
- DESCRIBE ANY LIMITATIONS OF YOUR BC PLAN THAT WERE IDENTIFIED?
- DESCRIBE HOW THE EXERCISE FAMILIARIZED DEPARTMENT STAFF WITH THEIR ROLE IN CONTINUING CRITICAL FUNCTIONS?
- DESCRIBE HOW THE EXERCISE TESTED YOUR DEPARTMENT'S ABILITY TO COMMUNICATE?
- DESCRIBE OTHER AND/OR GENERAL LESSONS LEARNED?]

Discovery

Description of issues discovered during the exercise.

[LIST ISSUE HERE]

Corrective Action

As a result of the exercise, the following revisions were made to the Business Continuity Plan.

[FOR EACH *RESOLVED* ISSUE ABOVE, DESCRIBE SPECIFICALLY HOW THE BUSINESS CONTINUITY PLAN HAS BEEN REVISED.]

Action Items

As a result of the exercise, the following Action Items are in progress and have been added to the Business Continuity Plan.

[CREATE AN ACTION ITEM IN STANREADY FOR EACH *UNRESOLVED* ISSUE ABOVE (SEE ACTION ITEM SUMMARY TAB IN STANREADY). LIST THOSE ACTION ITEMS HERE AND DESCRIBE THEIR TIMELINE FOR COMPLETION.]

Department Head(s)

Date

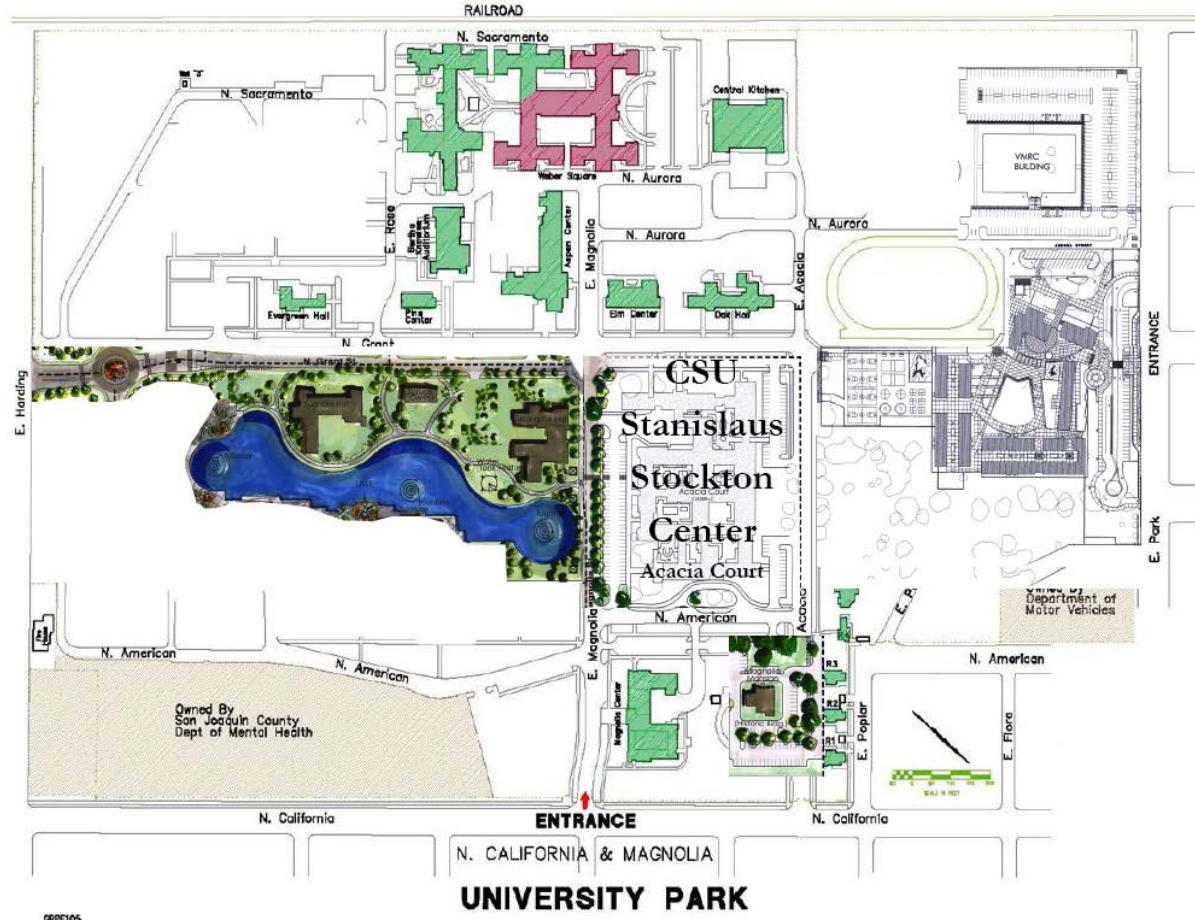
Campus BCP Coordinator

Date

ANNEX E – Alternate Location/Facility Information

214 East Magnolia, Stockton CA 95202-1845

Phone: (209) 467-5300 FAX: (209) 467-5333



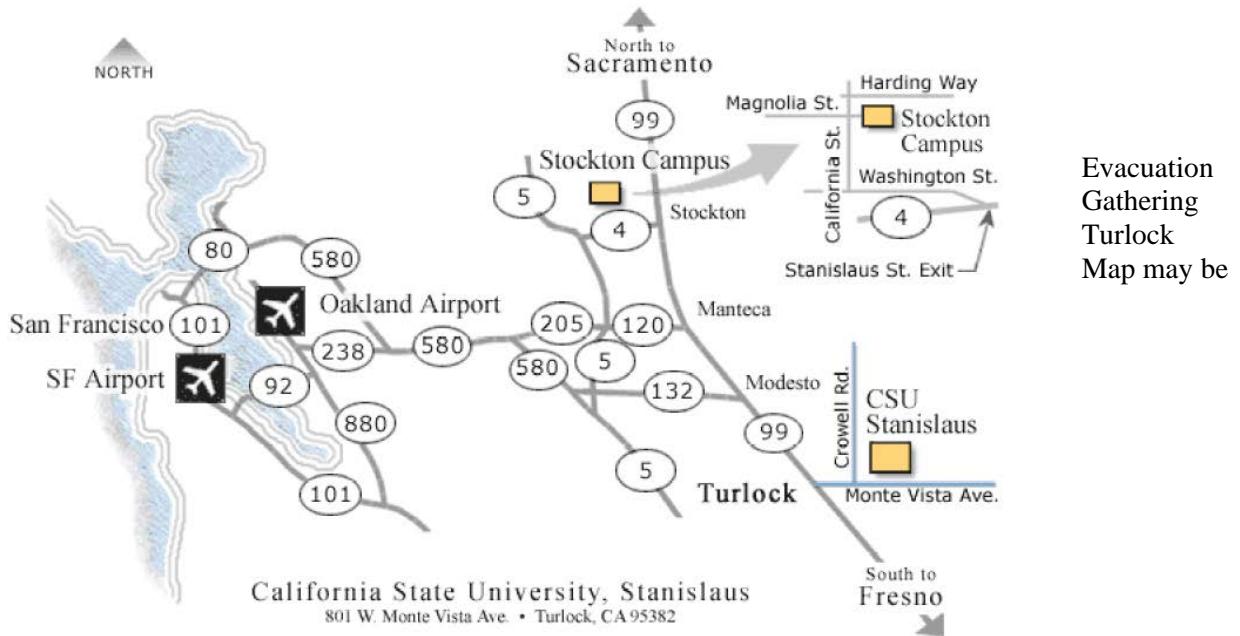
CSU Stanislaus - Stockton has computer lab facilities, a library access center, academic advising, a student lounge, exercise room, health services, several beautifully landscaped courtyards for informal student and faculty gatherings, and an assortment of student services. Map may also be found online at <https://www.csustan.edu/Directories/Maps/StocktonCtrSiteMap.pdf>

The Computer lab houses 75 IBM compatible and 15 Macintosh computers all run the latest version of Microsoft Word, Microsoft Excel, SPSS, Netscape, and Internet Explorer. The facility also has digital cameras, flatbed scanners, LCD projectors, and video projectors. The CSU Stanislaus Distance Learning system allows students to attend classes transmitted from Turlock via live videoconferencing to three rooms at the Stockton campus. These rooms have maximum seating capacities (determined by Facilities and the Fire Marshal) to be 23, 31, & 58. Available in every classroom is a TV/VCR combo and overhead projector. Available for reserve is a data projector, slide projector, LCD Panel, PA system, and film projector

ANNEX F – Maps and Evacuation Routes

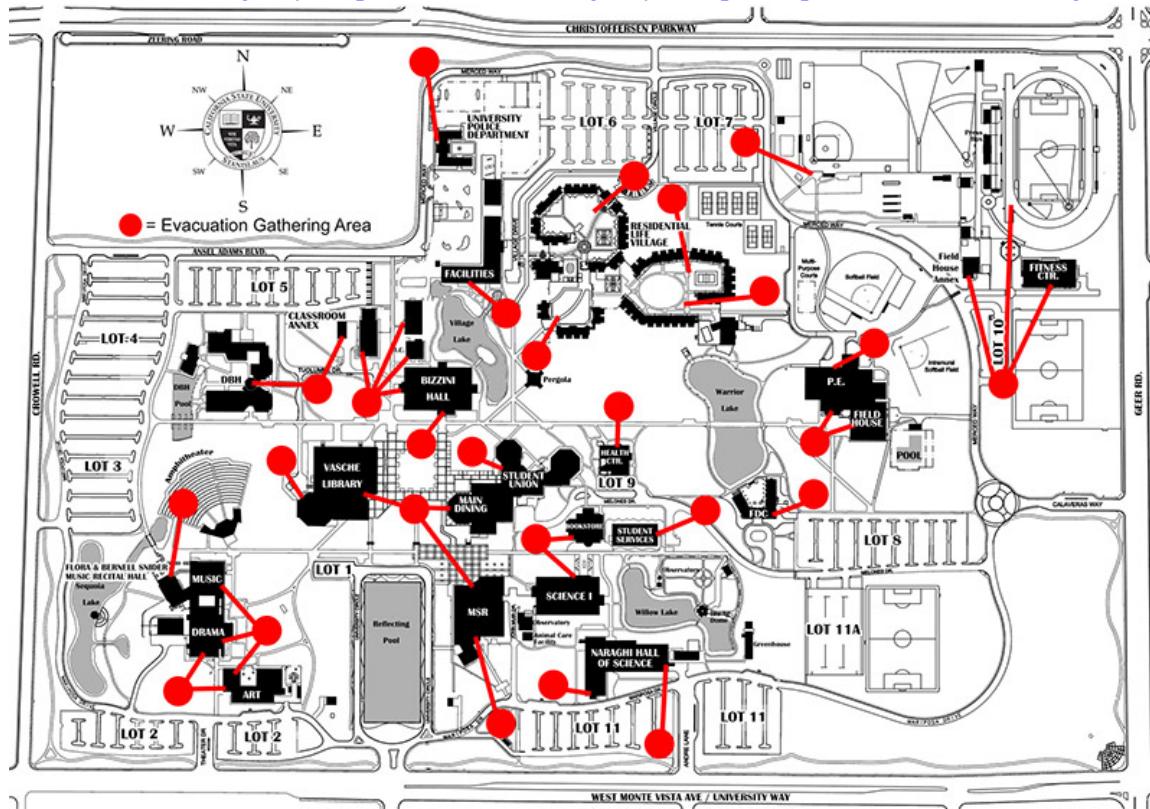
Maps between Alternate Campus (Stockton) and Primary Campus (Turlock). Map may be found at <https://www.csustan.edu/Directories/Map-2-Campus/Map2-CSUS.pdf>

Areas –
Campus.
found at



Evacuation
Gathering
Turlock
Map may be

<https://www.csustan.edu/emergency/PrepareYourself4Emergency/CampusMaps/EvacuationGatheringAreas.html>



ANNEX G – Definitions and Acronyms

Alternate Facility	Also known as a Continuity Facility, the alternate facility is one in which a department can continue its prioritized essential functions, while the primary facility is unavailable, out of service or being repaired. Essential functions take place at an alternate facility(ies) until the primary facility is returned to use or until a new primary facility is identified. Alternate facilities may also refer to nontraditional options such as working at home (“teleworking”), telecommuting and mobile-office concepts.
Business Continuity	The ability of an organization to provide service and support for its customers and to maintain its viability before, during, and after a business continuity event.
Business Continuity Coordinator	A role within the Business Continuity Program that coordinates planning and implementation for overall recovery of an organization or unit(s).
Business Continuity Plan (BCP)	Process of developing and documenting arrangements and procedures that enable an organization to respond to an event that lasts for an unacceptable period of time and return to performing its critical functions or operations after an interruption.
Business Continuity Planning Committee	A committee of decision makers, process owners, technology experts and continuity professionals, tasked with making strategic recovery and continuity planning decisions for the organization.
Business Continuity Program	A management framework for resuming critical functions or operations after a disaster or emergency that may threaten the health and safety of the campus community or disrupt its programs and operations.
Business Impact Analysis	A process designed to prioritize business functions by assessing the potential quantitative (financial) and qualitative (non-financial) impact that might result if an organization was to experience a business continuity event.
Business Unit	Any academic or administrative departments, unit, center, institute, division, or college.
Continuity of Government (COG)	The preservation, maintenance, or reconstitution of the institution of government. It is the ability to carry out an organization’s constitutional responsibilities. This is accomplished through succession of leadership, the pre-delegation of emergency authority and active command and control.
Continuity of Operations Plan (COOP)	An effort within departments and agencies to ensure continued performance of, at minimum, essential functions during a wide range of potential emergencies. Essentially, it is the capability of maintaining the business of government under all eventualities. This is accomplished through the development of plans, comprehensive procedures, and provisions for alternative facilities, personnel, resources, interoperable communications, and vital records/databases.

Continuity of Operations/Continuity Planning Program (COOP/COG)	Developed by the California Office of Emergency Services with the goal of providing California government with the resources needed to achieve a COOP/COG capability. The Program was promulgated by Executive Order S-04-06, the U.S. Department of Homeland Security - Federal Preparedness Circular #65 – Federal Executive Branch Continuity of Operations (COOP), the California State Standardized Emergency Management System (SEMS), and the National Incident Management System (NIMS).
Continuity Communications	Continuity communications are alternate communications, both internal and external, that provide the capability to initially alert and notify staff members, and ultimately perform essential functions until normal operations can be resumed.
Critical Function	A Critical Function is an activity that is essential to the core mission of the organization. For disaster planning, a critical Function is one that must be continued through disaster, or resumed soon after a disaster-event, to ensure either the viability of the organization, or its ability to serve its customers.
Delegation of Authority	Delegation of authority is the specification of activities that those who are authorized to act on behalf of the agency head or other key officials may perform. Documentation provides the legal authority for officials to make policy decisions during a COOP situation. (FEMA IS-547)
Devolution	Devolution is the capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities. Devolution is sometimes called "fall over." Devolution planning addresses catastrophic or other disasters that render an agency's leadership and staff unavailable or incapable of performing its essential functions from either its primary or alternate facilities. (FEMA IS-547)
Essential Function	Is defined in <i>Federal Preparedness Circular 65</i> as a function that enables an organization to provide vital services, exercise civil authority, maintain the safety and well-being of the general public, or sustain the industrial or economic base during an emergency.
Exercises	Exercises provide practice and verification of whether the plan works as intended. Sometimes exercises focus on parts of the plan. In other instances, exercises are conducted to test the entire plan. (FEMA IS-546a)
Interoperability	<ol style="list-style-type: none"> 1. The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies and to use the services so exchanged to enable them to operate effectively together. 2. The condition achieved among communications-electronic systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.
Interoperable communications	Alternate communications that provide the capability to perform essential functions, in conjunction with other agencies, until normal operations can be resumed.

Reconstitution	Reconstitution is the process by which surviving and/or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility. (FEMA IS-547)
Relocation	Relocation involves the actual movement of essential functions, personnel, records and equipment to the alternate (sometimes referred to as a “Continuity”) operating facility. It may also involve: <ul style="list-style-type: none"> • Transferring communications capability to the alternate facility; • Ordering supplies and equipment that are not already in place at the alternate facility; or • Other planned activities, such as providing network access. (FEMA IS-547)
Risk Assessment	Process of identifying the risks to an organization, assessing the critical functions necessary for an organization to continue business operations, defining the controls in place to reduce organization exposure and evaluating the cost for such controls. Risk analysis often involves an evaluation of the probabilities of a particular event.
Succession of Leadership	Succession of leadership is the hierarchy of critical positions required in an emergency and the order in which one person can replace another of a higher authority. Orders of succession are not limited solely to management positions. Successors should be listed by position title, and not by the name of the current person in that position.
Tests	Tests confirm whether or not procedures, processes, and systems function as intended. (FEMA IS-546a)
Training	Training ensures that all personnel know what to do, how to do it, and when it should be done. (FEMA IS-546a)
Training Record	Documentation of training for employees, including employee name or other identifier, training dates, type(s) of training, training providers, and attendee sign-in sheets.
Vital Records	Electronic and hardcopy documents, references, and records needed to support essential functions during a COOP situation. The two basic categories of vital records are <i>emergency operating records</i> and <i>legal and financial records</i> .