

Operational Continuity Planning Template for
Review by EMPC
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University of Minnesota

Department of

**Operational Continuity
(OpCon) Plan**

Guide Instructions

This guide provides instructions for developing an Operational Continuity Plan (OpCon) based on *Department of Homeland Security (DHS) Headquarters Continuity of Operations Guidance Document, dated April 2004*. Although general guidance and sample information is provided in this guide for reference, departments are encouraged to tailor OpCon development to meet their own needs and requirements. This electronic template may be downloaded from the DEM website at the following address: www.dem.umn.edu

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I. Introduction

The University of Minnesota is committed to maintaining essential operational services to the Students, Faculty and Staff. Emergency planning is an essential function of all “critical” units within the University of Minnesota system. A “critical” unit/service is one without which the University cannot operate its basic level of service. Some examples are;

- Utilities- Facilities Management
- Housing- Residential Life
- 911 Service and response- University of Minnesota Police Department

University Administrative Policy has identified the critical units within the University who are required to plan for disasters. This plan is intended to assist departments in meeting the policy. Other departments may complete a plan using this template.

II. Purpose

The purpose of this plan is to assist critical departments within the University re-establish critical operations during an emergency. This plan identifies critical operations along with essential staff which can be called upon when an emergency happens.

III. Applicability and Scope

Because of today’s changing threat environment, this plan 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.

IV. Authorities and References

The University of Minnesota through Campus Health and Safety Policy 2.6.1 identifies that each critical unit of operations must have an Operational Continuity Plan (OpCon). 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.

V. Essential functions

The essential functions section should include a list of the organization’s prioritized essential functions. Essential functions are those organizational functions and activities that must be continued under any and all circumstances.

Organizations should:

- 1. Identify all functions, then determine which must be continued under all circumstances*
- 2. Prioritize these essential functions*
- 3. Establish staffing and resource requirements*
- 4. Integrate supporting activities*

V. Essential functions (Continued)

This section should contain operational checklists for use during a OpCon 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:

- *Emergency Calling Directory*
- *Key Personnel Roster and Essential Functions Checklist*
- *Emergency Relocation Group Roster*
- *Emergency Relocation Group Checklist*
- *Alternate Site Acquisition Checklist*
- *Emergency Operating Records and IT Checklist*
- *Emergency Equipment Checklist*

And can be found in Attachment 1

Essential Functions Matrix Worksheet

Priority	Essential Function	Number of Essential Personnel	Equipment and Systems	Vital Records and Databases	Supplies
1.					
2.					
3.					
4.					
5.					
6.					
7.					

VI. Concept of Operations

This plan is divided into steps which identify the critical actions to be taken IF 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.

A. Phase I: Activation and Relocation

The University of Minnesota has an Emergency Operations Plan which identifies 4 different levels of emergencies at the University. This system is designed to assist in the decision making process during a crisis. Those levels as applied to this plan are;

Level 1- Isolated emergency affecting one or two individuals within the department which do not impact the delivery of service.

ACTION- No activation of this plan necessary

Level 2- Localized emergency affecting a number of individuals within the department which may shut down operations for one to two hours.

ACTION- No activation of this plan necessary but continuously monitor situation. Notify department supervisor

Level 3- A major departmental emergency which affects delivery of service for up to 8 hours.

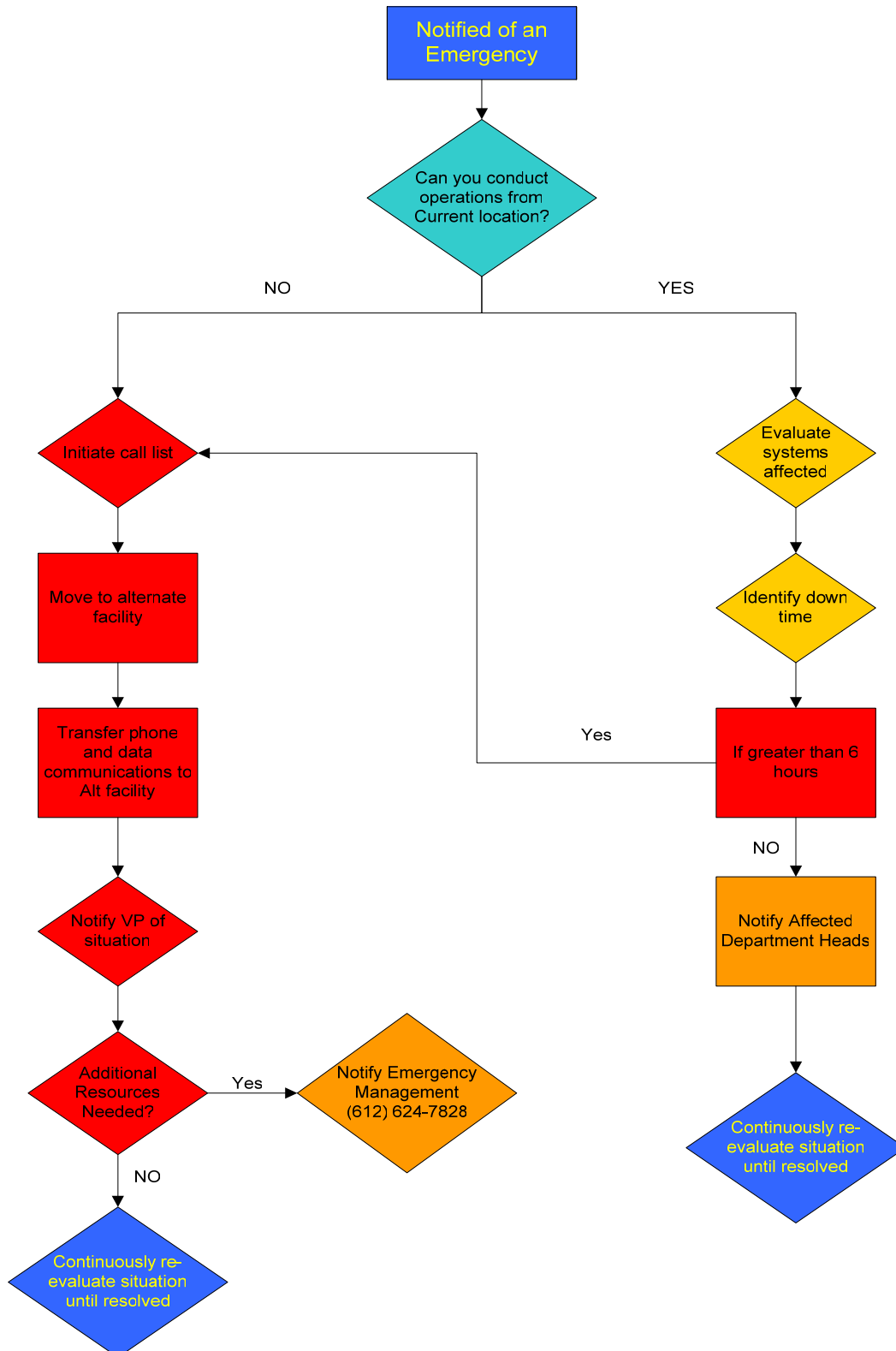
ACTION- Partial or full activation of this plan. Notification up to Department Head

Level 4- A disaster (departmental or campus) which affects the delivery of service for more than 8 hours.

ACTION- Full activation of this plan Notification up to Vice President of unit.

1. Decision Process

The basic decision making process in a crisis is;



2. Essential Personnel- Alert, Notification, and Implementation Process

In this section you will identify the essential personnel within your department. Look at each critical operation and identify at least 3 individuals who may be called upon in an emergency to maintain said operation. Once you have identified the personnel then assign a team leader. It is recommended to assign personnel by function. In the notes column indicate who your alternate team leader is.

"[Click here and Name of Individual]" Calls Team Members

Contacted Y/N	Name	Home Phone	Cell Phone	Function	Notes

"[Click here and Name of Individual]" Calls Team Members

Contacted Y/N	Name	Home Phone	Cell Phone	Function	Notes

"[Click here and Name of Individual]" Calls Team Members

Contacted Y/N	Name	Home Phone	Cell Phone	Function	Notes

3. Leadership

a. Orders of Succession

This section should identify orders of succession to key positions within the organization. Orders should be of sufficient depth to ensure the organization's ability to manage and direct its essential functions and operations. Recommended practice is at least three deep. The conditions under which succession will take place, the method of notification, and any temporal, geographical, or organizational limitations of authority should also be identified in this section.

The following table shows the order of succession for the Department of :

Position Title	Successors
	1.
	2.
	3.
	1.
	2.
	3.
	1.
	2.
	3.
	1.
	2.
	3.
	1.
	2.
	3.

4. Designation of Authority

This section should identify, by position, the authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as appropriate. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed. Such delegations may also be used to address specific competency requirements related to one or more essential functions that are not otherwise satisfied by the order of succession. Delegations of authority should document the legal authority for making key decisions, identify the programs and administrative authorities needed for effective operations, and establish capabilities to restore authorities upon termination of the event. Pre-determined delegations of authority may be particularly important in a devolution scenario.

Delegation of Authority Worksheet

Official (Title)	Designated Successors (Title)	Conditions	Program Responsibility
	1.		
	2.		
	3.		
	1.		
	2.		
	3.		
	1.		
	2.		
	3.		
	1.		
	2.		
	3.		

b. Devolution

The devolution section should address how an organization will identify and conduct its essential functions in the aftermath of a worst-case scenario, one in which the leadership and workers are incapacitated. The organization should be prepared to transfer all of their essential functions and responsibilities from the department's primary operating staff and facilities to other employees and facilities.

B. Phase II: Alternate Facility Operations

The Phase II section identifies initial arrival procedures as well as operational procedures for the continuation of essential functions.

1. Mission Critical Systems

In-order to properly plan for emergencies, the department has conducted a risk assessment and identified the mission critical functions performed by the department. This list identifies what specific systems need to be maintained during an emergency.

The following table identifies mission critical systems for the Department of :

System Name	Current Location	Other Locations

2. Vital Files, Records, and Databases

This section should address the organization's vital files, records, and databases, to include classified or sensitive data, which are necessary to perform essential functions and activities and to reconstitute normal operations after the emergency ceases. Organizational elements should pre-position and update on a regular basis those duplicate records, databases, or back-up electronic media necessary for operations.

There are three categories of records to be reviewed and prioritized, then transferred (either hard copy or electronic media) to an alternate location:

- *Emergency operations records;*
- *Legal/financial records; and,*
- *Records used to perform security preparedness functions and activities.*

Vital Records Matrix Worksheet

Vital File, Record, or Database	Form of Record (e.g., hard copy, electronic)	Pre-Positioned at Alternate Facility	Hand Carried to Alternate Facility	Storage Location(s)

C. Phase III: Reconstitution

The Phase III section identifies the procedures for returning to normal operations—a time phased approach may be most appropriate. This section may include procedures for returning to the primary facility, if available, or procedures for acquiring a new facility through the University Space Management Department. Notification procedures for all employees returning to work must also be addressed. The conduct of an After-Action Report (AAR) to determine the effectiveness of OpCon plans and procedures should be considered.

VII. OpCon Planning Responsibilities

In addition to the responsibilities listed below, this section should include additional delineation of OpCon responsibilities of each key staff position, to include: individual Emergency Relocation Group (ERG) members, those identified in the order of succession and delegation of authority, and others, as appropriate. The ERG members are those that would be sent to start emergency operations at the relocation site.

The following table shows OpCon responsibilities for the Department of _____ :

Responsibility	Position
Update OpCon plan annually.	<i>Division Head, Standards and Planning Division</i>
Update telephone rosters monthly.	<i>Communications Specialist, Standards and Planning Division</i>
Review status of vital files, records, and databases.	<i>Records Specialist, Standards and Planning Division</i>
Conduct alert and notification tests.	<i>Communications Specialist, Standards and Planning Division</i>
Develop and lead OpCon training.	<i>Training Specialist, Standards and Planning Division</i>
Plan OpCon exercises.	<i>Training Specialist, Standards and Planning Division</i>

VIII. Logistics

A. Alternate Location

The alternate location section should explain the significance of identifying an alternate facility, the requirements for determining an alternate facility, and the advantages and disadvantages of each location. Senior managers should take into consideration the operational risk associated with each facility. Performance of a risk assessment is vital in determining which alternate location will best satisfy an organization's requirements.

Alternate facilities should provide:

- 1. Sufficient space and equipment*
- 2. Capability to perform essential functions within 12 hours, up to 90 days*
- 3. Reliable logistical support, services, and infrastructure systems*
- 4. Consideration for health, safety, and emotional well-being of personnel*
- 5. Interoperable communications*
- 6. Computer equipment and software*

B. Interoperable Communications

The interoperable communications section should identify available and redundant critical communication systems that are located at the alternate facility. These systems should provide the ability to communicate within the organization and outside the organization.

Interoperable communications should provide:

- 1. Capability commensurate with an agency's essential 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. Communications systems for use in situations with and without warning*
- 6. Ability to support OpCon operational requirements*
- 7. Ability to operate at the alternate facility within 12 hours, and for up to 90 days*
- 8. Interoperability with existing field infrastructures*

IX. Training, Tests and Exercises

The key to a successful enactment of this plan hinges on the ability of Training, Tests and Exercises (T,T&E) to 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 OpCon Plan. Managers may be creative when it comes to OpCon readiness and include snow days, power outages, server crashes, and other ad-hoc opportunities to assess preparedness.

1. **Plan Training-** Each staff member shall be trained on their role within this plan. This shall be **completed within 60 days** of the plan approval. An annual review shall be completed with each staff member thereafter.
2. **Plan Exercise-** Annually, the plan shall be exercised through a “full-scale” activation. This will ensure that each employee knows their responsibilities within the plan and the back-up systems properly work.

Department of Training Record

Type of training	Training Date	Completed Exercise (Y or N)	Notes and Key Participants

X. OpCon Plan Maintenance & Improvement

This plan will be continually updated with current contact information, resources and organizational changes. At a minimum the entire plan will be updated annually. The updated electronic plan shall be submitted to the Department of Emergency Management at OpCon@umn.edu. Any “gaps” identified should be accompanied with a improvement plan. This improvement plan should include a list of gaps, costs associated with the improvement to fix the gaps and a time line. Below is a sample improvement plan spreadsheet.

Gap- item	Estimated completion time	Cost

Annex A: 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.

Annex B: Maps and Evacuation Routes

This annex should provide maps, driving directions, and available modes of transportation from the primary facility to the alternate location. Evacuation routes from the primary facility should also be included.

Annex C: Public Health Emergencies

A Public Health Emergency (PHE) is an occurrence or imminent threat of an illness or health condition, caused by bioterrorism, epidemic or pandemic disease, or novel and highly fatal infectious agent or biological toxin, that poses a substantial risk of a significant number of human fatalities or incidents of permanent or long-term disability. PHE's, by their nature, are longer term events than natural disasters, with the possibility of lasting for months. They may cause significant (40% or more) reductions in the available workforce. Unlike a tornado or winter storm PHE's have the potential to affect people in indirect ways such as staying home to care for sick family members or avoiding work for fear of "catching it". The large reduction of available workforce and extended duration of a PHE threatens our entire infrastructure causing disruptions in normal services (availability of food, fuel, water, electricity, police, fire). The strategies below are intended to minimize employee absences and maximize the available workforce.

1. Fear is a common problem during a PHE with the threat being invisible, long lasting, and little available information on self protection. Education can lessen this fear. What steps will your department take to educate your staff about a pending health threat?
2. How could work schedules in your department be adjusted to maintain support of essential functions?
3. How could work schedules in your department be adjusted to minimize contact between employees? Consider shift lengths, days of week worked, and time of day worked.
4. Will your department allow telecommuting? Some answers may depend of HR policy and on available technology.
5. Given your alternate scheduling decisions and possible technological failures, develop a plan for maintaining regular communication with your employees and list alternate communication methods.
6. Will you allow employees to bring their children to work if public schools are closed during the PHE?
7. What policies will your department initiate to maximize infection control?
8. What supplies, if any, will your department provide to support infection control?
9. Will your department provide employees with PPE? PPE is defined as Personal Protective Equipment and for a PHE may include items such as masks and gloves. If the answer is yes the Department of Emergency Management can provide suggestions on what type and where to purchase PPE.
10. If your department is going to purchase PPE will the purchase be made prior to the PHE (the availability of PPE during a PHE is negligible)?
11. Past disasters have proved that people will not report to work until their family is cared for and out of harm's way. The best way to prevent this is for everyone to develop individual family emergency plans. Will your department actively promote the development of individual family emergency plans?

Resources for Annex C

Individual Family Emergency Plans	www.ready.gov www.pandemicflu.gov www.readyminnesota.org www.fema.gov/individual
Public Health Education	www.bt.cdc.gov www.health.state.mn.us www.hhs.gov www.cidrap.umn.edu
PPE	www.osha.gov
General	www.dem.umn.edu

Definitions

AAR: After Action Report – a document created after an event that details actions taken, resources utilized, responders/staff involved, unmet needs, problems encountered, successes, and future planning considerations.

Backup: A good candidate for a backup position is someone in the same job class that has the knowledge, skills, and abilities to perform the same functions as the person they are replacing. If there are not enough people in the same job class, go to a similar or subordinate job class. For example: If we closed all but three of the residence halls, the preferred backup for those three residence hall directors would be directors from the closed facilities. However, if all the halls were to remain open, preferred backups would be assistant directors, head maintenance person, or senior CA's (RA's). It is important to note that the backup, if needed, would be given the same duties, authority, and responsibility as the person they replace. You must designate a minimum of three backups for every essential employee. Try to avoid using the same person to serve as the backup for multiple positions.

Devolution: The capability to transfer authority and responsibility for essential functions from a department's primary operating staff and facilities to other employees and facilities and to sustain that operational capability for an extended period.

EOC: Emergency Operations Center – the location from which senior administrators work to organize and support University-wide emergencies during a Level 3 or higher emergency.

ERG: Emergency Response Group – the group of people that will first be dispatched to an alternate site to resume essential functions.

Essential Employee: Any employee who performs a critical function and must be replaced if absent. Employees identified as essential should be given notification of their status as soon as possible.

Essential Function: Any task, process, or service that must be resumed immediately after a disruption or within a maximum of 24 hours.

ERG: Emergency Relocation Group – The people that will be involved in transferring the work site from one location to another. This group may include essential and non-essential employees.

OpCon: Operational Continuity Plan – an effort within individual departments to ensure the continued performance of minimum essential functions during a wide range of potential emergencies. This is accomplished through the development of plans, comprehensive procedures, and provision for alternate facilities, personnel, resources, interoperable communications, and vital records/databases.

TT&E: Training, Test, and Exercise – the means through which we ensure a smooth implementation of the OpCon plan via educating employees, testing their knowledge, and having them perform steps to replicate an actual emergency.

Authorities and References

Additional References

This list includes the documents used in the development of course materials as well as materials that provide additional information useful to OpCon program managers. Federal-level orders, directives, legislation, and guidelines are listed in chronological order (i.e., by date of issuance or publication) by category. Other documents are alphabetized by the author's last name.

Executive Orders

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Reagan, R. (1988, Nov. 18). *Assignment of Emergency Preparedness Responsibilities*. Executive Order No. 12656.

Clinton, W. J. (1998, Feb. 9). *Amendment to Executive Order 12656*. Executive Order No. 130746.

Presidential Directives

Bush, G.W. (2002, March 12). *Homeland Security Advisory System*. Homeland Security Presidential Directive 3.

Bush, G.W. (2003, Feb. 28). *Management of Domestic Incidents*. Homeland Security Presidential Directive 5.

Bush, G. W. (2003, Dec. 17). *Critical Infrastructure Identification, Prioritization, and Protection*. Homeland Security Presidential Directive 7.

Bush, G. W. (2003, Dec. 17). *National Preparedness*. Homeland Security Presidential Directive 8.

Presidential Decision Directives (PDDs)

Clinton, W.J. (1998, May 22). *Combating Terrorism*. PDD 62.*

Clinton, W.J. (1999, Oct. 21). *Enduring Constitutional Government and Continuity of Government Operations*. PDD 67.*

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Billows, D. (2002). *Essentials of Project Management* (4th ed.). Denver, CO: The Hampton Group, Inc.

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