South Dakota State University

# All Hazards Continuity of Operations Plan (COOP)

Federal and South Dakota State laws and the Board of Regents require South Dakota State University to prepare Continuity of Operations Plans to minimize the effects of a disaster. To do so it is critical to determine the essential functions of the University during an emergency. It is also important to consider department or unit level essential functions. This allows the University to provide essential services when either a small or large portion of the campus is affected. When a small area of the University is negatively impacted by an incident, they are still responsible for supporting the general mission of the University. In an emergency affecting the entire campus both the supporting units and the University missions are temporarily altered from teaching, research and public outreach to those functions that protect health and life safety, protect property systems and processes, protect research, and maintain and/or restore the ability to provide academic instruction. The University has a written Continuity of Operations Plan (COOP) that defines general operational considerations at the institutional level to allow the University to maintain essential functions in an emergency. In support of the University’s COOP, a template has been created to assist departments and units write their plan through the determination of essential functions and the steps necessary to protect, maintain and/or restore those functions. Department and unit plans will describe how departments or units will provide essential services to the University when they have been affected but the general operations of the University have not. Additionally, the information in the department or unit plans will describe how the department or unit will support the emergency essential functions of the University in an incident that affects a large part of the institution or the region.

*For example, the Purchasing Office provides a variety of services to the institution, these services include such activities as equipment and supply purchasing, surplus management, risk management and the approval of contracts. If an incident were to occur that affected access to their office they would still need, to the extent possible, support the general mission of the institution. Similarly, should an incident affect a large portion of the campus or region the Office would be expected to support the emergency essential functions of the University, that is those functions that protect health and life safety, protect property systems and processes, protect research, and maintain and/or restore the ability to provide academic instruction.*

*Other Departments on campus have functions that are essential to both the short- and long-term viability of the University. For example, the ability to recruit and admit students is critical to the institution. These activities must be maintained at some level for events that effect only the Admissions Office or impact the entire campus or region, such as in a pandemic.*

All Hazards Continuity of Operations Plan (COOP)

Departmental Template

|  |  |
| --- | --- |
| **Department/Unit**  |   |
| Purchasing/Risk Management | **Developer** | **Date Plan Finalized/Updated** |
| **Plan Development** |   |  |
| **Department/Unit supervisor** | **Name** | **Phone Number** | **Alt Phone Number** |
|   |   |   |
| **Email address** |   |

**Your Department’s Leadership Succession**

List the people who can make operational decisions if the head of your department or unit is absent or unavailable.

|  |  |  |  |
| --- | --- | --- | --- |
| **Leadership** | **Name** | **Phone Number** | **Alt Phone Number** |
| **Head of Operations** |  |  |  |
| **First Successor** |  |  |  |
| **Second Successor** |  |  |  |

# Leadership Succession and Authority

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| *Authority to a successor is conducted when the current leader cannot be contacted within \_\_\_\_ hours. The successor will have all the duties and responsibilities of the person they succeed until the person succeeded is able to re-assume his or her leadership function.*  |

# Background Information for Emergency Planning

No one can predict when an emergency might happen or its severity. It is prudent to plan for an emergency, 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 University community including an infectious disease epidemic, severe weather events, fires or explosions, hazardous materials releases, extended power outages, lost or reduced information technology support, floods, terrorism or mass casualty events.

**Your Department’s Mission and Objective and Services**

List below the specific services you provide to the University under general operating condition.

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| ***Example***The mission of the SDSU Office of Purchasing is to provide professional, customer-oriented Purchasing and Risk Management leadership and service which contribute to and support the land-grant mission of South Dakota State University. The Purchasing Office provides the following service:* Surplus management
* Contract approval
* Purchase card approval, usage and oversight
* Risk Management
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# Your Department’s Essential Functions

From the list above identify those essential functions that are critical to both the short- and long-term viability of the University and must be maintained. In the area below list your department or unit’s essential function. For the purposes of continuity identify the responsible person in your department or unit and their successors. *Remember your department/unit may be the only area impacted and you will be expected to support the general operations of the University or the entire campus or region is affected, and your office or unit is supporting the emergency functions of the University.*

|  |  |
| --- | --- |
| **Essential Function:** |   |
|   | **Primary** | **Alternate** | **Second Alternate** |
| **People Responsible** |   |   |   |
| **Phone Numbers** |   |   |   |
| **Essential Function:** |   |
|   | **Primary** | **Alternate** | **Second Alternate** |
| **People Responsible** |   |   |   |
| **Phone Numbers** |  |  |   |
| **Essential Function:** |  |
|  | **Primary** | **Alternate** | **Second Alternate** |
| **People Responsible** |  |  |  |
| **Phone Numbers** |  |  |  |
| **Essential Function:** |   |
|  | **Primary** | **Alternate** | **Second Alternate** |
| **People Responsible** |  |  |  |
| **Phone Numbers** |  |  |  |

Having established your essential functions, it is important to be able to complete the identified functions in the following types of Incidents. Loss of or inaccessible work site, loss of Information Technology Support (no network) and reduced work force (Pandemic)

*Loss of or inaccessibility to your work site will impact the department or unit’s ability to provide essential services to the University and may range from one day to months. In some cases, such as a fire the entire facility may be lost. For this type of incident, you should explain your plan for operations from a different work location such as another location on campus, of campus or at home. The plan should also describe the communications plan for the affected employees, especially important is the ability to access important records from the alternate work site.*

*We have become very dependent upon information technology to accomplish our departmental goals. Your plan for such an event should consider how essential functions will be accomplished should IT systems fail. You plan should include providing essential services without, or limited IT support from your alternative locations.*

*The reduced work force scenario should address a range of potential situations that may have an effect on your ability to maintain essential services. Causes of workforce include a highly contagious virus such as the flu that affects the area, to a pandemic with a global impact. Other cause may be weather related such an extreme blizzard. See attached SDSU Pandemic Plan*

***Example***

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| Essential Function: Emergency Contract Approval  |
| Loss of or inaccessible work site: If we have lost access to the Purchasing Office, we have the ability to access records and necessary process from any area on campus where we can access the network. If we do not have access to campus because of weather or other incident designated employees can access necessary information and processes through a VPN from their home. We have an agreement with the Briggs Library that will allow us to use one of their rooms should we need an on-campus location to resume our activities. The room has sufficient data ports and phone lines to serve as a temporary work area. They have a supply of laptops we can use for our purposes. There are sufficient telephones in the Library that can be re-tasked for our use. All software has been backed up to the network and is accessible to Purchasing office employees.  |
| Loss of Information Technology support: If we cannot access on-line processes we have developed a manual process for completing the essential functions.  |
| Reduced work force: We have cross trained several individuals in the Purchasing Office and Financial services to support this function. We are working on a reciprocal agreement with USD to cross support if staffing reaches a critical level. |
| Essential Function: Purchase card management |
| Loss of or inaccessible work site: |
| Loss of Information Technology support: |
| Reduced work force: |
| Essential Function: Emergency purchases/tracking expenses and inventories |
| Loss of or inaccessible work site: |
| Loss of Information Technology support: |
| Reduced work force: |
| Essential Function: |
| Loss of or inaccessible work site: |
| Loss of Information Technology support: |
| Reduced work force: |

***Example***

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| **Comments on Essential Function:** Leadership of the Office of Purchasing and Risk Management understand that any incident on campus affecting the Purchasing Office, other offices on campus or a large segment of the campus or the region will require a high level of services to the institution, and has identified those systems and processes and are working to protect the identified essential functions so they remain viable during an emergency.  |

**Asset Identification**

# Routine access to information assets is important in our daily operations and a critical consideration in continuity planning. The maintenance of information assets will allow departments and units to support the essential mission of the University. In the space below list the information assets utilized for both your routine and emergency operations.

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
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|  |  |  |
| --- | --- | --- |
| **Asset** | **Purpose** | **Person Responsible** |
| **Purchasing Card Software**  |  |  |
|  **Purchasing Software** |  |  |
|  |  |  |
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# Key Internal (Within University) Dependencies

List below the non-routine products and services upon which your department depends and the University departments or units that provide them. Routine items include the day to day operation services of Human Resources, Information Technology and Facilities and Services. An example of non-routine activities is special software that the Office of Information Technology supports.

 ***Example***

|  |  |
| --- | --- |
| **Dependency** (product or service)  |  Information Technology |
| **Provider**(University department) | Support of Purchasing Software |
| **Dependency**(product or service)  |   |
| **Provider**(University department) |   |
| **Dependency** (product or service)  |   |
| **Provider**(University department) |   |

Key External Dependencies

List below the products, services, suppliers and providers upon which your department depends that are external to the university.

***Example***

|  |  |
| --- | --- |
| **Dependency** (product or service)  |  |
| Purchasing software | **Primary** | **Alternate** |
| **Supplier/Provider** |  |  |
| **Phone Numbers** |  |  |
| **Dependency** (product or service)  |  |
| Purchase Card (Company) | **Primary** | **Alternate** |
| **Supplier/Provider** |  |  |
| **Phone Numbers** |  |  |
| **Dependency** (product or service)  |  |
|  | **Primary** | **Alternate** |
| **Supplier/Provider** |  |  |
| **Phone Numbers** |  |  |

**Exercising and testing your Plan *Example***

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| On November 10th 2014 The Director of Purchasing and Risk Management worked from home to determine her ability to complete her assigned duties. It was determined she had access to all on line files and process with the exception of \_\_\_\_\_\_\_\_\_\_\_\_\_\_. She worked with Information Technology to address the issue. A test on the 14 from her home determined she can access the all files and processes.Work from home test day schedule has been established for others in her office. The Director has initiated conversations with USD to determine the feasibility of cross support for Department functions in an emergency.  |