

Department Level
Continuity of Operations
Planning

Template Instructions
(Template Version B)

University of Wisconsin-Superior



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Table of Contents

INTRODUCTION TO COOP	1
MICROSOFT EXCEL SPREADSHEET BASICS	3
STEP 1. GETTING STARTED	4
STEP 2 PLANNING SCENARIO	6
STEP 3 DEPARTMENT INFORMATION WORKSHEET	7
STEP 4 DEPARTMENT COOP OVERVIEW WORKSHEET.....	9
STEP 5 LEADERSHIP SUCCESSION WORKSHEET.....	11
STEP 6. DEPARTMENT CALL TREE	12
STEP 7 PRIMARY FUNCTIONS AND RECOVERY TIME OBJECTIVE WORKSHEET	13
STEP 8. EMERGENCY ACCESS TO INFORMATION AND SYSTEMS.....	15
STEP 9 VITAL RECORDS, POLICIES AND PROCEDURES	16
STEP 10. INTERNAL AND EXTERNAL SERVICE PROVIDER DEPENDENCIES	18
STEP 11. GENERAL OPERATIONAL NEEDS FOR PHYSICAL RELOCATION.....	20
STEP 12. CRITICAL FUNCTION WORKSHEET(S).....	22
STEP 13. MITIGATION STRATEGIES	25
STEP 14 SUBMIT THE DEPARTMENT PLAN FOR REVIEW	26

All-Hazard Continuity of Operations Planning (COOP)

UW Superior Department Level COOP Planning Instructions

Introduction to COOP

Consider the following real-life scenarios and how they would impact your department and the University as a whole:

1. Heavy rains caused basement flooding forcing a 3-month emergency relocation to other buildings by department offices. Files, equipment, and furnishings were destroyed. The departments had to establish a temporary working office in an alternate location.
2. UW Superior is in the midst of unprecedented new building construction and existing building renovation that will last for many years. Renovations may cause departments to relocate their functions temporarily for periods 3 to 18 months, causing business disruptions for a relatively short duration (weeks).
3. Public health agencies are predicting a future pandemic involving a novel influenza virus strain, similar to the influenza pandemics of 1919, 1953 and 1967, and the H1N1 pandemic of 2009. A pandemic could impact our campus for months: Classes and public events might be suspended; our infrastructure will remain intact, however 30% or more of our employees might be unable or unwilling to come to work. Major disruptions could occur not only in university services, but also among regional vendors, health service providers and local government.

As you consider the three scenarios above, remember that all of the scenarios have already occurred or are in progress at UW Superior. Scenarios 1 and 2 affect the loss of use of a facility, such as an office, floor or entire building. Department employees must turn their attention from their normal duties to managing the loss of use of their space, relocating to temporary spaces and resuming normal business operations. The Superior Normal School (UW Superior) cancelled public events and classes for 30 days or more during the 1918-19 Spanish flu pandemic, as did other public entities in our region. The pandemic scenario is most likely to affect the loss of personnel and our supply lines rather than our facilities.

Advanced planning, called Continuity of Operations (COOP) planning, can help mitigate the impact that an emergency may have on your department and speed your recovery to an operational status.

COOP Planning At UW Superior

A COOP Plan is *not* an emergency response plan; the purpose of a COOP Plan is to facilitate the recovery and resumption of critical or essential functions through the development of plans, comprehensive procedures, and provisions for alternate sites, personnel, resources, interoperable communications and vital records/databases.

COOP planning at UW Superior utilizes an “all-hazards” approach, meaning that our planning scenario will incorporate both the loss of infrastructure and employees caused by any natural or man-made emergency. All critical UWS departments will prepare a Department COOP Plan unique for their work unit. Your plan’s goal is to assist your department to recover to a fully operational state within 30 days after a major operational interruption.

An All-Hazards Continuity of Operations (COOP) Planning template is provided for campus departments to ensure that plans are uniformly prepared. For the purpose of this template, the term “department” means all functional departments, programs and work units at UW Superior.

The University’s COOP Plan is predicated on a realistic approach to the problems likely to be encountered during a major emergency or disaster. The following qualifiers apply:

- An emergency or a disaster may occur at any time of the day or night, weekday, weekend, or holiday, with little or no warning.
- An emergency response action and associated recovery efforts will be influenced by the changing patterns of services, facility use and campus population through the normal cycles of the academic calendar.
- Disasters may be community-wide. Therefore it is necessary to plan for and carry out disaster response and short-term recovery operations in conjunction with other campus and local resources.

This is your Department Plan; feel free to augment this template to meet your needs. Be collaborative when drafting your plan, and seek comments from your staff and leadership and the COOP team. When your plan is completed, return it to Carol Lindberg, UWS COOP Coordinator, at the EH & S office.

Planning Assumptions

In order to prepare plans to resume critical and essential operations following an emergency, a consistent set of planning assumptions must be used by all departments. For planning purposes, assume your department has experienced:

- A severely damaged facility or infrastructure, requiring your department to relocate to a different facility on or off campus for 3 or more months, **and**
- A 30% Staffing Loss. Staffing levels may be heavily impacted due to high absenteeism, work force reductions due to facility losses, social distancing requirements to isolate for disease controls and/or lack of skilled workers and adequate supplies.

The impact of a severe staffing loss and/or damaged facility should be expected to severely impact technology resources on campus. Do not expect information technology resources to be available at the onset of a COOP emergency.

Your department COOP plan will be implemented once the emergency has stabilized, and the Campus begins the recovery process. It is assumed that infrastructure and staffing will be impaired for some time, but the campus is able to resume certain functions on a priority basis. Critical functions that involve life safety, infrastructure and technology will be given the highest priority. Your department’s plan will help the campus prioritize the resumption of operations once certain prerequisites are met.

Questions

A carefully prepared set of instructions accompanies the Department COOP template. If your department needs assistance in preparing its COOP plan, please contact Carol Lindberg, Environmental Health and Safety, extension 8073.

All-Hazards Continuity of Operations Plan Department Template

UWS departments that are required to prepare a Continuity of Operations (COOP) Plan will use the same template to prepare a department Plan that will be used to guide their department through the restoration of services following an emergency that impacts our facilities or our employees.

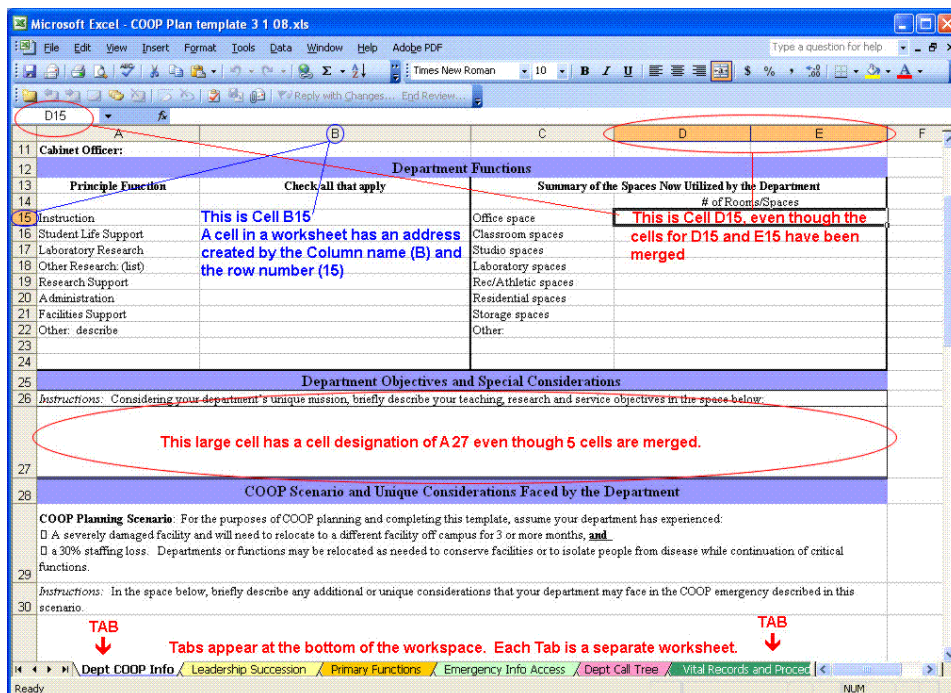
This is your Department Plan. Be collaborative when drafting this, and seek comments from your staff and leadership and the COOP team. When your plan is completed, return it to Carol Lindberg, UWS COOP Coordinator, at the EH & S office.

GOAL: Your plan's goal is to assist your department to recover to a fully operational state within 30 days after a major operational interruption.

Microsoft Excel Spreadsheet Basics

The template is constructed in Microsoft Excel 2003/2007, and is compatible with the standard Microsoft Office 2007 package. Some tips for using Microsoft Excel are provided below for individuals who are not familiar with the program.

- An Excel workbook consists of a “family” of associated worksheets contained within a single file name. Each worksheet can contain independent information, and information can be linked between spreadsheets.
- Each work sheet is composed of a grid-like arrangement of columns with letter designations, and rows with number designations. The intersection of each column and row is called a cell. Each cell has a column-row address designation, such as cell *B15*.
- Some cells in the template are merged with neighboring cells. The data can be entered into merged cells the normally.
- Each worksheet has a tab at the bottom of the page to navigate between worksheets. Just click on the tab to migrate to a new worksheet. In this template, the tab colors and worksheet colors are coordinated for easier navigation.
- You may start a new line of text within a cell by pressing the “alt” “enter” keys simultaneously.



Step 1. Getting Started

This Continuity of Operations (COOP) Planning template consists of an Excel workbook containing an introduction and 11 different worksheets that will serve as your department's COOP plan when completed. Your Plan will help your department recover to an operational state after a major business interruption impacts campus functions, business or infrastructure. The COOP team will establish the hierarchy of the critical functions that must be recovered before other functions can be re-established.

The instructions in this document are designed to help guide your department in completing the worksheets included in the template.

- A. Your department needs two documents to begin your COOP planning process:
- Instructions (this document): COOP Template Instructions v B.pdf
 - The department template (Excel spreadsheet): Dept COOP Plan Template vB.xlsx

The documents have been delivered to each department electronically. Copies are available on line at: <http://www.uwsuper.edu/emergency/coop/index.cfm>

- B. There are 5 worksheets that will require no information to be added by the department:
- The 'Introduction to COOP' worksheet serves to aid in the planning process as the "big picture" as well as what to expect should COOP be activated.
 - Four checklists that the department will use if and when their COOP Plan is activated.

- C. The opening screen on the template workbook will look like the image below.

Department Information and Continuity of Operations Plan Management

Instructions: This COOP Planning template consists of a group of worksheets that will describe how your department will return to operation following an emergency that severely impacts our facilities or workforce. This worksheet identifies your department.

When your plan is complete, share paper and electronic copies with all of your employees. Submit an electronic copy to Carol Lindberg, UWS COOP Coordinator. Keep your plan up to date by reviewing it frequently.

Section A. Department Identification

Instructions: In this section, identify your department and the cabinet position it reports to. Also identify your department head who will approve this COOP plan, the person who will be the department COOP contact and their contact information. These individuals may be contacted by the COOP team for more information.

Department Name: _____ **Main Dept. Phone #** _____

Dept. Office Use (Bldg & Rm): _____

Primary COOP Contacts	Name	Email	Phone	Fax
Department Head:				
Dept. COOP Contact:				
Cabinet Officer:				

Section B. Department Functions

Principle Function	Check all that apply (x or N)	Summary of the Spaces Now Utilized by the Department # of Rooms/Spaces utilized
Instruction		Office space
Student Life Support		Classroom spaces
Laboratory Research		Studio spaces
Other Research (list)		Laboratory spaces
Research Support		Rec/Athletic spaces
Administration		Residential spaces
Facilities Support		Storage spaces
Other: describe		Other:

Section C. Department Plan Review and Revision History

Instructions: Your department's plan should be reviewed at the beginning of each semester. Keep a record of the dates of the review and revisions in the log below. If sections or worksheets are modified, record the information in the chart.

Date	Reviewer / Reviser Name	Review or Revision Plan Initial Issue Date	Identify Sections/Worksheets Revised

Navigation tabs: Dept Information, Dept COOP Overview, Leadership Succession, Dept Cal Tree, Primary Functions, Emerg.

The tabs across the bottom of the page lead to individual work sheets.

Tab colors and worksheet colors are coordinated for easier navigation.

Each work sheet will ask for specific information about YOUR department.

- D. The easiest way to navigate through each worksheet is to use the "Tab" button on the keyboard. The tab will take you to each cell where data can be entered.
- E. Important information about entering data into the template work sheets:
- The spell check feature in Excel 2007 is not available for the template worksheets.

- If desired, lengthy blocks of text can be pre-written in Microsoft Word, spell checked and copied into the spreadsheet. Please use Times New Roman font, 10 pt.
- Some information entered into the Department COOP Info worksheet is automatically copied into other worksheets to reduce redundant entries. (*Note: zeros in cells indicate where information will be automatically entered.*)
- Most areas of each worksheet are “protected”; protected cells will not allow changes in the cell’s content, font or column width. The cells where data input is requested are unprotected; data can be added manually, copied and pasted as needed.
- The cells have been formatted to allow word-wrapping of long text strings and rows should adjust in height automatically. If the row height adjustment isn’t functioning, you can manually change the row height of the row you are working in.
- Certain worksheet cells will allow only a limited number of characters. Character limits will be noted in the column heading above the entry, such as “*Use 200 characters or less*”. Excel will notify you if the number of characters is exceeded.
- All work sheets are set up for printing. The template will be printed in landscape mode with left/right margins of 0.51 inches and top and bottom margins of 1.0 inch.
- Contact Carol Lindberg, ext. 8073 for assistance with any formatting or other problems with the template.

F. After opening the template for the first time, save it under a new file name using the format:

Department initials COOP Plan month 20yy.xls

Example: EHS COOP Plan 10 2009.xls

**Please save your document as an Excel 2007 version (.xlsx extension).
Always remember to back up your work!**

G. Appoint a COOP Contact for your department. The COOP Contact will coordinate the completion of the department’s COOP plan by working closely with all members of the department and coordinate with the campus COOP Team and COOP manager. The department head will have ultimate responsibility for reviewing and authorizing the department’s COOP plan.

H. For the purpose of completing any COOP plan or documents, the term “department” will mean any academic department, work unit or administrative function at UW Superior.

Example: The Environmental Health and Safety program is a one-person department. It will complete a Department COOP plan just like all other critical departments, work units or administrative functions on campus.

I. The department should complete the following worksheets first, as the information they contain will be needed to complete other worksheets.

- Dept COOP Info
- Dept COOP Overview
- Leadership Succession
- Call Tree
- Primary Functions

I. Keep your plan up to date. Remember to update names and contact information as positions or staffing changes. Once your plan has been developed, review your plan at least twice a year. A suggested interval is the beginning of every semester.

Step 2 Planning Scenario

All departments will use the same planning scenario to prepare their Department COOP Plan. Throughout the preparation of your template, assume that ***both*** of the following situations would occur simultaneously during a COOP emergency:

- Facility loss or severely damaged [example: flooding, fire, tornado]: Assumes that the building your department utilizes has suffered extreme damage and is unusable. Your department will need to relocate to a different facility on or off campus for 3 or more months.

- 30% Staffing Loss: [examples: Pandemic situation, reduction in force due to closure of campus from severe facility loss] Assumes that the staffing levels in your department have been severely impacted. The impact to departments directly resulting from this scenario could include the curtailment or cancellation of public gatherings and academic functions, and / or external services are impacted. Departments or functions may be relocated as needed to conserve facilities or to isolate people from disease while continuation of critical functions.

Remember: Any substantial impact on staffing levels and/or facilities is very likely to impact our technology resources as well. Your planning should consider that information technology (computers, email, internet, and even phone services) may not be available at the onset of a COOP emergency.

Step 3 Complete the Department Information-Plan Management Worksheet

The department information and COOP plan management worksheet identifies your department's leadership, COOP contacts, the types of spaces utilized, and the COOP plan review log.

- A. Open the worksheet with the tab labeled “Dept Information” to begin.
- B. Complete ***Section A. Department Identification Section*** by providing:
 - The Name of your department. The name of your department will automatically be entered into other locations of the work book.
 - Phone number, building and room number for the primary department office
 - The name, email address, office phone and fax number for:
 - Department Head – *the term ‘department’ will mean any academic department, work unit or administrative function at UW Superior.* The name and contact information for the Department head will automatically be entered into other sections of the workbook.
 - Department COOP Contact – this is the individual within the department who will coordinate the completion of the plan and coordinate with the campus COOP team. The COOP contact should work closely with all department members when completing this plan.
 - Cabinet Officer the department reports to.
- C. Complete ***Section B. Department Function:***
 - Indicate with an “X” the principle function(s) of your department in column B. If your function isn’t described in the list provided, provide a brief 1-2 word description of your department’s function(s) on lines listed as “Other”.
 - Summarize the number and types of spaces your department now utilizes in column D. Provide only a number. It is not important to identify where the spaces are presently located or how large they are – this information will be requested on another worksheet.
- D. Complete ***Section C Department Plan Review and Revision History.***

This section provides an on-going record of the department’s review and editing of the COOP plan, beginning with its first issue after completion. The department’s COOP Plan should be reviewed and revised whenever there is a staffing change within the department, and at least twice a year (beginning of each semester is recommended).

- Use the first line to enter the date the department completes their department COOP plan and submits it to the COOP team for review. Enter the date and the reviser’s name (COOP contact) under the appropriate headings.
- With each review or revision (including changes that result from the COOP Team review), indicate the date, and the reviewer or reviser’s name in the chart. List the sections modified under the “Identify Sections/Worksheets Revised” heading.

Example: if a new vital record is added on the Vital Records and Procedure worksheet, it could be indicated as: “vital record added – Sec. A Vital Records and Procedure”.

Example of a Completed Department Information Worksheet

	A	B	C	D	E
1	Environmental Health and Safety				
2	Department Continuity of Operations Plan				
3	<i>Instructions:</i> This COOP Planning template consists of a group of worksheets that will describe how your department will return to operation following an emergency that severely impacts our facilities or workforce. This worksheet identifies your department's basic functions, COOP contacts and COOP document review log				
4	<i>When your plan is complete, share paper and electronic copies with all of your employees. Submit an electronic copy to Carol Lindberg, UWS COOP Coordinator. Keep your plan up to date by reviewing it frequently.</i>				
5	Section A. Department Identification				
6	<i>Instructions:</i> In this section, identify your department and the cabinet position it reports to. Also identify your department head who will approve this COOP plan, the person who will be the department COOP contact and their contact information. These individuals may be contacted by the COOP team for more information.				
7	Department Name:	Environmental Health and Safety			
8	Dept. Office Loc (Bldg & Rm):	Hazardous Waste Facility	Main Dept. Phone #	715-394-8073	
9	Primary COOP Contacts	Name	Email	Phone	Fax
10	Department Head:	Carol A. Lindberg	clindber@uwsuper.edu	715-394-8073	715-394-8418
11	Dept. COOP Contact:	Carol A. Lindberg	clindber@uwsuper.edu	715-394-8073	715-394-8418
12	Cabinet Officer:	Janet Hanson	Jhanson@uwsuper.edu	715-394-8014	715-394-8171
13	Section B. Department Functions				
14	Principle Function	Check all that apply (x or X)	Summary of the Spaces Now Utilized by the Department		
15			# of Rooms/Spaces utilized		
16	Instruction		Office space	1	
17	Student Life Support		Classroom spaces		
18	Laboratory Research		Studio spaces		
19	Other Research: (list)		Laboratory spaces	1	
20	Research Support		Rec/Athletic spaces		
21	Administration	x	Residential spaces		
22	Facilities Support	x	Storage spaces	1	
23	Other: describe	Safety and emergency response planning	Other:		
24					
25					

	A	B	C	D	E
26	Section C. Department Plan Review and Revision History				
27	<i>Instructions:</i> Your department's plan should be reviewed at the beginning of each semester. Keep a record of the dates of the review and revisions in the log below. If sections or worksheets are modified, record the information in the chart.				
28	Date	Reviewer / Reviser Name	Review or Revision	Identify Sections/Worksheets Revised	
29	2/14/2009	Carol Lindberg	Plan Initial Issue Date		
30	7/15/2009	Carol Lindberg	Updated	Primary Functions, Policy & Procedures sec B	Critical functions
31	8/30/2009	Carol Lindberg	Updated	Service Provider list	
32	10/1/2009	Carol Lindberg	Updated	Added Task list to each Critical function sheets	

Step 4 *Complete the Department COOP Overview Worksheet*

The Department COOP Overview provides a brief overview of your department to the COOP Team who will review your Plan, and to the COOP Emergency Response Team who will work with your department if and when a COOP emergency exists.

- A. ***Section A Planning Scenario*** requires no editing and no additional information.

This section provides the planning scenario that all departments will use to formulate their COOP plans. While preparing your departments COOP plan, assume that an emergency has caused the facility your department utilizes to be severely damaged and your department will need to relocate to a different facility off campus for 3 or more months, and that your department has experienced a 30% reduction in staffing. Critical functions will need to be maintained even though there are staffing losses. Staffing losses may result from a reduction in force due to an emergency situation, relocation or rescheduling of work hours, or illnesses such as a pandemic influenza.

- B. Complete ***Section B. Department Overview:***

This section will provide a brief description of the department to the COOP team. Briefly describe your department’s mission, teaching, research and service objectives in the space provided (cell A7). You may use as many characters as needed, but please be brief. If needed, press “alt-enter” to start a new line or paragraph of text within the cell. Text will automatically wrap to a new line, and the row height will adjust automatically.

- C. Complete ***Section C. Department COOP Objectives:***

The goal of your department COOP plan is to assist your department to re-establish the essential (critical) services necessary to return to an operational state within 30 days after a major operational interruption. Identify your department’s objectives to meet this goal. Remember that objectives are specific and measurable statements.

Press “alt-enter” to start a new line or paragraph of text within the cell. Text will automatically wrap to a new line, and the row height will adjust automatically.

The essential (critical) services that should be included in this section include those functions that absolutely must be restored within 2 weeks after the emergency has stabilized. Critical services typically include regulatory, financial, and basic human needs such as food, shelter, etc.

- D. Complete ***Section D. Unique Department Conditions.***

Evaluate the impact the COOP planning scenario may have upon the department and describe any unique situations or conditions that your department may face if your department had to relocate for an extended period of time and experienced a 30% staffing loss. You may use as many words as needed, but please be brief.

Press “alt-enter” to start a new paragraph of text within the cell. Text will automatically wrap to a new line, and the row height will adjust automatically.

Example of a Completed Department COOP Overview Worksheet

A	
1	UW Superior Example Department
2	Department COOP Overview
3	Section A. COOP Planning Scenario
4	<p>COOP Planning Scenario: For the purposes of COOP planning and completing this template, assume your department has experienced:</p> <ul style="list-style-type: none"> • A severely damaged facility and will need to relocate to a different facility off campus for 3 or more months, <u>and</u> • a 30% staffing loss. Critical functions will need to be maintained even though there are staffing losses. Staffing losses may result from a reduction in force due to an emergency situation, relocation or rescheduling of work hours, or illnesses such as a pandemic influenza.
5	Section B. Department Overview
6	<p><i>Instructions:</i> Please provide a brief overview of your department in the space below. Include information such as your department's mission, teaching, research and service objectives. Use as many characters as needed to describe your department. Text will automatically wrap to a new line and the row height will adjust automatically. Contact Carol Lindberg, ext 8073, if formatting assistance is needed.</p>
7	<p>The Environmental Health and Safety (EH & S) Program provides assistance and guidance to the campus community in safety, environmental health, and some environmental compliance programs on the UW-Superior campus. The program has strong ties to Workers Compensation, Facilities Management and the science departments on campus, serves as the campus liaison to the Superior Fire Department, and shares responsibilities for emergency planning with Campus Safety. The services provided by EH & S include hazardous waste management, occupational health and safety training, monitoring employee exposures to chemical or physical hazards, ergonomics, fire safety, and serves as the OSHA-required Chemical Hygiene Officer for laboratories.</p>
8	Section C. Department COOP Objectives
9	<p><i>Instructions:</i> Your department would experience a considerable business interruption if the conditions in the COOP planning scenario occurred. In the space below, please describe your department's objectives for restoring its critical functions following significant business interruption like the COOP planning scenario (above). Be concise, but use as many characters as needed. Text will automatically wrap to a new line and the row height will adjust automatically. Contact Carol Lindberg, ext 8073, if formatting assistance is needed.</p>
10	<ul style="list-style-type: none"> <input type="checkbox"/> Provide assistance as needed during the emergency response, damage assessment, and recovery as outlined in the UW Superior Emergency Response plan. <input type="checkbox"/> Assist in the review of proposed relocation sites for occupant safety, life safety and environmental concerns. <input type="checkbox"/> Implement practices and plans that provide for the safety of students, employees, and visitors of the campus, including occupational safety, life safety and hazard recognition. <input type="checkbox"/> Assist in ensuring the campus remains in compliance with applicable codes, policies and regulations for safety and the environment. <input type="checkbox"/> During a COOP emergency, implement plans and actions to achieve a functional recovery and resumption of EH & S services.
11	Section D. Unique Department Conditions
12	<p><i>Instructions:</i> Considering this COOP Planning scenario, describe any unique situations or conditions that your department may face if your department had to relocate for an extended period of time and experienced a 30% staffing loss. Be concise, but use as many characters as needed. Text will automatically wrap to a new line and the row height will adjust automatically. Contact Carol Lindberg, ext 8073, if formatting assistance is needed.</p>
13	<p>EH & S has several unique situations that should be recognized in COOP planning and response. The first is that the program is essentially a one-person department with multiple responsibilities. Some assistance is provided by other work areas as needed, including the Facilities Engineer who serves as the Assistant Environmental Health and Safety Director. EH & S also has strong affiliations with Facilities Management, Campus Safety and the laboratory sciences for assistance and relies upon them for assistance as needed. However, during a COOP emergency, the assistance provided by other work areas may be limited as the campus attempts to address multiple priorities.</p> <p>The functions of spill reporting and hazardous waste management presents a challenge; spills must be reported promptly to the state and federal authorities. Hazardous wastes need to be secured after they are generated, and may require specialized storage areas. Hazardous wastes and spills should be anticipated if a significant damage occurs to a campus building.</p>

Step 5 Complete the Leadership Succession Worksheet

Whenever a Department's leadership is unavailable or incapable of performing his/her legally authorized duties, other individuals need to be authorized to meet the operational needs of the department. This is called "succession" of leadership authority.

In most COOP emergencies, the successor(s) will consult with the Department's Cabinet Officer to establish the limits of authority for major decisions and budgetary authority based on the conditions at that time. All personnel issues such as hiring, discipline, or reduction in force, should be reviewed with both the Cabinet Officer and Human Resource Director. This delegation of authority will take effect when normal channels of direction are disrupted, and will terminate when normal channels are resumed.

If the Department has unusual conditions affecting the delegation of authority, such as regulatory requirements that are person-specific, or a limited number of people within the department, the department must prepare a guideline defining the rights and limitations of succession regarding authority to conduct department business.

- A. Open the worksheet with the tab titled "Leadership Succession".
- B. The Department Head's name, email address and campus phone will automatically be entered according to the information provided in Section A of the Department COOP Information worksheet. **Add** in the Department Head's cellular phone, home phone and other means of contacting him/her.
- C. Indicate the first, second and, if possible a third, successor for your department's leadership. Small departments, where the number of successors is limited, should work with their Cabinet officer to identify additional successors. For example, a small department could choose to delegate specific functions to others outside of the department who are familiar with the process. See Step E for documenting such transition of functions to others.
- D. Provide all of the requested contact information so the successor(s) may be contacted during an emergency.
- E. If the Department has unusual conditions affecting the delegation of authority, the department will prepare a guideline defining the rights and limitations of succession regarding authority to conduct department business. This guideline must be identified in the "Vital Records and Procedures" section of the Department COOP Plan.

Leadership Succession							
1	Succession to office is essential in the event that Department leadership is unavailable or incapable of performing their legally authorized duties, roles and responsibilities. Orders of succession provide for the orderly and predefined assumption of offices during day-to-day operations or during an emergency.						
2	<i>Rights and Limitations of Succession:</i> During COOP emergencies, the successor(s) will consult with the Department's Cabinet Officer to establish the limits of authority for major decisions and budgetary authority based on the conditions at that time. All personnel issues such as hiring, discipline, or reduction in force, should be reviewed with both the Cabinet Officer and Human Resource Director. This delegation of authority will take effect when normal channels of direction are disrupted, and will terminate when normal channels are resumed.						
3	If the Department has unusual conditions affecting the delegation of authority, the department will prepare a guideline defining the rights and limitations of succession regarding authority to conduct department business. This guideline must be identified in the Vital Records and Procedures section of the Department						
4	Department Leadership Succession						
5	<i>Instructions: List the people who can make operational decisions if the head of your department is absent.</i>						
6		Name	Email	Office Phone #	Home Phone #	Cell Phone #	Other
7	Dept. Head	Ima Boss	iboss@uwsuper.edu	715-468-1234	715-289-4321	218-999-0909	bossman@ISP.net
8							
9	First successor	Al Work	Awork@uwsuper.edu	715-468-2143	715-369-9919	218-888-0808	
10							
11	Second successor	John Smith	Jsmith@uwsuper.edu	715-468-4213	218-977-6161	218-777-1234	218-777-2234
12							
13	Third successor	Alice Helper	Ahelper@uwsuper.edu	715-468-1200	715-369-0234	715-555-0505	

Step 6. Prepare a Department Call Tree

The most critical part of any emergency is to provide brief, concise information and instructions to the campus community quickly and accurately. To accomplish this, all departments will maintain call trees that include both normal and alternate means of communication with its members. Employees should be encouraged to keep copies of the department's call tree at home, in their car and at work. *Remember: In a catastrophic situation, the systems that support the campus's ability to communicate may be compromised and alternate means will be necessary.*

The primary caller and/or Alternate(s) identified in the Call Tree will be contacted by their Cabinet officer to disseminate information. The Primary (or alternate) caller will then make personal contact with each member of the department on the list and share a scripted message regarding the emergency. There is additional information about using and maintaining "Call Trees" in the Mass Communication Annex of the emergency response plan, available at <http://www.uwsuper.edu/emergency/communication/index.cfm>

- A. Open the worksheet with the tab titled "Dept Call Tree".
- B. Complete **Section A Call Tree Caller** section:
 - o Identifying the primary caller and three alternates and contact information for campus email, phone, cellular, home phone or other contact means.
- C. Complete **Section B Department Employees**:
 - A. Identify all members of the department in the tree along with their contact information, including the employees in the Caller section.
 - B. Each member will be contacted by the Primary caller or alternate.
- D. Distribute copies of the Call Tree to each department member, Campus Safety and Human Resources.
- E. Update the call tree whenever a change in department personnel occurs.

	A	B	C	D	E	F	G
1	UW Superior Example Department						
2	Department Call Tree						
3	All departments will maintain call trees to contact employees in an emergency. The primary caller and/or Alternate(s) identified in the Call Tree will be contacted by their Cabinet officer to disseminate information. The Primary caller or alternate will then make personal contact with each member of the department on the list and share a scripted message regarding the emergency. There is additional information about using and maintaining "Call Trees" in the Mass Communication Annex of the emergency response plan, available at http://www.uwsuper.edu/emergency/communication/index.cfm . All employees are responsible for keeping informed of emergencies by monitoring news media reports, UWS's home page and the Emergency [Weather] Hotline (715-394-3400).						
4	<i>Instructions:</i> List all of the people in your department and all available methods of contacting them in case of an emergency. Keep this up to date. Each employee should have a copy of the list in their office, in their vehicle and at home.						
5	Section A Call Tree Caller						
6	Call Tree Caller	Name	Email	Office Phone (###) ###-####	Home Phone (###) ###-####	Cell Phone # (###) ###-####	Other Means of Contact
7							
8	Primary Caller	Ima Boss	lboss@uwsuper.edu	715-468-1234	715-289-4321	218-999-0909	bossman@ISP.net
9	First Alternate	Al Work	Awork@uwsuper.edu	715-468-2143	715-369-9919	218-888-0808	
10	Second Alternate	John Smith	Jsmith@uwsuper.edu	715-468-4213	218-977-6161	218-777-1234	218-777-2234
11	Third Alternate	Alice Helper	Ahelper@uwsuper.edu	715-468-1200	715-369-0234	715-555-0505	
12	The first available caller will make personal contact with all other employees on the list, including the alternate callers.						
13	Section B Department Employees						
14	Dept. Employees	Name	Email	Office Phone (###) ###-####	Home Phone (###) ###-####	Cell Phone # (###) ###-####	Other Means of Contact
15							
16	Employee:	Ima Boss	lboss@uwsuper.edu	715-468-1234	715-289-4321	218-999-0909	bossman@ISP.net
17	Employee:	Al Work	Awork@uwsuper.edu	715-468-2143	715-369-9919	218-888-0808	
18	Employee:	John Smith	Jsmith@uwsuper.edu	715-468-4213	218-977-6161	218-777-1234	218-777-2234
19	Employee:	Alice Helper	Ahelper@uwsuper.edu	715-468-1200	715-369-0234	715-555-0505	
20	Employee:	Matt Summer	Msummer@uwsuper.edu	715-468-3323	715-238-5512	218-880-8808	summertime@ISP.net
21	Employee:	Jane Winter	Jwinter@uwsuper.edu	715-468-3003	715-333-3030	715-333-3030	
22	Employee:	Joe Fall	Jfall@uwsuper.edu	715-468-2002	218-999-0909	None	
23	Employee:						

Step 7 Complete the Primary Functions and Recovery Time Objective Worksheet

Although all campus functions are important, not every function performed on campus must be sustained in an emergency. When a business interruption occurs, your department's essential (primary) functions will need to be restored to operational condition before less critical functions are restored. The Primary Functions worksheet of your COOP plan will identify your essential functions, and provide a time frame that those functions must be restored after a business interruption or outage (*recovery time objective, RTO*).

Critical functions are those primary functions that must continue with no or minimal disruption and enable us to provide vital services, maintain core business functions and protect the campus community, assets and infrastructure. Critical Functions are prioritized according to recovery time objectives:

- *Primary Critical Functions* have a recovery time objective of 12-24 hours. Examples include functions that protect human health, life or safety, the environment or the University's financial status.
- *Secondary Critical Functions* have a recovery time objective of 1 – 14 days. Examples include functions that may cause state or federal funding to be lost, research deliverables, restoration of phone services, etc

- A. Open the worksheet with the tab titled "Primary Functions".
- B. List the ***Essential (Primary) Functions of the Department*** that must be recovered within 30 days in column B. Keep the description very brief and concise. *Note: You do not need to enter them in any particular order, however remember that the Excel "sort" feature cannot be used on this spreadsheet.*
- Be concise. There is a maximum of 255 characters allowed to describe each primary functions.
 - The primary functions should be reflective of your mission.
 - Your department may have functions that are seasonal, such as enrollment, athletic events, seasonal weather activities or business functions. If the primary function is seasonal, indicate the months that that activity should be expected to take place in parentheses immediately after the function.
- Example: Maintain emergency access to buildings during snow storms (November-April).*
- C. ***Assign a Recovery Time Objective (RTO)*** for each primary function listed in column B by placing an "X" in the appropriate column. *Note: You cannot use the Excel "sort" feature on this spreadsheet.*
- If the function is critical to the survival of the University and must be recovered within the first 24 hours, place a check (X) in the 24 hr column.

- If the function **must** be restored within 24 hours – 14 days, place a check (X) in the 14 day column.
- For each function identified with an RTO of 24 hrs or 14 days, your department will be asked to complete a “Critical Function” worksheet (blue tab).
- If the function must be restored between 14 - 30 days, place a check (X) in the 30 day column.
- The RTO your department assigns will be reviewed by the COOP team to determine the campus priorities during an emergency.

Example of a Completed Primary Function and Recovery Time Objective Worksheet

	A	B	C	D	E
1	ABC Department				
2	Department Primary Functions and Recovery Time Objectives				
3	<p>Completing this Table will help your department recover all of its primary functions and assist the campus in determining the Critical Functions that need to be restored first following an emergency.</p> <p>Critical functions are those functions that must continue with no or minimal disruption and enable us to provide vital services, maintain core business functions and protect the campus community, assets and infrastructure. Although all campus functions are important, not every function performed on campus must be sustained in an emergency. The Critical Functions are prioritized according to recovery time objectives:</p> <ul style="list-style-type: none"> ○ Primary Critical Functions have a recovery time objective of 12-24 hours. The loss of primary critical functions would cause a catastrophic effect on the infrastructure or mission of the campus. ○ Secondary Critical Functions have a recovery time objective of 1 – 14 days. <p>A Recovery Time Objective is the period of time that the systems, functions or applications must be restored after an outage.</p>				
4	<p><i>Instructions</i></p> <p>1. List each primary function that your department performs in the table below.</p> <p>2. For each of the primary functions listed in the table, recommend a Recovery Time Objective for restoring that function after a catastrophic incident has occurred. Your recovery time objectives will be reviewed by the Campus COOP Team and adjusted as needed.</p>				
5		Primary Functions of the Department	Recovery Time Objective		
6		<i>(Use 255 characters or less)</i>	24 hr	14 days	30 days
7	1	Maintain heat in all buildings	x		
8	2	Maintain electrical service in all buildings	x		
9	3	Maintain sanitary services to buildings (domestic hot and cold water, toilet facilities, cooking, cleaning)	x		
10	4	Maintain campus telecommunication systems in operable condition	x		
11	5	Maintain emergency access to buildings during snow storms (November - April)	x		
12	6	Provide purchasing assistance for supplies to support building maintenance		x	
13	7	Maintain campus summer landscape (grass mowing, weeding flower beds)			x
14	8	Provide routine custodial services to all buildings		x	
15	9				

Step 8. Complete the Emergency Access to Information and Systems Worksheet

Department's depend upon specific information or systems in order to conduct routine business. Examples may include IT infrastructure, UW System based information systems, or federal systems. Your department will use this worksheet to identify the information and systems it is dependent upon, and identify an alternate means of accessing the information should the system be unavailable.

- A. Open the worksheet with the tab titled "Emergency Info Access".
- B. In column A, *identify your department's information and systems* that would be essential to have access to during or following an emergency. Examples of information and systems could include:
 - a. Remote access to data stored on department computers
 - b. Access to computer systems that are essential to specific functions or operations
 - c. Databases or resource information (such as pdf manuals, books, regulations)
- C. In column B, briefly describe your department's *emergency access plan* to the systems and information. This may include remote access (or authorization to allow remote access), contacting IT support, off-site data backup, backup files on flash drives, hard copies, etc.

Important Note: While preparing this plan, remember that the planning assumptions include the total loss of the facility your department utilizes and 30% staffing reduction. The campus infrastructure where your information is normally stored may have been compromised. Normal department operations should always include backup plans for essential information.

Example of a Completed Emergency Access to Information Systems Worksheet

	A	B
1	Department ABC	
	Emergency Access to Information and Systems	
2	If access to your department's information and systems is essential in an emergency, describe your emergency access plan below. This may include remote access (or authorization to allow remote access), contacting IT support, off-site data backup, backup files on flash drives, hard copies, or use of alternate email systems (e.g., Yahoo).	
3	Information or System	Emergency Access Plan
4	Department courses on Learn@UWSuperior	Coursework for ABCD XXX, XXX, XXX classes are stored on server X, backed up daily by IT. IT will be contacted for assistance in restoring access to courses. Individual instructors maintain outlines of coursework maintained in Learn@UWSuperior.
5	Access to Departmental computers	The department chair and support staff maintain their work on their "G:" drive, backed up daily by IT. IT will be contacted for assistance in establishing remote access. Critical files are also backed up on flash drives kept by the ADA.
6		
7	Campus Energy Management System	System maintained on server and backed up daily. Backup stored off-site at XYZ location. No paper copies.
8	Campus facility blueprints/drawings	Current drawings maintained in CAD files on server. Server is backed up daily. Backup is stored off-site at XYZ location. Paper copies of all blueprints are maintained on-site. UW System maintains paper and CAD copies.
9		

Step. 9 Complete the Vital Records, Policies and Procedures Worksheet

This worksheet is requesting information from the department regarding the vital records and essential policies and procedures needed by the department to perform its essential functions.

In COOP planning, **vital records** are those records or documents that the Department needs to carry out essential functions under emergency situations or are difficult to replace. Examples of vital records include blueprints, financial records, personnel records, inventories, etc. Do not include records that may be useful but are not necessary to performing essential functions.

During a COOP emergency, employees who normally perform certain key functions may not be available to continue their duties, so it is crucial that documented policies and procedures be maintained by the Department. The policies and procedures should be available in multiple formats and cross-training should be provided within the work units.

A. Open the worksheet with the tab titled “Vital Records and Procedures”.

B. Complete **Section A, Department Vital Records**:

Section A identifies the vital records, databases or forms that are essential to the department operational needs during an emergency. This section also identifies the format(s) of the vital record and where it is kept, and how the record is backed up. *Examples of Vital Records include: Personnel records, purchasing records, contract lists inventories, student records, names of patrons, contributors or donors, and this department COOP plan.*

1. Identify the vital records, databases or forms that would be essential to the department’s operational needs during an emergency.
2. Indicate if the record is owned and maintained by the campus or by the department.
3. Indicate the format(s) available for each record, where it is kept and the backup method.

C. Complete **Section B Department Essential Policies and Procedures**:

Section B is used to identify your department’s critical policies and procedures, the owner of the record, the formats available and location. *Examples include: Written purchasing procedures, department-specific personnel procedures, such as succession procedures, equipment operating procedures or manuals, campus plans or procedures utilized by your department*

1. Identify the policies and procedures that would be essential to the department’s operational needs during an emergency.
2. Indicate if the record is owned and maintained by the campus or by the department.
3. Indicate the name (or positions) of anyone who is cross-trained in the policy or procedure.

Example of a Completed Vital Records, Policies and Procedures Worksheet

A	B	C	D	E	F	G
Vital Records, Policies and Procedures						
2	<p>This worksheet is requesting information from the department regarding the vital records maintained or used by the work unit and the essential policies and procedures needed by the department to perform its essential functions. In COOP planning, vital records are those records or documents that the Department needs to carry out essential functions under emergency situations or are difficult to replace. Examples of vital records include blueprints, financial records, personnel records, inventories, etc. Do not include records that may be useful but are not essential to performing the service.</p> <p>During a COOP emergency, employees who normally perform certain key functions may not be available to continue their duties. In order for a department to continue its critical functions, documentation in the forms of policies and procedures are essential, and cross-training should be provided within the work units.</p>					
Section A. Department Vital Records						
5	<p><i>Instructions:</i> Identify the vital records, databases or forms that are essential to the department operational needs during an emergency. Ensure such records are properly stored, backed up and safeguarded. Ensure all electronic records (programs and data files) are appropriately backed up and stored offsite.</p>					
6	Record Owner	Description/Name of Vital Record, Database or Form <i>(Use 255 characters or less)</i>		Formats Available & Location <i>(use less than 200 characters for each entry)</i>		Indicate the backup method & where the backup is kept <i>(use less than 200 characters)</i>
7	Campus	Dept		Electronic Where is it kept?	Paper Where is it kept?	
8	1	X	Contact phone list for essential suppliers	Yes. On Outlook contact list	Yes. Copy of contact list is kept in blue binder on shelf.	Outlook Contact list is archived on G: drive
9	2	X	Hazardous waste inventory, for current years and all years back to 1996 (spreadsheets).	Yes. Excels file on main office computer.	Yes. Waste inventory inventory sheets for each container in file cabinet. End of year inventory filed with annual DNR report. Copies kept with shipment records.	Backup copies of electronic spreadsheets kept on G: drive
10	3	X	Training records (form of attendance sheets at training)	No	Paper copies of attendance records kept in file cabinet.	Entry of training attendance entered into training database
Section B. Department Essential Policies and Procedures						
28	<p><i>Instructions:</i> Identify your department's critical policies and procedures. Ensure the policy and procedure documents are current and available in various formats; i.e., in paper form and online. Ensure appropriate individuals have access to copies of critical policy documents. Copies should be current and maintained at multiple locations.</p>					
29						
30	Record Owner	Description/Name of Policy or Procedure <i>(Use 255 characters or less)</i>		Formats Available & Location <i>(use less than 200 characters for each entry)</i>		List employees cross trained to use the policy or procedure <i>(use less than 200 characters)</i>
31	Campus	Dept		Electronic Where is it kept?	Paper Where is it kept?	
32	A	X	Emergency Response Plan	Yes. Copy on Campus Web, and individual CD Copies	Yes. In red binder on shelf above desk.	Chancellor's cabinet, Facilities Director, Campus Safety Officers
33	B	X	Hazardous Waste Management Procedure	Yes. On computer in office and copy on G: drive	Yes. White binder on bookshelf labeled EHS Programs	K. Raihala, LSPI chemists and biologists.
34	C	X	Department pro-card purchasing procedures	None	Yes. File Cabinet	

Step 10. Identify the Internal and External Service Providers Dependencies

The essential functions of a department will have certain dependencies upon service providers from both on-campus departments and off-campus service providers, and there may be outside agencies that depend upon UWS for services. A prepared list of providers will assist the department in a smooth transition during a COOP emergency. Be sure to update this list when service providers, contracts, memorandums of understanding, or contact information changes.

- A. Open the worksheet with the tab titled “Service Providers”.
- B. Complete ***Section A Internal Dependencies on UW Superior Departments***. Identify your department’s dependencies on other internal departments on campus.
 - Identify the products and services upon which your department depends and contact information for the internal (UWS) departments that provide them.
 - Do not list ITS, payroll and human resources, purchasing/finance, Campus Safety and Facilities Management, as it is understood that all departments will rely upon their services.
 - Use 255 characters or less to identify the internal service or department.
- C. Complete ***Section B UW Superior Dependencies on Outside Vendors/Service Providers***. Identify your department’s dependencies on external vendors or service providers.
 - Identify the product or service, the name and contact information for the primary provider. Identify alternate providers that can deliver the same products or services.
 - Use 255 characters or less to identify the external service/product and suppliers.
 - Use 200 characters or less in the contact information columns
 - It is not necessary to have regularly utilized the services of the alternate; however during a crisis our primary vendors may not have sufficient personnel or goods to meet our demands.
- D. Complete ***Section C Key External Customers that Rely Upon UW Superior for Services***. Identify the key external customers that rely upon UW Superior for services or information. A pro-active approach in contacting important customers can be very effective in mitigating losses, so include external customers who would be offended if they were not contacted by UWS.
 - Use 100 characters or less to describe the service provided by UWS
 - Use 255 characters or less to identify the customer and contact information.

Example of a Completed Service Providers Worksheet

	A	B	C	D	E	F
1	UW Superior Example Department					
2	Service Providers					
3	The essential functions of a department will have certain dependencies upon service providers from both on-campus departments and off-campus service providers, and there may be outside agencies that depend upon UWS for services. A prepared list of providers will assist the department in a smooth transition during a COOP emergency. Be sure to update this list when service providers or contact information changes.					
4	Section A. Internal Dependencies on UW Superior Departments					
5	<i>Instructions:</i> All UWS departments rely on Energy Services, ITS, Payroll/Purchasing/Finance, Public Safety and Facilities Services. List below the other products and services upon which your department depends and the internal (UWS) departments or units that provide them.					
6	UWS Service or Product		UWS Provider	Contact	Campus Phone	
7	Reconciling Pro Card		Dept ABC Support Staff		ext 8400	
15	Section B. UWS Dependencies on Outside Vendors/Service Providers					
16	<i>Instructions:</i> List below the external products, services, suppliers and providers upon which your department depends. Identify the product or service, and the name and contact information for the primary provider, and for alternate providers) that can deliver the same products or services.					
17	<i>Use 255 characters or less in this column of information</i>			<i>Use 200 characters or less in the contact methods columns</i>		
18	Service/Product:	Whatchamacallit Service and repair		Phone	Emergency 24/7 Phone	Alt Contact Method (email, cell, web)
19	Primary Provider:	ABC Equipment Service and Repair		612-555-1212	1-888-333-3333	ABCfixits@fixit.net
20	Alternate provider:	XYZ Service and Repair		651-515-2121	1-888-222-2222	XYZteam@repair.net
21	Alternate provider:					
22	Alternate provider:					
93	Section C. Key External Customers that Rely Upon UW Superior for Services					
94	<i>Instructions:</i> List the Key Customers who rely upon UW Superior for services or information. A pro-active approach in contacting important customers can be very effective in mitigating losses, so include external customers who would be offended if they were not contacted by UWS.					
95	<i>Use 255 characters or less in this column of information</i>			<i>Use 200 characters or less in the contact methods columns</i>		
96	Service:	News Media - Television		Phone	Emergency 24/7 Phone	Alt Contact Method (email, cell, web)
97	Customers:	ISPY Television		218-555-1212	800-555-1212	ISPYteam@ISPY.net
98	Customers:					
99	Customers:					
100	Customers:					

Step 11 Complete the General Operational Needs for Physical Relocation Worksheet

This section seeks answers to the question: “*If your department had to relocate to a different location, what would the new site require to be minimally functional?*”

To answer this question, your department needs to identify the *basic* space (section A), equipment (section B) and technology (section C) that would be required for your department to function in an alternate location during a COOP emergency. The information will be used by the Emergency Relocation Group to assist your department to resume operations at an alternate site, either on or off campus.

Remember that relocation is a reaction to an emergency and critical needs will be met before department or personal preferences are met. When practical, some resources will be shared among multiple work units until full function is restored to normal.

Note: This worksheet contains cells that request specific types of answers. Some cells are protected and will not allow data entry or changes

- A. Open the worksheet with the tab titled “**General Operational Needs**”.
- B. Complete the Operational Needs Template by providing the requested information for each of the following sections:
 - **Section A: Operational Need - Physical Space Requirements**
 - **Section B: Operational Need - Equipment and Supplies**
 - **Section C: Operational Need - Technology and Communication**
- C. Data Entry Fields – Describes the type of physical space, equipment, supplies and technology your department would need if it were forced to relocate another building in an emergency.
 - **Req’d/Yes No** (Column A): For each item, click on the “no” in Column A and select either “yes” or “no” from the drop down list to indicate if the item will be required by the department when relocating. The default answer is ‘no’.
 - **Number (#) of Units Required** (Column B): If the answer in “Req’d” column was “yes”, indicate the number of units that would be required by your department. The default answer is “0” (zero). The quantity units are defined in the description in Column C. Cells that are blanked out are shared resources-a quantity is not required.
 - **Descriptions** (Column C): This column describes the most common space, equipment or supplies, or technology needs that departments may require, and defines what a ‘unit’ is for each item. At the end of each of the sections are blank lines for departments to add in specific requirements that are not listed – please note that a maximum of 255 characters is allowed. Items that are labeled “please detail” should be described in more detail in Column D by the requestor.
 - **Qualifiers / Notes** (Column D): This column provides a basic description about the item in the pick list and/or space for the department to provide short, concise details for any special needs for that line. Please use 255 characters or less.

Example of a Completed Operational Need's for Physical Relocation Worksheet

	A	B	C	D
5	Section A Operational Need - Physical Space Requirements			
	<i>Instructions for physical space needs:</i> This section is requesting information about the spaces that would be needed by the department if it had to relocate to an alternate site during a COOP emergency. For each item listed below, indicate whether or not the type of space will be required with a 'Yes' or 'No'. The default answer is "No". If the space is required, indicate the number (#) of units needed based on the number of people or the "units" as defined within the description. If asked to "Describe" provide a brief description of the space and minimum requirements.			
6				
7	Req'd Yes/No	# Units Needed	Description of spaces required by the department	Qualifiers/Notes
8	No	0	Classroom, cap of 1-20, 1 room per unit	Lights, heat, electricity, general ventilation are assumed to be available.
9	No	0	Classroom, cap of 11-35, 1 room per unit	Classrooms will have: desks or tables/chairs, chalk or whiteboards, AV
10	No	0	Classroom, cap of 36-50, 1 room per unit	Classrooms will have: desks or tables/chairs, chalk or whiteboards, AV
11	No	0	Classroom, cap of 51-80, 1 room per unit	Classrooms will have: desks or tables/chairs, chalk or whiteboards, AV
12	No	0	Classroom, cap of 81-100+, 1 room per unit	Classrooms will have: desks or tables/chairs, chalk or whiteboards, AV
13	yes	3	Office space with desk, chair. 1 person per unit	
14	YES	5	Conference space with table & chairs. 1 person per unit.	Specify the number of people the conference space needs to accommodate
15	YES	2	Workspace, general. 10 sq ft per unit.	
55	Section B Operational Need - Equipment and Supplies			
	<i>Instructions for critical equipment and supplies:</i> This section is requesting information about the types of equipment, tools and supplies required by the department to conduct the essential functions following a relocation to an alternate site. For each item in the list below, indicate whether or not the item will be required with a 'Yes' or 'No'. If the item is required, indicate a quantity (Qty) needed based on the number (#) of people or the number of "units" to plan for as			
56				
57	Req'd Yes/No	Qty	Description of Equipment and Materials	Qualifiers / Notes
58	YES	2	Work tables. 1 table per unit.	Typical: Folding tables. Average size is 3 ft X 6 ft.
59	YES	4	Visitor chairs 1 chair/unit	
60	YES	1	Access to a photocopier. No units required.	Photocopiers will be a shared resource
61	No	0	Shelving. 8 linear feet per unit.	
62	YES	2	File cabinets. 1 4-drawer cabinet per unit.	
63	No	0	Vault or safe. 1 each per unit.	
64	YES	3	Office supplies (pens, paper, clips, etc). 1 person per unit.	
95	Section C Operational Need - Technology and Communication			
	<i>Instructions:</i> This section is requesting information about the technology required by the department to conduct the essential functions following a relocation. For each item in the list below, indicate with a 'Yes' or 'No' whether or not the item will be required. If the item is required, indicate a quantity (Qty) needed based on the number (#) of people or the number of "units" to plan for as defined within the line item.			
96				
97	Req'd Yes/No	Qty	Description of Equipment or Services	Qualifiers / Notes
98	No	0	Classroom av equipment	Minimum: overhead projector and screen
99	YES	1	Television + VCR. 1 each per unit	
100	YES	1	Television + DVD. 1 each per unit	
101	YES	3	Email. 1 person per unit	
102	YES	2	Internet. 1 person per unit	
103	YES	3	Software: Microsoft Office Suite. 1 person per unit	Includes Word, Excel, Access, Internet Explorer, Outlook, etc.

Step 12. *Completing the Critical Function Worksheet(s)*

In the “Primary Functions” worksheet the department identified all of its primary functions that need to be operational within 30 days of a COOP emergency, and assigned a recovery time objective (RTO) of 0-24 hrs, 1-14 days or 15-30 days. The “General Operational Needs” worksheet prepared by the department identified the general operational requirements to re-establish primary functions within the first 30 days following an emergency.

Critical functions with a RTO of 24 hrs – 14 days will have the highest priority for restoration, and may require employees with specific training or skills, or specialized work areas, tools, equipment or supplies. The Critical Function Worksheet(s) are used to provide greater detail to meet the demands to restore the Critical Functions.

Examples of Critical Functions with RTO's of 24 hrs-14 days:

Core Business Functions: Payroll, Purchasing

Security Utilities

Housing students who could not return home

- A. **Complete one “Critical Function Worksheet” for each primary function with an RTO of 24 hrs – 14 days identified by the department in the “Primary Functions” worksheet.** Ten copies of this worksheet are provided. Use one of the “Critical Function” worksheets to make additional copies as needed. The “Critical Function Template” is available in the event a serious error is made in one of the worksheets. *Note: Some departments may not have critical functions meeting the RTO objectives and will not need to complete this section.*
- a. *To make additional copies of the worksheet:*
- i. *Click on the tab of the last “Critical Function #” worksheet completed.*
 - ii. *With the mouse over the tab, right click and select “Move or Copy”*
 - iii. *Highlight the position you would like the new spreadsheet inserted in the lineup.*
 - iv. *Click in the box: “Create a Copy”. A green check mark should be visible.*
 - v. *Select: “OK”.*
- B. Open a **“Critical Function (#)” worksheet** (blue tab), where “#” is a number.
- C. Complete the header section by **providing the critical function** and the recovery time objective assigned to it from the Primary Function Worksheet. Copy and paste may be used to enter the information. Then provide the name and title of the person completing the form and the date it was completed. Use 255 characters or less when completing the fields.
- D. **Complete Section A, the Critical Function Employee list**, by identifying the primary and secondary employees and/or positions key that could help perform this critical function.
- Identify the function(s) that each employee provides using 100 characters or less.
 - Make sure the contact information for the employee is current in the “Call List” tab.
 - All individuals listed must be cross trained to perform this critical function.

- E. **Complete Section B** by identifying any specialized physical space(s) required to meet this Critical Function. *Note: not all critical functions will require specialized spaces.*
- Identify the intended use of the space(s) using 255 characters or less.
 - Identify the amount of area required, and utilities to perform this Critical Function.
 - Do not include the spaces identified to meet the general operations needs of the department included on the “General Operational Needs” Worksheet.
- F. **Complete Section C** by identifying any specialized equipment, tools and supplies required by this critical function, the utilities required, and resources for replacement if there is a catastrophic loss. *Note: not all critical functions will require specialized tools, equipment or supplies.*
- Identify the specialized equipment required, the quantity, and any special voltage or utilities to operate the equipment. Indicate whether or not the equipment is available regionally for loan or purchase, and if so, where.
 - Do not include equipment listed on the “General Operational Needs worksheet.”
- G. **Complete Section D** It is imperative that the department critical functions be capable of being restored during a COOP emergency based on a hierarchy of need. If the employees who normally perform these functions are not available, then other employees will need to step in to assist. If written procedures do not exist, and employees are not cross-trained in the procedure, a Service Recovery Task List will need to be created.

Step D-1 Determine if a Service Recovery Task List is required

- Click on Column A and select either “yes” or “no” from the drop down list to indicate if the department has 2 or more people cross trained in the Critical Function indicated at the top of the page. If the answer is “Yes”, then a Service Recovery Task List does not need to be prepared.
- Click on Column A and select either “yes” or “no” from the drop down list to indicate if the department has written procedures for performing the Critical Function indicated at the top of the page. If the answer is “Yes”, then a Service Recovery Task List does not need to be prepared.
- If a written procedure already exists, list the title of the procedure in the line below, and include the written procedure by title in the “Vital Records and Procedure” section of the department Plan.

Step D-2 Create a Service Recovery Task List

- If the answer to the questions in D-1 are “no”, a **Service Recovery Task List** will need to be included with the Critical Function. The Service Recovery Task List is a series of steps that anyone unfamiliar with the process can use to re-establish the critical function if the critical employees are not available.
 - Use numbers to indicate the primary steps
 - Use numbers and letters to indicate sub steps in the task list (example: 1a)
 - Use a separate line for each step or sub-step. Keep the description to 255 characters or less.
- H. Continue completing copies of the Critical Functions worksheets until all of your Critical functions with an RTO of 24 hrs – 14 days have been finished.

Example of a Completed Critical Function Worksheet

1 Critical Function Worksheet				
2 <i>Instructions:</i> Complete one copy of this form for each critical function identified in the Primary Functions worksheet that has a recovery time objective of 0-24 hrs or 1-14 days. If prioritization is necessary, indicate an acceptable time frame in the RTO category for restoring this critical function.				
3 Department Name			UW Superior Example Department	
			Recovery Time Objective	
			4 0-24 hours	1-14 days
5 Critical Function: <i>(Use 255 characters or less)</i>			Maintain emergency access to buildings during snow storms (November - April)	
6 This form completed:			Guy Boss <i>Name</i>	Facilities Management Director <i>Title</i>
			1-Nov-10 <i>Date</i>	
8 Section A Critical Function Employees				
9 <i>Instructions:</i> Identify key individuals and/or positions necessary to perform this critical function. Refer to the Call List for contact information. All individuals listed must be cross trained to perform this critical function.				
10 Function <i>(100 characters or less)</i>		Primary Employee Name		Secondary Employee Name
11 Equipment Operator, snow removal		William Worker		Lester Snow
12 Equipment Operator, snow removal		James White		George Banks
13 Relief snow plow driver		Thomas Clack		John Spare
14 Maintain equipment		Timothy Click		
Special Comments <i>(100 characters or less)</i> Employees live outside city limits. May need additional time to report to work during snow emergencies.				
21 Section B Specialized Physical Space Required to Meet this Critical Function				
22 <i>Instructions:</i> Identify any specialized space's needed to perform this Critical Function. Do not include the spaces identified to meet the general operations needs of the department included on Department General Operational Needs Worksheet.				
23 Intended Use of Space <i>(use 255 characters or less)</i>		Area Required, sq ft	Are lights and electrical outlets required?	Is Heat required?
		Is ventilation required?		
24 Garage for vehicle maintenance		1000 sq ft	Yes	yes
25 Equipment parking area - outdoor		1000 sq ft	no	no
26 Break/Lunch facilities for extended work periods		100 sq ft	yes	yes
27 Sleeping areas for extended work periods		100 sq ft	yes	yes
28 Outdoor storage location for salt/sand road mix		500 sq ft	no	no
29 Section C Specialized Equipment Required to Meet this Critical Function				
30 <i>Instructions:</i> Identify all specialized equipment required by this critical function, the utilities required, and resources for replacement if there is a catastrophic loss. Do not include equipment listed on the General Operational Needs worksheet.				
31 Qty Req'd		Specialized Department Equipment <i>(use 255 characters or less)</i>		Utilities required by Equipment
				Replacement Availability
				Identify if water (W) , nat. gas (G), fuel type, or ventilation (V) is required
				Voltage requirement
				If this equipment is available for loan or rental regionally, specify where.
33 5		Snow throwers		gasoline
34 3		Maintenance vehicles with plow blades		gasoline
35 1		Vehicle with snow-brush adapter		gasoline
36 1		Front end loader		diesel
37 1		Dump truck		diesel
Menards, ABC Rental ABC Rental ABC Rental City of Superior, ABC rental City of Superior, ABC rental				
38 Section D Service Recovery Task List				
39 <i>Instructions:</i> Answer the questions below and then create a task list to restore this function if written procedures or cross trained employees are not available. List the step and description where indicated. Identify any written procedures below.				
40 Answer "Yes" or "No"		Step D1. Determine if a Service Recovery Task List Must be Written:		
41 NO		Are two or more employees cross trained on this critical function? If yes, a Service Recovery Task list is <u>not</u> required.		
42 NO		Are written procedures for recovering this critical function available? If yes, a Service Recovery Task list is <u>not</u> required. List the procedure(s) title below. Include the procedure(s) in the "Vital Records and Procedures" section of your plan.		
43 Written Procedure Name:				
44 <i>Instructions:</i> Create a task list that identifies the essential steps in restoring this critical function. Indicate the task / subtask steps, and briefly describe in the space provided. If established procedures are in place for restoring this function, refer to the procedure as a step in the task list.				
45 Task # or Sub-task #		Step D2. Service Recovery Task List - Step by Step Description <i>(use 255 characters or less)</i>		
46 1		Initiate call list for available staff to come in. Consider shift work if needed.		
47 2		Have service and repair staff on standby and establish a report time for long-duration events		
48 3		Assign priority areas for maintaining building access for emergency access		
49 4		Have overtime expenses pre-approved by supervisor		
50 5		Coordinate with Campus Safety to ensure access to buildings during potential emergencies		
51 6		Arrange for rest areas and meals for continuing shifts.		
52 7		If necessary, arrange for a relief shift to continue operations		

Step 13 Mitigation Strategies

Identifying your mitigation strategies is your most important step in COOP planning. One of the benefits of pre-planning is that it uncovers our vulnerabilities and risks. Once we have identified a risk or hazard through planning, applying a mitigating action can prevent adverse outcomes or reduce their severity and impact upon our work unit or campus.

- A. Open the worksheet with the tab titled “Mitigation Strategies”.
- B. **Identify your department’s vulnerabilities.** Review the information you have entered into your COOP Plan and list the department's vulnerabilities that could be acted upon to reduce the impact on your operations. Please use 255 characters or less.
- C. **Identify what can be done to mitigate the vulnerability.** Then list the mitigation strategy that would be effective in reducing the risk to your department. For example, you may wish to stock up on your critical supplies or develop contingency work-at-home procedures. Please use 255 characters or less.
- D. **Follow through on the mitigation strategy.** Set a time line to accomplish the mitigation action and then follow through.
- E. Keep your plan up to date and add new vulnerabilities and mitigation strategies as they are discovered, and update your time line as actions are completed.

Example of a Completed Mitigation Strategies Worksheet

	A	B	C	D
1	Department BCD			
2	Mitigation Strategies			
3	This is your most important step: Review the information you have entered into this COOP Template and list the department's vulnerabilities that could be acted upon now to reduce the impact on your operations. Then list the mitigation strategy that would be effective in reducing the risk to your department. For example, you may wish to stock up on your critical supplies or develop contingency work-at-home procedures. Be sure to set a time line to accomplish the mitigation action.			
4	Vulnerability	Mitigation Strategy	Mitigation Timeline	
5			Target Date	Completed
6	Not enough staff are cross trained to operate the widget equipment, which is vital to our operation.	Cross train staff to operate the widget equipment	3/15/2009	
7	The stock of disposable gloves on hand is not enough to last 30 days. If we run out, we are unable to protect employees while cleaning.	Maintain a stock of disposable gloves that will last 30 days, or find a regional vendor that can provide a supply on short notice.	7/1/2009	
8	Only one person understands the routine and non-routine tasks for the office management.	Develop a procedures manual and schedule for the department office and management tasks. Cross train other individuals on the procedures. Identify other individuals on campus who could serve as a resource.	9/1/2009	
9	Inventory data is not backed up	Implement a routine back up procedure for inventory data.	11/1/2008	10/30/2008
10	Department records in basement storage area is vulnerable to water damage if basement flooding should occur.	Move all department records and equipment in basement storage areas to locations that are 18 inches above the floor.	2/1/2009	
11				
12				
13				

Step 14 Submit the Department Plan for Review by the UWS COOP Team

- A. Review the plan you have completed with your department members and update the plan with any changes.
- B. Email a copy of your COOP plan to Carol Lindberg, Environmental Health and Safety, clindber@uwsuper.edu for review by the UWS COOP.
- C. The COOP Team will review your plan. The COOP team may request to meet with your department's COOP representative to clarify information.
- D. After the initial review some modifications may be needed to your plan. Once your department has made the modifications, the Plan should be re-submitted to the COOP team by emailing it to Carol Lindberg.
- E. When your Department's COOP plan is finalized, update the information on the Department Plan Review and Revision History Section of the Dept. COOP Info Worksheet, and submit a copy to the COOP team by emailing to Carol Lindberg.
- F. Share an electronic copy of the plan with your department, and make a paper copy for department records. Be sure to indicate in the "Vital Records and Procedures" worksheet where the electronic and paper copies of the COOP Plan can be found.
- G. Update your plan regularly.