INTRODUCTION

A Continuity of Operations Plan (COOP) is designed to provide valuable guidance for sustaining essential functions in response to an emergency incident. A COOP addresses the following disruptions to normal operations:

- Loss of part or all of a facility.
- Loss of services due to a reduction in workforce; and
- Loss of services due to equipment or utilities disruptions or failures.

A COOP is intended to minimize the impact on essential functions during recovery operations. Actions taken immediately before or during an incident, or documented in your plan, should be consistent with the plans, programs, and policies & procedures of Florida State University.

Incidents that limit your capacity to perform your essential functions may occur at any time. This guide is designed to provide a minimum planning standard for use in developing or strengthening your COOP. By maintaining a COOP you are better positioned to effectively respond to and recover from future disruptions.

The COOP development process begins with identifying the appropriate stakeholders for the University Unit. These stakeholders then develop a list of essential functions specific to the unit. Next, the COOP Coordinator will work to define and prioritize the essential functions, critical assets, and develop a risk profile. After completion of this documentation, the COOP Coordinator leads the development of the COOP Narrative, which addresses maintaining and recovering University Unit essential functions.

PLANNING CONSIDERATIONS

The three most important planning considerations are: loss of your facility, or part of your facility; a significant decrease in available staffing, or the loss of utilities and records (including important files, documents, and records necessary to maintain your operations). These types of loss can directly, and significantly, impact the ability to carry out the University Unit’s mission. The purpose of the Continuity of Operations Plan is to strategically identify and support key business processes and define the roles of those tasked with incident-recovery and restoration of University Unit functionality.

Research is an integral component of the mission of Florida State University. During the COOP planning process, it is important to consider University Unit research within the context of essential functions. Research is often reliant on specialized utilities, hazardous materials, third party vendors and technically skilled personnel. Incidents impacting any of these elements poses a risk of disruptions to on-going research, and protracted incidents may lead to irreparable damages to equipment, infrastructure, unique collections of samples and specimens, and loss of intellectual property.
COMPONENTS OF THE COOP

Essential functions are the foundation of the COOP. The strategic evaluation of business processes resulting in identification of select services and the critical assets of each define the core functions of the University Unit. They then drive the recovery process through strategic prioritization, pre-defined logistical needs, and pre-determined points of contact. The COOP Narrative accounts for the collective essential functions and provides for more global recovery guidance. The following information provides section by section guidance for completing the COOP.

To develop a strong COOP, the University Unit essential functions should be defined, and associated documentation completed, prior to the development of the COOP Narrative. This documentation includes: the essential function description; key personnel; critical resources; vital files, records, and databases; external contacts and vendors, and risk assessment. The COOP Narrative will identify and address the following University Unit specific information.

PERSONAL DETAILS

COOP Coordinators editing their plan for the first time will need to enter their cell phone number in order to continue.
MISSION STATEMENT

Insert the mission statement of the University Unit. This is an opportunity to identify the purpose for the organizational unit, which also serves to define operational norm laying a foundation for recovery post-incident. If your University Unit is made up of several departments or units, please include a mission statement which incorporates all of these departments or units.

COMMUNICATIONS

The Communications Plan should contain key personnel from the University Unit, affiliates, and vital vendors/service providers/contractors that would be essential to the implementation of the COOP. Typically, the implementation of the COOP requires a subset of employees serving key roles, thus not all need to be listed in the plan. It is recommended that University Units keep a full list of employees separately.

CONTACT LIST

You must include 3 COOP Coordinators and at least 1 Department Head/Director/Dean under the contact list.
VENDORS

There is no requirement to include vendors in your plan. It is encouraged that University Units include any vendors that they use day to day which would also be used during an emergency like cleaning vendors, food vendors, and others. Having all of the University Units vendors in one list makes it more convenient during an emergency to locate contact information.
LEADERSHIP

This section will form your COOP's leadership plan.

ORDER OF SUCCESSION

Consider the need to plan for succession in positions other than the Department Head/Director/Dean. Positions such as facility managers, researchers, administrators, etc. that serve in essential roles, should be considered in your COOP development. There must be at least one entry for the Department Head/Director/Dean of the University Unit. If the University Unit is made up of several departments each Department Head/Director/Dean should have a succession plan added. Additional plans may be added for other leadership positions.
DELEGATES OF AUTHORITY

Identification, by position, the authorities for making policy determinations and decisions at all University Unit locations. Some examples of delegations of authority may include COOP activation, signatory, contract or grant commitments, regulatory obligations, and financial obligations. The template provides for defining and limiting any delegation of authority. For instance, financial delegation may include a limit to the funding that may be committed. There is no requirement to include delegates of authority in your plan.

### Delegates of Authority

<table>
<thead>
<tr>
<th>Authority</th>
<th>Delegated To</th>
<th>COOP Activation</th>
<th>Triggering Condition</th>
<th>Limitations</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*No Delegates were found.*

---

**Delegate**

- **Authority:** Use search to populate [Search FSUID]
- **Delegated To:** Use search to populate [Search FSUID]
- **COOP Activation:**
- **Triggering Conditions:**
- **Limitations:**

[Add Delegate]

[Previous] [Next]
RISK ASSESSMENT TABLE

Completing this section will evaluate probabilities of potential disruptions, and associated consequences to the essential functions. This will help the University Unit better understand risks and vulnerabilities to its functions and supporting resources. Consider the impact an incident could have on the relationships with stakeholders. Consider situations that would cause customers to lose confidence in the University Unit and its services.

Default risks are compiled based on the University’s CEMP. University Units may add their own unique risks if necessary. Use of the included Decision-Making Matrix has been provided for your consideration. It should be considered another tool in your toolbox and is not a process that is required for future events.

<table>
<thead>
<tr>
<th>Details</th>
<th>Impact</th>
<th>Overall Risk</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>At Risk: People (Students, Faculty, Staff); Bldg. / Infrastructure; Systems &amp; Equip; IT, Business Ops</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hazard: Interior Fire</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scenario: Large fire at main office during mandatory staff meeting</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mitigation: Fire Safety Systems and Drills</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Probability: M - Medium</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Risk Assessment Table

- **Hazard Identification**
- **Vulnerability Assessment**
- **Impact Analysis**
EVACUATION PLAN

Each University-owned or leased facility is subject to the FSU Evacuation Policy. Each Administrator and appropriate Building Coordinator is responsible for developing, implementing, and updating building-specific University Unit Emergency Evacuation Plans in conjunction with the Emergency Management Coordinator and the Fire Safety Coordinator.

FSU Fire Safety will assist University Unit’s to create written Emergency Evacuation Plans. Copies of these plans can be made available to employees for review and use. A template for creating an emergency evacuation plan is provided in the COOP template.

University Unit’s should fill out one evacuation plan per building for the University Unit. If the University Unit is spread out between three buildings, there should be three evacuation plans in the COOP app.

RECOVERY

This section outlines the University Units plans for how the University Unit will continue to meet their essential functions and resources needed to assist in their mission.

ESSENTIAL FUNCTIONS

Documented here should be the University Unit's essential functions listed by priority. A Recovery Time Objective must be associated with each function. These objectives will of course depend on the nature of the event, extent of damage and access to available resources. Include the resources that would be required to maintain essential functions for a day, a week, or longer.

An effective COOP documents the processes providing for redundancy of key information, necessary to maintain Essential Functions. Identify the vital records, systems, and equipment, which support each essential function for your University Unit. Consideration should be given to the function both upstream and downstream. Utilize guidelines detailed in 4-OP-H-10, Information Technology Disaster Recovery and Backup Data Policy.

Essential functions are defined as services, programs, or activities which may not sustain an interruption greater than 30 days in order for the University Unit to continue operating at normal status. Not all these functions may be disrupted as a result of a given incident; however, consideration and evaluation of each will define the strategic goals of the University Unit with respect to recovery operations.

Some examples of University Unit Essential Functions are:

- Academic Advising
- Academic Instruction
- Basic Utilities (e.g. power, water, waste removal)
- Budget and Finance Administration
- Facility Operations
- IT Services
- Research (e.g., Operations, Data Collection, Animal Care)
### Essential Functions

All Essential Functions must have a Recovery Time

<table>
<thead>
<tr>
<th>Function Name</th>
<th>Recovery Time</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>Remote Work</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alternate Locations</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

![Add Essential Function](Add_Essential_Function.png)

#### Essential Function

Add Custom Essential Function:

**Recovery Time:**

- **Select**
  - Select
  - 6 Hours
  - 12 Hours
  - 24 Hours
  - 36 Hours
  - 48 Hours
  - 72 Hours
  - 96 Hours
  - 1 Week
  - 1 Custom
ESSENTIAL RESOURCES

Identify the type of resource(s) that would be needed for the essential functions of the University Unit. Resources may include equipment, facilities, people, supplies, and other specialized services.

<table>
<thead>
<tr>
<th>Category</th>
<th>Detail</th>
<th>Normal Quantity</th>
<th>24 Hr</th>
<th>72 Hr</th>
<th>One Week</th>
<th>Later</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>Managers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff</td>
<td>Primary site, relocation site and recovery site</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Office space</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Office equipment</td>
<td>Furniture, Phone, Fax, Copiers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Office technology</td>
<td>Desktop and laptops (with software), printers...</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vital records, data, information</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Production Facilities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Production machinery and equipment</td>
<td>Especially custom equipment with long repla...</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dies, patterns, molds, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>for machinery and equipment</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Raw Materials</td>
<td>Single or sole source supplies and possible a...</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Third party services</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

For Essential Resources to be marked as complete, each row's final quantity must be equal to or greater than its Normal Quantity.
RELOCATION PLAN / ALTERNATIVE FACILITY

Each University Unit’s COOP should designate an alternate operating facility with sufficient space, equipment, infrastructure systems, and logistical support to maintain operations for up to 30 days. The University is unlikely to be able to designate an alternate facility for each unit due to fiscal and resource availability constraints. In order to assist in relocation University Unit’s should detail space requirements to sustain essential function performance in this section. Attachments such as space plans/blueprints or leases can be uploaded in this section as well. University Unit’s should consider the approximate square footage or specialized rooms and/or laboratories that may be needed to continue their Essential Functions.

IMPLEMENTATION & RECONSTITUTION

In this section, the COOP Coordinator should assign tasks to individuals and positions. Typically, position titles are preferred over individual names. You may assign specific people to the identified tasks prior to an incident; however, please keep in mind that someone else may need to be assigned to the specific task if the primary assignee is not available. Alternatively, you may use Annex A at the time of notification to assign available individuals to the necessary tasks. Not all tasks will necessarily apply for a COOP activation and thus does not need to be assigned to any specific individual or position.
PLANS & PROCEDURES

Each University Unit should develop plans or Standard Operating Procedures (SOPs) specific to the overall organizational mission. Preparedness and mitigation activities including procedures for employees who perform pre-event activities or shut down critical operations should be incorporated into the plan or SOPs. Please list what SOPs or plans will work in concert with this COOP.

Plans at a minimum should identify the mechanisms used by the University Unit to communicate pertinent information internally among employees. Examples include how your University Unit plans to notify all members post-incident of what actions they should take (e.g., report to alternate location, or employees work from home).

SIGN OFFS / APPROVAL

Each University Unit must add at least one Approver. The approver should be a Department Head/Director/Dean or another high-level administrator.

Sign Offs / Approvals

<table>
<thead>
<tr>
<th>Name</th>
<th>Email</th>
<th>Cell Phone</th>
<th>Remove</th>
</tr>
</thead>
<tbody>
<tr>
<td>No one was found.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Add Sign Off
SUBMISSION & ACKNOWLEDGEMENT

University Units will need to read and acknowledge each statement before they can submit their plans.

Submission & Acknowledgements

- Plan Security

While a Continuity of Operations Plan (COOP) is not considered a classified document, it does contain sensitive information and its handling and distribution should be controlled and limited, both electronically and in hard copy.

Section 119.071(5)(j), Florida Statutes, provides an exemption from public records requirements for all information furnished by a person to an agency for the purpose of being provided with emergency notification by the agency, including the person’s name, address, telephone number, e-mail address, or other electronic communication address.

I have read and agree to the Plan Security Agreement.

- Testing/Drill/Exercises

Periodic testing of the COOP is the responsibility of the individual University Unit to perform as needed to verify that the COOP program is adequate to support the needs of the University Unit when responding to an emergency, major disruption, or natural or man-made disaster during an emergency.

Along with verifying needed capabilities are in place, a major objective of such exercises includes identifying challenges or weakness in plan/procedures so that University Units can determine what specific improvements or refinements are necessary.

This activity is especially important for University Unit services that are dependent on information technology resources, research infrastructure facilities, etc. Although we recommend the COOP be verified on at least an annual basis, the testing frequency and regimen will depend on the capabilities that are required to be available and is left for each University Unit to determine.

Strategies for conducting such activities include:

- Tabletop exercises which are discussion-based sessions where team members meet in an informal setting to discuss their roles during an emergency and their responses to a particular emergency situation or disaster situation;
- Annual functional testing exercises including internal personnel, and third-party providers, where applicable, to verify information technology (IT) recovery capabilities are sufficient to respond to an emergency or disaster situation;
- Developing a COOP or DR test plan to guide the exercise;
- Verifying the ability to restore application systems and data from backup or replica copies;
- Verifying that essential staff and contact information are current;
- Verifying the ability to meet time and recovery point objectives;
- Collaborating with ITS to plan for and implement information technology resource related disaster recovery rehearsals or test exercises for vital information technology resources.

I have read and agree to the COOP Testing and Exercising Agreement.

- Administration & Maintenance

The overall administration of the COOP program at FSU is the responsibility of the Emergency Management Division (EM). EM develops the training and exercise schedule, and the short and long term initiatives for COOP planning. It is the responsibility of EM to ensure the viability and effectiveness of the COOP program. The division will review COOPs periodically to verify accuracy, completeness, and applicability.

The University Unit responsibilities for administration and maintenance of the University Unit COOP include the following:

- Assigning a point of contact of COOP Coordinator who will serve as liaison with the Emergency Management Division, as appropriate;
- Maintaining and revising the COOP annually, or as needed to reflect changes to the University Unit and resource requirements;
- Conducting University Unit notification tests of internal and external call lists;
- Preparing back-up copies or updates of vital University Unit/programmatic records;
- Reviewing and understanding University Unit roles and responsibilities related to COOP support functions; and
- Collaborating with EM on COOP drills and exercises.

I have read and agree to the COOP Administration and Maintenance Agreement.
COOP Coordinators can test and activate their plan through the COOP Coordinator Console. Ideally, plans should be tested annually, the testing frequency may be determined by the University Unit based on the resources and capabilities. University Units may rename the test or activation and the elements for each are the same. After an activation or test COOP Coordinators may print the results or go back and change their COOP in accordance with any new contacts, vendors, alternate facilities, tasks, or evacuation plans that they used or changed during an activation or test.
Use of the included Decision-Making Matrix has been provided for consideration. It should be considered another tool in your toolbox and is not a process that is required for future events.
ANNUAL REVISIONS

COOP updates are required to be revised and completed annually by the last day of April.

ADDITIONAL RESOURCES

For a better understanding of the COOP planning process, FEMA offers several free online training courses.

FEMA TRAINING COURSES
IS-1300: Introduction to Continuity of Operations
IS-363: Introduction to Emergency Management for Higher Education
IS-520: Introduction to Continuity of Operations Planning for Pandemic Influenzas
IS-546.A: Continuity of Operations Awareness Course
IS-547.A: Introduction to Continuity of Operations

Questions?
Contact:
Katelyn White, Emergency Planning Manager
EM-COOP@fsu.edu
https://emergency.fsu.edu/