

# 2008 College of William and Mary Comprehensive Continuity of Operations Plan



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**Tim Kaine, Governor**

**Michael M. Cline, State Coordinator Virginia Department of Emergency Management**

**November 2007 – Version 1**

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## **APPROVALS**

This Continuity of Operations (COOP) plan was prepared by the College of William and Mary to develop, implement and maintain a viable COOP capability. This COOP plan complies with applicable internal institution policy, local and state regulations, and supports recommendations provided in the Federal Emergency Management Agency's Federal Preparedness Circular 65. This COOP plan has been distributed internally within the College and with external agencies that might be affected by its implementation.

Approved: \_\_\_\_\_ Date \_\_\_\_\_

(Title)

# **The College of William and Mary Continuity of Operations Plan**

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**PRIVACY STATEMENT**

Public disclosure of this document would have a reasonable likelihood of threatening public safety by exposing vulnerabilities. It contains sensitive and confidential information that is not subject to FOIA under Virginia Code §2.2-3705.2. Accordingly, the College of William and Mary is withholding this plan from full public disclosure. Refer any request for a copy of this document to College of William and Mary's legal counsel or the Virginia Attorney General's office.

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## EXECUTIVE SUMMARY

The College of William and Mary, one of the nation's premier state-assisted liberal arts universities, believes that excellence in teaching is the key to unlocking intellectual and personal possibilities for its students. Dedicated to this philosophy and committed to limited enrollment, the College provides high-quality undergraduate, graduate and professional education that prepares students to make significant contributions to the Commonwealth of Virginia and the nation. In recognition, the media have included William and Mary among the nation's prestigious "Public Ivy's," and ranked it first among state institutions in terms of commitment to teaching.

The purpose of The College of William and Mary Continuity of Operations Plan (COOP) is to mitigate the effects of a manmade or natural disaster that may affect a single building or operation, a significant portion of the campus, the entire campus, or the region. This Plan covers all College operations, departments, and service areas including contracted operations. It is designed to provide plans for the full range of potential emergencies from those that cause the temporary interruption of a single function to the shutdown of the entire campus requiring the suspension of all non-essential functions and the relocation of essential functions to an alternative site for an extended period of time.

The mission of the College is teaching, research and public service. This COOP plan is based on the principle that the critical mission of the institution must be altered during emergency incidents to include the preservation of health and life safety, the protection of property, the protection of research, and the return to normal or near normal operations as quickly as is feasible. The goal in the protection of research is to ensure to the greatest extent possible that nothing is lost while the activities associated with that research are suspended.

The College developed a COOP departmental annex template for use by its administrative and academic departments to allow them, and their respective sub-departments, to define their critical assets and functions. The purpose of the template is to assist departments in establishing how they would continue to perform critical functions and preserve critical assets during an emergency. It also increases the level of departmental involvement in the formulation of the plan. These assets and functions were considered in the development of the College's continuity plan. Each department was asked to provide the following information.

- General responsibilities and functions
- Essential functions critical to the maintenance of the mission when the mission is altered during an emergency.
- Emergency contact information
- Emergency communication plan
- Critical information assets (both electronic and hard copy) including the purpose of the asset and the person within the department responsible for maintain the asset. The impact of the loss of the asset on the department's ability to continue operations during an emergency was considered in determining its criticality.
- A plan for accessing these assets during an emergency, that includes off site storage and access from an alternative site.

- A list of essential functions that must be maintained for an extended time period. This list describes the function and the primary, alternate, and second alternate person responsible for the function.
- Description of how these functions are protected and interim solutions should this function be lost for an extended period of time.
- Departmental leadership succession
- A list of other departments within the College upon which the department relies during normal operations and in an emergency. This list describes the dependency and the department responsible for providing the service.
- A list of external providers upon which the department relies during normal operations and during an emergency. This list includes the product or service, the primary and secondary provider of the product or service, the providers' contact information, and the name or names of the staff within the department that is responsible for communicating with the vendor.
- The impact upon the College if the goods or services are unavailable for an extended period of time
- Mitigation strategies the department will employ to lessen the impact of the emergency
- Recovery steps the department will take to return to normal operations
- A description of the method used to account for staff near the site of the incident and at the alternative site if utilized.
- A list of special considerations the department may face in an emergency

The Department Template Annex used in the first iteration of the COOP submitted in 2007 was expanded to include information that was relevant to the completion of the 2008 College COOP. Information requested from the departments include information necessary for the Pandemic Annex to the College Comprehensive Plan and information that is specific to the planning scenarios provided by the Virginia Department of Emergency Management.

The College of William and Mary has always been prepared, to the greatest extent possible, to respond to all-hazard disaster and events. However the institution has become increasingly aware of how events could disrupt or possibly destroy its ability to effectively perform essential functions. Consequently, the College has determined that it should continue to develop and maintain a program that preserves, maintains and reconstitutes its ability to function in a real or potential event.

The College Plan encompasses the magnitude of operations and essential functions performed and is a companion too and consistent with the College's Emergency Management Plan which delineates the policies and procedures related to the management of an emergency. The College complies with all National Incident Management and Incident Command Systems requirements.

## **INTRODUCTION**

The College has grown increasingly aware of how all types of events can disrupt their operations and jeopardize the safety of their faculty, staff and students. Emergency planning, including COOP planning, has become a necessary and required process for the institution.

The all-hazards approach to COOP planning ensures that regardless of the event, essential functions and services will continue to operate and be provided in some capacity to faculty, staff

and students. This approach includes preparing for natural, man-made or technological emergencies.

The College of William and Mary must have the capability to continue to perform certain operations during an emergency and to resume others rapidly and efficiently once the immediate emergency has passed. While the impact of an emergency cannot be predicted, planning for operations under such conditions can mitigate that impact on our people, our facilities and our mission. To that end, the College has established a Continuity of Operations Plan (COOP). This COOP establishes policy guidance and procedures to ensure the continued operation of the essential functions in the event of an incident that threatens or incapacitates people and operations and/or requires the relocation of selected personnel and functions.

COOP planning is good business practice and is part of the fundamental mission of responsible and reliable public agencies. The changing threat environment has shifted awareness to the need for COOP capabilities that enable agencies to continue their essential functions across a broad spectrum of emergencies. Several incidents in the recent history of the College have demonstrated the need for a COOP.

- In the fall of 2003 Hurricane Isabel affected much of the East Coast and had a significant impact on the southeastern portion of Virginia. While there was little physical damage, the storm caused a massive power outage that left much of the region without electricity for up to 10 days. In anticipation of the storm, the College evacuated its students and cancelled all scheduled activities. The College remained closed for more than a week while it recovered from the storm.
- In April of 2005 Preston Hall, a residential facility housing nearly 200 students was consumed by fire. Preston Hall was severely damaged and its occupants had to be relocated to a local hotel until the end of the semester.
- In April of 2006 the College received credible threats of violence to occur during a major student gathering. The College assembled the personnel and protection necessary to allow the event to go on in a safe and secure manner.
- During the fall of 2006 Rogers Hall, an academic building with classroom and laboratory facilities was evacuated when a laboratory hood venting system failed. The problem was identified and corrected and occupants were allowed back in the building approximately seven hours after onset of the incident.

In these diverse incidents the College followed its emergency operations procedures. COOP techniques were employed demonstrating the College's understanding of COOP concepts. However, these incidents also demonstrated the need for a more in depth plan and the need to formalize, standardize and communicate our emergency plans. The continual development of a Continuity of Operations Plan will ensure consistency across the College and compatibility with external agencies' procedures necessary to meet the challenges of incidents and disasters. It incorporates terminology, command structures and communications systems that are compatible with national standards and allow for common understanding among agencies.



## **PURPOSE**

The purpose of this Basic Plan is to provide the framework for departments within the College to restore essential functions in the event of an emergency that affects operations. This second iteration of the Plan builds on the College's initial general COOP while addressing three specific types of disruptions:

- Loss of access to a facility (as in fire);
- Loss of services due to a reduced workforce (as in pandemic influenza); and
- Loss of services due to equipment or systems failure (as in Information Technology (IT) systems failure).

Annex A to the College Comprehensive Plan is the general plan for a pandemic. Questions relating to a pandemic have been included into the department annex templates. Information gathered from the department COOP annexes was used in the formulation of both the College comprehensive plan and the College Pandemic COOP. The College Comprehensive Plan also provides policy and guidance to ensure the ability to restore essential functions within the recovery times established by the institution.

Continuity of Operations Plans are, by their nature, living documents that are continually updated and enhanced as needed. The initial Plan was intended primarily for incidents that range from twelve or more hours up to fourteen days. Its purpose is the protection of life and health safety, maintaining external and internal communications, and the protection of property. It focused on those systems that facilitate critical administrative functions during an emergency and prepare for the eventual return to normal operations. These include the ability to maintain and access to crucial records and functions. This iteration of the Plan considers events that are up to thirty days in duration and addresses the need for pandemic continuity of operations planning and incorporates the scenarios as directed by the Virginia Department of Emergency Management.

It is the College's intention to ensure the continued performance of minimum essential functions on campus during a wide range of potential emergencies and to make provision for alternative facilities if needed. The capability to prepare for, respond to and recover from emergencies affecting the College of William and Mary's operations is dependent upon the proficiency and well being of its employees and the clarity of its leadership. This COOP plan supports employees and contractors, system users, emergency responders, local and regional emergency management agencies, and the general public during emergencies.

The Plan describes how the College will sustain the capability to perform essential functions during and after a disruption in internal operations whether caused by severe weather, other natural or man-made disasters, or malevolent attack. The plan:

- ensures the capability to implement the COOP plan both with and without warning;
- includes regularly scheduled testing, training, and exercising of agency personnel, equipment, systems, processes, and procedures used to support the agency during a COOP event;

- provides for a regular risk analysis of current alternate operating facilities;
- identifies the location of alternate facilities for essential functions in areas where the ability to initiate, maintain, and terminate continuity operations is maximized;
- identifies and documents temporary operating procedures which enable the performance of essential functions; and
- promotes the development, maintenance, and annual review of agency COOP capabilities.

## **APPLICABILITY AND SCOPE**

The COOP is applicable to all College of William and Mary departments, divisions, units, contractors and personnel. This plan describes the actions that will be taken to activate a viable COOP capability within twelve hours of an emergency event, and to sustain that capability for up to thirty days. The COOP plan may be activated day or night with and without warning.

The COOP plan covers all facilities, systems, vehicles and buildings operated or maintained by The College of William and Mary. The COOP plan supports the performance of essential functions either at the College or from alternate locations and also provides for continuity of management and decision-making at the College, in the event that senior management or technical personnel are unavailable.

In the development of the College initial Comprehensive Plan, departments with essential functions were required to complete a departmental annex template. These templates became annexes to the College Comprehensive Plan. These templates were designed to incorporate COOP concepts that provided information important to the department's emergency operation but were also pivotal in the creation of the College's Comprehensive COOP plan. Departments that were required complete the templates are as follows:

- Administration
- Applied Sciences
- Biology
- Career Services
- Center for Archeological Research
- Conference Services
- Counseling Center
- Dining services
- Counseling Center
- Facilities Management
- Financial Management
- Grants Office
- Human Resources
- ID Office
- Information Technology
- Institutional Animal Care and Use Committee
- Institutional Bio-Safety Committee
- Institutional Radiation Safety Committee

- Internal Audits
- Physics
- Police
- Procurement
- Recreational Sports
- Residence Life
- Registrar
- Residence Life
- Student Activities
- Student Affairs
- Student Health
- Swem Library
- Swem Special Collections
- Transportation

The COOP plan does not apply to temporary disruptions of service including minor IT system or power outages and any other scenarios where essential functions can be readily restored in the primary facility.

This COOP plan has been distributed to senior leadership at the College. Training needs have been identified and required training will be provided. The COOP plan has been shared with local emergency response and management agencies designated Emergency Coordination Officers, Williamsburg and James-City County emergency management directors, emergency management planners and other interested parties as appropriate.

The COOP plan supports the performance of essential functions from alternate locations (due to the primary facility becoming unusable, for long or short periods of time) and also provides for continuity of management and decision-making at the institution, in the event that senior leadership or technical personnel are unavailable.

#### **AUTHORITIES AND REFERENCES**

On June thirty, 2007, President Gene R. Nichol approved and issued the College's *Continuity of Operation Statement of Purpose* establishing the College's philosophy and objectives in developing and implementing a comprehensive continuity of operations capability for all facets of the College's operation:

*"It is the responsibility of the College of William and Mary to ensure that each member of the campus community is provided a safe environment for both work and study, to respond appropriately to emergencies and disasters, and to ensure the execution of the College's mission and essential functions during and following any emergency. In support of this goal, this emergency contingency and continuity of operations plan has been developed to provide an organized, expeditious plan of action to prepare for and respond to major natural and man-made threats to the College's faculty, staff, students and its physical and intellectual assets."*

This COOP plan has been approved by the College of William and Mary's President, Gene R. Nichol and complies with the following regulations:

- Executive order 7 (2002) Virginia
- Executive Order 69 (2004) Virginia
- 44-fourteen6.18 Code of Virginia (2005)
- Executive Order 44 (2007) Virginia
- Federal Emergency management Agency (FEMA) Federal Preparedness Circular (FPC)  
The updated FPC 65 is available at:  
[http://www.fema.gov/pdf/library/fpc65\\_0604.pdf](http://www.fema.gov/pdf/library/fpc65_0604.pdf) or  
[http://www.fema.gov/txt/library/fpc65\\_0604.txt](http://www.fema.gov/txt/library/fpc65_0604.txt)
- Library of Virginia, Records Retention and Disposition Schedule: General Schedule No. 111, Colleges and Universities Records, May 21, 2001.
- Commonwealth of Virginia, Office of the Governor.
- Executive Order 44 – Establishing Preparedness Initiatives in State Government, 2007.

Other references that have supported the development of this COOP plan include the following:

- The College of William and Mary Emergency Management Plan
- The College of William and Mary Office of Information Technology Disaster Recovery Plan
- The College of William and Mary COOP departmental annex forms
- National Security Presidential Directive (NSPD) 51/Homeland Security Presidential Directive (HSPD) 20 May 2007.
- Library of Virginia, Records Retention and Disposition Schedule: General Schedule No. 111, Colleges and Universities Records, May 21, 2001.
- Commonwealth of Virginia, Office of the Governor.
- Virginia Department of Emergency Management (VDEM), Continuity of Operations Planning Manual for Institutions of Higher Education v.1, November 2007
- Emergency Management Accreditation Program (EMAP) Standard, April 2006
- National Fire Protection Association (NFPA) 1600, December 2006

## **SITUATION**

The following situations impact the College of William and Mary COOP plan:

- The College is situated on approximately 1,200 acres in the City of Williamsburg. It is adjacent to Colonial Williamsburg. The City of Williamsburg has a population of approximately twelve thousand. The College of William and Mary has approximately 7500 students and approximately 2000 faculty and staff. The day-time population of the College is approximately 10,000 when faculty, staff, students, and visitors to the College are totaled. The College houses 77% of its undergraduate students on campus. When added to faculty and staff, the evening and night-time population of the College approaches nearly 6000.

## **ASSUMPTIONS**

- Leadership and employees will continue to recognize their responsibilities to public safety and exercise their authority to implement this COOP plan in a timely manner when confronted with disasters.

- In the event of disaster, the institution may need to rely on services of adjacent jurisdictions and institutions for recovery. Thus, this COOP plan can serve as a basis for future development of a regional plan with neighboring institutions or entities that could incorporate mutual aid agreements, alternate facility locations and inter-organizational communications plans to ensure a coordinated response in the event of a disaster.
- If properly implemented, this COOP plan will reduce or prevent disaster-related losses.
- Emergencies or threatened emergencies can adversely impact the College's ability to continue to support essential functions.
- When an emergency is declared, the College will implement its plan using trained and equipped personnel.
- The College will provide operational capability within twelve hours of the event and be able to continue essential operations for thirty days or until termination of the event, whichever is earlier.
- Normally available staff members may be rendered unavailable by a disaster or its aftermath, or may be otherwise unable to participate in the recovery.
- Procedures are sufficiently detailed so someone other than the person primarily responsible for the work can follow them.
- A disaster may require College staff to function with limited automated support and some degradation of service, until full recovery is made.
- The supporting systems for Information Technology are located primarily in two buildings, Blow and Jones Halls. While the buildings and their systems have robust redundancies built in, a catastrophic building failure in either building would result in the loss of essential IT functions for four-eight weeks.
- The campus radio system also possesses numerous redundancies and an off campus backbone. It would take an unprecedented regional catastrophe to interrupt service.
- When an impending event such as a major hurricane or pandemic is predicted to create a severe emergency, it is assumed the campus will be evacuated and only essential functions will be performed if it is determined that not doing so will endanger the life and health safety of the community.
- Unanticipated emergencies that allow for the evacuation of the campus will result in the evacuation and the closing of the College if it is determined that not doing so will endanger the life and health safety of the community.
- Human Resources will continue to evaluate policies as they relate to disasters to reflect the need for flexibility in the areas of sick leave usage, time off, and essential personnel designation.
- College will remain in compliance with all NIMS and ICS requirements.

## **RISK ASSESSMENT**

In the spring of 2008 the College was awarded a Commercial Equipment Direct Assistance Program (CEDAP) grant that provided the College with the Homeland Security Comprehensive Assessment Model (HLS-CAM) to perform a comprehensive threat assessment of the College. The grant was sponsored through the Department of Homeland Security. The College has begun the process of this assessment and anticipated completion in the fall of 2008. Primary areas covered in the assessment include:

- Functions, and services provided, within the facility

- utility and IT nodes with in the building,
- building occupancy,
- back-up power generation ability,
- fire detections and suppression systems,
- access control systems,
- emergency and perimeter lighting,
- perimeter accessibility,
- hazardous material potential,
- potential for terrorist activity,
- proximity to other facilities, and
- building construction type

## **ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES**

### **Essential Personnel**

Specific staffing requirements will vary widely among the College's departments due to differences in their size, structure, mission and essential functions. Each essential function has associated personnel that are necessary to ensure continuity of operations. Without these personnel, the institution will not be able to perform its essential functions or meet faculty, staff or student needs. These personnel are necessary to carry out essential functions and fulfill the College of William and Mary's mission.

### **Personnel Contact List**

The College Comprehensive Plan contains an administrator contact list that lists College Administrators by position, phone number, and e-mail contact that provides for a quick reference for emergency contacts. In each department annex, the internal call list documents the contact information for employees who should be notified if the institution/department is threatened by or experiences an incident that requires COOP plan activation. Departments with an essential function have been directed to set up recall lists that utilize the College's mass notification system, Connect-ED, to immediately notify individuals within their department. This information has been collected in the General Comprehensive Plan and in the individual department annexes.

### **External Contacts**

Department's external contacts and vendors contact information is listed in each departments annex. Included is contact information for external vendors, suppliers or others who would most likely need to be contacted if the institution is threatened by or experiences an incident that requires COOP implementation. The list also establishes the person within the department who is responsible for communicating with the external contacts and vendors. External communications with local and regional emergency responders is assured through the use of an 800 MHz interoperable radio system used by the College and maintained by the police department.

### **COOP Plan Implementation Responsibilities**

The College has developed specialized lists of responsibilities based on its unique organizational structure. These lists span a range from College-wide responsibilities to individual unit-level responsibilities. These checklists are intended for use by those key personnel that will:

- Have a specific responsibility in carrying out the College emergency incident mission.
  - Protect life and health safety;
  - the protection of property;
  - the protection of research; and
  - the return to normal or near normal operations as quickly as is feasible.
- manage the activation of the COOP;
- oversee implementation of emergency operations procedures to ensure the safety of employees, contractors, customers, and the general public;
- activate alternate facilities and supporting communications and information technology systems;
- coordinate with local responders;
- support legal activities on behalf of the College;
- provide public information;
- perform situation assessment for the College's infrastructure;
- perform inspection and repair;
- develop temporary service plans; and
- lead the recovery.

The following lists identify major responsibilities of essential personnel and leadership required to implement the College's COOP plan.

The President of the College or their designee is responsible for:

- Supporting and providing executive leadership for all emergency planning efforts;
- Approving the plan and making the necessary delegations of authority.
- Activating the COOP plan;
- Providing policy direction, guidance and objectives during an incident for the implementation of the COOP plan;
- Consulting with and advising appropriate officials during implementation of the COOP plan;
- Ensuring the comprehensive involvement of campus constituencies in the development and implementation of the COOP.
- Providing resources required by the Emergency Operations Plan and COOP.
- Informing the Board of Visitors of the need for Emergency Management and Continuity of Operations Plans and keeping them apprised of the operational readiness of the plans.
- Maintaining communication with the Board of Visitors while a plan is in operation.

The COOP Coordinator is responsible for:

- Scheduling yearly plan reviews
- Scheduling exercises and drills
- Ensuring operational readiness
- Requesting necessary funds for plan development
- Maintaining adherence to the plan

- Tracking changes to the plan
- Collecting after action reports

The Chair of the Emergency Management Team is responsible for;

- Activating the COOP
- Leading the management of an emergency event
- Scheduling routine meetings of the Emergency Management Team to review the COOP
- Implementing recommendations of after action reports
- Developing, coordinating and managing all activities required for the institution to perform its essential functions during an event or other situation that would disrupt normal operations;
- Remaining in constant communication with both VDEM and a representative from the Office of Commonwealth Preparedness (OCP);
- Coordinating implementation of the COOP plan and initiating appropriate notifications inside and outside of the College;
- Developing, coordinating and managing all activities required for the institution to perform its essential functions during an event or other situation that would disrupt normal operations;
- Coordinating implementation of the COOP plan and initiating appropriate notifications inside and outside the institution during COOP plan implementation;

The Emergency Management Team is responsible for:

- Reviewing and revising the COOP plan
- Assuring plan is consistent with the Emergency Management Plan
- Conducting appropriate training for and testing of the plan
- Managing an active event
- Preparing and evaluating after-action reports
- Preparing site support plans to support the implementation of the COOP plan to facilitate the smooth transition of direction and operations from the primary location(s) to the alternate location;
- Coordinating appropriate lodging, food and other arrangements with the alternate facility location, if appropriate, for faculty and staff who will not commute and need to remain overnight near the alternate location;
- Keeping inventory of COOP resources stocked and ready for deployment
- Assuring response is consistent with the plan
- Executing disaster recovery:
  - Providing in-house and contract personnel to determine structural integrity of affected buildings
  - Providing in-house and contract personnel to determine environmental suitability of facilities
  - Coordinating repairs to facilities
- Preparing after-action report
  - Returning the College to normal operations (reconstitution): Ensuring the safety of the facilities are cleared by Facilities Management before the buildings are re-occupied



- Providing logistical support for the return
- Preparing after-action reports
- Coordinating and overseeing the reconstitution process;
- Forming a reconstitution team;
- Developing a time-phased plan, listing functions and projects in order of priority for resuming normal operations;
- Developing space allocation and facility requirements;
- Coordinating with appropriate organizations to obtain office space for reconstitution if the building is inhabitable;
- Contract in house and contract personnel for inspection and repair of facilities.

The COOP Team is responsible for:

- Reviewing COOP
- Reviewing after action reports
- Identifying management and policy issues;
- Creating a planning schedule and milestones for developing COOP capabilities and obtaining plan approval.

The institution's staff is responsible for:

- Completing department COOP annex templates
- Reviewing and understanding responsibilities related to COOP support functions and performance of essential functions at an alternate facility location;
- Reporting to work to perform essential functions as detailed in this COOP plan, or as requested.

### Personnel Relations and Family Preparedness Planning

At the departmental level all key personnel are expected to create a “go-kit” to enhance preparedness for responding to any incident. A go-kit should contain those items a team member considers essential to supporting operations at an alternate site. Each kit may be somewhat unique, but most should include such items as COOP checklists, key contact lists (names, phones, addresses, etc.), small disks or files specific to the member's position that will be important to an effective response capability, any small specialized tools routinely used by the member, and maps to alternate sites.

The College has created two forms, a “Professional GO Kit” and a “Family Planning Kit”. These kits will be provided to all employees of the College. Employees that have a role in providing essential functions will be required to complete a Professional GO Kit.

### **CONCEPT OF OPERATIONS**

A COOP must be maintained at a high level of preparedness and be ready for implementation without warning. As such, the College of William and Mary COOP Team has developed a concept of operations, which describes the approach to implementing the COOP plan.

The plan can be fully implemented within twelve hours of activation and be capable of sustaining operations for up to thirty days. The broad objective of this COOP plan is to provide

for the safety and well-being of College faculty, staff and students and enable its continued operation during any crisis or event. Specific COOP plan objectives include the following:

- Protect life and health safety; the protection of property; the protection of research; and the return to normal or near normal operations as quickly as is feasible.
- Enable staff to perform essential functions;
- Identify essential personnel, back-up and supporting staff for relocation or for performing essential functions;
- Ensure the alternate facility location can support essential functions; and
- Protect and maintain vital records, systems and equipment.

An event, such as an explosion, fire or hazardous materials incident, might require the evacuation of one or more buildings with little or no advance notice. Building evacuation, if required, is accomplished via implementation of the Emergency Management Plan. This COOP plan is not an evacuation plan. To implement the COOP plan, the agency has developed a Concept of Operations which:

- describes the approach to implementing the COOP plan and how each COOP plan element will be addressed;
- focuses on establishing emergency decision-making authority and defining a decision process for determining appropriate actions in implementing COOP plans and procedures;
- clarifies the College's assumptions regarding steps required to activate and sustain a viable COOP capability; and,
- identifies how the College will address issues associated with notification and alert, and direction and control.

This model is used in the College's COOP Plan and its Emergency Management Plan. When necessary, both plans will be activated concurrently so that incidents can be handled with the least amount of impact on the institution and so that recovery is considered early in the emergency.

## **EXECUTION**

The President, or his or her designated successor, may activate the COOP. The COOP is activated based on known or anticipated threats and emergencies that may occur with or without warning. The College of William and Mary will use a time-phased approach for implementation whereby critical resources are deployed early and other resources will follow as needed.

- Known threats and emergencies (with warning): There are some threats to operations that may afford enough advance warning to allow for the orderly alert, notification, evacuation, and if necessary, relocation of employees. Situations that might provide such warning include a hurricane, a transportation accident resulting in a threat of a release of hazardous material (HAZMAT), severe weather, or a threat of a terrorist incident.
- Unanticipated threats and emergencies (no warning): Incidents may also occur with no warning. In these circumstances, activation of the COOP, if indicated by the circumstances of the event, would follow activation of the College's Emergency Management Plan.

The College of William and Mary makes no distinction between duty hours and non-duty hours in its COOP and Emergency Operations plans. The College’s significant residential component results in an evening and night population that is approximately 65% of its daytime population. Campus Police operates 24 hours a day, 365 days per year. Support personnel in Information Technology, Facilities Management, and Residence Life are on campus 24 hours a day or have rapid response ability. In addition the recent purchase of the Connect-ED mass notification system allows for nearly instantaneous communications with the Emergency Management Team, the COOP team, and the community in general. This enhanced communications system strengthens the College’s ability to convene the Emergency Management Team and the COOP Team in only slightly greater time than it takes to notify these bodies during hours of normal operation.

Below is the Level of Emergency and Decision Matrix to guide the implementation of the plan. Activity at the College of William and Mary is cyclical and seasonal. This decision matrix must take into consideration the fact that essential functions are driven by time of year, specific dates that correspond to essential functions such as payroll, and the time it takes to provide a soft landing should the College be forced to reduce services in preparation of an incident. Spontaneous incidents must take into consideration the presence or absence of residential students, time of year as the environment must be considered. If power is lost during moderate weather months students may be able to be housed in their dorms. If it is during a time of extremes cold or heat this is not practical. RTO for some essential services such as payroll are dependant up the pay cycle. If checks have been disbursed a few days before the incident payroll has a seven to 10-day RTO. Conversely if checks are due in two day the RTO is twelve to twenty- four hours.

**Table 1**  
**Level of Emergency and Decision Matrix**

Level of Emergency	Category	Impact on Institution	Decisions
I	Alert	An actual or anticipated event might have an adverse impact of up to twelve hours on any portion of the institution but does not require any specific response beyond what is normally available.	Impacted department alerts appropriate personnel of situation and requests needed assistance. No COOP plan implementation required.
II	Stand-by	An actual or anticipated event estimated to have minimal impact on operations for twelve to 72 hours that might require assistance beyond what is normally available.	Impacted department alerts appropriate personnel. Members of the COOP Team are notified and placed on stand-by. Limited COOP plan implementation depending on individual department

Level of Emergency	Category	Impact on Institution	Decisions
			requirements.
III	Partial Implementation	An actual event estimated to disrupt the operations of one or more essential functions or impact vital systems for more than three days.	<p>Impacted department alerts senior leadership. COOP Team members alerted and instructed on the full or partial implementation of the COOP plan. Implementation of the COOP plan approved by the senior leadership. Might require the mobilization of all resources. Might also require the activation of orders of succession. Might require the movement of some personnel to an alternate facility location for a period of more than three days but less than fourteen days. Event requires command and control resources be applied to the issue.</p>
IV	Full Implementation	An actual event that significantly disrupts the operations of three or more essential functions or to the full department that impacts multiple vital systems for more than seven days.	<p>Impacted department alerts senior leadership. COOP Team members alerted and instructed on the full or partial implementation of the COOP plan. Might require activation of orders of succession. Might require the movement of significant number of personnel to an</p>

Level of Emergency	Category	Impact on Institution	Decisions
			alternate location for a period of more than fourteen days. Event requires command and control resources be applied to the issue, and may require the complete mobilization of all resources.

### ESSENTIAL FUNCTIONS

The mission of the College is teaching, research and public service. While teaching, research, and public service are the College’s core mission, in an emergency situation these functions will be reduced or temporarily suspended. The COOP is based on the principle that the critical mission of the institution is altered during emergency incidents to include the preservation of life and health and life safety, the protection of property, the protection of research, and the return to normal or near normal operations as quickly as is feasible. The goal in the protection of research is to ensure to the greatest extent possible that nothing is lost while the activities associated with the research are suspended. It is understood that maintaining or quickly restoring communication is central to these emergency functions. The circumstances that determine the degree that the general functions of the College are curtailed or suspended are as follows:

- loss of ability to provide for the health and safety needs of the community;
- loss of use of facilities;
- loss of power;
- loss of telecommunications;
- loss or inaccessibility of information technology systems

When confronted with events which disrupt the normal operations the College will provide those essential functions which must be continued even under the most challenging emergency circumstances. The College has identified as essential functions only those most critical activities which: ensure the safety and security of College employees, students, emergency responders and the general public; support the maintenance and/or restoral of internal operations; and facilitate emergency response operations.

Essential functions are organized by area of responsibility. After addressing life and health safety concerns, the most critical system is the College’s internal and external communications systems. The College has identified critical processes, services, systems, and equipment necessary to support each essential function, as well as key personnel required. The prioritized listing of essential functions, and critical processes or services, personnel, records, equipment and resources, and systems supporting each essential function was determined through meetings of the COOP committee and through the dissemination and examination of the College of William and Mary Continuity of Operations departmental annexes.

Using the criteria established by the COOP Team; the institution has identified essential functions and personnel who have roles in performing those functions to meet its responsibilities to faculty, staff and students.

The institution also has prioritized its functions by determining the essential functions' recovery time objective (RTO). A listing of the institution's prioritized essential functions and their RTOs, along with all supporting resources including essential personnel and vital records, system and equipment required to execute them is shown in below. Information on individual department's critical functions and the RTO of the functions are captured in the department annexes.

**Table 2**  
**Essential Functions/ Recovery time Objectives**

Essential Function	Essential Personnel and Back-up	Vendors and External Contracts	Vital Records	Equipment	Systems	Recovery Time Objective (RTO)
Electrical	Dave Shepard, Mike Marrs	Dominion Power		Transformers, Power lines	Power grid	24 hours
Information Technology Communication Services	Courtney Carpenter, Chris Ward	Mira Point, Verizon, Cox, Sun Guard	Databases	Web Servers, PDX, Net Gear,	E-mail, network, phone, Web	24 hours
Information Technology Applications	Courtney Carpenter, Chris Ward	Sun Micro Systems, Verizon, Cox		Servers, d-bases	Banner, Network	48 hours
Water	Dave Shepard, Jon Lawson	JCSA			County Distribution System	4 hours
Radio System	J. Coleman	York County Motorola	Radio Programming	Console, Base, portable and mobile units	T-1 Line Microwave	2 hours
Patrol	Don Challis Ed Davis R. Lacasse			Patrol Cars Radio	NCIC/VCIN	2-hours
Access Control	J. Coleman C. Durden	Lumquist	D-base	Readers, strikes	Program software, Electrical	24 hours
Power Plant	Dave Shepard, M. Ramasamy	Dominion Power, JCCSA		Steam Generators, distribution		24 hours

				system		
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When confronted by events which disrupt the normal operations of The College of William and Mary the College will provide those essential functions which must be continued even under the most challenging emergency circumstances. The College has identified as essential functions only those most critical activities which: ensure the safety and security of College employees, students, emergency responders and the general public; support the restoration of internal operations; and facilitate emergency response operations.

### **SCENARIO 1: LOSS OF ACCESS TO A FACILITY**

Assumptions:

The institution is vulnerable to a full range of hazards (man-made, natural and technological disasters). The College has secured a grant to fund an all hazards assessment of the campus using the Homeland Security Comprehensive Assessment Model. This assessment will begin the spring of 2008 and will allow for the prioritization of campus facilities based on the facilities importance in carrying out both the primary and critical incident missions. The initial benefit of this assessment is the identification of mission critical services that are provided in the facility and has increased the awareness of the importance of the facility and the necessity to develop COOP plans for the facility and for the departments housed in the facility.

- The College has an understanding and awareness of the full range of vulnerabilities and the potential impact of an incident on a facility.
- The development of the department annexes was the first step in increasing the awareness of continuity planning and department specific responsibilities regarding the emergency mission of the College and the Department.
- A component of the department specific annex centered on the documentation of agreements, understandings, and contracts with outside vendors and agencies. Further development will focus on those agreements and contracts to formalize those resources required in carrying out the emergency mission of the College.
- Leadership and employees will continue to recognize their responsibilities to public safety and exercise their authority to implement this plan in a timely manner when confronted with disasters.
- If properly implemented, this COOP plan will reduce or prevent disaster-related losses.
- Loss of facility may occur during duty or non-duty hours.

### **COOP Alert and Notification**

- The Chair of the Emergency Management Team determines needs and activates the COOP.
- The COOP Coordinator for the College has been identified.
- Chair of the Emergency Management Team notifies the Emergency Management Team of activation and provides initial directions.
- Chair of the Emergency Management Team notifies the College's Public Information Officer of activation and coordinates any necessary press release or public messages.
- Per departmental annex designated department personnel notifies all relevant personnel, vendors, contractors, and suppliers of COOP plan activation and provides direction on activities that will need to be altered, suspended, or enhanced as a result.

- As appropriate and necessary, the COOP Coordinator notifies the primary point of contact for surrounding institutions and jurisdictions of the COOP plan activation, any potential consequences and planned alternate actions that might be required until normal operations can be restored.
- The College has a variety of methods it can utilize to alert members of the community. For those events that provide a warning, such as a hurricane the campus e-mail and website will be used as the primary mode of communication.
- In situations where the timeliness of the communications is critical the College will use the Connect-ED mass notification system to communicate with the community.
- When immediate notification is required the College will use a combination of the Connect-ED System, campus e-mail, website and the College's Emergency Siren.
- When there is an extreme need for notification, such as the case with a tornado the police department has the ability to sound the siren independent of the other notification systems.
- Using the Connect-ED system targeted information can be distributed to defined groups on campus. These groups would include members of the Emergency Management Team, the COOP Team, and Facilities Maintenance and police personnel.

### **COOP Plan Implementation**

Implementation of the plan is based on three phases of operation: activation and relocation; alternate facility operations; and reconstitution.

#### **Phase I – Activation and Relocation**

- This COOP plan provides for the protection, accessibility, and recovery of the College's vital records, systems, and equipment. These are records that if lost, irretrievable, or damaged would materially impair the College's long-term ability to conduct business.
- The College of William and Mary has also identified vital records and databases that must be available to support the performance of essential functions as well as vendors and contractors available to support the restoration of vital records, systems, and/or processes.
- Once notified that the COOP plan is implemented, the designated department staff person notifies essential personnel for affected essential functions.
- Within three hours, activated personnel assemble at the alternate facility location.
- The Chair of the Emergency Management Team, in conjunction with the Public Information Officer Initiates activities to support the actions being taken by the institution, including alert, notification, and guidance to support personnel.
- Department leaders confirm the safe evacuation of faculty, staff, and students from the facilities, if applicable.
- Communications systems must provide a means to contact internal organizations, external agencies, critical customers, and the public. To ensure communications during COOP events, the College has identified primary and alternate modes of communication and established redundant methods. The College radio system is fully interoperable to local and region police, fire, and EMS and operates on an 800 MHz system that has full NPSPAC ability.
- And account for personnel throughout the duration of the COOP event. Supervisors and managers make contact with staff under their span of control via use of staff contact list.



Designated personnel at the department level are responsible for keeping personnel contact lists current and maintaining the lists in hard-copy off-site.

### **Phase II – Alternate Facility Operations**

- Personnel understand chain of command and orders of succession as established in the College general plan and the departmental annexes.
- Delegations of authority been clearly identified in the College general plan and the departmental annexes.
- Faculty and staff accountability procedures are in place as described by the department annexes.
- Activated essential personnel continue essential operations.
- Chair of the Emergency Management Team provides additional guidance as required by the situation to non-designated employees through all operable means.
- COOP Team initiates efforts to return to normal operations

### **Phase III – Reconstitution**

- Essential personnel continue to provide essential services.
- President or designee informs faculty and staff that the threat of, or actual emergency, no longer exists, and provides instructions for resumption of normal operations. Announcement is disseminated via established notification procedures.
- Reconstitution is undertaken as established in the department annexes.
- Institution reports the status of reconstitution to faculty, staff, students and other key contacts (local jurisdictions, vendors, partners), as applicable.
- Reconstitution Process. The College has developed general guidance and policy on returning to a normal operating status at the affected facility. Facilities Management will determine the structure and condition of the facility(ies) and will designate it (them) as safe to occupy. No building will be declared habitable nor can functions returned until College officials are assured the services be restored without reasonable fear of a re-evacuation.
- Reconstitution Procedures. The College will establish specific actions to ensure a timely and efficient return of communications, direction and control, and transfer of vital records and databases to the primary facility.
- After-Action Review and Remedial Action Plans. The College will establish a task force to assess all phases and elements of an activated COOP and prepare recommendations for improvement.
- Institution conducts a “hot wash” or review of its COOP operations and the effectiveness of its plans and procedures as soon as possible.

## **SCENARIO 2: LOSS OF SERVICES DUE TO A REDUCTION OF WORKFORCE**

### **Assumptions**

- The institution is vulnerable to the full range of hazards (man-made, natural and technological disasters). A thorough threat assessment of the College is currently underway ;
- Leadership and employees will be cross trained;
- If properly implemented, this COOP plan will reduce or prevent disaster-related losses;
- A reduction in workforce might occur during or after operating hours; and

- The institution has implemented reduction in workforce policies and procedures, such as cross training and alternate work arrangements.
- The College has established orders of succession at least 3-5 people deep.

### **COOP Alert and Notification**

- President or designee determines need and activates the COOP plan.
- Chair of the Emergency Management Team notifies COOP Team and other emergency management teams of activation and provides initial directions.
- Chair of the Emergency Management Team notifies the College Public Information Officer of activation and coordinates any necessary press release or public messages.
- Personnel at the department level or designee notifies all current active vendors, contractors and suppliers of COOP plan activation and provides direction on activities that will need to be altered, suspended or enhanced as a result.

### **COOP Plan Implementation**

Implementation of the plan is based on three phases of operation: activation and relocation; alternate facility operations; and reconstitution.

#### **Phase I – Activation and Relocation**

- Relocation is a department level function that has been documented in the departmental annex.
- Once notified that the COOP is implemented, department level personnel notify essential personnel and back-up staff for affected essential functions to be activated from the recall list.
- Activated staff is informed of their roles and responsibilities and are directed to report to alternate facility locations, if applicable.
- The Chair of the Emergency Management Team, in conjunction with the Public Information Officer initiates activities to support the actions being taken by the institution, including alert, notification and guidance to supportive personnel including the public.

#### **Phase II – Alternate Facility Operations**

- Activated personnel continue essential operations as established in the College general plan and the department annex.
- The Chair of the Emergency Management Team provides additional guidance as required by the situation to non-designated faculty and staff via any available means
- COOP Team initiates efforts to return to normal operations.
- Orders of succession delegations of authority been clearly identified in the College Comprehensive Plan and in departmental annexes.

#### **Phase III – Reconstitution**

- Essential personnel continue to provide essential services.
- President informs faculty and staff that the threat of, or actual event, no longer exists, and provides instructions for resumption of normal operational hours. Announcement is disseminated via established notification procedures.
- Reconstitution begins as established in the College Comprehensive Plan and departmental annexes.

- Institution reports the status of reconstitution to faculty, staff, students and other key contacts (local jurisdictions, vendors, partners), as applicable.
- Reconstitution Process. The College has developed general guidance and policy on returning to a normal operating status at the affected facility.
- Reconstitution Procedures. The College will establish specific actions to ensure a timely and efficient return of communications, direction and control, and transfer of vital records and databases to the primary facility.
- After-Action Review and Remedial Action Plans. The College will establish a task force to assess all phases and elements of an activated COOP and prepare recommendations for improvement.
- Institution conducts a “hot wash” or review of its COOP operations and the effectiveness of its plans and procedures as soon as possible.
- Institution reports the status of reconstitution to faculty, staff, students and other key contacts (local jurisdictions, vendors, partners), as applicable.

### SCENARIO 3: LOSS OF SERVICES DUE TO EQUIPMENT OR SYSTEM FAILURE

#### **Assumptions**

- The College has identified interim processes if equipment or systems are unavailable. These interim processes are described in the department annexes.
- Mutual aid and vendor agreements been established and detailed in the department annexes.

#### **COOP Alert and Notification**

- Responsibility for notification of primary and secondary vendors is department level responsibility.
- Chair of the Emergency Management Team notifies the College Public Information Officer of activation and coordinates any necessary press release or public messages and the COOP and Emergency Management Teams as appropriate.

#### **COOP Plan Implementation**

Implementation of the COOP plan is based on three phases of operation: activation and relocation; alternate facility operations; and reconstitution.

##### **Phase I – Activation and Relocation**

- Once notified that the COOP plan is implemented, staff at the departmental level notifies essential personnel for affected essential functions to be activated.
- Activated staff is informed of their roles and responsibilities and are directed to report to alternate facility locations or another site where system access is available.
- Within twelve hours, activated personnel assemble at the alternate facility.

##### **Phase II – Alternate Facility Operations**

- Employee accountability and tracking at their alternative location is handled at the department level as established in the department annex.
- Departments will support extended telecommuting operations as detailed in the departmental annex.
- Activated essential personnel continue essential operations.
- COOP Team initiates efforts to return to normal operations (reconstitution).

**Phase III – Reconstitution**

- President or designee informs personnel that the threat of, or actual event, no longer exists and provides instructions for resumption of normal operational hours and staffing. Announcement is disseminated via established notification procedures.
- The institution reports the status of reconstitution to the faculty, staff, students and other key contacts (local jurisdictions, vendors, partners), as applicable.

**ORDERS OF SUCCESSION**

**Table 3**

**Order of Succession**

Key Position	Successor 1	Successor 2	Successor 3	Successor 4
President	Provost	VP-Administration	VP-Finance	AVP-Facilities Management
VP-Administration	VP-Finance	AVP-Administration	VP-Student Affairs	Police Chief
AVP for Technology	AP-CIO	Director-Systems and Support	Director of Enterprise Information Systems	Director of Projects and Business Affairs

**DELEGATIONS OF AUTHORITY**

**Table 4**

**Delegation of Authority**

Authority	Position Holding Authority	Triggering Conditions	Procedures	Limitations
Announce status of the event, declare closing and opening of the College	President	Person is unavailable or unable to fulfill the responsibility	By Presidential Directive	Full authority
Management of the incident	VP for administration	Person is unavailable or unable to fulfill the responsibility	As described in the College Emergency Operations Plan	Full Authority

Authority	Position Holding Authority	Triggering Conditions	Procedures	Limitations
Management of information and communications systems	AV-Provost for Information Technology	Person is unavailable or unable to fulfill the responsibility	As described in the Information Technology Disaster Recovery Plan and Department Annex	Full authority

### **ALTERNATE FACILITY LOCATIONS**

The College of William and Mary recognizes that normal operations may be disrupted and that there may be a need to perform essential functions at an alternate facility location. Alternate locations are listed in the departmental annexes.

### **GO-KITS**

#### **Professional Go-Kit**

The Professional Go-Kit should include standard operating procedures, emergency plans, operating orders or regulations, and other relevant guidance that is not already pre-positioned at an alternate location. Other documents that might be included in the Professional Go-Kit include:

- Continuity of Operations (COOP) plan;
- Departmental Annex;
- Current contact lists for personnel and external parties;
- Formatted computer diskettes, CD-ROMs or memory sticks;
- General office supplies (small amount);
- Cellular telephone, Blackberry, Nextel, PDA device and chargers;
- Office telephone contact list;
- Current vital records, files and databases.
- Computer servers

### **MULTI-YEAR STRATEGY AND PROGRAM MANAGEMENT**

The Executive Steering Team and the COOP Team are responsible for the implementation of the College of William and Mary COOP program. While the COOP plan serves as the guide during activation and recovery, the COOP program provides the framework and structure to guide continuity of operations planning.

Members of these teams are listed in Tables 5 and 6.

Roles and responsibilities for the Executive Steering Team include:

- Setting institution-wide policy;
- Providing budgetary support to COOP planning efforts;
- Resolving issues and conflicts escalated from the COOP Team; and
- Acting on or authorizing COOP Team recommendations.

Roles and responsibilities of the COOP Team include:

- Maintaining documents that grant authority for the creation, modification, ongoing maintenance, and execution of the COOP plan;
- Identifying issues that will impact the frequency of changes required to the COOP plan;
- Establishing a review cycle;
- Establishing a testing and exercise cycle; and
- Guiding and prioritizing mitigation activities that the College and its departments need to undertake.

**Table 5**

**College of William and Mary Executive Steering Team/ Emergency Management Team**

**Chair:** Anna Martin Vice President for Administration

**Co-Chair:** Sam Jones Vice President for Finance

<b>Name</b>	<b>Title and Department</b>	<b>Telephone</b>	<b>E-mail Address</b>
Virginia Ambler	Interim Vice President for Student Affairs	221-1236	<a href="mailto:vmambl@wm.edu">vmambl@wm.edu</a>
Michael Fox	Executive Assistant to the President	221-1346	<a href="mailto:mjfox1@wm.edu">mjfox1@wm.edu</a>
Bob Dillman	AVP- Facilities Management	221-2255	<a href="mailto:dillman@wm.edu">dillman@wm.edu</a>
Dave Shepard	Associate Director –FM	221-1205	<a href="mailto:dbshep@wm.edu">dbshep@wm.edu</a>
Wayne Boy	Associate Director – FPD&C	221-2263	<a href="mailto:wwboyx@wm.edu">wwboyx@wm.edu</a>
Brian Whitson	Director of News Services	221-7876	<a href="mailto:bwwhit@wm.edu">bwwhit@wm.edu</a>
Mike Connolly	Director of University Relations	221-2623	<a href="mailto:mjconn@wm.edu">mjconn@wm.edu</a>
Dennis Manos	Vice Provost for Research	871-9581	<a href="mailto:dmanos@wm.edu">dmanos@wm.edu</a>
Don Challis	Chief of Police	221-1143	<a href="mailto:drchal@wm.edu">drchal@wm.edu</a>
Courtney Carpenter	Associate Provost for Information Technology	221-2001	<a href="mailto:cmcarp@wm.edu">cmcarp@wm.edu</a>

**Table 6****College of William and Mary COOP Team****COOP Team Coordinator:** Don Challis Chief of Police**Assistant COOP Team Coordinator:** Sandra Prior Health Protection

Name	Title and Department	Telephone	E-mail Address
Courtney Carpenter	Associate Provost for Information Technology	221-2001	<a href="mailto:cmcarp@wm.edu">cmcarp@wm.edu</a>
Bob Dillman	Associate Vice President and Director of Facilities Management	221-2255	dillman@wm.edu
Earleen O’Roark	Director of Human Resources	221-3115	ehoroa@wm.edu
Bert Brummer	Director of Financial Operations	221-3593	msbrum@wm.edu
Bernadette Kulaas	Assistant to the Vice Provost of Research	221-2592	bakula@wm.edu
Dave Shepard	Associate Director of Facilities Management	221-1205	dbshep@wm.edu
Sandra Prior	Director of Environmental Health and Safety	221-2146	siprio@wm.edu
Michael Stump	Director of Internal Audit	221-2069	mlstum@wm.edu
Kimberly Momballou	Associate Registrar	221-2806	Kimberly.momballou@wm.edu
Amy Schindler	College Archivist	221-3094	acshi@wm.edu
Deb Boykin	Director of Residence Life	221-3178	dxboyk@wm.edu
Patricia Volp	Dean of Students	221-2510	pmvolp@wm.edu
Kristin Fagan	Risk Manager	221-2742	kdfaga@wm.edu
Peter Kellog	Director of IT Projects	221-1182	pckell@wm.edu

**TRAINING, TESTING AND EXERCISES**

To maintain the institution’s COOP capability, an all-hazard COOP training, testing, and exercise program will be established. Major components of this program will include training all faculty and staff in their COOP responsibilities; conducting periodic exercises to test and improve COOP plans and procedures, systems, and equipment; and instituting a multi-year process to ensure continual plan updates in response to changing conditions.

**Training**

- Introduction to COOP planning (new faculty and staff);
- COOP plan Activation and Relocation (essential personnel);
- Cross training for essential functions (non-essential personnel);
- National Incident Management System (responders and leadership); and
- Incident Command System (responders and leadership).

## **Testing and Exercises**

Routine testing will be done as described in the department annexes. Exercises will take place in three forms. The first will be done through department based scenarios that test the ability of the affected department(s) to provide services through simulated events. This may include the movement of a function to an alternative location or through the use of alternative methods to communicate and access data. The second test is to take real incidents that occur on campus and determine adherence to COOP strategies to the incident. The third method of testing and exercise is in the application of COOP strategies as required by a campus wide simulated event. In this scenario staff will play out the incident to the what-if stage and assess the viability of the identified COOP strategies on the systems that may be affected if the simulated event was an actual incident. A list of all testing will be forwarded to and compiled by the COOP Coordinator.

## **Exercise Evaluation**

Results from the routine testing will be forward to the COOP Coordinator for discussion with the COOP team to determine the effectiveness of the testing to determine areas of strength and areas requiring improvement.

It will be the responsibility of the COOP Coordinator to convene the COOP Team for a hot wash evaluation of an incident to determine the College/Department applications of COOP strategies to the event.

## **COOP PLAN MAINTENANCE**

### **Plan Maintenance**

The Coordinator is the lead in ensuring that the Comprehensive COOP plan is updated and maintained in accordance with established schedules. Whenever the plan is updated, it should be reissued with the update recorded on the COOP Plan Record of Changes.

The following lists identify major responsibilities of essential personnel and leadership required for development and maintenance of the College COOP plan.

The Chair of the Emergency Management Team is responsible for:

- Leading and ensuring overall support and execution of COOP program;
- Reviewing and approving changes in the plan

The COOP Coordinator is responsible for:

- Ensuring that the plan is maintained and revised, according to the schedule developed by the COOP Team;
- Coordinating the COOP training, testing and exercise program;
- Documenting testing and exercises.
- Providing reports and evaluations of the test or exercise to the COOP Team for evaluation by the Team.

The COOP Team is responsible for:

- Creating a planning schedule and milestones for developing COOP capabilities and obtaining plan approval;
- Reviewing testing and exercises

The institution's faculty and staff are responsible for:



- Reviewing and understanding responsibilities related to COOP support functions and performance of essential functions at an alternate location;
- Active involvement in tests and exercises

**Table 7**  
**COOP Plan Maintenance Schedule**

Activity	Tasks	Frequency
Plan update and certification	Review entire plan for accuracy. Incorporate lessons learned and changes in policy and philosophy. Manage distribution.	Annually
Maintain orders of succession and delegations of authority	Identify current incumbents. Update rosters and contact information.	Semiannually
Maintain alternate location readiness	Check all systems. Verify accessibility. Cycle supplies and equipment, as necessary.	Monthly
Monitor and maintain vital records program	Monitor volume of materials. Update and remove files.	Ongoing
Revise COOP Checklists and contact information for essential personnel	Update and revise COOP Checklists. Confirm and update essential personnel information.	Annually
Update training and exercise list	Assure that training and exercises are conducted in accordance with comprehensive plan and that the training is documented and reviewed.	Monthly

## ACRONYMS AND DEFINITIONS

### Acronyms

<b>AAR</b>	After Action Report
<b>COG</b>	Continuity of Government
<b>COOP</b>	Continuity of Operations
<b>DHS</b>	Department of Homeland Security
<b>DRT</b>	Disaster Recovery Team
<b>EAS</b>	Emergency Alert System
<b>ECO</b>	Emergency Coordination Officer
<b>EMAC</b>	Emergency Management Assistance Compact
<b>EMAP</b>	Emergency Management Accreditation Program
<b>FEMA</b>	Federal Emergency Management Agency
<b>GIS</b>	Geographic Information System
<b>HSEEP</b>	Homeland Security Exercise and Evaluation Program
<b>ICS</b>	Incident Command System
<b>ITDR</b>	Information Technology Disaster Recovery
<b>MOU</b>	Memorandum of Understanding
<b>NIMS</b>	National Incident Management System
<b>NWS</b>	National Weather Service
<b>SMA</b>	Statewide Mutual Aid

### Definitions

**Activation** – When all or a portion of the COOP plan has been put into motion.

**Alternate Location** – A location, other than the normal facility, used to process data and/or conduct essential functions in the event of a disaster. Similar Terms: Alternate Processing Facility, Alternate Office Facility, and Alternate Communication Facility.

**Business Impact Analysis** – The process of determining the potential consequences of a disruption or degradation of business functions.

**Cold Site** – An alternate site that is reserved for emergency use, but which requires the installation of equipment before it can support operations. Equipment and resources must be installed in such a facility to duplicate the essential business functions of an organization. Cold sites have many variations depending on their communication facilities, UPS systems, or mobility.

**Continuity of Government (COG)** - Preservation of the institution of government. Maintaining leadership, through succession of leadership, delegation of authority and active command and control.

**Continuity of Operations (COOP)** – The effort to assure that the capability exists to continue essential functions across a wide range of potential emergencies.

**Continuity of Operations (COOP) Coordinator** – Serves as the agency’s manager for all COOP activities. The Coordinator has overall responsibility for developing, coordinating and managing all activities required for the agency to perform its essential functions during an emergency or other situation that would disrupt normal operations. The first step in the COOP planning process is selecting a COOP Coordinator.

**Continuity of Operations (COOP) Plan** – A set of documented procedures developed to provide for the continuance of essential business functions during an emergency.

**Delegations of Authority** – Pre-delegated authorities for making policy determinations and decisions at headquarters, field levels and other organizational locations, as appropriate.

**Devolution** – The capability to transfer statutory authority and responsibility for essential functions from an agency’s primary staff and facilities to alternate staff and facilities and to sustain that operational capability for an extended period.

**Emergency Coordination Officer (ECO)** – Serves as the communication liaison between the Office of Commonwealth Preparedness, VDEM and each agency. Pursuant to Executive Order 65 (2004), the ECO is assigned the following responsibilities which may have been delegated to others within the organization:

1. Coordinate with the Department of Emergency Management on emergency preparedness, response, and recovery issues;
2. Prepare and maintain designated parts of the plan for which the agency is responsible;
3. Prepare and maintain internal plans and procedures to fulfill the responsibilities designated in the plan;
4. Maintain a roster of agency personnel to assist in disaster operations and ensure that persons on the roster are accessible and available for training, exercises, and activations of the plan;
5. Coordinate appropriate training for agency personnel assigned to disaster operations;
6. Prepare and maintain internal emergency preparedness, response, and recovery plans for the agency’s resources (facilities, personnel, and assets) that outline a comprehensive and effective program to ensure continuity of essential state functions under all circumstances;
7. Assure the State Coordinator of Emergency Management that preparedness plans for its facilities are coordinated with the applicable local emergency management agency.

**Emergency Preparedness** – The discipline which ensures an organization or community's readiness to respond to an emergency in a coordinated, timely and effective manner.

**Essential Functions** – Activities, processes or functions which could not be interrupted or unavailable for several days without significantly jeopardizing the operation of an organization.

**Emergency Management Assistance Compact** – Congressionally ratified organization that provides form and structure to interstate mutual aid. During a disaster, it allows a state to request and receive assistance from other member states.

**Facility** – A location containing the equipment, supplies, and voice and data communication lines to conduct transactions required to conduct business under normal conditions.

**Homeland Security Exercise and Evaluation Program (HSEEP)** – A threat and performance-based exercise program developed by DHS that provides doctrine and policy for planning, conducting, and evaluating exercises. It was developed to enhance and assess terrorism prevention, response, and recovery capabilities at the federal, state and local levels.

**Hot Site** – An alternate facility that has the equipment and resources to recover the business functions affected by the occurrence of a disaster. Hot-sites may vary in type of facilities offered (such as data processing, communication, or any other essential business functions needing duplication). Location and size of the hot-site will be proportional to the equipment and resources needed. A hot site is a fully equipped facility, which includes stand-by computer equipment, environmental systems, communications capabilities and other equipment necessary to fully support an organization's immediate work and data processing requirements in the event of an emergency or a disaster.

**Implementation Procedure Checklist** – A list of the immediate actions to take once the COOP plan is implemented.

**Incident Command System (ICS)** – A management system used to organize emergency response. ICS offers a scalable response to an incident of any magnitude, and provides a common framework within which people can work together. These resources may be drawn from multiple agencies that do not routinely work together. The system is designed to grow and shrink along with the incident, allowing more resources to be added into the system when needed and released when no longer needed. The key aspect of ICS helps to reduce or eliminate the "who's in charge" problem.

**Key Personnel** – Personnel designated by their division as critical to the resumption of essential functions and services.

**National Incident Management System (NIMS)** – A consistent nationwide template to enable federal, state, local, tribal governments, private-sector and nongovernmental organizations to work together effectively and efficiently to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity, including acts of catastrophic terrorism.

**Orders of Succession** – A list that specifies by position who will automatically fill a position once it is vacated.

**Reconstitution** – The process by which agency personnel resume normal business operations from the original or replacement primary operating facility.

**Record Retention** – Storage of historical documentation for a set period of time usually mandated by state or federal law or by the Internal Revenue Service.

**Recovery** – Recovery, in this document, includes all types of emergency actions dedicated to the continued protection of the public or to promoting the resumption of normal activities in the affected area.

**Recovery Time Objective (RTO)** – The period of time in which systems, applications or functions must be recovered after an outage.

**Response** – Those activities and programs designed to address the immediate and short-term effects of the onset of an emergency or disaster.

**Risk** – An ongoing or impending concern that has a significant probability of adversely affecting business continuity.

**Risk Assessment/Analysis** – An evaluation of the probability that certain disruptions will occur and the controls to reduce organizational exposure to such risk.

**Risk Management** – The discipline which ensures that an organization does not assume an unacceptable level of risk.

**Statewide Mutual Aid** – A program developed to assist localities to more effectively and efficiently exchange services and resources in response to declared disasters and emergencies. SMA is a local government program established in partnership with the Commonwealth of Virginia. The program provides a framework for resolution of some inter-jurisdictional issues and for reimbursement for the cost of services.

**Test Plan** – The recovery plans and procedures that are used in a systems test to ensure viability. A test plan is designed to exercise specific action tasks and procedures that would be encountered in a real disaster.

**Vital Records, Systems and Equipment** – Records, files, documents or databases, which, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or re-creation at considerable expense. For legal, regulatory or operational reasons these records cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct business.

**Vulnerability** – The susceptibility of a division to a hazard. The degree of vulnerability to a hazard depends upon its risk and consequences.

**Warm Site** – An alternate processing site which is only partially equipped.