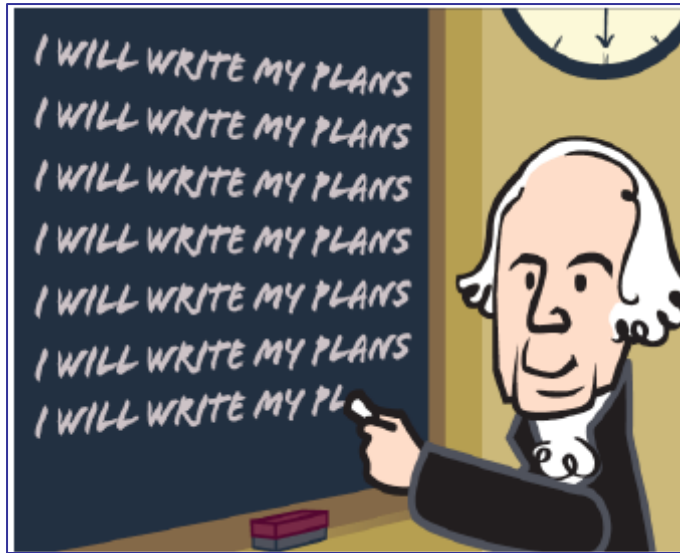

Building Contingency and Continuity of Operations Plans



*Emergencies can be scary,
planning shouldn't be*



Emergency Preparedness

Contingency Plan

Geographically specific and
protects life safety

*Annex A of the
University Incident Manual*

Continuity of Operations Plan

Maintains critical functions
and operations

*Annex B of the
University Incident Manual*

Let's look at the Incident Manual...

The Local Contingency Plan

Serves a critical purpose in an incident because it protects individuals, preserves corporate memory and enables departments to maintain operations. A contingency plan should, as a minimum, include the following sections:

- ✓ Responsibilities
- ✓ Communications and Resources
- ✓ Preparation
- ✓ Response
- ✓ Recovery
- ✓ Implementation



Contingency Planning Guidance



Contingency Planning Guide



The George Washington University requires all departments of the University to be covered by a local contingency plan. The goal of contingency planning is to protect life safety and to identify geographically specific information as it pertains to departments and personnel. It addresses only those persons, property, and functions operating from a specific location (it does not include, for example, classes taught by your department but held elsewhere on campus). At a minimum the contingency plan should include the following sections: Responsibilities, Communications and Resources, Preparation, Response, Recovery, and Implementation.

Responsibilities

Prior to an incident, it is useful to assign specific roles and responsibilities to staff members. Designating roles before an event will reduce confusion and ensure someone is assigned to each task. Principals and alternates should support responsibilities to ensure complete coverage and build continuity in these functions. Duties critical to contingency efforts include:

- Ensuring faculty and staff are aware of and understand the plan.
- Providing guidance to faculty and staff regarding their responsibilities to the students.
- Providing guidance and support to individuals who are physically challenged, disabled or with special needs.
- Designating those who have authority to make departmental decisions.
- Identifying individual expectations during an incident.

The responsibilities list for the Executive Vice President and Treasurer's suite (Eoe Hall 701) is attached as an addendum (see Addendum 1) to provide a generic example of responsibilities. Your duties and responsibilities may vary greatly from the example attached, but this provides some suggested roles that you may need to assign.

Communications and Resources

During an incident, the ability to communicate could pose challenges. Prior to an incident, identifying emergency communication strategies is critical to protecting lives and sustaining operations. Identifying reliable systems prior to an incident will also help merge the gap between contingency and continuity. Communication items to consider include:

- Identifying alternatives to normal communication methods, or using normal methods alternatively. For example, voicemail, email, and departmental list-serves can be useful ways to report post-evacuation attendance, check-in with department leaders, and inform people of next steps.
- Encouraging people to sign-up for *Alert DC* and download the *Alert GW* program, and to become familiar with and frequently visit the GW Campus Advisories (<http://campusadvisories.gwu.edu>) page for current information.
- Directing people to the WTOP radio station (102.5FM) for current information and news reports.

Preparation

The Preparation section of your contingency plan should detail the location of items such as fire alarms, fire extinguishers, defibrillators, first aid kits, and other emergency supplies (when available) that aid in protecting

February 2008

The George Washington University
Office of Public Safety and Emergency Management
Contingency Planning Checklist

The goal of contingency planning is to protect life safety and to identify geographically specific information as it pertains to departments and personnel. Contingency plans are a gateway to continuity of operations plans. This checklist is designed to verify that you have included the most critical items, but could also greatly assist people in the plan development as well. It is critical that a departmental contingency plan include a system for implementing the plan which ensures that those who are protected by the plan are aware of its existence and the direction it provides.

	YES	NO	COMMENTS
1. ORGANIZATION			
Is the plan organized and easy to understand, implement, and apply (uses headings, logical sequence, plain language)?			
Does the plan identify the specific geographic area (address, floor, suite) it was written to protect?			
Does the plan state who it is designed to protect (department(s), number of persons, personnel names) and is an emergency contact list attached? <i>*For privacy, personal information will be removed before online posting.</i>			
If applicable, does the plan consider the students who use the space?			
Does the plan include, at a minimum, the elements included in this checklist (responsibilities, communication, preparation, response, recovery, and implementation)?			
Does the plan include the date of revision?			
Is the plan consistent with the University's priority of protecting people, property, and vital interests?			
2. RESPONSIBILITIES			
Does the plan identify someone who is responsible for ensuring that those covered by the plan are aware of and understand the plan?			
Does the plan identify someone responsible for creating and maintaining the department's emergency contact list?			
Does the plan identify one person and an alternate who will take the department's emergency contact list upon evacuation, verify attendance at the rendezvous location, and call in the department's status to UPD?			

THE GEORGE WASHINGTON UNIVERSITY
WASHINGTON DC

Planning Guide

Plan Checklist

Responsibilities

- ◆ Duties critical to contingency efforts include:
 - designating those who have authority to make departmental decisions
 - providing guidance to faculty and staff regarding their responsibility to students
 - providing guidance and support to individuals who are physically challenged, disabled or those with special needs
 - identifying expectations for the individual before, during, and after an incident
 - designating one person to verify safe evacuation from the building, record the names of any missing persons, and call this into UPD
 - identify someone who will be responsible for implementation and ensuring that staff is aware of and understands the plan



Communications and Resources

- ◆ Voicemail, e-mail, department listserv(s)

- ◆ GW Campus Advisories

CampusAdvisories.gwu.edu



- Leaders can also request that incident specific information be posted on Campus Advisories by contacting opsem@gwu.edu

- ◆ GW Alert

- ◆ WTOP radio station, 103.5 FM

- ◆ Alert DC

Preparation

Identify the location of:

- ◆ Emergency equipment and supplies
 - Fire alarms, fire extinguishers, first aid kits, water, food, flashlights, battery-powered radios, etc.
- ◆ Alternate stairwells and routes out of the building
- ◆ Principal and alternate indoor post-evacuation rendezvous sites
 - Ensure that these sites are realistic
 - Large enough to accommodate students, faculty, and staff
- ◆ Develop a personnel roster and assign someone the task of maintaining it and transporting it to the indoor post-evacuation rendezvous point



Response

- ◆ Shelter in Place



or



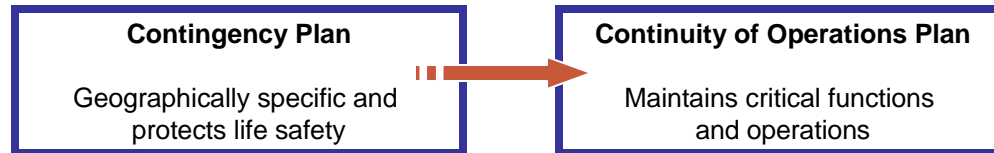
- ◆ Guidance on Specific Incidents

- ◆ Include University emergency phone numbers, such as UPD, OPSEM, and Risk Management

- ◆ Specify who has the authority to dismiss or redirect faculty, students, or staff

- ◆ Notification and Reporting for external communications

Recovery



- ◆ Provide guidance on how and when your staff should contact you to inform you of their status
- ◆ Establish a method of informing people when it is safe to return to campus
- ◆ Determine who needs to know if classrooms or working areas are inaccessible or unusable
- ◆ Designate the responsibility of obtaining alternate locations if recovery will not be immediate
- ◆ Be sure VPN access has been established for critical personnel
- ◆ Make reference to your continuity of operations (COOP) plan



Implementation

- ◆ Identify an annual schedule or system for review
- ◆ Designate someone responsible for implementing the plan
- ◆ Consider a plan summary, cheat sheet, or wallet card

Our Local Contingency Plan: EVP&T Rice Hall 7th Floor

1. Emergency contact number for UPD is 4-6111, if this is not working, dial 911.
2. Check University Status on Campus Advisories Page.
3. The location of Emergency Supplies:
 - **Fire Alarms:** elevator lobby and outside Thornell Page II's office (7011)
 - **Fist Aid Kit:** Under the microwave
 - **Fire Extinguisher:** Above the copier
4. In case of an incident on campus, shelter in place, unless the building has sustained structural damage, or you receive direction to do otherwise.
5. Only evacuate to move to a location of greater safety.
6. When evacuating, take your GWorld Card and keys, and use the stairs.

If there is smoke of fire, cover your nose and mouth, staying low to the floor.

7. Our principal post-evacuation rendezvous point is the Abrams Great Hall in the Marvin Center. The Academic Center Lobby is our alternate location. Once there, check in with your supervisor or Office Manager.

8. In case of a medical emergency, contact UPD, then send someone to meet the ambulance. Avoid moving the victim unless absolutely necessary, and only perform emergency medical procedures if you are qualified to do so.

9. By COB on day of an incident leave a message on the Office voicemail 202-994 6600 indicating safety, location and contact information.

10. For more information, please refer to the complete local plan, available from your supervisor, the Office Manager, or online at www.gwu.edu/~gwalert/ in Annex A of the University Incident Response Manual.

The Continuity of Operations Plan

Its purpose is to establish priorities and procedures to restore University operations in the event of a disruption. A continuity of operations plan should, as a minimum, include the following sections:

- ✓ Critical Functions
- ✓ Required Resources
- ✓ Dependencies & Interdependencies
- ✓ Alternatives & Redundancies
- ✓ Recovery & Restoration
- ✓ Assumptions
- ✓ Communications
- ✓ Financial Component
- ✓ Implementation



Continuity Planning Guidance



Continuity of Operations Planning Guide



THE GEORGE WASHINGTON UNIVERSITY
WASHINGTON DC

The George Washington University places great emphasis on the development and maintenance of continuity of operations plans (COOP). The purpose of continuity of operations plans is to establish priorities and procedures to sustain and restore operations that might be threatened during an incident. Good planning is specific to each department and coincides with the policies and procedures of the University. There are many facets of a COOP, but the basic organization should address the department's critical functions, required resources, dependencies, alternatives, recovery particulars, communication issues, and financial considerations. The plan should also address those assumptions which went into the creation of the plan, and provide guidelines for implementation and dissemination of the plan to those covered by it. The COOP should be written with the purpose of sustaining organization and structure as well as addressing department-specific concerns. The guide should be explicit enough that even those external to the department may understand, maintain, and implement restoration of key functions. The following is a guide for continuity of operations planning and is not all-inclusive or exhaustive.

Introduction and Execution

The introduction section may be written last, after the department has identified and planned for its key functions. The introduction serves to give people who are less familiar with the department a brief overview of operations and priorities. The introduction should clearly identify the functional areas that the plan is written to protect.

It is important that the introduction identifies those circumstances which will require activation of the plan, and also lists those designated personnel who have the authority to make key decisions during and after an incident.

- Have you established the department's priorities and identified the University priority of "people first"?
- Is authority and responsibility specifically addressed?
- Who will activate the plan, and how will they do this?

Elements of the Plan

Critical Functions

In order to begin writing a COOP, a department must identify and itemize the daily and long-term functions/activities with which the department is critically involved. These key functions should include activities and deadlines that occur seasonally, as well as those that revolve around the academic or fiscal calendar. These functions should be prioritized to identify the functions that will need to be restored immediately and those that are critical but not immediately essential. It is important that the critical functions consider services provided to other departments as well as those required from other departments. The priority for sustaining them or the sequence of restoration may also affect the ability to fulfill other functions. That is, one function may be a prerequisite to perform others.

- Have the most critical functions been identified and prioritized, taking into account seasonal priorities?
- Are the functions discussed and detailed at a basic level, so that anyone can read the plan and have an idea of how things are done?

List of Required Resources

As part of your critical functions, please list the physical space, equipment and personnel required to fulfill the critical functions. This will help in managing the real prospect that you may have to operate from a different location, with limited equipment and supplies, and with a shortage of qualified personnel. Listing essential requirements may also help identify areas that need redundancies.

Office of Public Safety and Emergency Management, February 2008

February 2008

The George Washington University
Office of Public Safety and Emergency Management
Continuity of Operations Planning Checklist

Continuity of operations planning serves to identify critical job functions and identify alternative methods to maintain operations in the event of a disruption. Continuity planning should specifically address what the functions are, how they are done normally, realistic alternatives, recovery goals and processes, assumptions, communication methods and a system for implementing the plan.

A continuity of operations plan is a complement to a contingency plan, which serves to protect life safety. A large component of continuity planning lies in documenting "corporate memory". A continuity of operations plan is essential to the restoration and maintenance of an element's critical operations.

	YES	NO	COMMENTS
1. ORGANIZATION			
Does the plan state who it is designed to protect (department(s), number of persons, personnel names)?			
Is the plan organized and easy to understand, implement, and apply (uses headings, logical sequence, plain language)?			
Does the plan include, at a minimum, the elements included in this checklist?			
Is the plan an accurate reflection of the operations/functions it was written to protect?			
Does the plan include the date of revision?			
Does the plan align with the University's priorities of people, property, and vital interests?			
2. FUNCTIONS			
Does the plan identify the critical/key functions of the department?	YES	NO	COMMENTS
Does the plan break these tasks down to the most basic level and list them sequentially for restoration?			
Does the plan prioritize these functions?			
Are seasonal priorities taken into account? If not, is this stated?			
Has the plan accounted for personnel, work space, specialized equipment, and any department-specific considerations?			
3. DEPENDENCIES & INTERDEPENDENCIES			
Does the plan account for services provided by other departments (e.g. ISS)?	YES	NO	COMMENTS
Does the plan identify services provided to other departments?			
Are there alternatives for these interdependencies?			

THE GEORGE WASHINGTON UNIVERSITY
WASHINGTON DC

Planning Guide

Plan Checklist

Organizing the Continuity Plan

- ◆ Plans can be developed using a matrix format such as:

Function	Priority #	Rationale for Priority	Dependencies and Interdependencies	Recovery Goal	Minimum Requirements	Alternate Method/ Location	Recovery Steps
----------	------------	------------------------	------------------------------------	---------------	----------------------	----------------------------	----------------

Critical Functions

- ◆ Identify and list the functions for which your area is responsible, both on a daily basis and long-term
- ◆ Describe the basic tasks required to fulfill these functions and list the **resources required**
- ◆ Prioritize the functions and related tasks to help determine a sequence for restoration
 - Requirements that vary in importance depending on critical dates (e.g. Commencement, end of fiscal year, etc.);
 - Prerequisites for each function (i.e. if one function is not restored, you can't go to the next step)
 - Value to normal daily operations (see [Purpose and Context: Priorities](#))

Dependencies & Interdependencies

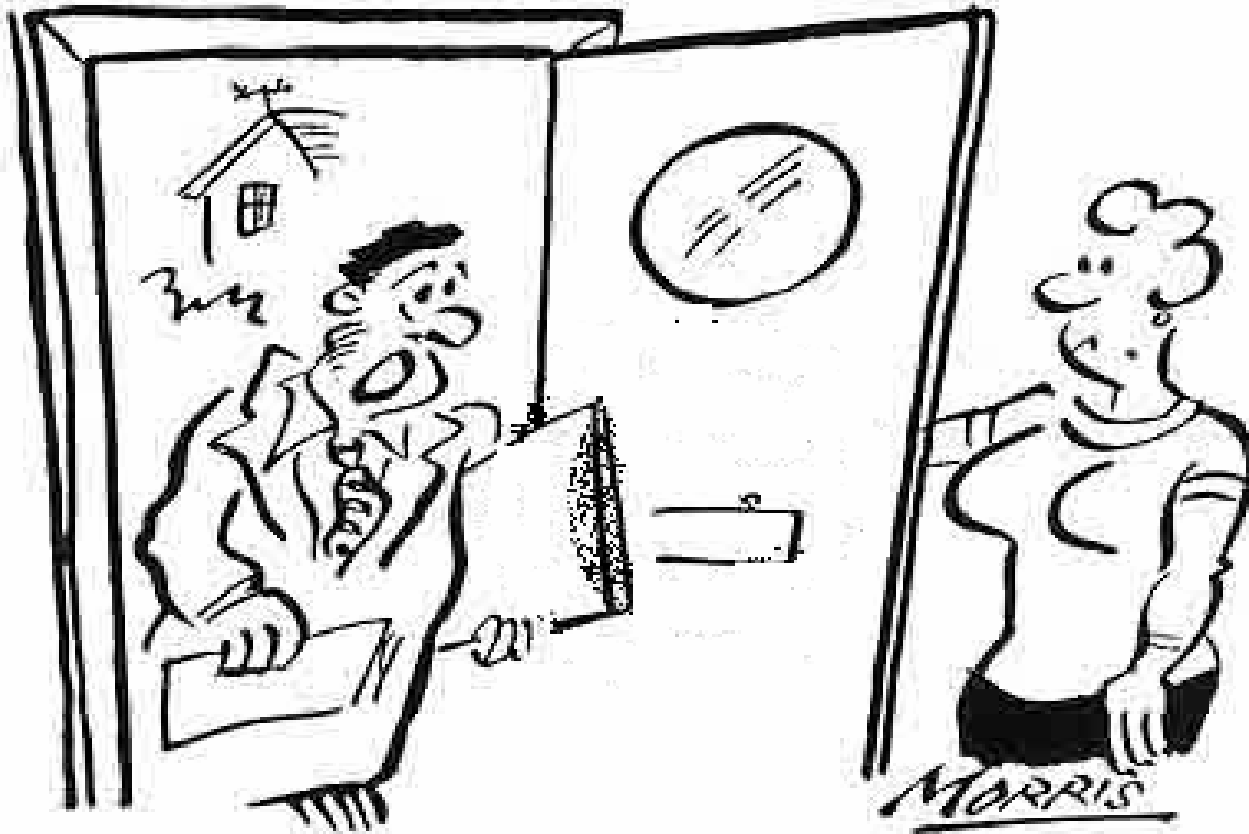
- ◆ List services from other offices that are important to your operations and vice versa
- ◆ Must these services be restored in the event of a disruption?
- ◆ Identify existing contracts that you depend on and include contact information for reaching personnel from the contracted service
 - Consider what you may need during and after an incident
 - Is the contractor's business sustainable during an incident?

Alternatives & Redundancies

Outline interim procedures and locations that would allow part or all of your critical functions to be performed until full restoration. Make sure they are realistic, not based on unstated assumptions, and not cost or time prohibitive.

◆ Consider:

- Personnel Requirements
- Telecommuting/Remote Access
- Alternate Processes
- Contracted or External Services
- Redundant Options for the Function



“Hell of a day, the computer broke down and we all had to think.”

Recovery & Restoration

- ◆ List the sequence of steps that are required in order to restore each of the critical functions you identified previously

- ◆ The steps can include:
 - Identifying and obtaining resources needed
 - Identifying availability, qualifications, and responsibilities for required personnel
 - Obtaining guidance from University leadership
 - Estimating a timeline for recovery
 - Estimating cost

Assumptions

- ◆ Identify and examine the assumptions upon which your plan is based
- ◆ Assumptions should be listed explicitly and can be included as footnotes
- ◆ Consider:
 - Disruption of the tasks or functions performed by other departments (ex. information back-up by ISS)
 - Availability of all personnel and/or space for operations
 - Access to alternate spaces
- ◆ [Purpose and Context: Assumptions](#)

Information Technology (IT) Issues

Ask:

- WHAT documents/files are most valuable?
 - WHERE are these files stored?
 - WHEN will these files be needed during an incident?
 - ❖ In one hour, in one day, etc.?
 - HOW can these files be accessed?
-
- ◆ Do critical personnel have VPN access?
 - ◆ Do you and your staff have alternate e-mail servers and/or alternate e-mail addresses?
 - ◆ Do you have hardcopies of your important documents and are copies stored in an alternate location?

Communications

- ◆ Effective communication is paramount during an incident
- ◆ In your plan, ensure that you:
 - Identify incident communication methods
 - ❖ Ex. Voicemail, e-mail, etc.
 - Plan for communication up, down, across, and out

Financial Component

- ◆ The financial issues involved in recovery are not always considered during planning
- ◆ Consider:
 - If your financial manager has been incorporated into your plan and understands its specifics
 - Who will be your financial manager's alternate?
 - How you will document expenses accrued during an incident?
 - What alternative methods exist for paying for needed materials (P-card, credit card, etc.)
- ◆ Incident Manual: [Annex X](#)



Implementation

- ◆ Identify an annual schedule or system for review
- ◆ Designate someone responsible for implementing the plan
- ◆ Consider a plan summary, cheat sheet, or wallet card
- ◆ Regularly test your plan



Building Contingency and Continuity of Operations Plans

Emergencies can be scary, planning shouldn't be

Thanks for your participation!

Contact OPSEM for additional assistance

opsem@gwu.edu or (202) 994-6600