Department Level
Continuity of Operations Planning

Template Instructions

University of Wisconsin-Superior

March 2009
## Table of Contents

INTRODUCTION TO COOP ........................................................................................................................................ 1

MICROSOFT EXCEL SPREADSHEET BASICS ...................................................................................................... 3

STEP 1. GETTING STARTED ................................................................................................................................. 4

STEP 2. PLANNING SCENARIO .......................................................................................................................... 6

STEP 3. DEPARTMENT COOP INFORMATION WORKSHEET ............................................................................ 7

STEP 4. LEADERSHIP SUCCESSION WORKSHEET ......................................................................................... 10

STEP 5. DEPARTMENT CALL TREE ................................................................................................................... 11

STEP 6. PRIMARY FUNCTIONS AND RECOVERY TIME OBJECTIVE WORKSHEET .................................... 12

STEP 7. EMERGENCY ACCESS TO INFORMATION AND SYSTEMS ............................................................. 14

STEP 8. VITAL RECORDS, POLICIES AND PROCEDURES ............................................................................. 15

STEP 9. INTERNAL AND EXTERNAL SERVICE PROVIDER DEPENDENCIES ........................................... 17

STEP 10. GENERAL OPERATIONAL NEEDS FOR PHYSICAL RELOCATION .................................................. 19

STEP 11. CRITICAL FUNCTION WORKSHEET(S) ........................................................................................... 21

STEP 12. MITIGATION STRATEGIES ............................................................................................................... 24

STEP 13. SUBMIT THE DEPARTMENT PLAN FOR REVIEW ............................................................................ 25
All-Hazard Continuity of Operations Planning (COOP)
UW Superior Department Level COOP Planning

Introduction to COOP

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

1. Basement flooding caused by heavy rains flooded two department offices causing a 3-month emergency relocation to other buildings. Files, equipment, and furnishings were destroyed. The departments had to establish a temporary working office in an alternate location.

2. UW Superior is in the midst of unprecedented new building construction and existing building renovation that will last for many years. Renovations may cause departments to relocate their functions temporarily for periods 3 to 18 months, causing business disruptions for a relatively short duration (weeks).

3. Public health agencies are predicting a future pandemic involving a novel influenza virus strain, similar to the influenza pandemics of 1919, 1953 and 1967. A pandemic could impact our campus for months: Classes and public events might be suspended; our infrastructure will remain intact, however 30% or more of our employees might be unable or unwilling to come to work. Major disruptions could occur not only in university services, but also among regional vendors, health service providers and local government.

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

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

COOP Planning At UW Superior

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

COOP planning at UW Superior utilizes an “all-hazards” approach, meaning that our planning scenario will incorporate both the loss of infrastructure and employees caused by any natural or man-made emergency. All major UWS departments will prepare a Department COOP Plan unique for their work unit. Your plan’s goal is to assist your department to recover to a fully operational state within 30 days after a major operational interruption.
An All-Hazards Continuity of Operations (COOP) Planning template is provided for campus departments to ensure that plans are uniformly prepared. For the purpose of this template, the term department will mean all functional departments, programs and work units at UW Superior.

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

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

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

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

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

For the purposes of planning, you should assume that either a severe staffing loss or damaged facility could severely impact technology resources on campus, and that information technology resources will be unavailable at the onset of a COOP emergency.

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

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

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

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

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

Microsoft Excel Spreadsheet Basics

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

- An Excel workbook consists of a “family” of associated worksheets contained within a single file name. Each worksheet can contain independent information.
- Each worksheet is composed of a grid-like arrangement of columns with letter designations, and rows with number designations. The intersection of each column and row is called a cell. Each cell has a column-row address designation, such as cell B15.
- Some cells in the template are merged with neighboring cells. The data can be entered into merged cells normally.
- Each worksheet has a tab at the bottom of the page to navigate between worksheets. Just click on the tab to migrate to a new worksheet. In this template, the tab colors and worksheet colors are coordinated for easier navigation.
- You may start a new line of text within a cell by pressing the “alt” “enter” keys simultaneously.
Step 1. Getting Started

This Continuity of Operations (COOP) Planning template consists of an Excel workbook containing an introduction and 10 different worksheets that will serve as your department’s COOP plan when completed. Your Plan will help your department recover to an operational state after a major business interruption impacts campus functions, business or infrastructure. The COOP team will establish the hierarchy of the critical functions that must be recovered before other functions can be re-established.

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

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

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

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

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

   Tab colors and worksheet colors are coordinated for easier navigation.

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

C. The easiest way to navigate through each worksheet is to use the “Tab” button on the keyboard. The tab will take you to each cell where data can be entered.

D. Important information about entering data into the template work sheets:
   - The spell check feature Microsoft Excel 2003 is not available for the template worksheets.
Some information entered into the Department COOP Info worksheet will automatically be copied into other worksheets to reduce redundant data entries. (Note: zeros in cells indicate where information will be automatically entered.)

Most areas of each worksheet are “protected”; protected cells will not allow changes in the cell’s content, font or column width. The cells where data input is requested are unprotected; you may enter data manually, copy, and past from other entries as needed. You can easily move between the unprotected cells by pressing the “Tab” button on the keyboard. Copying information from non-Excel sources may cause some formatting issues; please contact Carol Lindberg, ext. 8073 if assistance is needed.

The cells have been formatted to allow word-wrapping of long text strings. Certain worksheet cells will allow only a limited number of characters. Character limits will be noted in the column heading above the entry, such as “Use 200 characters or less.”

Some cells will request only a ‘yes’ or ‘no’ response.

All work sheets are set up for printing. The template will be printed in landscape mode with left and right sheet margins of 0.51 inches and top and bottom margins of 1.0 inch.

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

Department initials COOP Plan month 20yy.xls
Example: EHS COOP Plan 4 2008.xls

Please save your document as an Excel 2003 version (.xls extension).
Always remember to back up your work!

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

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

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

H. The department should complete the following worksheets first, as the information they contain will be needed to complete other worksheets.
   o Dept COOP Info
   o Leadership Succession
   o Call Tree
   o Primary Functions

I. Keep your plan up to date. Remember to update names and contact information as positions or staffing changes. Once your plan has been developed, review your plan at least twice a year. A suggested interval is the beginning of every semester.
Step 2  Planning Scenario

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

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

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

*Remember:* Any substantial impact on staffing levels and/or facilities is very likely to impact our technology resources as well. Your planning should consider that information technology (computers, email, internet, and even phone services) may not be available at the onset of a COOP emergency.
**Step 3  Complete the Department COOP Information Worksheet**

The department COOP worksheet identifies your department's basic functions, COOP contacts and COOP plan review log. It also provides a brief overview of your department to the COOP Team who will review your Plan.

A. Open the worksheet with the tab labeled “Dept COOP Info” to begin.

B. Complete **Section A. Department Identification Section** by providing:
   - The Name of your department. The name of your department will automatically be entered into other locations of the work book.
   - Phone number, building and room number for the primary department office
   - The name, email address, office phone and fax number for:
     - Department Head – *the term ‘department’ will mean any academic department, work unit or administrative function at UW Superior*. The name and contact information for the Department head will automatically be entered into other sections of the workbook.
     - Department COOP Contact – this is the individual within the department who will coordinate the completion of the plan and coordinate with the campus COOP team. The COOP contact should work closely with all department members when completing this plan.
     - Cabinet Officer the department reports to.

C. Complete **Section B. Department Function**:

   - Indicate with an “X” the principle function(s) of your department in column B. If your function isn’t described in the list provided, provide a brief 1-2 word description of your department’s function(s) on lines listed as “Other”.
   - Summarize the number and types of spaces your department now utilizes in column D. Provide only a number. It is not important to identify where the spaces are presently located or how large they are – this information will be requested on another worksheet.

D. Complete **Section C. Department Overview**:

   This section will provide a brief description of the department to the COOP team. Briefly describe your department’s mission, teaching, research and service objectives in the space provided (cell A27). You may use as many words as needed, but please be brief. If needed, press alt-enter to start a new paragraph of text within the cell.

E. **Section D Planning Scenario** requires no editing or additional information.

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

F. Complete **Section E. Department COOP Objectives:**

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

G. Complete **Section F. Unique Department Conditions.**

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

H. Complete **Section G Department Plan Review and Revision History.**

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

- Use the first line to enter the date the department completes their department COOP plan and submits it to the COOP team for review. Enter the date and the reviser’s name (COOP contact) under the appropriate headings.

- With each review or revision (including changes that result from the COOP Team review), indicate the date, and the reviewer or reviser’s name in the chart. List the sections modified under the “Identify Sections/Worksheets Revised” heading.

  *Example*: if the department added a new vital record on the Vital Records and Procedure worksheet, it could be indicated as: “vital record added – Sec. A Vital Records and Procedure”.
Example of a Completed Department COOP Information Worksheet

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Environmental Health and Safety</strong></td>
<td><strong>Department Continuity of Operations Plan</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Instructions: This COOP Planning template consists of a group of worksheets that will describe how your department will return to operations following an emergency that severely impacts our facilities or workforce. This worksheet identifies your department’s basic functions, COOP contacts and COOP document review log.

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

**Section A. Department Identification**

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

<table>
<thead>
<tr>
<th>Department Name: Environmental Health and Safety</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Dept. Office Loc. (Site &amp; Room):</strong></td>
</tr>
<tr>
<td>9 Permanent COOP Contacts</td>
</tr>
<tr>
<td>10 Department Head: Carol A. Lindberg</td>
</tr>
<tr>
<td>11 Dept. COOP Contact: Carol A. Lindberg</td>
</tr>
<tr>
<td>12 Cabinet Officer: Janet Hansen</td>
</tr>
</tbody>
</table>

**Section B. Department Functions**

<table>
<thead>
<tr>
<th>Principle Function</th>
<th>Check all that apply (1 or X)</th>
<th>Summary of the Spaces New Utilized by the Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instruction</td>
<td>Office space 1</td>
<td></td>
</tr>
<tr>
<td>Student Life Support</td>
<td>Classroom spaces</td>
<td></td>
</tr>
<tr>
<td>Laboratory Research</td>
<td>Study spaces</td>
<td></td>
</tr>
<tr>
<td>Other Research (Not)</td>
<td>Laboratory spaces 1</td>
<td></td>
</tr>
<tr>
<td>Research Support</td>
<td>Rec/Athletic spaces</td>
<td></td>
</tr>
<tr>
<td>Administration</td>
<td>Residential spaces</td>
<td></td>
</tr>
<tr>
<td>Facilities Support</td>
<td>Storage spaces 1</td>
<td></td>
</tr>
<tr>
<td>Others:</td>
<td>Safety and emergency response planning</td>
<td>Other:</td>
</tr>
</tbody>
</table>

**Section C. Department Overview**

Instructions: Please provide a brief overview of your department in the space below. Include information such as your department’s mission, teaching and service objectives. Use as many characters as needed to describe your department. Text will automatically wrap to a new line.

The Environmental Health and Safety (EHS) Program provides assistance and guidance to the campus community in safety, environmental health, and some environmental compliance programs on the UW-Oshkosh campus. Some of the services this Program provides includes occupational health and safety training, development of safety related policies and programs, investigation indoor or outdoor quality problems, serves as the campus Chemical Hygiene Officer (as required by the OSHA Laboratory Standard), monitors noise and hazardous chemical exposure, evaluates ventilation systems for containment control, hazardous waste management, performs annual environmental reporting, and conducts fire and safety inspections.

**Section D. COOP Planning Scenario**

COOP Planning Scenario. For the purposes of COOP planning and completing this template, assume your department has experienced:

- A severely damaged facility and will need to relocate to a different facility off campus for 3 or more months. and
- A 30% staffing loss. Critical functions will need to be maintained whether there are staffing losses. Staffing losses may result from a reduction in force due to an emergency situation, relocation or reorganisation of work, or illnesses such as a pandemic flu.

**Section E. Department COOP Objectives**

Instructions: Your department should experience a considerable business interruption if the conditions in the COOP planning scenario occurred. In the space below, please describe your department’s objectives for restoring its critical functions following a significant business interruption like the COOP planning scenario (above).

The objectives of the EHS Program are:

- Ensure the University is a safe environment to work or study.
- Promotes a safe work environment with a service-oriented approach and a positive safety culture.
- Ensures that the University is a good corporate citizen and meets the mandates of state and federal regulations.

**Section F. Unique Department Conditions**

Instructions: Considering this COOP Planning scenario, describe any unique situations or conditions that your department may face if your department had to relocate for an extended period of time and experienced a 30% staffing loss. Be concise, but use as many characters as needed.

The program has strong links with the office of the Campus Safety, Risk Management, Human Resources and Worker Compensation. The program is a single-person department managed by Carol Lindberg, a certified industrial hygienist, with student interns.

**Section G. Department Plan Review and Revision History**

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

<table>
<thead>
<tr>
<th>Date</th>
<th>Reviewer / Reviser Name</th>
<th>Review or Revision</th>
<th>Identify Sections/Worksheets Revised</th>
</tr>
</thead>
<tbody>
<tr>
<td>11/3/2009</td>
<td>Carol A. Lindberg</td>
<td>Plan Initial Issue Date</td>
<td></td>
</tr>
</tbody>
</table>
Step 4  Complete the Leadership Succession Worksheet

Whenever a Department’s leadership is unavailable or incapable of performing his/her legally authorized duties, other individuals need to be authorized to meet the operational needs of the department. This is called “succession” of leadership authority. Orders of succession provide for the orderly and predefined assumption of office during day-to-day operations or emergencies.

There are certain rights and limitations of succession to be considered: When the department head is unavailable, the successors must be authorized to make key policy and budgetary decisions for the department during day-to-day operations as well as COOP emergencies. Department Heads can reserve the right to place limitations on the successor relating to Department/work unit expenditures. This delegation of authority will take effect when normal channels of direction are disrupted, and will terminate when normal channels are resumed.

A. Open the worksheet with the tab titled “Leadership Succession”.

B. The Department Head’s name, email address and campus phone will automatically be entered according to the information provided in Section A of the Department COOP Information worksheet. Add in the Department Head’s cellular phone, home phone and other means of contacting him/her.

C. Indicate the first, second and, if possible a third, successor for your department’s leadership. If you work for a small department where the number of successors is limited, work with your Cabinet representative to identify additional successors. For example, a small department may desire to delegate specific functions to others outside of the department who are familiar with the process. Document any transition of functions to others in a policy including the transition conditions and authority levels.

D. Provide all of the requested contact information so the successor(s) may be contacted during an emergency.

E. Your department should prepare a policy or procedure defining how succession will take place and any limitations and conditions should be identified. This policy/procedure should be identified in the Vital Records and Procedures section.

<p>| | | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>B</td>
<td>C</td>
<td>D</td>
<td>E</td>
<td>F</td>
<td>G</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

In this Template, the term “department” will mean any academic department, work unit or administrative function at UW System.
Step 5. Prepare a Department Call Tree

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

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

A. Open the worksheet with the tab titled “Dept Call Tree”.
B. Complete Section A Call Tree Caller section:
   - Identifying the primary caller and three alternates and contact information for campus email, phone, cellular, home phone or other contact means.
C. Complete Section B Department Employees:
   - A. Identify all members of the department in the tree along with their contact information, including the employees in the Caller section.
   - B. Each member will be contacted by the Primary caller or alternate.
D. Distribute copies of the Call Tree to each department member, Campus Safety and Human Resources.
E. Update the call tree whenever a change in department personnel occurs.
Step 6  Complete the Primary Functions and Recovery Time Objective Worksheet

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

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

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

A. Open the worksheet with the tab titled “Primary Functions”.

B. List the **Essential (Primary) Functions of the Department** that must be recovered within 30 days in column B. Keep the description very brief and concise.
   - Be concise. There is a maximum of 255 characters allowed to describe each primary functions.
   - The primary functions should be reflective of your mission.
   - Your department may have functions that are seasonal, such as enrollment, athletic events, seasonal weather activities or business functions. If the primary function is seasonal, indicate the months that that activity should be expected to take place in parentheses immediately after the function.
   
   Example: **Maintain emergency access to buildings during snow storms (November-April).**

C. **Assign a Recovery Time Objective (RTO)** for each primary function listed in column B by placing an “X” in the appropriate column.
   - If the function is critical to the survival of the University and **must** be recovered within the first 24 hours, place a check (X) in the 24 hr column.
   - If the function must be restored within 24 hours – 14 days, place a check (X) in the 14 day column.
Note: For each function identified with an RTO of 24 hrs or 14 days, your department will be asked to complete a “Critical Function” worksheet (blue tab).

If the function must be restored between 14 - 30 days, place a check (X) in the 30 day column.

The RTO your department assigns will be reviewed by the COOP team to determine the campus priorities during an emergency.

**Example of a Completed Primary Function and Recovery Time Objective Worksheet**

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>ABC Department</td>
<td>Department Primary Functions and Recovery Time Objectives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 3 | Completing this Table will help your department recover all of its primary functions and assist the campus in determining the Critical Functions that need to be restored first following an emergency.

Critical functions are those functions that must continue without or minimal disruption and enable us to provide vital services, maintain core business functions and protect the campus community, assets and infrastructure. Although all campus functions are important, not every function performed on campus must be sustained in an emergency. The Critical Functions are prioritized according to recovery time objectives:

- Primary Critical Functions have a recovery time objective of 12-24 hours. The loss of primary critical functions would cause a catastrophic effect on the infrastructure or mission of the campus.
- Secondary Critical Functions have a recovery time objective of 1 - 14 days.

A Recovery Time Objective is the period of time that the systems, functions or applications must be restored after an outage.

**Instructions**

1. List each primary function that your department performs in the table below.
2. For each of the primary functions listed in the table, recommend a Recovery Time Objective for restoring that function after a catastrophic incident has occurred. Your recovery time objectives will be reviewed by the Campus COOP Team and adjusted as needed.

<table>
<thead>
<tr>
<th></th>
<th>Primary Functions of the Department (the 255 characters or less)</th>
<th>Recovery Time Objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>1 Maintain heat in all buildings</td>
<td>24 hr X 14 days X 30 days X</td>
</tr>
<tr>
<td>8</td>
<td>2 Maintain electrical service in all buildings</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>3 Maintain custodial services to buildings</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>4 Maintain campus telecommunication systems in operable condition</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>5 Maintain emergency access to buildings during snow storms (November - April)</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>6 Provide purchasing assistance for supplies to support building maintenance</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>7 Maintain campus grounds landscape (grass mowing, weeding flower beds)</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>8 Provide routine custodial services to all buildings</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>9</td>
<td></td>
</tr>
</tbody>
</table>
**Step 7. Emergency Access to Information and Systems**

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

A. Open the worksheet with the tab titled “Emergency Info Access”.

B. In column A, **identify your department’s information and systems** that would be essential to have access to during or following an emergency. Examples of information and systems could include:
   a. Remote access to data stored on department computers
   b. Access to computer systems that are essential to specific functions or operations

C. In column B, briefly describe your department’s emergency access plan to the systems and information. This may include remote access (or authorization to allow remote access), contacting IT support, off-site data backup, backup files on flash drives, hard copies, etc.

---

**Example of a Completed Emergency Access to Information Systems Worksheet**

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

---

Important Note: While preparing this plan, remember that the planning assumptions include the total loss of the facility your department utilizes and 30% staffing reduction. The campus infrastructure where your information is normally stored may have been compromised. Normal department operations should always include backup plans for essential information.
Step. 8  Vital Records, Policies and Procedures

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

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

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

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

B. Complete Section A, Department Vital Records:

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

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

C. Complete Section B Department Essential Policies and Procedures:

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

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

## Vital Records, Policies and Procedures

This worksheet is requesting information from the department regarding the vital records maintained or used by the work unit and the essential policies and procedures needed by the department to perform the essential functions. In COOP planning, vital records are those records or documents that the Department needs to carry out essential functions under emergency situations or are difficult to replace. Examples of vital records include blueprints, financial records, personnel records, inventories, etc. Do not include records that may be useful but are not essential to performing the service.

During a COOP emergency, employees who normally perform certain key functions may not be available to continue their duties. In order for a department to continue its essential functions, documentation in the forms of policies and procedures are essential, and cross-training should be provided within the work units.

### Section A. Department Vital Records

**Instructions:** Identify the vital records, databases or forms that are essential to the department operational needs during an emergency. Ensure such records are properly stored, backed up and safeguarded. Ensure all electronic records (programs and data files) are appropriately backed up and stored offline.

<table>
<thead>
<tr>
<th>Record Owner</th>
<th>Description/Name of Vital Record, Database or Form (note 200 characters or less)</th>
<th>Format Available &amp; Location</th>
<th>Indicate the backup method &amp; where the backup is kept (note 200 characters or less)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Contact phone list for essential suppliers</td>
<td>Electronic: Yes, on Outlook</td>
<td>Backup copies of electronic files kept on drive</td>
</tr>
<tr>
<td>B</td>
<td>Hazardous waste inventory, for current years and all years back to 1995 (spreadsheet)</td>
<td>Electronic: Yes, on main office computer</td>
<td>Backup copies of electronic files kept on drive</td>
</tr>
<tr>
<td>C</td>
<td>Training records (form of attendance sheets at training)</td>
<td>No</td>
<td>Entry of training attendance entered into training database</td>
</tr>
</tbody>
</table>

### Section B. Department Essential Policies and Procedures

**Instructions:** Identify your department’s critical policies and procedures. Ensure the policy and procedure documents are current and available in various formats, i.e., in paper form and online. Ensure appropriate individuals have access to copies of critical policy documents. Copies should be current and maintained at multiple locations.

<table>
<thead>
<tr>
<th>Record Owner</th>
<th>Description/Name of Policy or Procedure (note 200 characters or less)</th>
<th>Format Available &amp; Location</th>
<th>List employees cross trained to use the policy or procedure (note 200 characters or less)</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Emergency Response Plan</td>
<td>Electronic: Yes, on Campus Web and individual copies</td>
<td>Chancellor’s office, Facilities Director, Campus Safety Officers</td>
</tr>
<tr>
<td>B</td>
<td>Hazardous Waste Management Procedure</td>
<td>Electronic: Yes, on computer in office and copy on drive</td>
<td>K. Flahive, LSF, chemists and biologists</td>
</tr>
<tr>
<td>C</td>
<td>Department procurement procedures</td>
<td>None</td>
<td>Yes, File Cabinet</td>
</tr>
</tbody>
</table>
Step 9. Identify the Internal and External Service Providers Dependencies

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

A. Open the worksheet with the tab titled “Service Providers”.

B. Complete Section A Internal Dependencies on UW Superior Departments. Identify your department’s dependencies on other internal departments on campus.
   - Identify the products and services upon which your department depends and contact information for the internal (UWS) departments that provide them.
   - Do not list ITS, payroll and human resources, purchasing/finance, Campus Safety and Facilities Management, as it is understood that all departments will rely upon their services.
   - Use 255 characters or less to identify the internal service or department.

C. Complete Section B UW Superior Dependencies on Outside Vendors/Service Providers. Identify your department’s dependencies on external vendors or service providers.
   - Identify the product or service, the name and contact information for the primary provider. Identify alternate providers that can deliver the same products or services.
   - Use 255 characters or less to identify the external service/product and suppliers.
   - Use 200 characters or less in the contact information columns
   - It is not necessary to have regularly utilized the services of the alternate; however during a crisis our primary vendors may not have sufficient personnel or goods to meet our demands.

D. Complete Section C Key External Customers that Rely Upon UW Superior for Services. Identify the key external customers that rely upon UW Superior for services or information. A pro-active approach in contacting important customers can be very effective in mitigating losses, so include external customers who would be offended if they were not contacted by UWS.
   - Use 100 characters or less to describe the service provided by UWS
   - Use 255 characters or less to identify the customer and contact information.
**Example of a Completed Service Providers Worksheet**

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
<th>E</th>
<th>F</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td>Department BCD</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td>Service Providers</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>The essential functions of a department will have certain dependencies upon service providers from both on-campus departments and off-campus service providers, and there may be outside agencies that depend upon UW for services. A prepared list of providers will assist the department in a smooth transition during a COOP emergency. Be sure to update this list when service providers or contact information changes.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td><strong>Section A.</strong> Internal Dependencies on UW Superior Departments</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td><strong>Instructions:</strong> All UW Superior Departments rely on Energy Services, ITS, Payroll/Purchasing/Finance, Public Safety and Facilities Services. List below the other products and services upon which your department depends and the internal UW Superior departments or units that provide them.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td>UWS Service or Product</td>
<td>UWS Provider</td>
<td>Contact</td>
<td>Campus Phone</td>
</tr>
<tr>
<td>7</td>
<td>Records/Secure Print</td>
<td>Direct ABC Support Staff</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td><strong>Section B.</strong> UWS Dependencies on Outside Vendors/Service Providers</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td><strong>Instructions:</strong> List below the external products, services, suppliers and providers upon which your department depends. Identify the product or service, and the name and contact information for the primary provider, and for an alternate provider that can deliver the same products or services.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
<td>Service/Product</td>
<td>Phone</td>
<td>Emergency 24/7 Phone</td>
<td>Alt Contact Method (email, cell, web)</td>
</tr>
<tr>
<td>11</td>
<td>What/where/when/Service and repair</td>
<td>602-555-1212</td>
<td>1-888-333-3333</td>
<td><a href="mailto:ABC_email@backup.net">ABC_email@backup.net</a></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Primary Provider</td>
<td>XYZ Equipment Service and Repair</td>
<td>602-555-1222</td>
<td>1-888-222-2222</td>
<td><a href="mailto:XYZ_email@repair.net">XYZ_email@repair.net</a></td>
</tr>
<tr>
<td>13</td>
<td>Alternate provider —</td>
<td>XYZ Service and Repair</td>
<td>602-555-1212</td>
<td>1-888-333-3333</td>
<td><a href="mailto:XYZ_email@backup.net">XYZ_email@backup.net</a></td>
</tr>
<tr>
<td>14</td>
<td><strong>Section C.</strong> Key External Customers that Rely Upon UW Superior for Services</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td><strong>Instructions:</strong> List the Key Customers who rely upon UW Superior for services or information. A proactive approach in contacting important customers can be very effective in mitigating losses, or include external customers who would be offended if they were not contacted by UW.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td></td>
<td>Service</td>
<td>Customer</td>
<td>Phone</td>
<td>Emergency 24/7 Phone</td>
</tr>
<tr>
<td>17</td>
<td>News media</td>
<td>WSPY Television</td>
<td>218-555-1212</td>
<td>800-555-1212</td>
<td><a href="mailto:WSPY_email@WSPY.net">WSPY_email@WSPY.net</a></td>
</tr>
<tr>
<td>18</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Step 10. General Operational Needs for Physical Relocation**

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

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

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

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

A. Open the worksheet with the tab titled “General Operational Needs”.

B. Complete the Operational Needs Template by providing the requested information for each of the following sections:
   - **Section A: Operational Need - Physical Space Requirements**
   - **Section B: Operational Need - Equipment and Supplies**
   - **Section C: Operational Need - Technology and Communication**

C. Data Entry Fields – Describe the types of physical space, equipment, supplies and technology your department would need if it were forced to relocate another building in an emergency.
   - **Req’d/Yes No** (Column A): For each item, answer “yes” or “no” to indicate if the item will be required by the department if relocating. The default answer is ‘no’.
   - **Quantity (Qty) Units Required** (Column B): If the answer in “Req’d” column was “yes”, indicate the number of units that would be required by your department. The default answer is “0” (zero). The quantity units are defined in Column D, Planning Quantity Units. Cells that are blanked out are shared resources—quantity is not required.
   - **Descriptions** (Column C): This column describes the department’s space, equipment or supplies, or technology needs. A “pick” list is provided for typical needs. At the end of each of the sections are blank lines for departments to add in specific requirements that are not listed—please note that a maximum of 255 characters is allowed. Items that are labeled “please detail” should be described in more detail in Column E by the requestor.
   - **Qty (Quantity) Planning Unit** (Column D): The quantity planning units are used by the Relocation Team to determine the number of spaces, equipment, technology, etc needed by each department. The units include: # (number) of people, number of spaces fitting a description, or number of linear feet per planning unit.
   - **Qualifiers / Notes** (Column E): This column provides a basic description about the item in the pick list. If the Descriptions in Column C request to “please detail”, the department should provide short, concise details in Column E for any special needs for that line item using 255 characters or less. If the department has added items to the list, provide any specific requirements about the item in this column.
Section A  Operational Need - Physical Space Requirements

Instructions: For physical space needs, this section is requesting information about the spaces that would be needed by the department if it had to relocate to an alternate site during a COOP emergency. Each checklist below indicate whether or not the type of space will be required with a ‘Yes’ or ‘No’. The default answer is ‘No’. If the space is required, indicate a quantity (Q) needed based on the number (N) of people or the number of units to plan for as defined within the last line.

<table>
<thead>
<tr>
<th>Req’d Yes No</th>
<th>Qty/Units Needed</th>
<th>Description of spaces required by the department</th>
<th>Qty Planning Unit</th>
<th>Qualifiers/Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- No 0 Classroom, esp of 1:30 # rooms Classroom will have desks or tables/chairs, chalk or whiteboards, AV
- No 0 Classroom, esp of 1:35 # rooms Classroom will have desks or tables/chairs, chalk or whiteboards, AV
- No 0 Classroom, esp of 3:30 # rooms Classroom will have desks or tables/chairs, chalk or whiteboards, AV
- No 0 Classroom, esp of 3:60 # rooms Classroom will have desks or tables/chairs, chalk or whiteboards, AV
- Yes 3 Office space with desk, chair # people
- Yes 5 Conference space with table & chairs # people
- Yes 10 Workspace, general 10 sq ft/seat Folding tables will be adequate
- Yes 2 File cabinet storage 1 cabinet
- No 0 Secure storage 10 sq ft/seat
- No 0 Private space for confidential discussions # space
- No 0 Laboratory space, non-research use # space: Branches, electrical

Section B  Operational Need - Equipment and Supplies

Instructions: For critical equipment and supplies. This section is requesting information about the types of equipment, tools and supplies required by the department to conduct the essential functions following a relocation to an alternate site. For each item in the list below, indicate whether or not the item will be required with a ‘Yes’ or ‘No’. If the item is required, indicate a quantity (Q) needed based on the number (N) of people or the number of units to plan for as defined within the last item.

<table>
<thead>
<tr>
<th>Req’d Yes No</th>
<th>Qty</th>
<th>Description of Equipment and Materials</th>
<th>Qty Planning Unit</th>
<th>Qualifiers / Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Yes 1 Work table 5 table/seat Average size is 36 X 6 ft
- Yes 2 Visitor chair 1 chair/seat
- Yes 4 Access to a photocopier None Photocopier will be a shared resource
- No 0 File cabinet 1 cabinet
- No 0 Vent or exhaust
- Yes 0 Office supplies (pens, paper, clips, etc) # people
- No 0 Carts, 2 wheels 1 cart/seat
- Yes 0 Carts, 4 wheels 1 cart/seat
- No 0 Laboratory hood or exhaust 1 exhaust

Section C  Operational Need - Technology and Communication

Instructions: This section is requesting information about the technology required by the department to conduct the essential functions following a relocation. For each item in the list below, indicate whether or not the item will be required with a ‘Yes’ or ‘No’. If the item is required, indicate a quantity (Q) needed based on the number (N) of people or the number of units to plan for as defined within the last item.

<table>
<thead>
<tr>
<th>Req’d Year/No</th>
<th>Qty</th>
<th>Description of Equipment or Services</th>
<th>Qty Planning Unit</th>
<th>Qualifiers / Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- No 0 Classroom or equipment: Minimum: overhead projector and screen
- No 0 Telephone + PC (1 seat) 1 seat/seat
- No 0 Telephone + PC (1 seat) 1 seat/seat
- Yes 0 Email # people
- Yes 0 Internet # people
- Yes 0 Software: Microsoft Office Suite # people Includes Word, Excel, Access, Internet Explorer, Outlook, etc
- Yes 0 Software: Adobe # people
- No 0 Software: Accounting for Nonprofits 1 seat/seat
- No 0 Software: Internet Explorer 1 seat/seat
- Yes 0 Software: Other define 1 seat/seat Define:
- Yes 2 Hardware: Number of Desktop computers to be moved 1 seat/seat
- No 0 Hardware: Number of Desktop computers to be moved 1 seat/seat
- Yes 1 Hardware: Number of Laptop computers to be moved 1 seat/seat
- No 0 Hardware: Number of Laptop computers to be moved 1 seat/seat
- No 0 Hardware: Number of computer network cards 1 seat/seat
- Yes 1 Hardware: Number of printers to be moved 1 seat/seat
- No 0 Hardware: Number of printers to be moved 1 seat/seat.
Step 11. Critical Function Worksheet(s)

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

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

![Examples of Critical Functions with RTO’s of 24 hrs-14 days:](image)
- Core Business Functions: Payroll, Purchasing
- Security
- Utilities
- Housing students who could not return home

A. Complete one “Critical Function Worksheet” for each primary function with an RTO of 24 hrs – 14 days identified by the department in the “Primary Functions” worksheet. Ten copies of this worksheet are provided. Use one of the “Critical Function” worksheets to make additional copies as needed. The “Critical Function Template” is available in the event a serious error is made in one of the worksheets. Note: Some departments may not have critical functions meeting the RTO objectives and will not need to complete this section.

a. To make additional copies of the worksheet:
   i. Click on the tab of the last “Critical Function #” worksheet completed.
   ii. With the mouse over the tab, right click and select “Move or Copy”
   iii. Use the mouse to highlight the position you would like the new spreadsheet inserted in the lineup.
   iv. Click in the box: “Create a Copy”. A green check mark should be visible.
   v. Select: “OK”.

B. Open a worksheet with the tab titled “Critical Function (#)” where “X” is a number 1-10.

C. Complete the header section by providing the critical function (from the Primary Function Worksheet) and the recovery time objective that has been assigned to it. Copy and paste may be used to enter the information. Then provide the name and title of the person completing the form and the date it was completed. Use 255 characters or less when completing the fields.

D. Complete Section A, the Critical Function Employee list, by identifying the primary and secondary individuals and/or positions key that would help perform this critical function.
   o Identify the specific function(s) that each employee provides using 100 characters or less.
   o Make sure the contact information is kept up to date in the Call List tab.
   o All individuals listed must be cross trained to perform this critical function.
E. **Complete Section B** by identifying the specialized physical space(s) required to meet this Critical Function.
   a. Identify the intended use of the space(s) using 255 characters or less.
   b. Identify the amount of area required, and utilities to perform this Critical Function.
   c. Do not include the spaces identified to meet the general operations needs of the department included on the “General Operational Needs” Worksheet.

F. **Complete Section C** by identifying all of the specialized equipment, tools and supplies required by this critical function, the utilities required, and resources for replacement if there is a catastrophic loss.
   a. Identify the specialized equipment required, the quantity, and any special voltage or utilities to operate the equipment. Indicate whether or not the equipment is available regionally for loan or purchase, and if so, where.
   b. Do not include equipment listed on the “General Operational Needs worksheet.”

G. Continue completing copies of the Critical Functions worksheets until all of your Critical functions with an RTO of 24 hrs – 14 days have been finished.
**Example of a Completed Critical Function Worksheet**

**Critical Function Worksheet**

*Instructions:* Complete one copy of this form for each critical function identified in the Primary Functions worksheet that has a recovery time objective of 24 hrs or 4 days. Make as many copies of this form as needed.

<table>
<thead>
<tr>
<th>Department Name</th>
<th>Facilities Management</th>
<th>Recovery Time Objective (Pick One)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>24 hours</td>
</tr>
<tr>
<td><strong>Critical Function:</strong></td>
<td>Maintain emergency access to buildings during snow storms (November - April)</td>
<td>4 days</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>This form completed:</th>
<th>Box</th>
<th>Facilitator Management Director</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1-Nov-08</td>
<td></td>
</tr>
</tbody>
</table>

**Section A Critical Function Employees**

*Instructions:* Identify key individuals and/or positions necessary to perform this critical function. Refer to the Call List for contact information. All individuals listed must be cross trained to perform this critical function.

<table>
<thead>
<tr>
<th>Function</th>
<th>Primary Employee Name</th>
<th>Secondary Employee Name</th>
<th>Special Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment Operator, snow removal</td>
<td>William Worker</td>
<td>Lester Snow</td>
<td>Employees live outside city limits. May need additional time to report to work during snow emergencies.</td>
</tr>
<tr>
<td>Equipment Operator, snow removal</td>
<td>James White</td>
<td>George Banks</td>
<td></td>
</tr>
<tr>
<td>Plow snow plow driver</td>
<td>Thaddeus Clark</td>
<td>John Speare</td>
<td></td>
</tr>
<tr>
<td>Shovel building entries</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintain equipment</td>
<td>Timothy Clink</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Section B Specialized Physical Space Required to Meet this Critical Function**

*Instructions:* Identify any specialized space(s) needed to perform this Critical Function. Do not include the spaces identified to meet the general operations needs of the department included on Department General Operational Needs Worksheet.

<table>
<thead>
<tr>
<th>Intended Use of Space</th>
<th>Area Required, sq ft</th>
<th>Are lights and electrical outlets required?</th>
<th>Is heat required?</th>
<th>Is ventilation required?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Garage for vehicle maintenance</td>
<td>1000 sq ft</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Equipment parking area - outdoor</td>
<td>1000 sq ft</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Break/Lunch facilities for extended work periods</td>
<td>100 sq ft</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Sleeping area for extended work periods</td>
<td>100 sq ft</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Outdoor storage location for salt and sand mix</td>
<td>500 sq ft</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>

**Section C Specialized Equipment Required to Meet this Critical Function**

*Instructions:* Identify all specialized equipment required by this critical function, the utilities required, and resources for replacement if there is a catastrophic loss. Do not include equipment listed on the General Operational Needs worksheet.

<table>
<thead>
<tr>
<th>Qty Req’d</th>
<th>Specialized Department Equipment</th>
<th>Utilities required by Equipment</th>
<th>If this equipment is available for loan or rental regionally, specify where (see pg 23)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Industrial sized snow blower</td>
<td>Diesel (fuel)</td>
<td>City of Superior, ABC Rental</td>
</tr>
<tr>
<td>5</td>
<td>Snow throwers</td>
<td>Gasoline</td>
<td>Menards, ABC Rental</td>
</tr>
<tr>
<td>25</td>
<td>Shovels</td>
<td></td>
<td>Menards, Stirnger</td>
</tr>
<tr>
<td>25</td>
<td>Ice scrapers</td>
<td></td>
<td>Menards, Stirnger</td>
</tr>
<tr>
<td>5</td>
<td>Maintenance vehicles with snow blades</td>
<td>Gasoline</td>
<td>ABC Rental</td>
</tr>
<tr>
<td>1</td>
<td>Vehicle with snow-brush adapter</td>
<td>Gasoline</td>
<td>ABC Rental</td>
</tr>
<tr>
<td>1</td>
<td>Front end loader</td>
<td>Diesel</td>
<td>City of Superior, ABC Rental</td>
</tr>
<tr>
<td>1</td>
<td>Dump truck</td>
<td>Diesel</td>
<td>City of Superior, ABC Rental</td>
</tr>
</tbody>
</table>
Step 12. Mitigation Strategies

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

A. Open the worksheet with the tab titled “Mitigation Strategies”.

B. **Identify your department’s vulnerabilities.** Review the information you have entered into this COOP Template and list the department’s vulnerabilities that could be acted upon now to reduce the impact on your operations. Please use 255 characters or less.

C. **Identify what can be done to mitigate the vulnerability.** Then list the mitigation strategy that would be effective in reducing the risk to your department. For example, you may wish to stock up on your critical supplies or develop contingency work-at-home procedures. Please use 255 characters or less.

D. **Follow through on the mitigation strategy.** Set a time line to accomplish the mitigation action and then follow through.

E. Keep your plan up to date and add new mitigation strategies as they are discovered, and update your time line as actions are completed.

**Example of a Completed Mitigation Strategies Worksheet**

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
<th>D</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Department BC</strong></td>
<td>Mitigation Strategies</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Example of a Completed Mitigation Strategies Worksheet
Step 13  Submit the Department Plan for Review by the UWS COOP Team

A. Review the plan you have completed with your department members and update the plan with any changes.

B. Email a copy of your COOP plan to Carol Lindberg, Environmental Health and Safety, clindber@uwsuper.edu for review by the UWS COOP.

C. The COOP Team will review your plan. The COOP team may request to meet with your department’s COOP representative to clarify information.

D. After the initial review some modifications may be needed to your plan. Once your department has made the modifications, the Plan should be re-submitted to the COOP team by emailing it to Carol Lindberg.

E. When your Department’s COOP plan is finalized, update the information on the Department Plan Review and Revision History Section of the Dept. COOP Info Worksheet, and submit a copy to the COOP team by emailing to Carol Lindberg.

F. Share an electronic copy of the plan with your department, and make a paper copy for your records.

G. Update your plan regularly.