

Cal Poly Operations Continuity Plan

The following outlines general information/instructions on the Cal Poly Operations Continuity Plan. Specific instructions on how to complete the template¹ are located on each page.

Purpose

As part of the Emergency Management Program, Cal Poly will develop, document, test and maintain a Operations Continuity Plan. The plan will ensure the continuance of critical campus functions, systems, and services when a disruption to campus operations occurs after a disaster or emergency situation².

The attached Cal Poly Operations Continuity template will be used for the consistent development of the University's Operations Continuity Plan. The template will be used to document key information (i.e., staff contact information, critical functions, critical function recovery procedures, vital records, assets) within a department in order to ensure the campus' ability to recover from a disruption.

Emergency activities of departments, including requests for resources or services and documentation of financial impact, will be coordinated through the Emergency Operations Center and in compliance with the Campus Emergency Management Plan.

The Departmental Operations Continuity Plans, Department Emergency Plans, and the Campus Emergency Management Plan are interrelated and together provide for preparation, response and recovery to a campus emergency.

Responsibility

Each Vice President will have the responsibility for the development, testing and maintenance of the Operations Continuity plans within his/her division. A representative from each department should be assigned to develop and maintain the plan. The Operations Continuity Director will be responsible for the central review of all Operations Continuity plans in conjunction with each department.

Location of Plan

Each department should designate key department members to retain the plan. These members should also be asked to keep the plan at their respective homes.

Access

The Operations Continuity plan contains confidential information that **should not** be shared publicly. It is the responsibility of each department to ensure that the plan be held, developed, and reviewed by designated individuals only.

¹ Adapted with permission of Cal State San Marcos

² The highest hazards/threats to campus have been identified as: Civil Disturbance (Attack – War); Earthquake; Explosion; Facility – Collapse; Fire – Wildland; Flood – Storm; and Hazardous Materials.

Critical Department Priorities

The following departments have been identified as critical (would impact the University within 24 hours and impact life and safety, major financial, legal or regulatory consequence or liabilities) and are required to have an Operations Continuity Plan:

- Admissions and Recruitment
- Contracts and Procurement
- Facility Services
- Financial Aid and Scholarships
- Fiscal Services
- Food Services
- Housing and Residential Life
- Human Resources/Academic Personnel
- Information Technology Services
- Records and Registration
- University Police
- University Scheduling

OPERATIONS CONTINUITY PLAN REVIEW

This sheet should be completed each time the Operations Continuity Plan is reviewed and/or modified. The Operations Continuity Plan must be reviewed annually.

Date Operations Continuity Plan Reviewed:	00/00/2004
Were changes made to the Plan on this date?	Yes/No
If changes were made, to which sections? (List below)	

SIGNATURES

Department Manager

Date

Operations Continuity Review

Date

Provost / Vice President

Date

DEPARTMENT CONTACT INFORMATION

Enter name (in alphabetical order), address, and contact information for all department staff, including student assistants and consultants, if applicable. This information should be treated as confidential and kept in a secured location. Staff whose names are highlighted have been assigned “Essential Emergency Duties” and have been notified of their responsibilities during an emergency.

Name	Address	Telephone
Last Name, First Name		Work: Home: Cell: Pager:
		Work: Home: Cell: Pager:
		Work: Home: Cell: Pager:
		Work: Home: Cell: Pager:
		Work: Home: Cell: Pager:
		Work: Home: Cell: Pager:
		Work: Home: Cell: Pager:
		Work: Home: Cell: Pager:

CRITICAL FUNCTIONS DEPARTMENT PERFORMS

List mission-critical functions by priority (time in which this function must be resumed) using priority categories below. Provide a brief description of that function, and list the position that has lead responsibility. Use the notes section for additional comments.

Priority 1 – Critical: first 24 hours

Priority 4 – All other functions

Priority 2 – Essential: 72 hours

Priority 3 – 4-15 days

Number	Priority 1 Functions Department Performs	Lead
1.1		
1.2		
1.3		

Notes:

Number	Priority 2 Functions Department Performs	Lead
2.1		
2.2		
2.3		

Notes:

Number	Priority 3 Functions Department Performs	Lead
3.1		
3.2		
3.3		

Notes:

Number	Priority 4 Functions Department Performs	Lead
4.1		
4.2		
4.3		

Notes:

CRITICAL FUNCTIONS DEPARTMENT PERFORMS RESTORATION AND RECOVERY – PRIORITY 1

Complete for each Priority 1 Critical Function.

Number	Critical Function Department Performs	Lead
1.1		

Procedures

Identify actions to resume Critical Function, assuming that computer systems or utilities may not be operational. Identify position that has lead responsibility for each step.

Step	Action	Lead
1.		
2.		
3.		

The following sections should be completed if the Critical Function is dependant upon entering or retrieving data that may be lost in the event of a computer, network, or utility system failure.

Data Recovery

Identify actions to retrieve lost data in case of computer system failure. Identify position that has lead responsibility for each step.

Step	Action	Lead
1.		
2.		
3.		

Data Entry Controls

Identify actions to enter lost or manual transactions/data once system functionality has resumed. Identify position that has lead responsibility for each step.

Step	Action	Lead
1.		
2.		
3.		

Budgetary Limitations and Requirements

Identify any budgetary limitations or requirements which impact the time frame in which services can be restored.

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CRITICAL FUNCTIONS DEPARTMENT PERFORMS RESTORATION AND RECOVERY – PRIORITY 2

Complete for each Priority 2 Critical Function.

Number	Critical Function Department Performs	Lead
2.1		

Procedures

Identify actions to be taken to resume Critical Function, assuming that computer systems or utilities may not be operational. Identify position that has lead responsibility for each step.

Step	Action	Lead
1.		
2.		
3.		

The following sections should be completed if the Critical Function is dependant upon entering or retrieving data that could be lost in the event of a computer, network, or utility system failure.

Data Recovery

Identify actions to retrieve lost data in case of computer system failure. Identify position that has lead responsibility for each step.

Step	Action	Lead
1.		
2.		
3.		

Data Entry Controls

Identify actions to enter lost or manual transactions/data once system functionality has resumed. Identify position that has lead responsibility for each step.

Step	Action	Lead
1.		
2.		
3.		

Budgetary Limitations and Requirements

Identify any budgetary limitations or requirements which impact the time frame in which services can be restored.

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CRITICAL FUNCTIONS DEPARTMENT PERFORMS RESTORATION AND RECOVERY – PRIORITY 3

Complete for each Priority 3 Critical Function.

Number	Critical Function Department Performs	Lead
3.1		

Procedures

Identify actions to be taken to resume Critical Function, assuming that computer system or utilities may not be operational. Identify position that has lead responsibility for each step.

Step	Action	Lead
1.		
2.		
3.		
4.		

The following sections should be completed if the Critical Function is dependant upon entering or retrieving data that could be lost in the event of a computer, network, or utility system failure.

Data Recovery

Identify actions to be taken to retrieve lost data in case of computer system failure. Identify position that has lead responsibility for each step.

Step	Action	Lead
1.		
2.		
3.		

Data Entry Controls

Identify actions for entering lost or manual transactions/data once system functionality has resumed.

Step	Action	Lead
1.		
2.		
3.		

Budgetary Limitations and Requirements

Identify any budgetary limitations or requirements which impact the time frame in which services can be restored.

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CRITICAL FUNCTIONS DEPARTMENT PERFORMS RESTORATION AND RECOVERY – PRIORITY 4

Complete for each Priority 4 Critical Function.

Number	Critical Function Department Performs	Lead
4.1		

Procedures

Identify actions to be taken to resume Critical Function, assuming that computer system or utilities may not be operational. Identify position that has lead responsibility for each step.

Step	Action	Lead
1.		
2.		
3.		

The following sections should be completed if the Critical Function is dependant upon entering or retrieving data that could be lost in the event of a computer, network, or utility system failure.

Data Recovery

Identify actions to retrieve lost data in case of computer system failure. Identify position that has lead responsibility for each step.

Step	Action	Lead
1.		
2.		
3.		

Data Entry Controls

Identify actions to enter lost or manual transactions/data once system functionality has resumed.

Step	Action	Lead
1.		
2.		
3.		

Budgetary Limitations and Requirements

Identify any budgetary limitations or requirements which impact the time frame in which services can be restored.

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DOCUMENT AND SUPPLY REQUIREMENTS

List unique documents and supplies needed to perform Critical Functions (contact/vendor lists, forms, manuals, instructions, ledger paper, calculator, general office supplies, etc.). Documents and supplies listed should be placed in an emergency supply box that is kept in a location other than the department office.

1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

EQUIPMENT AND TELECOMMUNICATION REQUIREMENTS

List equipment and telecommunication requirements needed to perform Priority 1 and 2 Critical Functions (needs to take place within first 72 hours after an emergency).

1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

List equipment and telecommunication requirements needed to perform Priority 3 Critical Functions (needs to take place 4-15 days after an emergency).

1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

VITAL RECORDS PROTECTION

List vital records for which the department maintains; how these records are stored (fire proof file cabinet, etc.); and if records are duplicated or backed up and kept at an offsite location.

	Vital Record	Location & Storage Method	Duplicated & Kept Offsite?	Offsite Location
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				

If Vital Records are not duplicated and stored offsite, identify how documents and/or critical information will be reconstructed or restored if lost.

	Vital Record	Reconstruction/Restoration Procedures
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

TESTING OF PLAN

*No operations resumption plan is ever complete. As ways of doing business change, so must the plan. There is no better way to keep the plan current than by testing its accuracy and logic regularly. Various types of tests may be used, depending on the evolving needs of participants and changes in the plan. Tests should be carefully planned to minimize disruption to normal operations. These tests should be documented so that correction actions/recommendations arising from these tests can be implemented. After each test exercise, documented results should be thoroughly reviewed for flaws, omissions, and overlaps in the business resumption procedures. Test results shall be maintained for audit documentation. **Testing must occur every two years at a minimum.***

Testing may be in the form of:

Tabletop walk-through (key stakeholders are convened in a room and they perform a detailed review of the plan) - Many small events are described and the participants are asked to state how the plan would guide their reactions. This prepares members for operation and simulation testing.

Operation Testing (actual test) – Call back, assembly of response team, use of backup materials; installing of systems and loading of data.

Simulation Testing (paper and pencil simulations) - Teams are placed at tables representing their responsibilities and are presented with the description of an evolving disaster.

	Date of Test	Type of Test T = Tabletop; O = Operation; S = Simulation	Corrective Actions/Recommendations
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			