EAPs and COOPs

VT Business Practices Seminar

March 28, 2011
“The Mission of Office of Emergency Management is to instill a culture of Emergency Preparedness throughout the Virginia Tech community and continue to enhance and improve the disaster resiliency of the university. The office accomplishes this mission by facilitating, coordinating and integrating operations necessary to build, sustain, and improve the functional capabilities of the university to mitigate against, prepare for, respond to, continue operations during, and recover from incidents and disasters.”
EMERGENCY PREPAREDNESS DRILLS

The Office
VIDEO OBSERVATIONS

- Lack of preparedness.
- Void of leadership.
- Emergency escalates quickly.
- Panic increases.
Station Night Club Fire - West Warwick, Rhode Island – February 20, 2003.

Pyrotechnics ignite foam insulation during introduction of the band Great White.
• Within minutes, fire is fully engulfed.
462 people were in the nightclub.
230 were injured.
100 lives were lost.
UPDATES TO EMERGENCY PLANNING REQUIREMENTS
WHAT TO EXPECT

- Emergency Planning Overview
- Why plan?
- Emergency Action Plan (EAP)
- Continuity of Operations Plan (COOP)
- Web Portal Use
- Stakeholder Discussion
EMERGENCY PLANNING

• Office of Emergency Management
  – Mitigation of, preparedness for, response to, and recovery from all emergencies.
  – All hazards approach.

• Responsible for overall emergency planning at Virginia Tech.
  – Three Plans:
    • Emergency Response Plan (ERP) – Overarching university emergency response.
    • Emergency Action Plan (EAP) – Department-level: immediate action, life safety.
    • Continuity of Operations Plan (COOP) – Department-level: sustain essential functions, recovery.
WHY PLAN?

- **University Policy**
  - 5615: Safety and Security
  - 1005: Health and Safety
  - Internal Audit

- **State and Federal Regulatory Requirements**
  - Executive Order 44
  - OSHA Requirements

- Provide information efficiently and accurately.
- Maintain essential services.
- Reduce liability.
• Provides immediate actions for life safety during an emergency.

• Basis for preparedness, response, evacuation, and shelter-in-place activities at the department level.

• Details actions persons take in response to an emergency.
• Based at the department level.
  – Accountability.
  – General departmental information.
  – Procedures common across all departments.

• Specifics at the building level.
  – Multiple buildings
  – Corresponding “mini-plans”

• Applicability and usefulness.

• Dialogue among departments sharing space.
WHAT IS A DEPARTMENT?

- Dean’s Office
  College of Engineering

- Dept of Civil and Environmental Engineering

- Department of Mechanical Engineering

- Department of Electrical Engineering
WHAT IS A DEPARTMENT? — continued

Vice President for Administrative Services

Facilities Services

Parking Services

Rescue Squad
AT THE DEPARTMENT LEVEL

- Create a departmental Emergency Action Plan
  - Information common for all department buildings.
AT THE BUILDING LEVEL

• Each department will assign one representative within the building.

• These representatives will comprise the **Emergency Preparedness Committee:**
  – Collaboration
  – Dialogue
  – Coordination

• Appoint a **Building Emergency Coordinator.**
  – Focal point for EAP.
AT THE BUILDING LEVEL – continued
Annex I.1: Building EAP

Building Location

Building Location: 
City, State

Building Emergency Coordinator

Building emergency coordinators should provide contact information which enables officials to make contact 24 hours each day.

<table>
<thead>
<tr>
<th>Primary Building Emergency Coordinator</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Name (First</td>
<td>Last)</td>
</tr>
<tr>
<td>------------</td>
<td>--------</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Alternate Building Emergency Coordinator</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Name (First</td>
<td>Last)</td>
</tr>
<tr>
<td>------------</td>
<td>--------</td>
</tr>
</tbody>
</table>
Building Emergency Coordinator Duties

• Chair the Emergency Preparedness Committee.
  – Maintain the EAP annex.

• Serve as point of contact.
  – OEM
  – Fire/evacuation Drills
  – First Responders

• Schedule fire drills.

• Train an alternate.
Building Emergency Coordinator Equipment

- Backpack
- First aid kit
- Flashlight
- Accountability supplies
- Perimeter tape
BUILDING EMERGENCY COORDINATOR TRAINING

- Early August

- Topics:
  - Safety and security
  - Fire safety
  - Considerations for persons with disabilities
  - Severe weather events
  - Incident Command Structure
  - Interface with first responders
  - Coordination with related buildings/spaces
  - Personal and family preparedness

  - Tabletop evacuation and shelter-in-place exercise
  - Fire extinguisher training
SPECIAL CIRCUMSTANCES

• Building occupied by one department
  – Optional committee
  – Building Emergency Coordinator

• Satellite Facilities
  – Unique contact information and procedures
  – One-on-one coordination with OEM

• Facilities that may not require an EAP:
  – Barns, out buildings, and structures that are normally unoccupied.
  – Evacuation information posted within.
WHY DO WE NEED AN EAP?

- Responsibility to provide basic life safety information
- Coordinated effort
- Regulatory requirements

MY DEPARTMENT ALREADY HAS AN EAP...

- OEM assistance
- Coordination with other departments
EAP TEMPLATE

- MS Excel document
- University-wide data collection
- Ease of use and uniformity
- Supporting documentation

- Two sections:
  - Departmental Plan
  - Building Annexes
AFTER THE PLAN IS COMPLETE

• Communication / awareness to employees:
  – Internal training on the plan
  – New employees

• Considerations for instructors:
  – Value of pre-planning with students
  – Basic procedures for classroom emergencies

• Exercise the plan:
  – Fire drills
  – Floor wardens
  – Facilitated training
IMPORTANT DATES

• December 1, 2011:
  – EAP template converted/created for all central campus departments.

• August 1:
  – Revise plan annually.

• Assistance:
  – [www.emergency.vt.edu/guidance](http://www.emergency.vt.edu/guidance):
    • Template
    • Guidance documents
    • Checklists
To be able to do tomorrow,
What we were doing yesterday,
No matter what happens today.
• Sustain and restore essential functions.

• VT COOP specifically addresses:
  – Loss of access to a facility;
  – Loss of services due to reduced workforce; and,
  – Loss of services due to equipment or systems failure.

• COOP Coordinator:
  – Annual revision/update
  – Communicator and COOP decision-maker
Based at the department level.

- Two Parts:
  - Narrative
  - Essential Functions

  - Key components:
    - Order of succession
    - Delegation of authority
    - Space requirements
    - COOP activation checklist
    - Communications plan
      - Key personnel
      - All personnel
    - Essential functions
• **Order of succession**
  - Redundancy three-deep
    • Department Head/Director
    • Other key positions
      - Facility
      - Finance
      - Information Technology
      - Regulatory
      - Research

• **Delegation of authority:**
  - COOP activation
  - Financial commitment
  - Contract execution
  - Signatory authority
SPACE REQUIREMENTS

• Essential services

• High-level assessment
  – Square footage
  – Number/type of spaces
    • Offices
  – Security needs
    • Records
    • Cash
  – Specialized equipment
    • Laboratory space
• COOP activation checklist
  – Customize
  – Assign tasks to positions
Communication plan

- Identify key personnel (decision-makers)
- May relate to Order of Succession/Delegations of Authority
- Employee contact roster maintained in convenient method
  - Verify redundancy
- Activation considerations
  - Plan to notify key personnel
  - Plan to notify all personnel

### Personnel Contact List

<table>
<thead>
<tr>
<th>Employee Cascade List</th>
<th>Function</th>
<th>Email Address</th>
<th>Work</th>
<th>Home</th>
<th>Cell/Pager</th>
</tr>
</thead>
<tbody>
<tr>
<td>(department head/director)</td>
<td>Department Head/Director</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>COOP Coordinator/Team</td>
<td>(COOP coordinator)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(COOP team)</td>
<td>(COOP team member)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(COOP team)</td>
<td>(COOP team member)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Key Personnel</td>
<td>(key personnel)</td>
<td>(finance)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(key personnel)</td>
<td>(facility management)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(key personnel)</td>
<td>(human resources)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(key personnel)</td>
<td>(IT management)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Emergency Services | | | | | |
|-------------------|-----------------|-----------------|-----------------|
| Virginia Tech Police | 911 | 540-231-9411 |
| Virginia Tech Rescue Squad | 911 | 540-231-7138 |
| Blacksburg Fire Department | 911 | 540-961-1175 |
| EHS | | 540-231-3600 |
| Facilities Services | | 540-231-4300 |
| VT Switchboard | | 540-231-0000 |
| VT Hotline | | 540-231-6668 |
WHAT IS AN ESSENTIAL FUNCTION?

- Functions that must exist in all circumstances
- Those functions that enable an organization to:
  - Provide vital services
  - Maintain safety and security of the public
  - Sustain economic base
ESSENTIAL FUNCTIONS

1. Function name
2. Priority
   – High, medium, low
3. Frequency
   – Daily, weekly, monthly
4. Interim process
   – Manual process
5. Key personnel
   – Primary, alternate, backup
6. Critical resources
   – Computers, phones, equipment
ESSENTIAL FUNCTIONS – continued

- Vital records, files, databases
  - Fiscal
  - Personnel
  - Sponsored programs
  - Regulatory

- External contacts and vendors
  - Provide services / Receives services

- Essential function risks

<table>
<thead>
<tr>
<th>Essential Function Risks:</th>
<th>Risk Level</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>No or inadequate essential function documentation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No or inadequate offsite storage of vital documents/records</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No or inadequate training of employee backups</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No or inadequate manual process exists</td>
<td></td>
<td></td>
</tr>
<tr>
<td>High level of dependence on external resources/other departments</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Essential Function Details

**Test Division**  
**Test Department**  
**Main Campus**

<table>
<thead>
<tr>
<th>Function Name:</th>
<th>How to Create a New Essential Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description of Function:</td>
<td>The department relies on this essential function to perform a critical task.</td>
</tr>
<tr>
<td>Priority:</td>
<td>High</td>
</tr>
<tr>
<td>Frequency:</td>
<td>Daily</td>
</tr>
<tr>
<td>Recovery Priority:</td>
<td></td>
</tr>
<tr>
<td>Intern Process:</td>
<td>Until IT systems are restored, COOP plans are accessed in the hard copy file.</td>
</tr>
</tbody>
</table>

To add or edit personnel, click on the Key Personnel field.

### Key Personnel: Primary

<table>
<thead>
<tr>
<th>Title</th>
<th>Staff Name (Last, First)</th>
<th>Work Phone</th>
<th>Alternate 1 Phone</th>
<th>Alternate 2 Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director of COOP</td>
<td>Doe, Jane</td>
<td>540-231-6000</td>
<td>540-231-6000</td>
<td></td>
</tr>
</tbody>
</table>

### Key Personnel: Backup

<table>
<thead>
<tr>
<th>Title</th>
<th>Staff Name (Last, First)</th>
<th>Work Phone</th>
<th>Alternate 1 Phone</th>
<th>Alternate 2 Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fiscal Technician</td>
<td>Smith, John</td>
<td>540-231-6000</td>
<td>540-231-6000</td>
<td>540-231-0000</td>
</tr>
</tbody>
</table>

Add New Department Personnel  
Edit Existing Personnel

### Critical Resources:

<table>
<thead>
<tr>
<th>Equipment</th>
<th>Minimum QTY</th>
<th>Manufacturer Details, Model or Version</th>
<th>Vendor Name</th>
<th>Contact Name</th>
<th>Contact Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Printer/Copier</td>
<td>1</td>
<td>Konica BizHub or equivalent</td>
<td>VBS</td>
<td>John Johnson</td>
<td>540-231-6000</td>
</tr>
<tr>
<td>Hardware</td>
<td>5</td>
<td>Dell OptiPlex or equivalent</td>
<td>Daly Computers</td>
<td>Bob Daly</td>
<td>540-231-6000</td>
</tr>
<tr>
<td>Software</td>
<td>5</td>
<td>MS Office Suite</td>
<td>Software Distribution</td>
<td>Jane Doe</td>
<td>540-231-6000</td>
</tr>
</tbody>
</table>

### Vital Files, Records and Databases:

<table>
<thead>
<tr>
<th>Name</th>
<th>Format</th>
<th>Backed Up?</th>
<th>Notes (Description of Vital Records, Database or Files)</th>
<th>Contact Name</th>
<th>Contact Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expenditures/Recoveries</td>
<td>Electronic</td>
<td>Yes</td>
<td>Log of department expenditures/recoveries for services provided</td>
<td>Jane Smith</td>
<td>540-231-6000</td>
</tr>
<tr>
<td>Personnel Database</td>
<td>Both</td>
<td>Yes</td>
<td>Human resources data</td>
<td>John Smith</td>
<td>540-231-6000</td>
</tr>
</tbody>
</table>

### Additional External Contacts and Vendors:

<table>
<thead>
<tr>
<th>Contact/Vendor Name</th>
<th>Main Phone</th>
<th>Contact Name</th>
<th>Contact Phone</th>
<th>Email Address</th>
<th>Description (Type of service provided)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Controller’s Office</td>
<td>540-231-6000</td>
<td>Jane Smith</td>
<td>540-231-6000</td>
<td><a href="mailto:janessmith@vt.edu">janessmith@vt.edu</a></td>
<td>Assistance with expenditures/receipts</td>
</tr>
<tr>
<td>VDEM</td>
<td>540-231-6000</td>
<td>Stan Stanley</td>
<td>540-231-6000</td>
<td><a href="mailto:stanstanley@vt.edu">stanstanley@vt.edu</a></td>
<td>Review/critique of University</td>
</tr>
</tbody>
</table>


**IMPORTANT DATES**

- **March 15**
  - Revise plan annually

- **Assistance:**
  - [www.emergency.vt.edu/guidance](http://www.emergency.vt.edu/guidance):
    - Template
    - Guidance documents
    - Checklists
DEPARTMENTS IN ACTION

• Squires Tornado Drill
  – Use of floor/area wardens
  – Accountability of staff
  – Procedures
  – Equipment
DEPARTMENTS IN ACTION – continued

• University Development COOP Go-Kits
  – Basic office supplies
  – Notebook containing:
    • COOP, EAP, Risk Analysis, Personnel roster, backup and recovery software.
    – University Directory
    – Clipboards
    – Weather radio
Personal & Family Preparedness

- Ready Virginia
  - [www.readyvirginia.gov](http://www.readyvirginia.gov)

Home

1. Get a Kit
2. Make a Plan
3. Stay Informed

Special Needs
Businesses

Take three easy steps to protect your loved ones in an emergency.
WEB PORTAL DEMONSTRATION

- Eliminates need for distribution lists
- Grant access to many
- Ease of access
- Central management
- Data security

www.emergency.vt.edu/coop

www.emergency.vt.edu/eap
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matt.johnson@vt.edu
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www.emergency.vt.edu/guidance