
GUAM ETHICS COMMISSION

CONTINUITY OF OPERATIONS POLICY

POLICY NUMBER: GETHC POLICY 8

Effective Date: 5/31/2024

SECTION 1 – GENERAL

The goal of this policy is to provide continuity plans for the Guam Ethics Commission in compliance with 5 GCA § 3132. The operational continuity plan will prepare the Guam Ethics Commission for events that could disrupt the Commission's ability to operate, such as loss of personnel, equipment malfunction, or reduced funding levels. Guam statutes provide that the Executive Director or equivalent officer of each agency is responsible for creating the plan and submitting it to *I Maga'hågan Guåhan* and the Speaker of *I Liheslaturan Guåhan* annually.

This plan includes provisions for maintaining maximum operational continuity and a statement of actions to prevent or mitigate any vulnerabilities that could significantly risk the agency's continuity of operations.

This policy and all forms mentioned herein are available on the Guam Ethics Commission website (<https://guamethics.com>) under Commission Policies.

SECTION 2 – PURPOSE

To ensure the continuity of operations and services in the face of unexpected events, the following contingency plan addresses potential challenges, including personnel loss, equipment malfunction, data loss, facility unavailability, reduced funding, and other unforeseen circumstances.

SECTION 3 – LOSS OF PERSONNEL BY RETIREMENT, WHETHER KNOWN OR UNKNOWN IN ADVANCE, NATIONAL GUARD DEPLOYMENT, MILITARY RESERVE DEPLOYMENT, SICKENSS, DEATH, OR OTHER CONTINGENCIES.

1. Prolonged Absence of Commission Staff

The Guam Ethics Commission is currently comprised of the Executive Director, two (2) Ethics Investigation and Compliance Officers, and an Administrative Assistant. In the event of a planned absence of any staff for a prolonged period of time, team members may be assigned additional responsibilities pursuant to GETHC Policy 1: Hiring and Dismissal of the Executive

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Director and Staff. For purposes of this policy, a prolonged period of time shall be a leave of absence which encompasses 30 days or more.

2. Standard Operating Procedures (SOP)

GETHC Standard Operating Procedures (SOP) clearly provide Commission staff with necessary information to perform all functions of the Commission's operations. The detailed guidelines promote the effective and efficient performance of staff duties, in a manner that reduces errors and minimizes risks.

3. Response Plan for Key Roles

A response plan is crucial for ensuring the continuity and success of the Guam Ethics Commission. Pursuant to GETHC Policy 1, in the Executive Director's temporary absence the executive director shall assign a staff member to serve in an acting capacity. For purposes of this policy a temporary absence is defined as period of 30 days or more.

SECTION 4 – LOSS, MALFUNCTION, OR BREAKDOWN OF EQUIPMENT NECESSARY FOR THE EFFICIENT PROVISION OF SERVICES

Malfunction or breakdown of equipment

Laptops

Each staff member is issued a work laptop to support their performance of duties and responsibilities. The Commission possesses in its inventory an additional two (2) laptops as backup equipment. In the event an issued equipment malfunctions or is inoperable through no fault of the employee, the executive director can assign the staff member an alternative device within its equipment inventory.

Copy Machine

The copier machine is maintained regularly by Commission staff and is currently on lease. The approved lease agreement provides that the vendor shall replace the copier equipment whenever the copier machine is no longer operable.

AV System

The Commission maintains necessary audio and visual (AV) equipment to ensure its meetings and hearings are conducted in compliance with the Open Government Law. In the event the AV system malfunctions, spare computer equipment maintained in the Commission's inventory are equipped with a camera and microphone to ensure the continuation of Commission business.

Telephone

The Guam Ethics Commission has implemented a Voice over Internet Protocol (VoIP) telephone system, which comprises sequentially interconnected phone lines. Upon placing

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a call, the system initially directs it to the primary line. However, in the event of technical issues or maintenance rendering the primary line unavailable, the system automatically reroutes the call to the next available line in the sequence. This ensures uninterrupted and seamless communication.

In addition, call forwarding, voicemail, integration with mobile services using iOS or Android applications, and online programming ensures uninterrupted communication channels. Voicemail captures messages when the user is unavailable, and call forwarding directs incoming calls to other numbers or devices, ensuring accessibility regardless of location. Online programming allows for remote management of settings, facilitating prompt adjustments during unexpected events. These functionalities collectively provide flexibility, and remote accessibility, promoting operational resilience in unforeseen circumstances.

Internet Services

The GEthC contract offers technical support to trouble and resolve issues related to Commission's network or network related equipment. In the event internet services are disrupted for an undetermined amount of time, the Commission may request a temporary MIFI (Mobile WiFi) device from the internet provider. The MIFI devices will provide continued connectivity until the primary service is restored.

SECTION 5 – LOSS OF PHYSICAL OR ELECTRONIC RECORDS

Electronic Records Management and Data Recovery Plan

All physical files are securely stored in a designated area, ensuring the integrity and confidentiality of the information. In the event of a loss of physical or electronic records, all files are securely stored electronically in a Google Drive managed by the Office of Technology (OTECH), which provides comprehensive IT support to all Government of Guam agencies.

In addition, each employee is assigned a 1 TB portable external drive to back up files, ensuring the preservation of critical data. This precautionary measure provides an additional layer of security, enabling essential information is readily available in the event of a system failure or data loss.

SECTION 6 – UNAVAILABILITY OF FACILITY

In the event that the Commission's facility becomes inoperable due to unforeseen circumstances, GETHC has a well-designed contingency plan that guarantees the continuity of critical functions. This plan involves implementing remote working and telecommuting measures and identifying an alternate worksite that allows staff to maintain Commission operations uninterrupted.

SECTION 7 – UNANTICIPATED REDUCTION OF FUNDING LEVELS

In the event of the Commission experiences reduced funding, the Executive Director shall report to the Commission the impact the reduction will have on the Commission's operation and provide recommended actions for the Commission to consider. These options may include, but are not limited to the following:

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- Re-examining the training fee for the Ethics in Government Program in accordance with GETHC Policy 5: Ethics in Government Program Training Fee to augment any reduction of funding levels.
- Submit for consideration a Budget Realignment Plan which prioritizes spending areas and levels in a manner that doesn't compromise core functions or mission-critical objectives.

SECTION 8 – ANY COMBINATION OF THE ABOVE THROUGH REASONABLY FORESEEABLE INSTANCES

GETHC may implement in part or in full all elements from the specific plans above based on the combination of events.

EFFECTIVE DATE

This policy shall be in effect upon the adoption of the Commission at a publicly announced / open meeting and signed by the Chairperson of the Commission.

AMENDMENTS

The Commission may make any amendments to this policy as it deems necessary, provided that such action be done by an affirmative vote of four (4) or more members at a publicly announced / open meeting.

APPROVED AND ADOPTED



CHRISTOPHER A. CRUZ
CHAIRMAN

02/27/2024
Date

Contingency Plan

To ensure the continuity of operations and services in the face of unexpected events, the following contingency plan addresses potential challenges, including personnel loss, equipment malfunction, data loss, facility unavailability, reduced funding, and other unforeseen circumstances.

Scenario	Trigger	Response	When	Key Responsibilities	
				Who	What
Loss of personnel by retirement, whether known or unknown in advance, national guard deployment, military reserve deployment, sickness, death, or other contingencies.	The team member is absent/sick/leaves the company unexpectedly.	Take actions consistent with GETHC Policy 1: Hiring & Dismissal of the Executive Director & Staff	As soon as absence is confirmed.	Executive Director	<ul style="list-style-type: none"> Inform Commissioners of extent of the absence and obtain concurrence for the desired action. Direct team members and offer guidance & support. Begin personnel action to look for a replacement
				Team members	<ul style="list-style-type: none"> Adapt workload to take on additional tasks, and report challenges/ concerns to Executive Director
Loss, malfunction, or breakdown of equipment necessary for the efficient provision of services.	Equipment malfunction	Use backup units	When equipment is not properly functioning	Executive Director	<ul style="list-style-type: none"> Oversee the situation. Maintain contact with the team; assess the situation if the unit is inoperable and unrepairable, authorize the purchase or replacement equipment.
				Team members	<ul style="list-style-type: none"> Call tech support for unit repair/replacement Use spare units. Begin requisition for unit replacement

Scenario	Trigger	Response	When	Key Responsibilities	
				Who	What
Loss of Physical or Electronic Records	Inability to access the main drive or Lost physical file	Save data in external drive	As soon as it happens	Executive Director	<ul style="list-style-type: none"> - Oversee the situation. - Maintain contact with the team; assess the situation offer guidance & support
Unavailability of Facility	<ul style="list-style-type: none"> - Natural disasters - Fire - Flood - Pandemic 	Update GETHC Website to notify the public	As soon as it happens	Team members	<ul style="list-style-type: none"> - Call OTECH for support service. - Save files in external drive
				Executive Director	<ul style="list-style-type: none"> - Inform Commissioners of unavailability of facilities; obtain concurrence for the desired response. - Maintain contact with the team; assess the situation and offer support. - Implement remote working and telecommuting measures
				Team members	<ul style="list-style-type: none"> - Forward all calls to available phone lines. - Update GETHC Website email prompts to notify the public. Instruct to call or email for immediate assistance - Bring laptop, charger and external drive and prepare for remote work.

Scenario	Trigger	Response	When	Key Responsibilities	
				Who	What
Unanticipated Reduced Funding Levels	Budget cuts	<ul style="list-style-type: none"> - Explore Revenue Generation - Prioritize spending & identify areas where reductions can be made without compromising core functions or mission-critical objectives. - Streamline process 	As soon as it happens	Executive Director	<ul style="list-style-type: none"> - Inform Commissioners of reduction of funding level and obtain concurrence for the desired response.
Any Combination of the Above through Reasonably Foreseeable Instances	Any of the above	GETHC will integrate elements from the specific plans above based on the combination of events.	As soon as it happens	Team Members	<ul style="list-style-type: none"> - In the event of rightsizing adapt workload to take on additional tasks, and report challenges/ concerns to Director
				Executive Director	<ul style="list-style-type: none"> - Integrate elements from specific plans above based on the combination of events.
				Team members	