***(Insert Department Name)***

**Continuity Plan**

***(Insert Month 20XX)***

***(Note: To insert your building’s image above, right-click the image, click Format Shape, click Fill Paint Can, click Fill, click Picture or texture fill, click Insert picture from File, then select a jpeg or png image file of the desired building. Delete these instructions before publishing final plan.)***

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| ODU_sig_REV-01.eps | **Old Dominion University**  ***(Insert Department Name)***  ***(Insert Department Address)***  **Norfolk, Virginia 23529**  ***(Insert Department Office Phone Number)***  ***(Insert Office Fax Number)***  ***(Insert Department Main Email Address, if applicable)***  ***(Insert Department Website, if applicable)*** |

*This document contains sensitive and confidential information that is not subject to FOIA under Code of Virginia §2.2-3705.2.*

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**Template Structure and Instructions**

In each section of the template, there are ***instructions****,* sample verbiage, and references to worksheets that might be helpful in gathering data necessary to develop the Continuity Plan.

* Instructions are in ***blue italics*** to distinguish them from other parts of the template. These instructions should not appear in the final plan.
* Sample verbiage or language is provided to assist in developing the plan. The sample language provided in the template should be replaced, expanded upon, or modified as necessary to fit the needs of the department using the template. This includes tables, charts, checklists or other tools within the template. However, all sections and elements outlined in the template should be included in the department’s Continuity Plan unless otherwise indicated.
* Headers and/or footers should be used to number pages. Appendices should be numbered in a manner to reflect the appendix number.
* An optional worksheet was created to help document manual workaround procedures. Use of the worksheet is not a template requirement, but can be included in the plan as an appendix.

Don’t forget to change ***(insert name of department)*** throughout the template to your department name. When changing blue italicized text to final plan content, change the font to black, sentence case, sized appropriately with the rest of the section’s text (this will help save time with final formatting). Also please remove this template instruction page before plan submission.

Finally, add acronyms and definitions into the glossary that reflect the relevant terms used by your department.

If you have any questions, please contact the ODU Office of Emergency Management at (757) 683-5116 or email [j1reed@odu.edu](mailto:j1reed@odu.edu).

**Security and Privacy Statement**

Public disclosure of this document would have a reasonable likelihood of threatening public safety by exposing vulnerabilities. It contains sensitive and confidential information that is not subject to FOIA under *Code of Virginia* §[2.2-3705.2](http://law.lis.virginia.gov/vacode/title2.2/chapter37/section2.2-3705.2/). Accordingly, Old Dominion University’s ***(insert department name)*** is withholding this plan from full public disclosure. Refer any request for a copy of this document to Old Dominion University legal counsel or the Virginia Attorney General’s office.

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**Promulgation/Approval Statement**

***Promulgation is the process that officially announces and declares a plan. It gives the plan official status and gives both the authority and the responsibility for employees to perform their tasks. The promulgation statement should briefly outline the organization and content of the Continuity Plan and describe what it is, who it affects, and the circumstances under which it should be executed. The department head or a designee must approve the Continuity Plan. The signed promulgation document formalizes the plan to be “in force.” Sample text for this section includes:***

The Old Dominion University ***(insert department name)***’s mission is to ***(enter mission statement)***. To accomplish this mission, ***(insert department name)*** must ensure its operations are performed with minimal disruption during all-hazards incidents/emergencies/events that disrupt normal operations. This document provides planning and program guidance for implementing the ***(insert department name)*** Continuity Plan and Continuity Program to ensure the agency is capable of conducting its mission essential functions (MEF) under all threats and conditions. The department is committed to the safety and protection of its personnel, students, visitors, operations, and facilities. This Continuity Plan is a recovery plan that works as a companion plan with the ***(insert department name)*** Emergency Action Plan (EAP), ODU Crisis and Emergency Management Plan (CEMP), and ODU University Continuity Plan and provides a framework to minimize potential impact and allow for rapid recovery from an incident/emergency/event that disrupts operations. This plan encompasses the magnitude of operations and services performed by the department and is tailored to the department’s unique operations and MEFs. This plan was developed through a formal planning process involving agency stakeholders and is compliance with the Virginia Department of Emergency Management (VDEM) Continuity Plan Template as required in Governor’s Executive Order 41 (2011).

This plan identifies key personnel that perform or manage the performance of MEFs. Upon plan activation, key personnel will be notified and assume responsibility for implementing the plan in accordance with the guidance provided by the ***(insert title of agency representative responsible for implementing the Continuity Plan)***or designee. Key personnel should be prepared to implement the Continuity Plan and perform its MEFs within the established recovery time objectives for a period of up to 30 days or until normal operations can be resumed.

This Continuity Plan was prepared and revised by ***(insert department name)*** to develop, implement and maintain a viable continuity capability. This plan complies with applicable internal agency policy and state regulations and supports recommendations provided in FEMA’s Continuity Guidance Circular 1 (CGC 1) and Continuity Guidance Circular 2 (CGC 2). This Continuity Plan has been distributed internally to appropriate personnel within the ***(insert department name)*** and with external organizations that might be affected by its implementation.

I hereby appoint ***(insert employee position title)*** to serve as the Continuity Coordinator for the ***(insert department name)***. This position shall assume the identified responsibilities outlined in the Continuity Plan and possess the authority necessary to carry out the duties delineated in this plan. When this plan is activated, a Reconstitution Manager will be appointed who shall have all of the authorities and responsibilities described herein. This promulgation shall also serve as official approval of the Orders of Succession and Delegations of Authority outlined herein.

***(Insert department head name and title)*** Date

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**Record of Changes**

***Changes made to the Continuity Plan between official promulgations should be documented in the Record of Changes table below. The Record of Changes will contain, at a minimum, a change number, the section and/or page number of the change, a description of the change, the date of the change, and the initials of the person who made the change. Minor plan changes (such as grammatical or phone number changes) which do not affect the implementation of the plan do not need to be captured in the Record of Changes table. A new Record of Changes table should be used whenever the plan is re-promulgated by the department head or designee.***

Submit recommended changes to this document to ***(insert name of department Continuity Coordinator and email address)***.

**Table 1: Record of Changes**

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| --- | --- | --- | --- | --- |
| **Change Number** | **Section and/or Page Number** | **Description of Change** | **Date of Change** | **Posted By** |
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**Publication and Dissemination**

***The publication and dissemination phase of the continuity planning process consists of publishing the plan and presenting it to appropriate departmental personnel. Departmental leadership and key personnel identified in the plan should be provided with a copy of the entire plan. Departmental staff not identified as key personnel should be provided with portions of the plan deemed appropriate, but may be provided with a copy of the entire plan at the department’s discretion. Contractors that perform or support performance of MEFs may also be provided with portions of or the entire plan at the discretion of the department. In these instances, the department may require the contract staff to sign a Non-Disclosure Agreement.***

The Old Dominion University ***(insert department name)*** Continuity Plan will be distributed to departmental leadership and key personnel within the department and to others as deemed appropriate. Requests for additional copies of this plan or notification of updates should be directed to the Continuity Coordinator or designee.

**Table 2: Continuity Plan Distribution List**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Name** | **Title** | **Agency or Organization** | **Date Issued** | **Date Returned** | **Number of Copies** |
| Jerry Reed | Emergency Planner | Office of Emergency Management | ***(insert date)*** |  | 1 |
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**Basic Plan**

***The Basic Plan provides an overview of the department’s approach to continuity. It details continuity and departmental policies, describes the department, and assigns tasks. The plan elements listed in this chapter will provide a solid foundation for the development and identification of mission essential functions (MEFs), essential supporting activities, and supporting appendices. Sample text is provided below. Please revise to reflect the needs of the department.***

The Old Dominion University ***(insert department name)*** has grown increasingly aware of how all types of incidents/emergencies/events can disrupt operations and jeopardize the ability to perform its mission essential functions (MEFs), the limited set of department and agency level government functions that must be continued throughout or resumed rapidly after a disruption of normal activities. As such, the ***(insert department name)*** has adopted an all-hazards approach to continuity planning to ensure that regardless of the event, its MEFs will continue to operate and/or be provided in some capacity. This approach includes preparing for natural, human-caused, or technological hazards.

The information presented throughout this plan is considered a flexible, structured framework for the continued function of mission-essential aspects of the ***(insert department name)***. It does not represent definitive, final guidance on how the ***(insert department name)*** will actually continue to function under real-world conditions during a large-scale incident/emergency/event.

PURPOSE

***The section explains why the department is developing a Continuity Plan. It explains the overall purpose of continuity planning and the disruptions it addresses. Sample text is provided below.***

The purpose of this Continuity Plan is to provide the framework for ***(insert department name)*** to continue or rapidly restore its MEFs in the event of an incident/emergency/event that affects operations. This document establishes ***(insert department name)***’s Continuity Program procedures for addressing three types of extended disruptions that could occur individually or in any combination:

* Loss of access to a facility or portion of a facility (as in a building fire);
* Loss of services due to equipment or systems failure (as in telephone, electrical power, or information technology system failures); and
* Loss of services due to a reduced workforce (as in pandemic influenza, incidents in which employees are victims or incidents that prohibit employees from reporting to the workplace).

This plan details procedures for implementing actions to continue the following MEFs:

* ***(Insert department approved MEF(s) in bullet format here. More information on MEF identification may be found on page 20 of this template and in the VDEM Guide to Identifying Mission Essential Functions (MEFs) and Conducting Business Process Analyses (BPAs).***

This Continuity Plan is **not** an emergency response plan. It **is** a recovery plan that works as a companion plan with the ***(insert department name)*** EAP and ODU CEMP and Continuity Plan. The Continuity Plan provides a framework designed to minimize potential impact to operations and allow for rapid recovery from an event which may or may not cause the activation of emergency response or incident action plans.

SCOPE AND APPLICABILITY

***This section describes the department elements (e.g., divisions, units, locations) covered by the plan and the times during which the plan is in effect. Department unit offices located off-site from the main administration office(s) may have independent continuity plans. However, any MEFs performed at those off site locations should be included in the department’s comprehensive continuity plan. Use the verbiage supplied below or insert language developed internally.***

This plan applies to the operations and resources necessary to ensure the continuation of ***(insert department name)***’s MEFs. This plan applies to departmental personnel (including faculty) in all units and all locations where MEFs and its supporting functions are conducted.

This Continuity Plan supports the performance of MEFs from alternate locations, with a reduction in workforce, or during a loss of services resulting from equipment or systems failure. The Continuity Plan does not apply to temporary disruptions of service, including minor IT system or power outages or any other scenarios where the MEF can be readily restored in the primary facility. This plan provides for the resumption of MEFs, continuity of management, and decision-making authority if departmental leadership is unavailable. This Continuity Plan can be activated during duty and non-duty hours, both with and without warning. The ***(insert department name)*** Continuity Plan describes the actions that can be taken to activate a viable continuity capability in concert with its EAP and within its established recovery time objectives (RTOs) of an incident/emergency/event and to sustain that capability for up to 30 days.

SITUATION OVERVIEW

***This section addresses the situations that might affect and influence all continuity planning scenarios, such as number of personnel who could potentially be affected, size of the primary facility, and other pertinent details. This section should also list potential threats or hazards that could impact performance of MEFs. Below are examples of the type of information that should be included in this section. Please revise to reflect the situations specific to your department.***

The following situations impact ***(insert department name)***’s continuity planning efforts:

***The following are examples taken from the 2019 ODU University Continuity Plan:***

* ***Old Dominion University is located in the City of Norfolk, Virginia, part of the Hampton Roads region of Southeast Virginia and is bounded by the Elizabeth and Lafayette Rivers. ODU is a four-year, public academic and research institution.***
* ***The University’s 205-acre main campus houses undergraduate, graduate, and doctoral programs in 149 total buildings (approximately 5,358,584 SF). There are approximately 19,372 under-graduate students and 4,804 graduate students (totaling approximately 24,176 students as of the Fall 2018 census) who come from every region in Virginia, other states, and foreign countries. There are approximately 4,600 students who live on campus and 2,500 students who live in off-campus apartments. As of the March 2018 census, ODU employs approximately 3,500 full- and part-time faculty and staff.***
* ***ODU conducts operations at several satellite facilities throughout Hampton Roads:***
  + ***The Virginia Beach Higher Education Center (VBHEC), a two-story building located near the intersection of Princess Anne Road and Dam Neck Road, is the largest ODU satellite facility. Adjacent to Tidewater Community College’s Virginia Beach campus, the VBHEC houses ODU and Norfolk State University (NSU) staff and students. Approximately 75 full- and part-time ODU faculty and staff are located at the VBHEC and student populations fluctuate on a daily basis.***
  + ***The Peninsula Higher Education Center (PHEC), a two-story building located in Hampton off Interstate 64, is ODU’s outreach arm on the Peninsula section of Hampton Roads. A part of Thomas Nelson Community College’s (TNCC) campus and co-located with TNCC, Virginia Employment Commission (VEC), and Virginia Workforce Development Center spaces, PHEC has approximately 57 full- and part-time faculty and staff on campus. Student populations fluctuate on a daily basis.***
  + ***The two-story ODU Tri-Cities center resides at the confluence of the Cities of Suffolk, Portsmouth, and Chesapeake near the intersection of Virginia Route 164 and College Drive. Physically located within the City of Portsmouth and primarily used for distance learning and conference space, Tri-Cities has 23 full- or part-time faculty and staff.***
  + ***The Virginia Modeling, Analysis, and Simulation Center (VMASC), located beside the Tri-Cities Center in the City of Suffolk, hosts a series of events, given its wealth of conference spaces. VMASC, Information Technology Services’ Disaster Backup site, has approximately 30 full-time staff.***
  + ***The Norfolk main campus, by virtue of its location in a Federal Emergency Management Agency (FEMA) floodplain between two rivers, is routinely subject to flooding of varying severity throughout much of campus. Additionally, the main campus has the Northern Hemisphere’s largest coal exporting terminal immediately adjacent to the west at Lambert’s Point (operated by Norfolk Southern Corporation), the region’s largest container port at Norfolk International Terminals about 3 miles to the north, and the world’s largest naval base (Naval Station Norfolk) less than 5 miles to the north. Truck and hazardous materials traffic along Hampton Boulevard – the main road through campus – present a continuing threat of operational disruption.***
  + ***The Norfolk main campus has large venues designed to support major events. Between conferences held in Webb University Center to NCAA Conference USA football games in S.B. Ballard Stadium to concerts, athletic events, and other large gatherings in Chartway Arena at the Ted Constant Convocation Center, the potential exists for large groups of people to require assistance in an incident/emergency/event.***
  + ***The VBHEC campus is located under one of the flight paths for military aircraft operating from Naval Air Station Oceana, the U.S. Navy’s master jet base on the East Coast.***
  + ***The PHEC and Tri-Cities sites are located adjacent to major highways that carry hazardous materials. The Tri-Cities center also has a rail line near the campus that routinely moves hazardous materials between the Virginia International Gateway Terminals in Portsmouth and points westward.***
  + ***(Insert additional information as necessary)***

PLANNING ASSUMPTIONS

***This section should briefly familiarize the readers with the underlying assumptions made during the planning process. Assumptions are general statements that will guide the department in the development of its continuity plan. Although a continuity plan is a recovery plan and serves as a companion to existing emergency plans, the planning assumptions used here should be consistent with those used in the department’s emergency plans. Below are examples of the type of information that could be included. Please revise these examples to reflect assumptions applicable to your department and the planning environment.***

This plan has been developed based on the following assumptions:

* ***(Insert department name)***’s leadership and employees will continue to recognize their responsibilities to public safety and exercise their authority to implement this Continuity Plan in a timely manner when confronted with relevant incidents/emergencies/events.
* Old Dominion University has considered its mission, statutory requirements, and emergency support function roles outlined in the ODU Crisis and Emergency Management Plan (CEMP), and has identified MEFs and appropriate recovery time objectives (RTOs) to support this function.
* Departmental MEFs are susceptible to risks associated with natural and human-caused hazards as identified in the Commonwealth of Virginia Hazard Mitigation Plan.
* ***(Insert department name)*** acknowledges that its MEFs may be disrupted by: the loss of access to a facility (or portion of a facility), the loss of services due to equipment or system failure, the loss of services due to a reduction in the workforce, or any combination thereof.
* A disruption of MEFs may occur during or after normal operating hours.
* ***(Insert department name)*** has identified key personnel and alternates required for the implementation of this plan.
* ***(Insert department name)*** leadership will exercise their authority to implement the Continuity Plan in a timely manner when confronted with events that disrupt the MEF.
* ***(Insert department name)*** leadership and key personnel may be required to relocate to an alternate facility during a continuity event.
* Equipment and software systems may become unavailable. Key personnel and alternates responsible for performing MEFs have been trained on manual workaround procedures.
* Leadership has been cross trained so that more than one executive or manager can perform their continuity responsibilities if called upon to do so.
* Old Dominion University and/or ***(insert department name)*** will implement teleworking as an alternate work arrangement, if appropriate.
* In the event of an emergency, Old Dominion University may need to rely on services of other agencies and/or organizations for recovery.
* The Office of Computing and Communications Services provides core information technology services. These systems have 99% reliability and availability. Although the major information technology systems are robust and redundant, there is a possibility that some systems may not be readily available in extreme circumstances.
* Old Dominion University's data center and disaster recovery sites are equipped with an Uninterruptable Power Supply (UPS) and a backup diesel generator to maintain power to information technology systems during interruptions to utility power. These systems are tested on a regular schedule.
* Information Technology Services maintains disaster recovery sites in the Gornto Building on the Norfolk main campus and Virginia Modeling, Analysis, and Simulation Center in Suffolk.
* A backup of all systems, databases and network storage is done on a routine basis by the Office of Computing and Communications Services offsite storage facility providing recovery point objectives of one day or less. Backup copies of data are also maintained at offsite locations.
* When properly implemented, this Continuity Plan will reduce or prevent incident/emergency/ event-related losses and allow for timely recovery operations.

OBJECTIVES

***All plans and procedures should list the objectives that the plans are designed to meet. These objectives should be attainable and should support the department’s overall mission. Continuity planning objectives may include the following information:***

The objectives of the ***(insert department name)*** Continuity Plan are outlined below.

* Ensure that ***(insert department name)*** can perform its MEFs under all conditions.
* Ensure that ***(insert department name)*** can perform its MEFs within established recovery time objectives for a period of up to 30 days or until normal operations can be resumed.
* Provide for the safety and well-being of ***(insert department name)***’spersonnel, students, contractors, and visitors while enabling the department’s continued operations during any event or disruption to operations.
* Reduce or mitigate disruptions to operations.
* Minimize damage and loss to property, records, systems, and equipment.
* Achieve ***(insert department name)***’s timely and orderly recovery and reconstitution from an emergency.
* Ensure and validate continuity readiness through a dynamic and integrated continuity test, training, and exercise program.

ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

***This section identifies key personnel and others (by position) and their responsibilities during continuity plan implementation. Position titles should be used in lieu of employee names to reduce the need to update this portion of the plan due to personnel changes. The following table shows examples of some common continuity of operation implementation responsibilities. Please revise these examples to reflect your department and staff.***

Table 3: Continuity Implementation Responsibilities *(add additional content as appropriate)*

| **Position** | **Responsibility** |
| --- | --- |
| Department Head | * Provide strategic leadership and overarching policy direction for the Continuity Program. * Implement the Continuity Plan when necessary, or when directed to by a higher authority. * Consult with and advise appropriate officials during implementation of the Continuity Plan. * Oversee and coordinate activities between the Continuity Coordinator and Reconstitution Manager. |
| Continuity Coordinator  ***(insert position title)*** | * Coordinate the implementation of the Continuity Plan and initiate appropriate notifications to internal and external contacts. * Work closely with the Reconstitution Manager to ensure a smooth transition from continuity operations to reconstitution operations. |
| Key Personnel | * Be prepared to deploy and support the performance of the department’s MEFs in the event of a Continuity Plan implementation. * Ensure that family members are prepared for and taken care of in an emergency situation. |
| Reconstitution Manager  ***(insert position title)*** | * Coordinate and oversee the reconstitution process. * Ensure that the primary facility can support the performance of its MEFs. * Develop a time-phased plan to ensure that functions are restored in a manner which minimizes downtime. * Work closely with the Continuity Coordinator to ensure a smooth transition from continuity operations to reconstitution operations. |
| University Employees and Faculty | * Monitor agency communications for guidance or instructions during the event. * Know and understand their roles in a continuity environment. * Ensure that family members are prepared for and taken care of in an emergency situation. |
| External Organizations (Such as Contractor and/or Vendor Support Staff) | * Monitor agency communications for guidance or instructions during the event. * Know and understand their roles in a continuity environment. |

ORDERS OF SUCCESSION

***This section identifies current orders of succession for departmental leadership, and may include others deemed appropriate by the department. Orders of succession are provisions that are implemented when personnel are unable to execute their duties (due to an extended absence) or during an emergency or disaster. Departments must establish, communicate, and maintain their orders of succession for management and leadership positions. Revisions should be distributed to departmental personnel as changes occur. Succession may be addressed through by-laws, codes, ordinances, or internal policy. When considering succession, attempt to identify at least two successors to an incumbent. Some positions may require successors from outside the department. There also may be situations in which it is necessary to assign successors from outside the University.***

***Skill-sets for incumbents and successors should be matched as much as possible. Any cross-training needs should be considered and addressed when the succession is defined.***

***In the first column of the table below, list the position title of the administrator, director, or manager. In column 2, list the method by which key personnel, staff, and interdependent departments or units will be notified of change in succession. In columns 3-5 list the successors to this position. The same successors might be named for different management and leadership positions, but avoid designating the same position as the first successor to several key positions. Use the title of the position instead of employee names. Sample text for this section includes:***

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill his/her essential duties, successors have been identified to ensure there is no lapse in departmental leadership. Authority shall return to the departmental leader when the agency leader is capable of resuming essential duties or a permanent replacement has been chosen in accordance with agency policy. ***(Insert department name)***’s orders of succession and method of notification to personnel are listed in Table 4.

Table 4: Orders of Succession *(expand/contract table as needed)*

| **Position** | **Notification Method** | **Successor #1** | **Successor #2** | **Successor #3** |
| --- | --- | --- | --- | --- |
| ***(Example)***  ***Director of Emergency Management*** | ***Email/Cell Phone*** | ***Emergency Planner*** | ***Asst. VP of Public Safety/Chief of Police*** | ***Fire Prevention Manager*** |
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**DELEGATIONS OF AUTHORITY**

***This section should identify, by position (when possible), the formal or legal authority which allows individuals to make key policy decisions and/or perform specific functions. Authority types can include statutory or signatory authorities. List the authority to be delegated, type of authority, and the position currently holding the authority. Then list the position the authority is being delegated to, the triggering condition(s), and any limitations on the authority. Sample text for this section includes:***

Generally, pre-determined delegations of authority will take effect when normal operations are disrupted and terminate when these have resumed. ***(Insert department name)*** has identified the following delegations of authority:

Table 5: Delegations of Authority *(expand/contract table as needed)*

| **Authority (Function)** | **Type of Authority** | **Position Holding Authority** | **Delegation to Position** | **Triggering Conditions** | **Limitations** |
| --- | --- | --- | --- | --- | --- |
| ***Executive Authority*** | ***Executive Direction*** | ***University President*** | ***Vice President for Administration and Finance*** | ***Physical absence AND inability to contact be phone or email*** | ***The transfer of authority will continue until the incumbent is located and/or returns.*** |
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## CONCEPT OF OPERATIONS

***This section should explain how the department will implement its Continuity Plan during an event that disrupts normal operations. This section should be separated into four phases: preparedness, activation and notification, continuity operations, and reconstitution. This section should specifically state how the department plans to address each continuity phase.***

A continuity plan must be maintained at a high level of preparedness and be ready to be implemented without prior warning. As such, ***(insert department name)*** has developed a concept of operations which describes the implementation of the Continuity Plan. This plan can be fully implemented within established recovery time objectives and capable of sustaining operations for up to 30 days or until normal operations can be resumed.

**Phase 1 – Preparedness**

***This phase includes all departmental continuity preparedness activities. Agencies should only include those preparedness activities and systems that are applicable to their plan. Optional questions to consider when completing this section may include the items listed below. Although the answers to many of the questions are found in separate sections of this document, the questions are key elements of departmental preparedness.***

* ***Has the department identified events or potential events that can adversely impact the department’s ability to continue to perform MEFs?***
* ***Has department staff (including faculty) been properly cross-trained?***
* ***Have personnel received proper training regarding their role in plan implementation?***
* ***Has the department established orders of succession at least three people deep?***
* ***Has the department adopted teleworking or other alternate work arrangements?***
* ***What steps can be taken to make essential records, and systems safeguarded and accessible to staff in a teleworking scenario?***
* ***Has the department identified if interim processes (i.e. manual workaround procedures) exist and can be utilized if equipment or systems are unavailable?***
* ***Have Memoranda of Understanding (MOUs) or Mutual Aid Agreements been developed for utilization of alternate systems, equipment, or facilities?***

***(Insert department name)*** participates in the full spectrum of readiness and preparedness activities to ensure the department can continue to perform MEFs in an all-hazard risk environment. This is accomplished through various means, including the use of professional go-kits by key personnel, regular training and exercises of the Continuity Plan (outlined in the Training and Exercise Section of this document), the development of human capital management policies that support departmental staff, and monitoring of government intelligence reports or notices by executive leadership.

**Professional Go-Kits**

***(Insert department name)***‘s key personnel and executive leadership have the responsibility to create and maintain go-kits. Go-kits should include standard operating procedures, emergency plans, operating orders or regulations, and other relevant guidance. Other documents and materials that might be included in a go-kit include:

* Continuity Plan
* Current contact list of key personnel, external partners and vendors
* General office supplies
* Backup communication devices if available
* Manual work-around procedures for performing the department’s MEFs
* Compact discs or thumb drives
* Critical equipment inventory
* Directions to the alternate facility and a current floor plan
* Alternate facility contact information and/or keys or access cards

**Human Capital Management**

***(Insert department name)***’s key personnel should cross-train back-up personnel capable of performing the department’s MEFs. Frequency of cross-training shall be at the discretion of supervisors, but should occur as often as necessary to ensure proficiency of MEF performance. All cross-training should be documented.

Teleworking is recognized as an alternative method to perform departmental MEFs during a continuity event. Therefore, key personnel may be authorized to telework during activation of the Continuity Plan at the discretion of the department or division manager. Regulations outlined in ODU [Policy 6206](https://www.odu.edu/content/dam/odu/policies/university/6000/univ-6202.pdf) (Telework Policy) shall be adhered to at all times.

During activation of the Continuity Plan, the ***(insert department name)*** will attempt to contact and account for all departmental staff. Additionally, the ODU Human Resources department will provide human capital management guidance to employees (pay, leave, staffing, work expectations and other human resources policies) and assist the Continuity Coordinator with other staffing related matters.

All ODU faculty and staff should develop a family support plan to increase personal and family preparedness. To develop a family support plan, use the templates available at

<http://www.vaemergency.gov/prepare-recover/make-emergency-plan/>.

**Phase 2 – Activation and Notification**

***This section should explain continuity plan activation and notification procedures. The plan can include a checklist of procedures for notificati******on of key personnel and others of the decision to implement the Continuity Plan, and provide guidance for key personnel and other staff. If notification procedures and processes are currently in place, insert them here. Some questions to consider when completing this section are:***

* ***Who is responsible for assessing the situation?***
* ***Who is responsible for activating the plan?***
* ***Who is responsible for notifying key personnel?***
* ***What methods, protocols or procedures are available to contact key personnel both during and after normal work hours?***
* ***Does the agency currently use notification software or systems to notify staff? (e.g., automated call tree, text message or others)***
* ***Have these systems been evaluated for sustainability and interdependencies?***
* ***What means will be used to confirm that executive leadership and key personnel have received the notification of Continuity Plan activation?***
* ***Who is responsible for notifying and providing guidance to contractors, vendors, or interdependent agencies of the Continuity Plan activation?***

The following matrices are intended to serve as an implementation guide. It is important to note that while an effort has been made to outline implementation levels and notification guidelines in these matrices, **they are a guide only** and do not limit the ability of departmental leadership to make decisions and take necessary actions in the event of an emergency.

Departmental leadership will stay informed of the threat environment using all available means, including government intelligence reports or notices, national/local reporting channels, and media outlets. Activation decisions by departmental leadership will be made after evaluating all available information relating to:

* Direction and guidance from higher authorities
* National Terrorism Advisory System (NTAS) alerts, instructions, and guidance or similar communication from state or local authorities, including local emergency management agencies.
* National Weather Service Alerts
* The health and safety of personnel
* The ability to execute ***(insert department name)***’s MEFs and PBFs
* Intelligence reports
* The potential or actual effects on communication systems, information systems, office facilities, and other essential equipment
* The expected duration of the emergency situation

Table 6: Activation Decision Matrix *(this should be modified to fit the department as needed)*

| **Level of Emergency** | **Category** | **Potential Event** | **Impact on the Ability to Perform MEFs** | **Decisions** |
| --- | --- | --- | --- | --- |
| I | Alert | An event with notice, such as a severe weather forecast to impact area; scheduled software upgrades to essential systems or essential equipment maintenance/upgrades. | An actual or anticipated event that might have an adverse impact on any portion of the agency, staff, or equipment/ systems for a period of time that exceeds recovery time objectives, but does not require any specific response beyond what is normally available. | No Continuity Plan implementation required. |
| II | Stand-by | Coastal storm approaching ODU’s service area; system or equipment failure expected to last less than 24 hours; possible public health emergency reported with minimal impact to staff. | An actual or anticipated event estimated to have minimal impact on operations that might require minimal assistance beyond what is normally available. | Limited Continuity Plan implementation depending on individual department requirements. |
| III | Partial Implementation | Small fire localized to one wing or floor of the building; system or equipment failure expected to last more than one day; public health emergency declared with moderate impact to staff. | An actual event estimated to disrupt the operations of the department’s MEFs for more than the established recovery time objectives or 24 hours. | Partial Implementation of the Continuity Plan. |
| IV | Full Implementation | Gas line explosion has caused extensive structural damage to the facility; system or equipment failure expected to last for an extended period of time; public health emergency declared with significant staff impact. | An actual event that significantly disrupts the operations of the department’s MEFs for a period of time exceeding the MEF recovery time objectives. | Full implementation of the Continuity Plan approved by departmental leadership. |

Table 7: Activation Notification Matrix *(this should be modified to fit the department as needed)*

| **Level of Emergency** | **Category** | **Leadership Notifications** | **Continuity Coordinator Notifications** |
| --- | --- | --- | --- |
| I | Alert | Impacted department/unit member alerts respective supervisor of situation and requests assistance as applicable.  Departmental supervisor notifies:   * Department head, and * Continuity Coordinator. | The Continuity Coordinator notifies:   * Key personnel of the alert and that they are to ensure go-kits, emergency contact information, and manual workaround procedures are up to date, and/or ensure the availability and functionality of telework resources. |
| II | Stand-by | Impacted department/unit member alerts respective supervisor of situation and requests assistance as applicable.  Departmental supervisor notifies:   * Department head, and * Continuity Coordinator. | The Continuity Coordinator notifies:   * Key personnel that they are being placed on stand-by and that they are to ensure go-kits, emergency contact information, and manual workaround procedures are up to date, and/or ensure the availability and functionality of telework resources. |
| III | Partial Implementation | Impacted department/unit member alerts respective supervisor of situation and requests assistance as applicable.  Departmental supervisor notifies:   * Department head, and * Continuity Coordinator. | The Continuity Coordinator notifies:   * Key personnel and provides partial implementation instructions. |
| IV | Full Implementation | Impacted department/unit supervisor alerts department head.  Department head notifies:   * Chief Operating Officer or respective Vice President, and * Continuity Coordinator, and * Subordinate or interdependent agencies. | The Continuity Coordinator notifies:   * Associate Director of Emergency Management * Human Resources (to provide guidance to agency personnel) * Asst. VP of Strategic Communication and Marketing * Director of Facilities Management * Key personnel and provides instructions * Others as appropriate |

In addition to the notifications outlined in the matrices, the following notifications may need to be made by the Continuity Coordinator or designee(s) within 12 hours of activation:

* Notifying all current active vendors, contractors, and suppliers of the plan activation and providing direction on activities that will need to be initiated, altered, or suspended as a result.
* As appropriate and necessary, notifying the primary point of contact for surrounding organizations, jurisdictions, and interdependent agencies of the plan activation and any potential consequences or planned alternate actions that might be required until normal operations can be restored.
* Once the situation has been fully assessed, notifying University faculty, staff, students, contractors, suppliers, vendors, and interdependent agencies of the expected duration of the event.

**Phase 3 – Continuity Operations**

***This section should identify initial arrival/check-in procedures as well as operational procedures for the continuation of MEFs. Questions to consider when completing this section may include:***

* ***Do procedures exist for in-processing key personnel and departmental leadership at the alternate facility?***
* ***What methods are in place to account for departmental leadership and key personnel authorized to continue MEFs under the teleworking arrangement?***
* ***What methods are in place to account for and track contractors who support the performance of MEFs?***
* ***Are security protocols required and already in place at the alternate facility?***
* ***Can the department adjust or reduce operating hours, locations, or services if the event results in a workforce reduction?***
* ***Have interim processes or manual workarounds been developed for MEFs or Primary Business Functions (PBFs)? PBFs are the specific supporting activities that a department must conduct in order to perform its MEFs. Are the manual workaround documents for MEFs and PBFs readily available?***

***Sample text for this section includes:***

Upon activation of the Continuity Plan during normal business hours, key personnel will continue to perform MEFs, if possible, until ordered to cease operations by ***(insert name of authority)***. At that time, MEFs will transfer to the alternate facility(ies) and/or be performed in the manner prescribed by the ***(insert name of authority)***. If, during non-duty hours, the decision to transfer MEFs to the alternate facility(ies) is made, previously designated key personnel may be required to arrive at the alternate facility(ies) first to prepare the site. Upon arrival at the alternate facility(ies), these key personnel will:

* Ensure infrastructure systems, such as power and HVAC are functional
* Implement pre-designated security protocols if required
* Prepare check-in duty stations for key personnel and departmental leadership arrival
* Field telephone inquiries from departmental staff
* ***(insert additional tasks here)***

If the decision to perform MEFs via telework or using a reduced workforce scenario is made, key personnel will:

* Heed all applicable instructions
* Retrieve pre-positioned information and activate applicable systems or equipment
* Begin performing departmental MEFs
* Keep the Continuity Coordinator or designee informed of MEF capability.
* ***(insert additional tasks here)***

During continuity operations, ***(insert department name)*** may need to acquire additional personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. ***(Insert department name)*** maintains the authority for emergency acquisition. Key staff within the Construction and Procurement Services Office have instructions for these actions.

MEF- and PBF-specific continuity operations are described in greater detail in Appendix D – Business Process Analysis on page 44.

### Phase 4 – Reconstitution

***Departments must develop a checklist of procedures for key personnel and departmental leadership to assist them in returning to normal operations and/or back to the primary facility. A Reconstitution Manager can be identified in the plan, or during implementation of the Continuity Plan based on the nature of the disruption. It is important to note that the Reconstitution Manager will need to work closely with the Continuity Coordinator and may be required to share limited resources. Some questions to consider when developing this section include:***

* ***How long will it take to transition essential records, systems, or equipment from the alternate facility to the primary or new facility?***
* ***How will employees, external partners, vendors, and customers be notified of the action plan for reconstitution?***

***Sample text for this section includes:***

The Reconstitution Manager is responsible for initiating and coordinating operations to salvage, restore, and recover the ***(insert department name)***’s primary operating facility and overseeing the repair or restoration of systems or equipment. The Continuity Coordinator will work with departmental leadership to schedule and/or supervise the return to work of personnel. It should be noted that in certain circumstances, reconstitution to the primary operating facility may require approval from local, State, or Federal law enforcement or emergency service agencies.

During continuity operations, the Reconstitution Manager or designee must obtain the status of the facilities, systems, and/or workforce affected by the event. Upon obtaining the status of the facility, systems, or workforce, the Reconstitution Manager will determine how much time is needed to repair the affected facility or systems, acquire a new facility or systems, or achieve workforce recovery. These determinations may be made in conjunction with the department head, Continuity Coordinator, Vice President for Human Resources, Assistant Vice President for University Services, and other members of the University’s executive staff.

Reconstitution procedures will commence when the ***(insert title of department head)*** or other authorized person ascertains that the emergency situation or disruption has ended and is unlikely to reoccur. Once the appropriate authority has made this determination, in coordination with other applicable authorities, one or more of the following options may be implemented, depending on the situation:

* If the disruption was caused by a facility-related event, the Reconstitution Manager may conduct security and safety assessments to determine building suitability.
* Departmental leadership notifies staff that the threat of, or actual emergency, no longer exists and provides instructions for resumption of normal operations. Announcement is disseminated via established notification procedures.
* Each business unit or subcomponent will designate a reconstitution point-of-contact to work with the Reconstitution Manager and to update personnel on developments regarding reconstitution.
* Key personnel continue to perform MEFs until notification of reconstitution implementation.
* The Reconstitution Manager and/or the Continuity Coordinator communicates the reconstitution schedule to personnel, contractors, partners and other key contacts (local jurisdictions, vendors, etc.), as applicable.
* The Reconstitution Manager coordinates with the Assistant Vice President for University Services, or other appropriate staff and/or contractors to verify that systems, communications, and other required capabilities are available and operational and that the agency is fully capable of accomplishing its MEF and operations at the new or restored facility, with the new or restored systems, or with a new or restored workforce.
* The action plan for reconstitution is implemented. The Reconstitution Manager or designee will supervise the return of personnel, equipment, and documents to normal operations whether at the primary or a permanent alternate facility location. The phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule outlined by the Reconstitution Manager. Transition and/or recovery of essential records, databases, or equipment, as well as other records not designated as essential will occur in a manner consistent with agency disaster recovery plans (including the Information Technology Disaster Recovery Plan).
* The Continuity Coordinator conducts a “hot wash” or review of its continuity operations and the effectiveness of its plans and procedures with executive leadership and key personnel. This information is used to complete an After Action Report (AAR). Information gathered during the AAR process should be used to develop an Improvement Plan (IP) to correct identified deficiencies.
* ***(insert additional activities associated with reconstitution here)***

**Mission Essential and Primary Business Functions (MEF & PBFs)**

***This section includes a list of the department’s prioritized mission essential functions (MEFs) and the Recovery Time Objectives (RTOs) required for each. MEFs are those departmental functions that must be continued throughout, or resumed rapidly after a disruption of normal operations. MEFs also include department missions required to be performed to provide vital services, exercise civil authority, maintain the safety and health of the University, and sustain the academic and research base during a disruption. While many department functions are important, during a disruption departments must be able to focus their efforts and limited resources on functions that cannot be deferred. The department plan should include departmental MEFs, regardless of where those functions are performed. The plan should not include ALL FUNCTIONS that the department performs.***

***The five basic steps of the MEF identification process are:***

1. ***Identify departmental functions***
2. ***Identify departmental MEFs***
3. ***Prioritize candidate MEFs (by RTO)***
4. ***Submit candidate MEFs for departmental leadership approval***
5. ***Complete a Business Process Analysis (BPA) as outlined in Appendix D***

***RTOs should be developed in step #3 above. RTOs are considered to be the maximum amount of time that a function or service can be interrupted before it must be restored to an acceptable level of operation. Factors such as legal, regulatory, contractual, or financial impacts of the outage should be considered. Loss of reputation, public confidence, and other intangible factors also might need consideration. RTOs should be specific and not a range of hours or days. For assistance in identifying RTOs, contact the ODU Office of Emergency Management.***

***For some departments with cyclical or seasonal MEFs, RTOs may vary depending on the time of the year. In these instances, more than one RTO should be included for each MEF along with a corresponding date range. MEFs should be prioritized by RTOs.***

***When completing the BPA for each MEF, it is important to identify Primary Business Functions (PBFs) that support agency MEFs. It is recommended that a BPA be completed for each supporting PBF to document the resources, staff, partners, and interdependencies required for performance.***

***Additional guidance regarding MEF identification can be found in VDEM’s Guide to Identifying Mission Essential Functions located on the VDEM website at:*** [***http://www.vaemergency.gov/emergency-management-community/emergency-management-plans/continuity-planning/***](http://www.vaemergency.gov/emergency-management-community/emergency-management-plans/continuity-planning/)***. Sample text for this section is provided below. Additional guidance for developing Mission Essential Function and Primary Business Function Business Process Analyses can be found in a separate template worksheet provided by the ODU Office of Emergency Management.***

The ***(insert department name)*** has identified ***(insert number)*** mission essential functions (MEFs), several Primary Business Functions (PBFs), and the Recovery Time Objective (RTO) required for each.

The MEFs listed in the table below are prioritized by RTO to assist the department and staff in understanding which functions must be recovered first. More information on the business processes identified for each MEF and PBF identified below can be found in Appendix D – Business Process Analysis.

Table 8: Mission Essential and Primary Business Functions *(expand table as needed)*

| **Mission Essential Function** | **Description** | **RTO** |
| --- | --- | --- |
| ***(Example)***  ***Protect the life and safety of students, employees, faculty, staff, and visitors while on campus*** | ***Provide a safe and secure environment on campus by maintaining on site law enforcement and security services.*** | ***<12hours*** |
| **Primary Business Function** |  |  |
|  |  |
|  |  |

**Program Management and Maintenance**

***This section describes the overall management and maintenance of the Continuity Program and plan. Continuity plan maintenance ensures that the plan reflects the current departmental environment and that staff is prepared to respond during plan implementation. The plan should be updated at least annually but more often as needed to reflect personnel, equipment, or system changes, or new processes for performing MEFs. Plan changes should be reflected in the Record of Changes section.***

***Sample text is provided below. Tailor the program management and maintenance responsibilities to reflect the roles and responsibilities designated by the department.***

Departmental leadership, the Continuity Coordinator, and the Associate Director of Emergency Management are responsible for managing and maintaining the Continuity Plan. While the Continuity Plan serves as the guide during activation and recovery, the Continuity Program provides the framework and structure to guide continuity planning.

Table 9: Program Management and Maintenance Responsibilities *(add additional content as needed)*

|  |  |
| --- | --- |
| **Position** | **Responsibility** |
| Department Head | * Designate and authorize a Continuity Coordinator to manage the agency Continuity Program. * Designate a Reconstitution Manager to oversee and coordinate reconstitution efforts. * Coordinate the efforts and activities of the Continuity Coordinator and Reconstitution Manager. * Ensure that orders of succession and delegations of authority are kept up to date. * Promulgate/approve the Continuity Plan. * Ensure all appropriate departmental components participate in continuity exercises. |
| Continuity Coordinator | * Lead and ensure overall support and execution of Continuity Program. * Coordinate the development and documentation of all activities required for the department to perform MEFs during an event or other situation that disrupts normal operations. * Create a planning schedule and milestones for developing or updating continuity capabilities and obtaining plan approval. * Coordinate and/or administer continuity awareness training for all departmental employees and applicable contractors responsible for supporting activation of the Continuity Plan. * Maintain and update the Continuity Plan as outlined in Table 9 – Continuity Plan Maintenance Schedule. * Coordinate an annual continuity exercise and complete an After Action Report (AAR), working with the Office of Emergency Management. * Develop an Improvement Plan (IP) to correct deficiencies noted in the AAR and modify the Continuity Plan, if appropriate. |
| Reconstitution Manager | * Initiate, coordinate, and oversee operations to salvage, restore, and recover the department’s primary operating facility, systems or equipment, and/or workforce, or locate and prepare a new facility for the organization. * Establish an action plan for reconstitution and notify the Continuity Coordinator of the plan. |
| Key Personnel | * Have an approved telework agreement, if applicable * Participate in continuity training and exercises as directed. * Be aware of their role and capable of performing their responsibilities in the event of plan activation. * Update contact information with the Continuity Coordinator for inclusion in the Continuity Plan as appropriate. |
| Department Staff, Employees, and Contractors | * Know and understand their roles in a continuity environment. * Know and understand their responsibilities related to Continuity Plan Primary Business Functions (PBFs) and performance of them at an alternate location. * Understand the communication protocols to be used during a continuity event. |

***The following is a sample list of standard activities needed to maintain continuity plans and the frequency of their occurrence. This information should be modified to reflect the plan maintenance schedule established by your department.***

The Continuity Coordinator or designee is the lead in ensuring that the Continuity Plan is updated and maintained in accordance with established schedules. Whenever the plan is updated, it should be reissued with the update recorded on the Continuity Plan Record of Changes. The following tables identify major responsibilities of essential personnel and leadership required for development and maintenance of ***(insert department name)***’s Continuity Plan. Designated departmental staff are responsible for reviewing and understanding their responsibilities related to Continuity Plan functions and performance of essential functions at an alternate location.

Table 10: Continuity Plan Maintenance Schedule

|  |  |  |
| --- | --- | --- |
| **Activity** | **Tasks** | **Frequency** |
| Revise contact information for departmental leadership and key personnel | * Confirm and update departmental leadership and key personnel information | Semiannually |
| Plan update | * Review entire plan for accuracy and compliance with the most recent template as required by the Office of Emergency Management. * Update plan to reflect organizational changes within the department or changes to MEFs or supporting activities performed by the department, interdependent agencies, or contractors * Incorporate lessons learned and changes in policy and philosophy | Annually or when organizational changes occur |
| Maintain orders of succession and delegations of authority | * Identify current incumbents * Update rosters and contact information | Semiannually |
| Maintain alternate facility readiness | * Check all systems * Verify accessibility * Cycle supplies and equipment, as necessary | Annually or at the department’s discretion |
| Verify the existence of a departmental essential records program and identify the Program Manager | * Verify that the essential records program includes provisions for monitoring the volume of materials, updating and/or removing materials, and materials distribution. | Annually or at the department’s discretion |

**Training and Exercises**

***This section discusses the training and exercise activities of the Continuity Program. Training for new staff, and the frequency of refresher training for current staff, faculty, departmental leadership, and applicable contractors should be included. Group training is ideal because it allows for open discussion. Refresher training for existing employees can be achieved using various methods, including newsletters and interactive online tools. MEF cross-training should always be conducted one-on-one between the primary and alternate key personnel.***

***An exercise schedule for the Continuity Plan should also be outlined.*** ***Sample text is provided below. Please tailor this section to reflect the practices of the department.***

To maintain the department’s continuity capability, an all-hazard Continuity Plan training, testing, and exercise program has been established. Major components of this program include training all staff in their continuity responsibilities and conducting periodic exercises to test and validate Continuity Plans and procedures, systems, and equipment.

**TRAINING**

The ***(insert department name)*** is dedicated to maintaining a continuity capability and as such has developed the following training schedule:

Table 11: Continuity Plan Training Schedule

| **Individual or Group to Receive Training** | **Type of Training** | **Individual to Provide Training** | **Training Frequency** |
| --- | --- | --- | --- |
| New Personnel | Continuity Awareness Briefing (or other means of orientation) | Human Resources and/or Continuity Coordinator | Within 60 days of hire |
| Departmental Leadership and Key Personnel (Primary) | Continuity Plan Training (must minimally include individual Continuity Plan duties, mission essential functions, and orders of succession) | Continuity Coordinator | Annual awareness reminder or when plan changes occur |
| Key Personnel (Alternates) | Continuity Plan Training (must minimally include individual Continuity Plan duties, mission essential functions, and orders of succession) | Continuity Coordinator | Annual awareness reminder or when plan changes occur |
| MEF Cross-training | Primary Key Personnel | At the department’s discretion |
| Pre-delegated Authorities and Successors | Orders of Succession and Delegation of Authority Awareness | Continuity Coordinator | When delegations or successors change |
| Continuity Plan Training (must minimally include individual Continuity Plan duties, mission essential functions, and orders of succession) | Continuity Coordinator | Annual awareness reminder or when significant plan changes occur |
| Applicable Contractors | Continuity Plan Training (must minimally include individual Continuity Plan duties, mission essential functions, and orders of succession) | Continuity Coordinator | Annual awareness reminder or when significant plan changes occur |
| All Agency Personnel | Continuity Plan Training (must minimally include individual Continuity Plan duties, mission essential functions, and orders of succession) | Continuity Coordinator | Annual awareness reminder or when significant plan changes occur |

**EXERCISES**

***This section describes types of exercises and their intended goals and objectives. Exercises should promote preparedness, improve the response capability of individuals in the department, validate plans, policies, procedures and systems, and verify the effectiveness of command, control and communication functions. Exercises may vary in size and complexity to achieve different operational objectives. Departments may choose to coordinate their annual Continuity Plan exercise to coincide with (but not be replaced by) an Emergency Action Plan exercise or other emergency response exercises they are required to perform by the Office of Emergency Management. Sample text is outlined below. Replace or revise this text to fit departmental needs:***

Exercises are conducted to validate elements of the Continuity Plan, both individually and collectively. ***(Insert department name)*** is committed to ensuring that realistic exercises are conducted, during which individuals and business units perform the tasks that are expected of them in a real event.

Exercises are conducted to validate elements of the Continuity Plan, both individually and collectively. Exercises should be realistic simulations of an emergency, during which individuals and departments perform the tasks that are expected of them in a real event. Exercises should: promote preparedness; improve the response capability of individuals and the University; validate plans, policies, procedures, and systems’ capabilities; and verify the effectiveness of command, control, and communications functions. Exercises may vary in size and complexity to achieve different objectives. The various types of exercises are described below. Exercises include:

* **Tabletop Exercises** simulate an activation of the Continuity Plan in an informal, stress-free environment. They are designed to promote constructive discussion as participants examine and resolve problems based on existing plans. There is no equipment utilization, resource deployment, or time pressure. The exercise’s success depends on the group identifying problem areas, and offering constructive resolution alternatives. This format exposes personnel to new or unfamiliar concepts, plans, policies, and procedures.
* **Functional Exercises** are interactive exercises performed in real time that test the capability of the college to respond to a simulated emergency. They test one or more functions and focus on procedures, roles and responsibilities before, during or after an event.
* **Full-Scale Exercises** simulate emergency conditions through field exercises designed to evaluate the execution of the Continuity Plan in a highly stressful environment. This realism is accomplished through mobilization of college personnel, equipment, and resources.

Exercises will be conducted annually in accordance with requirements set forth by the Office of Emergency Management.

**Exercise or Activation Evaluation**

Each exercise activity, as well as actual events, will be evaluated and the results incorporated into a formal corrective action process. An After Action Report (AAR) will be completed within three months of the exercise or event.

The results will be used as performance measurements to rate the overall effectiveness of the Continuity Program. The evaluation of the exercise or actual event will identify systemic weaknesses and suggest corrective actions that will enhance the department’s preparedness. All data collected should be incorporated into an improvement plan that provides input for annual Continuity Plan revisions.

Recommendations for changes to the Continuity Plan should be developed and incorporated into the Continuity Plan’s annual review process. Immediately following an exercise or actual event, recommendations that affect alert and notification, Continuity Plan activation or implementation, or any operational issues should be developed and incorporated into the Continuity Plan. The Homeland Security Exercise and Evaluation Program (HSEEP) guidelines at <https://www.fema.gov/hseep> provide a good reference tool and will be helpful if the department and/or University conducts joint exercises with surrounding local governments.

**Acronyms and Definitions**

**ACRONYMS**

**AAR** After Action Report

**BIA** Business Impact Analysis

**BPA** Business Process Analysis

**CEMP** Crisis and Emergency Management Plan

**COOP**  Continuity of Operations

**EAP** Emergency Action Plan

**FEMA** Federal Emergency Management Agency

**FOIA** Freedom of Information Act

**HSEEP** Homeland Security Exercise and Evaluation Program

**IP** Improvement Plan

**ITDRP** Information Technology Disaster Recovery Plan

**MEF** Mission Essential Function

**MOU** Memorandum of Understanding

**NTAS** National Terrorism Advisory System

**NWS** National Weather Service

**ODU** Old Dominion University

**PBF** Primary Business Function

**PHEC** Peninsula Higher Education Center

**RPO** Recovery Point Objective

**RTO** Recovery Time Objective

**VBHEC**  Virginia Beach Higher Education Center

**VMASC** Virginia Modeling, Analysis, and Simulation Center

**DEFINITIONS**

**Activation:** When all or a portion of the COOP plan has been put into motion. Activation may be full or partial.

**After Action Report** **(AAR):** A report that summarizes and analyzes performance in both exercises and actual events. The report includes lessons learned, best practices, and an Improvement Plan (IP). The reports for exercises may also evaluate achievement of the selected exercise objectives and demonstration of the overall capabilities being exercised.

**Alternate Facility:** A location, other than the normal facility, used to process data and/or conduct mission essential functions (MEFs) in the event of a disaster.

**Application:** A software program that runs on a computer.

**Business Impact Analysis** **(BIA):** A method of identifying the effects of failing to perform a function or requirement. A BIA may be a useful tool in helping an agency identify some of its primary business functions.

**Business Process Analysis (BPA):** A systematic method of identifying and documenting all of the elements necessary to accomplish each organizational MEF. The BPA ensures that the right people, equipment, capabilities, records, and supplies are identified and available where needed during a disruption so that MEFs can be resumed quickly and performed as required. The BPA is a method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, partnerships, controls, interdependencies, and facilities inherent in the execution of the MEF.

**Cold Site:** An alternate site that is reserved for emergency use, but which requires the installation of equipment before it can support operations. Equipment and resources must be installed in such a facility to support the mission essential functions or primary business functions of an organization. Cold sites have many variations depending on their communication facilities, UPS systems, or mobility.

**Continuity Coordinator:** The individual thatserves as the agency’s manager for all continuity activities. The Coordinator has overall responsibility for developing, coordinating and managing all activities required for the agency to perform its mission essential functions during an event that disrupts normal operations. Selecting a Continuity Coordinator is the first step in the continuity planning process.

**Continuity of Operations (Continuity):** The effort to ensure an organization can continue its mission essential functions across a wide range of potential events.

**Continuity Plan:** A set of documented procedures developed to provide for the continuance of mission essential functions during an emergency.

**Continuity Program:** An ongoing, cyclical model of planning, training, evaluating, and implementing corrective action for continuity capabilities.

**Crisis and Emergency Management Plan (CEMP):** A plan normally utilized by colleges and universities that uses a systematic approach to respond to and manage emergencies or disasters that threaten the college or university’s students, faculty, staff, and visitors. A CEMP does not encompass continuity planning and should be separate and distinct from the college or university’s continuity plan. An emergency action plan (EAP) is the non-academic version of the CEMP.

**Delegations of Authority:** Identification of statutory or signatory authorities, those individuals holding the authority, and the alternate individuals responsible for assuming that authority should the primary be unavailable.

**Emergency Action Plan (EAP):** The plan maintained by an agency or organization for responding to a wide variety of potential hazards. It describes how people and property will be protected, details who is responsible for carrying out specific actions, identifies available personnel, equipment, facilities, supplies, and resources, and outlines how all response actions will be coordinated. An agency or organization’s EAP is separate and distinct from its continuity plan.

**Emergency Preparedness:** The discipline which ensures an organization or community's readiness to respond to an emergency or disaster in a coordinated, timely and effective manner.

**Essential Records:** Records, files, documents or databases, which, if damaged or destroyed, would cause

considerable inconvenience and/or require replacement or re-creation at considerable expense. For legal, regulatory or operational reasons these records cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct business.

**Equipment:** A set of physical resources that provide support or provide improved capability of performing a function. Equipment can include mobile assets such as radios and other communication resources, or they can be fixed assets such as generators or voice over internet protocol (VOIP) phones.

**Facility:** A location containing the equipment, supplies, and voice and data communication lines to conduct transactions required to conduct business under normal conditions.

**Faculty:** The teaching and administrative staff and those members of the administration having academic rank in an educational institution.

**Federal Emergency Management Agency (FEMA):** The federal agency tasked with supporting citizens and first responders to ensure that as a nation, the United States works together to build, sustain, and improve its capability to prepare for, protect against, respond to, recover from, and mitigate all hazards.

**Freedom of Information Act (FOIA):** A federal law, passed in 1966, which allows for the full or partial disclosure of previously unreleased information and documents under the control of government agencies.

**Homeland Security Exercise and Evaluation Program (HSEEP):** A threat and performance-based exercise program developed by DHS that provides doctrine and policy for planning, conducting, and evaluating exercises. It was developed to enhance and assess terrorism prevention, response, and recovery capabilities at the federal, state and local levels.

**Hot Site:** An alternate facility that already has in place the computer, telecommunications, and environmental infrastructure to recover the mission essential functions disrupted by an emergency or disaster.

**Hot Wash:** A post-event meeting where executive leadership and key personnel discuss best practices of and potential improvements to the agency’s overall preparedness.

**Implementation Procedure Checklist:** A list of the immediate actions to take once the continuity plan is implemented.

**Improvement Plan (IP):** A list of action steps and resources required to correct a deficiency identified in an After Action Report, including the individual responsible for the actions and an estimated timeline for completion.

**Information Technology Disaster Recovery Plan (ITDRP):** A set of documented procedures that identify the steps to restore organizations’ IT systems and resources that support its primary business functions.

**Key Personnel:** Personnel designated by their division as critical to the resumption of mission essential functions.

**Memorandum of Understanding (MOU):** A document that expresses mutual accord between two parties. To be legally operative, a memorandum of understanding must identify the contracting parties, spell out the subject matter of the agreement and its objectives, summarize the essential terms of the agreement, and be signed by the contracting parties.

**Mission Essential Functions (MEFs):** The limited set of department and agency level government functions that must be continued throughout or resumed rapidly after a disruption of normal activities.

**National Terrorism Advisory System (NTAS):** The system that replaces the color-coded Homeland Security Advisory System and provides timely, detailed information to the public, government agencies, first responders, airports and other transportation hubs, and the private sector. NTAS Alerts will only be issued when credible information is available. More information about NTAS may be found at <https://www.dhs.gov/xlibrary/assets/ntas/ntas-public-guide.pdf>.

**National Weather Service (NWS):** A division of the National Oceanic and Atmospheric Administration NOAA) that provides weather, hydrologic, and climate forecasts and warnings for the United States, its territories, and its adjacent waters and ocean areas, for the protection of life and property and the enhancement of the national economy.

**Orders of Succession:** A list that specifies by position who will automatically fill a position once it is vacated. Orders of succession should be performed for positions of both executive leadership and key personnel.

**Primary Business Function (PBF):** Specific supporting activities that an organization must conduct in order to perform its mission essential functions. Primary business functions are typically enablers that make it possible for an organization to perform its mission.

**Promulgation:** The process that officially announces/declares a plan and gives organizations both the authority and responsibility to perform their tasks.

**Reconstitution:** The process by which agency personnel resume normal business operations in a rehabilitated or new facility.

**Reconstitution Manager:** The individual responsible for all reconstitution activities. During an event, the Reconstitution Manager develops a plan and schedule for resuming normal operations and supervises the return of key personnel, essential records, and/or equipment.

**Record Retention:** Storage of historical documentation for a set period of time usually mandated by state or federal law or by the Internal Revenue Service.

**Recovery:** Recovery,in this document, includes all types of emergency actions dedicated to the resumption of mission essential functions and operational stability.

**Recovery Point Objective (RPO):** The period of time between backups of essential electronic records in which data could be lost.

**Recovery Time Objective (RTO):** The period of time in which systems, applications or mission essential functions must be recovered after a disruption of normal operations.

**Risk:** An ongoing or impending concern that has a significant probability of adversely affecting business continuity.

**Risk Assessment/Analysis:** A process or methodology for evaluating risk by determining: the probability and frequency of a hazard occurring, the level of exposure of people and property to the hazard, and the effects or costs, both direct and indirect, of mitigating or accepting this exposure.

**Risk Management:** The discipline which ensures that an organization does not assume an unacceptable level of risk.

**Systems:** An organization of hardware and software that share one or more of the following: storage, processing capabilities, application/functional software, and data. A system should function together as a unit, and there could theoretically be systems of systems.

**Vulnerability:** The susceptibility of an agency or organization to a hazard. The degree of vulnerability to a hazard depends upon its risk and consequences.

**Warm Site:** An alternate facility that is only partially equipped.

**Authorities**

* ODU University Continuity Plan, March 2019
* ODU Crisis and Emergency Management Plan, November 2019
* Executive Order #42 (2019) Promulgation of the Commonwealth of Virginia Emergency Operations Plan and Delegation of Authority
* Executive Order #41 (2019) Emergency Preparedness Responsibilities of State Agencies and Public Institutions of Higher Education
* *Code of Virginia* §44-146.18 Emergency Services and Disaster Laws (2000), as amended
* Virginia Information Security Standard (SEC 501-07)
* Library of Virginia, Records Retention and Disposition Schedule: General Schedule No. 111, Colleges and Universities Records, May 21, 2001

**References**

* Virginia Department of Emergency Management Continuity Plan Template, February 2020
* Commonwealth of Virginia Emergency Operations Plan, September 2019, as amended
* Emergency Management Accreditation Program (EMAP) 2016 Standard
* FEMA’s Continuity Guidance Circular 1 (CGC 1), January 21, 2009
* FEMA’s Continuity Guidance Circular 2 (CGC 2), July 22, 2010
* Homeland Security Exercise Evaluation Program (HSEEP) guidelines found at <https://www.fema.gov/hseep>
* U. S. Department of Homeland Security Continuity of Operations Plan Template, May 2010

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**Appendix A – Key Personnel Rapid Recall List**

***This rapid recall list should provide the Continuity Coordinator or designee with contact information for all key personnel. The information below should be completed for key personnel tasked with responsibilities during a continuity event. This includes both primary and alternate key personnel. The sample information below represents the minimum template requirement. Departments are encouraged to include more information as they deem appropriate.***

This rapid recall list includes contact and telework information forkey personnel tasked with responsibilities during a disruption to departmental operations or services. Departmental staff not included on this list should follow instructions provided by the Continuity Coordinator during an activation of the Continuity Plan.

Table A-1: Key Personnel Rapid Recall List *(expand or contract table as needed)*

| **Employee Name** | **Title/Division** | **Email Address** | **Work**  **Telephone #** | **Cellular or**  **Pager #** | **Home Telephone** | **Approved Telework Agreement** | **MEF** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ***(Example)***  ***Jared Hoernig*** | ***Director, Emergency Mgmt.*** | ***jhoernig@odu.edu*** | ***(757) 683-5116*** | ***(757) 633-9937*** | ***(757) 123-4567*** | ***Yes*** | ***Public Safety*** |
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**Appendix B – Alternate Facilities**

***Departments must identify at least one alternate facility, which could include alternate uses of existing facilities or virtual office options. Ideally, departments should identify at least two to three alternate facilities. One location can be close to the current operation – not right next door, but a short distance away on the same campus if possible. The second alternate facility should be farther away – at least five miles from the primary facility. A third alternate facility should be located within 30 miles to 60 miles away. If an alternate facility is not immediately known or available, the requirements and capabilities for the alternate space (see below considerations) should be listed.***

***Considerations for alternate facilities may include: space requirements, accessibility (by staff and customers), communications/data requirements, security requirements, and availability of life necessities (food, water, sanitation, and shelter/lodging).***

***The sample information below represents the minimum template requirement. Departments are encouraged to include more information as they deem appropriate. Sample text for this section includes:***

***(Insert name of agency)*** has designated alternate facilities as part of its continuity planning and has prepared key personnel for the possibility of unannounced relocation to the site(s) to continue the performance of its MEFs.

Table B-1: Alternate Facility Locations *(example provided, expand table as needed to fit needs of the department)*

| **Alternate Facility Number** | **Alternate Facility Name** | **Address** | **Date MOU/MOA was executed** | **Capacity** | **Equipment/Systems**  **Already on-site** |
| --- | --- | --- | --- | --- | --- |
| ***(Example)***  ***1*** | ***Virginia Beach Higher Education Center (VBHEC)*** | ***1881 University Drive Virginia Beach VA 23453*** | ***N/A*** | ***90 personnel, as delineated below rooms*** | ***Wireless connectivity to internet; mobile laptop cart with 20 stations (configured for campus LAN), deployable to most classroom spaces; multiple classrooms with 1 workstation each (on campus LAN) with 2-way video conferencing capability.*** |
| ***Business Units, MEFs, and PBFs (Indicate the MEFs and PBFs that will be performed at this facility as well as the business units that will perform there. Example:) Situation-dependent, as directed by the COOP Coordinator.*** | | | | |
| ***Directions to Alternate Facility: From main campus, proceed south on Hampton Boulevard. Hampton Boulevard will turn into Brambleton Avenue at the Midtown Tunnel (keep left). Follow Brambleton Avenue east to St. Pauls Boulevard. Turn right onto St. Pauls Boulevard, then left onto East City Hall Avenue. Merge onto Interstate 264 East and proceed 8 miles to Independence Boulevard South (exit 17A). Follow Independence Boulevard about 3 miles then turn left onto Princess Anne Road. Turn left onto Concert Drive, then left onto University Drive. VBHEC parking lot surrounds the building.*** | | | | |
| ***1A*** | ***Computer Lab Room 232***  ***Business Units, MEFs, and PBFs: Situation-dependent, as directed by the COOP Coordinator.*** | | | ***25*** | ***25 workstations on campus LAN. Wireless connectivity to internet. 1 SmartBoard. Estimated response time to activate this capability is less than 2 hours.*** |

**ALTERNATE FACILITY MOUs**

***Note: if any MOUs exist for alternate facility space, please contact the Office of Emergency Management. OEM seeks to consolidate all such MOUs with the University Space Officer in an effort to avoid overbooking of spaces for continuity activities. If your unit does not have any agreements or MOUs for alternate spaces, this section can be deleted.***

***When entering into an agreement with another department or agency for temporary space (30 days or less), a simple memorandum of understanding (MOU) between the two agencies is acceptable. Some items to consider including in a MOU:***

* ***What will necessitate the activation of this agreement (example: In an event that X office building is partially or completely shut down for more than three days, Agency B will request space from Agency C).***
* ***Length of time space is being requested (this will usually be 30 days because if normal activities cannot resume in that time period a more permanent solution will be needed).***
* ***Specific space identified (may want to identify more space than needed if there is a possibility that certain space could not be available).***
* ***Identify who is responsible for preparing the space to be used as a Continuity site (who is providing and/or paying for furnishings, data and telephone systems, office equipment, etc.).***
* ***Identify who is responsible for security, maintenance, and housekeeping.***
* ***Will parking be provided?***
* ***Is there a cost for maintaining this agreement and/or is there a rental cost for activating this agreement?***

***MOUs should be reviewed annually, and renewed and updated as needed, but at least once every 4 years. Both agencies should have an easily accessible written copy with the appropriate signatures.***

***Sample text for this section is listed below. Modify the language to meet department needs:***

***(Insert name of agency)*** has established the following MOUs for alternate facility locations:

A Memorandum Understanding (MOU) is in effect with the alternate site owners. Reviews of the MOU(s) are completed annually and updated periodically or as needed. The attached MOU(s)are maintained by ***(insert location of office/division/department).***

***(Attach a copy of MOU(s) here)***

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**Appendix C – Essential Records, Systems, Applications, Equipment**

***In most instances, essential records, systems, and equipment are critical to the department’s ability to perform MEFs. Essential records are records that, if damaged or destroyed, would disrupt operations and information flow, and require replacement or re-creation at considerable expense or inconvenience. Content, not media, determines their criticality. Essential records can exist in various formats, including paper, electronic, or microfilm, and may include records such as contracts, operational procedures, insurance policies, personnel records, system documentation, and administrative policies.***

***In addition to essential records, it is important to identify those systems and equipment that are essential to the functioning of the department and the continuance of the department’s mission. Not every system or piece of equipment is essential. The cyclical nature of some MEFs may deem certain systems or equipment as essential at peak times. After identifying essential systems or equipment, prioritize how systems and equipment should be recovered in the event of a disruption. The period of time in which essential systems or equipment must be recovered is called the Recovery Time Objective (RTO).***

***It is also important to consider if a system or piece of equipment is dependent upon another particular system or piece of equipment to be operable. For example, computer systems are dependent upon electrical supply to be operable. Therefore, restoration of power would have to occur before the computer system could be up and running.***

***The Continuity Coordinator should work with the department’s Technical Service Provider (TSP), University’s Chief Information Security Officer, Facility Manager, or System/Equipment/Data owner to identify the best method of protection for essential records, systems, and equipment. This determination will depend on the nature of the records, system or equipment, but a protection plan for all should include maintenance programs that regularly test the associated protective measures for optimal performance. For instance, backup power generators should be tested regularly. Maintenance of electronic records should be carefully considered. The amount of time between back-ups of essential electronic records in which data could be lost is called the Recovery Point Objective (RPO).***

***The sample information below represents the minimum template requirement. Departments are encouraged to include more information as they deem appropriate. Sample text for this is below:***

***(Insert department name)*** realizes that essential records, systems, and equipment are critical to the department’s ability to perform its MEFs. Therefore the department has taken safeguards to protect these essential records, systems, and equipment and to ensure their availability in a continuity environment. This Continuity Plan works to safeguard electronic essential records in combination with the Old Dominion UniversityInformation Technology Disaster Recovery Plan (ITDRP). The following essential records, systems, and equipment have been identified as directly supporting the performance of ***(insert department name)***’s MEFs.

Table C-1: Essential Records, Systems, Applications, and Equipment *(expand/contract to meet needs of the department)*

| **Division** | **Department** | **Mission Essential Function (MEF)** | **Essential Records, Systems, Applications, and Equipment** | **Recovery Time Objective (RTO)** | **Networks or Servers that must be Operational to Support the System(s) or Equipment** |
| --- | --- | --- | --- | --- | --- |
| ***(Example)***  ***Public Safety*** | ***Emergency Management*** | ***Provide emergency and continuity planning support to the University community*** | ***Campus Network Connectivity (Urgent)***  ***Banner Administrative System (Urgent)***  ***Internet Connectivity (Immediate)***  ***Voice Services (Urgent)***  ***Network (J drive) (Urgent)***  ***E-mail (Urgent)***  ***University Website (Urgent)*** | ***30 days*** | ***Office of Computing and Communications Services (OCCS, a division of ITS), Gornto/VMASC Backup Site*** |
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Table C-2: Essential Records, Systems, Applications, and Equipment Protection *(expand/contract to meet needs of the department)*

| **Essential Record, System, Application, or Equipment** | **Storage Location** | **Recovery Point Objective**  **(Maintenance Frequency of Electronic Records)** | **Current Protection Methods** | **Vendors** | **Vendor Contact Information** |
| --- | --- | --- | --- | --- | --- |
| ***(Examples)***  ***ODU Alerts*** | ***Off-site hosted*** | ***24 hours (daily backup schedule)*** | ***Off-site hosted*** | ***Rave*** | ***(888) 123-4567*** |
| ***Campus Network Connectivity*** | ***Managed internally*** | ***1-7 days, depending on departmental requirements*** | ***Firewall***  ***IT Security Program Document*** | ***N/A*** | ***N/A*** |
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**Appendix D – Business Process Analysis**

***The MEF identification process described in the Mission Essential Function (MEF) section of the basic plan and detailed in VDEM’s Mission Essential Function Identification guide identifies what needs to be accomplished; the BPA process identifies how it is accomplished. The BPA is performed to ensure that the right people, equipment, capabilities, records, and supplies are identified and available during a disruption so that MEFs can be resumed quickly and performed as required. In addition, the BPA is a method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, partnerships, controls, interdependencies, and facilities inherent in the execution of a MEF. Departments should look at the BPA process from the point of view of both the big picture (the overall process flow) and the operational details. A complete BPA should be performed for each MEF identified by the department. For most departments, MEF performance is directly supported by Primary Business Functions (PBFs). A BPA should be conducted for each PBF that directly supports MEF performance. The information below represents the minimum template requirement. Departments are encouraged to include more information as they deem appropriate.***

The Business Process Analysis (BPA) is a systematic method of identifying and documenting all of the elements necessary to accomplish each departmental MEF. BPAs have also been performed on primary business functions that directly support MEF performance. The following BPAs represent the ***(insert department name)*** processes for performing each MEF and supporting primary business functions (PBFs). The essential records, systems, applications, and equipment identified in Appendix C directly support the ability to perform processes and functions identified in this section. Therefore, protection methods identified in Appendix C also apply to the process and functions described herein.

Table D-1: Mission Essential Function - Business Process Analysis

| ***(Insert department name)***  ***(Insert MEF title)* - Business Process Analysis**  ***(Insert date – Month/Year)*** |
| --- |
| **MEF Statement** |
| ***(Copy of MEF Statement)*** |
| **MEF Narrative** |
| ***(Copy of MEF Narrative)*** |
| **Recovery Time Objective (RTO)** |
| ***(The period of time in which the mission essential function should be recovered after a disruption of normal operations. The RTO should be driven by the department’s mission, not by IT constraints.)*** |
| **MEF Output** |
| ***(A list describing the MEF output, i.e., what products and services are produced or delivered to external partners or constituents. If possible, metrics that provide time and other performance measures should be included.)*** |
| **MEF Input** |
| ***(A list describing information, authorizations, supplies, and services required to perform the MEF. Each input should briefly describe how the input supports the overall process.)*** |
| **Leadership** |
| ***(A list identifying the key senior leaders, by position, who are required to participate directly in performance of the MEF.)*** |
| **Staff** |
| ***(A list of staff requirements to accomplish the MEF. Requirements for multiple shifts and back-up personnel should be identified, particularly if 24/7 operations are expected. Authorities, qualification, and certification should be specified. Staff requirements should be identified by position, rather than by name.)*** |
| **Communications and IT Requirements** |
| ***(A list identifying general and unique communications and IT requirements.)*** |
| **Facilities** |
| ***(A description of the facility requirements to accommodate mission performance, including office space, industrial capacity and equipment, and critical supporting infrastructure.)*** |
| **Resources and Budgeting** |
| ***(Supplies, services, capabilities, and other essential resources required to perform the mission and supporting activities not already accounted for in the BPA process.)*** |
| **Partners and Interdependencies** |
| ***(A list of partners and interdependent organizations that support and/or ensure performance of the MEF. It should highlight the products or services delivered by the partners, the information shared or exchanged, and any other critical elements that facilitate accomplishing the MEF.)*** |
| **Has a Manual Workaround been identified for this function?** |
| ***(State whether a manual workaround has been developed for this MEF. If so, identify where it may be found.)*** |
| **Process Details** |
| ***(A detailed narrative or diagram that ties together all of the elements involved in the process of performing the mission.)*** |

Table D-2: Primary Business Function - Business Process Analysis

| ***(Insert department name)***  ***(Insert Primary Business Function title)* - Business Process Analysis**  ***(Insert date – Month/Year)*** |
| --- |
| **Primary Business Function Statement** |
| ***(Copy of PBF Statement)*** |
| **Primary Business Function Narrative** |
| ***(Copy of PBF Narrative)*** |
| **Recovery Time Objective (RTO)** |
| ***(The period of time in which the primary business function must be recovered after a disruption of normal operations. The RTO for a primary business function should be driven by the RTO of the department’s mission essential functions, not by IT constraints.)*** |
| **Primary Business Function Output** |
| ***(A list describing the PBF output, i.e., what products and services are produced or delivered to internal or external partners or constituents. If possible, metrics that provide time and other performance measures should be included.)*** |
| **Primary Business Function Input** |
| ***(A list describing information, authorizations, supplies, and services required to perform the PBF. Each input should briefly describe how the input supports the overall process.)*** |
| **Leadership** |
| ***(A list identifying the key senior leaders, by position, who are required to participate directly in performance of the PBF.)*** |
| **Staff** |
| ***(A list of staff requirements to accomplish the PBF. Requirements for multiple shifts and back-up personnel should be identified, particularly if 24/7 operations are expected. Authorities, qualification, and certification should be specified. Staff requirements should be identified by position, rather than by name.)*** |
| **Communications and IT Requirements** |
| ***(A list identifying general and unique communications and IT requirements.)*** |
| **Facilities** |
| ***(A description of the facility requirements to accommodate performance of PBFs, including office space, industrial capacity and equipment, and critical supporting infrastructure.)*** |
| **Resources and Budgeting** |
| ***(Supplies, services, capabilities, and other essential resources required to perform the PBF.)*** |
| **Partners and Interdependencies** |
| ***(A list of partners and interdependent organizations that support and/or ensure performance of the PBF. It should highlight the products or services delivered by the partners, the information shared or exchanged, and any other critical elements that facilitate accomplishing the PBF.)*** |
| **Has a Manual Workaround been identified for this function?** |
| ***(State whether a manual workaround has been developed for this PBF. If so, identify where it may be found.)*** |
| **Process Details** |
| ***(A detailed narrative or diagram that ties together all of the elements involved in the process of performing the PBF.)*** |

**Manual Workaround Sheet (Optional)**

Manual Workaround for Mission Essential Functions (MEFs) or Primary Business Functions (PBFs)

| **Manual Workaround Procedure**  ***(Insert MEF or PBF Title)***  ***(Insert Date)*** | |
| --- | --- |
| **MEF/PBF Title:** | |
| **MEF/PBF Narrative:** | |
| **Staff/Leadership Responsible:** | |
| **Application(s) or System(s) Required:** | |
| **Essential Records, Databases, Documents:** | |
| **Non-Department Contacts: Other Departments/Agencies, Contractors, Other Partners** | |
| **Department/Agency/Company Name:** | |
| **Function/Service Provided:** | |
| **Contact Name:** | **Contact #:** |
| **Alternate Contact Name:** | **Alternate Contact #:** |
| **Contract # (if applicable):** | **Contract Officer Name:** |
| **Contract Expiration Date:** | **Contract Officer #:** |
| **Non-Department Contacts: Other Departments/Agencies, Contractors, Other Partners** | |
| **Department/Agency/Company Name:** | |
| **Function/Service Provided:** | |
| **Contact Name:** | **Contact #:** |
| **Alternate Contact Name:** | **Alternate Contact #:** |
| **Contract # (if applicable):** | **Contract Officer Name:** |
| **Contract Expiration Date:** | **Contract Officer #:** |
| **Procedures/Instructions** | |
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