CONTINUITY OF OPERATIONS/DISASTER RECOVERY PLAN

[Department]

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The completed Department Continuity of Operations Plan Annex should be maintained in your department files AND sent electronically to the Business Continuity Office. Contact Chris Denninger or cgdcps@rit.edu for assistance.

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1. Background

This departmental Continuity of Operations (COOP) Annex details the specific information related to the mission essential functions performed by the department in support of RIT's mission. It documents key personnel and resources necessary to perform those functions, as well as establish a chain of succession and authority.

The COOP Annex may be activated as a result of a localized disruption to required resources or a more wide-spread incident. In the latter case, the Critical Incident Management Team (CIMT) will have been formed and continuity of operations will be managed by the CIMT in addition to other consequence management activities the CIMT performs. The leaders of the department will be integrated into the CIMT (along with other departments who may have been impacted) to ensure coordination of activities.

A COOP Plan details how a department/agency's essential functions will be handled in the event of an emergency or situation that disrupts normal operations, leaving department/agency facilities damaged or inaccessible. With this goal in mind, the COOP planning process is designed to answer the following questions:

- What essential functions must be performed, regardless of the outside threats?
- What personnel are needed to perform those functions?
- What resources are needed to perform the essential functions?
- How can we ensure that the designated people and resources are prepared to perform those functions when called upon?

Objectives of the COOP plan are to:

- Ensure continuous performance of essential functions at an acceptable level.
- Reduce or mitigate disruptions to operations through protection of critical equipment, records and other assets.
- Achieve a timely and orderly recovery and resumption from an interruption or disruption.

2. COOP Information

2.1 Introduction

This section describes the department:

- Vision and Mission
- Goals and Objectives
- General information regarding processes and other key information

2.2 Mission Essential Functions

Mission essential functions are those department-specific duties or responsibilities that, if left unperformed, would substantially impact the ability of RIT to fulfill its mission.

Table 1. Recovery Priorities for Department

Tier	Recovery Priority	Recovery Time Objective
1	IMMEDIATE These functions involve those with the direct and immediate effect on the agency to preserve life, safety and protect property.	< 24 hours
2	CRITICAL These functions can be delayed until Tier 1 functions are restored but must be operational within 72 hours.	24 - 72 hours
3	NECESSARY These functions can be delayed until Tier 1 and 2 functions are established but must be operational within 72.	72 hours to 1 week
4	IMPORTANT These functions can be delayed until Tiers 1, 2 and 3 are operational.	1 week to 30 days

Note that priorities may change depending on the time of year, based on critical processing activities.

Table 2. Immediate and Critical Functions

Function Name	Description / Steps	Critical Time Period(s)	Tier

2.3 CIMT Functions

This section lists the functions the department may perform in support of the RIT Critical Incident Management Team should an incident occur on campus.

2.4 Personnel and Infrastructure

2.4.1 Personnel

This section lists personnel in the Department and the primary function they support (as described in Table 2). Also shown is the secondary function they can support if primary personnel are not available.

Table 3. Personnel and Functions

Name	Title	Function Primary	Function Secondary

2.4.2 Infrastructure

Detail the location(s) (building, floor, etc.) where functions are performed.

2.5 Chain of Succession and Authority

This section identifies personnel who have the authority to make certain decisions, approvals and disapprovals as well as those to whom the authority is delegated and under what circumstances.

Table 4. Succession and Authority

Name	Authorities	Primary Delegate	Secondary Delegate

2.6 Critical Resources

Critical resources are the files, systems and equipment necessary to maintain the continuity of mission essential functions.

2.6.1 Vital Records and Files

Vital records are those records that if damaged or destroyed would disrupt operations and information flow, and require replacement or re-creation at considerable expense or inconvenience.

Table 5. Vital Records

Record, File Name	Type Electronic, Paper	Location	Purpose

2.6.2 Critical Information Technology Systems

Table 6 . Technology

Name	Description	RTO	RPO

RTO = recovery time objective – how long the service can be down without significant impact to functions

RPO = recovery point objective – how much data can be lost (4 hours, 8 hours, 72 hours, etc.)

2.6.3 Critical Equipment

Like critical systems, critical equipment includes specific equipment required to perform mission essential functions. Each department within the agency provides different services; therefore, each department has different critical equipment needs. This section should include a complete list of critical resources for the department, including the quantity, equipment details, vendor or point of contact, and the contact information for the identified vendor or contact.

Table 6. Critical Equipment

Name	Description	Specifications

2.6.4 Internal and External Contacts

Contacts, vendors and stakeholders the department will need to contact or can assist the department during a critical event.

Table7. Contacts

Contact Organization	Contact Name	Service(s) Provided	Contact Information

2.7 Alternate Sites – Work Locations

This section describes other locations functions can be performed if the primary location is not available for some reason. Alternate sites can include working from home or another location on campus.

3 Organizational Response

This section describes how the department will organize and response to a loss of a critical resource (people, technology, architecture). This section will be organized as needed by the Department. Specific task instructions will be at Section 5 – Task Sheets.

3.1 [Department] Response Team

3.2 Activation and Notification

3.3 Contingency Responses

3.3.1 Loss of Resource 1

3.3.2 Loss of Resource 2

3.3.3 Loss of IT Service

3.3.4 Staffing Shortage

3.3.5 Loss of Access to Facility

4. Exposures

Exposures are practices or procedures (or lack thereof) that leave the department susceptible to interruptions or disruptions to their critical functions. Exposures may include inadequate backup staff to perform critical functions or vital records are not backed up (or backed up at insufficient intervals).

Table7. Exposures

Name	Description	Fix
Sample: Travel Expense Records	Travel expense payment requests submitted by employees are kept in filing cabinets. These cabinets are not fire/waterproof, nor are the paper records scanned and digitized.	Scan requests to a folder on the department's fileshare. The fileshares are backed up by ITS on a daily basis.

5. Task Sheets

5.1 Move to Alternate Site

Task	Move to Alternate Site X
Sub-Process	
Preceding Task	
Written By:	Name(s)
Revision Date:	Date
Description	Describe the task
Frequency	When Primary Site is not available and alternate site plan is activated by
Process Steps	1. 2. 3. 4. 5…..
Inputs	What is necessary for the move to the alternate site
Outputs	What is the outcome of the move to the alternate site
Form(s) Required	
Reports Used	
Equipment Required	
Reports Generated	
Tools Required	
Personnel Required	