CONTINUITY OF OPERATIONS PLAN ANNEX

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The completed Department COOP Annex should be sent electronically to the Business Continuity Office. Contact Lynn Daley at 585-475-7812 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*

| **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. | 0 - 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 one week. | 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. Functions*

| **Function Name** | **Description / Steps** | **Critical Time Period(s)** | **Tier** |
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## 2.3 Personnel and Infrastructure

### 2.3.1 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** |
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### 2.3.2 Infrastructure

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

## 2.4 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** |
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## 2.5 Critical Resources

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

### 2.5.1 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** |
| --- | --- | --- | --- |
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### 2.5.2 Critical Information Technology Systems

*Table 6 . Technology*

| **Name** | **Description** | **RTO** | **RPO** |
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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.)

### 2.5.3 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** |
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### 2.5.4 Internal and External Contacts

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

*Table7. Contacts*

| **Contact Organization** | **Contact Name** | **Service(s) Provided** | **Contact Information** |
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## 2.6 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 COOP Response

This section describes how the department will organize and response to a loss of a critical resource (people, technology, architecture).

## 3.1 [Department] Response Team

## 3.2 Activation and Notification

## 3.3 Hazard-Specific Response

### 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. COOP 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. |
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