

Continuity of Operations Plan - 2022



UNIVERSITY *of* VIRGINIA



**2022 CONTINUITY PLAN
FOR THE UNIVERSITY of VIRGINIA**



James Ryan, President, University of Virginia

December 2022

Public Version

University of Virginia

2022 Continuity Plan

TABLE OF CONTENTS

PROMULGATION STATEMENT	5
RECORD OF CHANGES.....	7
PUBLICATION AND DISSEMINATION	8
BASIC PLAN.....	9
PURPOSE.....	9
SCOPE AND APPLICABILITY	10
SITUATION OVERVIEW	10
PLANNING ASSUMPTIONS.....	11
OBJECTIVES.....	11
ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES.....	12
DELEGATIONS OF AUTHORITY	14
CONCEPT OF OPERATIONS	17
Phase 1- Preparedness.....	17
Phase 2- Activation and Notification	18
Phase 3- Continuity Operations	23
Phase 4- Reconstitution.....	24

MISSION ESSENTIAL FUNCTIONS (MEFs)..... 26
PROGRAM MANAGEMENT AND MAINTENANCE..... 28
TRAINING AND EXERCISES31
APPENDIX C - ESSENTIAL RECORDS, SYSTEMS, APPLICATIONS AND EQUIPMENT45

PROMULGATION STATEMENT

The University of Virginia is a public institution of higher learning guided by a founding vision of discovery, innovation, and development of the full potential of talented students from all walks of life. It serves the Commonwealth of Virginia, the nation, and the world by developing responsible citizen leaders and professionals; advancing, preserving, and disseminating knowledge; and providing world-class patient care.

To accomplish this mission, the University must ensure its operations are performed with minimal disruption during all-hazards emergencies or other situations that disrupt normal operations. This document provides planning and program guidance for implementing the University of Virginia's Continuity Plan and Continuity Program to ensure the agency is capable of conducting its mission essential functions (MEFs) under all threats and conditions. The University is committed to the safety and protection of its personnel, contractors, operations, and facilities. This enterprise-wide Continuity Plan is a recovery plan that works as a companion plan with the University's Critical Incident Management Plan, Information Technology Disaster Recovery Plan, departmental Continuity Plans, and building emergency action plans and provides a framework to minimize potential impact and allow for rapid recovery from an incident that disrupts operations. This plan encompasses the magnitude of operations and services performed by the University, and is tailored to the University's unique operations and MEFs. This plan was developed through a formal planning process involving agency stakeholders and is compliant with the VDEM Continuity Plan Template as required in Executive Order #41 (2019).

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 Executive Vice President and Chief Operating Officer or his/her designee. Key personnel should be prepared to implement the Continuity Plan, and perform 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 by the University of Virginia to develop, implement and maintain a viable continuity capability. This plan complies with applicable internal agency policy, state regulations and supports recommendations provided in FEMA's Continuity Guidance Circular. This Continuity Plan has been distributed internally to appropriate personnel within the University and with external organizations that might be affected by its implementation.

I hereby appoint the Director of Emergency Management to serve as the Continuity Coordinator for the University of Virginia. 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.

I hereby approve this Continuity Plan, which describes how the continuity of mission essential functions of the University of Virginia will be performed in the event of the disruption of normal operations.

Approved: /s/ Jennifer W. Davis Date: 12/12/2022
Jennifer (J.J.) Wagner Davis
Executive Vice President & Chief Operating Officer

Approved: /s/ John DeSilva Date: 12/12/2022
John DeSilva
Director of Emergency Management

RECORD OF CHANGES

Submit recommended changes to this document to the Director of Emergency Management at uvaem@virginia.edu.

Table 1
Record of Changes

Change Number	Section and/or Page Number	Description of Change	Date of Change	Posted By
1	Appendix A	KEY PERSONNEL RAPID RECALL LIST	01March 2014	John J. Flood
2	Appendix A	KEY PERSONNEL RAPID RECALL LIST	01 March 2015	John J. Flood
3	Entire Document	VDEM changes	01 March 2015	John J. Flood
4	Table 13	Regional Ops Plan Version Date	01March 2015	John J. Flood
5	Appendix A	KEY PERSONNEL RAPID RECALL LIST	01 March 2016	John J. Flood
6	Appendix A	KEY PERSONNEL RAPID RECALL LIST	01 March 2017	John J. Flood
7	Entire Document	Revised name of OEP to OSEP	01 March 2017	John J. Flood
8	Entire Document	Updated formatting, contact information and position titles	01 March 2018	John DeSilva
9	Entire Document	Updated contact information and position titles	25 March 2019	John DeSilva
10	Entire Document	Updated to the new VDEM template, updated contact information and titles	30 August 2021	John DeSilva
11	Entire Document	Updated language and Table of Contents	4 December 2022	John DeSilva

PUBLICATION AND DISSEMINATION

The University of Virginia Continuity Plan will be distributed to executive leadership and key personnel within the agency, and to others as deemed appropriate. Requests for additional copies of this plan or notification of updates should be directed to the Director of Emergency Management.

Table 2
Continuity Plan Distribution List

Name	Title	Agency or Organization	Date Issued	Date Returned	Number of Copies

BASIC PLAN

The University of Virginia has grown increasingly aware of how all types of events can disrupt operations and jeopardize the ability to perform agency 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 University has adopted an all-hazards approach to continuity planning to ensure that regardless of the event, MEFs will continue to operate and/or be provided in some capacity. This approach includes preparing for natural, man-made, or technological hazards.

PURPOSE

The purpose of this Continuity Plan is to provide the framework for the University of Virginia to continue or rapidly restore MEFs in the event of an emergency that affects operations. This document establishes the University'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);
- 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:

- Maintain the safety and well-being of the University's students, faculty, staff, patients, contractors, and visitors.
- Maintain health services.
- Preserve critical research; and
- Deliver academic programs to students.

This Continuity Plan is a recovery plan and functions as a companion plan with the Critical Incident Management Plan and the University Information Technology Disaster Recovery 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 plan applies to the operations, and resources necessary to ensure the continuation of the University of Virginia's MEFs. This plan applies to University personnel (including faculty) in all departments and all locations where MEFs and their 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 MEFs can be readily restored in the primary facility. This plan provides for the resumption of MEFs, continuity of management, and decision-making authority if senior leadership is unavailable. This Continuity Plan can be activated during regular business and non-regular business hours, both with and without warning.

SITUATION OVERVIEW

The following situations impact University of Virginia's continuity planning efforts:

- The University of Virginia is located on 3298 acres in Charlottesville, Virginia and elsewhere. There are 556 buildings and corresponding infrastructure in the UVA portfolio, with a conservatively estimated replacement value of \$5.5 billion¹. For the Fall 2022 semester, there were over 25,900 students were enrolled at the University. In addition, there are approximately 17,000 employees between the Academic Division and the Medical Center. ².
- UVA supports research and scholarship in many fields, with sponsored research awards totaling \$449 million³.
- The University of Virginia Health System is a trauma 1 designated facility, a regional tertiary care center for the Commonwealth and a renowned academic medical center. The University's Medical Center has 671 beds⁴.
- The University's hazard identification and risk assessment for 2022 resulted in a ranked and prioritized evaluation of hazards based on historical and anticipated impact to the University. Epidemic, severe thunderstorm, ice storm, snowfall, other high wind, electrical failure, and vandalism are the top overall hazards to the University.

¹ "By the Numbers 2020-2021", last accessed December 4, 2022, <https://www.fm.virginia.edu/about/by-the-numbers/index.html>

² "Institutional Research and Analytics" last accessed December 4, 2022, <https://ira.virginia.edu>.

³ "Research." last accessed December 4, 2022, <https://research.virginia.edu>

PLANNING ASSUMPTIONS

This plan has been developed based on the following assumptions:

- The University has considered its mission and statutory requirements and has identified MEFs and appropriate recovery time objectives (RTOs) to support these functions.
- Agency MEFs are susceptible to risks associated with natural and human caused hazards as identified in the Commonwealth of Virginia Hazard Mitigation Plan.
- The University 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.
- The University has identified key personnel and alternates required for the implementation of this plan.
- University leadership will exercise their authority to implement the Continuity Plan in a timely manner when confronted with events that disrupt the UVA's MEFs.
- Executive 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;
- The University will implement remote work as an alternate work arrangement, if appropriate.
- In the event of an emergency, the University may need to rely on services of other agencies and/or organizations for recovery.
- When properly implemented, this Continuity Plan will reduce or prevent disaster-related losses and allow for timely recovery operations.

OBJECTIVES

The objectives of the University of Virginia Continuity Plan are outlined below.

- Ensure the University can perform its MEFs under all conditions.

- Ensure that the University of Virginia 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 the University’s personnel, contractors, and visitors while enabling UVA’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 the University’s timely and orderly recovery and reconstitution from an emergency.
- Ensure and validate continuity readiness through a continuity test, training, and exercise program.

ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

Table 3
Continuity Implementation Responsibilities

Position	Responsibility
Executive Vice President/Chief Operating Officer	<ul style="list-style-type: none"> • 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.
Associate VP for Safety and Security / Chief of Police and Director of Emergency Management	<ul style="list-style-type: none"> • Oversee implementation of the Continuity Plan and the reconstitution process. • Facilitate, integrate, and support UVA Medical Center efforts. • Engage with and leverage the CIMT’s Senior Management Group in order to shape the University’s objectives and acquire the resources needed to return to normal operations. • Interoperate with local, regional, State, and national organizations and their resources to request support; and as necessary provide services to our partners.

Position	Responsibility
Director of Emergency Management	<ul style="list-style-type: none"> • 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.
Continuity Coordinator	<p>The Director of Emergency Management serves as the Continuity Coordinator and is expected to:</p> <ul style="list-style-type: none"> • Coordinate the implementation of the Continuity Plan and initiate appropriate notifications to internal and external contacts. • Facilitate communication between the CIMT and Departmental Continuity Team leads; and • Work closely with the Reconstitution Manager to ensure a smooth transition from continuity operations to reconstitution operations.
Critical Incident Management Team	<ul style="list-style-type: none"> • Be prepared to deploy and support the performance of agency MEFs in the event of a Continuity Plan implementation. • Ensure that family members are prepared for and taken care of in an emergency situation.
Senior Vice President for Operations and State Government Relations	<ul style="list-style-type: none"> • Coordinate and oversee the reconstitution process. • Ensure that the primary facility can support the performance of 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.
UVA Employees and Faculty	<ul style="list-style-type: none"> • 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)	<ul style="list-style-type: none"> • Monitor agency communications for guidance or instructions during the event. • Know and understand their roles in a continuity environment

DELEGATIONS OF AUTHORITY

Generally, pre-determined delegations of authority will take effect when normal operations are disrupted and terminate when these have resumed. The University of Virginia has identified the delegations of authority in Table 5, Delegations of Authority.

**Table 5
Delegations of Authority**

Authority (Function)	Type of Authority	Position Holding Authority	Delegation to Position	Triggering Conditions	Limitations
All matters of the University	Approval of contracts, deeds, legal settlements, personnel actions, state reports, certifications forms, budgets.	President	Executive Vice President & Chief Operating Officer	Incapacitated or unavailable	Upon return of incumbent
Director of Emergency Services	<ul style="list-style-type: none"> • Direct and control emergency operations at the University in an emergency. • Issue directives concerning disaster preparedness. • Coordinate with local resources to address the full spectrum of actions to prevent, prepare for, respond to, and recover from incidents involving all hazards including terrorism, natural disasters, accidents, and other contingencies; • Issue emergency University policies, such as to establish a curfew, direct evacuations, and 	Executive Vice President & Chief Operating Officer	AVP of Safety and Security / Chief of Police	Incapacitated or unavailable	Upon return of incumbent

Authority (Function)	Type of Authority	Position Holding Authority	Delegation to Position	Triggering Conditions	Limitations
	<p>in coordination with the local health authority, to order a quarantine; and</p> <ul style="list-style-type: none"> • Provide leadership and communicate to the University community and help the University community cope with the consequences of any type of incident within the jurisdiction. 				
Continuity Coordinator	<ul style="list-style-type: none"> • Assist the Director of Emergency Services to assemble and coordinate the activities of the CIMT; and • Facilitate communication between the CIMT and Departmental Continuity Team leads. 	Director of Emergency Management	Assistant Director of Emergency Management	Incapacitated or unavailable	Upon return of incumbent

CONCEPT OF OPERATIONS

A continuity plan must be maintained at a high level of preparedness and be ready to be implemented without prior warning. As such, the University of Virginia 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

The University participates in a full spectrum of readiness and preparedness activities to ensure the agency 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 University staff, and monitoring of government intelligence reports or notices by executive leadership.

Professional Go-kits

The University'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 MEFs
- Flash drive or external hard drive
- 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

The University's key personnel should cross-train back-up personnel capable of performing MEFs. Frequency of cross-training shall be at the discretion of Department Managers, but should occur as often as necessary to ensure proficiency of MEF performance. All cross-training should be documented.

Remote work is recognized as an alternative method to perform some University MEFs during a continuity event. Therefore, key personnel may be authorized to remote work during activation of the Continuity Plan at the discretion of the department or division manager. The University's remote work policy, *HRM-012: Workplace Flexibility*, and *DHRM Policy 1.61: Teleworking* which is applicable to Classified Staff, shall be adhered to at all times.

During activation of the Continuity Plan, the University of Virginia will attempt to contact and account for all University employees. Additionally, the University 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.

University personnel should develop a family emergency kit to increase personal and family preparedness. To develop a family emergency kit, use the resources available at: <https://www.vaemergency.gov/emergency-kit/>.

Phase 2- Activation and Notification

The Director of Emergency Services, or his/her designee, may activate this Continuity Plan. The decision to activate the plan will be based upon the best available information, previous experience, and upon the advice of University leadership, University Emergency Management, University Police, and local emergency services agencies.

Once information on an incident is received, the University of Virginia uses an executive decision-making process to review the emergency situation and determine the best course of action for response and recovery. Potential disruptions resulting from emergency events are classified in Emergency Levels 1 through 3; using these emergency levels, the Director of Emergency Services, or designated successor will activate or partially activate the Continuity Plan.

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 executive leadership to make decisions and take necessary actions in the event of an emergency.

Executive 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 executive leadership will be made after evaluating all available information relating to:

- Direction and guidance from state and federal authorities
- National Weather Service Alerts
- The health and safety of personnel

- The ability to execute MEFs
- 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

Once the decision to activate the Continuity Plan is made, the CIMT will be notified of the activation.

**Table 6
Activation Decision Matrix**

Levels of Emergency	Potential Event	Impact on the Ability to Perform MEFs	Decisions
I	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 results in some damage or interruption of a 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. Activation of the CIMT is not needed.
II	An event where system or equipment failure expected to last greater than 24 hours; possible public health emergency reported with minimal impact to staff.	An event with substantial damages and impacts to University.	A partial or full activation of the CIMT is needed. Extent of Continuity Plan implementation is dependent on individual department requirements. May require the mobilization of resources. May also require the activation of orders of succession. May require the movement of some personnel to an alternate location for a period of less than 14 days. Event requires command and control resources be applied to the issue.

Levels of Emergency	Potential Event	Impact on the Ability to Perform MEFs	Decisions
III	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 one or more MEFs for a period of time exceeding the MEF recovery time objectives.	Impacted department alerts University leadership and consults on Continuity Plan activation decision. Full activation of the CIMT is needed. May require activation of orders of succession. May require the movement of significant number of personnel to an alternate location for a period of more than 14 days.

**Table 7
Activation Notification Matrix**

Levels of Emergency	Executive Leadership Notifications	Continuity Coordinator Notifications
I	<p>Impacted department alerts University leadership of situation and requests assistance as applicable.</p>	<p>The Continuity Coordinator notifies:</p> <ul style="list-style-type: none"> – No notifications are typically required.
II	<p>Impacted department alerts University leadership of situation and requests assistance as applicable.</p> <p>University leadership notifies:</p> <ul style="list-style-type: none"> – Critical Incident Management Team, and – Continuity Coordinator 	<p>The Continuity Coordinator notifies:</p> <ul style="list-style-type: none"> – Applicable key personnel and provides implementation instructions. – Human Resources (to provide guidance to University personnel) – University Communications – Facilities Management – Others as appropriate.
III	<p>Impacted department alerts University leadership of situation and requests assistance as applicable.</p> <p>University leadership notifies:</p> <ul style="list-style-type: none"> – Critical Incident Management Team, and – Continuity Coordinator, and – Subordinate or interdependent departments 	<p>The Continuity Coordinator notifies:</p> <ul style="list-style-type: none"> – Key personnel and provides implementation instructions. – Human Resources (to provide guidance to University personnel) – University Communications – Facilities Management – 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:

- Notify 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, notify 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 personnel, contractors, suppliers, vendors, and interdependent agencies of the expected duration of the event.

Phase 3- Continuity Operations

The University of Virginia will perform any mission essential functions of the University or UVA Health System from primary or alternate facilities using temporary work orders or procedures as needed. Responsibilities will be assigned to personnel in order to maintain mission essential functions and additional staff will be activated as needed to provide other services and functions as necessary. The CIMT will provide additional guidance to all personnel regarding the duration of alternate operations and include pertinent information on payroll, time and attendance, duty assignments, etc. Lines of communication will be reestablished within the University to external agencies, and to the public as soon as possible. These procedures are detailed in each of the appropriate Department Continuity Plans. Activities during the continuity operations phase include, but are not limited to:

- Reviewing message traffic, situation reports, or other reports related to the incident.
- Coordinating with appropriate University departments and schools to gather information.
- Assessing the impact, damage or potential damage, and response requirements of the incident (in coordination with Risk Management).
- Coordinating and acquiring any necessary assistance.
- Coordinating with Department Continuity teams on response activities.
- Executing activities that continue mission essential function operations.
- Compiling updates and briefings on the status of the incident, actions completed, actions in progress, and potential impact to specific departments.
- Evaluating and determining changes in staffing requirements based on mission essential function support needs.
- Providing additional guidance as required by the situation to non-designated employees through available means.
- Reprioritizing and recommending future response actions.
- Initiating reconstitution planning.

- Providing or requesting assistance to (or from) the University's CIMT; Conducting information-sharing activities with relevant University entities to assist in planning and conducting response operations.
- Ensuring the CIMT is apprised of departmental activities.
- Communicating with University stakeholders, including the University's students, faculty, staff, patients, contractors, and visitors, parents, partners, and community members regarding the status of operations.
- Tracking reports and associated attachments (e.g., situation reports) received or distributed since the first notice of the incident.
- Keeping a record on actions taken and financial commitments; and
- Ensuring timely and accurate reports are prepared and disseminated as they relate to incident response operations.

Phase 4- Reconstitution

Reconstitution involves actions needed to help the University return to full, normal operations. As soon as feasible, planning and preparation for demobilization and the transfer of communication, vital records, databases, and other essential activities back to the primary facilities will begin. The options for reconstituting normal operations include:

- Return to the normal department facilities.
- Transfer operations to a long-term temporary site; or
- Transfer operations to a new, permanent location.

Reconstitution procedures will commence when the Director of Emergency Services, or their designee, and appropriate emergency response officials confirm that the emergency situation has ended and is unlikely to recur in the foreseeable future. Circumstances may dictate that a new primary facility has to be designated and subsequently occupied. The University Reconstitution Manager is the central coordination point for this phase. The University Reconstitution Manager will work with the Department Reconstitution Managers and the CIMT to facilitate a smooth transition to normal operations. The University will develop general guidance and policy on demobilizing alternate operations and returning to a non-emergency status at the designated primary facilities.

- If the disruption affected a facility, the Reconstitution Manager may direct security and safety assessments to determine building suitability.
- Executive leadership notifies University personnel 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, University partners and other key contacts (local jurisdictions, vendors, etc.), as applicable.
- The Reconstitution Manager coordinates with the Information Technology Manager, or other appropriate staff to verify that systems, communication, and other required capabilities are available and operational and that the agency is fully capable of accomplishing all MEFs and operations at the new or restored facility, with the new or restored systems, or with a new or restored workforce.
- The reconstitution manager or designee implements the reconstitution plan. They 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 a 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 the University 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) within three (3) months of the event as required by Executive Order #41 (2019). Information gathered during the AAR process should be used to develop an Improvement Plan (IP) to correct identified deficiencies.

The After-Action Report will be stored by the Office of Emergency Management for inclusion in the incident file. Once developed, new or updated procedures will be evaluated for effectiveness in an exercise.

MISSION ESSENTIAL FUNCTIONS (MEFs)

The University of Virginia has identified Mission Essential Functions (MEFs) and the Recovery Time Objective (RTO) required for each function.

The MEFs listed in Table 8 are prioritized by RTO to assist the agency and staff in knowing which functions must be recovered first. More information on the business processes identified for each MEF can be found in Appendix D – Business Process Analysis.

Table 8
Mission Essential Functions (MEFs)

Mission Essential Function	Description	RTO
Maintain the safety and well-being of the University's students, faculty, staff, patients, contractors, and visitors.	Maintain the safety and well-being of the University's students, faculty, staff, patients, contractors, and visitors as it relates to public safety, housing, dining, emergency financial support, and family reunification. In support of this, the University maintains first responder readiness and operations, and maintains and exercises the University's Critical Incident Management Plan.	< 2 hours
Maintain health services.	Maintaining health services includes providing patient care, preservation and protection of information systems and data, including confidential information on research subjects, and communicating with patients, families, health system personnel, regulatory agencies, and other key stakeholders.	< 2 hours
Preserve critical research.	Preserving critical research involves caring for animals, preserving irreplaceable biological stock, maintaining critical laboratory experiments and critical scientific equipment, preserving, and protecting information systems and data, including confidential information on research subjects, and communicating with research partners, research contractors, grant providers, and key stakeholders.	< 12 hours
Deliver academic programs to students.	Delivering academic programs to students includes the physical or virtual classroom experience, but relies on communicating with faculty, students, and key stakeholders, tracking courses and grades for fulfillment of academic requirements, and the processing of applications to remain viable.	< 72 hours

PROGRAM MANAGEMENT AND MAINTENANCE

University leadership and the Continuity Coordinator 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

Position	Responsibility
Executive Vice President & Chief Operating Officer	<ul style="list-style-type: none"> • 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 the Continuity Plan • Ensure all appropriate University components participate in continuity exercises
Director of Emergency Management	<ul style="list-style-type: none"> • Facilitate completion and integration of the Continuity Plan with elements of the Critical Incident Management Plan. • Ensure a comprehensive CIMT roster that will support continuity of operations and reconstitution procedures. • Ensure the completion of at least one exercise annually to test emergency response and as necessary recovery tasks associated with continuity of operations.
Continuity Coordinator	<ul style="list-style-type: none"> • Coordinate the development and documentation of all activities required for the agency to perform its 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.

Position	Responsibility
	<ul style="list-style-type: none"> • Ensure that the agency Continuity Plan conforms to the most recent Virginia Department of Emergency Management template as required under Executive Order #41 (2019). • Coordinate and/or administer continuity awareness training for all agency employees and applicable contractors responsible for supporting activation of the Continuity Plan. • Maintain and update the Continuity Plan as outlined in Table 10 – Continuity Plan Maintenance Schedule. • Coordinate an annual continuity exercise and complete an After-Action Report (AAR). • Develop an Improvement Plan (IP) to correct deficiencies noted in the AAR and modify the Continuity Plan, if appropriate.
Senior Vice President for Operations and State Government Relations or Reconstitution Manager	<ul style="list-style-type: none"> • Initiate, coordinate, and oversee operations to salvage, restore, and recover the agency’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.
Critical Incident Management Team	<ul style="list-style-type: none"> • Have an approved flexwork 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.
Key Personnel	<ul style="list-style-type: none"> • Know and understand their roles in a continuity environment. • Understand the communication protocols to be used during a continuity event.

Table 10
Continuity Plan Maintenance Schedule

Activity	Tasks	Frequency
Revise contact information for executive leadership and key personnel	<ul style="list-style-type: none"> • Confirm and update executive leadership and key personnel information 	Semiannually
Plan update	<ul style="list-style-type: none"> • Review entire plan for accuracy and compliance with the most recent VDEM template as required by Executive Order #41, 2019. • Update plan to reflect organizational changes within the agency or changes to the MEFs or supporting activities performed by the agency, 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	<ul style="list-style-type: none"> • Identify current incumbents • Update rosters and contact information 	Semiannually
Maintain alternate facility readiness	<ul style="list-style-type: none"> • Check all systems • Verify accessibility • Cycle supplies and equipment, as necessary 	Annually or at the University's discretion
Verify the existence of University essential records program and identify the Program Manager	<ul style="list-style-type: none"> • Verify that essential records program includes provisions for monitoring the volume of materials, updating and/or removing materials, and materials distribution. 	Annually or at the University's discretion

TRAINING AND EXERCISES

To maintain the University’s continuity capability, an all-hazard training and exercise program has been established by the Office of Emergency Management.

Table 11
Continuity Plan Training Schedule

Individual or Group to Receive Training	Type of Training	Individual to Provide Training	Training Frequency
Executive Leadership and Key Personnel	Awareness reminder	Office of Emergency Management	Annually
Critical Incident Management Team	Awareness reminder	Office of Emergency Management	Annually
New Personnel	Continuity Awareness Briefing (or other means of orientation)	Human Resources and/or Continuity Coordinator	Within 60 days of hire

EXERCISES

Exercises are conducted annually to validate elements of the Continuity Plan in compliance with Executive Order #41 (2019). The University of Virginia 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.

Each exercise activity, as well as actual events will be evaluated, and an AAR and IP will be completed. The evaluation will identify areas to sustain, as well as areas of improvement, and corrective actions will be developed. This information will be organized by the Continuity Coordinator. The Continuity Coordinator will incorporate applicable lessons learned into the plan.

ACRONYMS AND DEFINITIONS

AAR	After Action Report
BIA	Business Impact Analysis
BPA	Business Process Analysis
CIMP	Critical Incident Management Plan
CIMT	Critical Incident Management Team
COOP	Continuity of Operations
EMAC	Emergency Management Assistance Compact
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
PBF	Primary Business Function
RPO	Recovery Point Objective
RTO	Recovery Time Objective
VDEM	Virginia Department of Emergency Management

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 that serves 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.

Critical Incident Management Plan (CIMP) – The plan used by the University to guide response to and management of emergencies or disasters that threaten the University’s students, faculty, staff, patients, contractors, and visitors. The CIMP does not encompass continuity planning and is a separate and distinct plan.

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.

Designated Employee – An employee whose assigned job duties and responsibilities are considered critical to maintaining the essential operations of the University when changes in operating status occur due to an emergency event. Designated employees are first responders needed to meet the immediate needs of students, patients, research programs, or general operations.

Emergency Management Assistance Compact (EMAC) – Congressionally ratified organization that provides form and structure to interstate mutual aid. During a disaster, it allows a state to request and receive assistance from other member states.

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.

Equipment – 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.

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.

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 <http://www.dhs.gov/files/publications/ntas-public-guide.shtm>.

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.

Secretariat of Veterans' Affairs and Homeland Security (SVAHS) – The Commonwealth of Virginia's cabinet-level office that serves the Commonwealth's veterans, military, and military families, and oversees the Commonwealth's Homeland Security and all-hazards preparedness efforts.

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.

University of Virginia (UVA or University) – The Rector and Visitors of the University of Virginia.

Vulnerability – The susceptibility of a department 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

- Executive Order #41 (2019)
- Code of Virginia § 44-146.18
- University of Virginia Critical Incident Management Plan, December 2022

REFERENCES

- Virginia Department of Emergency Management Continuity Plan Template, February 2020,
- Commonwealth of Virginia Emergency Operations Plan,
- Homeland Security Exercise Evaluation Program (HSEEP) guidelines found at <https://preptoolkit.fema.gov/web/hseep-resources>.

APPENDIX C - ESSENTIAL RECORDS, SYSTEMS, APPLICATIONS AND EQUIPMENT

The University of Virginia realizes that essential records, systems, and equipment are critical to the agency's ability to perform MEFs. Therefore, the University 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 University Information Technology Disaster Recovery Plan (ITDRP). The following essential records, systems, and equipment have been identified as directly supporting the performance of the University's MEFs.

Table C-1
Essential Records, Systems, Applications and Equipment

Due to the size and complexity of the contents of this category, these are maintained in each individual departmental COOP and are available for utilization by the Critical Incident Management Team as needed.

Table C-2
Essential Records, Systems, Applications and Equipment Protection

Due to the size and complexity of the contents of this category, these are maintained in each individual departmental COOP and are available for utilization and review as needed.