University of Virginia
Continuity of Operations Plan

April 1, 2009
Version 2.0

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 Virginia Code §2.2-3705.2. Accordingly, the University of Virginia is withholding this plan from public disclosure. Refer any request for a copy of this document to the University of Virginia’s legal counsel or the Virginia Attorney General’s office.
Approvals

This Continuity of Operations (COOP) Plan was prepared by the University of Virginia to develop, implement and maintain a viable COOP capability. This COOP Plan complies with applicable internal agency policy, local and state regulations, and supports recommendations provided in the Federal Emergency Management Agency’s Federal Continuity Directive 1 (FCD 1) and Virginia Department of Emergency Management COOP Planning Manual for Institutions of Higher Education. We submit the plan with the understanding that a number of aspects of the plan remain to be fully developed and implemented.

I hereby approve this COOP Plan, which describes how the continuity of essential functions and activities of the University of Virginia in Charlottesville, Virginia will be performed in the event of an emergency that prevents normal operations.

Approved:  
Leonard W. Sandridge, Executive Vice President & Chief Operating Officer  
Date: 04/02/2009

Approved:  
Marjorie Sidebottom, Director Office of Emergency Preparedness  
Date: 04/02/2009
Distribution

This COOP Plan has been distributed internally within the University of Virginia and with those external agencies that may be affected by its implementation. The COOP Plan has been coordinated with that of other jurisdictions and agencies by the UVA Office of Emergency Preparedness through the regional Emergency Management Coordinator for the city of Charlottesville, Albemarle County, and the University of Virginia.
# Record of Changes

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<tr>
<td>1.0</td>
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<td>Brian Del Vecchio</td>
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1 INTRODUCTION

The University of Virginia is committed to the safety and protection of its employees, students, operations, and facilities. In support of this commitment, the University has critical operations that must be performed, or rapidly and efficiently resumed in an emergency. The changing threat environment and recent events has raised awareness to the need for continuity of operations (COOP) capabilities that will enable us to continue the performance of essential functions across a broad spectrum of emergencies. By planning for operations under such conditions, we hope to mitigate the impact of the incident on our people, our facilities and our mission.

1.1 PURPOSE
The University of Virginia will continue the following essential functions during an emergency requiring continuity of operations:

- Sustain the safety and welfare of University employees, students, and visitors
- Maintain health services
- Deliver academic programs to students
- Preserve critical research
- Maintain critical business, finance and infrastructure operations

This plan provides a framework to continue these essential functions in the event that an emergency at the University or in the region threatens operations or requires the relocation of select personnel and functions. The COOP Plan presents our approach to begin continuity operations within 12 hours of activation; continue essential functions within the identified recovery time objectives; and maintain essential functions for up to 30 days.

1.2 APPLICABILITY AND SCOPE
This plan is applicable to all University of Virginia departments, divisions, units, personnel and contractors. The COOP Plan covers all facilities, systems, buildings and vehicles operated or maintained by the University of Virginia. The COOP Plan supports the performance of essential functions from alternate locations and also provides for continuity of management and decision-making in the event that senior management or technical personnel are unavailable.

1.3 AUTHORITIES, GUIDANCE AND REFERENCES
Table 1 outlines significant authorities, guidance and references that influenced the development of the COOP Plan.

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<td>March 2005</td>
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Table 1. Authorities, Guidance and References

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<td>2007</td>
<td>Commonwealth of Virginia Office of the Governor Executive Order 44</td>
<td>Requires that institutions of higher education create and maintain Continuity of Operation Plans</td>
</tr>
<tr>
<td>2000</td>
<td>Commonwealth of Virginia Emergency Services and Disaster Laws of 2000 (§ 44-146.13 to 44-146.29:2 of the Code of Virginia)</td>
<td>Mandates certain levels of preparedness for state and local government entities</td>
</tr>
<tr>
<td>February 2008</td>
<td>Federal Continuity Directive 1–Federal Executive Branch National Continuity Program and Requirements</td>
<td>Discusses the elements of a viable continuity capability; while applicable to federal executive agencies, this directive provides useful guidance to State, local, territorial and tribal governments and the private sector.</td>
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1.4 SITUATION

The University of Virginia is located in Charlottesville, Virginia on 3,392 acres in Charlottesville and elsewhere. There are 535 buildings or major facilities with a replacement value of more than $2.4 billion$^1$. For the 2008-2009 academic year, a total of 21,057 students were enrolled in the University. In addition, there were 2,171 full-time instructional/research faculty and 10,230 full-time other staff, giving a total of 12,401 staff members. Our library collections boast 5.1 million books, 17.3 million manuscripts and archives, over 152,000 maps, in excess of 4,000 films and videos, and more than 337,000 text and images in digital collections.

UVA supports research and scholarship in many fields, with sponsored research awards totaling over $314 million$^2$ from all sources (federal and state agencies, industry and private foundations). The University of Virginia Health System is a nationally renowned academic medical center supporting over 30,000 inpatient admissions, over 642,000 outpatient visits, and over 61,000 emergency room visits$^3$.

The University’s hazard identification and risk assessment resulted in a ranked and prioritized evaluation of hazards based on previous and anticipated impact to the University. Hurricane or high wind events, building fires and severe winter storms offer the most significant threats to the University.

1.5 PLANNING ASSUMPTIONS

Assumptions used to develop the COOP Plan include the following elements.

- Emergencies or threatened emergencies can adversely impact the University’s ability to continue essential functions and provide support to the day-to-day operations

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$^1$ In 2007-2008
$^2$ FY 2008
$^3$ 2007-2008
- There will be a sufficient number of surviving and available senior managers with adequate supporting personnel to continue the essential functions of the University
- When an emergency event is declared, the University will implement the COOP Plan
- Communications capabilities, transportation, and other infrastructures will be sufficiently intact to allow implementation of this plan
- University personnel and federal, state, local, private, and military resources will be available as necessary to continue essential functions
- Recovery of a critical subset of the University’s functions and application systems will occur and allow essential operations to continue
- A disaster may require student, faculty, staff, patients, and the public to function with limited support services and some degradation of service, until a full recovery is made

2 CONCEPT OF OPERATIONS

The COOP Plan provides a flexible, scalable strategy to manage and recover from situations or events that have a direct adverse impact on University operations. If an incident results in serious injury or loss of life of University leadership, reconstitution of the leadership position will be considered and appropriate personnel reassigned, in accordance with the Orders of Succession and Delegations of Authority documentation.

Following initial crisis response and life safety efforts, focus will shift to continuity of operations, including the functions, systems, and facilities, in an effort to fully restore operations of the University. When necessary, reconstitution may require use of alternate locations, acquisition and installation of equipment and communications, and placement of personnel.

2.1 IMPLEMENTATION CONDITIONS

The COOP Plan is implemented in response to an emergent situation or any other situation that disrupts normal University operations. The plan can be implemented fully or partially. The decision to implement the COOP Plan is tailored to the specific situation and is based on the event’s projected or actual impact and severity.

Activation of the COOP Plan can occur under any of the following conditions:

- **With Warning.** It is expected that in many cases, the University of Virginia will receive a warning of at least a few hours prior to an event. This will enable full execution of the COOP Plan with the complete and orderly alert, notification, and deployment of key personnel to assembly sites or pre-identified deployment locations. Notifications will occur through pager, email, telephonic, and other mass notification methods, using standard procedures developed by The University of Virginia and authorized by the Executive Vice President and Chief Operating Officer.

- **Without Warning.** Execution of the COOP Plan following an event that occurs with little or no warning will depend on the severity of the event and the number of personnel affected.
  - **Non-Duty Hours.** COOP team personnel should be able to be alerted and activated to support operations for the duration of the emergency. Notification may occur through pager, email, telephonic, and other mass notification methods. Under certain circumstances, in-person notification may be necessary.
  - **Duty Hours.** If possible, the COOP Plan will be activated and available members of the COOP teams will be deployed as directed to support operations for the duration of the
emergency. Depending on the status of communications, notification may be made by pager, telephone, in-person at facilities, and by use of departmental call down procedures.

During activation of the COOP Plan, the University of Virginia’s operating hours for essential functions will remain 24 hours a day, seven days a week. As additional services come become available, regular operating hours for each of these will be determined and announced. Regardless of the warning condition, the University will deploy the most critical resources first and other resources will follow as needed.

2.2 ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

Designated teams have been established by the University to manage COOP operations and perform essential functions. Teams are comprised of management, functional experts and technical specialists needed to establish essential functions within 12 hours of activation. Additional personnel will augment the initial COOP team to sustain essential functions for a period of up to 30 days. COOP responsibilities of leadership positions and key teams tasked to implement the University’s COOP Plan follow; contact information is provided in Appendix A.

2.2.1 Director of Emergency Services

The Executive Vice President and Chief Operating Officer (EVP-COO) is the University Director of Emergency Services. In this role, the EVP-COO is authorized to declare a University emergency and activate the University enterprise COOP Plan. The EVP-COO coordinates all activities necessary to conduct continuity operations across University units and mobilizes the Critical Incident Management Team (CIMT) to handle crisis situations. The EVP-COO provides liaison with the Chief of Police or other responders at the scene. The EVP-COO communicates with the President, the President’s Chief of Staff, Vice Presidents, Rector and the Board of Visitors for reporting the status of the crisis response and recovery operations.

2.2.2 COOP Coordinator

The University COOP Coordinator assists the EVP-COO to assemble and coordinate the activities of the CIMT. The Director of the Office of Emergency Preparedness serves as the COOP Coordinator and provides liaison with the Chief of Police or other responders at the scene, and also communicates with the Critical Incident Management Team on the status of the crisis response and recovery operations. The COOP Coordinator facilitates communication between the Critical Incident Management Team and Departmental COOP Team leads.

2.2.3 Critical Incident Management Team

The Critical Incident Management Team is a decision-making body for the University community on issues related to an emergency. The CIMT will not respond to the scene nor will they manage the initial response to an incident. The CIMT is responsible for:

- Determining the scope and impact of the incident, using information provided by the emergency responders and the University police, or the local Emergency Operations Center (EOC), as appropriate
- Prioritizing emergency actions
- Managing and directing the activities of the departments that will be involved in emergency response and recovery
• Deploying resources and equipment for field operations. It is the responsibility of the person(s) in charge of the incident scene to communicate with the CIMT, to provide status reports, and to inform the team as to what resources and equipment are needed

• Disseminating timely, accurate and appropriate information through the Assistant Vice President for Public Affairs or EOC Public Information Officer, as appropriate to University faculty, staff, students and patients, and to the news media

• Coordinating with federal, state, and local officials, military, private businesses, and other institutions, as appropriate

The CIMT consists of:

• Executive Vice President and Chief Operating Officer
• Chief of Staff of the President.
• University Chief of Police
• University General Counsel
• University Provost
• Assistant Vice President for Public Affairs
• Vice President for Student Affairs
• Vice President for Management and Budget
• University Director of Risk Management
• Director of Emergency Preparedness
• University Webmaster
• Associate Director, Communications & Systems

The CIMT may be expanded to include others as needed.

2.2.4 Departmental COOP Teams

The Departmental COOP Teams are comprised of personnel from departments, units, and schools from across the University. Any organizational element that has a role in continuing or restoring essential functions is considered part of this team. Specific responsibilities are assigned to the Department Director, the Department COOP Coordinator, and Department Reconstitution Manager. Overall, Departmental COOP Teams are responsible for:

• Determining the scope and impact of the incident on their operations
• Prioritizing and implementing continuity and recovery actions
• Managing and directing the activities of departmental personnel involved in continuity and recovery
• Deploying requested resources and equipment for continuity operations
• Providing status reports to the CIMT
• Requesting any additional resources and equipment needed to continue essential functions
• Implementing their departmental reconstitution plan
• Planning and conducting the demobilization process
• Providing facts to support the dissemination of timely, accurate and appropriate information
A guide to checklists and procedures that support the execution of assignments and responsibilities is provided in Appendix B.

2.3 ESSENTIAL FUNCTIONS
The University of Virginia will continue the following essential functions during an emergency requiring continuity of operations:

- Sustain the safety and welfare of University employees, students, and visitors
- Maintain health services
- Deliver academic programs to students
- Preserve critical research
- Maintain critical business, finance and infrastructure operations

These essential functions guide the continuity planning efforts of all departments across the University. The supporting departmental COOP Plans capture unit-specific actions that will allow continuing functions. Appendix C outlines departmental alignment against the essential functions.

2.4 ESSENTIAL PERSONNEL AND HUMAN CAPITAL MANAGEMENT
Essential personnel must be prepared to sustain essential functions from the relocation site for a period of up to 30 days. Upon arriving at the relocation site, staff will receive an orientation briefing from site staff regarding administrative issues. Supplies and equipment needed to perform essential functions will be pre-positioned, but individuals are responsible for their personal items. Appendix A includes examples of personal go-kit contents.

The University relies on human capital resources and their flexibility to assist COOP team members and the rest of the University population in an emergency. University leadership is expected to:

- Be fully informed and understand human capital tools, flexibilities, and strategies
- Regularly review and update personnel contact information and notification protocols to assure that information remains current
- Ensure employees have a clear understanding of their role in an emergency
- Develop, review, and update emergency guides as needed

Additional information on human capital management during an emergency event is in Appendix A.

2.5 ALTERNATE FACILITIES
The University of Virginia recognizes that normal operations may be disrupted and that there may be a need to perform essential functions at alternate sites or facilities. The University’s large footprint makes it less likely that an emergency situation will require the relocation of all University operations. As such, the CIMT has identified two locations on Grounds as their primary and secondary command center. The primary location for CIMT assembly is the President’s Conference Room in Madison Hall. The secondary location is Zehmer Hall. Appendix D provides additional information about these locations.

Individual departments have identified in their COOP Plans primary and secondary operating locations for their COOP teams. In addition, depending on the issue, the University of Virginia, through cooperative agreements and mutual aid agreements completed or under development, also has access to additional facilities outside the area that could support the essential functions of the University and the Health System.
2.6 ORDERS OF SUCCESSION
In the absence of, or in the event that the President is unable to perform the duties as the leader of the University, the duties of the President will be assumed by administration staff in the following order:

1. Executive Vice President and Chief Operating Officer
2. Executive Vice President and Provost
3. Vice President for Management and Budget

In the event the EVP-COO is not able to assume command in an emergency, the following persons shall succeed to the position of Director of Emergency Services:

1. Director of Emergency Preparedness
2. Assistant to the EVP-COO for Emergency Preparedness
3. Vice President for Management and Budget

Additional information on the University’s Orders of Succession is located in Appendix E.

2.7 DELEGATIONS OF AUTHORITY
In the event that executive leadership, senior management or senior technical personnel are unavailable during an emergency, the University of Virginia is developing specifications for the delegations of decision making and policy determination authorities. These pre-delegations will specify what the authority covers, what limits may be placed upon exercising it, what position will assume the authority, and under what circumstances.

Appendix F will provide additional details on the delegations of authority.

3 ESSENTIAL EQUIPMENT AND INFORMATION

The entire University community relies heavily on the Information Technology and Communication department for communication and technological infrastructure, networking, data management, and information security, and help-desk support. As such, the Information Technology and Communication COOP Plan and Information Technology and Communication Disaster Recovery Plan are intimately connected to effective continuity operations.

3.1 VITAL RECORDS, SYSTEMS AND EQUIPMENT
The COOP Plan provides for the protection, accessibility, and recovery of the University of Virginia’s vital records, systems, and equipment. These are the records, systems, and equipment that if irretrievable, lost, or damaged will materially impair the University and Health System’s ability to carry out essential functions and to continue to conduct business.

The University of Virginia, through Department COOP plans, has identified those vital records and databases which must be available to support performance of the designated essential functions. The University of Virginia has also identified vendors and contractors available to support restoration of said resources. In addition to the Information Technology and Communication contingency plans, this information is captured in departmental COOP plans and the Pandemic Influenza COOP Annex. See Appendix G.
3.2 COMMUNICATIONS
Interoperable and resilient communications form a critical component for a successful University COOP capability. Internal communications systems must support connectivity to other departments, students, faculty, staff, patients, their families and visitors under all circumstances.

3.2.1 Communications Systems
To ensure the provision of critical emergency communications, the University of Virginia relies on layers of technological tools with the expectation that different tools may work at different times during continuity operations. The following communication tools will support University COOP operations:

- Voice lines
- Fax lines
- Data lines
- Cellular phones
- Pagers
- E-mail
- University home page postings
- Instant messenger services
- Blackberry and other personal digital assistants (PDAs)
- Radio communication systems
- Government Emergency Telecommunications Service (GETS)

Appendix H provides information on the current systems supporting COOP operations at the University.

3.2.2 Public Information
The Assistant Vice President for Public Affairs serves as the authorized Public Information Officer (PIO) for the University. All public information must be coordinated and disseminated by that office’s staff with assistance from other University departments and personnel.

University policy requires that only certain administrators may speak on behalf of the University. These spokespersons are the President, the EVP-COO, and the Assistant Vice President for Public Affairs. Under certain circumstances, the previously named administrators may designate others as spokespersons.

In the event that regular telecommunications on University property are not available, Public Affairs will center media relations at a designated location. Information will be available there for the news media and, where possible, for faculty, staff, and students.

During critical incidents, the Office of Public Affairs will work with each organizational unit to gather accurate and substantial information regarding the situation and details of the University response. The University PIO, working with other CIMT members and City and County PIOs, as appropriate, will provide notification to faculty, staff and students, and the general public on progress toward recovery, utilizing one or several of the following methods:

- Telephone Alert message on 924-SNOW and 243-SNOW.
- Emergency Communications Center (ECC) City Watch System.
• Mass e-mail message to the University community as a whole, or to Vice Presidents, Deans and Department Heads, as appropriate.
• University home page web site.
• Radio, television and newspapers:
  ▪ Radio: For a full list, see Inclement Weather Plan
  ▪ Television: For a full list, see Inclement Weather Plan
  ▪ Newspapers: The Daily Progress (Charlottesville), The Cavalier Daily (University student paper), and Inside UVA (University).

Appendix H provides additional details on communications support to continuity operations.

4 PLAN IMPLEMENTATION

The University of Virginia uses a three-phased approach to the activation, management, and eventual de-escalation of the COOP Plan. These phases are:

• Activation and Relocation
• Continuity Operations
• Reconstitution

The COOP Plan is activated based on known or anticipated threats and emergencies that may occur with or without warning. Once a disruption to business processes exists, the period of COOP Implementation begins.

4.1 ACTIVATION AND RELLOCATION

The Director of Emergency Services, or his or her designee, may activate this COOP 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 Police, and local emergency services agencies. It is the responsibility of the regional Emergency Management Coordinator and Emergency Communications Center to monitor message traffic and ensure that messages reach the Directors of Emergency Services for each jurisdiction, including the University. If an incident is identified, the Emergency Communications Center will make the initial notification to:

• The regional Emergency Management Coordinator, 911 Director, Fire Departments, Hospitals, Police Departments, Medcom, UVA Office of Environmental Health and Safety, Airport Manager, rescue squads, and the Virginia Emergency Operations Center.
• The Emergency Management Coordinator will contact: the City Manager, the County Executive, and the UVA EVP-COO. If a decision is made to fully activate the Emergency Operations Center the Emergency Management Coordinator will personally call the University of Virginia Police Chief, the Charlottesville Police Chief and the Albemarle County Police Chief and then activate the Emergency Operations Center recall by using the City Watch call system in the Emergency Communication Center.
• If City Watch is not available, the Police Chiefs will activate the recall rosters for their departments as necessary and will designate someone from their departments to contact the City, County and University representatives to the Emergency Operations Center. Individuals that are called will report to their work places or to the designated Emergency Operations Center (if so indicated on the list). Each department and division of the City, County and
University will maintain a current recall roster of essential personnel that would respond in an emergency and notify the Emergency Management Coordinator of any changes to these lists.

- Instructions for City, County, and University police personnel activating the recall roster: Attempt to call the first person listed for each department listed below and if no answer, call the next on the list for that department until you reach someone; pass the message as it was given to you, record the names of the ones you contacted and also those departments where you could not reach anyone and report this to the Emergency Management Coordinator.

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. The University uses a matrix to guide the activation decision to avoid premature or inappropriate activation of the University COOP Plan (Table 2). Potential disruptions resulting from emergency events are classified in Emergency Levels 1 through 4; using these emergency levels, the Director of Emergency Services, or designated successor will activate or partially activate the COOP Plan.

<table>
<thead>
<tr>
<th>Level of Emergency</th>
<th>Category</th>
<th>Impact on Institution</th>
<th>Decisions</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>Alert</td>
<td>An actual or anticipated event may have an adverse impact of up to 12 hours on any portion of the department but does not require any specific response beyond what is normally available.</td>
<td>Impacted department alerts appropriate personnel of situation and requests needed assistance. No COOP activation required.</td>
</tr>
<tr>
<td>2</td>
<td>Stand-by</td>
<td>An actual or anticipated event estimated to have minimal impact on operations for 12-72 hours that may require assistance beyond what is normally available.</td>
<td>Impacted department alerts appropriate personnel. Members of the COOP Team are notified and placed on stand-by. Limited COOP activation depending on individual department requirements.</td>
</tr>
<tr>
<td>3</td>
<td>Partial Activation</td>
<td>An event estimated to disrupt the operations of one or more essential functions or impact vital systems for more than three days.</td>
<td>Impacted department alerts University leadership and consults on COOP Plan activation decision. COOP Team members alerted and instructed on the full or partial activation of the COOP Plan. May require the mobilization of all 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 more than three days but less than 14 calendar days. Event requires command and control resources be applied to the issue.</td>
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### Table 2. Level of Emergency and Decision Matrix

<table>
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<th>Level of Emergency</th>
<th>Category</th>
<th>Impact on Institution</th>
<th>Decisions</th>
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<tbody>
<tr>
<td>4</td>
<td>Full Activation</td>
<td>An event that significantly disrupts the operations of three or more essential functions or to the full department that impacts multiple vital systems for more than seven calendar days.</td>
<td>Impacted department alerts University leadership and consults on COOP Plan activation decision. COOP Team members alerted and instructed on the full activation of the COOP Plan. 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 calendar days. Event requires command and control resources be applied to the issue, and may require the complete mobilization of all resources.</td>
</tr>
</tbody>
</table>

The decision matrix focuses on the way in which the emergency event may impact the capabilities of the University of Virginia to provide its mission critical and essential functions. To remain flexible in the variety of situations that could trigger an activation or partial activation of the COOP Plan, this matrix provides guidance. Recommended impacts and decisions may be modified based on the actual events. Once the decision is made to activate the plan, the following actions may be required:

- Notify alternate facility managers of impending activation and relocation requirements
- Notify affected local, regional and state agencies
- Activate plans to transfer to alternate facilities
- Instruct advance team to ready alternate facilities
- Notify University COOP personnel regarding activation of COOP Plan and their status
- Prepare non-prepositioned documents and equipment required for essential functions for transport to the alternate facilities
- Secure original facilities
- Move to the designated alternate facilities and check in

#### 4.1.1 COOP Team Notification

Once the decision to activate the COOP Plan is made, the COOP Team will be notified of activation based on the following actions:

- Director of Emergency Services initiates Critical Incident Management Team rapid recall process
- COOP Coordinator notifies relevant departmental COOP Teams of the activation and provides initial directions (e.g., “arrive at designated meeting location within two hours for initial assessment”)
- Department-specific rapid recall processes are implemented, following notification from the University COOP Coordinator
• Activated staff is informed of their roles and responsibilities and are directed to report to alternate work locations, if applicable

Notification processes in the event of COOP activation may occur through pager, text message, e-mail, telephone call, in-person notification, or by using designated departmental call down procedures and other mass notification methods. The full extent of the University’s communications tools will be used to contact COOP personnel, and existing procedures for broadcasting emergency notifications will be followed.

4.1.2 Relocation
After receiving the activation notification, COOP team members will gather personal effects and assemble at the alternate location, as designated in the notification message.

• The University COOP Coordinator initiates activities to support actions taken by the departments, this may include guidance to non-COOP personnel as well as the public (e.g., reduction in services or operational hours)
• The Departmental COOP Coordinators ensure their alternate facility is ready to receive the COOP Team members
• Within two hours, activated staff assembles at the alternate site location.
• Within each affected department, leadership confirms the safe evacuation of staff from facilities, if applicable, and account for personnel throughout the duration of the COOP event
• Supervisors and managers make contact with staff under their span of control via use of staff contact list

4.2 CONTINUITY OPERATIONS
The University of Virginia will perform any essential functions determined to be critical to University or Health System operations from the alternate facilities using temporary work orders or procedures as required. Responsibilities will be assigned to personnel in order to maintain essential functions and additional staff will be activated as required to provide other services and functions as necessary. The Critical Incident Management Team 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. Normal 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 COOP Plans. Activities during the continuity operations phase include, but are not limited to:

• Reviewing message traffic, situation reports, or other reports related to the event
• Coordinating with appropriate UVA organizations to gather information
• Assessing the impact, damage or potential damage, or response requirements of the incident (in coordination with Risk Management)
• Coordinating and acquiring any necessary assistance
• Coordinating with COOP members on response activities
• Executing activities that continue essential function operations
• Compiling updates and briefings on the status of the event, actions completed, actions in progress, and potential impact to specific departments
• Evaluating and determining changes in COOP Team staffing requirements based 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 Critical Incident Management Team response, as necessary
• Conducting information-sharing activities with relevant University entities to assist in planning and conducting response operations
• Ensuring the Critical Incident Management Team is apprised of departmental activities;
• Tracking reports and associated attachments (e.g., situation reports) received or distributed since the first notice of the event
• Keeping a record on actions taken and financial commitments
• Ensuring timely and accurate reports are prepared and disseminated as they relate to event response operations

4.3 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
• Transfer operations to a new, permanent location

Reconstitution procedures will be put into action when the Director of Emergency Services 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 Reconstitution Manager is the central coordination point for this phase. The Reconstitution Manager will work with the Department Reconstitution Managers and the Critical Incident Management Team 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.

As soon as possible following COOP Team deactivation, the COOP Coordinator will convene a team to collect information on critical issues requiring leadership attention, lessons learned, and best practices associated with the response. The information gathering effort will focus on identifying what did and did not facilitate response efforts and on developing recommendations to improve procedures for future event response operations. All information is documented for future reference and is used to update planning documents and operating procedures. Within one month of the conclusion of the COOP Team stand-down, an After Action Report will be sent to the Office of Emergency Preparedness, Box 400911, for inclusion in incident file. Once developed, new or updated procedures should be evaluated for effectiveness in an exercise.

4.4 SCENARIO SPECIFIC CONSIDERATIONS
While a majority of actions taken to continue essential functions following an emergency are the same, there are unique characteristics to every situation that will impact how response actions are carried out.
The scenario-specific considerations for three general planning scenarios are provided in sections 4.4.1-4.4.3. The specific scenarios are:

- Loss of access to a facility (Table 3)
- Loss of services due to a reduction in workforce (Table 4)
- Loss of services due to equipment or system failure (Table 5)

### 4.4.1 Scenario 1 – Loss of Access to a Facility
Table 3 presents unique department assumptions that will be considered when the COOP Plan is activated due to the loss of access to a facility, as well as implementation actions that will be enacted above and beyond those already explained in Sections 4.1-4.3.

<table>
<thead>
<tr>
<th>Table 3. Scenario 1 Implementation Considerations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Scenario 1: Loss of Access to a Facility</strong></td>
</tr>
<tr>
<td><strong>Unique Assumptions</strong></td>
</tr>
<tr>
<td>• If an academic building, the Office of the Provost will be heavily involved in identifying alternate classroom space</td>
</tr>
<tr>
<td>• Some research buildings will present long-term recovery issues due to potential hazardous materials challenges</td>
</tr>
<tr>
<td>• The assets of the UVA Foundation may be tapped as alternate facilities</td>
</tr>
<tr>
<td>• Risk Management personnel will be available to support damage assessment activities</td>
</tr>
<tr>
<td><strong>Implementation Phases</strong></td>
</tr>
<tr>
<td><strong>Activation and Relocation</strong></td>
</tr>
<tr>
<td>• The COOP Plan will be activated during the transition from Critical Incident Management Plan crisis response actions to recovery management actions</td>
</tr>
<tr>
<td><strong>Continuity Operations</strong></td>
</tr>
<tr>
<td>• For localized access issues, the affected department will implement their COOP plan and engage the CIMT to assist in identifying alternate space</td>
</tr>
<tr>
<td>• During an event that leaves residents and guests without shelter for a significant period of time, those affected will be relocated according to the strategy in the Housing COOP Plan</td>
</tr>
<tr>
<td>• If a housing facility or portion of a facility is deemed uninhabitable, displaced residents will be assigned new permanent housing</td>
</tr>
<tr>
<td><strong>Reconstitution</strong></td>
</tr>
<tr>
<td>• Full assets of the University will be leveraged to facilitate the return to normal operations.</td>
</tr>
</tbody>
</table>

### 4.4.2 Scenario 2 – Loss of Services (Reduction in Workforce)
Table 4 presents unique department assumptions that will be considered when the COOP Plan is activated due to the loss of services from a reduction of workforce, as well as implementation actions that will be enacted above and beyond those already explained in Sections 4.1-4.3.
### Table 4. Scenario 2 Implementation Considerations

**Scenario 2: Loss of Services Due to a Reduction in Workforce**

#### Unique Assumptions
- The reduction in workforce will be widespread, making redistribution of resources across communities unreliable.
- The impact of the event is a continuously evolving process, rather than a discrete event, with ongoing adverse effect that can increase exponentially.
- While additional training is needed, employees have been cross-trained to provide backup coverage focusing on services identified as critical to the mission of the University.
- Vital systems are available and accessible to staff via telecommuting.
- Some employees responsible for supporting critical systems may work from locations other than their offices (telecommuting), and extended telecommuting operations will be supported if necessary.
- Departments have identified alternate work arrangements such as alternate work schedules, and remote support to deal with emergencies that create a reduction in workforce.
- Human Resources policies and procedures will be followed when responding to an extended reduction in workforce.
- Should the reduction in workforce be significant, it may be necessary for services to be prioritized and those deemed as non-essential be reduced in some manner.
- If the reduction of workforce is due to a pandemic, the University will follow recommendations from the Centers for Disease Control and Prevention and the World Health Organization.
- The University Pandemic Influenza Response Plan will be implemented in a reduction in workforce due to a pandemic – the following representation is a reduction in workforce based on Pandemic Influenza.

#### Implementation Phases

| Activation and Relocation | Due to the slow evolution of the event, the University will monitor the situation closely and keep COOP team members on alert and advised of changes.
| | The COOP team will not colocate to manage the response; social distancing practices will be employed.
| Continuity Operations | During the lifespan of the reduction of workforce, activities at the University will slowly be minimized in response to the situation. The reduction may unfold as follows:
| | - Normal operations will continue with the exception of increased surveillance for potential local impacts.
| | - There will be restrictions on UVa-related travel.
| | - If applicable to the situation, there will be a quarantine of incoming personnel from involved regions.
| | - Throughout the event, there will be continued development, refinement, and deployment of the incident-specific action plan. |
Table 4. Scenario 2 Implementation Considerations

Scenario 2: Loss of Services Due to a Reduction in Workforce

- As the event unfolds, there will be a potential closure of classroom instruction, which will move to the closure of all classroom instruction and human-contact educational activity
- All research activity discontinued
- The Health System will activate their emergency plan with routine (non-urgent and non-emergent) healthcare discontinued
- The work-at-home policy will be enforced
- Only essential function personnel will be allowed at their work-sites
- Communication internally and externally will be maintained

Reconstitution
- Since facilities are intact, as the reduction in workforce wanes employees will be able to return to their regular work locations

4.4.3 Scenario 3 – Loss of Services (Equipment or System Failure)
Table 5 presents unique department assumptions that will be considered when the COOP Plan is activated due to the loss of services due to equipment or system failure, as well as implementation actions that will be enacted above and beyond those already explained in Sections 4.1-4.3.

Table 5. Scenario 3 Implementation Considerations

Scenario 3: Loss of Services Due to Equipment or System Failure

Unique Assumptions
- The University will rely heavily on ITC to execute detailed disaster recovery plans for essential systems and databases as documented in the ITC disaster recovery plan
- The availability of vendor support will affect how quickly affected services can be restored
- Relocation may not be necessary, as long as systems or equipment loss does not affect safety or present code violations

Implementation Phases

<table>
<thead>
<tr>
<th>Activation and Relocation</th>
<th>If internal communications systems are affected, notification efforts will rely on cell phones, radio communications, and personal contact, as necessary.</th>
</tr>
</thead>
</table>
| Continuity Operations     | **Enterprise Recovery** – Should ITC’s computer rooms or equipment become unusable, ITC is prepared to install temporary floor space and replacement equipment to recover operations. The plan takes from five to eight days to execute, and it calls for all enterprise applications to be restored.  
**Unix/Linux Systems** – Recovery time estimates for UNIX systems vary depending on the severity of outage. If a few systems supporting University-wide services were lost, the UNIX Recovery Team could reallocate and reconfigure systems within a few hours. If large |
Table 5. Scenario 3 Implementation Considerations

<table>
<thead>
<tr>
<th>Scenario 3: Loss of Services Due to Equipment or System Failure</th>
<th>Considerations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>numbers of systems were lost, replacement would need to be procured, and the recovery task could take from several days to more than a week.</td>
</tr>
<tr>
<td></td>
<td><strong>Networks /Communications</strong> – ITC supports the University’s data/video network and the network server infrastructure. Unlike the enterprise servers, networking is distributed with switching equipment located in small areas in many user buildings and in central distribution points. Widespread equipment distribution and the number of components (along with the severity of the event) make network recovery projections vary substantially. The Detailed Network Recovery Plan estimates as few as four hours for recovering from a minor event, to several days or weeks depending on severity for a major event (where switching equipment and cable plant leading to the equipment are destroyed).</td>
</tr>
<tr>
<td></td>
<td><strong>Microsystems</strong> – A minor event, such as a server failure, can be repaired within twenty-four hours. Recovering from a more severe, but isolated, event is estimated to take between 48 to 72 hours after acquisition of replacement hardware. Extensive disasters requiring acquisition of new hardware would take from 72 hours to 128 hours.</td>
</tr>
<tr>
<td></td>
<td><strong>Communication Services</strong> – In the event that the University’s Siemens telephone system is rendered completely inoperative due to a natural or other disaster, Siemens estimates that limited, basic telephone service can be restored to most locations with 72 hours.</td>
</tr>
<tr>
<td></td>
<td><strong>Applications Recovery</strong> – In the event of disruption to enterprise applications supported by ITC, the applications recovery team reloads applications software and production files. Recovery of applications is directly dependent upon the network and systems infrastructure being available, thus efforts to restore infrastructure precede application recovery activities.</td>
</tr>
<tr>
<td>Reconstitution</td>
<td>ITC will work with affected departments to restore services that were deferred.</td>
</tr>
</tbody>
</table>

5 TEST, TRAINING AND EXERCISE PROGRAM

Testing, training, and exercising of COOP capabilities are necessary to demonstrate and improve ability to execute emergency procedures. The Office of Emergency Preparedness works with University leadership and individual departments to conduct testing, training, and exercises related to continuity of operations. The overall objective of these efforts is to improve the University’s ability to effectively manage and execute this plan and any additional activities associated with emergency response and recovery. Regularly scheduled tests, training, and exercises, as shown in Table 6, will improve the ability of the University to respond to disruptions and minimize the impact of such events.
### Table 6. Test, Training and Exercise Schedule

<table>
<thead>
<tr>
<th>Activity</th>
<th>Tasks</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test emergency notification system</td>
<td>• Send test message to the University community using the U.Va Alerts text message, U.Va Alerts e-mail, outdoor emergency notification siren system and stand-alone e-mail system &lt;br&gt;• Evaluate timeliness of message distribution &lt;br&gt;• Evaluate clarity of siren system announcements</td>
<td>Quarterly</td>
</tr>
<tr>
<td>Train new COOP team members</td>
<td>• Provide an orientation and training class &lt;br&gt;• Schedule participation in all training and exercise events</td>
<td>Within 30 days of appointment</td>
</tr>
<tr>
<td>Plan and conduct exercises</td>
<td>• Conduct internal exercises &lt;br&gt;• Conduct joint exercises with local, regional, and/or state, federal, and military agencies &lt;br&gt;• Support and participate in interagency exercises</td>
<td>Semi-annually &lt;br&gt;Annually &lt;br&gt;Annually or as needed</td>
</tr>
</tbody>
</table>

### 6 COOP PLAN MAINTENANCE

The University of Virginia has a proactive approach to maintaining a viable Institution and Department COOP capability. This ensures the periodic review and revision of the various components of the COOP plans, supporting documentation; orientation and training of both existing and newly hired and appointed personnel; and the testing of our COOP capability through internal, local, regional and state exercises that meet the state requirements for all public institutions of higher education. The Institution COOP Plan maintenance and training program is the responsibility of the Director of the Office of Emergency Preparedness. Departmental COOP Plan maintenance and training is the responsibility of each department head.

### Table 7. COOP Plan Maintenance Schedule

<table>
<thead>
<tr>
<th>Activity</th>
<th>Tasks</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plan update and certification</td>
<td>• Review entire plan for accuracy &lt;br&gt;• Incorporate lessons learned and changes in policy and philosophy &lt;br&gt;• Manage distribution of plan updates</td>
<td>Semi-annually</td>
</tr>
<tr>
<td>Activity</td>
<td>Tasks</td>
<td>Frequency</td>
</tr>
<tr>
<td>----------------------------------------------</td>
<td>----------------------------------------------------------------------</td>
<td>--------------------</td>
</tr>
</tbody>
</table>
| Maintain and update Orders of Succession     | • Obtain names of current incumbents and designated successors  
• Update Delegation of Authorities          | As needed          |
| Checklists                                    | • Update and revise checklists  
• Ensure annual update/validation            | As needed  
Annually                                      |
| Update roster of all positions               | • Confirm and update information on roster of members of COOP Teams  | Quarterly          |
| Appoint new members of the COOP Team         | • Qualifications determined by COOP leaders  
• Issue appointment letter and schedule member for orientation | As needed          |
| Maintain alternate work site readiness       | • Check all systems  
• Verify access codes and systems  
• Cycle supplies                           | Quarterly  
As needed                                      |
| Review and update supporting Memoranda of Understanding/Agreements | • Review for currency and new needs  
• Incorporate changes, if required  
• Obtain signature renewing agreement or confirming validity | Annually          |
| Monitor and maintain equipment at alternate sites | • Train users and provide technical assistance  
• Monitor volume and age of materials and assist users with cycling or removing files | Ongoing  |
| Orient new policy officials and senior management | • Brief officials on the COOP strategy  
• Brief each official on his or her responsibilities under the COOP Plan | Within 30 days of appointment |
| Maintain security clearances                 | • Obtain, maintain and update appropriate security clearances         | Ongoing            |