

The purpose of a continuity plan is to ensure that an area can perform its essential functions and provide critical services no matter the threat or hazard faced. Developing continuity metrics and then evaluating and assessing continuity plans and programs against these metrics is an important step for planners and managers. By examining areas for improvement and areas of strength, areas can better prioritize and resource continuity needs and gaps.

This Continuity Score Card may be used by any WashU area to assess a continuity plan and program against the requirements for a viable continuity program and plan as outlined in the FEMA Continuity Guidance Circular (CGC) and Disaster Recovery International Institute Professional Practices. The Score Card can assist areas and in identifying areas of strength, areas for improvement, best practices, and lessons learned. The Score Card should be used on a regular basis (e.g., annually) as a method for determining whether gaps exist in an areas continuity plan.

The Score Card uses a 10-point scoring system. This progressive scoring system is an integral part of the evaluation and allows an area to demonstrate progress from one assessment to the next. For each task, please select the value on the scale that best represents how much progress your area has made with regard to the objective or criterion described by the statement. The description of progression for each task is not meant to be prescriptive; an organization should discuss and determine its score against each task using the descriptions as a guide.

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| **Label** | **NoProgress** | **LimitedProgress** | **ModerateProgress** | **SubstantialProgress** | **ObjectiveAchieved** |
| **Explanation** | **Score of 0** indicates that, while this aspect of the continuity capability may be applicable to the organization, no progress has been made towards achieving the identified objective. This may be because there has been no activity in this area or because of insurmountable barriers. | • Preliminary efforts have been initiated. • Needs related to this objective have been recognized and the organization is beginning to identify requirements in this area. • Few, if any, steps have been implemented successfully so far. | • Significant efforts are under way but the objective has not yet been fulfilled.• Important gaps remain. • Challenges that could potentially undermine achievement exist and have not yet been resolved. | • Efforts to achieve this objective are established and stable. • Some weaknesses or barriers that prevent success persist, but strategies to resolve them are documented and well under way.  | **Score of 10** indicates that the organization has fully achieved this objective with regard to its continuity capability. All barriers to success have been overcome. Strengths are robust and likely to be sustained. Evidence is readily available attesting to this level of achievement.  |
| **Scale Value** | **0** | **2** | **5** | **8** | **10** |

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| **Capability Objective** | **0** | **2** | **5** | **8** | **10** |
| **Has the office identified the essential functions that it must continue to perform during a continuity event?** | No effort nor recognition of need for identifying essential functions.  | The office made preliminary efforts to identify organizational essential functions, but has not created a formal list.  | The office identified essential functions. | N/A | The office identified essential functions and documented them utilizing the WashU Continuity Essential Function Analysis Worksheet. |
| **Has the office established and documented orders of succession to ensure an orderly and predefined transition of leadership?** | No effort nor recognition of need to establish and document orders of succession.  | The office partially drafted orders of succession for key positions, but has not completed the documents. | The office drafted orders of succession for the Director level, but has not completed orders of succession for other key positions. | The office established orders of succession for all key positions, although areas for improvement remain, such as orders not three positions deep or geographically dispersed, where possible. | The office established and documented orders of succession that are at least three positions deep and geographically dispersed, where possible. General Counsel approved the orders of succession, if applicable. |
| **Has the office conducted a Business Impact Analysis (BIA)?** | No effort nor recognition of need for conducting a BIA. | The office initiated preliminary efforts to conduct a BIA, but has not conducted the analysis. | The office partially completed a BIA process. | The office has conducted a BIA, although some areas for improvement remain. The organization has continued planning to fully address. | The office completed a BIA, which identified how identified the effects of threats and hazards which may impact the organization's ability to perform it essential functions.The office conducted a business impact analysis utilizing the WashU Continuity Essential Function Analysis Worksheet. |
| **Capability Objective** | **0** | **2** | **5** | **8** | **10** |
| **Has the office established and documented delegations of authority to make key decisions, conduct essential functions, and direct the office?** | No effort nor recognition of need to establish and document delegations of authority.  | The office initiated drafting of delegations of authority for key positions, but has not completed the documents. | The office drafted delegations for office direction, but has not completed delegations for other key functions. | The office established delegations of authority for most key functions. | The office established delegations of authority for all key functions. General Counsel approved the delegations, if applicable. |
| **Has the office clearly explained the expectations, roles, and responsibilities for all personnel during a continuity plan activation?** | No effort nor recognition of need to explain the expectations, roles, and responsibilities for personnel.  | The office initiated drafting of expectations, roles, and responsibilities, but has not completed the effort. | The office clearly explained the expectations, roles, and responsibilities in writing for continuity personnel, but has not completed for all staff. | The office clearly explained the expectations, roles, and responsibilities in writing for all personnel in the event the continuity plan is activated, but has not completed notification of all personnel. | The office clearly explained the expectations, roles, and responsibilities in writing for all personnel in the event the continuity plan is activated and disseminated this information to all staff. |
| **Has the office implemented a strategy to communicate the office’s operating status to all staff and with external stakeholders?** | No effort nor recognition of need to implement strategies to communicate with staff and stakeholders.  | The office initiated preliminary efforts to identify strategies to communicate with staff and stakeholders. | The office developed a strategy to communicate instructions, operating status, and other information with some stakeholders, but not all. | The office developed a process to communicate instructions, operating status, and other information with all personnel and external stakeholders, but backup strategies are not identified. | The office developed multiple strategies to communicate instructions, operating status, and other information with all personnel and external stakeholders. |
| **Has the office identified and inventoried essential records, including any emergency operating records and legal and financial rights records?** | No effort nor recognition of need to inventory essential records.  | The office initiated efforts to identify and inventory essential records. | The office has partially identified and/or inventorying essential records. | The office identified and inventoried all essential records, but the inventory requires additional detail. | The organization identified and inventoried all essential records, to include the locations of identified records and date of record, if applicable. |
| **Has the office developed a procedure to activate the continuity plan?** | No effort nor recognition of need to develop a plan or process to activate the continuity plan.  | The office initiated efforts to develop activation procedures. | The office drafted activation procedures, but the procedures are not approved. | The organization finalized procedures to activate the continuity plan. | The organization finalized procedures to activate the continuity plan to include identifying triggers and the individuals with the authority to activate, and exercised the procedure to ensure effectiveness. |
| **Capability Objective** | **0** | **2** | **5** | **8** | **10** |
| **Has the office identified essential positions who would support the performance of essential functions during a continuity plan activation?** | No effort nor recognition of need to identify continuity personnel.  | The office initiated efforts to identify continuity personnel. | The office has identified continuity personnel, but has not informed these individuals in writing of their roles and responsibilities. The office has not identified alternates for positions. | The office has identified continuity personnel and informed these individuals of their roles and responsibilities. The office identified alternates for most positions and satisfied any applicable collective bargaining obligations, if applicable | The office identified continuity personnel and alternates and informed these individuals of their roles and responsibilities. The organization satisfied any applicable collective bargaining obligations, if applicable. |
| **Has the office identified and implemented interoperable and available communications capabilities for the performance of essential functions?** | No effort nor recognition of need to identify and implement interoperable and available communications capabilities. | The office initiated efforts to identify and implement interoperable and available communications capabilities to support identified essential functions. | The office identified interoperable and available communications capabilities to support identified essential functions, but has not implemented these capabilities. | The office identified interoperable and available communications capabilities to support identified essential functions and has implemented these capabilities. | The office identified and implemented interoperable and available communications capabilities to support identified essential functions and exercised them to ensure effectiveness. |
| **Has the office identified IT applications to support identified essential functions?** | No effort or recognition of need to identify IT applications to support identified essential functions. | The office initiated efforts to identify critical systems to support identified essential functions. | The organization identified critical systems to support identified essential functions. | The organization identified critical systems, and developed recovery strategies. | The office identified IT applications, developed recovery strategies, and exercised strategies to ensure effectiveness. |
| **Has the office identified resources and suppliers to support identified essential functions?** | No effort or recognition of need to identify resources and suppliers to support identified essential functions. | The office initiated efforts to identify resources and suppliers to support identified essential functions. | The office identified resources and suppliers to support identified essential functions. | The office identified resources and suppliers to support identified essential functions and developed recovery strategies. | The office identified resources and suppliers to support identified essential functions, developed recovery strategies, and exercised strategies to ensure effectiveness. |
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| **Capability Objective** | **0** | **2** | **5** | **8** | **10** |
| **Has the office identified any WashU dependencies or BJH dependencies to support identified essential functions?** | No effort or recognition of need to identify dependencies and to support identified essential functions. | The office initiated efforts to identify WashU and BJH dependencies to support identified essential functions. | The office identified WashU and BJH dependencies to support identified essential functions.  | The office identified WashU and BJH dependencies to support identified essential functions and developed recovery strategies. | The office identified WashU and BJH dependencies to support identified essential functions, developed recovery strategies, and exercised strategies to ensure effectiveness.  |
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| **Has the office identified strategies for loss of staff to support identified essential functions?** | No effort or recognition of need to identify strategies for loss of staff to support identified essential functions. | The office initiated efforts to identify strategies for loss of staff to support identified essential functions. | The organization identified strategies for loss of staff to support identified essential functions. | N/A | The office identified strategies for loss of staff and exercised strategies to ensure effectiveness. |