

The purpose of a continuity plan is to ensure that a business unit can perform essential functions and provide critical services when faced with a threat or hazard. An important first step for planners and managers is to evaluate and assess their continuity plans and programs against a set of continuity metrics to identify needs and gaps.

Below, is a Continuity Objective Score Card that may be used by any WashU department to assess their continuity plan and program. The Score Card is an integral part of the evaluation process and should be used regularly (e.g., annually). The Score Card will assist in identifying areas of strength, areas for improvement, best practices, lessons learned, and will demonstrate progress from one assessment to the next.

For each task, select a value on the scale that best represents how much progress your area has made concerning each continuity objective. The description for each value serves as a guide for your department’s discussion to help determine your score.

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| **Label** | **No Progress** | **Limited Progress** | **Moderate Progress** | **Substantial Progress** | **Objective Achieved** |
| **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 internal and/or external 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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| **Continuity Objectives** | **0** | **2** | **5** | **8** | **10** |
| **Has the office identified the essential business functions that it must continue to perform during a threat or hazard 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 a process for lines of succession to ensure an orderly transition of key leadership?** | No effort nor recognition of need to establish and document lines of succession. | The office partially drafted lines of succession for key positions, but has not completed the documents. | The office drafted lines of succession for the Director level, but has not completed orders of succession for other key positions. | The office established lines 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 lines 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 completed 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. | Utilizing the WashU Continuity Essential Function Analysis Worksheet, the office completed a BIA which identified how the effects of threats and hazards may impact the organization's ability to perform it essential functions. |
| **Has the office established and documented a process for 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 essential 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. |
| **Capability Objectives** | **0** | **2** | **5** | **8** | **10** |
| **Has the office implemented a strategy to communicate the office’s operating status to all staff and 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 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 inventoried 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 exercise the procedure to ensure effectiveness. |
| **Has the office identified strategies to support essential functions when there is a loss of staff?** | 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 resources and suppliers to support identified essential functions, developed recovery strategies, and exercised strategies to ensure effectiveness. |
| **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 essential personnel. | The office initiated efforts to identify essential personnel. | The office has identified essential 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 essential 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 essential personnel and alternates and informed these individuals of their roles and responsibilities. The organization satisfied any applicable collective bargaining obligations, if applicable. |
| **Continuity Objectives** | **0** | **2** | **5** | **8** | **10** |
| **Has the office identified any WashU and/or BJH partners 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. |
| **Has the office identified alternate communications capabilities for the performance of essential functions?** | No effort nor recognition of need to identify and implement alternate communications capabilities. | The office initiated efforts to identify and implement alternate communications capabilities to support identified essential functions. | The office identified alternate communications capabilities to support identified essential functions, but has not implemented these capabilities. | The office identified alternate communications capabilities to support identified essential functions and has implemented these capabilities. | The office identified alternate communications capabilities to support identified essential functions and exercised them to ensure effectiveness. |
| **Has the office identified IT applications and systems to support identified essential functions?** | No effort or recognition of need to identify IT applications and systems to support identified essential functions. | The office initiated efforts to identify critical applications and systems to support identified essential functions. | The organization identified critical applications and systems to support identified essential functions. | The organization identified critical applications, systems, and developed recovery strategies. | The office identified IT applications and systems, 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 strategies for loss of staff and exercised strategies to ensure effectiveness. |