



Continuity of Operations Plan (COOP)

University Credit Union *(Test)*

Date of Approval:	2024-Jan-02 12:54
Approved By:	S. Ayscue
Plan Owner:	John Doe
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This plan serves the following unit(s):

Division(s):

Finance & Operations

Department(s):

University Credit Union *(Test)*

Appalachian State University

Continuity of Operations Plan (COOP)

What is a COOP?

COOP = Continuity of Operations Plan. Its purpose is to ensure the continued performance of minimum essential functions during a wide range of potential emergencies and unplanned, disruptive scenarios.

Emergencies can occur at any time, without warning. Careful planning with an emphasis on safety can help members of the App State community handle crises and emergencies with appropriate responses, and may save lives. Every member of the App State community shares a responsibility for emergency preparedness. Department heads are responsible for ensuring that their units have COOP plans in place, and that all persons - including faculty, staff, and students - are familiar with the plan. Unit heads are responsible for assigning business continuity planning and response duties to appropriate staff members.

Purpose of Continuity of Operations Planning

- Provide for continued performance of essential departmental functions under all circumstances
- Ensure survivability of critical equipment, records and other assets
- Minimize business damage and losses
- Achieve orderly response and recovery from the emergency
- Ensure succession of key leadership
- Ensure survivability of App State University in most severe events

Plan Overview

General Plan Information:

Department Description:

The department is the preferred provider of independent financial services of the university by inspiring and enabling all faculty, staff, and students to achieve financial success and stability.

Purpose:

This continuity of operations plan (COOP) is designed to reduce or eliminate disruptions to essential unit functions. The plan will assist the department/unit to operate essential functions during a variety of adverse circumstances that may impact operations. While the nature and severity of a disrupting event cannot be predicted, this plan will help ensure that the impact on the department's mission, personnel, and facilities are minimized.

To outline the activities required to continue the critical functions of the *SAMPLE* - University Credit Union during and following a business interrupting event.

Scope:

This plan is designed for all *SAMPLE* - University Credit Union activities

This plan was created to be versatile and able to apply to UCU as a whole and to the different sub-elements that help make up the department. Similarly, this plan is able to address all types of hazards and be effective regardless of the severity of the incident. The information contained in this plan will allow for the continuation of the department's essential functions despite the interruptions that may affect the normal operating environment.

Assumptions:

- An emergency or disaster can affect the University and the Town of Boone at any time.
- Some advanced warning may be received.
- Infrastructure damage may impede disaster response.
- The resources normally available may not be sufficient to respond to a major emergency. The University and your department will have to function with available resources until additional support can arrive.
- The majority of key departmental staff will be available to respond locally or virtually.
- Sufficient communications will survive the incident to permit departments to direct and manage the reconstitution of business operations.
- Utility failure can occur without a concurrent disaster causing the loss of power, telephone, or other utilities resulting in a major threat to the continuity of operations and the health and safety of the University.

Other Assumptions:

- Enough people are trained to carry out the critical functions.
- Basic utilities (electricity, heat, water) will be available.

Department / Unit Staff: [Test Org Chart.pdf](#)

Other Attachments:

Essential Contacts

Key Department / Unit Emergency Contacts					
Title	Contact Name	24/7 Phone	Business Phone	Alternate Phone	Email
Department Director	John Smith	+1 828-555-5555	+1 828-555-0123		smithja@appstate.edu
Relationship Manager	Jane Doe	+1 828-555-5551	+1 828-555-0124		doejb@appstate.edu
Administrative Assistant	John Doe	+1 828-555-5552	+1 828-555-0125		doejc@appstate.edu
Bank Teller	Paul Smith	+1 828-555-5553	+1 828-555-0126		smithpc@appstate.edu
Bank Teller	Jane Smith	+1 828-555-5554	+1 828-555-0127		smithjd@appstate.edu
EHS&EM	General	+1 828-262-4008			safety@appstate.edu
ITS Helpdesk		+1 828-262-6266			
Facilities Operations	Emergency	+1 828-262-3190			

Other University Contacts					
Title	Contact Name	24/7 Phone	Business Phone	Alternate Phone	Email

Non-University Contacts					
Title	Contact Name	24/7 Phone	Business Phone	Alternate Phone	Email

Essential Functions

About:

Appalachian State University's mission is to create, preserve, and disseminate knowledge. Each college, division, and major administrative unit on campus exists in support of this mission. Each area performs functions that are essential to the ongoing business of the university, the identification and prioritization of essential functions is a prerequisite for Continuity of Operations Planning.

The Essential Functions application captures the base data for a given function. A function may be assigned to a particular business unit or shared across multiple business units. Functions are related to applications, facilities, products and services, and non-IT devices.

Through the Essential Functions application, you can:

- Identify key personnel responsible for executing the function.
- Review the business impact analysis and business continuity plans associated with the function.

Examples of functions might be:

- Teaching
- Time-sensitive research
- Collections
- Public Safety
- Campus mail deliver
- Data backup and restoration
- Electronic information security

General Information:

Essential Function Name	Description	Function Owner	Function Manager	Function Participants	Attachments
UCU: Deposits	Providing various stakeholders of the University with the ability to make deposits into their respective accounts.	John Smith	Paul Smith, Jane Smith	Paul Smith, Jane Smith	
UCU: Lending Funds	The ability to lend funds to customers in the form of loans, cash credit, and overdraft, while using an interest rate for investment and consumption.	John Smith	Paul Smith, Jane Smith	Paul Smith, Jane Smith	
UCU: Customer Relations	Assisting customers by ensuring their needs are met, exceeding expectations, and aid in achieving financial goals.	John Smith	Jane Doe, John Doe, Paul Smith, and Jane Smith	Jane Doe, John Doe, Paul Smith, and Jane Smith	

Business Impact Analysis

About:

The Business Impact Analysis (BIA) is designed to help collect information on essential functions and share it among interdependent teams in a simple, consistent format. It enables stakeholders to determine a critical rating for their function which will allow the prioritization of recovery solutions and achieve business recovery within pre-defined, approved time frames.

This data allows key stakeholders to understand:

- The relationships among essential functions
- The infrastructure that support essential functions and the locations where the functions are performed and/or supported

General Information:

Function Name	Primary Role	University Impact	Criticality Rating	Recovery Time Objective (RTO)	Criticality Score
UCU: Deposits	Finance	Moderate	High	< 24 Hours	63%
UCU: Lending Funds	Safety and Security	Minor	High	< 24 Hours	62%
UCU: Customer Relations	Finance	Moderate	Medium	< 1 Week	54.5%

Key IT Resources

IT Applications:

Application Name	Related Essential Functions	Recovery Time Objective	Recovery Point Objective	Peak Period	Workaround	How long workaround can be used?
Gmail	UCU: Deposits,UCU: Customer Relations,UCU: Lending Funds	0-3 hours	4 hours	No	Yes Test	2 days

Application Name	Related Essential Functions	Recovery Time Objective	Recovery Point Objective	Peak Period	Workaround	How long workaround can be used?
ASU VPN	UCU: Deposits,UCU: Customer Relations,UCU: Lending Funds	0-3 hours	N/A	No	Yes Secured wireless access	

Application Name	Related Essential Functions	Recovery Time Objective	Recovery Point Objective	Peak Period	Workaround	How long workaround can be used?
Wireless Networking	UCU: Deposits,UCU: Lending Funds,UCU: Customer Relations	0-3 hours	4 hours	No	Yes Hotspot connection and mobile phone with cellular data. Also, may begin keeping track of data/information via carbon copy papers and hand written reports.	3 days

Application Name	Related Essential Functions	Recovery Time Objective	Recovery Point Objective	Peak Period	Workaround	How long workaround can be used?
Google Drive	UCU: Deposits,UCU: Lending Funds,UCU: Customer Relations	0-3 hours	1 hour	No	No	

Application Name	Related Essential Functions	Recovery Time Objective	Recovery Point Objective	Peak Period	Workaround	How long workaround can be used?

Zoom Web Conferencing	UCU: Deposits,UCU: Customer Relations,UCU: Lending Funds	25 hours to 1 week	N/A	No	No	
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Application Name	Related Essential Functions	Recovery Time Objective	Recovery Point Objective	Peak Period	Workaround	How long workaround can be used?
Yo-Mart		4-8 hours	1 hour	No	No	

Application Name	Related Essential Functions	Recovery Time Objective	Recovery Point Objective	Peak Period	Workaround	How long workaround can be used?
uStor	UCU: Deposits,UCU: Customer Relations,UCU: Lending Funds	9-24 hours	4 hours	No	No	

External Websites / Services:

Application Name	Related Essential Functions	Recovery Time Objective	Recovery Point Objective	Peak Period	Workaround	How long workaround can be used?
Banking Software	UCU: Deposits,UCU: Lending Funds	0 hours	15 mins	No	No	

Application Name	Related Essential Functions	Recovery Time Objective	Recovery Point Objective	Peak Period	Workaround	How long workaround can be used?
Customer Database	UCU: Deposits,UCU: Lending Funds,UCU: Customer Relations	0 hours	0 hours	No	No	

Facilities

Types of Facilities	Space Type	On Campus Location(s)		Off Campus Location		Specialized Utility Requirements
		Building(s)	Space Description / Name	Location	Space Name	
On Campus	Office /		Office building /			None

Equipment

Equipment Name	Essential Functions	Equipment Location	Inventory ID # / EHS #	Temperature Sensitive? / Connected to Alarm? / On Emergency Power	Supplier	Special Requirements	Attachment(s)
Currency Counter	UCU: Deposits	Boone, NC, USA	/	No / /	Safescan	None	

Specialized Supplies

Supply Name	Essential Functions	Vendor / Supplier	Special Instructions	Attachment(s)

Vendors

Vendor Name	Description	Contact Name / Title	Business / After Hours Phone	General Notes
		/	/	

Upstream Dependencies:

Department(s) / Unit(s) that you rely on to complete an essential function(s)

Campus Services
Environmental Health, Safety, and Emergency Management
App State Police
University Recreation
University Ombuds Office
University Honors
University Foundation
Campus Store
University Advising
University Advancement - VC
Turchin Center for the Visual Arts
Traffic Office
Theater and Dance
Technology
Teaching Fellows
Summer Sessions Summer Sessions
Students with Diverse Ability
Student Conduct
Sports Information
Sociology
Social Work Program
Small Business Technology Development Center
Schaefer Center for the Performing Arts - Catherine Smith Gallery
Research and Sponsored Programs
Registrar's Office
Recreation Management & Physical Education
Purchasing
Psychology
Psychology Clinic
Printing and Publications
Post Office
Plemmons Student Union
Physics and Astronomy
Physician Assistant Studies
Philosophy and Religion
Office of Transfer Services
Office of Sustainability
Office of Student Research
Office of General Counsel
Office of Access and Equity: Disability Resources
Office of Development
Nutrition & Health Care Management
Nursing
Northwest Science and Math Collaborative
New River Light and Power
NC School Health Training Center
Nationally Competitive Scholarships & Wilson Scholars
National Center for Developmental Education
Hayes School of Music
Motor Pool
Military Science and Leadership / ROTC
Mathematical Sciences
Math and Science Education Center
Marketing
Management
Department of Learning, Teaching and Curriculum
Leadership and Educational Studies
Languages, Literatures & Cultures
Judaic Studies
ITC Repair
International Education & Development
Interdisciplinary Studies

Interactive Video Services
Instructional Technology Center - ITC
Office of Research
Institute For Health & Human Services
Information Technology Services - ITS
Industrial Hygiene Office
Human Resources
Human Development and Psychological Counseling
Holmes Convocation Center
History
Health, Leisure, and Exercise Sciences
Student Health Services
Health Promotions
Graduate Studies and Research
Government and Justice Studies
Gift Planning
Geological & Environmental Sciences
Geography and Planning
General Education/Freshmen Seminar
Gear Up
Football Office
Financial Aid
Finance, Banking, & Insurance
Family and Consumer Sciences Education (FACS)
Faculty Senate
Facilities Operations
Extension Instruction
Office of the Chief Diversity Officer
Enology & Viticulture
English
Economics
Design and Construction
Curriculum and Instruction
Cultural Museum
Creative Services
Counseling Center and Psychological Services
Controller's Office
Carpentry Shop
Computer Science
Computer Information Systems (CIS)
Computer Based Testing Center
Communication
Communication Sciences Disorders
Communication Disorders Clinic
Beaver College of Health Sciences
College of Fine and Applied Arts
Reich College of Education
College of Arts and Science
Upward Bound
Child Development Center
Chief Information Officer (CIO)
Chemistry & Fermentation Sciences
Chancellor's Office
Centrex
Campus Activities
Center for Entrepreneurship
Career Development - Placement
Cannon Music Camp
Business Systems
Business Affairs
Building Services
Biology
University Libraries
Be Active NC - App Ctr
Baseball - Beaver Clubhouse @ Smith Stadium
Athletic Ticket Office
Athletic Center
Appalachian/Public Schools Partnerships

Art
Applied Design
Center for Appalachian Studies
Appalachian Consortium
Anthropology
Appalachian Journal
Alumni Affairs/McKinney Alumni Center
Advancement Services
Adult Basic Skills
Admissions
Accounting
Academic Computing Services (ACS)
Academic Affairs
University Credit Union *(Test)*
Sanford Commons
Rivers Street Cafe
Parking and Transportation
Park Place Cafe
Mechanical Engineering
Steam Systems
Water Systems
Warehouse
Payroll
Materials Management
Lockshop
Landscape Services
Health Science Cafe
Environmental Services
Facilities Management Administration
Planning, Design, & Construction
Crossroads Coffee House
Contracts and Grants Accounting
Campus Services Express
Campus Services Administration
Campus Dining
Bake Shop
VC - Finance & Operations
AVC - Financial Management
Western NC Library Network
University Writing Center
University College
University Archives & Records
Sustainable Technology and the Built Environment
Sustainable Development
Student Learning Center
Rural Resilience and Innovation
Rehabilitation Sciences
Research Institute for Environment, Energy, and Economics
Provost & Executive VC - Academic Affairs
Office of Field Experiences
Marketing & Supply Chain Management (SCM)
LRE-Parent to Parent
Lucy Brock Child Development Laboratory Program
James Center for Student Success and Advising
Hickory Campus
Institutional Research & Planning
Health and Exercise Science (HES)
Center for Excellence in Teaching and Learning for Student Success
Cratis D. Williams School of Graduate Studies
Walker College of Business
College Access Partnerships
Business Career Services
Counseling, Family Therapy and Higher Education (CTH)
Child Development, Literacy and Special Education
ASU Greater Hickory Partnership
ASU Energy Center
Alliance for Research on Reg Colleges
External Affairs & Community Relations

Corp & Foundation Relations
Prospect Management & Research
Development & Donor Relations
Student Affairs - VC
New Mountaineer & Family Engagement
Off Campus Std Services & Std Legal Services
Student Veteran Services
Case Management
Staff Development & Strategic Initiatives
Std Affairs: Assessment
Intercultural Student Affairs
Dean of Students
VC - Enrollment Management
University Scholarships
Office of Internal Audits
Office of Compliance and Ethics
Technology Support Services
Yosef Club
Wrestling
Women's Volleyball
Women's Track
Women's Field Hockey
Women's Basketball
University Communications
Special Projects
Office of Arts Engagement & Cultural Resources
Men's Golf
Men's Basketball
Cheerleading
Grandview Catering & Events
Conference and Event Services
Wellness & Prevention Services
Donor Engagement & University Events
Athletics Office
Annual Giving
Academy at Middle Fork
Academy at Elkin
Academic Technologies
Academic Services for Student Athletes
Academic Prog. Dev. & Strategic Initiatives
University Housing
Office of Community-Engaged Leadership
Office of Access and Equity: Equal Opportunity
Enterprise Risk Management
UNC System President
UNC Board of Governors
Board of Trustees
AppOrtho

Downstream Dependencies:

Department(s) / Unit(s) that <i>rely on you</i> to complete an essential function(s)
Human Resources Payroll

Vital Records and Other Information:

Vital Records / Private Information	Other Essential Resources Not Previously Listed
Various information regarding client files, information, and account numbers stored Banking Software and Client Database.	

Recovery Strategies

About:

The **Recovery Strategies** section documents strategies that enable an organization to recovery from a crisis even, recovery tasks related to the recovery strategy and necessary requirements for the alternative recovery site including an inventory of special supplies, equipment, vital records and much more.

Recovery Strategies:

IT Downtime / Workaround Procedures:

Alternate Site Requirements:

Existing Site					
Essential Functions Supported			On Campus Alternate Site		
UCU: Deposits			263 Locust St, Boone, NC 28608, USA		
UCU: Lending Funds					
UCU: Customer Relations					
IT Equipment					
Workstation Minimum #	Workstation Comment	Laptop Minimum #	Laptop Comment	Telephone Minimum #	Telephone Comment
5		5		5	
Printers Minimum #	Fax Minimum #	Copier Minimum #	Scanner Minimum #	Server Minimum #	
1	1	1	1	1	
Other Site Requirements					
Other Equipment	Special Facility Needs	Emergency Power		Supplies	
Currency Counter	None	None		None	

Recovery Tasks:

Recovery Strategy Name:

UCU: Customer Relations

UCU: Deposits

UCU: Lending Funds

Task 1 - Operate with Reduced Staff:

UCU staff are cross trained, therefore, the department would be able to function continuously for an extended time period.

Task 2 - Loss of Essential Functions:

The director would need to communicate with Facilities Management to begin operations in the predetermined back up site in the Student Union. Equipment and technology would need to be relocated to here as well.

Task 3 - Loss of Essential IT Services:

Would attempt to handle deposits and payments via paper carbon copies and phone systems.

Task 4 - Loss of Essential or Specialized Equipment:

No specialized equipment

Task 5 - Loss of Essential or Specialized Supplies:

No specialized supplies.

Task 6 - Loss of Essential Upstream Dependent Departments or Services

Primarily, the impact would be examined in an effort to determine the criticality of each dependency's role and identify long term effects, in addition to finding solutions (whether temporary or permanent) to address this.

Also, appropriate stakeholders will be notified including all faculty, staff, and students that utilize the service, as well as the departments that access has been lost to.

Task 7 - Loss of Utilities

Operations would continue for up to a week. Restrooms and other basic facility needs may be achieved by using a different floor or nearby building. If extensive loss is present, operations can be relocated to the predetermined back up site.

Additional Recovery Tasks

Task Number	Task Title	Task Description
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Attachments:

Activation Strategy

About:

The **Activation Strategy** section of the business continuity plan provides all of the information you need to know when invoking a plan during a crisis. This tab includes the emergency response link, business continuity plan team members, calling lists for internal, external and employee communications.

Emergency Response Link: <https://emergency.appstate.edu/>

Plan Activation Authority:

Purpose: To inform required persons of disruption to *SAMPLE* - University Credit Union operations

Order of Activation	Activation Authority	Recovery Team Contacts	
1	John Smith (Department Director)	John Doe	Administrative Assistant
		Paul Smith	Bank Teller
		Jane Smith	Bank Teller
		Jane Doe	Relationship Manager
2	Jane Doe (Relationship Manager)	John Doe	Administrative Assistant
		Paul Smith	Bank Teller
		Jane Smith	Bank Teller
		John Smith	Department Director

***On Call/Other Contacts:**

External Contacts:

Name	Title	Phone (Business)	Phone (Mobile)	Email (Business)

Call Tree Attachment(s): [download.png](#)

Appendix

About:

The **Appendix** section provides a listing of attachments related to the Continuity of Operations Plan.

Essential Function Attachments:

Other Attachments:

[Test Org Chart.pdf](#)

Recovery Strategy Attachments