

University of Houston – Downtown

Continuity of Operations Plan (COOP)
Liaison Program

Presented by:

Carol Manousos
Director, Emergency Management & Fire Safety
COOP Program Manager

Objectives: _____

By the end training, you should be able to:

- Identify essential function(s) of your department, college/division
- Develop a list of essential personnel
- Detect internal and/or external dependencies
- Discuss emergency relocation planning
- Recognize vulnerabilities/risks and create mitigation strategies
- List the types of exercises used to test plans

COOP Liaison Responsibilities

- Serve as a Liaison for your department or college/division
- Create a plan for your department or college/division
- Ensure the plan is approved by your department or college/division
- Submit the plan to the COOP Coordinator ***April 1, 2019***
- Train your department staff on the plan
- Exercise the plan every year
- Review the plan annually and submit an updated plan when changes are made

Definitions!

- Continuity of Operations – consistent operation of essential functions
- Essential Function – an absolutely necessary or fundamental action or service to be performed regardless of operational status
- Critical Function – action or service necessary to *life, health, safety* and *security* that must continue at a normal or increased level during an incident
- Essential Personnel – individuals with knowledge and expertise in performing critical/essential functions

Definitions!

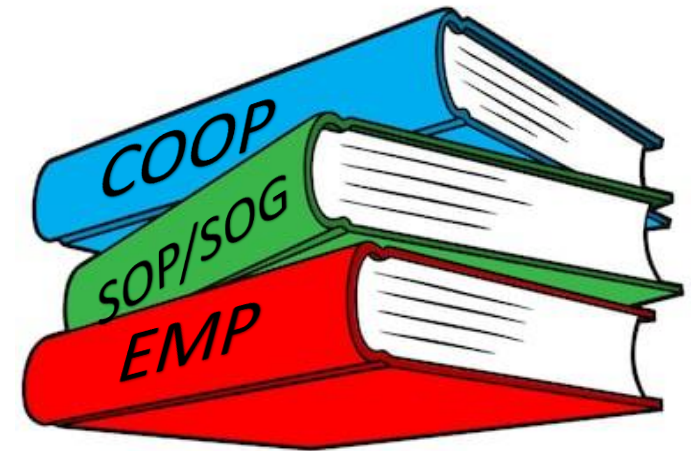
- Vulnerability – a system or asset that is susceptible to damage or loss
- Interruption – an action or circumstance preventing continuance of operations
- Risk – a harmful consequence or expected loss
- Mitigation Strategy – how to reduce the effect or impact of a disaster

The “Plan”

A Continuity of Operations (COOP) plan serves as a supplemental to the University’s Emergency Management Plan (EMP).

EMP – guides what you do to plan for, respond to and recover from an incident/emergency.

COOP – helps you minimize the impact on operations regardless of the incident and helps you return to normal operations as soon as possible.



What is a Continuity Event?

A Continuity Event is a situation/incident that incapacitates normal operation for an extended period. Typically more than eight hours but less than 30 days.

The emergency can be limited to a **single department, an entire floor, building or the University as a whole.**

It can involve damage to the facility, equipment, data/records, cause a high rate of employee absenteeism or a combination thereof.

Essential Functions

University Leadership – provide support for the University and maintain leadership in managing an emergency impacting UHD

Public Safety – maintain the safety and security of all individuals, facilities, intellectual property, research, public health and environmental hazardous components

Communications – maintain communication capabilities for UHD Emergency Alert Notification System, UHD Police Dispatch System, executive leadership and media relations

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Essential Functions continued _____

Academic Continuity – maintain and provide academic instruction, research and space when feasible during an emergency

Fiscal Operation & Functional Processes – provide continued service for financial operations (payroll, purchasing, contracts) and critical data

Basic Services – maintain and provide basic services with regard to food service, emergency maintenance needs, access control and transportation

Function Priority Ratings

Rating	Importance	Recovery Time
Critical	Function directly impacts life, health, safety or security of UHD community and stopping would have significant consequences	< 4 hours
High	Function must continue at normal or increased level. Pausing for more than 24 hours may cause significant consequences or serious harm to business operations, upstream or downstream dependent units, revenue and finances, reputation, or other core mission services.	< 24 hours

Function Priority Ratings

Medium	Function must be continued, if at all possible or perhaps in reduced mode. Stopping for more than a week may cause major disruption to business operations, upstream or downstream dependent units, revenue and finances, reputation, or other core mission services.	< 1 week
Low	Function could be suspended for up to one month <i>without causing</i> significant disruption to business operations, upstream or downstream dependent units, revenue and finances, reputation, or other core mission services.	< 1 month

Function Priority Ratings

Deferrable	Function may pause and resume when conditions permit, Deferring this function for more than one month may cause slight disruption to business operations, upstream or downstream dependent units, revenue and finances, reputation, or other core mission services.	> 1 month
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Harmful Consequences

- Detrimental results may occur when an essential function does not resume quickly
- A break in essential function operation may have a singular consequence or many
- Onset of the harm may be immediate or may take weeks



Template page 3

Determine resource requirements

- Staff
 - Number, skills, experience, availability
- Vital information/critical systems
 - Plans/directives, legal and financial records, personnel records, payroll, contracts, student records
- Equipment
- Supplies and services
- Facilities

Dependencies

- What product or service do you need to get the job done?
- Is the product or service supplied by:
 - UHD
 - UHS
 - External
- Is there an alternative source?
- Who is the point of contact, their contact number & email?
- Have you made contact to ensure the product or service will be available during an emergency?
- Is another department dependent on you?

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Developing an Essential Personnel list _____

Review the department or college/division essential functions and ask:

- What capability is needed to facilitate an orderly recovery following a disaster or disruption of operations?
- Who has the knowledge and expertise to re-establish an essential function?
- Who can maintain the function until the continuity event is over?
- How do you contact them?



Template page 4,
Attachment C

Emergency relocation

- Circumstances may require moving to a continuity facility or Emergency Relocation Site (ERS) at one of the University of Houston System component universities, accommodations offered by Lone Star College or alternate use of other existing facilities.
- Your plan should identify key leaders and staff to be relocated or if virtual options will be used to initiate and sustain operations.
- The plan should list needed equipment and supplies with source information.



Vulnerabilities and Risks

What will prevent your essential personnel from completing their mission in a timely manner?

- How long can your department function with a limited number of available personnel?
- How long can your personnel work from another location or from home?
- How long can your department be without central power and generator back-up?
- How long can your department be without phone, email and/or internet?

Vulnerabilities and Risks

- How long can your department be without the use of Enterprise System (PeopleSoft, Exchange...) or other system/software?
- How long can your department function with limited or no access to essential data and records?
- How long can your department operate without critical equipment that is either damaged or unavailable?



Mitigation – reducing the impact

Personnel working from remote locations

- ✓ Save essential records and documents on network (H:) and share (S:) drives.
- ✓ Practice accessing the departmental records and files <https://uhd.sharefile.com>

Emergency power

- ✓ Purchase portable chargers for phones and laptops

Internet

- ✓ Mobile Hotspot



Training, testing and exercising

Training familiarizes continuity personnel with their roles and responsibilities in support of the performance essential functions during a continuity event. It is an ongoing process...

- New employee
- Change in staff
- Crosstrain staff
- Change in structure

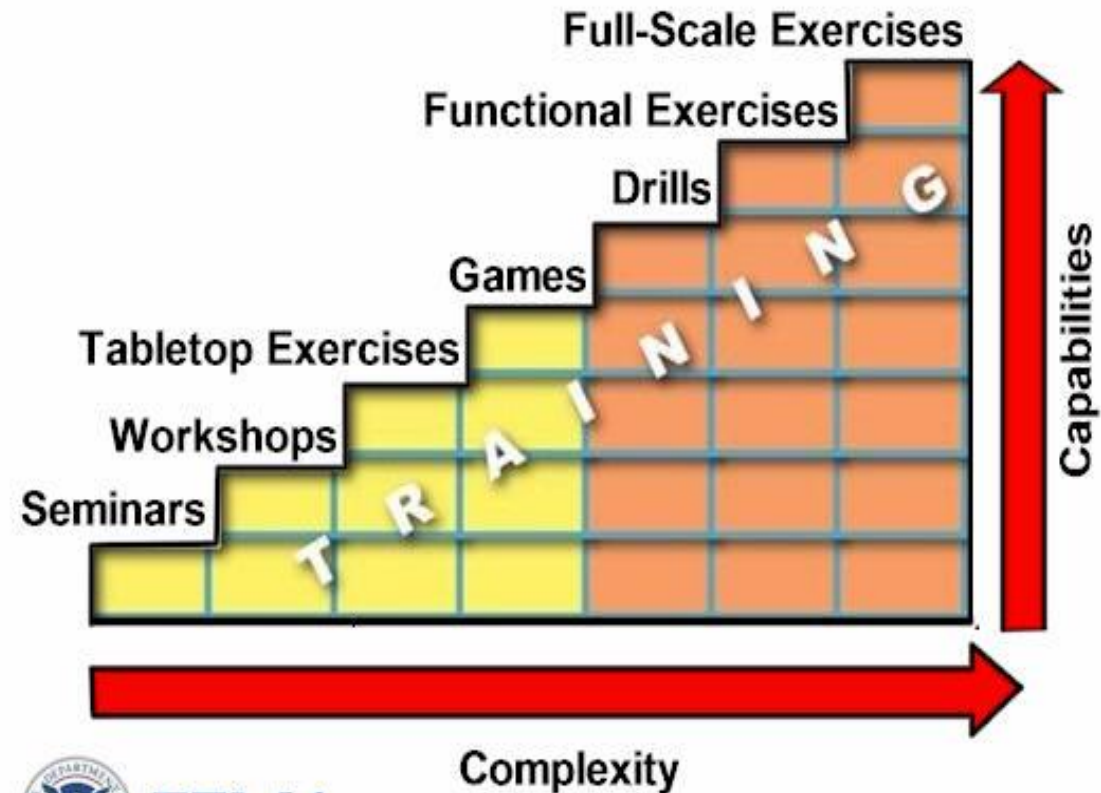


- New policies
- Change in the COOP
- Change in procedures, guidelines

Test and exercise your plan

- Tests and exercises serve to assess, validate, or identify areas of improvement.
- Periodic testing ensures that equipment and procedures are kept in a constant state of readiness.
- Exercises must progress from discussion based through operations based, much like building blocks....

Building-Block Approach to Exercise Scheduling



Tests and exercises....

- Seminars – Overview of new or current plans, resources, strategies
- Workshop – Provide a specific goal or build a product
- Game – Explore decision making process and examine consequences
- Tabletop – Round table discussion based on a specific scenario
- Drill – Test a single operation or function (Lockdown System, Notifications and Evacuation drills)
- Functional Exercise – Decision making process in real time with movement of personnel and resource simulated
- Full Scale Exercise – Decision making process in real time with actual deployment of personnel and resources

Review and update



What works?

What needs minor/quick changes?

What needs long range changing?

Corrective action planning

Updating the COOP

Authorities and References

- Federal Continuity Directive (FCD-1), Continuity for Non-Federal Governments CGC-1
- Texas Administrative Code 202.24 Continuity of Operations Planning
- Texas Labor Code 412.054 Continuity of Operations Plan
- Texas Department of Information Resources (DIR)
- Texas Department of Public Safety – State Office of Risk Management Directive, dated October 24, 2013
- University Board of Regents, Bylaws and Policies
- UHD Emergency Management Plan and Annexes

Questions and comments.....

Carol Manousos
manousosc@uhd.edu
Extension: 8425