

**CONTINUITY OF OPERATIONS PLANNING (COOP)**

**Template for Department Use**

|  |  |
| --- | --- |
| College/Division: |  |
| Department Name: |  |
| Building/Suite: |  |
| COOP Liaison: |  |
| Date Completed: |  |
| Approved By: |  |
| Approval Date: |  |

**PURPOSE:**

This Continuity of Operations Plan (COOP) will provide guidance necessary for the division, college or department to perform essential functions during an emergency situation or long-term disruption up to 30 days. This plan will identify mission-critical functions, departmental communication methods, and alternate locations, systems and personnel. Each University division, college or department needs a COOP to ensure the University can respond to a variety of situations that may involve a single department, an entire floor, building or the University as a whole.

**Determining Essential Functions:**

State briefly your department’s top three functions. You may add more if necessary.

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Essential functions are those that ***must continue or resume rapidly*** after a disruption in normal activities. The Essential Functions in the University of Houston – Downtown Continuity of Operations Plan (COOP) are listed below for reference and should be used when assessing and determining your essential functions:

* **University Leadership**: to provide support for the university and maintain leadership to manage an emergency impacting the University of Houston; leadership positions include the President, Provost and Vice President for Administration & Finance.
* **Public Safety**: to maintain the safety and security of all students, faculty, staff, visitors, facilities, research, intellectual property, research animals, public health and environmental hazardous components where feasible.
* **Communications:** to maintain communication capabilities for the University of Houston’s Emergency Alert Notification System, UH Police Dispatch System, executive leadership and media relations.
* **Basic Services:** to maintain and provide basic services with regard to food service, emergency maintenance needs, access control and transportation.
* **Fiscal Operations and Functional Processes:** to provide continued service for financial operations (payroll, purchasing, contracts) and critical data.
* **Academic Continuity:** to maintain and provide academic instruction, research and space when feasible during an emergency.

If any of the above describes one or more of the functions you listed, continue to the next section.

\*If your department does **not** have essential functions, you may skip the next section and continue forward with Internal Dependencies.

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| **Essential Function** # **1** : | (Provide name or title for the function) |
| **Brief Description**:(What is this function responsible for? What does it accomplish?) |  |
| **Priority Rating + RTO**RTO = Recovery Time Objective(Maximum time this function can be down before significant problems occur | Rating | Description | RTO |
|  Critical | Directly impacts life, health, safety or security. Cannot stop | < 4 hours |
|  High | Must continue at normal or increased level. Pausing more than 24 hours may cause significant consequences or serious harm. | < 24 hours |
|  Medium | Must continue if at all possible, perhaps in a reduced mode. Stopping for more than one week may cause major disruption. | < 1 week |
|  Low | May be suspended for up to one month without causing significant disruption | < 1 month |
|  Deferrable | May pause and resume when conditions permit. | > 1 month |
| **Harmful Consequences** |
| Suppose the essential function does not resume quickly following a major disruption or disaster. Which of the listed harmful consequences might occur, and how long after the disruption or disaster might the harm begin to occur? Check (X) the box to indicate when harm might occur. Select N/A if the consequence does not apply to the essential function you are evaluating. |
| **Possible Harmful Consequence** | ***How long after the disruption or disaster might the harm occur?*** |
| N/A | 0-2days | 1week | 2weeks | 3weeks | 4weeks | >4weeks | Comments |
| 1 | Disruption of teaching? |  |  |  |  |  |  |  |  |
| 2 | Disruption of research? |  |  |  |  |  |  |  |  |
| 3 | Departure of students? |  |  |  |  |  |  |  |  |
| 4 | Departure of faculty? |  |  |  |  |  |  |  |  |
| 5 | Departure of staff? |  |  |  |  |  |  |  |  |
| 6 | Well-being of students? |  |  |  |  |  |  |  |  |
| 7 | Well-being of staff/faculty? |  |  |  |  |  |  |  |  |
| 8 | Payment deadlines unmet by UHD? |  |  |  |  |  |  |  |  |
| 9 | Loss of revenue to UHD? |  |  |  |  |  |  |  |  |
| 10 | Legal obligations unmet by UHD? |  |  |  |  |  |  |  |  |
| 11 | Legal harm to UHD? |  |  |  |  |  |  |  |  |
| 12 | Impact on distance learning campuses? |  |  |  |  |  |  |  |  |
| 13 | Impact on UHD’s brand image? |  |  |  |  |  |  |  |  |
| 14 | Function without power? |  |  |  |  |  |  |  |  |
| 15 | Other harmful consequences? |  |  |  |  |  |  |  |  |
| **Peak Periods and Dependencies** |
| **Peak Periods?**(What times of the year have more demand?) |  |
| **Upstream Dependencies**(Other departments vital to this function you rely on) |  |
| **Downstream Dependencies**(Other departments that rely ***on*** this function) |  |
| **Resources Requirements** |
| **Key Roles Required to Perform this Function?**(Manager, financial asst., DBA, etc) |  |
| **Key Personnel for this Function**(Contact information is listed in attachment C) | Primary: |
| Secondary: |
| Alternate: |
| **Required Facilities** |  |
| **Vital Records and Private Information** |  |
| **Required IT Products and Applications**(PeopleSoft, Banner, etc) |  |
| **Required IT Services** |  |
| **Required Equipment** |  |
| **Other** |  |

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| **Essential Function** # **2** : | (Provide name or title for the function) |
| **Brief Description**:(What is this function responsible for? What does it accomplish?) |  |
| **Priority Rating + RTO**RTO = Recovery Time Objective(Maximum time this function can be down before significant problems occur | Rating | Description | RTO |
|  Critical | Directly impacts life, health, safety or security. Cannot stop | < 4 hours |
|  High | Must continue at normal or increased level. Pausing more than 24 hours may cause significant consequences or serious harm. | < 24 hours |
|  Medium | Must continue if at all possible, perhaps in a reduced mode. Stopping for more than one week may cause major disruption. | < 1 week |
|  Low | May be suspended for up to one month without causing significant disruption | < 1 month |
|  Deferrable | May pause and resume when conditions permit. | > 1 month |
| **Harmful Consequences** |
| Suppose the essential function does not resume quickly following a major disruption or disaster. Which of the listed harmful consequences might occur, and how long after the disruption or disaster might the harm begin to occur? Check (X) the box to indicate when harm might occur. Select N/A if the consequence does not apply to the essential function you are evaluating. |
| **Possible Harmful Consequence** | ***How long after the disruption or disaster might the harm occur?*** |
| N/A | 0-2days | 1week | 2weeks | 3weeks | 4weeks | >4weeks | Comments |
| 1 | Disruption of teaching? |  |  |  |  |  |  |  |  |
| 2 | Disruption of research? |  |  |  |  |  |  |  |  |
| 3 | Departure of students? |  |  |  |  |  |  |  |  |
| 4 | Departure of faculty? |  |  |  |  |  |  |  |  |
| 5 | Departure of staff? |  |  |  |  |  |  |  |  |
| 6 | Well-being of students? |  |  |  |  |  |  |  |  |
| 7 | Well-being of staff/faculty? |  |  |  |  |  |  |  |  |
| 8 | Payment deadlines unmet by UHD? |  |  |  |  |  |  |  |  |
| 9 | Loss of revenue to UHD? |  |  |  |  |  |  |  |  |
| 10 | Legal obligations unmet by UHD? |  |  |  |  |  |  |  |  |
| 11 | Legal harm to UHD? |  |  |  |  |  |  |  |  |
| 12 | Impact on distance learning campuses? |  |  |  |  |  |  |  |  |
| 13 | Impact on UHD’s brand image? |  |  |  |  |  |  |  |  |
| 14 | Function without power? |  |  |  |  |  |  |  |  |
| 15 | Other harmful consequences? |  |  |  |  |  |  |  |  |
| **Peak Periods and Dependencies** |
| **Peak Periods?**(What times of the year have more demand?) |  |
| **Upstream Dependencies**(Other departments vital to this function you rely on) |  |
| **Downstream Dependencies**(Other departments that rely ***on*** this function) |  |
| **Resources Requirements** |
| **Key Roles Required to Perform this Function?**(Manager, financial asst., DBA, etc) |  |
| **Key Personnel for this Function**(Contact information is listed in attachment C) | Primary: |
| Secondary: |
| Alternate: |
| **Required Facilities** |  |
| **Vital Records and Private Information** |  |
| **Required IT Products and Applications**(PeopleSoft, Banner, etc) |  |
| **Required IT Services** |  |
| **Required Equipment** |  |
| **Other** |  |

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| --- | --- |
| **Essential Function** # **3** : | (Provide name or title for the function) |
| **Brief Description**:(What is this function responsible for? What does it accomplish?) |  |
| **Priority Rating + RTO**RTO = Recovery Time Objective(Maximum time this function can be down before significant problems occur | Rating | Description | RTO |
|  Critical | Directly impacts life, health, safety or security. Cannot stop | < 4 hours |
|  High | Must continue at normal or increased level. Pausing more than 24 hours may cause significant consequences or serious harm. | < 24 hours |
|  Medium | Must continue if at all possible, perhaps in a reduced mode. Stopping for more than one week may cause major disruption. | < 1 week |
|  Low | May be suspended for up to one month without causing significant disruption | < 1 month |
|  Deferrable | May pause and resume when conditions permit. | > 1 month |
| **Harmful Consequences** |
| Suppose the essential function does not resume quickly following a major disruption or disaster. Which of the listed harmful consequences might occur, and how long after the disruption or disaster might the harm begin to occur? Check (X) the box to indicate when harm might occur. Select N/A if the consequence does not apply to the essential function you are evaluating. |
| **Possible Harmful Consequence** | ***How long after the disruption or disaster might the harm occur?*** |
| N/A | 0-2days | 1week | 2weeks | 3weeks | 4weeks | >4weeks | Comments |
| 1 | Disruption of teaching? |  |  |  |  |  |  |  |  |
| 2 | Disruption of research? |  |  |  |  |  |  |  |  |
| 3 | Departure of students? |  |  |  |  |  |  |  |  |
| 4 | Departure of faculty? |  |  |  |  |  |  |  |  |
| 5 | Departure of staff? |  |  |  |  |  |  |  |  |
| 6 | Well-being of students? |  |  |  |  |  |  |  |  |
| 7 | Well-being of staff/faculty? |  |  |  |  |  |  |  |  |
| 8 | Payment deadlines unmet by UHD? |  |  |  |  |  |  |  |  |
| 9 | Loss of revenue to UHD? |  |  |  |  |  |  |  |  |
| 10 | Legal obligations unmet by UHD? |  |  |  |  |  |  |  |  |
| 11 | Legal harm to UHD? |  |  |  |  |  |  |  |  |
| 12 | Impact on distance learning campuses? |  |  |  |  |  |  |  |  |
| 13 | Impact on UHD’s brand image? |  |  |  |  |  |  |  |  |
| 14 | Function without power? |  |  |  |  |  |  |  |  |
| 15 | Other harmful consequences? |  |  |  |  |  |  |  |  |
| **Peak Periods and Dependencies** |
| **Peak Periods?**(What times of the year have more demand?) |  |
| **Upstream Dependencies**(Other departments vital to this function you rely on) |  |
| **Downstream Dependencies**(Other departments that rely ***on*** this function) |  |
| **Resources Requirements** |
| **Key Roles Required to Perform this Function?**(Manager, financial asst., DBA, etc) |  |
| **Key Personnel for this Function**(Contact information is listed in attachment C) | Primary: |
| Secondary: |
| Alternate: |
| **Required Facilities** |  |
| **Vital Records and Private Information** |  |
| **Required IT Products and Applications**(PeopleSoft, Banner, etc) |  |
| **Required IT Services** |  |
| **Required Equipment** |  |
| **Other** |  |

**Internal Dependencies**

In this section, we will address internal “dependencies.” Within the University, there are “upstream” dependencies which are functions performed *by other departments* necessary for continuity of your department’s essential functions. There are also “downstream” dependencies which are functions of your department that *other departments rely on*.

**Access to Information and Systems**

If access to department information and systems is crucial to the department’s operations, briefly describe:

* How do you protect your data?
* Is your staff mandated to save important data on the department share drive and not locally on their computer or laptop?
* How often do you backup data and where is it stored?
* Is important data saved on flash drives, hard copies or mobile device storage?
* If employees are allowed to telecommute, how would you ensure access to information?
* How would you ensure compliance with telecommuting policies and procedures?
* Does your staff have access to the departmental share drive via the internet?
* How would you retrieve lost/destroyed data?
* Who would contact IT for support and how?
* How will faculty continue instruction via the internet?
* Can another UHS component university provide you access?

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| **Emergency Access to Information and Systems** |
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**Other Key Internal Dependencies**

All UHD departments depend on Facilities, IT, Public Safety, Purchasing and ESO. List products and services upon which your department depends and the *other* internal UHD departments or units that provide them.

|  |  |
| --- | --- |
| **Dependency**  (product or service) |  |
| **Provider**(Dept. or unit and contact) |  |
| **Dependency**  (product or service) |  |
| **Provider**(Dept. or unit and contact) |  |
| **Dependency**  (product or service) |  |
| **Provider**(Dept. or unit and contact) |  |
| **Dependency**  (product or service) |  |
| **Provider**(Dept. or unit and contact) |  |
| **Dependency**  (product or service) |  |
| **Provider**(Dept. or unit and contact) |  |

**Key External Dependencies**

List below products and services upon which your department depends, provided by external suppliers or providers. Please contact them to determine if they have a continuity of operations plans and whether the University has priority for their services.

Establish alternate sources for these services and supplies and determine whether or not they are listed as University vendors, if necessary.

|  |  |  |
| --- | --- | --- |
|  | **Primary** | **Alternate** |
| **Dependency** (product or service) |  |  |
| **Frequency of Service** |  |  |
| **Provider** |  |  |
|  **Primary Contacts**  |  |  |
|  **Phone Numbers** |  |  |
|  **Email** |  |  |
| **Dependency** (product or service) |  |  |
| **Frequency of Service** |  |  |
| **Provider** |  |  |
|  **Primary Contacts**  |  |  |
|  **Phone Numbers** |  |  |
|  **Email** |  |  |
| **Dependency** (product or service) |  |  |
| **Frequency of Service** |  |  |
| **Provider** |  |  |
|  **Primary Contacts**  |  |  |
|  **Phone Numbers** |  |  |
|  **Email** |  |  |
| **Dependency** (product or service) |  |  |
| **Frequency of Service** |  |  |
| **Provider** |  |  |
|  **Primary Contacts**  |  |  |
|  **Phone Numbers** |  |  |
|  **Email** |  |  |

**Relocation or Reallocation**

In some potential scenarios, your office, building or other physical resources may not be available to you. In the event that your department must relocate or share resources with another group, consider the following:

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|  |  | **Resource(s)** |
| 1 | **That physical resources are required to perform your essential functions?** (forms, office supplies, computer, etc) |  |
| 2 | **How much physical space would your unit need?** |  |
| 3 | **Does your unit have any special needs such as refrigeration, humidity control, etc?** |  |
| 4 | **Are there special security requirements for a replacement space?** |  |
| 5 | **If the office/building is accessible, but there is an extended loss of power, do you have plans for back-up power?** |  |
| 6 | **Do you have any high value or difficult to replace equipment?** |  |
| 7 | **Other** |  |

**Vulnerability/Risk Assessment and Mitigation Planning**

Consider the information provided regarding essential functions and dependencies. What are the vulnerabilities (weaknesses or gaps) that may prevent timely resumption of essential functions? What is the risk related to that vulnerability? And, how can you minimize the impact of long-term disruption on your operations?

Consider how long your department…

* Personnel can work from another location or from home?
* Can function with a limited number of available personnel?
* Can be without *central* power and generator backup?
* Can be without phone, email and/or internet?
* Can function with limited or no access to essential data and records?
* Can be without the use of the Enterprise System?
* Can operate without critical equipment that is either damaged or unavailable?
* Can operate without goods and/or services from other departments, business partners or vendors?

Is there anything not already specified?

List your vulnerabilities, indicate if they can be mitigated, and if so, a brief mitigation strategy.

|  |  |  |
| --- | --- | --- |
| Vulnerability/Risk | Can you mitigate? | Mitigation Strategy |
| Yes | No |
| ***Example:*** Lack of power for laptops, pads, and/or cell phones | X |  | Purchase portable chargers and remind staff to check status monthly |
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**Restoration**

Resuming normal operations once the emergency situation or extended disruption has passed will require continued communication and coordination. Recognize that restoration could take an extended period of time. Potential considerations include:

* Work backlog
* Integration of temporary data resources with permanent systems
* Resupply of resources – Maintain an inventory of high value equipment, information resources, and irreplaceable items including titles, model numbers, serial numbers, replacement value, etc. for Risk Management.
* Continued absenteeism
* Emotional/counseling needs

The University is committed to the full support of its students and employees; however, central service restoration may happen in stages depending on the extent of the disruption.

**Personnel**

Essential personnel are employees whose duties include functions that must continue or resume rapidly after a disruption of normal operations. While some functions and research are not considered essential and in need of 24 hour monitoring and/or care, they do require some sort of attention or action after a 48 to 72 hour period. Personnel not listed as essential, but require access to any portion of the campus will need pre-approval *for each incident* through their Dean or Director and then through the appropriate Vice President to gain access.

Employee name, title, status as essential personnel and contact information is listed in **Attachment C** for easy referencing and maintenance.

University Relations publishes information via text, email, UHD main web page, Facebook and Twitter, however, every department needs to ensure that they can communicate with their own employees. Employees are required to make every effort to stay informed during an emergency at UHD.

Please indicate (X) contact methods your department will use:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Phone (Call Tree) |  |  | Radio Communication |
|  | Email |  |  | Social Media |
|  | Text |  |  | Other |

**Training, Testing and Exercising the Plan**

After a plan is written, all employees in your department will need to be trained by your COOP Liaison and tested. Workshops, system tests, drills and tabletops are examples of exercises. You may conduct tests of your Call Tree, accessing the department share drive from another location, or any other element of your plan. The UHD Continuity Coordinator is available to assist you in designing and executing an exercise that meets your needs. The Department of Emergency Management and Fire Safety conducts system tests and drills throughout the year, and you are welcome to use one or more of these to “test” your plan. Documentation of all training, tests and exercises must be documented.

**Attachment A** will help you track the training, testing and exercising of your plan.

 **Plan Review, Maintenance and Updates**

All plans are required to be review annually, however, there may be changes necessary in the interim. Personnel titles, assignment/duties, contact information and status as essential personnel may change. Results from training, exercises, lessons learned or real-world events may compel editing or updating elements of the plan. If minor changes are made, it will not be necessary to submit a new copy to the UHD Continuity Coordinator. If significant changes are made that would influence how the University, your or other departments within the University would conduct continuity operations, the new version of your department COOP must be submitted to the UHD Continuity Coordinator within 30 days of the change.

**Attachment B** will help you track the reviews and changes to your department plan.

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|  **ATTACHMENT A: TRAINING, TEST AND EXERCISE LOG** |  |

NOTE: The information contained in this chart has been abbreviated. Documentation may be obtained by contacting the Department of Emergency Management.

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| --- | --- | --- | --- | --- |
| **Training, Test or Exercise** **Title** | **Date and****Time** | **TT&E Type****(Trng, Test Exercise)** | **Objective(s)**(Ex. Test remote access to share drive) | **Scenario**(Ex. Severe Weather) |
| EXAMPLE: Freezing Weather  | 01/19/20199:00AM | Test | To ensure staff can access share drive from home | Two day freeze has closed Houston |
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**ATTACHMENT B: PLAN REVIEW AND CHANGES**

**Record of Review**

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| Date of Review | Reviewed by: | Changes Made? Y/N | If yes, indicate Change # |
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**Record of Changes**

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| --- | --- | --- | --- |
| Date of Change | Change # | Summary of Change | ChangeEntered By |
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**ATTACHMENT C: PERSONNEL INFORMATION**

**Department Leadership and Chain of Command**

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| --- |
| PRIMARY |
| Name: | Title: | Campus Location: |
| PreferredEmail: | SecondaryEmail: | Work phone: |
| Cell phone:  |
| SECONDARY |
| Name: | Title: | Campus Location: |
| PreferredEmail: | SecondaryEmail: | Work phone:  |
| Cell phone:  |
| TERTIARY |
| Name: | Title: | Campus Location: |
| PreferredEmail: | SecondaryEmail: | Work phone:  |
| Cell phone:  |

**Personnel Information**

|  |  |  |
| --- | --- | --- |
| Name: | Title: | Campus Location: |
| PreferredEmail: | SecondaryEmail: | Work Phone:  |
| Cell Phone:  |
| Essential Personnel? (Y/N) | Preapproved to Telecommute? (Y/N) | Other: |

**ATTACHMENT C: PERSONNEL INFORMATION**

|  |  |  |
| --- | --- | --- |
| Name: | Title: | Campus Location: |
| PreferredEmail: | SecondaryEmail: | Work Phone:  |
| Cell Phone:  |
| Essential Personnel? (Y/N) | Preapproved to Telecommute? (Y/N) | Other: |
| Name: | Title: | Campus Location: |
| PreferredEmail: | SecondaryEmail: | Work Phone:  |
| Cell Phone:  |
| Essential Personnel? (Y/N) | Preapproved to Telecommute? (Y/N) | Other: |
| Name: | Title: | Campus Location: |
| PreferredEmail: | SecondaryEmail: | Work Phone:  |
| Cell Phone:  |
| Essential Personnel? (Y/N) | Preapproved to Telecommute? (Y/N) | Other: |
| Name: | Title: | Campus Location: |
| PreferredEmail: | SecondaryEmail: | Work Phone:  |
| Cell Phone:  |
| Essential Personnel? (Y/N) | Preapproved to Telecommute? (Y/N) | Other: |
| Name: | Title: | Campus Location: |
| PreferredEmail: | SecondaryEmail: | Work Phone:  |
| Cell Phone:  |
| Essential Personnel? (Y/N) | Preapproved to Telecommute? (Y/N) | Other: |
| Name: | Title: | Campus Location: |
| PreferredEmail: | SecondaryEmail: | Work Phone:  |
| Cell Phone:  |
| Essential Personnel? (Y/N) | Preapproved to Telecommute? (Y/N) | Other: |