

UNIVERSITY of HOUSTON  
MANUAL OF ADMINISTRATIVE POLICIES AND PROCEDURES

SECTION: Safety  
AREA: Emergency Preparedness

Number: 06.01.02

<b>SUBJECT: Continuity of Operations Planning</b>
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I. PURPOSE AND SCOPE

Continuity of operations planning ensures that critical operations and essential functions of the University of Houston continue to be performed during an emergency. Continuity of operations planning is an ongoing process which includes the following elements: identification of essential functions, delegations of authority, orders of succession, communication, vital records and data, continuity facilities, reconstitution, testing, training and exercise, risk assessment, recovery strategies, and a disaster recovery plan.

The campus-wide Continuity of Operations Plan is a requirement of the [State Office of Risk Management's policy on Continuity Planning for Texas State Agencies](#) as stated in [Texas State Agency Continuity Planning Policy Guidance Letter](#) dated October 24, 2013, Texas Essential Functions, and the [Texas Labor Code, Section 412.054](#).

The University of Houston will maintain a University of Houston campus-wide Continuity of Operations Plan per the above regulations and guidance. In addition, this policy outlines the requirements for colleges, divisions, departments and areas regarding continuity planning. The individual department Continuity of Operations Plans will contribute to the development of the College/Division Continuity of Operations Plan and the identification of risks that will impact the College or Division. The College/Division Continuity of Operations Plans will contribute to the development of the [University of Houston Continuity of Operations Plan program](#).

II. POLICY

The University of Houston will create and maintain a Continuity of Operations Plan. The [UH Office of Emergency Management](#) will serve as the Continuity of Operations Planning liaison with the State of Texas and will coordinate the review process for the plan annually.

Each college and division, as well as departments of the University of Houston will complete a Continuity of Operations Plan. All Continuity of Operations Plans will be submitted annually to the UH Office of Emergency Management.

Continuity of Operations Plans and records that are produced or maintained as part of their development or review, are confidential and are exempt from disclosure under [Texas Government Code, Section 552.156](#).

III. DEFINITIONS

- A. Continuity of Operations Planning – Effort within the agency to ensure that primary essential functions continue to be performed throughout, resume quickly and return to normal operations during a wide range of emergencies.
- B. Continuity of Operations Planning Coordinator – Individual that is trained in continuity planning and certified by a recognized organization such as the FEMA Emergency

Management Institute ([Continuity Practitioner Level I or Level II](#)), or Disaster Recovery Institute International (Certified Professional, such as ABCP, CFCP, CBCP or MBCP).

- C. Continuity of Operations Planning Program – A program of the university which establishes continuity plans, completes the necessary steps to identify the impact of potential losses, maintains viable recovery strategies and recovery plans, and ensures continuity services through personnel training, plan testing and maintenance for all divisions, colleges, essential departments, and/or areas.
- D. Continuity of Operations Planning Liaison – Individual selected by the college/division that will be responsible for coordinating Continuity of Operations planning for their college or division and also serve as a liaison to the UH Office of Emergency Management.
- E. Continuity Planning Leadership Group – A group of key university partners in essential departments of the University of Houston. Responsibilities include, but are not limited to, the following actions;
- assisting in the creation of the University of Houston Continuity of Operations Plan,
  - ensuring university compliance with state and federal regulations,
  - planning section creation and review,
  - appendix creation and reviewing, and
  - performing as the Emergency Relocation Group for the University of Houston.
- F. Essential Functions – Functions that must continue or rapidly resume after a disruption of normal activities.

#### IV. CONTINUITY PLANNING PROCEDURE

- A. The [UH Office of Emergency Management](#) is responsible for the oversight of the Continuity of Operations Planning Program for the University of Houston. The UH Office of Emergency Management responsibilities include the following:
1. Creating and maintaining the [University of Houston Continuity of Operations Plan](#).
  2. Maintaining a Continuity of Operations Coordinator for the University of Houston and performing the liaison role to the State Office of Risk Management regarding continuity of operations planning.
  3. Chairing, leading and directing the Continuity of Operations Planning Leadership Group for the University of Houston.
  4. Exercising the University of Houston Continuity of Operations Plan annually.
  5. Creating and maintaining the [Continuity of Operations plan template](#) for use by campus divisions, colleges, departments and areas.
  6. Maintaining the Continuity of Operations training program.

7. Maintaining an annual repository for all division, college and department Continuity of Operations Plans as a secondary location in the event of an emergency and the department is unable to access their copy.
  8. Following all required policy guidelines dictated by the State Office of Risk Management and elements of the [Texas Continuity Policy](#).
- B. The college and division responsibilities include:
1. Assigning an individual to be responsible for coordinating Continuity of Operations planning for the college or division. For the purpose of this policy, that individual will be listed as the college or division Continuity of Operations Planning Liaison.
  2. Ensuring that a College or Division level Continuity of Operations Plan has been completed by the Continuity of Operations Planning Liaison, as well as approved by the Dean or appropriate Vice President.
  3. Ensuring that the executed plan is submitted to the UH Office of Emergency Management on or before June 1<sup>st</sup> annually.
- C. The College/Division Continuity of Operations Planning Liaison responsibilities include the following:
1. Serving as the liaison for their respective college/division with the UH Office of Emergency Management regarding Continuity of Operations planning matters.
  2. Ensuring that all departments within their college/division complete a Continuity of Operations Plan using the [Continuity of Operations Plan template](#) on the UH Office of Emergency Management website.
  3. Ensuring that the department plans have been approved by appropriate department head.
  4. Ensuring that all department plans are submitted to the UH Office of Emergency Management on or before June 1<sup>st</sup> annually.
  5. Ensuring that the information gathered from the departmental Continuity of Operations plans has been reviewed and prioritized for use in the College/Division Continuity of Operations Plan if need be.
  6. Compiling the information gathered in the "Vulnerability/Risk Assessment and Mitigation Strategies" section of the department Continuity of Operations Plans to assist in identification of vulnerabilities/risks for the College/Division.
  7. Ensuring that a College/Division level Continuity of Operations Plan has been completed and approved by the Dean or appropriate Vice President.
  8. Ensuring that executed College/Division Continuity of Operations Plan is submitted to the UH Office of Emergency Management on or before June 1<sup>st</sup> annually.

- D. The Continuity of Operations Planning Leadership Group will:
  - 1. Review and amend the [University of Houston Continuity of Operations Plan](#) under the direction of the Continuity of Operations Planning Leadership Group Chair.
  - 2. Create, review and amend the appendices of the University of Houston Continuity of Operations Plan under the direction of the Continuity of Operations Planning Leadership Group Chair.
  - 3. Act as the subject matter expert for the area/group they represent within the Continuity of Operations Planning Leadership Group.

V. REVIEW AND RESPONSIBILITY

Responsible Party: Assistant Vice President for Campus Safety

Review: Every five years on or before September 1

VI. APPROVAL

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Jim McShan  
Senior Vice President for Administration and Finance

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Renu Khator  
President

Date of President's Approval: \_\_\_\_\_ February 22, 2019

VIII. REFERENCES

[Continuity of Operations Plans Web Site](#)

[Office of Emergency Management Web Site](#)

[State Office of Risk Management \(SORM\) Web Site](#)

[Texas Continuity Policy](#)

[Texas Labor Code, Section 412.054](#)

[Texas Government Code, Chapter 552.156, Exception: Confidentiality of Continuity of Operations Plans](#)

## REVISION LOG

Revision Number	Approved Date	Description of Changes
1	10/16/2007	Initial edition
2	12/01/2010	MAPP was rewritten to emphasize the current area for finding the Business Continuity template, <a href="http://www.piersystem.com">www.piersystem.com</a> . Added information about business impact analysis and security risk assessment, and included a requirement for Information Technology to implement and test a disaster recovery plan. Changed review period from every three years, on or before August 31 <sup>st</sup> to every three years on or before September 1 <sup>st</sup> . Changed responsible party from Vice President for Administration and Finance to Assistant Vice President for Public Safety and Security
3	03/23/2016	Contents have been rewritten to reflect the current business continuity planning process. MAPP has been renumbered to move into the Public Safety area, from 01.03.03 to 07.03.02
4	04/12/2017	Renumbered MAPP 07.03.02 to 06.01.02, based on reorganization to Campus Safety. Updated titles as applicable. No additional changes were made by the Subject Matter Experts (SMEs)
5	02/22/2019	Changed title of document from "Business Continuity Planning" to "Continuity of Operations Planning" to reflect current operating requirements. Changed all references to Business Continuity Planning to Continuity of Operations Planning (COOP) throughout document. Added Texas Labor Code, Section 413.054 to Section 1. Added information to Section II that the UH Office of Emergency Management will coordinate the review process annually, and materials required for development of COOP and its programs and subsequent documents are confidential and exempt from disclosure under Texas Government Code, Section 552.156. Removed business impact analysis from Section 1, Section III.D and Section IV.A.9. Changed review period from every three years to every five years on or before September 1. Added Texas Continuity Policy, Texas Labor Code, Section 412.054, and Texas Government Code, Chapter 552, Section 156 to Section VIII, References