SAM HOUSTON STATE UNIVERSITY

BUSINESS CONTINUITY PLAN
This Business Continuity Plan (BCP) was prepared by Sam Houston State University (SHSU) to develop, implement, and maintain a viable BCP capability. This BCP plan has been distributed internally within the SHSU and to external organizations that might be affected by its implementation.

Policy related to continuity of operations was established by Texas Administrative Code – Title 1, Part 10, Chapter 202, Subchapter C, Rule 202.74 – Business Continuity Planning and Rule 202.24 – Managing Security Risks; Texas Labor Code, Section 412.054; FEMA’s Continuity Guidance Circulars 1 & 2, and the Texas Continuity Plan Crosswalk requirements of the State Office or Risk Management (SORM).

It is the policy of Sam Houston State University to be prepared, appropriately respond to, and adequately recover from any emergency or threat which may disrupt University operations. These may include a hurricane, fire, flood, tornado, hazardous material event, communications failure, civil disturbance, or other catastrophic incident.

This plan provides the University with a well-coordinated and fully integrated approach to continuity activities. Elements of this plan will be updated as deemed necessary to ensure continued readiness of the University.

This plan is effective immediately and is to be executed in accordance with the University’s Critical Incident Management System (CIMS) plan.

Approved: ________________________________ Date: 10-30-14

President
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1.0 SECURITY AND PRIVACY STATEMENT

While providing a structure of procedures and guidelines, at no time is SHSU BCP’s intention to inhibit the use of experience and common sense by emergency operations personnel when determining the actions and resources needed to protect and serve the students, faculty, and staff of Sam Houston State University and the Texas State University System. The details described in this Plan may or may not apply to specific hazards and emergency situations. Emergency operations personnel must use their discretion in each situation to determine the best course of action. Procedures listed in this Plan serve as guidance and are not intended to replace the best judgment of those who are directly handling a specific emergency response.

This document is considered “For Official Use Only”. Portions of the Plan contain information that raises personal privacy or other concerns, and those portions may be exempt from mandatory disclosure under the Freedom of Information Act (see 5 United States Code §552, 41 Code of Federal Regulations Part 105-60). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with Sam Houston State University (SHSU) policies and is not to be released without prior approval by the Director of Environmental Health, Safety and Risk Management (EHS&RM) or designee to the public or other personnel who do not have a valid “need to know”.

Some of the information in this Plan, if made public, could endanger the lives and privacy of employees. In addition, the disclosure of information in this plan could compromise the security of essential equipment, services, and systems of SHSU or otherwise impair its ability to carry out essential functions. Distribution of the Continuity Plan in whole or part is limited to those personnel who need to know the information in order to successfully implement the plan.

SHSU will distribute copies of the Continuity Plan on a need-to-know basis. In addition, copies of the Plan will be distributed to other organizations as necessary to promote information sharing and facilitate a coordinated inter-organization continuity effort. Further distribution of the plan is not permitted without approval from the Director EHS&RM. SHSU will distribute updated versions of the Continuity Plan annually or as critical changes occur.
2.0 ACKNOWLEDGEMENTS

The following organizations were directly involved in the planning, analysis and development of this SHSU BCP Plan:

Tidal Basin Government Consulting
300 N. Washington St., Suite 505
Alexandria, VA 22314
(703) 683-8551

University of Maryland Center for Health and Homeland Security
500 W. Baltimore St.
Baltimore, MD 21201
(410) 706-7352
3.0 RECORD OF CHANGES

Changes made to the BCP between official promulgations should be documented in the Record of Changes table below. The Record of Changes will contain, at a minimum, a change number, the section and/or page number of the change, description of the change, the date of the change, and the initials of the person who made the change. Minor plan changes (such as grammatical or phone number changes) which do not affect the implementation of the plan do not need to be captured in the Record of Changes table. A new Record of Changes table should be used whenever the plan is re-promulgated by the agency head or designee.

Submit recommended changes to this document to the Director EHS&RM.

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4.0 EXECUTIVE SUMMARY

4.1 FULFILLMENT of MISSION

Sam Houston State University provides high quality education, scholarship, and service to qualified students for the benefit of regional, state, national, and international constituencies. To achieve this, SHSU will:

- Foster a lifelong learning environment in support of a diverse faculty and staff who are excellent scholars, educators, and professionals.
- Promote a stimulating learning environment through the integration of academic settings, campus culture and service.
- Increase and develop university resources and infrastructures that support the intellectual transformation of students.
- Enhance marketing outreach and visibility to include academic and scholarly activities through consistent and integrated messaging while optimizing communication channels.
- Promote efficient data driven decision making through the integration of centralized data analysis, review, and dissemination.
- Cultivate a continually sensitive and proactive response to the ever-changing needs of our constituents.

4.2 PERFORMANCE of CRITICAL FUNCTIONS

This Business Continuity Plan (BCP) provides for resuming and sustaining critical functions (Appendix B) as soon as possible during and after a localized, city-wide, or catastrophic emergency affecting SHSU. The BCP enables SHSU to resume critical functions as soon as possible after the emergency event and to sustain them for up to 30 days.

4.3 ACTIVATION

The SHSU President (or designee) has the authority to activate this BCP. As soon as emergency response personnel have minimized injury, loss of life, and property damage to SHSU, this BCP plan should be implemented.

4.4 NOTIFICATION and RELOCATION

If the President (or designee) decides to activate the BCP plan, due to reduced operational capacity, or if a SHSU primary facility becomes unavailable, a message of the BCP activation will be integrated with the Crisis Communication Response Plan, coordinated through the Crisis Communication Team, then disseminated via an all-staff email from the President's Office, Marketing & Communications Department, or Director of EHS&RM. Vice Presidents or Division Liaisons are responsible for ensuring that all SHSU personnel within their divisions are aware of the BCP activation. The activation message will also include instructions on potential relocation to an alternate facility.
4.5 **KEY PERSONNEL**

This BCP identifies Key personnel within every SHSU division who are responsible for carrying out critical functions. Non-essential personnel are expected to await further instructions from their supervisors. Non-essential personnel are herein defined as those not responsible for critical functions listed in Appendix B.

4.6 **ORDERS OF SUCCESSION**

Orders of Succession (Appendix C) for Executive Leadership pre-identify whom the successor(s) will be should a particular position become temporarily or permanently vacant.

4.7 **ALTERNATE FACILITY IDENTIFICATION PROCESS**

4.7.1 **Assumptions and Considerations:**

- Due to the number of facilities (50+) on the SHSU campus, and the subsequent virtually infinite number of facility-loss scenarios that could take place, it would be prudent to develop a centralized, standardized and streamlined alternate facility request process as opposed to attempting to pre-identify alternate space for every individual campus department (exception: alternate space for the Campus Emergency Operations Center and President’s staff should be pre-identified).

- All various buildings throughout the main SHSU campus will be utilized before considerations are made to relocate off campus.

- Alternate facility requests/assignments would take place *after* occupant emergency procedures have been initiated and there is no longer a threat to human safety.

- For the purposes of establishing a process, it’s important to strike a balance between minimizing any “red-tape” in getting space efficiently assigned, while at the same time ensuring that appropriate decision-makers and subject matter experts are consulted.

- Departments should only request alternate facility space to continue critical functions that cannot be performed remotely from staff’s homes. It’s imperative that departments understand this represents a scaled-down, temporary relocation, and that recreating their normal work environment may be unrealistic in the aftermath of an emergency event.

- There are different levels of scenario severity that could result in a department necessitating alternate facility space, for example:
  - Level 1: incapacitation of one part of one facility, (e.g. localized flooding, isolated power outage, etc.)
  - Level 2: incapacitation of one entire facility, (e.g. building fire)
  - Level 3: incapacitation of a combination of multiple facilities (e.g. thunderstorm hurricane/damage)
• Level 4: catastrophic campus event in which the campus cannot go on functioning (e.g., terrorism, massive tornado, hurricane), in which case the utilization of a Devolution Plan would be necessary. In this case, the Devolution Plan is continue operations at the Woodlands Center south of the main campus.

• A centralized database that accounts for the current occupancy level and seating capacity of every SHSU facility has been developed.

• A single individual should be identified by the SHSU President (or designee) as the ultimate decision-making authority (“Alternate Facility (AF) Manager”) depending on location for prioritizing and assigning alternate space. The authority must be centralized to ensure that departments aren’t acting independently from one another. The AF Manager must have at least two well-trained successors.

• SHSU should consider establishing a communications process by which an affected department could reach out to the AF Manager and communicate their needs via the preferred method of communication.

• SHSU should also consider establishing an SHSU alternate facility emergency committee (a cross-section of appropriate subject matter experts from relevant departments, e.g. Risk Management, Facilities, IT, Public Safety, etc.) that could be assembled quickly either in person or via conference call, assess the situation, and make decisions on the alternative placement of people/furniture/infrastructure.

• If the continuity incident requires the relocation of the essential personnel, staff may be distributed first to functioning SHSU main campus locations or to other SHSU-owned facilities. If required, the purchase of new lease space would be processed through the University Finance Office. Should relocation become necessary, relocation activities will become SHSU’s top priority. Only personnel essential to the maintenance and primary function of the affected business element or program will be given space in continuity operations sites.

• SHSU-controlled buildings that are operational during a continuity incident may have limited space, and some of SHSU’s critical functions have operational requirements that can only be met by a specialized environment. In these cases, SHSU pre-identified critical functions may share space with another University in the Texas State University System. SHSU should consider working with System staff in Austin, TX and at other System Universities to identify where critical functions could utilize workstations or space in other university facilities that are not affected by an incident.

• When/where appropriate, SHSU will direct appropriate personnel performing critical functions to use virtual office technologies in order to continue critical functions in a safe environment. SHSU has identified the components and key positions of its critical functions that can be operated by staff.
• SHSU has developed telework processes and policies, as well as the infrastructure needed to allow staff to work remotely. SHSU should consider improving the telework program procedures to ensure employee accountability and provide training that helps supervisors manage employees without face-to-face contact.

• Risk Management has been designated as the Point of Contact for a Pandemic Point of Distribution (POD) location and a policy is in place separate from the BCP. A Memorandum of Understanding (MOU) has also been agreed to.

4.8 RECONSTITUTION

Once SHSU is able to resume normal operations and primary facilities have been restored to operational capacity, each SHSU division will reconstitute. The President, or his/her designee, will decide, based on the circumstances, the order and schedule of each division’s return to normal operations. The SHSU Facilities Department will conduct assessments to assess the sufficiency of resources to commence reconstitution. If any facility cannot become operational, the affected divisions/departments should operate from their alternate facility until a viable permanent location is determined. The President will determine viable alternate facilities based on the Facilities Department’s assessment.

4.9 EXERCISES and MAINTENANCE

This BCP plan is a living document; thus, it is strongly recommended that staff perform training and exercises on the Plan and its contents to keep it current and effective. This plan identifies a timeline and entities that must perform this maintenance regularly.

The Executive Director of EHS&RM is responsible for coordinating the implementation of this BCP. Should you have questions regarding any aspect of this Plan, please contact:

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Associate Vice President for Student Services  
kjenkins@shsu.edu  
936-294-1759
5.0 INTRODUCTION

The purpose of this BCP is to provide the framework for SHSU to restore critical functions in the event of an emergency that affects operations. While this document addresses all potential hazards SHSU faces, the Plan also establishes SHSU’s BCP program procedures for addressing three types of extended disruptions:

- Loss of access (due to a fire, water main leak, etc.) to the various buildings and facilities on campus
- Loss of services due to a reduced workforce (as in pandemic influenza); and
- Loss of services due to equipment or systems failure (as in information technology (IT) systems failure).

This Plan details procedures for implementing actions to continue critical functions within the Recovery Time Objectives (RTOs) established by the SHSU’s BCP Team to maintain these critical functions for up to 30 days.

5.1 APPLICABILITY AND SCOPE

This document applies to SHSU personnel in all divisions and all locations where critical functions are conducted. It also applies to the array of events and hazards that could threaten the SHSU and its performance of critical functions.

The BCP is applicable to all SHSU divisions:

- Office of the President
- Division of Academic Affairs
- Division of University Advancement
- Division of Finance and Operations
- Division of Enrollment Management
- Division of Information Technology
- Division of Student Services

This BCP is to be distributed upon approval by the University President.

This BCP outlines the actions that will be taken to activate a viable BCP capability within 12 hours of an emergency event and to sustain that capability for up to 30 days. The BCP can be activated during duty and non-duty hours, both with and without warning.

The BCP plan covers all facilities, systems, vehicles, and buildings operated or maintained by the SHSU. The BCP plan supports the performance of critical functions from alternate locations (due to the primary facility becoming unusable for a period that exceeds established RTOs), and also provides for continuity of management and decision-making at SHSU in the event that senior leadership or technical personnel are unavailable.
5.2 AUTHORITIES

- Title 1, Part 10, Chapter 202, Subchapter C, Rule §202.74, Texas Administrative Code
- Federal Continuity Directive 1 & 2 (FCD 1 & 2)
- Continuity Guidance Circular 1 & 2 (CGC 1 & 2)
- Labor Code Section 412.054

5.3 REFERENCES

- Emergency Management Accreditation Program (EMAP) Standard
- National Fire Protection Association (NFPA) 1600
- National Incident Management System (NIMS)

5.4 ASSUMPTIONS

- A disaster can occur with little or no warning, causing significant loss of life and environmental and economic damage. In an emergency, it will be necessary to continue the critical functions of agencies in order to respond to day-to-day needs of citizens. However, continuity of operations may be challenging because of absenteeism within the response agencies and civil unrest due to community mitigation measures.

- Employees who have been assigned specific responsibilities within the BCP are willing and able to carry out these responsibilities.

- Staff will be provided adequate training on this BCP such that they will be able to perform their duties during a BCP event.

- As part of their commitment to this Plan, Vice Presidents and Division Liaisons will engage in systematic assessments of procedures, resources, and training to ensure its continued ability to carry out its responsibilities as outlined in this plan.

5.5 ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

5.5.1 Key Personnel

Specific staffing requirements will vary widely among SHSU divisions due to differences in their size, structure, mission, and critical functions. Each essential function has associated personnel that are necessary to ensure continuity of operations. Without these personnel, SHSU will not be able to perform its critical functions or meet the needs of citizens, contractors, and SHSU visitors. These personnel are necessary to carry out critical functions in support of SHSU’s mission.
5.5.2 Rapid Recall List & KatSafe
The internal call list or Rapid Recall List documents the contact information for employees who should be notified if the SHSU is threatened by or experiences an incident that requires BCP activation. The KatSafe call list within the Crisis Communication Plan will also be utilized.

5.5.3 BCP Implementation Responsibilities
The following lists identify major responsibilities and positions of key personnel and leadership required to implement SHSU’s BCP.

The President is responsible for:
- Supporting and providing executive leadership for all emergency planning efforts;
- Activating the BCP;
- Providing policy direction, guidance, and objectives during an incident for the implementation of the BCP; and
- Consulting with and advising appropriate officials during implementation of the BCP plan.

The BCP Coordinator (Director of EHS&RM) is responsible for:
- Developing, coordinating, and managing all activities required for SHSU to perform its critical functions during an event or other situation that would disrupt normal operations for an extended period;
- Remaining in constant communication with SHSU Leadership;
- Coordinating implementation of the BCP;
- Preparing site support plans to facilitate the smooth transition of direction and operations from the primary location(s) to the alternate location; and
- Coordinating appropriate lodging, food, and other arrangements with the alternate facility location, if appropriate, for leadership and staff that will not commute and need to remain overnight near the alternate location.

The BCP Team (President’s Cabinet) are responsible for:
- Identifying management and policy issues; and
- Creating a planning schedule and milestones for implementing BCP capabilities.

The Reconstitution Manager (AVP Facilities) is responsible for:
- Coordinating and overseeing the reconstitution process;
- Forming a reconstitution team; and
- Developing a time-phased plan, listing functions and projects in order of priority for resuming normal operations.

Members of the Reconstitution Team are responsible for:
- Supporting development of the reconstitution plan and the processes and procedures to resume operations at the primary operating facility, a temporary operating facility, or a new or rebuilt operating facility; and
- Coordinating with appropriate organizations to obtain office space for reconstitution if the building is uninhabitable.
SHSU’s staff is responsible for:
- Understanding their continuity roles and responsibilities within their respective divisions;
- Knowing and being committed, through trainings, to their duties in a continuity environment;
- Being willing to perform in continuity situations to ensure an organization can continue its critical functions; and
- Ensuring that family members are prepared for, and taken care of, in an emergency situation.

6.0 CONCEPT OF OPERATIONS

A Business Continuity Plan must be maintained at a high level of preparedness and is ready to be implemented without prior warning. As such, the SHSU BCP Team has developed a concept of operations, which describes the approach to implementing the BCP.

The Plan can be fully implemented within 12 hours of activation and be capable of sustaining operations for up to 30 days. The broad objective of this BCP is to provide for the safety and well-being of SHSU administration, faculty, staff, students, contractors, and visitors while enabling SHSU’s continued operations during any crisis or event. Specific BCP objectives include the following:
- Enable administration, faculty, and staff to perform critical functions;
- Identify essential personnel, back-up staff, and supporting staff needed for critical functions;
- Ensure the alternate facility location can support critical functions; and
- Protect and maintain vital records, systems, and equipment.

On the following page, Table 1 explains the four levels of emergencies that may impact SHSU. The table describes the potential impacts each level could have on SHSU, an example of an event at that level, and the decisions that should be considered. Table 2 describes the different notifications that should be made at each level of emergency.

| Table 1  
| Level of Emergency and Decision Matrix |
| --- | --- | --- | --- |
| Level of Emergency | Category | Impact on SHSU | Decisions | Potential Event |
| I | Alert |  | I | Major weather event forecast to impact area. |
### Level of Emergency

<table>
<thead>
<tr>
<th>Level of Emergency</th>
<th>Category</th>
<th>Impact on SHSU</th>
<th>Decisions</th>
<th>Potential Event</th>
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<tr>
<td>II</td>
<td>Stand-by</td>
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<td>Coastal storm approaching the area where SHSU facilities are located.</td>
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<tr>
<td>III</td>
<td>Partial Implementation</td>
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<td>Small fire localized to one wing or floor of a building.</td>
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<tr>
<td>IV</td>
<td>Full Implementation</td>
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<td>Gas line explosion has caused extensive structural damage to the facility.</td>
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### Table 2
Activation Notification Matrix

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8.0 MULTI-YEAR STRATEGY AND PROGRAM MANAGEMENT

SHSU leadership and the BCP Team are responsible for the implementation of the SHSU BCP program. While the BCP serves as the guide during activation and recovery, the BCP program provides the framework and structure to guide continuity of operations planning. Suggested roles and responsibilities of the BCP Team include:

- Maintaining documents that grant authority for the creation, modification, ongoing maintenance, and execution of the BCP;
- Identifying issues that will impact the frequency of changes required to the BCP;
- Establishing a review cycle;
- Establishing a testing and exercise cycle; and
- Guiding and prioritizing mitigation activities that the individual SHSU divisions need to undertake.

9.0 TRAINING AND EXERCISES

To maintain the SHSU’s BCP capability, an all-hazard BCP training, testing, and exercise program will be established. Major components of this program will include training all leadership and staff in their BCP responsibilities; conducting periodic exercises to test and improve BCP plans, procedures, systems, and equipment; and instituting a multi-year planning process to ensure continual plan updates in response to changing conditions. Suggested continuity and emergency management training includes but is not limited to:

9.1 TRAINING

- Introduction to BCP planning (new personnel and contractors);
  - IS-545: Reconstitution Planning Course
  - IS-546.A: Continuity of Operations Awareness Course
  - IS-547.A: Introduction to Continuity of Operations
- BCP Activation and Relocation (key personnel);
- Cross-training for critical functions (supportive personnel);
- National Incident Management System (responders and leadership);
  - IS-700.a: National Incident Management System (NIMS) An Introduction
- Incident Command System (responders and leadership);
  - IS-100.b: Introduction to Incident Command System, ICS-100
9.2 EXERCISES

9.2.1 Exercise Evaluation

Exercises should promote preparedness, improve the response capability of individuals of SHSU, validate plans, policies, procedures and systems, and verify the effectiveness of command, control and communication functions. Exercises may vary in size and complexity to achieve different operational objectives. The types of exercises are described below:

- **Tabletop Exercises** simulate an activation of the Continuity Plan in an informal, stress-free environment. They are designed to promote constructive discussion as participants examine and resolve problems based on existing plans. There is no equipment utilization, resource deployment, or time pressure. The exercise success depends on the group identifying problem areas, and offering constructive resolution alternatives. This format exposes personnel to new or unfamiliar concepts, plans, policies, and procedures.

- **Functional Exercises** are interactive exercises performed in real time that test the capability of the agency to respond to simulated continuity activation. One or more functions are tested and the focus is usually placed on procedures, roles and responsibilities before, during or after an event.

- **Full-Scale Exercises** simulate continuity activation through field exercises designed to evaluate the execution of the plan in a highly stressful environment. This realism is accomplished through mobilization of agency personnel, equipment and resources.

SHSU may choose to coordinate their annual BCP exercise to coincide with (but not be replaced by) an Emergency Operations Plan exercise or other emergency response exercises they are required to perform.

Exercises are conducted to validate elements of the BCP, both individually and collectively. SHSU is committed to ensuring that realistic exercises are conducted, during which individuals and business units perform the tasks that are expected of them in a real event. Exercises should be conducted on at least an annual basis and/or according SORM.

Each exercise activity, as well as actual events will be evaluated and an After Action Report (AAR) and Improvement Plan (IP) should be completed. The evaluation will identify strengths and any systemic weaknesses and suggest areas for improvement that will enhance SHSU’s preparedness. The results will be incorporated into a formal AAR/IP. This information will be collected and prepared by the BCP Coordinator, and reviewed and approved by the SHSU executive leadership. Once approved, the BCP Coordinator will incorporate applicable lessons learned into the BCP.
10.0 BCP PLAN MAINTENANCE

The Executive Director of Environmental Health, Safety and Risk Management is the lead in ensuring that the BCP is updated and maintained in accordance with established schedules.

Whenever the Plan is updated, it should be reissued with the update recorded on the BCP Record of Changes.

The following lists identify major responsibilities of essential personnel and leadership required for development and maintenance of SHSU’s BCP program.

The President is responsible for:
- Leading and ensuring overall support and execution of the BCP planning program;

The Executive Director of EHS&RM /BCP Coordinator is responsible for:
- Ensuring that the Plan is maintained and revised, according to the schedule developed by the BCP Team;
- Coordinating the BCP training, testing, and exercise program; and

The individual Division Liaisons (or designee) are responsible for:
- Creating a planning schedule and milestones for developing BCP capabilities and obtaining Plan approval;

The SHSU’s personnel and contractors are responsible for:
- Reviewing and understanding responsibilities related to BCP support functions and performance of critical functions at an alternate location;

The following is a sample list of standard activities needed to maintain the BCP and the frequency of their occurrence.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Tasks</th>
<th>Division/Personnel Responsible</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintain current list of critical functions</td>
<td>Confirm recovery time objectives</td>
<td>Exec. Director of Environmental Health, Safety and Risk Management / Division Directors</td>
<td>Quarterly</td>
</tr>
<tr>
<td></td>
<td>Confirm key personnel and telecommuting capability</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Confirm resource requirements</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 3
BCP Maintenance
<table>
<thead>
<tr>
<th>Activity</th>
<th>Tasks</th>
<th>Division/Personnel Responsible</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintain orders of succession and delegations of authority</td>
<td>Identify current incumbents. Update rosters and contact information.</td>
<td>Exec. Director of Environmental Health, Safety and Risk Management / Division Directors</td>
<td>Semiannually</td>
</tr>
<tr>
<td>Maintain alternate facility readiness</td>
<td>Check all systems. Verify accessibility. Cycle supplies and equipment, as necessary. Maintain point of contact information.</td>
<td>Exec. Director of Environmental Health, Safety and Risk Management</td>
<td>Semiannually</td>
</tr>
<tr>
<td>Coordinate training, exercise and evaluation</td>
<td>Encourage personnel to undergo FEMA BCP training; and training in SHSU BCP procedures and protocols Plan and execute exercises ranging from Tabletop to Full-Scale Conduct hot wash, after-action reporting, and improvement planning</td>
<td>Exec. Director of Environmental Health, Safety and Risk Management</td>
<td>Semiannually</td>
</tr>
</tbody>
</table>
12.0 BUSINESS IMPACT ANALYSIS

A crucial step in Business Continuity Planning is determining mission critical functions, essential supporting activities and the interdependencies between those processes that must continue to exist for SHSU to function. Critical functions or essential supporting activities generally fall into one of three general categories:

12.0.1 Safety and Security - Activities needed to sustain a safe and secure environment for students, faculty, staff, patients, the visiting public, and surrounding community. Examples include EHS&RM, University Police, local fire protection, and hazardous material mitigation. While the Emergency Response Plan addresses restoring safety and security, the BCP may be concerned with sustaining those functions for an extended period.

12.0.2 Business Support Services - Activities that allow SHSU to maintain necessary business operations, safeguard assets, and ensure the financial viability of SHSU. Examples include payroll, revenue collection, accounts payable and financial reporting.

12.0.3 Learning, Education, and Research - Activities that carry out or directly support the academic mission of the University. For example, student support services (admissions, registration, etc.), lecture and study, research, post graduate programs, graduation.

A Business Impact Analysis (BIA) is a method of identifying the effects of failing to perform a function or requirement. A comprehensive BIA is formulated for all identified departments, divisions, and centers within BCP. This includes Administration, Academia, Financial and Support Services, Residential Services, Research, and other supporting entities. Table 5 portrays this analysis by examining potential hazards that SHSU faces, their levels of impacts, and descriptions of business interruptions. Table 6 describes suggested areas of improvement and costs of making those improvements versus potential costs of disregarding the recommendations.
12.1 DISASTER RECOVERY

The core services provided by the Information Technology (IT) Division (e.g., voice and data network, instructional software, administrative systems, and data center facilities) are considered basic to the recovery of most if not all the above business processes. As such, the IT division maintains a separate Disaster Recovery Plan that addresses the recovery and the continuity of those services in the event of a disaster. This Disaster Recovery Plan:

A) Contains measures which addresses the impact and magnitude of loss or harm that will result from an interruption
B) Identifies recovery resources and a source for each
C) Contains step-by-step implementation instructions
D) Includes provisions for annual testing

The SHSU Information Technology Division ensures that mission critical information is backed up on a scheduled basis and stored in a secure, environmentally safe, locked facility accessible only to authorized representatives.
12.2 RISK ASSESSMENT

Another important step of Business Continuity Planning is to determine the potential hazards or threats that could affect SHSU, assess the likelihood of their occurrence, and analyze the vulnerabilities to SHSU. This analysis then forms the basis for preparing the BCP. More time and resources are spent planning for and, where possible, preventing disasters that are judged to have both a high likelihood of occurrence and a high level of severity.

This risk analysis addresses the likelihood of occurrence and severity of threats as viewed from a campus wide perspective. Operating units can use this assessment as a guide in developing their specific risk assessments, but must realize that both likelihood of occurrence and event consequence may differ when viewed from a unit level. For example, the occurrence of a major fire that affects the entire SHSU campus is judged to be unlikely, but the occurrence of a fire affecting a specific warehouse that lacks robust fire prevention measures may be judged likely. Table 5 denotes the hazards and threats identified along with their likelihood of occurrence and estimated impacts to SHSU.

This risk assessment also addresses identified gaps in SHSU’s preparedness. Table 6 portrays these gaps, recommendations for improvement, and the estimated costs of making the improvements along with the estimated costs of doing nothing to alleviate these gaps.

12.3 HAZARD IDENTIFICATION

SHSU recognizes that the planning process must address each hazard that threatens the University and SHSU is vulnerable to a wide range of threats. SHSU, with its varying topography, mixed use of space, rapidly growing student population, and transient and recreational population is subject to a wide variety of negative impacts from natural and technological hazards. Those hazards include the following:

Natural Hazards:
- Geological such as earthquake
- Meteorological such as floods, drought, fire, and extreme weather/storm (snow, ice, hail, windstorm, tornado); and
- Biological such as emerging diseases that impact humans or animals

Technological/Man-made Hazards:
- Energy/power/utility failure;
- Communications systems interruptions
- Hazardous materials;
- Air/water pollution, contamination
- Explosion/fire;
- Major vehicle accident;
- Train accident;
- Civil disturbance;
- Sabotage; and Terrorism
A hazard matrix that depicts the likelihood of occurrence and severity level of each of these hazards is listed below (Table 5). The “Likelihood of Occurrence” is based upon historic occurrences of the identified hazard in the local area. The “Estimated Impact on Public Health and Safety” and “Estimated Impact on Property” of the hazard are based upon the interruption of business, by the potential number of impacted persons, the potential number of buildings involved and extent of damage, and the number/nature of potential casualties.

The matrix below summarizes risk for various scenarios:

- **Likelihood of Occurrence**: 1 = Highly Likely, 2 = Likely, 3 = Occasional, or 4 = Unlikely
- **Estimated Impact on Public Health & Safety**: 1 = Major, 2 = Moderate, 3 = Limited
- **Estimated Impact on Property**: 1 = Major, 2 = Moderate, 3 = Limited

<table>
<thead>
<tr>
<th>Hazard Type Risk Score</th>
<th>Likelihood of Occurrence</th>
<th>Estimated Impact on Public Health &amp; Safety</th>
<th>Estimated Impact on Property</th>
<th>Description of Estimated Impacts on Business Processes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Drought</td>
<td>1</td>
<td>3</td>
<td>3</td>
<td></td>
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<tr>
<td>Earthquake</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Flash Flooding</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Flooding (river or tidal)</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Hurricane</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>

Table 5: Hazard Identification

*SHSU BCP - PUBLIC VERSION*
<table>
<thead>
<tr>
<th>Hazard Type</th>
<th>Risk Score</th>
<th>Likelihood of Occurrence</th>
<th>Estimated Impact on Public Health &amp; Safety</th>
<th>Estimated Impact on Property</th>
<th>Description of Estimated Impacts on Business Processes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subsidence</td>
<td></td>
<td>4</td>
<td>3</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Tornado</td>
<td></td>
<td>3</td>
<td>1</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Wildfire</td>
<td></td>
<td>2</td>
<td>3</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Winter Storm</td>
<td></td>
<td>2</td>
<td>1</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Cyber Attack</td>
<td></td>
<td>2</td>
<td>2</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Energy/Fuel Shortage</td>
<td></td>
<td>3</td>
<td>3</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Hazmat (fixed site)</td>
<td></td>
<td>3</td>
<td>1</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Hazmat (transport)</td>
<td></td>
<td>4</td>
<td>1</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Major Structural Fire</td>
<td></td>
<td>2</td>
<td>1</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Water System Failure</td>
<td></td>
<td>4</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Hazard Type Risk Score</td>
<td>Likelihood of Occurrence</td>
<td>Estimated Impact on Public Health &amp; Safety</td>
<td>Estimated Impact on Property</td>
<td>Description of Estimated Impacts on Business Processes</td>
<td></td>
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<td>--------------------------</td>
<td>------------------------------------------</td>
<td>------------------------------</td>
<td>-----------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Civil Disorder</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enemy Military Attack</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Active Shooter</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bomb Threat</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Terrorism</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pandemic</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Epidemic</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td></td>
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</tr>
</tbody>
</table>

### Security

### Health
13.0 ACRONYMS AND DEFINITIONS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>AAR</td>
<td>After Action Report</td>
</tr>
<tr>
<td>ACD</td>
<td>Automatic Call Distribution</td>
</tr>
<tr>
<td>BIA</td>
<td>Business Impact Analysis</td>
</tr>
<tr>
<td>BCP</td>
<td>Business Continuity Plan</td>
</tr>
<tr>
<td>CGC</td>
<td>Continuity Guidance Circular</td>
</tr>
<tr>
<td>CJIS</td>
<td>Criminal Justice Information System</td>
</tr>
<tr>
<td>COG</td>
<td>Continuity of Government</td>
</tr>
<tr>
<td>DHS</td>
<td>Department of Homeland Security</td>
</tr>
<tr>
<td>DRT</td>
<td>Disaster Recovery Team</td>
</tr>
<tr>
<td>EAS</td>
<td>Emergency Alert System</td>
</tr>
<tr>
<td>ECO</td>
<td>Emergency Coordination Officer</td>
</tr>
<tr>
<td>EMAC</td>
<td>Emergency Management Assistance Compact</td>
</tr>
<tr>
<td>EMAP</td>
<td>Emergency Management Accreditation Program</td>
</tr>
<tr>
<td>FCD</td>
<td>Federal Continuity Directive</td>
</tr>
<tr>
<td>FEMA</td>
<td>Federal Emergency Management Agency</td>
</tr>
<tr>
<td>FERC</td>
<td>Federal Energy Regulatory Commission</td>
</tr>
<tr>
<td>FMIS</td>
<td>Financial Management Information Systems</td>
</tr>
<tr>
<td>FOIA</td>
<td>Freedom of Information Act</td>
</tr>
<tr>
<td>GATS</td>
<td>Generation Attribute Tracking System</td>
</tr>
<tr>
<td>GIS</td>
<td>Geographic Information System</td>
</tr>
<tr>
<td>HSEEP</td>
<td>Homeland Security Exercise and Evaluation Program</td>
</tr>
<tr>
<td>ICS</td>
<td>Incident Command System</td>
</tr>
<tr>
<td>ITDR</td>
<td>Information Technology Disaster Recovery</td>
</tr>
<tr>
<td>MOU</td>
<td>Memorandum of Understanding</td>
</tr>
<tr>
<td>MVA</td>
<td>Motor Vehicle Association</td>
</tr>
<tr>
<td>NFPA</td>
<td>National Fire Protection Agency</td>
</tr>
<tr>
<td>NIMS</td>
<td>National Incident Management System</td>
</tr>
<tr>
<td>NWS</td>
<td>National Weather Service</td>
</tr>
<tr>
<td>POC</td>
<td>Point of Contact</td>
</tr>
<tr>
<td>SHSU</td>
<td>Sam Houston State University</td>
</tr>
<tr>
<td>SMA</td>
<td>Statewide Mutual Aid</td>
</tr>
<tr>
<td>USPS</td>
<td>U.S. Postal Service</td>
</tr>
</tbody>
</table>
Activation – When all or a portion of the BCP plan has been put into motion.

Alternate Facility – A location, other than the normal facility, used to process data and/or conduct critical functions in the event of a disaster. Similar Terms: Alternate Operating Facility, Alternate Processing Facility, Alternate Office Facility, and Alternate Communication Facility.

Business Impact Analysis (BIA) – A method of identifying the effects of failing to perform a function or requirement.

Business Continuity Plan (BCP) – A set of documented procedures developed to provide for the continuance of critical functions during an emergency.

Business Continuity Planning – The effort to assure that the capability exists to continue critical functions across a wide range of potential emergencies.

Business Continuity Plan (BCP) Coordinator – Serves as the SHSU’s manager for all BCP activities. The Coordinator has overall responsibility for developing, coordinating, and managing all activities required for the SHSU to perform its critical functions during an emergency or other situation that would disrupt normal operations. The first step in the BCP planning process is selecting a BCP Coordinator.

Cold Site – An alternate site that is reserved for emergency use, but which requires the installation of equipment before it can support operations. Equipment and resources must be installed in such a facility to duplicate the critical functions of an organization. Cold sites have many variations depending on their communication facilities, uninterruptable power supply systems, or mobility.

Continuity of Government (COG) – Preservation of the institution of government. Maintaining leadership through succession of leadership, delegation of authority, and active command and control.

Critical functions – Activities, processes, or functions that could not be interrupted or unavailable for several days without significantly jeopardizing the operation of an organization. Critical functions enable an organization to provide vital services, exercise civil authority, maintain safety of the general public, and sustain the industrial/economic base during a disruption of normal activities.

Delegations of Authority – Pre-delegated authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations as appropriate. Generally, these will be identified by position, and will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

Devolution – The capability to transfer statutory authority and responsibility for critical functions from an SHSU’s primary staff and facilities to alternate staff and facilities and to sustain that operational capability for an extended period.

Emergency Preparedness – The discipline which ensures an organization’s or community’s readiness to respond to an emergency in a coordinated, timely, and effective manner.

Emergency Management Assistance Compact (EMAC) – Congressionally ratified compact that provides form and structure to interstate mutual aid. During a disaster, it allows a state to request and receive assistance from other member states.

Facility – A location where an organization’s leadership and staff operate, containing the equipment, supplies, and voice and data communication lines to conduct operations required to maintain business under normal conditions.

Homeland Security Exercise and Evaluation Program (HSEEP) – A capabilities and performance-based program that provides terminology, doctrine, and policy for designing, planning, conducting, and evaluating homeland security exercises.
**Hot Site** – An alternate facility that has the equipment and resources to recover the critical functions or information systems affected by the occurrence of a disaster. Hot sites may vary in the type of facilities offered (such as data processing, communication, or any other essential business functions needing duplication). Location and size of the hot site will be related to the equipment and resources needed.

**Implementation Procedure Checklist** – A list of the immediate actions to take once the BCP plan is implemented.

**Incident Command System (ICS)** – A management system used to organize emergency response. ICS offers a scalable response to an incident of any magnitude, and provides a common framework within which people can work together. These resources may be drawn from multiple agencies that do not routinely work together. The system is designed to grow and shrink along with the incident, allowing more resources to be added into the system when needed and released when no longer needed. The key aspect of ICS helps to reduce or eliminate the "who's in charge" problem.

**Key Personnel** – Personnel designated by their division as critical to the resumption of critical functions and services.

**National Incident Management System (NIMS)** – A consistent nationwide template to enable federal, state, local, and tribal governments, private-sector, and nongovernmental organizations to work together effectively and efficiently to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity, including acts of catastrophic terrorism.

**Orders of Succession** – A list that specifies by position who will automatically fill a position during an emergency in the event that any of those officials are unavailable to execute their legal duties.

**Reconstitution** – The process by which SHSU personnel resume normal business operations after the emergency or disruption ceases and is unlikely to resume, from the original or replacement primary operating facility.

**Record Retention** – Storage of historical documentation for a set period of time usually mandated by state or federal law or by the Internal Revenue Service.

**Recovery** – Implementation of prioritized actions required to return an organization’s processes and support functions to operational stability following an interruption or disaster.

**Recovery Time Objective (RTO)** – The period of time in which systems, applications, or functions must be recovered after an outage.

**Response** – Those activities and programs designed to address the immediate and short-term effects of the onset of an emergency or disaster.

**Risk** – Likelihood of an ongoing or impending concern that has a significant probability of adversely affecting business continuity.

**Risk Assessment** – An evaluation of the probability, frequency and magnitude that certain risks will occur and the assessment of vulnerabilities to those risks.

**Risk Analysis** – An evaluation of various risks and the controls to reduce organizational exposure to such risks.

**Risk Management** – The process of identifying, controlling, and minimizing the impact of events and their consequences, which also ensures that an organization does not assume an unacceptable level of risk.

**Risk Mitigation** – The application of measures to reduce the impact of a risk.
Test Plan – The recovery plans and procedures that are used in a systems test to ensure viability. A test plan is designed to exercise specific action tasks and procedures that would be encountered in a real disaster.

Vital Records, Systems, and Equipment – Records, files, documents, or databases that are needed to support critical functions during a continuity situation, which, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or re-creation at considerable expense. For legal, regulatory, or operational reasons these records cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct business.

Vulnerability – The susceptibility of a SHSU Division to a threat or hazard. The degree of vulnerability to a hazard depends upon its risk and consequences.

Warm Site – An alternate processing site which is only partially equipped with hardware, communications interfaces, and electrical and environmental conditioning. The site is capable of providing backup after additional provisioning, software, or customization is performed.