Unit Continuity of Operations Plan (COOP) Development Guide

Presented by the Department of Environmental Health, Safety & Risk Management

Steve Shields

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Sam Houston State University
MEMBER OF THE TEXAS STATE UNIVERSITY SYSTEM
These guidelines are intended to assist Units in developing Unit-Specific Continuity Plans which support SHSU’s primary Business Continuity Plan and its core goal to enable the continuation of essential services in the event of an emergency or unplanned disruption of services. Click HERE and print the Development Guide to follow as you review each of the following slides.
Unit COOP Development Guide

Unit Plans shall consist of the following at minimum:

- A Complete List of Critical/Essential Functions
- An Analysis of How a Disruption Could Impact Delivery of Critical/Essential Functions
- A Description of How You Would Continue Critical/Essential Functions in an Emergency
- Resources (physical-human) that would be Needed to Deliver Essential Services in an Emergency
- Actions the Unit Will Take to Prepare for an Emergency to Mitigate the Impact of a Disruption
Important definitions to remember include the following.

- **Critical/Essential Functions** - Activities, processes, or functions that could not be interrupted or unavailable for several days without significantly jeopardizing the operation of an organization.

- **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.

- **Recovery Point Objective** - The maximum tolerable period in which data might be lost from an IT system, application, or function.
Definitions

• **Recovery Time Objective** - The period of time in which systems, applications, or functions must be recovered after an outage.

• **Downstream Dependency** – A downstream dependency is one where you must perform a duty/task before something else can happen.

• **Upstream Dependency** - An upstream dependency is one where something else must happen before you can perform your assigned duty/task.
Section 1. General Information/Department Demographics

Unit Plans should contain the following information.

a. Department name and brief department description
b. Department Chair/head if applicable
c. Department’s Cabinet level Administrator
d. Unit building name and address
e. List of all personnel in your Unit
Section 2. Develop a Complete List of Critical/Essential Functions

Consider the following when determining if a function is Critical or Essential. Prioritize the list when completed.

a. What is the business/mission objective the function supports?
b. What is the frequency of the function?
c. Can this function be performed by another Unit to meet the mission objective?
d. Does successful completion of the function depend upon any other function?
e. Is there a significant loss of revenue/service, if the function is not performed?
f. If the functions is not performed, is there a risk of violating safety standards, laws, regulatory agencies, or litigation?
g. Would public image be negatively impacted, if the function is not performed?
h. What other considerations could negatively impact SHSU’s mission, if the function is not performed?
Section 3. Critical/Essential Functions

Once you have identified and prioritized all Critical/Essential Functions, begin Analyzing how a disruption could Impact the delivery of each of the listed functions through the following steps.

a. List 1 function and start the analysis
b. Describe that function
c. Identify who performs the function (may want to use titles)
d. Identify who is responsible for the function (may want to use titles), if not person who performs function
e. Note if the function has specific high-demand periods
f. Identify all that depend on the performance of the function (*upstream and downstream*)
g. Identify the consequences if function is not completed within a specific timeframe (*Business Impact Analysis*)
h. List the *Recovery Time Objective* and *Recovery Point Objective*
i. Determine how you will operate if one or more of the normal operating conditions are no longer available...i.e., no computer, reduced personnel, lack of space, University closure, etc.
j. List additional risk exposures to the University or benefactor of the function
k. Describe how you would continue Critical/Essential Functions in an Emergency
l. Identify and list the Stakeholders that may need to be contacted
Section 3A. Business Impact Analysis/Example and Exercise

The table on the next slide provides Business Impact Analysis (BIA) examples for 2 natural disaster events, Drought and Flash Flooding. The following steps will familiarize you with how this process can help you perform a BIA for each critical/essential function in your area.

a. Start by identifying a critical/essential function
b. Select a Hazard Type (Natural, Technological, Security, Health)
c. Determine the Likelihood of Occurrence, Public Health & Safety Impact, and Impact on Property by using the scale provided
d. Repeat the process for each critical/essential function

Use the below scale to assist in determining severity of impact or likelihood of an event happening:

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
## 3A. Business Impact Analysis/Example and Exercise

**SCALE:**

- **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</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/Consequences on Business Processes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Drought</td>
<td>1</td>
<td>3</td>
<td>3</td>
<td></td>
<td>Lack of an adequate water supply could adversely affect the sanitary functions across campus. Threat to health of animals, leading to disruptions in research, potentially creating compliance and funding issues</td>
</tr>
<tr>
<td>Flash Flooding</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td></td>
<td>Health and safety to humans and livestock, damage to equipment, automobiles, property (buildings and agriculture), keep students and faculty from instruction, wash out roads, and people stranded in buildings. Localized loss of power. Potential evacuation. Loss of buildings, equipment, and records.</td>
</tr>
</tbody>
</table>
Section 4. Resources Needed to Support a Critical/Essential Functions (IT/Physical)

To further support your efforts to maintain continuity, use the following steps to identify the IT and other Physical Resources to support a function.

a. List 1 function and begin
b. Identify the Information Technology needed to support the function...i.e., computer (lap or desk top), software, internet, Wi-Fi, telephone, printer, etc
c. Identify the Physical Resources needed to support the function...i.e., office supplies, chain saw, desk, hand sanitizer, actual physical space, etc
d. Devise a plan to secure these resources should they not be available as normal or devise a plan that allows completing of the function, without any of the IT or physical resources normally used
e. Develop a list of important documents and determine if those documents are best kept in hard or electronic copy versions for access in an emergency. Ensure their location is known and accessible
f. Ensure all IT and Physical Resources are understood and how to operate them is known, if they were no longer available immediately after a disruption of operation
Section 5. Resources Needed to Support a Critical/Essential Functions (Human)

Use the following steps to further support your efforts to maintain continuity and identifying personnel.

a. List 1 function and begin
b. Identify the employee who customarily (primary) completes the function (list by title and name)
c. Identify at least two (2) other employees by title and name that are capable of completing the function should the primary employee be unable to perform the function (Orders of Succession)
d. Identify the 3 employees by name and title who will ensure continuity plans are carried out in an emergency
e. Identify 3 employees who will be responsible for preparing employees for an emergency response through training using information from the COOP Development Guide
f. Develop a Emergency Call and Contact List for all Unit employees
g. Identify at least 3 employees who will and can maintain the Unit website
h. List functions that can be completed from a remote location, to include one’s home
i. Understand the minimal staff needed to complete a function and/or maintain continuity across the Unit
Section 6. Develop Actions the Unit will take to Prepare for an Emergency

At this point, you have identified and prioritized your Unit’s critical functions and understand how a disruption could impact the delivery of each critical function through analysis. Using this information, please develop Actions that the Unit will take to prepare for and respond to an emergency.
This concludes SHSU’s Unit COOP Development Training. The intent is to assist Units in developing Unit-Specific Continuity Plans which support SHSU’s primary Business Continuity Plan and its core goal to enable the continuation of essential services in the event of an emergency or unplanned disruption of services. If you are the individual responsible for developing your Unit COOP, complete the COOP Development guide and return to ses058@shsu.edu.

If you have any questions, wish additional training, or have recommendations for plan or training improvement, please contact:

Steve Shields
Executive Director of EHS & RM
ses058@shsu.edu/936.294.2342

Thank you!
For more information please contact the
Department of Environmental Health, Safety & Risk Management

Steve Shields  
Executive Director EHS & RM  
936.294.2342  
es058@shsu.edu

Joe Agins  
Compliance Officer  
936.294.2671  
jxa101@shsu.edu

Keli Wright  
Risk Management Coordinator  
936.294.2332  
ksw023@shsu.edu

Douglas Odom  
Fire & Occupational Health & Safety Coordinator  
936.294.1921  
dwo001@shsu.edu

Paul Battles  
Chemical & Laboratory Safety Coordinator  
936.294.2672  
pmb024@shsu.edu

Sam Houston State University

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