

**Finance and Operations Policy FO-68
Business Continuity Plan Management Administrative Policy**

1.0 Scope

This policy applies to Sam Houston State University (SHSU or University) employees responsible for mission critical/essential functions during and/or after an emergency event.

2.0 Policy Statement

It is essential for the University to maintain continuity of its operations; activities, systems, facilities and processes in the event of an emergency. The intent of this policy is to ensure the concept of business continuity and the University's efforts to maintain continuity of operations is understood and supported by stakeholders.

3.0 Definitions

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

Continuity of Operations (COOP): The degree or state of being continuous in the conduct of functions, tasks, or duties necessary to operate a business or process that is either critical or essential to an organizations mission during an emergency.

Mission Critical/Essential Functions: Activities, processes, or functions that could not be interrupted or unavailable for several days without significantly jeopardizing the operation or safety of SHSU.

4.0 Policy:

The BCP is the overarching document used to ensure continuity of operations. The plan identifies mission critical/essential functions/processes and details how to maintain them; taking into account any potential business disruption scenario.

Management, maintenance and annual review of the BCP is the primary responsibility of the Executive Director of Environmental Health, Safety & Risk Management (EHS & RM).

Maintenance will be accomplished by:

- a. Establishing an annual Continuity of Operations Plan (COOP)/ BCP review for the period of October 1 – December 15.
- b. Developing and implementing training to assist employees, unit heads designated as responsible for implementing portions of the COOP/BCP during their plan review and/or development. Training will include:
 1. Standardized Business Impact Analysis Methodology
 2. Mission/Critical/Essential Process Hierarchy Analysis
 3. Recovery and Response Time Objective Explanations
 4. Face-to-Face Sessions (upon request) and Talent Management Modules
- c. Publishing the revised BCP the February following the annual review period.

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5.0 Responsibilities:

- a. The University President is ultimately responsible for business continuity at SHSU.
- b. All employees responsible for mission critical/essential functions identified in the University's BCP are responsible for supporting plan management and maintenance by:
 1. Reviewing the University BCP periodically and/or upon request by the Exec. Dir. EHS & RM
 2. Submitting recommended plan revisions to the Exec. Dir. EHS & RM
 3. Developing Unit Plans and updating those plans annually or as directed by the Exec. Dir. EHS & RM
 4. Participating in continuity exercises when requested
 5. Maintaining business continuity as appropriate for the specific role
- c. Each Vice President/Provost, Dean, Director, Department Chair, Supervisor, or other Administrator shall assume responsibility for the operational continuity in his or her respective units. Unit COOP development guidelines and BCP maintenance/development training are available in Talent Management. Development of COOP/BCP include, but are not limited to the following.
 1. Identification and prioritization of critical/essential business processes
 2. Regular assessment of the potential impact of various types of disasters/events
 3. Plans to document procedures and responsibilities
 4. A plan to communicate continuity and recovery plans to all that apply
 5. Commitment to participate in scheduled or schedule continuity exercises
 6. Participation in the development or facilitation of an after action report
 7. A commitment to review and update plans according to the BCP schedule and/or update requests issued through Talent Management
- d. The following are the mission critical units at Sam Houston State University.
 - President's Office
 - Academic Affairs
 - Advancement Services
 - Aramark
 - Athletics
 - BearKat OneCard
 - Business Services
 - College of Business Administration
 - College of Criminal Justice
 - College of Education
 - College of Fine Arts and Mass Communication
 - College of Health Sciences
 - College of Humanities and Social Sciences
 - College of Sciences
 - Controller's Office
 - EHS and Risk Management
 - Facilities – Administration/Plant Operations
 - Facilities – Management Administration
 - Facilities – Custodial and Grounds Services
 - Facilities – Planning and Construction
 - Financial Aid and Scholarships

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- Human Resources
 - IT Client Services
 - IT Enterprise Services
 - IT Infrastructure & Support Services
 - Lowman Student Services
 - Marketing and Communications
 - Public Safety Services
 - Registrar
 - Research Administration
 - Residence Life
 - Student Affairs
 - Student Health and Counseling
 - University Hotel
 - Woodlands Center
- e. The University BCP shall contain, at minimum, the following.
1. Plan Approval
 2. Applicability and Scope
 3. Risk Assessment
 4. Business Impact Analysis
 5. Acronyms and Definitions
 6. Assumptions and Assertions
 7. Concept of Operations
 8. Organization and Assignment of Responsibilities
 9. Plan Maintenance
 10. Training and Exercises

6.0 Legal authority. Requirements for the BPC are included, but not limited, to the regulations summarized below:

- a. Texas Administrative Code §202.70
Establishes the Security Standards Policy and that the President is ultimately responsible for the security of state information. The President designates an Information Security Officer in the Information Technology Department to safeguard assets of SHSU according to their value and ensure their availability when needed. Furthermore, other University officials shall support the Information Security Officer in the efforts to safeguard information.
- b. Texas Administrative Code §202.74
Recognizes that the Security Standards for Higher Education institutions covers all higher education business functions and requires the development and maintenance of a BPC to minimize the effects of a disaster on mission critical/essential functions. The BCP shall be based on Risk Assessments and Key elements of the plan shall contain the following.
1. Strategies to address high-impact information resources/technology
 2. Critical Functions and policies
 3. Faculty/Staff Preparedness if applicable
 4. Key Resources
 5. Mitigation
 6. Action Items/periodic assessments of risk
 7. List of Key Documents if applicable

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8. Training/Information Security Awareness

c. Texas Administrative Code §202.76

Requires institutions of higher education to maintain a written BCP so that the effects of a disaster will be minimized and the institution will be able to either maintain or quickly resume mission-critical functions. The President or designee shall approve the BCP. The BCP shall be distributed to key personnel and a copy stored offsite.

BCP, part of the Security Control Standards for Institutions of Higher Education issued by the Department of Information Resources (DIR), covers all business functions of an institution of higher education and it is a business management responsibility. The President may establish more stringent controls, if consistent with federal guidelines and the DIR.

Reviewed by: Steve Shields, Executive Director Environmental Health Safety and Risk Management
Dave Hammonds, AVP of Human Resources and Risk Management

Date: April 2019

Approved by: President's Cabinet
Office of General Counsel
Dr. Carlos Hernandez, VP for Finance and Operations

Date: April 2019

Next Review: August 2022