

# Texas Tech University System

## Regulation 01.06

### Continuity of Operations – Standards of Practice

Updated January 15, 2020

Next Scheduled Review: January 2025

#### 1. General

- a. Continuity of Operations (COOP) is a process, mandated by the state, to ensure each state agency can continue to function in the event of a disruption, whether it is manmade, natural, or technological.
- b. Each campus shall identify the appropriate administrative person(s) to develop and implement COOP plans to ensure continuity of essential functions under all circumstances.
- c. Section 412.054, of the Texas Labor Code, requires each state agency to maintain continuity plans and ensure that they are regularly updated and validated. (Texas State Agency Continuity Planning Policy Guidance Letter, 10-24-2013). Each state agency shall develop a continuity of operations plan that outlines procedures to keep the component/system operational in case of disruptions to finance, administration, or other essential operations. The plan must include detailed information regarding resumption of essential services after a catastrophe, including:
  - i. Coordination with public authorities
  - ii. Management of media
  - iii. Delivery on Academic Mission
  - iv. Assessing immediate financial and operational needs; and
  - v. Other services as determined

#### 2. Standards

- a. Component COOP plans, at a minimum, must include the following elements:
  - i. Identification of essential functions, programs, and personnel.
  - ii. Procedures to implement the plan and personnel notification and accountability.
  - iii. Delegations of authority and lines of succession.
  - iv. Identification of alternative facilities and related infrastructure, including those for communications.
  - v. Identification and protection of vital records and databases.

- vi. Human Resources dealing with policies, plans and procedures that address HR needs (pay, leave, telework, work scheduling).
  - vii. Schedules and procedures for periodic tests, training, and exercises.
- b. Continuity of Operations (COOP) plans should be based on a comprehensive process for identifying Mission Essential Functions by conducting a Business Process Analysis to explore the processes required to perform these functions, and evaluate the effect threats and hazards may have on the ability to perform these functions.
  - c. An “all-hazards” approach to Continuity of Operations (COOP) planning shall be adopted to ensure that system components can continue to perform mission essential functions during emergencies or other situations that disrupt normal operations whether natural, manmade, or technological. Accordingly, system/component COOP plans should be capable of activation in response to events ranging from very minor to catastrophic.
    - i. Overall, a COOP plan should provide for:
      - ii. The capability to implement the COOP plan, both with and without warning.
      - iii. Operation of mission critical functions within 12 hours of plan activation.
      - iv. The capability to maintain sustained operations for up to 30 days.
    - v. Regularly scheduled testing, training, and exercising of personnel, systems, process and procedures.

### 3. Reporting Requirements

- a. Complete a full plan review, update and submit to the TTUS Office of Risk Management (TTUS ORM) and component CFO’s by December 1st each year.
- b. If a component has COOP plans that are not complete they must notify the TTUS ORM and component CFO for further action.
- c. The COOP Contacts section must be updated every calendar quarter to ensure accuracy.
- d. Within the calendar year an exercise (Table Top, Functional, etc.) must be planned and executed. Schedule exercises with the TTUS Office of Risk Management. TTUS ORM can help facilitate exercises.

### 4. Additional Information

- a. TTUS Office of Risk Management will provide guidance and consultation regarding updating COOP plans and exercising COOP plans. Additional topic specific information is available on the TTUS Office of Risk Management website under “Quick Resources Guide”. TTUS Office of Risk Management website

Contact Office: TTUS Office of Risk Management  
(806-742-0212)