DEPARTMENTAL CONTINUITY OF OPERATIONS PLAN (COOP)

South Texas College

Purpose

To be better prepared, South Texas College (College) departments should use this template to complete a Continuity of Operations Plan (COOP). This plan will describe how these departments will operate essential functions following an emergency or business interruption.

Activation of the COOP

The plan could be activated in response to a variety of incidents, disasters, or events that cause an interruption in business operations:

- Any incidents or events that make it impossible for employees to work in their regular facility or continue normal business operations could result in the activation of the COOP.
- A departmental may activate their COOP as a result of activation and implementation of the South Texas College All Hazards Emergency Plan.

Definitions

- COOP: A plan that outlines the actions and resources needed to continue essential functions during a variety of crisis situations, specifically when the primary facilities are either threatened or inaccessible.
- Essential functions: The critical activities performed by the College, especially after a disruption of normal activities. These functions must continue or resume rapidly after a disruption of normal activities.

South Texas College Essential Functions

The Essential Functions listed below are for your reference and should be used when assessing and determining your department's essential functions:

- College Leadership: to provide support for the College and maintain leadership to manage an emergency impacting South Texas College.
- Safety and Security: to maintain the safety and security of all students, faculty, staff, visitors, facilities, equipment, public health, and environmental hazardous components.
- Communications: to maintain communication capabilities for the College's Emergency Alert Notification System (RAVE), Police Dispatch System, executive leadership, and media relations.
- Basic Services: to maintain and provide basic services with regard to emergency maintenance needs.
- Information Technology: to provide access to the College's information technology systems, including but not limited to: hardware, software, data, connectivity, and security.
- Fiscal Operations: to provide continued service for financial operations.
- Administrative Services: to provided continued operations for employee and student personnel matters (e.g. employee benefits, student registration, Title IX, etc.).
- Academic Continuity: to maintain and provide academic instruction, communication, and space allocation when feasible during an emergency.

Instructions

The COOP template is designed to capture the information required to ensure appropriate continuity of operations for essential services. Please refer to other planning documents as you proceed with the completion of this template.

As you work on this template, there may be sections that do not apply to your department based on essential functions identified. The template is designed for use by various departments on campus and as such captures as much information.

To complete the form, fill in all relevant sections, including information for all columns. This is your plan. Feel free to augment this template to meet your needs. Use additional sheets if necessary. The process of planning for an emergency is very valuable. Be collaborative when drafting this document, and seek comments from your staff and leadership.

Risk Management is available to assist you by answering technical questions, attending planning meetings, and reviewing draft documents. Please contact Ken Lyons, Risk Manager at 872-6744 or klyons_0202@southtexascollege.edu for assistance.

General Information

Department	Accountability, Risk & Compliance		
Division	Finance and Administrative Services		
Director / Chair (or designees)	**Name**	**Primary Phone**	**Alternate Phone**
	Frank Jason Gutierrez	956-872-3566	956-746-9685
	E-mail	fgutierrez_3068@southtexascollege.edu	

Essential Functions (Recovery Time Objective of 0-24 hours)

Essential functions are those functions that must continue or resume rapidly after a disruption of normal operations. Review the Essential Functions listed on the previous page to determine if your department falls within an essential function of the college. List your department's essential functions which must be in operation within 24 hours of (or shortly thereafter) a business disruption. For functions with a Recovery Time Objective (RTO) greater than 24 hours, indicate the recovery time in the description and continue documenting the COOP.

Rank	Description
1	Incident analysis and insurance claims
2	
3	
4	
5	
6	

Line of Succession

List the persons who would lead your department in operational decisions if the Director/Chair is unavailable.

	Name	Title
Primary	Ken Lyons	Risk Manager
Secondary		
Tertiary		
Primary Contact		
Name:	Ken Lyons	
Cell Phone:	956-802-2169	
Office Phone:	956-872-6744	
E-mail:	klyons_0202@southtexascollege.edu	
Location:	Pecan Campus A-110	
Secondary Contact		
Name:	N/A	
Cell Phone:		
Office Phone:		
E-mail:		
Location:		

Tertiary Contact	
Name:	N/A
Cell Phone:	
Office Phone:	
E-mail:	
Location:	

Communication Modes

Employees are required to make every effort to stay informed during an emergency. What methods will you use to communicate with your employees during an emergency? Select all that apply. Ensure that your staff are aware of all communication modes to be used during an emergency.

Phone	E-mail	Text	TEAMS	Radio	Other
X	X	X	X		

Internal Dependencies

List departments you depend on for your critical process and the frequency (hourly, daily, weekly, etc.) you use the services.

Dependency (product/service)	E-mail		
Provider (department)	IT	**Frequency**	Continuous
Dependency (product/service)	Phone		
Provider (department)	IT	**Frequency**	Continuous
Dependency (product/service)	Shared Drive		
Provider (department)	IT	**Frequency**	Continuous
Dependency (product/service)	One Drive		
Provider (department)	IT	**Frequency**	Continuous
Dependency (product/service)			
Provider (department)		**Frequency**	
Dependency (product/service)			
Provider (department)		**Frequency**	

External Dependencies

Many departments on campus rely on services provided by external organizations for critical operations. List the products and services upon which your department depends on, name of the service provider, and the frequency (hourly, daily, weekly, etc.) you use the services.

Dependency (product/service)	Frequency	Supplier/Provider	Phone	E-mail
Consultation	As needed	Shepard Walton King	956-682-2841	rcabaza@swkins.com
Claims Processing	As needed	Montalvo Insurance	956-968-5521	jessie@montalvoinsurance.com
Claims Processing	As needed	TASB	800-482-7276	Adrian.pena@tasb.org

Operating Location

List the significant facilities your department currently utilizes for operations and if they are considered essential for resuming your critical process. In particular, identify any specialized spaces that require systems and services to continue essential functions.

Campus	Building	Room
Pecan	A	110 & 117

Alternate Operating Location

Selecting an alternative operating location may involve identifying specialized capabilities of relocation space that are above and beyond what is found in a normal office environment. Identify your space needs and enter here. If you have previously made arrangements to use space occupied or managed by another department, please complete the following.

Facility Location	Proposed Use	Specialized Resources Required (ex: terminals for Cashiers)
Pecan Campus	Office Space	N/A
Other STC Campus	Office Space	N/A
Home (remote)	Office Space	N/A

Technology Equipment

List any computers/technology used for essential function(s), quantity required, in aggregate.

Type	Description / Function	Quantity
Computer	Laptop or PC	2
Phone	Mobile or landline	2
Internet	Wireless or wired	2
Camera	For claims analysis and response	1

List the critical information technology systems, software, or databases required to continue essential function.

Priority	System Name	Description / Function	Hosted (On/Off Campus)
1	E-mail	College e-mail	On
2	Microsoft Office	Word & Excel	Off
3	Adobe Acrobat	For opening and editing PDF documents	On
4	Risk Management Shared Drive	Shared network drive for Risk Management	On
5	SharePoint	Internal website	Off
6	OneDrive	Cloud storage	Off

In the event that technology systems are not available, describe what your workaround processes which will enable your department to continue its essential function(s).

If technology processes are not available, operations can still function through the use of mobile hotspots, smart phones, tablets, etc.

Supplies

Excluding basic office, break room, and restroom supplies, list any specialized supplies that should be maintained to ensure continued operations, due to possible supply chain impacts.

Supply	Model / Item #	Vendor	Vendor Contact Information	Quantity
N/A	N/A	N/A	N/A	N/A

Key Personnel to Perform Essential Functions

Identify key positions that will be required to restore operations and implement the COOP. List the required level of training for said personnel, if any. These employees may be required to work prior to, during, and after an emergency.

Name	Role/Position	Work Number	Cell Number	E-mail
Frank Jason Gutierrez	Director of Accountability, Risk & Compliance	956-872-3566	956-746-9685	fgutierrez_3068@southtexascollege.edu
Ken Lyons	Risk Manager	956-872-6744	956-802-2169	klyons_0202@southtexascollege.edu

Essential Function Plan

Summarize your plan for resuming your essential function(s) during an interruption or emergency. Feel free to attach additional pages and/or information to this part of the document if needed.

Essential Function Plan
Essential Function: Insurance claims
In the event of an interruption or an emergency, Risk Management could resume its essential function (reporting and managing of all insurance claims) remotely (at either another building on campus / at another campus or at home). Key personnel would be the Director of Accountability, Risk & Compliance and the Risk Manager. Both would be able to work remotely (with minimal downtime) using laptops, smart phones, VPN, wi-fi, mobile hotspots, tablets, etc. The majority of communications would be via Microsoft Teams and college e-mail.

Resumption of Normal Operations

Briefly describe your plan to transition back to normal operations.

Minimal transition period. Once authorities have deemed it safe to return to the office, key personnel would simply pick up where they left off working remotely.

Risk Management requires no specialized equipment or facilities and as such can return to normal operations almost immediately.

Testing the Restoration Process

Date of last testing of your restoration process	Date of next testing of your restoration process
March 23, 2020 – May 1, 2020	TBD
Comments	
Accountability, Risk and Compliance worked remotely due to the COVID-19 pandemic for a period of 6 weeks in early 2020. The department was able to effectively resume its functions with no downtime.	

Special Considerations / Comments

Describe any additional or unique considerations for your department. You may also use this section to add any comments or questions you might have.

- Order Risk Manager a laptop in FY 2020-2021 to replace non-functioning Surface Pro.
- Once laptop is received, obtain VPN access for Risk Manager

Appendix: Critical Interruption Worksheet

This document should be filled out prior to completing the COOP. It is a tool that is intended to assist you in formulating your thoughts related to continuing your department's essential functions in the event of an emergency.

1. List your essential function and time below. Determine the amount of time you can be without each essential function or service.

   Timely reporting and managing of insurance claims is of great importance. This function could be delayed by a few days at most.

2. Indicate how long your department can function either at another location or from home if your space and or facilities are damaged or unavailable.

   Indefinitely, given key personnel have access to the appropriate hardware and software as listed in the COOP.

3. Indicate below how long your department can be without central power and generator backup.

   Indefinitely, if working at a remote location which has power.

4. How long can your department be without proper communication channels such as phone, e-mail and internet?

   Less than 24 hours.

5. How long can your department be without the use of enterprise information systems (ex: Banner)?

Indefinitely. Insurance claims reporting and management do not require the use of Banner or any other similar system.

6. How long can your department be without local information systems (departmental desktop computers, applications managed by your department)?

The Risk Management Shared Drive is critical to the saving and sharing of information related to insurance claims. While the department could theoretically work and save files on their local systems and e-mail documents back and forth, the shared drive would be necessary within 2 weeks at most in order to keep information organized, current and safe.

7. How many days can your department be without personnel?

Timely reporting and managing of insurance claims is of great importance. This function could be delayed by a few days at most should personnel not be available.

8. If your essential business partners or vendors are unable to provide goods and services, how long can you function without their services?

1 week without Montalvo and TASB (for the reporting of claims)

9. Indicate how long your department can be without essential equipment that is either damaged or unavailable.

1 month, as much of the work can be performed on other devices such as smart phones, tablets, laptops, etc.