

TEXAS A&M UNIVERSITY-KINGSVILLE INSTITUTIONAL BUSINESS CONTINUITY PLAN**PROMULGATION STATEMENT**

The Institutional Continuity Plan, and contents within, is a guide to how the University operates and resumes normal functions during an incident which disrupts or incapacitates operations and/or requires the relocations of select personnel and functions. The Plan is written in support of the Texas A&M University-Kingsville (TAMUK) Emergency Management Plan (EMP) and shall be considered an interactive support document to the EMP.

APPROVAL AND IMPLEMENTATION

The University's Senior Vice President for Fiscal and Student Affairs shall be responsible for oversight and coordination of the Plan with applicable stakeholders. The Plan is flexible in that it may be enacted in part or as a whole, it may be activated based on the specific emergency and direction of University senior leadership.

This Plan and its supporting contents, are hereby approved, supersedes all previous editions, and effective immediately upon the signing of all signature authorities noted below.

Approved: Terisa C. Riley Date: 6/21/13

Terisa C. Riley, Senior Vice President for Fiscal and Student Affairs

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SECTION I: INTRODUCTION

Texas A&M University-Kingsville (TAMUK) has functions that must be performed, or rapidly and efficiently resumed, in the event of an emergency or disruption. While the impact of an emergency or disruption cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency or disruption on our students, faculty, staff, and visitors; our facilities and our mission. To that end, TAMUK has prepared this Business Continuity Plan (BCP).

The BCP establishes guidance and procedures to ensure the resumption of essential functions at TAMUK in the event that an emergency or disruption incapacitates operations and/or requires the relocation of selected personnel and functions.

The BCP helps to ensure continuity of essential functions during situations that may affect University building(s), workforce, or critical systems for up to 30 days. Examples of such events include fire, structural damage, loss of utilities, workforce reduction, or chemical/biological contamination. The BCP contains the following specific planning and operational elements:

- 1) Planning Assumptions
- 2) Critical Infrastructure
- 3) Essential Functions
- 4) Vital Records and Databases
- 5) Dependencies
- 5) Continuity of Leadership
- 6) Concept of Operations
- 7) Alternate Facilities
- 8) Responsibilities and Procedures
- 9) Communications
- 10) Test, Training, and Exercise
- 11) BCP Maintenance

SECTION II: PURPOSE STATEMENT

The BCP provides a framework to continue the most essential functions of TAMUK in the event that an emergency or disruption at the University or in the region threatens operations or requires the relocation of select personnel and functions.

This BCP describes how TAMUK will sustain the capability to restore and maintain critical infrastructure during and after a disruption in internal operations whether caused by severe weather, other natural or man-made disasters, or malevolent attack. The BCP ensures that TAMUK:

- Has the capability to implement the BCP both with and without warning
- Identifies critical infrastructure that must be robust/resilient so as to support the recovery of other essential functions
- Is able to restore urgent or short-term essential functions no later than 12 hours after activation of the continuity plan
- Is able to reinstate academic classes within 2 weeks of the disruption whether through traditional or alternative methods/locations
- Is able to maintain alternate operations for up to 30 days
- Includes regularly scheduled testing, training, and exercising of University personnel, equipment, systems, processes, and procedures used to support the University during a continuity incident
- Supports the location of alternate facility(ies) in areas where the ability to initiate, maintain, and terminate continuity operations is maximized; supports the identification and documentation of temporary operating procedures which enable the performance of essential functions
- Promotes the development, maintenance, and annual review of division/department continuity capabilities

SECTION III: APPLICABILITY AND SCOPE

This BCP is applicable to all TAMUK departments, divisions, colleges, students, faculty, and staff. The BCP describes the actions that will be taken to activate a viable continuity capability within 12 hours of an emergency event or disruption, and to sustain that capability for up to 30 days. This BCP can be activated during or outside of normal business hours, both with and without warning.

This BCP covers all facilities, systems, vehicles and buildings operated or maintained by TAMUK. This BCP supports the performance of critical infrastructure from alternate locations (due to a facility becoming unusable, for long or short periods of time) and also provides for continuity of leadership and decision-making at TAMUK, in the event that senior administration are unavailable.

This BCP does not apply to temporary disruptions of service including minor IT system or power outages and any other scenarios where essential functions can be quickly restored.

This BCP has been distributed to senior administration within TAMUK. This BCP has also been shared with local emergency response and management agencies, designated emergency coordination officers, local emergency management directors, and emergency management planners.

SECTION IV: AUTHORITIES AND REFERENCES

This annex addresses requirements identified in the Federal Continuity Directive 1, February 2008, available at:

<http://www.fema.gov/pdf/about/offices/fcd1.pdf>

Other references that have supported the development of this continuity plan include the following:

- *NFPA 1600*
- *Robert T. Stafford Disaster Relief and Emergency Relief Act, PL 93-288, as amended*

SECTION V: PLANNING ASSUMPTIONS

TAMUK has developed this BCP using the following planning assumptions:

- Proper implementation of these guidelines will reduce or prevent disaster-related losses
- Emergencies or threatened emergencies can adversely impact the University's ability to continue essential functions and provide support to day-to-day operations
- There will be a sufficient number of available administrators with adequate supporting personnel to continue the essential functions of the University
- Recovery of a critical subset of the University's functions and application systems will occur and allow critical infrastructure to continue
- A disaster may require students, faculty, staff, and the public to function with limited support services and some degradation of service, until a full recovery is made
- Leadership and employees will continue to recognize their responsibilities to the University and exercise their authority to implement this continuity plan in a timely manner when confronted with disasters
- The University is able to reinstate academic classes within two weeks of the disruption whether through traditional or alternative methods/locations
- In the event of disaster, the university will work in cooperation with surrounding jurisdictions and local emergency response personnel for recovery

SECTION VI: HAZARD ANALYSIS

Because of its geographic location, rail, air and highway traffic, and other risk factors, TAMUK is exposed to many hazards, some of which have the potential for disrupting the University community and causing widespread damage and casualties.

Possible natural hazards include, but are not limited to tornadoes, floods, fires, and hurricanes. There is also the threat of terrorism related activities associated with biological, nuclear, incendiary, chemical, and explosive weapons. Other disaster situations could develop from a hazardous materials accident, conflagration, major transportation accident, civil disorder, disease or other unknown or unpredictable occurrences.

SECTION VII: ESSENTIAL FUNCTIONS

Departments/divisions will determine the functions that they must perform in order to continue to operate and provide necessary services. These functions are considered essential functions. During and after a disruption, it may be impossible to immediately perform all university functions at full capacity. To enable the University to focus resources appropriately, departments/divisions will categorize their essential functions into the following 3 tiers:

- **Critical Infrastructure: Uninterrupted or resumed within a few hours**

- A special subset of essential functions with university wide implications that address:
 - Emergency Response Services
 - Utilities, to include electricity, water, and reasonable climate control,
 - Communications with internal and external audiences to include students, faculty, staff and the media
 - Internet, authentication, and voice communications
 - Hazardous materials spill response and control, to include safe handling and proper disposal of toxic substances, biologically hazardous materials, and/or radioactive materials

- **Tier I: 0 – 12 Hours**

- Must be restored to minimum level of service within 12 hours of event
- Functions with direct and immediate effect on the jurisdiction to preserve life, safety and protect property
- Functions that preserve the University through command and control

- **Tier II: 12 hours to Two Weeks**

- Must reach an operational status within 12 hours to two weeks of activation
- Must sustain operations for a minimum of 30 days

- **Tier III: Two Weeks to 30 Days**

- Functions that support Tier I and II
- Do not need to reach full operation within the first two weeks following an event

SECTION VIII: VITAL RECORDS, DATABASES AND EQUIPMENT

A successful continuity plan provides for the protection, accessibility, and recovery of TAMUK's vital records, systems, and equipment. These are the records, systems, and equipment that if irretrievable, lost, or damaged will materially impair the university's ability to conduct business and carry out essential functions. Each division/department/college has identified vital records, databases and equipment, which must be available to support performance of essential functions. The university has also identified vendors and contractors available to support restoration of vital records, systems, equipment and/or processes. To access these important services, contact Strategic Sourcing and General Services Ext. 3814.

Each division/department/college's vital records will be updated regularly according to an established schedule determined by the division, department or college. Vital records and databases also will be backed up and stored at a remote location as defined by each division/department/college.

SECTION IX: DEPENDENCIES

KEY DEPENDENCIES

All TAMUK divisions/departments depend on other components of the University to continue their essential functions. Divisions and departments may also depend on external vendors in order to continue their essential functions. Each department/division will document their key internal and external dependencies in their continuity plan. These key internal and external dependencies may include:

- Services
- Processes
- Data
- Employees
- Equipment
- Supplies

SECTION X: CONTINUITY OF LEADERSHIP

ORDER OF SUCCESSION

In the event that executive leadership or senior personnel are unavailable during an emergency, TAMUK has developed a set of procedures to govern orders of succession. A successor will assume the duties of the leadership role when the usual leader is not able to be contacted by usual methods (e.g., telephone, cellular telephone, and direct connect), and will relinquish leadership duties when the usual leader is contacted or until a permanent successor has been named by appropriate line management, or other appropriate individual. At minimum, orders of succession are needed for the Continuity and Recovery Group detailed in Section X of this BCP.

For the purpose of this plan, individuals with "Interim" or "Acting" titles are understood to be filling the normal roles in the Continuity and Recovery Group.

DELEGATION OF AUTHORITY

In the event that executive leadership or senior personnel are unavailable during an emergency, TAMUK has pre-delegated authorities. Many delegations of authority are addressed in University Rules and Standard Administrative Procedures (SAP). Each division/department will develop a chart detailing the delegations of authority if not specifically referenced in an existing university rule or SAP.

President's Delegation of Authority for Contract Administration

- University Rule 25.07.99.M2

SECTION XI: CONCEPT OF OPERATIONS

TAMUK has developed a concept of operations (CONOPS), which describes its approach to implementing the BCP, and how each continuity element will be addressed. In particular, this CONOPS focuses on establishing a decision process for determining appropriate actions in implementing continuity plans and procedures. The CONOPS also identifies how TAMUK will address issues associated with notification and alert, as well as direction and control.

PLANNING SCENARIOS

The BCP has been developed around a set of scenarios which reflect TAMUK's assessment regarding the types of events which may result in BCP activation. For each type of scenario, activities have been identified to ensure the activation of the BCP and the continuous capability of TAMUK to make decisions and take action.

Activation of the BCP may involve:

- Activation of the Continuity and Recovery Group to perform specific activities necessary to ensure the restoration and continuation of critical infrastructure
- Deliberate and pre-planned movement of selected key administrators, faculty, staff and technical personnel to an alternate operating facility
- Implementation of temporary work procedures

- Delegation of authorities to successors of senior management and designated personnel who are unavailable during the emergency

The following three types of scenarios have been identified by TAMUK as the most likely to trigger BCP activation:

- **Planning Scenario 1: Single or Multiple Facilities Affected.** Under this type of scenario, a single or multiple facilities on campus or off campus are closed for normal business activities. The most likely causes of such disruptions are fire; system/mechanical failure; loss of utilities such as electricity, telephone, water, or steam; massive explosion; weather/tornadoes; or credible threats of actions that would preclude access or use of multiple facilities for an extended period of time. Under this scenario there could be uncertainty regarding whether additional events (such as secondary explosions, hurricanes, or cascading utility failures) could occur. During this type of incident, TAMUK's facilities and the immediate areas surrounding them could be inaccessible. This type of event could significantly impact TAMUK's communications, provision of services, and information technology capabilities. Administration, faculty, staff and supporting personnel working at the facility as well as students may be lost, injured, or not accounted for.
- **Planning Scenario 2: Loss of Personnel.** Under this type of scenario, the University has experienced a severe loss of personnel for an extended period of time. The most likely causes of such loss are infectious disease outbreak, massive explosion and hazardous chemical release. During this type of event, TAMUK may be unable to maintain operations at a normal capacity and may need to reduce services to focus on restoring and maintaining critical infrastructure.
- **Planning Scenario 3: Loss of IT or Data.** Under this type of scenario, the University has lost access to all or parts of IT infrastructure critical to the operations of the University. The most likely causes of such loss are extended power outage, IT equipment failure, flooding, or water damage. During this type of event, TAMUK may be unable to perform certain services that require access to the affected IT infrastructure and manual/ alternative procedures will need to be instituted. Priority order for restoration of systems and data determined during the planning process will be followed.

CONTINUITY EXECUTION

The President, Provost, or designees, or his or her designated successor, may activate this BCP. The BCP is activated based on known or anticipated threats and emergencies that may occur with or without warning. TAMUK will use a time-phased approach for implementation whereby critical resources are deployed early and other resources will follow as needed. TAMUK is preparing for threats and emergencies, with or without warning, that occur during or outside of normal operating hours.

TAMUK has developed an executive decision process that includes a review of the emergency situation and determination of the best course of action for response and recovery. Careful use of this process should avoid premature or inappropriate activation and implementation of TAMUK's BCP.

CONTINUITY AND RECOVERY GROUP

The Continuity and Recovery Group has been established by TAMUK to manage the continuity and recovery process. The Continuity and Recovery Group will oversee and prioritize the actions of the University and departments during the BCP activation and disaster recovery. To staff the Continuity and Recovery Group, TAMUK has identified key positions to provide management and oversight necessary to restore critical infrastructure and Tier 1 essential functions within 12 hours after continuity annex activation. The members of the Continuity and Recovery Group are:

- President or designee
- Provost and Associate Vice President for Academic Affairs or designee
- Senior Vice President for Fiscal and Student Affairs or designee
- Associate Vice President for Research and Dean of Graduate Studies or designee
- Associate Vice President for Finance and Comptroller or designee
- Associate Vice President for Information Technology & Chief Information Officer or designee
- Executive Director for Marketing and Communications or designee
- Dean of Students

Leadership of the Continuity and Recovery Group will be designated by the President. The Continuity and Recovery Group may add additional members as needed for specific expertise.

For the purpose of this plan, individuals with "Interim" or "Acting" titles are understood to be filling the normal roles in the Continuity and Recovery Group.

ALTERNATE FACILITIES AND WORKSITES

TAMUK recognizes that normal operations may be disrupted and there may be a need to perform essential functions at alternate facilities or worksites.

In the event that relocation is necessary, the Continuity and Recovery Group will work with TAMUK's Facility Recovery Group to identify appropriate available facilities for the affected divisions/departments.

During the continuity planning process, each division/department will determine their requirements for an alternate facility, including amount of space, workstations, supplies, equipment, food, etc. This information will be used to assist in locating an appropriate facility.

Affected divisions/departments/colleges will submit their alternate facility requirements to the Continuity and Recovery Group upon request. The Continuity and Recovery Group will review and establish priorities as necessary.

Some disruptions of normal operations may necessitate the need for telecommuting. Approval for telecommuting resides with the department or unit head. Therefore, divisions/departments/colleges should include procedures for this purpose in their specific plans.

TIME-PHASED IMPLEMENTATION

TAMUK will use a three-phased approach to the activation, implementation, and deactivation of the BCP. A brief description of this approach to each phase of activation is provided below.

PHASE 1: ACTIVATION

Activation of the BCP will be determined by the President, Provost or designee. The President or Provost, or designees, will activate the plan by assembling the Continuity and Recovery Group. Members of this group will be notified with the time, date and location of the meeting.

There may be situation(s) that call for activation and implementation of individual division, department or college continuity plans but not the Institutional BCP. Implementation of an individual division, department or college plan does not require approval of the Continuity and Recovery Group or activation of the Institutional BCP.

PHASE 2: IMPLEMENTATION

The Continuity and Recovery Group will consider the following:

- Assessment of impacts to critical infrastructure
- Prioritization of essential functions and unmet needs of colleges or departments
- Coordination with on-going response activities, if applicable
- Establish objectives and timeframes
- Identify available resources
- FEMA reimbursement requirements, if applicable
- Dissemination of timely and accurate information to internal and external audiences
- Contract(s) execution
- Implement necessary changes to Leave Policy
- Prioritization and/or continuation of research
- Materials procurement
- Counseling Services – student, employee, and responder mental health needs
- Transportation considerations (on and off campus)

- International Students, Faculty and Staff
- Work & eligibility requirements
- Student Financial Aid and Work Study Programs
- Appropriate accommodations for special needs (Students, Faculty, and Staff with Disabilities)

Specific considerations for each planning scenario are:

Loss of Facility Access

- Facility(ies) damage assessment and estimate for time of loss
- Alternate assignments for on-campus lecture
- Alternate assignments for on-campus work location
- Leasing requirements for off-campus work relocation
- Alternate assignments for on-campus housing
 - Transition between temporary shelters and semi-permanent housing
- Agreements/contracts for generator, dehumidifier, water removal systems, debris removal, temporary construction (Cotton USA)
- Food Services - contracts with food vendor

Loss of Personnel

- Payroll
- Support of students remaining on campus
- Special event cancellation
- Staff augmentation – cross disciplinary training
- Food considerations – alternative arrangements for providing meals
- Requirements for distance education and telecommuting

Loss of Information Technology

- Off-campus secondary back-up facilities
- Contracts for water removal systems (Cotton USA)
- Data recovery as identified by departmental or unit IT personnel

PHASE 3: DEACTIVATION

Deactivation of the BCP will occur when the President or designee has determined that the University is operating at a sufficient level and the guidance of the Continuity and Recovery Group is no longer required for sustainable operations.

SECTION XII: RESPONSIBILITIES

This section of the BCP identifies the responsibilities and procedures developed by TAMUK to activate and sustain a continuity capability.

The purpose of this section is to identify key positions within the university and their responsibilities in the event of emergencies requiring BCP activation.

The following lists identify major responsibilities of key and designated officials required to implement TAMUK's BCP.

The makeup of the Continuity and Recovery Group may involve all or some of the members identified previously, as deemed appropriate for the type and extent of the disruption. The members identified serve because of the authorities and responsibilities that already come with their existing positions. Therefore each member comes to the Continuity and Recovery Group only with those authorities that they normally possess. Additional authorities due to the emergency conditions may only be granted by the President or designee.

Each member of the Continuity and Recovery Group is responsible for:

- Ensuring that appropriate plans are established to address and prepare for the unique needs of their specific organization
- Representing their organization in the Continuity and Recovery Group
- Accessing resources including personnel and expertise from their organization as needed

In addition, the following members are assigned the noted specific responsibilities.

The President or designee is responsible for:

- Activating the BCP;
- Appointing a chair(s) for the Continuity and Recovery Group;

- Establishing or approving clear objectives during an incident for the implementation of the BCP;
 - Objectives
 - Timeframe
 - Resources available
- Consulting with and advising appropriate officials (system, local, state, federal) during implementation of the BCP;

The Provost and Associate Vice President for Academic Affairs or designee are responsible for:

- Decisions concerning the following:
 - Continuation of instruction/classes and the effect on students grades, scholarships, credits and progress
 - Processes for student activities, excuses and assignments
 - Request for resources from the colleges and academic affairs, especially faculty
 - Reassignment of classes
- Impact on faculty
- Restoring critical information technology and telecommunications infrastructure
- Establishing prioritized needs for recovery of academic departments and colleges

The Senior Vice President for Fiscal and Student Affairs or designee is responsible for:

- Determining necessary resources for keeping the campus safe and minimizing health risks
- Reestablishing utilities for the University
- Restoring campus safety and security
- Identifying available alternate building space to meet requirements of essential displaced essential functions
- Oversees necessary changes to HR policies
- Identify impacts to on-campus and off-campus housing and evaluate alternatives for interim housing

The Associate Vice President for Research and Dean of Graduate Studies or designee is responsible for:

- Identifying and prioritizing campus needs relative to recovery or preservation of research
- Reporting to state and federal agencies for grants, research compliance and/or Biosafety
- Identifying and prioritizing needs for care and maintenance of research animals

The Associate Vice President for Finance and Comptroller or designee is responsible for:

- Ensuring expenditures are made in accordance with rules
 - Payroll, vendors, etc.
 - Coordination with bank and creditors as appropriate
- Documentation and tracking of resources
- Payment of invoices

The Associate Vice President for Information Technology and Chief Information Officer or designee is responsible for:

- Managing the restoration of IT infrastructure on campus. This includes; Telecommunications, Networking, and Distance Learning services that are managed by iTech.
- Assist in the assessment and prioritization of IT resources that are required for recovering essential departmental functions and applications.

The Executive Director for Marketing and Communications or designee is responsible for:

- Coordinating and disseminating accurate and timely information to diverse internal and external audiences --students, faculty, staff, parents, visitors, alumni and the media.
- Assisting in the evaluation of the severity of the emergency and develop strategies regarding how information is to be released and who should speak for TAMUK.
- Establishment and operation of a Joint Information Center (JIC) to help control and manage the flow of accurate and timely information
- Ensuring sustained communications capability through the effectively utilization of various communication (website, social media, email)
- Engaging partner organization's Public Information Officers/Media Relations personnel to assist in ongoing communications efforts (Kleberg County, City of Kingsville, Naval Air Station-Kingsville, and A&M System member institutions)
- Coordinating and facilitating media briefings.

The Dean of Students or designee is responsible for:

- Identifying and quantifying impacts on students
- Providing support services and health services (medical and counseling) to affected students
- Assisting Marketing and Communications with communications to students and parents
- Identifying and prioritizing of recovery needs for activities and operations of f Student Affairs

SECTION XIII: COMMUNICATIONS

Communications is a critical component of successful continuity capability. Communications systems must support connectivity to internal organizations, other agencies, critical customers, and the public. Communications capabilities should be consistent with the organization’s operations and provide for access to other data and systems required to conduct mission essential functions. Consideration should be given to the full spectrum of technological advances now available: landlines, cellular, satellite, wireless, etc. Redundancy of communications is vital and should be developed to the depth necessary to sustain operations.

To ensure communications during a continuity incident, TAMUK has identified primary and alternate modes of communication, and preventive controls in place for each means of communication.

SECTION XIV: TESTING AND EXERCISE

The BCP is Tested and Exercised annually in conjunction with the Emergency Management Plan.

SECTION XV: BUSINESS CONTINUITY PLAN MAINTENANCE

TAMUK has developed an approach to maintaining viable Continuity capability. This approach ensures the review and update of the BCP and its supporting documents; the orientation of training of both existing and newly hired/appointed personnel; and the testing of the Continuity capability through internal, local, regional and state exercises.

BCP MAINTENANCE ACTIVITY	TASKS	FREQUENCY
Annex update and certification	Review entire annex for accuracy.	Annually
	Incorporate lessons learned and changes in procedures and philosophy.	
	Review Continuity Checklist	
	Manage distribution.	
Maintain orders of succession and delegations of authority	Identify current incumbents.	Semiannually
	Update rosters and contact information.	
Revise contact information for essential personnel	Update essential personnel information.	Semiannually

