Business Continuity Plan – Infrastructure (Support Services)

#UTHealth® Houston

A companion document for the UTHealth Houston Emergency Management Plan
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Introduction

The University of Texas Health Science Center at Houston (UTHealth Houston) may encounter a variety of emergency situations. Depending on its severity, an emergency can drastically impact the institution's ability to fulfill its stated missions. To minimize both the frequency and severity of emergency situations on the institution, UTHealth Houston maintains a proactive environmental health and safety program that works to prevent the occurrence of emergency events, and to mitigate the extent of any emergencies that might arise.

Based upon the experience with Tropical Storm Allison, 30 days post event is the most critical timeframe with regard to immediate recovery decisions, resource procurement, and the establishment of temporary means and locations of essential functions. The UTHealth Houston Business Continuity Plan (BCP) is intended to describe actions and decision-making capabilities for that time frame by suggesting enhanced pre-event strategies to reduce or eliminate the impacts of emergencies at the local operational level. This process is ongoing within the clinical, educational, and research mission areas with the assistance of Environmental Health and Safety. This element of the BCP is intended to provide a guide to essential institutional infrastructure services for the UTHealth Houston community in the event normal operations are curtailed due to the occurrence of an event.

Much like the mission areas, the departments providing essential infrastructure services have also completed their business continuity worksheets. A sample of the worksheet template is contained in Appendix II. In the pages that follow, the information gathered from the infrastructure worksheets have been compiled in order to address the following basic needs:

- Information / communication
    - Facility availability / access
    - Information system availability
    - Operations status
- Acquisition and payment for goods and services
- Collection / deposit of proceeds
- Payment of employees
- Billing for services
- Auxiliary Services (student housing, transportation, parking)

In addition to this Business Continuity Plan, UTHealth Houston has also prepared the following:

1. Emergency Management Plan (EMP) that details the steps to be taken in the event of an emergency. It specifically covers the:

a. Pre-event stage or time prior to an event. During this time education, training and preparation of the institutional community take place in order to prevent or minimize the impacts of any emergency situation.

b. The event or actual emergency.

c. The response stage that includes the immediate response which may include evacuation, incident reporting and/or personnel rescue.

d. The assessment, mitigation and debris removal stage.

2. Information Technology (IT) Disaster Recovery Plan (DRP) defines the information systems covered, the operational assumptions, and the disaster recovery procedures for about 30 critical systems to include:

   a. PeopleSoft Financial Management System (FMS)

   b. COUPA – Procurement System

   c. PeopleSoft Human Resource Management System (HRMS)

   d. Epic- an integrated Electronic Health Record (EHR) and Rev Cycle System.

   e. Canvas – Learning Management System.

These critical systems are either outsourced to an Application Service Provider (ASP) with a contracted DR strategy, replicated to one of UTHealth Houston's secondary datacenters (e.g. Guhn Rd or Arlington), or a backup of the data is taken offsite with a plan to rebuild the system in the event of a disaster. The Recovery Time Objective (RTO) for these systems is under 48 hours, while the Recovery Point Objective (RPO) varies from minutes to hours. Systems outside of this category of critical systems have varying Disaster Recovery Plans' RTO and RPO with some systems requiring a rebuild that may take up to 30 days to be fully restored. It is also important to note that even for critical systems the RTO and RPO are targets that can be beat, or missed, depending on the circumstances of the incident from which we need to recover. Some incidents that are caused by cyber attacks, such as ransomware, might introduce contingencies that could prolong the recovery process.

The Emergency Management Plan (EMP), the IT Disaster Recovery Plan, and the BCP provide a comprehensive guide for operating in a period leading up to and for 30 days after an event. Although each plan is designed to address specific purposes, there is a redundancy tying the plans together and the plans do overlap each other in time.

Importance of Community Education for Business Continuity

  The first step in ensuring business continuity in the event of an emergency is ensuring that all students and employees are educated about the importance of being prepared at home. Any institutional preparations are essentially useless if the individuals who make the processes happen are pre-occupied with issues at home. Supervisors and instructors should encourage their employees and students to make home "all hazards" preparations for emergency situations, to ensure care for family and pets during any type of emergency. Included in these preparations should be supervisor or entity contact information so that notifications can be provided if unable to report to work or class. Essential employees who have been identified by their supervisors as critical to the continued operation of the unit are expected to have preparations in place for their families and pets so that they can fulfill their work obligations. It is also important to understand that UTHealth Houston is not a place of refuge for family and pets in emergency situations, hence the increased need for at home preparations.

  Students and employees are responsible for knowing how to access information about the UTHealth Houston's status of being open or in a restricted access situation. Students and employees must understand that if the institution is open, but they are unable to arrive to their class or workplace for whatever reason, the entity supervisor must be notified and the appropriate type of leave time must be utilized.

  Students and employees must understand that in situations where the institution is in a condition of 'controlled access', only those individuals absolutely needing access to university buildings will be allowed. Examples of such essential persons would include animal care workers and facilities support personnel. In situations where the institution is closed (e.g. government mandated evacuation), necessary building closure procedures will be instituted and upon completion no building access will be permitted. Any 'controlled' access or closing of buildings would be authorized by executive leadership per the Emergency Management Plan.

Information / Communication

  During the period governed by the EMP, information / communication will be driven by the UTHealth Houston Executive Team which retains the authority to suspend operations. The decision to suspend operations will be applied to all Schools and Departments on a consistent basis.

  Based upon the EMP, UTHealth Houston employees, in an emergency situation, may obtain information about the institution's official status by any of the following means:

- The emergency information phone lines (713) 500-9996, (713) 500-7999, and (866) 237-0107

- Viewing the UTHealth Houston Web at https://www.uthealthemergency.org/
- The UTHealth Houston emergency twitter feed (@UTHEmergency), and the UTHealth Houston Facebook page (UTHealthHouston)
- Harris County Psychiatric Center employees should call (713) 741-5001.

If operations must be suspended during normal business hours (8 a.m. to 5 p.m., Monday through Friday) the UTHealth Houston Executive Team will request that the UTHealth Houston Office of Public Affairs Teams notify all Level 4 Essential and Advisory personnel and administrative department heads.

For the 30 days subsequent to an event, the primary method for conveying campus information will be https://www.uthealthemergency.org/ The website will provide information regarding the status of facilities, information system, and operations utilizing a green, yellow, or red dashboard approach. A green status will mean fully operational, a yellow status will indicate diminished capacity, and a red status indicates complete closure/failure. In the event of a yellow or red status, additional information will be available by clicking on the yellow or red object.

The facility status will be reflected on a campus map with University buildings color-coded. This information would be updated, minimally, on a daily basis by the Office of Public Affairs (OPA) Communication team after receiving a status report from pre-defined facility coordinators. The facility coordinator's response is based upon input from UT Police, Facilities, and Environmental Health and Safety representatives. A shared facility / operations communication template is included in Appendix II.

Information system updates will be communicated by the OPA's Communication Team on a daily basis. It will be communicated on the university's intranet and the internet, primarily on uthealthemergency.org. The update will be provided to the OPA Communication Team by Information Technology's Disaster Recovery Team. Details surrounding the individual systems impacted will be provided in the event of a yellow or red status. Information systems will be grouped based upon the following categories:

- Campus Infrastructure
- Clinical Systems
- Academic Systems
- Administrative Systems
- Collaborative Technology

Operational status, independent of facility availability, will be indicated for each of the schools, HCPC, UT Physicians Clinics, and Administration. Any closures during the business continuity phase will be unique to the operational entity. This update will be provided, daily, to the OPA Communication Team by operational

leadership. Any change contrary to normal operations will be reflected by a yellow or red status with specific information related to that operational entity provided via web link.

Necessary Institutional Infrastructure and Services

The following eleven institutional infrastructures and services are considered to be essential to maintenance of an environment which can support efforts to maintain business continuity in the period 30 days after an event:

1. UT Police

Building access controls – locks, doors, security

Controlling community unrest

Crowd control

2. Facilities

Building integrity – roofs, walls, windows, doors

Building power – electrical, water, ventilation systems

Debris removal

3. Information Technology/Communications

Information technology – phones, Internet communications, data preservation, business information systems

4. Office of Public Affairs Communications Team

Sources of communications – ability to transmit key decisions and information to the institutional community

5. Environmental Health & Safety and Risk Management

Sanitation and health – the ability to determine if the work environment represents a potentially unsafe condition

Hazardous wastes – the ability to remove and manage any hazardous wastes

Insurance loss assessments – notifications and assessments by insurers

6. Center for Laboratory Animal Medicine and Care

Animal care – the uninterrupted support and care of research animals

7. Financial

The ability to purchase goods (procurement), bill for services (contracts, grants), manage cash, and manage capital assets

8. Human Resources / Payroll

Personnel policy – make decisions regarding return to work issues, hiring and separation of employees, maintain payroll (including time-keeping).

9. Medical billing

    The ability to charge and collect for services rendered

10. Registrar's Office

    Tracking of courses and grades for fulfillment of academic requirements

    Ability to process new applicants

11. Auxiliary Enterprises

    Student & Business Services – Cooley Center, Copy Services, Jesse Jones Library, Mail Services, Parking Services, Recreation Center, Shuttle Services, Bookstores, Dining & Catering, Housing, Travel & Mobility, UT Professional Building.

Business continuity worksheets have been completed for each of the institutional infrastructure units. In some cases, such as Informational Technology and UT Police, very detailed plans exist within the units. The operational entity level will rely on the listed institutional infrastructure systems as services to continue operations.

During the business continuity period, UT Police, Environmental Health and Safety, and Facilities will be working with the operational leadership to insure a safe working environment.

The process to initiate personnel, financial, and medical billing transactions will largely be dictated by the status of the information technology infrastructure. While the supporting systems (PeopleSoft FMS & HRMS, COUPA and EPIC) should be operational under the IT Disaster Recovery Plan within 48 hours, access to the information systems will only be available to a limited number of users within central processing. In the absence of institution-wide information system access, the tables following on pages 8-12 provide an overview of the processes related to procurement, capital asset management, cash management, human resources/payroll, and Auxiliary Enterprises parking. Process flows for these support services are included in Appendix I. The manual forms associated with the processes are included in Appendix III.

Business Continuity Plan
Functional Process – Disaster Recovery Mode
Procurement

Process Function	Process Steps	Affected Systems and Impact	Forms
Procurement Services Emergency Operational Instructions (See flowchart, Appendix I, Page 2)			
Place Order	User completes paper requisition form	FMS unavailable to end user	POS/Order Request Form (Appendix III Page 17)
BuyCard Transaction	Attach receipt to requisition form		
	Place in Emergency file		
Communications Available	Attach quotes to requisition for send to Published Procurement Fax/Email	Email/phone service available	
	Procurement places order		
	Attach packing list to requisition and place in Emergency file		
BuyCard / Communications not available	Procurement places order with supplier	Email/phone service unavailable	
	Send quotes, packing list & requisition to AP location for payment		
	Place copies in Emergency file		
Payment request for Non-PO invoices	Forward Non-PO voucher and invoices to Accounts Payable		Non-PO Voucher Request Form (Appendix III Page 14)

Capital Asset Management

Process Function	Process Steps	Affected Systems and Impact	Needed Forms
Inventory, Photograph, and Secure Damaged Assets (See flowchart, Appendix I, Page 3)			
Obtain applicable inventory list	Retrieve inventories through FMS	Limited FMS Asset Management module availability	
	Retrieve last printed inventories from OCB	If FMS is unavailable	
	Handwrite inventory list at location if OCB is not accessible		
Take inventory	Secure access to area		
	Video, photograph, scan equipment at site		Complete Missing, Damaged, or Stolen Property Report Form (Appendix III, Page 13)
Relocate equipment	ID authorized personnel to move property		
	Move equipment to OCB or other storage facility		
File and update inventory	Scan tagged equipment	Limited FMS Asset Management module availability	
	Complete removal forms and/or file and update		Complete Temporary Removal of Equipment Form (Appendix III Page 20)

Cash Management

Process Function	Process Steps	Affected Systems and Impact	Needed Forms
Cash Inflows Process (See flowchart, Appendix I, Page 4)			
Receipt of funds	Collection points identified and communicated	Limited FMS AR/Billing availability	Check Logs, Tamper-proof bag logs (Appendix III, Pages 10, 19)
	Make money run to various sites		
	Make daily deposit to bank		
Cash Outflows Process (See flowchart, Appendix I, Page 4)			
Petty Cash	Petty Cash / Cash Draw reimbursements needed		Petty Cash form (Appendix III, Page 15)
	Cash provided by Bursar		
	Return receipts to Bursar		
Payroll/Accounts Payable

Electronic Funds Transfer | Replenish the Bursar's fund

See Payroll process | | Request – Check Cancellation at Bank, ACH Stop Payment / Reversal, Request for Wire Transfer, Electronic Funds Transfer Request (Appendix III, Pages 2, 12, 18) |

Human Resources

Process Function	Process Steps	Affected Systems and Impact	Needed Forms
New Hire Process (See flowchart, Appendix I, Page 5)			
ID need	Department informs HR of new hire / hiring need and requirements	HRMS and FMS are impaired or down	
	Department works with procurement if not employee		
Required Paperwork	Application, background check, etc of chosen candidate completed		
	Department submits paper PA to SDR		New Hire / Rehire Request (Appendix III, Pages 5-8)
	SDR loads PA into system	Vacant position filled	

Payroll and Benefits

Pay Employee Process (See flowchart, Appendix I, Page 6)			
Summary data file to Payroll	Department collects time sheets for critical exceptions times and enters them on a summary data file	TMS unavailable	Time Report (Appendix III, Page 9)
	Department submits signed summary data file to Payroll		
	Payroll runs loaded data		
Payroll generates employee pay data	Payroll sends file to bank for Direct Deposit		
	Checks are printed and made available at announced site for distribution		
Separate Employees Process (See flowchart, Appendix I, Page 7)			
ID employee to be separated	Department notifies HR of employee and how separated for approval	HRMS and FMS are impaired or down	Termination / LOA Request (Appendix III, Page 3,4)
Enter request form	Request from entered by SDR once approval (if necessary) is received from HR		
Issue final paycheck and vacation payout	Payroll processes for final pay		
	Vacation payout for separated employee is delayed until crisis abates	Vacant position created in department	

Auxiliary Enterprises Parking

Process Function	Process Steps	Affected Systems and Impact	Needed Forms
Parking Services Operation Process			
Staff availability	Parking made accessible during emergency by Department		
	Manager checks on employee's safety and ability to return to work		
Open parking lots	Managers decide on most critical parking areas		
	OCB, RPC, MSB Loading Dock, & SON entrance/exit gates locked in up positions until emergency is over		
	If UCT, JJL and UPG parking facilities are accessible, parking staff will monitor ingress and egress.		
Payments	Temporary Hang Tags will be required in OCB A & B lots until emergency is over		
	Gate at OCB to annex and loading dock will remain open		
	UCT, JJL and UPG parking garage patrons will be assessed charges at automated equipment or parking offices		
Deposits	Deposits & daily work done remotely	If FMS is available	