



# Administration & Finance

Policy & Procedure

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**Issuing Office:** Vice Chancellor  
for Administration and Finance

**Policy Number:** FY14-A&F-006-00

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**Policy Name:** Business Continuity Planning Policy

**Original Date Issued:** August 13, 2014

Revision #:

Last Update:

**Purpose of Policy:**

The emergency management program includes a comprehensive and effective program encompassing risk assessment, risk mitigation, emergency preparedness and response, training and exercising and business continuity to strengthen crisis and consequence management capabilities. Despite these measures, there are a variety of risks that can disrupt a university's teaching, research and public service mission.

In order to sustain the campus, individual departments must prepare for three different types of potential disruption:

- Denial / loss of access to a facility (such as damage to the building);
- Service interruption due to a reduced workforce (such as a communicable disease); and
- Service interruption due to equipment or systems failure (such as IT systems failure).

**Applicable to:** All university departments identified as providing essential university functions.

**Policy:**

Every UMass Boston department is encouraged to complete a continuity of operations plan using the UMass Boston Ready tool. This system is maintained and facilitated by the Office of Emergency Management and Business Continuity.

Departments that provide the following essential functions are required to complete continuity of operations plans and to revise them annually and as changes require.



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## Departments Requiring Continuity Plans

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|---|-----------------------------|
| The Office of Budget & Financial Planning | Facilities Department       |
| Chancellor's Office                       | Office of Student Housing   |
| Provost's Office                          | Human Resources             |
| Controller's Office                       | Information Technology      |
| Emergency Management /Business Continuity | Department of Public Safety |
| Enrollment Management                     | Contracts and Compliance    |
| Environmental Health and Safety           | Communications              |

All Business Continuity Plans must be approved by the respective Vice Chancellor, reviewed annually and uploaded to UMass Boston Ready.

### **Procedure:**

While some university departments are tasked with emergency response, most departments must respond to emergencies by evacuating or otherwise following the instructions of first responders. When an emergency takes place and the campus is closed or has limited access, departments must refer to their individual continuity of operations plans.

The Emergency Manager will assist departments implement readiness planning for such events through the use of an online software tool known as UMass Boston Ready. This tool enables departments to produce continuity plans. It is designed to be user friendly and efficient in both time and effort through fill-in-the-blank features and drop-down lists. The tool has been customized for the University of Massachusetts Boston's departments to use to create their own continuity plans.

The tool asks departments to assess critical functions and name staff responsible for them. Managers must associate only the following staff with critical functions in department Continuity Plans :

- Staff identified as "Essential Personnel"
- Staff identified as "On Call"
- Staff who have agreed to perform critical functions during a campus closure.



Functions are divided into tiers by criticality. Tier 1 functions must be completed within 24 hours. They may not be deferred longer than that. Tier 2 functions may be deferred a day, but must be completed within 72 hours. Tier 3 functions may be deferred 72 hours but must be restarted within a week. Finally, Tier 4 functions may pause for one week if forced to do so, but must restart within 30 days. Continuity plans name critical functions and list staff associated with performing these functions. Staff named in continuity plans must be informed that if a campus disruption is ongoing, they may be activated as “Tier 1, 2, 3 or 4 Critical” staff and will be called upon to perform the function as described in their department continuity plan.

### Levels of Criticality:

- **Tier 1: 0 to 24 Hours** – These functions include those with the direct and immediate effect on the Department / University to preserve life, safety, property and have an effect on damaging the University’s reputation. (*Examples: utility plant management, public safety, animal feeding, IT security.*)
- **Tier 2: 24+ Hours to 72 Hours** – These functions are necessary for Department / University core functioning. They must be restored within 72 hours. (*Examples: depending on calendar, could include payroll, grades*)
- **Tier 3: 72+ Hours to 1 Week** – These functions support Department / University objectives and have great consequences if paused for more than one week. Must be restored sooner than 7 days. (*Examples: depending on calendar, could include admissions letters, mailings, certain repairs.*)
- **Tier 4: 1 Week+ to 30 Days** - These functions are not critical for core functioning of the Department / University and may pause for a week but must restart within 30 days. (*Examples: depending on calendar, could include event scheduling, certain correspondence, long-term planning meetings.*)

When a disruption occurs affecting the campus, the Incident Commander will activate the Emergency Response Team and may call for the activation of department continuity plans. Independent of an announcement from the Incident Commander, a Department Manager may activate his/her continuity plan if he or she determines the need to do so.

Two main categories of staff may be required to work when the campus is closed for an emergency:

**Emergency Response Team:** This team may include those individuals identified as Essential Personnel and On-Call personnel who may be called upon to act as part of the



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Emergency Response Team. These employees report to work per department protocols or are activated by the Incident Commander as needed.

Continuity of Operations Critical Personnel : These are staff designated as critical in approved department continuity plans. These staff may be called in immediately or later in the disruption, according to the Tier status of the function they perform. Someone identified as Tier 1 Critical must report immediately (either in person or virtually, as specified within the continuity plan) while someone associated with a Tier 3 function may be required to work after two days. Staff identified in continuity plans must be informed of their status and expect to be called to perform their respective functions according to the department continuity plan.

## Training

Training in continuity planning is provided annually by the Office of Emergency Management and Business Continuity or as requested by departments. Preparedness exercises designed to test continuity plans can be arranged to assist departments in their planning.

## Definitions:

Continuity Planning: a collaborative effort to ensure that critical functions of the University may continue to function across a wide range of potential emergencies.

A Continuity Plan: a set of documented department processes and procedures which will enable the university to continue or recover time sensitive critical functions to the minimum acceptable level within the timeframe acceptable to the entity.

COOP: government terminology for business continuity planning.

Disaster Recovery Plan: IT plans with a technical focus, geared specifically for restoration of systems and data.

UMass Boston Ready: a web-based system for higher ed continuity planning designed at the University of California Berkeley specifically for the needs of universities and colleges.

Essential Personnel: “Only those classified staff employees specifically identified and designated as essential personnel shall be required to work during an inclement weather or hazardous condition. Inclement weather or hazardous condition shall exist whenever the campus announces a closing or delayed opening in accordance with the “Snow and Emergency Weather Policies and Procedures” as may be amended from time to time, or, in the absence of such announcement (e.g. on weekends), whenever the Director of



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Facilities or the Director of Public Safety determines that an inclement weather or hazardous condition exists; provided, such inclement or hazardous condition shall commence at the start of the next shift following such announcement or as otherwise specified (such as the case of an early closing announcement) and shall continue until 7:00am on the morning following the last day of any such inclement weather or hazardous condition.” – Classified Staff Union Contract

On-Call Personnel: “Only those professional staff members specifically identified and designated as on-call may be assigned to specific periods of duty. If so designated, such staff member must be available during assigned duty, and must respond when called.” – Professional Staff Union Contract

## **Forms:**

### **Kuali Interview Form**

**Oversight Department:** Vice Chancellor for Administration and Finance

**Responsible Party within Department:** Emergency Manager

**Monitoring:** Annual and as needed.

**Authority:** DOC. T99-060, Passed by the UMass BOT 8/4/99, revised 12/14/11. University of Massachusetts Emergency Management and Business Continuity and Planning Policy

**Related Documents:** UMass Boston Ready booklet, questionnaire.