UMass Boston | Administration & Finance
Policy & Procedure

Issuing Office: Vice Chancellor for Administration and Finance

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

Policy Name: Business Continuity Planning Policy

Original Date Issued: August 13, 2014
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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 four 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)
- Service interruption due to loss of a critical service provider.

Applicable to: All university departments identified as providing critical university functions.

Policy:

Every UMass Boston department is encouraged to complete a business continuity plan. This system is maintained and facilitated by the Office of Emergency Management.

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Departments that provide critical functions on campus are required to complete a business continuity plan, and to revise their plan annually. Information Technology will also complete and annually revise a Disaster Recovery Plan with a technical focus, geared specifically for restoration of systems and data.

A list of Vice Chancellor Areas that have critical functions within their departments on campus are listed below.

Vice Chancellor Areas Requiring Individual Department Business Continuity Plans:

Academic Affairs
Administration and Finance
Athletics
Chancellor's Office
Enrollment Management
Human Resources
Information Technology
Marketing and Engagement
Office of Inclusive Excellence and Belonging
Student Affairs
University Advancement

All Business Continuity Plans must be approved by the respective Vice Chancellor or Provost, reviewed annually, and uploaded to the Business Continuity Team in Microsoft Teams.

Business Continuity Managers:

A business continuity manager will be assigned for each Vice Chancellor area. Business continuity managers will work with the Office of Emergency Management to determine which departments within their area have critical functions and require completion of a department Business Continuity Plan. The Office of Emergency Management will provide business continuity training for Continuity Managers.

Due to structural complexity, a Continuity Coordinator will be assigned at each college level within Academic Affairs. Continuity Coordinators will report up to the Academic Affairs Continuity Manager.

Procedure:

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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 business continuity plans.

The form asks departments to list critical functions and name staff responsible for them. Managers must associate only the following staff with critical functions in department business 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. Business continuity plans name critical functions and list staff associated with performing these functions.

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.)*

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When a disruption occurs affecting the campus, the Incident Commander may activate the Emergency Operations Center (EOC) Team and depending upon the level of disruption may call for the activation of department business continuity plans.

Two main categories of staff noted below who may be required to work[1] when the campus is closed for an emergency are Essential Personnel and On-Call Personnel. These two categories of staff are defined in the definitions section below.

Training:

Training for Business Continuity Managers will be provided by the Office of Emergency Management upon request.

Definitions:

Business 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 or as required by law or other governing authority.

Business Continuity Planning: a collaborative effort to assure that critical functions of the university may continue to operate across a wide range of potential emergencies.

Critical Functions: The essential activities performed by departments that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

Business Continuity Manager: Coordinator in a VC or Provost Area assigned to assisting departments with annual plan updates, and providing updated plans to the Office of Emergency Management

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

Essential Personnel: "those staff members who will be required to either remain on campus, report to campus or work remotely during their regular work shift – even if the

[1] Subject to applicable bargaining agreement terms, see "Essential Personnel" definition below

University is closed, has a delayed opening, or an early closure due to inclement weather or other hazardous condition, for example snow clearing operations"

Stand-By Personnel or On-Call Personnel: "a staff member instructed to be available to report to duty when necessary for example a plumber."

Oversight Department: Vice Chancellor for Administration and Finance

Responsible Party within Department: Director of Emergency Management

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 Emergency Operations Plan, Business Continuity Planning Form, Critical Function Worksheet, Disaster Recovery Plan

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