

**Doc. T99-060, as amended**

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*August 4, 1999*

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**UNIVERSITY OF MASSACHUSETTS  
EMERGENCY MANAGEMENT AND BUSINESS CONTINUITY AND PLANNING POLICY**

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Programs to create and maintain safeguards, emergency management and business continuity are essential to ensure that the University of Massachusetts (University) mitigates risks and is able to continue to perform its mission in the event of natural or human-caused disasters or other extraordinary events that might disrupt normal operations. Emergency management and business continuity programs are vital in protecting the safety and welfare of University faculty, staff, students and associates; in minimizing damage to, and loss of University property and assets; and in restoring normal University operations as rapidly as possible.

- The University will take an all-hazards approach to prevent, mitigate, prepare for, respond to, and recover from the impact against any natural or human caused disaster. The goal is to create a disaster-resilient University with effective crisis and consequence management capability.
- The University's emergency management and business continuity programs will be guided by nationally recognized industry standards and best practices as determined and set by the President.
- The University will employ a system-wide integrated multidisciplinary approach to emergency management and business continuity not only to prepare each University campus and President's Office to disasters, but in identifying opportunities to coordinate and collaborate to achieve a common goal.
- The emergency management and business continuity programs will maintain 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 across the University system.

The President shall develop and issue guidelines for campuses to follow in the implementation of this policy.

**GUIDELINES TO IMPLEMENT THE UNIVERSITY OF MASSACHUSETTS  
EMERGENCY MANAGEMENT AND BUSINESS CONTINUITY AND PLANNING POLICY  
(Doc. T99-060, Revised 12/14/11)**

The implementation of the University of Massachusetts (UMass) Policy on Emergency Management and Business Continuity is: to protect members of the UMass community and campus assets against the impact of natural or human caused hazards; to effectively respond to such hazards; and to expeditiously recover and reconstitute educational, research and public services with minimum disruption to the UMass community. The following guidelines present the foundation for accomplishing this goal.

These Guidelines are issued by the President's Office pursuant to the Board of Trustees' Policy Statement on Emergency Management and Business Continuity (DOC. T99-060 revised December 14, 2011) and provides a consistent framework on how campus emergency management and business continuity programs will be guided and the strategic process by which the University will prioritize emergency management and business continuity strategic activities. The guidelines follow nationally recognized industry standards and best practices on emergency management and business continuity, interpreted for the University's context.

To maximize the goal of creating a disaster resilient University, the program should be systematically integrated into all aspects of University emergency management and business continuity operations. This will require communication, coordination, collaboration, and a focused effort from the entire UMass system.

**Emergency Management and Business Continuity Guiding Principles**

The University recognizes the vision and mission defined by International Association of Emergency Managers in the Principles of Emergency Management and recognizes the principles defined as the baseline for the activities in emergency management and business continuity at each University campus and the President's Office:

- **Comprehensive** – Consider and take into account all hazards, all phases, and all impacts relevant to the crisis, incident and disaster.
- **Progressive** – Anticipate future crises, incidents and disasters and take preventive and preparatory measures to build a disaster-resilient University.
- **Risk-driven** – Use sound risk management principles (hazard identification, risk analysis, and impact analysis) in assigning priorities and resources.
- **Integrated** – Ensure unity of effort among all levels of administration and all elements of the University community.
- **Collaborative** – Create and sustain broad and sincere relationships among individuals, campuses, and organizations to encourage trust, advocate a team atmosphere, build consensus, and facilitate communication.

- **Coordinated** – Synchronize the activities of all campuses, communities and state stakeholders to achieve a common purpose.
- **Flexible** – Use creative and innovative approaches in solving crisis, incident and disaster challenges.

The UMass President’s Office established the following four components for implementation of the policy:

- Component 1: Appointment of Responsible Parties
- Component 2: Appointment of System Multidisciplinary Committee Members
- Component 3: Strategic Planning Process
  - Phase 1: Conduct Self-Assessment
  - Phase 2: Develop System-Wide Summary Report
  - Phase 3: Determine System-Wide Strategic Priorities
  - Phase 4: Develop Three-Year Strategic Plan
  - Phase 5: Submit Annual Status Report
- Component 4: Maintenance

### **Component 1: Appointment of Responsible Parties**

The President, together with the Chancellors or their designees, shall appoint an individual(s) at each campus and President’s Office who is responsible for emergency management, business continuity and implementation of these guidelines.

### **Component 2: Appointment of System-Wide Multidisciplinary Committee Members**

The President, together with the Chancellors or their designees, shall designate two or more responsible individuals at each campus and President’s Office to serve on a System-Wide Multidisciplinary Emergency Management and Business Continuity Committee (Committee). The mission of the Committee is to foster communication, coordination, and collaboration among UMass campuses to assist in prioritizing system-wide emergency management and business continuity activities and in identifying resource requests that will benefit the University.

The committee will periodically report to the Administration and Finance Council.

### **Component 3: Strategic Planning Process**

The strategic planning process is a comprehensive program approach to emergency management and business continuity planning through five distinct phases. The process provides the University with a consistent approach to determine potential opportunities for collaboration, highlight University best practices, identify potential resource requests and prioritize University system-wide strategic priorities.

- **Phase 1: Conduct Self-Assessment:** Each campus and the President’s Office are required to conduct a self-assessment within six months of the guidelines issue date and submit it to the President’s Office. Campus and President’s Office self-assessments are to be benchmarked against the 2010 Emergency Management Standards by the Emergency Management

Accreditation Program (EMAP). This collaboratively developed standard was developed in a series of working groups of emergency management stakeholders from government, institutions of higher education, business and other sectors, and continues to evolve to represent the best in emergency management and business continuity. In addition it is one of two standards the International Association of Emergency Managers states as the principal standard used in emergency management.

The President's Office developed a benchmarking guide for each of the standards 64 programmatic criteria. This benchmarking guide is included in Attachment A.

- **Phase 2: Develop System-Wide Summary Report:** Within eight months of the guidelines issue date the President's Office will develop a summary report for distribution to the Committee that will include potential opportunities for collaboration and highlight University best practices.
- **Phase 3: Determine System-Wide Strategic Priorities.** The Committee and the President's Office will review the summary report, select best practices and industry standards to develop system-wide emergency management and business continuity strategic priorities. This process will allow for a collaborative approach to determine system-wide priorities and solutions as well as ensure that identified solutions reflect University system-wide needs and resources.
- **Phase 4: Develop Three-Year Strategic Plan:** Each campus and the President's Office are responsible for developing a three-year emergency management and business continuity strategic plan. The three-year strategic plan must include the strategic goals of each campus and President's Office, as well as incorporate system-wide strategic priorities.
- **Phase 5: Submit Annual Status Report:** Every December, each campus and the President's Office are responsible for submitting a status report to the President on their three-year strategic plan.

#### **Component 4: Maintenance**

The President's Office is responsible for maintenance of the guidelines, which will be updated annually, or as needed. Every three years, each campus and the President's Office will conduct a self-assessment. The self-assessment will be based on recognized industry standards and best practices. The President's Office will develop the benchmarking guide for the self-assessment.

## Attachment A: Self-Assessment Benchmarking Guide

**Insert Name of Campus:**

**Date of Self-Assessment:**

**Insert Point of Contact:**

Please self-assess your campus emergency management and business continuity program against each of the 64 Emergency Management Accreditation Program (EMAP) Emergency Management Standards. Please answer yes or no for each standard and provide a brief description of your campus activity(s). The results of the self-assessment will be compiled into a system-wide summary report used to identify potential opportunities for system-wide collaboration and highlight University best practices.

EMAP Standard Program Elements	Yes/No	Brief Description
<b>3.1 Emergency Management Program Administration, Plans and Evaluation</b>		
<b>3.1.1:</b> The campus has a documented Emergency Management Program that includes an executive policy or vision statement for emergency management, a multi-year strategic plan, developed in coordination with Emergency Management Program stakeholders that defines the mission, goals, objectives, and milestones for the Emergency Management Program and includes a method for implementation.		
<b>3.1.2:</b> The Emergency Management Program has a documented method and schedule for evaluation, maintenance, revision and corrective actions for elements contained in Chapter 3 and Chapter 4 and shall conduct an evaluation of the objectives consistent with the program policies.		
<b>3.2 Emergency Management Program Coordination</b>		
<b>3.2.1:</b> There shall be a designated emergency management agency, department or office established for the campus empowered with the authority to administer the Emergency Management Program on behalf of the campus.		
<b>3.2.2:</b> There is a designated individual empowered with the authority to execute the Emergency Management Program on behalf of the campus.		
<b>3.3 Advisory Committee</b>		
<b>3.3.1:</b> There shall be a documented, ongoing process utilizing one or		

EMAP Standard Program Elements	Yes/No	Brief Description
<p>more committees that provide for coordinated input by Emergency Management Program stakeholders in the preparation, implementation, evaluation, and revision of the Emergency Management Program.</p>		
<p><b>3.3.2:</b> The advisory committee(s) shall meet based on a frequency determined by the Emergency Management Program Coordinator sufficient to provide for regular input.</p>		
<p><b>4.1 Administration and Finance</b></p>		
<p><b>4.1.1:</b> The Emergency Management Program shall develop financial and administrative procedures or follow existing University-wide procedures for use before, during, and after an emergency or disaster.</p>		
<p><b>4.1.2:</b> Procedures exist to provide for maximum flexibility to expeditiously request, receive, manage, and apply funds in emergency situations to ensure timely delivery of assistance and cost recovery.</p>		
<p><b>4.2 Laws and Authorities</b></p>		
<p><b>4.2.1:</b> The Emergency Management Program shall comply with applicable legislation, regulations, directives and policies. Legal authorities provide flexibility and responsiveness to execute emergency management activities in emergency and non-emergency situation. The Emergency Management Program's responsibilities are established in state, local and University law or policies. Legal provisions identify the fundamental authorities for the Emergency Management Program, planning, funding mechanisms and continuity of government.</p>		
<p><b>4.2.2:</b> The Emergency Management Program has established and maintains a process for identifying and addressing proposed legislative and regulatory changes.</p>		
<p><b>4.3 Hazard identification, Risk Assessment and Consequence Analysis</b></p>		
<p><b>4.3.1:</b> The Emergency Management Program shall identify the natural and human-caused hazards that potentially impact the campus using a broad range of sources. The Emergency Management Program shall</p>		

EMAP Standard Program Elements	Yes/No	Brief Description
assess the risk and vulnerability of people, property, the environment, and its own operations from these hazards.		
<b>4.3.2:</b> The Emergency Management Program shall conduct a consequence analysis for the hazards identified in 4.3.1 to consider the impact on the public; responders; continuity of operations including continued delivery of services; property, facilities, and, infrastructure; the environment; the economic condition of the campus and public confidence in the campuses governance.		
<b>4.4 Hazard Mitigation</b>		
<b>4.4.1:</b> The Emergency Management Program shall develop and implement its mitigation program to eliminate hazards or mitigate the effects of hazards that cannot be reasonably prevented. The mitigation program identifies ongoing opportunities and tracks repetitive loss. The Emergency Management Program implements mitigation projects according to a plan that sets priorities based upon loss reduction.		
<b>4.4.2:</b> The mitigation program includes participation in applicable federal, state/territorial, tribal, local, University, and/or public/private mitigation efforts		
<b>4.4.3:</b> The Emergency Management Program provides technical assistance consistent with the scope of the mitigation program, such as implementing building codes, fire codes, and land-use ordinances.		
<b>4.4.4:</b> The Emergency Management Program shall implement a process to monitor overall progress of the mitigation strategies, document complete initiatives, and resulting reduction or limitation of hazard impact in the campus.		
<b>4.4.5:</b> The mitigation plan shall be based on the natural and human-caused hazards identified by the Emergency Management Program and the risk and consequences of those hazards. The mitigation plan for the campus is developed through formal planning processes involving Emergency Management Program stakeholders and shall establish interim and long-term strategies, goals, objectives, and actions to reduce risk to the hazards identified. The Emergency Management		

EMAP Standard Program Elements	Yes/No	Brief Description
Program implements a process and documents project ranking based upon the greatest opportunity for loss reduction and documents how specific mitigation actions contribute to overall risk reduction.		
<b>4.5 Prevention</b>		
<b>4.5.1:</b> The campus shall develop and implement processes to prevent incidents. Prevention processes shall be based on information obtained from Section 4.3, intelligence activities, threat assessments, alert networks and surveillance programs and other sources of information obtained from internal and external stakeholders.		
<b>4.5.2:</b> The campus shall have a strategy among disciplines to coordinate prevention activities, to monitor the identified threats and hazards, and adjust the level of prevention activity commensurate with the risk.		
<b>4.5.3:</b> Procedures shall be developed to exchange information among internal and external Emergency Management Program stakeholders to prevent incidents.		
<b>4.6 Operational Planning</b>		
<b>4.6.1:</b> The Emergency Management Program, through formal planning processes involving stakeholders, has developed the following plans: communications (see 4.10.1), emergency operations, recovery, continuity of operations, and continuity of government. The process addresses all hazards identified in Chapter 4.3, and provides for regular review and update of plans.		
<b>4.6.2:</b> The emergency operations plan, communications, recovery, continuity of operations and continuity of government plans shall address the following: (1) Purpose, scope and/or goals and objectives (2) authority, (3) situation and assumptions, (4) functional roles and responsibilities for internal and external agencies, organizations, departments and positions, (5) logistics support and resource requirements necessary to implement plan, (6) concept of operations, and (7) plan maintenance.		
<b>4.6.3:</b> The emergency operations/response plan shall identify and assign specific areas of responsibility for performing essential functions in		



EMAP Standard Program Elements	Yes/No	Brief Description
<p>response to an emergency or disaster. Areas of responsibility to be addressed include: (1) direction/control and coordination; (2) information and planning; (3) detection and monitoring; (4) alert and notification; (5) warning; (6) communications; (7) emergency public information; (8) resource management; (9) evacuation; (10) mass care; (11) sheltering; (12) needs and damage assessment; (13) mutual aid; (14) military support; (15) donation management; (16) voluntary organizations; (17) law enforcement; (18) firefighting/fire protection; (19) search and rescue; (20) public health and medical; (21) agriculture; (22) animal management; (23) food, water and commodities distribution; (24) transportation resources; (25) energy and utilities services; (26) public works and engineering services; (27) hazardous materials; (28) special needs populations; and (29) fatality management and mortuary services.</p>		
<p><b>4.6.4:</b> The recovery plan or strategy shall address short- and long-term recovery priorities and provide guidance for restoration of critical functions, services, vital resources, facilities, programs, and infrastructure to the affected area.</p>		
<p><b>4.6.5:</b> Continuity of operations plans (COOP) shall identify and describe how essential functions will be continued and recovered in an emergency or disaster. The plan(s) shall identify essential positions and lines of succession, and provide for the protection or safeguarding of critical applications, communications resources, vital records/databases, process and functions that must be maintained during response activities and identify and prioritize applications, records, processes and functions to be recovered if lost. Plan(s) shall be developed for each organization performing essential functions. The plans address alternate operating capability and facilities.</p>		
<p><b>4.6.6:</b> The continuity of government (COG) plan shall identify how the campuses constitutional responsibilities will be preserved, maintained, or reconstituted. The plan shall include identification of succession of leadership, delegation of emergency authority, and command and control.</p>		

EMAP Standard Program Elements	Yes/No	Brief Description
<b>4.7 Incident Management</b>		
<p><b>4.7.1:</b> The Emergency Management Program formally adopts an incident management system. The system shall include but not be limited to the following concepts: modular organization, unified command, multi-agency coordination, span of control, common terminology, action planning process, comprehensive resource management, integrated communications and pre-designated facilities.</p>		
<p><b>4.7.2:</b> The Emergency Management Program shall designate a single point of contact to serve as the coordinator for the incident management system implementation.</p>		
<p><b>4.7.3:</b> The Emergency Management Program shall ensure all personnel with an emergency response role receive training on its incident management system.</p>		
<p><b>4.7.4:</b> The Emergency Management Program shall ensure that procedures address coordination activities with all personnel in an emergency response role including superior, subordinate and lateral elements as well as all University campuses.</p>		
<p><b>4.7.5:</b> The incident management system shall include specific organizational roles and responsibilities for each incident management function.</p>		
<b>4.8 Resource Management and Logistics</b>		
<p><b>4.8.1:</b> The Emergency Management Program has a resource management system that includes objectives and implementing procedures that address the identification, location, acquisition, storage, maintenance and testing, timely distribution, and accounting for services and materials to address the hazards identified by the campus.</p>		
<p><b>4.8.2:</b> Resource management objectives shall be established by conducting a periodic gap analysis.</p>		
<p><b>4.8.3:</b> Resource needs and shortfalls are identified by the Emergency Management Program through a comprehensive assessment that is conducted periodically. Resource needs and shortfalls are prioritized</p>		

EMAP Standard Program Elements	Yes/No	Brief Description
and addressed through a variety of initiatives, which include the budget process, executive process, mutual aid agreements, memoranda of understanding, contractual service agreements, or business partnerships and steps necessary to overcome any shortfalls.		
<b>4.8.4:</b> The resource management system includes procedures that address the following: (1) Activating those processes prior to and during an emergency; (2) Dispatching resources prior to and during an emergency; and (3) Deactivating or recalling resources during or after an emergency.		
<b>4.8.5:</b> The Emergency Management Program maintains a system and a plan for obtaining internal and external resources.		
<b>4.8.6:</b> The Emergency Management Program shall have an implemented resource management process allowing for acceptance, management, and distribution of donation of goods and materials, services, personnel, financial resources and facilities either solicited and/or unsolicited.		
<b>4.9 Mutual Aid</b>		
<b>4.9.1:</b> The Emergency Management Program shall implement mutual aid agreements in plans and/or procedures.		
<b>4.9.2:</b> The Emergency Management Program shall maintain and implement mutual aid agreements, contractual service agreements, memoranda of understanding, and regional and/or other arrangements that provide additional equipment, supplies, facilities, and/or personnel.		
<b>4.10 Communications and Warning</b>		
<b>4.10.1:</b> The Emergency Management Program has developed and maintains a plan to communicate both internally and externally with all Emergency Management Program stakeholder (higher, laterally and subordinate) and emergency personnel; system interoperability has been addressed in the development process. Communications have been designed for the specific hazards and requirements of the campuses potential operating environments, is sufficiently robust to support all components of the response and recovery plans, and includes		

EMAP Standard Program Elements	Yes/No	Brief Description
redundancy to provide alternative means of communications in case of failure in primary system(s).		
<b>4.10.2:</b> Communications systems are regularly tested on an established schedule under operational conditions and results documented and addressed.		
<b>4.10.3:</b> The Emergency Management Program has developed and maintains a plan to initiate, receive, and/or relay warnings to alert key decision makers and emergency personnel. This capacity has been designed for the specific hazards and requirements of the campuses potential operating environments, and includes redundancy to provide alternative means of notification in case of failure in primary system(s).		
<b>4.10.4:</b> Notification systems are regularly tested on an established schedule under operational conditions and results documented and addressed.		
<b>4.10.5:</b> The Emergency Management Program has developed and maintains a plan to disseminate emergency alerts and warnings to the public potentially impacted by an actual or impending emergency and to communicate reliably with the population within its campus. Communications have been designed for the specific hazards and requirements of the program’s potential operating environments, and include redundancy to provide alternative means of warning in case of failure in primary system(s). The plan addresses dissemination of alerts and warnings to vulnerable populations as defined by the Emergency Management Program.		
<b>4.10.6:</b> Warning systems are regularly tested on an established schedule under operational conditions and results documented and addressed.		
<b>4.10.7:</b> Emergency Management Program has developed and maintains formal written procedures to ensure personnel familiarity with and the effective operation of the systems and capabilities of the Communications (4.10.1), Notification (4.10.3) and Warning (4.10.5) systems. These procedures address the specific hazards and requirements of the Emergency Management Program’s potential		

EMAP Standard Program Elements	Yes/No	Brief Description
operating environments, clearly delineate any decision making processes or triggering events, and are reviewed and updated regularly on an established schedule. The review/update process is recorded and documented.		
<b>4.11 Operations and Procedures</b>		
<b>4.11.1:</b> The Emergency Management Program shall develop procedures to implement all plans.		
<b>4.11.2:</b> Procedures shall reflect operational priorities including life, safety, health, property protection, environmental protection, restoration of essential utilities, restoration of essential functions and coordination among all levels of government.		
<b>4.11.3:</b> Procedures will be applicable to all hazards identified in the Hazard Identification and Risk Assessment.		
<b>4.11.4:</b> Procedures shall be developed to guide situation and damage assessment, situation reporting and incident action planning.		
<b>4.12 Facilities</b>		
<b>4.12.1:</b> The Emergency Management Program has a primary and alternate facility capable of coordinating and supporting sustained response and recovery operations consistent with the Emergency Management Program’s risk assessment.		
<b>4.12.2:</b> The Emergency Management Program has established and tested procedures for activation, operation, and deactivation of primary and alternate facilities.		
<b>4.13 Training</b>		
<b>4.13.1:</b> The Emergency Management Program has a formal, documented training program composed of training needs assessment, curriculum, course evaluations, and records of training. The training needs assessment shall address all personnel with responsibilities in the Emergency Management Program, including key public officials.		

EMAP Standard Program Elements	Yes/No	Brief Description
<p><b>4.13.2:</b> Emergency personnel receive and maintain training consistent with their current and potential responsibilities. Specialized training related to the threats confronting the campus is included in the training program.</p>		
<p><b>4.13.3:</b> Training is regularly scheduled and conducted in conjunction with the overall goals and objectives of the training program. Training is based on the training needs assessment, internal and external requirements and mandates (i.e NIMS) and addresses deficiencies identified in the corrective action process.</p>		
<p><b>4.13.4:</b> Records are maintained of the training program including names of those who received training; the types of training planned and conducted; names and qualifications of trainers. The length of time training records will be maintained shall be specified in the training program.</p>		
<p><b>4.14 Exercises, Evaluations and Corrective Actions</b></p>		
<p><b>4.14.1:</b> A documented exercise program is established that regularly tests the skills, abilities, and experience of emergency personnel as well as the plans, policies, procedures, equipment, and facilities of the Emergency Management Program. The exercise program is tailored to the range of hazards that confronts the campus.</p>		
<p><b>4.14.2:</b> The Emergency Management Program shall evaluate plans, procedures, and capabilities through periodic reviews, testing, post-incident reports, lessons learned, performance evaluations, exercises and real-world events. The products of these evaluations are documented and disseminated within the Emergency Management Program including and to key stakeholders and selected partners.</p>		
<p><b>4.14.3:</b> A process for corrective actions shall be established and implemented to prioritize and track the resolution of deficiencies in real world and exercise events. Corrective actions identified in the corrective action process shall be used to revise relevant plans.</p>		
<p><b>4.15 Crisis Communication, Public Education and Information</b></p>		

EMAP Standard Program Elements	Yes/No	Brief Description
<p><b>4.15.1:</b> The Emergency Management Program develops and maintains a documented plan and procedures for its public information function. The public information plan is designed to inform and educate the public about hazards, threats to public safety, and risk reduction through various media. The public information plan provides for timely and effective dissemination of information to protect public health and safety, including response to public inquiries and rumors. Protocols are developed to interface with public officials and VIPs. Procedures include a process for obtaining and disseminating public information materials in alternative formats.</p>		
<p><b>4.15.2:</b> The Emergency Management Program shall establish an emergency public information capability that includes: (1) a central contact facility for the media; (2) pre-scripted information bulletins; (3) method to coordinate and clear information for release; (4) capability of communicating with special needs populations; and (5) and protective measure guidelines.</p>		
<p><b>4.15.3:</b> Procedures are in place and tested to support a joint information system and center.</p>		
<p><b>4.15.4:</b> The Emergency Management program has designated and trained spokespersons qualified to deliver the Emergency Management Program’s message, appropriate to hazard and audience.</p>		
<p><b>4.15.5:</b> The Emergency Management Program provides information and education to the public concerning threats to life, safety, and property. These activities include information about specific threats, appropriate preparedness measures, and actions to mitigate the threats including protective actions. Public outreach activities are initiated to ensure that diverse populations are appropriately advised.</p>		