**##School Name##**

**##Office Name##**

**Business Continuity Plan**

This Business Continuity Plan outlines how the ##Office Name## will perform essential operations when it may not be possible for work to be conducted in the office due an emergency situation, infectious disease situation, or other circumstances when it may be necessary to conduct essential operations outside of the normal structure.

The plan is designed to be fluid based on the nature of the circumstances surrounding the need to use it. The information below outlines the general structure for business continuity, as well as the individuals with responsibility over key functional areas that need to be addressed in an emergency situation.

1. **Office Leadership**

The following individuals are designated as senior management within the office. If a situation arises where the Director is not available to fulfil their role, the two Senior Associate Directors will assume the responsibilities of the Director.

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| **Name** | **Cell** | **Work** | **email** |
| Director, Name | xxx-xxx-xxxx | xxx-xxx-xxxx | Work e-mail address |
| Senior Associate Director of Compliance, Name | xxx-xxx-xxxx | xxx-xxx-xxxx | Work e-mail address |
| Senior Associate Director of Operations, Name | xxx-xxx-xxxx | xxx-xxx-xxxx | Work e-mail address |

1. **Essential Personnel and Functions**

The primary functional areas of the office are identified in the ##Office Name## Strategic Plan. They are:

* Compliance
* Customer Service/Verification
* Grants (includes third party programs)
* Loans
* Satisfactory Academic Progress
* Scholarships
* Senior Management
* Student Employment
* Technology

The following outlines the essential functions of each area that must be considered should there be an emergency interruption to the normal workflow. “SM” is the designated senior management individual with oversight of the area, while the “Manager” is the supervisor of daily operations and staff within the applicable area. It is understood that the Director has oversight over all areas.

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| **Functional Area** | **Responsible Personnel** | **Essential Functions** |
| Compliance | SM – Name  Manager – Name | Communication – If warranted, updating newsletters and/or information for our website and Facebook.  FA Hour Appeals – Coordinate with the Registrar’s Office and continue working.  FISAP – Excluding any relief provided by the Department of Education (ED), all deadlines must be adhered to with reporting.  Packaging Clean Up Queries – If packaging is still running, these must be worked.  S5 – Ensure completion and submission by the May deadline, absent guidance from state agency modifying the date.  S1/S2 and state agency Data File – Ensure completion and submission by the August/September deadline, absent guidance from state agency modifying the date. |
| Customer Service/Verification | SM – Name  Manager – Name | Customer Service – If warranted, close the office to outside traffic and conducted business via e-mail and/or the phone. Utilize private offices to limit personal contact.  Phones/Email – Update ACD message and auto responses from email accounts based on the situation. Continue monitoring and responding to email sent to the financial aid professional judgment, and verification accounts.  Verification – Continue processing verification documents, including working suspense files. |
| Grants | SM – Name  Manager – Name | Disbursements – Continue disbursing grant and third-party awards if the University Business Office (UBO) is able to complete their portion of the process. Any Title IV credit balances must be refunded within 14 days. Returns must also be completed in a timely fashion. If UBO is unable to assist in the disbursement process, then all disbursements must cease.  Emails – Monitor and respond to emails from the summer aid email account.  Reconciliation – Reconcile Pell Grant account on a normal schedule.  Returns and Fund Balances – Monitor fund balance and requesting aid from ED.  Study Abroad – Evaluate changes and determine if aid adjustments are needed. |
| Loans | SM – Name  Manager – Name | Disbursements – Continue disbursing federal and private loans if the University Business Office (UBO) is able to complete its portion of the process. Any Title IV credit balances must be refunded within 14 days. Returns must also be completed in a timely fashion. If UBO is unable to assist in the disbursement process, then all disbursements must cease.  Emails – Monitor and respond to emails from the loan email account.  Reconciliation – Reconcile Direct Loans on a normal schedule.  Returns and Fund Balances – Monitor fund balance and requesting aid from ED.  Exit Counseling – Continue sending materials within established timeframes. |
| Satisfactory Academic Progress (SAP) | SM – Name  Manager – Name | Annual Review – Run process and work output.  Emails – Monitor and respond to emails from the SAP email account.  SAP Appeals – Review appeals. |
| Scholarships | SM – Name  Manager – Name | Awarding – Award scholarships.  Disbursements – Continue disbursing if the University Business Office (UBO) is able to complete its portion of the process. If UBO is unable to assist in the disbursement process, then all disbursements must cease.  Emails – Monitor and respond to emails from the scholarship email account.  Refund – Work the Scholarship Refund query normally completed by [insert name]. |
| Student Employment | SM – Name  Manager – Name | ePars – Continue Processing.  Federal Work-Study Budget – Reconcile according to normal schedule.  Joblink – Update postings.  Off-Campus Job Postings – Update.  Student Employment Listserv – Communicate pertinent information to supervisors about changes to student employment. |
| Technology | SM – Name  Manager – Name | Email Accounts – Ensure the appropriate staff have access to the office general email accounts for remote work.  NSLDS – Coordinate with the Registrar’s Office regarding enrollment reporting to the Clearinghouse and ensuring data is transferred correctly to NSLDS based on guidance provided by ED.  Packaging – Continue packaging (and all associated processes leading up to packaging) if students will still be taking classes.  PeopleSoft Support – Ensure the financial aid module within PeopleSoft is working correctly so work can be done remotely.  Remote Access – Work with Information Technology (IT) to ensure the appropriate staff have access to work remotely, and configure computers to be able to log in to the network.  Skype – Work with staff to ensure Skype is set on devices to receive communications if working remotely.  Webex – Ensure it’s set up to handle office meetings that may need to be held remotely. |

Other critical functions that are not necessarily outlined in an identified functional area within the OFAS Strategic Plan.

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| **Area** | **Responsible Personnel** | **Essential Functions** |
| Emergency Financial Aid | SM – Name  Manager – Name | Determine if the situation necessitates the available of “emergency” financial aid dollars for students. If so, coordinate with the appropriate individuals on campus. |
| Office Operations | SM – Name  Manager – Name | Budget – Continue monitoring office budget.  Mail – If open, continue processing incoming and outgoing mail. |
| Return of Title IV Funds (R2T4) | SM – Name  Manager – Name | Continue calculating R2T4s. Funds must be returned within 45 days of the withdrawal date. Work with the disbursers and University Business Office (UBO) to ensure funds are returned on time. |
| University Business Office Coordination | SM – Name  Manager – Name | Communicate with UBO to establish procedures for disbursing and returning aid within the appropriate timeframes. |

1. **Other Items of Consideration**  
   In addition to the items listed above, the following should be addressed:
   * A review of all guidance from ED and state agency should be reviewed before taking action on any applicable financial aid funds and/or associated processes.
   * A review of the ##Office Name## Emergency Plan.
   * Supervisors should ensure all policies and procedures are appropriately located in the Policy & Procedure folder on the N Drive. Additionally, all rosters, files, and other work associated with any aid program should be in the appropriate shared folder on the N Drive, not listed in any staff member’s personal N Drive folder.
   * The office has two laptops which can be used by staff working remotely who don’t already have a laptop.
   * In the event of wide-spread infectious disease, at the approval of Administration, essential personnel may work remotely, or in private offices to minimize physical contact with others. Non-essential personnel would be directed to stay home.
   * Deadline/compliance tasks such as Return of Title IV (R2T4), Exit Counseling, and returning funds (assuming no additional guidance is issued from ED FSA).
2. **Staff Approved to Work Remotely**

In the event the university closes and/or staff are absent for extended periods of time, the following individuals are granted access to the network to work remotely. These individuals will be responsible for ensuring the respective processes continue to be run to serve our students (if students are still in need of service), and to keep the university in compliance with applicable regulations.

* + Compliance and Back Up for other areas – Name(s)
  + Grants/Third Party – Name(s)
  + Loans – Name(s)
  + PeopleSoft Support, Back Up, and General Support – Name(s)
  + Return of Title IV Funds – Name(s)
  + SAP and Compliance – Name(s)
  + Scholarships – Name(s)
  + Student Employment – Name(s)
  + Verification – Name(s)

**While only a specified number of staff will have access to work remotely in the system, for the following reasons, all staff should continue to monitor, and actively participate, in email throughout normal business hours. Additionally, staff should ensure their Skype account is active and working.**

* **It may be necessary to disseminate information about the emergency to all staff.**
* **Staff who have access to work remotely in the system may need the assistance and guidance of others who do not in order perform the required functions.**