

4-OP-H-5.1 Defining University Units

Responsible Executive: Finance and Administration **Approving**

Official: Vice President for Finance and Administration **Effective**

Date: TBD, upon approval

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I. Policy

The Vice President for Finance and Administration and the University Provost, or other University executive management they delegate, will identify University units that provide business functions that if disrupted could impede the university's ability to meet its mission and/or strategic goals, could have a major financial or reputational impact, or could result in significant regulatory or contractual non-compliance, required to maintain a Business Impact Analysis, Disaster Recovery Plan and Risk Assessments on a triennial basis.

Each University unit identified to maintain a Disaster Recovery Plan will exercise the plan on an annual basis, document lessons learned, and develop remediation steps to address plan weaknesses.

Procedure for Defining University Units

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Definitions

University Unit refers to an individual unit or group of consolidated units made up of a school or college and any departments or divisions which are a subdivision of a college or school; centers, facilities, labs, libraries, or programs within a college or school, or as an independent entity; offices; associations; and administrative units.

Mission Critical is any factor (component, equipment, personnel, process, procedure, software, etc.) that is essential to business operations.

Reputational Harm often called reputation risk, is the potential loss of financial capital, social capital, or market share resulting from damages to an organization's reputation.

Significant Harm is the permanent loss of revenue to the organization in excess of \$1M.

Inclusion Criteria

The Vice President for Finance and Administration and the University Provost, or other designated University executive management, will identify University units that provide business functions that if disrupted may impede the University's ability to meet its mission and/or strategic goals, may have a major financial or reputational impact, or may result in significant regulatory or contractual noncompliance. The units are required to participate in the vulnerability management program on an ongoing basis, and maintain a Business Impact Analysis, Disaster Recovery Plan and Risk Assessment on a triennial basis.

University units also are required to develop and maintain an annual Continuity of Operations Plan meeting emergency management requirements identified in Official Policy 4-OP-E-10 Continuity of Operations Planning (COOP). Disaster Recovery and Continuity of Operations Plans shall be designed to ensure necessary unit preparedness and response capabilities are in place in response to natural disasters and types of incidents that may result in significant impact or prolonged disruption to normal business activities.

Annually, each University unit identified to maintain a Disaster Recovery Plan will train team members as required in Official Policy 4-OP-H-5 General Standards for All University Units and 4-OP-H-5 General Standards for IT Management and Operations. This includes incident response and other associated security and privacy training activities. See 4-OP-H-5 sections II.B and II.D for additional information.

Units will exercise their Disaster Recovery Plans on an annual basis, document lessons learned, and develop remediation steps to address plan weaknesses. Business Impact Analyses, Disaster Recovery Plans, Disaster Recovery Tests, Lessons Learned, and Risk Assessments will be submitted to the University Chief Information Security Officer in the Information Security and Privacy Office for review by the end of the calendar year as referenced in the Alternating Three-Year Cycle.

Units with vendor contracts supporting mission critical business processes shall include contract terms requiring the vendor for such contracts to meet the disaster recovery and continuity of operations requirements of the University Unit. Vendor contracts supporting mission critical business processes shall also include an annual independent information security audit report, such as a SOC 2¹ report. If such vendors do not have an independent audit report, the University has a third-party risk self-assessment process that can be utilized. Units are required to include vendors supporting mission-critical business processes in the unit's Business Impact Analysis. Requirements in this paragraph become effective 6 months after the date of last revision.

University Units by Parent Organization

The following University Units are identified as meeting the inclusion criteria and are required to

¹ System and Organizational Controls (SOC) 2 requirements can be found at the American Institute of Certified Public Accountants (<https://www.aicpa.org>)

comply with the official policy and procedure. The Units have been consolidated, where feasible, to align with the University’s organizational structure and the functions they provide for their parent organization.

Consolidated University Unit	Parent Organization
Office of Inspector General Services	Office of the President
Student Veterans Center	Office of the President
Office of the General Counsel	Office of the President
University Communications	Office of the President
University Relations, Opening Nights	Office of the President
University Advancement - FSU Alumni Association, FSU Foundation, FSU Real Estate Foundation	Office of the President
Athletics and Seminole Boosters (FSU Athletics Association)	Office of the President
Campus Recreation	Division of Student Affairs
Career Center (Dunlap Success Center)	Division of Student Affairs
Center for Global Engagement	Division of Student Affairs
Dean of Students, Counseling & Psychological Services Center	Division of Student Affairs
Office of the Vice President for Student Affairs, Oglesby Union, Center for Leadership and Social Change, Student Government and Advocacy	Division of Student Affairs
University Health Services	Division of Student Affairs
University Housing	Division of Student Affairs
Center for Advanced Power Systems, High Performance Materials Institute	Division of Research
FSU Coastal and Marine Laboratory	Division of Research
Florida Center for Reading Research (FCRR)	Division of Research
Future Fuels Institute, National High Magnetic Field Laboratory	Division of Research
Office of the Vice President for Research (OVPR) <ul style="list-style-type: none"> ▪ Clinical Research Advancement ▪ Laboratory Animal Resources ▪ Office of Commercialization ▪ Office of Human Subjects Protection ▪ Research Compliance, Federal Relations ▪ Research Development ▪ Research Foundation ▪ Sponsored Research Administration (SRA) 	Division of Research

Budget Office	Division of Finance and Administration
Controller's Office, Procurement Services, University Business Administrators	Division of Finance and Administration
Facilities	Division of Finance and Administration
Human Resources	Division of Finance and Administration
Office of Business Services	Division of Finance and Administration
Public Safety	Division of Finance and Administration
Transportation and Parking Services	Division of Finance and Administration
WFSU Public Broadcasting Center	Division of Finance and Administration
<p>College of Arts and Sciences Group 1:</p> <ul style="list-style-type: none"> ▪ Anthropology ▪ Biological Sciences ▪ Center for Ocean-Atmospheric Prediction Studies (COAPS) & Florida Climate Institute ▪ Chemistry & Biochemistry ▪ Classics ▪ Computer Science ▪ Dean's Office, Interdisciplinary Data Science, FSU Teach, Office of Stem Teaching Activities (OSTA) ▪ English ▪ Earth, Ocean, and Atmospheric Sciences ▪ History, Women's Studies, WWII Institute, Napoleon Institute <p>College of Arts and Sciences Group 2:</p> <ul style="list-style-type: none"> ▪ Institute of Molecular Biophysics ▪ Mathematics ▪ Modern Languages, Middle East Center ▪ Philosophy ▪ Physics, Geophysical Fluid Dynamics Institute ▪ Psychology, Neuroscience ▪ Religion, Program Humanities ▪ Reserve Officer Training Corps (ROTC), Aerospace Studies, Military Science ▪ Scientific Computing ▪ Statistics, Statistical Consulting Center 	Division of Academic Affairs
College of Business	Division of Academic Affairs

College of Communication & Information	Division of Academic Affairs
College of Education	Division of Academic Affairs
College of Fine Arts	Division of Academic Affairs
Dedman College of Hospitality	Division of Academic Affairs
College of Law	Division of Academic Affairs
College of Criminology & Criminal Justice	Division of Academic Affairs
College of Engineering	Division of Academic Affairs
Challenger Learning Center	Division of Academic Affairs
College of Health and Human Sciences	Division of Academic Affairs
College of Medicine	Division of Academic Affairs
College of Motion Picture Arts	Division of Academic Affairs
College of Music	Division of Academic Affairs
College of Nursing	Division of Academic Affairs
College of Social Sciences & Public Policy	Division of Academic Affairs
College of Social Work	Division of Academic Affairs
Office of the Provost, Faculty Development & Advancement, Institutional Performance & Assessment, Institutional Research	Division of Academic Affairs
International Programs (Including Branch Campuses)	Division of Academic Affairs
Graduate School, Undergraduate Studies	Division of Academic Affairs
Learning Systems Institute (LSI)	Division of Academic Affairs
Institute of Science and Public Affairs (ISPA)	Division of Academic Affairs
Information Technology Services (ITS)	Division of Academic Affairs
Jim Moran College of Entrepreneurship	Division of Academic Affairs
Office of Distance Learning, Enrollment Management	Division of Academic Affairs
Panama City Campus	Division of Academic Affairs
The Ringling	Division of Academic Affairs
University Libraries (Includes Reichelt Oral History)	Division of Academic Affairs

University Unit Rotation – Alternating Three-Year Cycle

Disaster Recovery Plans, Business Impact Analysis and Risk Assessments will be rotated on a continuous 3-year cycle, with Year 1 starting in 2021, Year 2 starting in 2022, and Year 3 starting in 2023:

Year 1: Disaster Recovery Plan and Business Impact Analysis Due

Year 2: Risk Assessment Due

Year 3: Nothing Due

1. Budget Office
2. Center Global Engagement
3. College of Business

4. College of Communication and Information
5. College of Education
6. College of Health and Human Sciences
7. College of Law
8. College of Medicine
9. College of Motion Picture Arts
10. Controller's Office, Procurement Services, University Business Administrators
11. Dean of Students, Counseling & Psychological Services Center
12. General Counsel
13. Office of Business Services
14. Office of Vice President for Research (OVPR)
15. Panama City Campus
16. University Communications, Government Relations, Opening Nights
17. University Libraries

Year 1: Nothing Due

Year 2: Disaster Recovery Plan and Business Impact Analysis Due Year

3: Risk Assessment Due

1. Career Center (Dunlap Success Center)
2. College of Arts and Sciences Group 1: Anthropology, Biological Sciences, Chemistry & Biochemistry, Classics, Center for Ocean-Atmospheric Prediction Studies (COAPS) & Florida Climate Institute, Computer Science, Dean's Office, Interdisciplinary Data Science, FSU Teach, Office of STEM Teaching Activities (OSTA), English, History, Women's Studies, Reichelt Oral History, WWII Institute, Napoleon Institute.
3. College of Criminology and Criminal Justice
4. College of Fine Arts, Dedman College of Hospitality
5. College of Nursing
6. College of Social Sciences & Public Policy
7. College of Social Work
8. Office of the Provost, Faculty Development & Advancement, Institutional Performance & Assessment, Institutional Research (IR)
9. FSU Coastal and Marine Laboratory
10. Institute of Science and Public Affairs (ISPA), Learning Systems Institute (LSI)
11. Graduate School, International Programs, Undergraduate Studies
12. Jim Moran College of Entrepreneurship
13. Office of Compliance and Ethics

14. Student Veterans Center
15. The Ringling
16. University Advancement - FSU Alumni Association, FSU Foundation, FSU Real Estate Foundation

Year 1: Risk Assessment Due

Year 2: Nothing Due

Year 3: Disaster Recovery Plan and Business Impact Analysis Due

1. Athletics and Seminole Boosters
2. Campus Recreation
3. Center for Advanced Power Systems, Florida Center for Reading Research, High Performance Materials Institute
4. College of Arts and Sciences Group 2: Earth Ocean and Atmospheric Sciences, Institute of Molecular Biophysics, Mathematics, Modern Languages and Middle East Center, Philosophy, Physics and Geophysical Fluid Dynamics Institute, Psychology and Neuroscience, Religion and Program Humanities, Reserve Officer Training Corps (ROTC), Aerospace Studies, and Military Science, Scientific Computing, Statistics and Statistical Consulting Center
5. College of Music
6. College of Engineering, Florida Center for Advanced Aero Propulsion (FCAAP)
7. Challenger Learning Center, Facilities
8. Human Resources
9. Information Technology Services (ITS)
10. Future Fuels Institute, National High Magnetic Field Laboratory
11. Enrollment Management, Office of Distance Learning
12. Office of Inspector General Services
13. Center for Leadership and Social Change, Office of the Vice President for Student Affairs, Oglesby Union, Student Government and Advocacy,
14. Public Safety
15. Transportation and Parking Services
16. University Health Services
17. University Housing
18. WFSU Public Broadcasting Center