

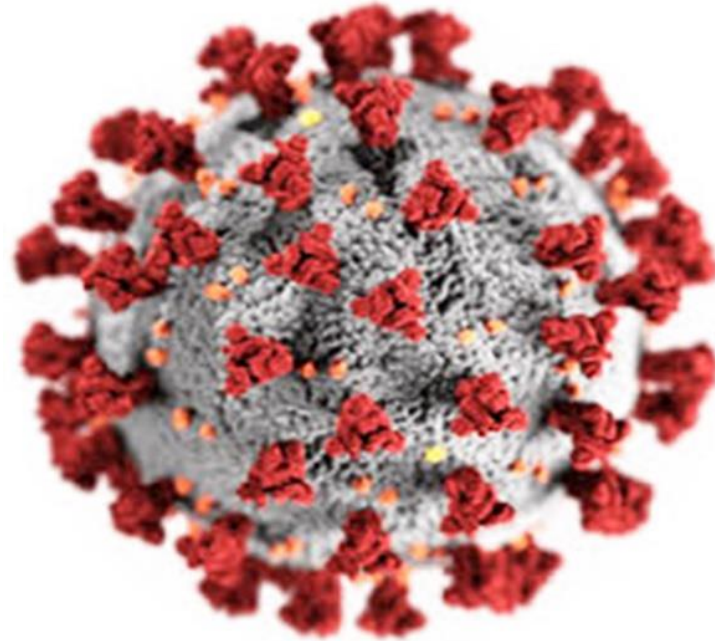
Continuity of Operations Planning Overview

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COOP – Continuity of Operations

COOP is the initiative that ensures that an entity is able to continue operation of their essential functions under a broad range of circumstances including all-hazard emergencies as well as natural, man-made, and technological threats and national security emergencies.

COVID-19 Impact to COOP



Questions ?

Major COOP Components

- COOP Phases
- Continuity COAs
- Essential Functions
- Delegation of Authority/Orders of Succession
- Essential & Vital Records Management
- Continuity/Alternate Locations
- Continuity Communications
- Human Resources Planning & Considerations
- Devolution of Essential Functions
- Reconstitution
- Program Validation: Testing, Training, Exercise

COOP Phases

1. Readiness and Preparedness
2. Activation and Notifications
3. Continuity Operations
4. Reconstitution

Questions ?

Continuity Courses of Action (COAs)

- **COA-1: Redundancy-in-Place**
- **COA-2: Relocation**
- **COA-3: Distributed Operations**
- **COA-4: Virtual Operations**
- **COA-5: Devolution**



Questions ?

Essential Functions

Essential functions are those functions and critical activities that an organization must maintain in a continuity situation, when there has been a disruption to normal operations, in order to sustain the mission of the organization, comply with legal requirements, and support life-safety.

Essential Function Types:

- National Essential Functions (NEFs)
- State Essential Functions (SEFs)
- Primary Mission Essential Functions (PMEFs)
- Mission Essential Functions (MEFs)
- Mission Enhancing Activities (MEAs)
- Essential Supporting Activities (ESAs)

SEFs are select functions that are necessary to lead and sustain the State of Maryland during a catastrophic emergency and, therefore, must be supported through COOP and COG.

- PMEFs are those MEFs that must be continuously performed to support or implement the uninterrupted performance of SEFs.
- MEFs are the essential functions directly related to accomplishing the organization's mission as set forth in statutory law or executive order. Generally, MEFs are unique to each organization.
- MEAs are the essential activities directly related to accomplishing the organization's mission but are not in statutory law or executive order.
- ESAs are functions that support performance of MEFs but do not reach the threshold of MEFs or PMEFs. ESAs are important facilitating activities performed by most organizations; however, the sole performance of ESAs does not directly accomplish an organization's mission.

Municipal SEFs City/Town Essential Functions

- SEF#1: Enduring Constitutional Government Continuity
- SEF#2: Peaceful Transfer of Power
- SEF#3: Visible Leadership
- SEF#4: Defend the State of Maryland
- SEF#5: Governmental & Non-Governmental Relationships
- SEF#6: Homeland Security & Critical Infrastructure Protection
- SEF#7: Civil Rights, Safety, Law & Order
- SEF#8: Consequence Management & Emergency Services
- SEF#9: Economic Stability
- SEF#10: Basic Essential Services
- SEF#11: Historic & Cultural Resources

Developing Essential Functions/Activities

- Essential Function Analysis
 - PMEFs
 - MEFs
 - MEAs
- Organizational Administrative Analysis
 - ESAs

Questions

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Delegation of Authority/Orders of Succession

- Delegation of Authority
 - Identification, by position, of the authorities for making policy determinations and decisions at each organization level or entity.
 - Generally, pre-determined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.
- Orders of Succession
 - Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.

Questions

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Essential & Vital Records Management

- Essential and vital records management is the identification, protection, and ready availability of electronic and hard copy record and documents, records, and information systems needed to support essential functions.
- Coordination with department/agency Records Retention Plan/Policy

Records Management Components:

- Hard Copy/Redundant Hard Copy
- Digital Files/Records:
 - Primary: Network-Based System
 - Secondary: Cloud-Based System
 - Tertiary: External Hard Drive

State Records Management Entities:

- Non-Permanent Records: DGS State Records Center
- Permanent Records: Maryland State Archives

Questions ?

Continuity Facilities/Alternate Locations

- Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity event.
- PACE:
 - Primary
 - Alternate
 - Contingency
 - Emergency
- Continuity Facilities refers to not only other locations, but also non-traditional options such as working remotely (telework)/virtual.
- Facility Space Requirements



Questions ?

Continuity Communications

Communications that provide the capability to perform essential functions, in conjunction with other agencies, under all conditions.

- Landline Telephone
- VoIP Telephone
- Cellular Telephone
- Satellite Communications
- Email
- Web-Based Systems
 - Office 365 Platform
 - Microsoft Teams
 - Adobe Connect
 - Google Platform
 - Google Hangout

Questions ?

Human Resource Planning & Considerations

Human Resources planning and considerations are those elements of continuity planning that address and support the employees and continuity workforce.

- Time & Leave
- Pay
- Benefits
- Teleworking
- Employee Communications
- Expectation Management
- Union Contracts/Collective Bargaining

Questions ?

Devolution of Essential Functions

- Devolution is the capability to transfer statutory authority and responsibility from an organization's primary operating staff and facilities to other designated staff and alternate locations to sustain essential functions.
 - COOP's devolution option addresses how an organization will identify and transfer command and control, as well as responsibility for performing essential functions to personnel at a geographically dispersed location unaffected by the incident.
- Devolution Emergency Response Group (DERG)
 - Short-term option while ERG members are relocating to their alternate location(s).
 - Partial Devolution
 - An organization may choose to partially devolve by transferring responsibilities for select essential functions

Questions ?

Reconstitution

Reconstitution is the process by which surviving and/or replacement department/agency personnel resume normal operations.

Reconstitution embodies the ability an organization to recover from a continuity activation that disrupts normal operations so that the organization can resume its operations a fully function entity of State Government.

- Reconstitution simultaneously sustains essential functions while coordinating the resumption of normal operations.
- Reconstitution planning begins at the start of a continuity event.
- Identify a Reconstitution Team with leadership, staff, and resources dedicated and separate from existing continuity support.

Reconstitution Considerations:

- Development & Implementation of Reconstitution Plan
 - Reconstitution Status Reports (RSRs)
- Notifications:
 - Senior Leadership
 - Employees/Staff
 - Stakeholders
- Facility Condition
 - Facility Repairs
 - Need for New Facility
- Personnel Status
- Backfill Staff Vacancies
- Reestablish Communications & IT Infrastructure
- Restore Essential & Vital Records

Questions ?

Program Validation: Testing, Training, & Exercise

Measures to ensure that an agency's continuity plan is capable of supporting the continued execution of the agency's essential functions throughout the duration of a continuity event.

- Training

- Provide training on the agency's continuity plan, processes, and expectation
- Provide training to personnel assigned to continuity, devolution, or reconstitution positions.

- Exercise

- Discussion-Based
 - Tabletop Exercise
- Operations-Based
 - Functional Exercise
 - Full-Scale Exercise

Questions

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