Continuity of Operations Planning
Overview

Maryland Municipal League Virtual Conference
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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
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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
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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

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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

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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
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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

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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
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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 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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