

Continuity of Operations

Continuous Performance of our Essential Functions
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For more information about emergency preparedness at UMBC, please visit:
<https://police.umbc.edu/services/emergency-preparedness/>

- What is Continuity?
 - The Continuity Planning Process.
 - How does Continuity fit in our EM Program framework?
 - Department Emergency Action Plans (DEAPs).
- Essential Functions.
 - University Essential Functions (UEFs).
 - Primary Mission Essential Functions (PMEFs).
 - Mission Essential Functions (MEFs).
 - Essential Supporting Activities (ESAs).
 - Mission Enhancing Activities (MSAs).
- 4 Planning Phases:
 - Identify Your MEFs.
 - Business Process Analysis (BPA).
 - Business Impact Analysis (BIA).
 - Prioritize and Document.
- Other Elements and Resources.

- COOP is a **collective** process to continue the institution's mission.
 - The continuous performance of our organization's essential functions during a **disruption**.
 - ***This is NOT GUARANTEED.***
 - ***Requires senior leader commitment.***
 - ***An ONGOING process.***
- Continuity of Operation Plan (COOP) - EOP Annex 3.
 - The continuity plan for the University.
 - Documents our continuity process.
 - Defines our strategy and sets requirements.
 - ***Expectation:*** Update every 2 years.



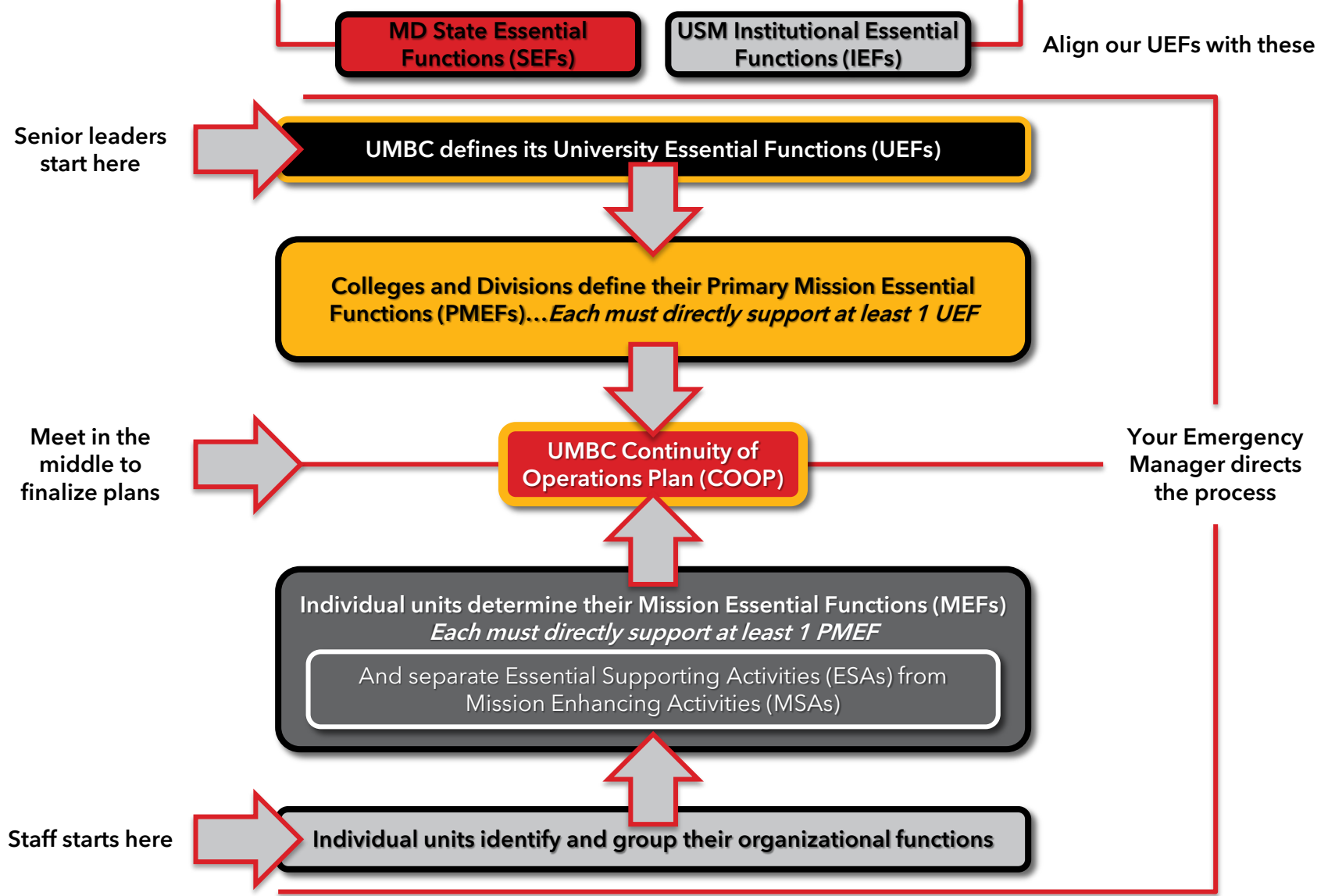
Disruption = Any event that impacts our ability to perform an essential function.

- A method to document how you continue your **individual** mission for any organizational change.
 - *Details your primary **organizational functions**.*
 - *Verify that what you believe matches what actually happens.*
 - *Validate institutional knowledge.*
- What are your primary organizational functions? Where can you find them?
 - Job descriptions.
 - Performance reviews.
 - Policy or regulations.

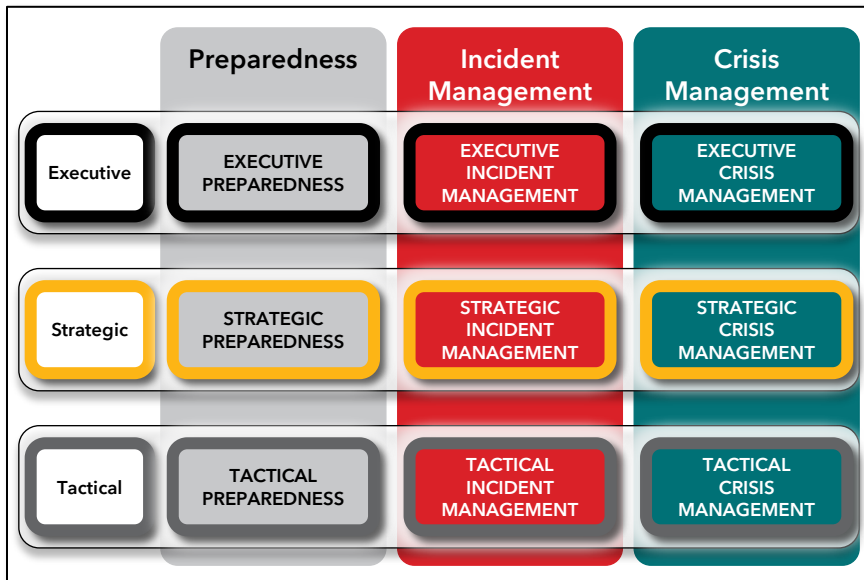
Organizational functions = your primary day-to-day activities that may or may not be deemed “essential” for COOP.

See Maryland COOP Guide for State Agencies Dec 2021

To be determined/drafted by System Emergency Managers



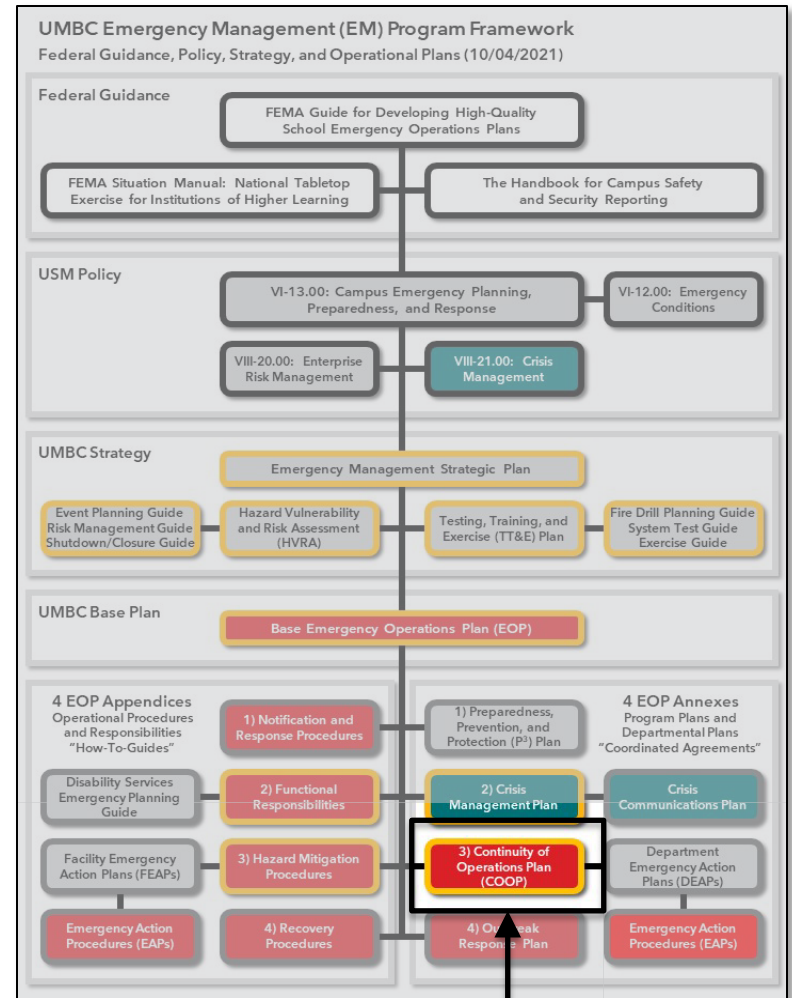
- **Integrated Response Model:**
 - 3 leadership *levels* + 3 *components*.
 - A *level* + a *component* = an EM program *element*.



– The COOP is a STRATEGIC INCIDENT MANAGEMENT document

THIS IS A STRATEGIC LEVEL DOCUMENT
It informs objectives for operational procedures and program plans

and AN INCIDENT MANAGEMENT COMPONENT of the EM Program
It describes measures to mitigate impacts resulting from physical incidents



- The COOP is the continuity plan for the entire University.
 - Each College and Division can maintain this individualized plan.
 - Subordinate units within the College or Division may also have a DEAP.
 - The plan for a College or Division describes its own PMEFs and lists each subordinate unit that has its own plan.
 - States the **Emergency Action Procedures (EAPs)** taken during a disruption.
 - Specifies your unit’s MEFs and ESAs.
 - **Expectation:** Update at least annually or after major organizational changes.



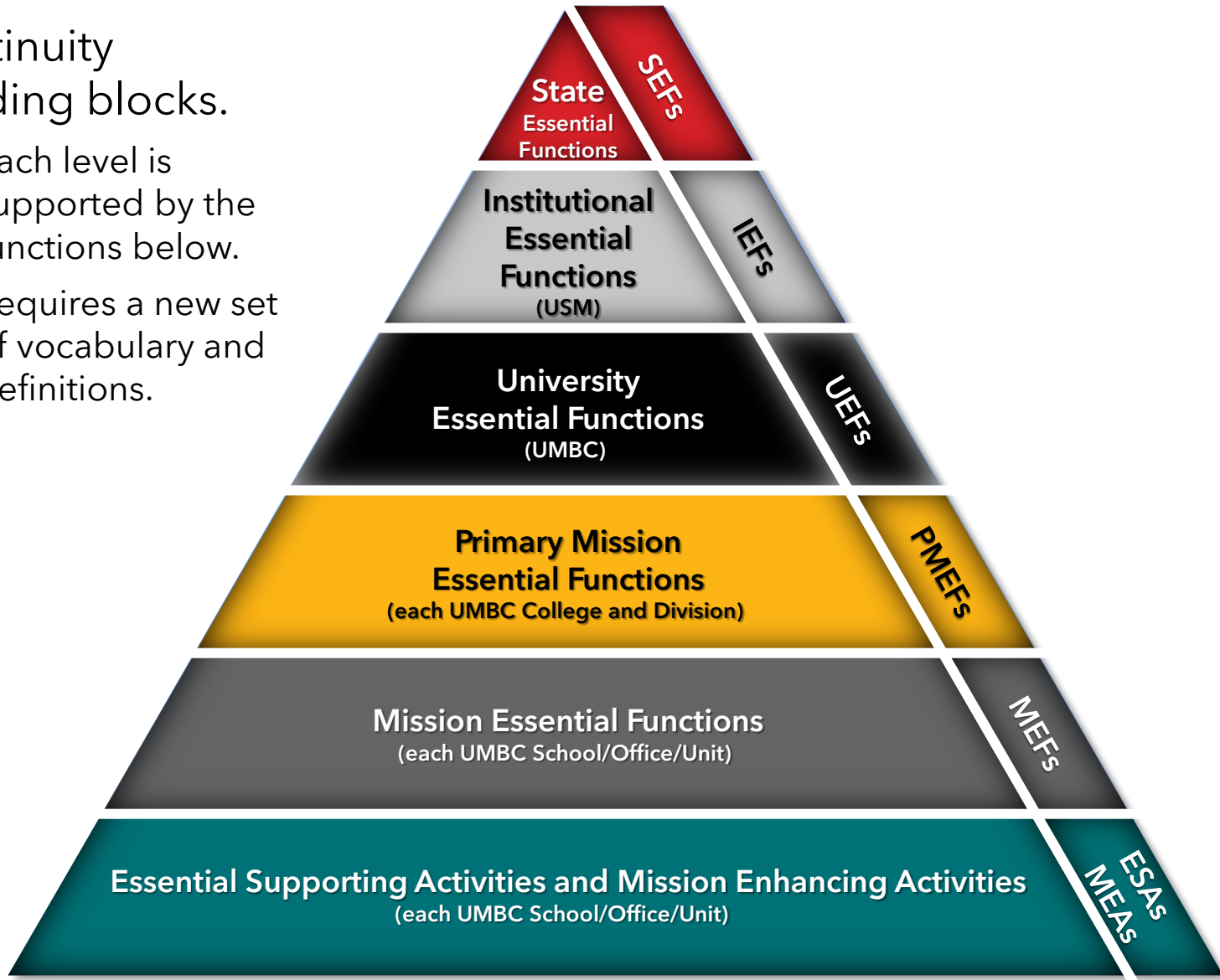
THIS IS A TACTICAL LEVEL DOCUMENT
It describes operational procedures and actions to achieve program plan objectives

and A PREPAREDNESS COMPONENT of the EM Program
It describes training, preparedness, or prevention activities

EAPs = Immediate actions taken during a disruption to mitigate impacts on our ability to perform an essential function.

Essential Functions

- Continuity building blocks.
 - Each level is supported by the functions below.
 - Requires a new set of vocabulary and definitions.



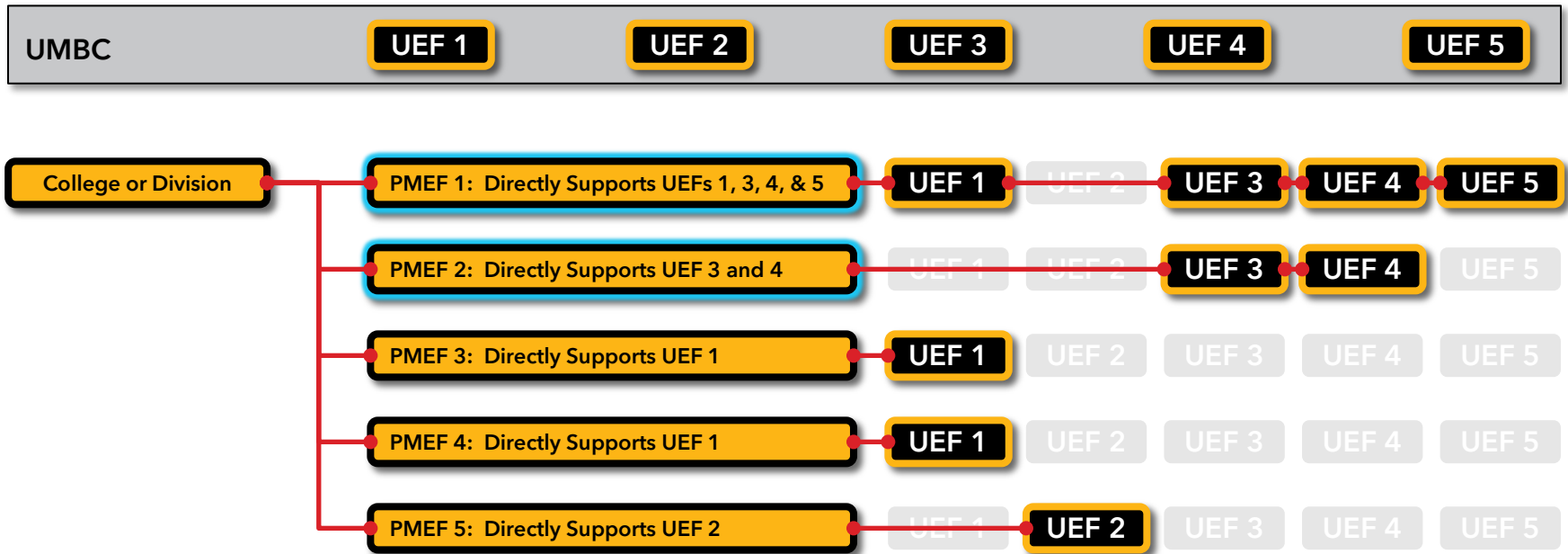
- UEFs form the basis for all continuity decisions.
 - Responsibilities of the University necessary to sustain ~~our mission.~~ *our existence!*
 - Primary focus of the President and senior leaders before, during and after disruptions.



- **Successfully maintain UEFs at all times**...especially during emergencies.
- The objective of each College and Division is the continuation of our five UEFs.

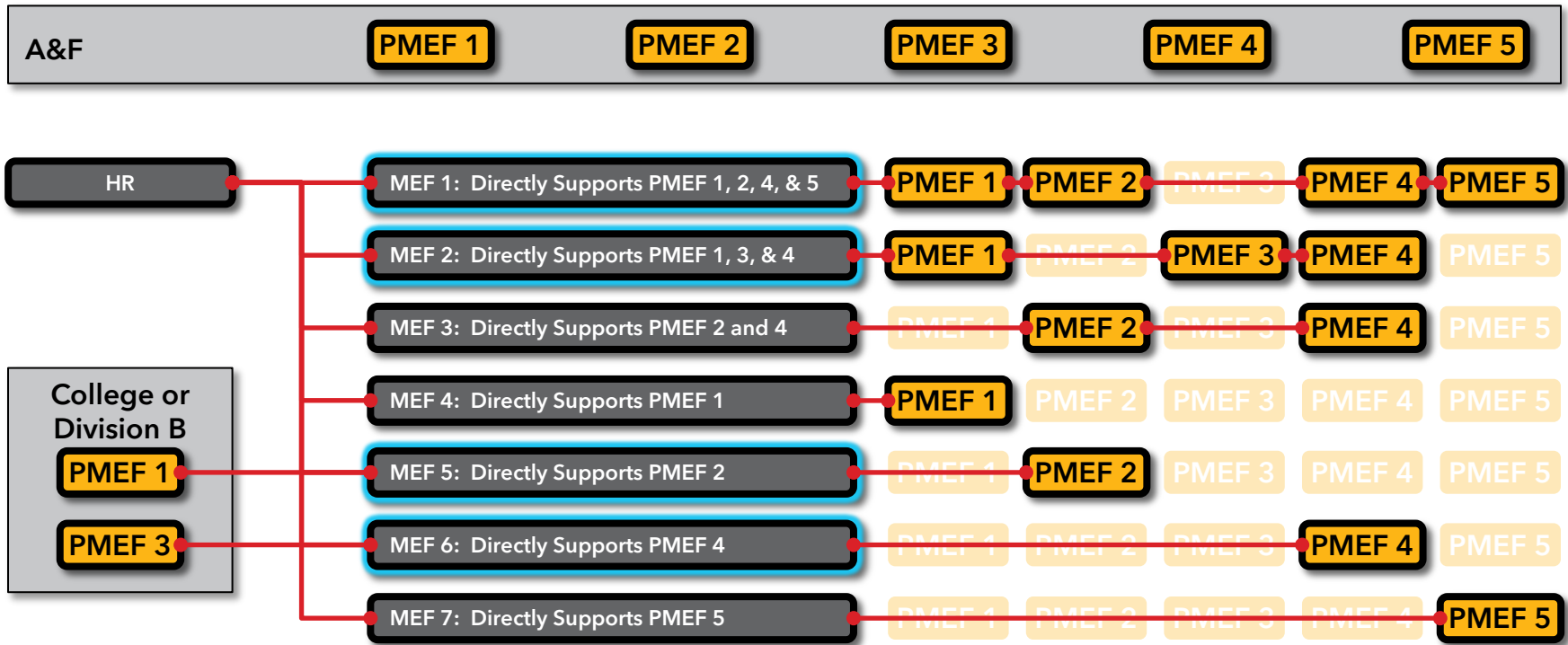
UEF	Description
1	Academics. Provide a strong undergraduate liberal arts foundation that prepares students for graduate and professional study, entry into the workforce, and community service and leadership.
2	Student Safety, Health, and Well-Being. Consistently develop, deliver, and maintain services, programs, and facilities in a manner that establishes the emotional and physical safety of the University community as our most imperative concern.
3	Research and Creative Achievement. Provide a dynamic public research environment that integrates teaching, research, and service to benefit the citizens of Maryland.
4	Operations and Administration. Contribute to the economic development of the State and the region through entrepreneurial initiatives, workforce training, K-16 partnerships, and technology commercialization in collaboration with public agencies and the corporate community.
5	Events and Community Engagement. Enable an inclusive culture that connects innovative teaching and learning, research across disciplines, and civic engagement. Provide and co-create programs, services, systems, facilities, and environments that foster learning and personal development.

- Each College and Division has its own PMEFs.
 - Services that directly support continuation of **one or more UEF**.
 - Remain continuous OR resumed within 12 hours after disruption.
 - Maintained up to 30 days during disruption OR until normal operations resume.



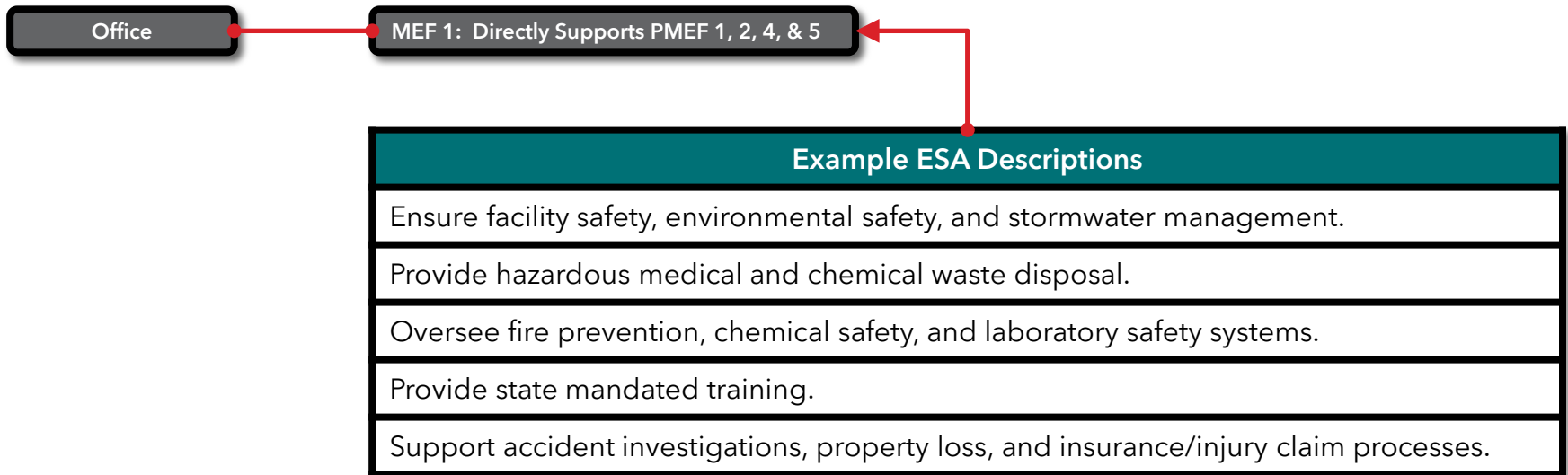
Prioritize PMEFs that support multiple UEFs.

- Each school and office in a College or Division has its own MEFs.
 - Services that directly support continued performance of **one or more PMEF**.
 - **Limited** set of office-level functions that provide vital services to our community.
 - Continue throughout, or resume rapidly, after disruption.



Prioritize MEFs that support multiple PMEFs within AND external to your College or Division.

- Functions that support the performance of MEFs.
 - They **may** have a mandate (policy, regulation, or legal requirement).
 - They are important activities...however, ***performance of ESAs alone does not accomplish your mission.***
 - MEFs may be supported by multiple ESAs.
 - ESAs must remain aligned to a single MEF, though different MEFs may have similar ESAs.



- Activities that ***compliment*** a MEF or an ESA.
 - Products of best practices, established customs or traditions, or industry recommendations.
 - They have ***no*** mandate (policy, regulation, or legal requirement).
 - Expect them to be deferred during a disruption.
 - Communicate this expectation to your partners, customers, and stakeholders.

- Use a 4-phase process to differentiate "***essential***", "***supporting***", and "***enhancing***."
 - Phase 1: Identify Your MEFs (3 steps).
 - Phase 2: Business Process Analysis (BPA - 9 steps).
 - Phase 3: Business Impact Analysis (BIA - 5 steps) .
 - Phase 4: Prioritize and Document (4 steps).

4 Planning Phases

[Source: Federal Continuity Directive 2 \(Annex B\), FEMA, Issue Date: June 13, 2017](#)

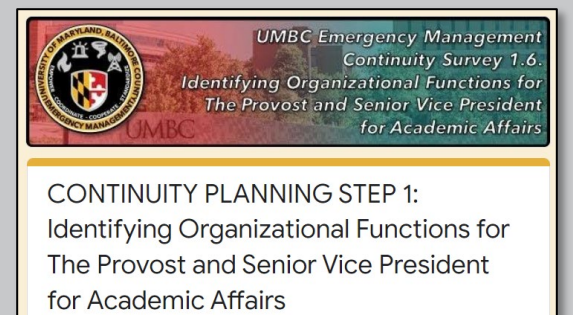
- **Step 1:** Identify organizational functions. This includes:
 - All functions which the organization performs...an **"inventory."**
 - Mandates to perform each function (policy, regulation, or legal requirements).
 - Outputs (products, services, or outcomes).
 - Partners, customers, or stakeholders who receive outputs.
 - Flexibility to perform tasks partially or completely through remote telework.
- **Step 2:** Identify candidate MEFs.
 - Group organizational functions into "buckets" to find common themes.
 - Determine which are **"essential"** vs. "non-essential."
 - Group those that are determined "essential" into candidate MEFs.
- **Step 3:** Identify candidate PMEFS.
 - Draft a list of MEFs for review and approval.
 - Demonstrate how each MEF directly supports continued performance of one or more PMEFS.

"Essential" (in quotes) = a leadership determination prior to aligning functions with College or Division PMEFS.

- Identify Organizational Functions.
 - All major organizational functions that support performance of your mission
 - Leaders review and validate existing lists of organizational functions.
 - Staff describe their primary day-to-day work functions in basic terms. These are activities that are ***central to the performance of their job requirements***.
 - Provide policy, regulation, or other legal citations for each function (if known).
 - List outputs (products, services, or outcomes) each work function accomplishes.
 - Identify the partners, customers, or stakeholders who receive outputs.
 - Indicate flexibility to perform tasks partially or completely through remote telework, or if a function **MUST** be done in person at a specific location.

- **Step 1A: Operationalize it:**

- Each College and Division uses an individualized survey for their reporting units.
- Staff responses are captured in a spreadsheet.
- Step 1B: Leaders review responses to identify gaps and interdependencies.

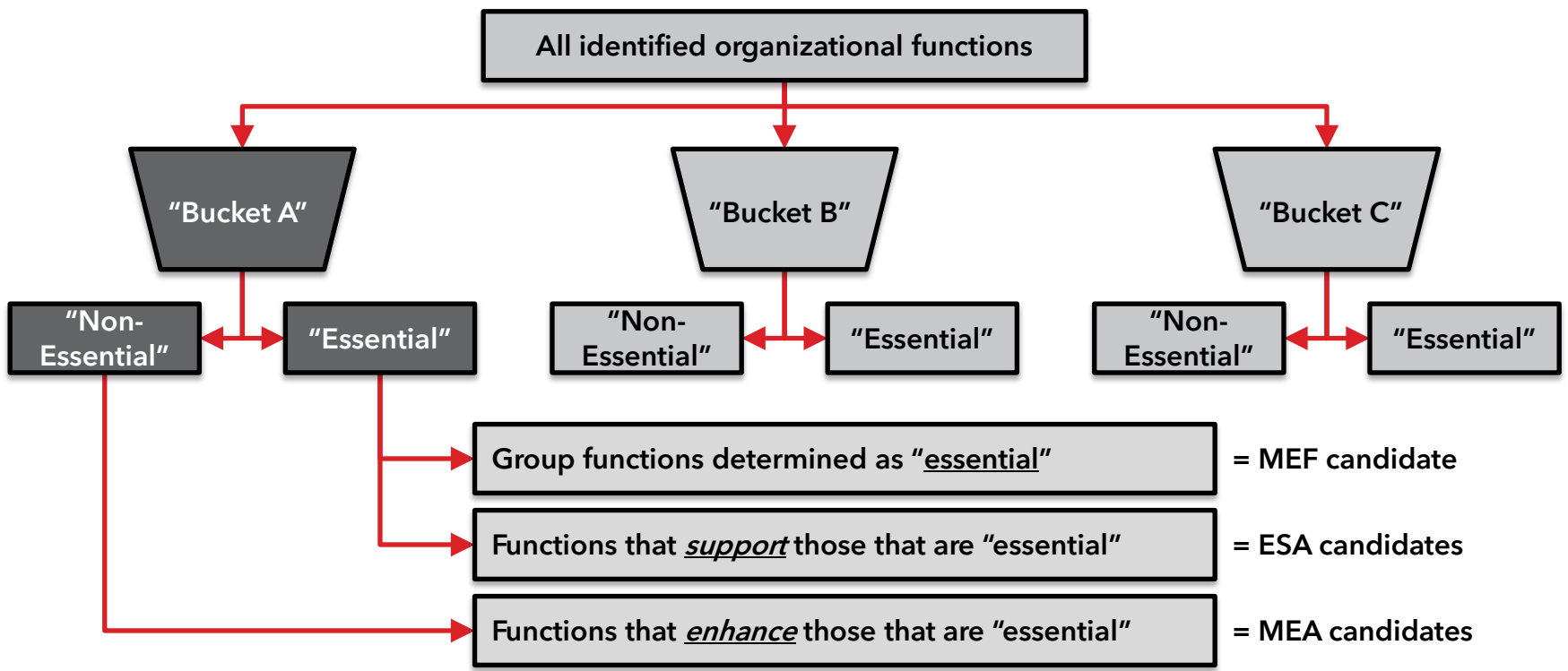


[Google Form Example](#)

- Step 1B: Leaders review staff responses.
 - **Identify gaps**...functions that are known to be missing (or functions that are not being performed due to known staffing shortages).
 - **Expand**...identify unique activities that a listed function depends on (these also may be activities central to the performance of job requirements).
 - **Identify interdependencies**...link functions to each other where connections are known.
 - Create “**buckets**” based on common themes.

“**Buckets**” = common themes that group organizational functions together.

- Identify draft organizational MEFs.
 - Analyze organizational functions to find common themes.
 - Group themes into “buckets” to determine candidate MEFs.
 - Determine which are **“essential”** vs. “non-essential.”
 - Determine which are MEFs, which are ESAs, and which are MEAs.



“Essential” (in quotes) = at this stage, this is a leadership determination prior to conducting a BIA.

- Present candidate MEFs to leadership.
 - Draft a list of MEFs for review and approval.
 - Your Emergency Manager will provide a template.
- Once approved by your Dean or VP, subject each MEF to:
 - A Business Process Analysis (BPA); and
 - A Business Impact Analysis (BIA).

- Use the **online worksheet** to complete a BPA for each MEF.
- **Objective:** Identify gaps in your department and areas where multiple offices share responsibilities
- A systematic method of examining, identifying, and mapping the functions needed to perform each of your MEFs
 - Requires an in-depth understanding of each identified MEF.
 - Describe and document each element.
 - Understand required resources.
- Include identification of ESAs necessary to perform each MEF.

The BPA worksheet can also be used to document business continuity

- **Step 1:** Identify MEF outputs.
 - Expand on the information gained from your identification of organizational functions (Phase 1, Step 1).
 - What products, services, and information result from performance of the MEF?
 - Who are the partners and stakeholders that receive these outputs?
- **Step 2:** Identify input requirements.
 - What products, services, information, supplies, equipment, or resources are required to perform the MEF?
 - Which inputs come from internal to the organization?
 - Which inputs depend on external partners?
- **Step 3:** Identify dependencies and interdependencies.
 - Who are the partners and stakeholders required to perform the MEF?
 - State organization, points of contact, type of support, how coordination occurs, and timelines for support.

- **Step 4:** Identify leadership who perform the MEF.
 - Who are the leaders required?
 - What key decisions and actions must they take?
 - Can their actions be performed remotely?
 - Are actions needed in-person at a certain location?
- **Step 5:** Identify staff who perform and support the MEF.
 - How many positions must be filled?
 - How many staff members are required for each position or shift?
 - How long and how often must they be available?
 - What knowledge, skills, abilities, and access/permissions are needed for each staff position?
- **Step 6:** Identify required communications and information systems.
 - What are the unique IT capabilities and specific data access requirements?
 - What are the system dependencies and interfaces with other systems or data sources?

- **Step 7:** Identify alternate location requirements.
 - What facilities are needed to include space, configuration, security, safety, support, and storage?
 - Can primary and alternate locations be identified?
- **Step 8:** Identify resource and budget requirements.
 - What funding is required to perform the MEF for up to 30 days or until normal operations resume?
 - What standard operating procedures, essential records, and reference materials are required?
- **Step 9:** Describe the process.
 - Develop a narrative description to illustrate Steps 1 - 8 and describes the process of performing the MEF.,
 - Develop appropriate diagrams or other informational aids to support the narrative and validate each step.

- Identify and quantify the impacts from disruptions.
 - Use the information derived during your BPA process to inform your BIA
 - Conduct a formal review, update, and validation of your MEFs through a BIA at least every two years.
 - Use the **online worksheet** to complete a BIA for each MEF.
- Objective 1...Identify negative impacts of failing to perform MEFs.
- Objective 2...prioritize your MEFs and ESAs.
 - Considers consequences of their loss or degradation.
 - Shows their criticality to your mission.

- **Step 1:** Define the context.
 - Define the scope of the analysis.
 - What are the consequences of a disruption or failure to perform each MEF?
- **Step 2:** Identify and organize staff.
 - Who are the key staff with knowledge of each resource and who understand the criticality of the MEF?
- **Step 3:** Estimate impact of MEF failure.
 - 3A: Quantitative Assessment: Characterize consequences: 5 (severe), 4 (serious), 3 (significant), 2 (limited), 1 (minor), or 0 (no impact).
 - 3B: Describe and explain the level of impact of failure to perform the MEF.

- **Step 4:** Determine timeframes for loss of functions.
 - 4A: **Max Tolerable Downtime (MTD).** MTD is the maximum amount of time acceptable for a disruption of MEF performance.
 - 4B: **Recovery Time Objective (RTO).** RTO is the maximum amount of time a resource or asset can be unavailable before it has a failure impact on a MEF.
 - 4C: **Recovery priorities and Recovery Point Objectives (RPOs).** RPO is an acceptable amount of resource, information, or data loss.
- **Step 5:** Document the BIA process, include:
 - 5A: List of key staff, subject-matter experts, and leadership who provided input for the analysis.
 - 5B: Key findings from quantitative and qualitative assessments to prioritize MEFs based on criticality.
 - 5C: Description of the most likely threats and hazards, and descriptions of impacts on MEFs (include MTDs and RTOs).

- Document your MEFs, MSAs, and MEAs in your Department Plan.
 - Include your BPA and BIA results.
- **Step 1:** Develop MEF data sheets.
 - Your data sheets will be created automatically by using the online worksheets used to complete your BPA and BIA.
- **Step 2:** Prioritize MEFs. Use:
 - 1) The quantitative assessment of impacts;
 - 2) MTDs; and
 - 3) RTOs.
- **Step 3:** Develop emergency action procedures to address disruptions.
- **Step 4:** Submit MEFs for approval.
 - Use the online template for MEF submission.

Other Elements and Resources

- Include these in your DEAP:
 - Organization Chart.
 - Key positions, personnel, and succession.
 - Delegation order (**WHO** can act).
 - Delegations of authority (**WHAT** they can do).
 - Human capital, vital records, systems, and equipment.
 - Telework, alternate work sites and relocation sites.
 - Reconstitution.
 - Devolution.
 - Communications, training, and execution.
 - Certification.

These are more advanced components of continuity. Establish them AFTER essential functions are defined.

- State:
 - [Maryland COOP Guide for State Agencies, Dec 2021.](#)
- Federal:
 - [Federal Continuity Directive \(FCD\) 1, January 2017.](#)
 - [Federal Continuity Directive \(FCD\) 2, June 2017.](#)
 - [FEMA Continuity of Operations Plan, April 2013.](#)
 - Continuity Evaluation Tool.
- Training:
 - [Continuity Excellence Series - Level I Professional Continuity Practitioner Requirements.](#)
 - Mission Essential Function (MEF) and Primary Mission Essential Function (PMEF) Workshop.
 - Continuity Planners Workshop (Train-the-Trainer) E/L 550.