University of Maryland, Baltimore

Continuity of Operations (COOP)

E- Tool Users Guide

This guide serves as an aid for creating a continuity of operations plan for your department using the university's new COOP e-tool.
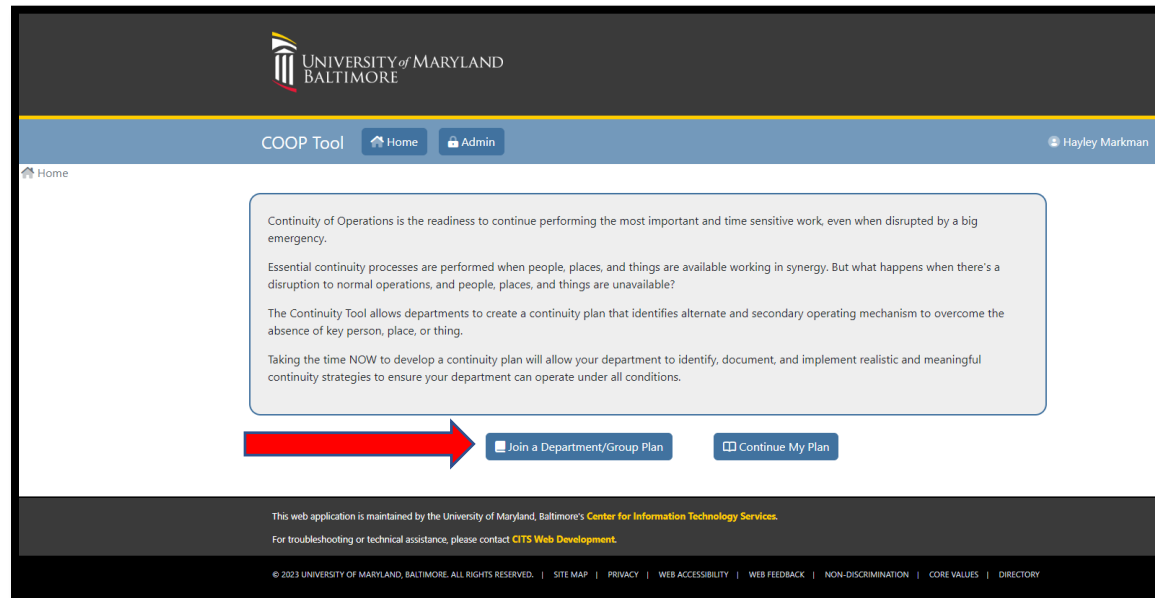
Version 2024.2

Table of Contents

Section 1.0: Gaining Access to the E-tool

➢ After accessing the e-tool, request access to your department/group plan by clicking "Join a Department/Group Plan."

➢ Then, find your department by searching or using the page selection option.

> After selecting the department, hit the drop down and choose a role type:
>> o View: this gives the user view-only access
>> o Planner: this gives the user the rights to edit and update the plan
>> o Approver: this gives the user the rights to approve the plan
>> o Admin: this gives the user the rights to approve new user requests and edit permissions for new users accessing to the plan

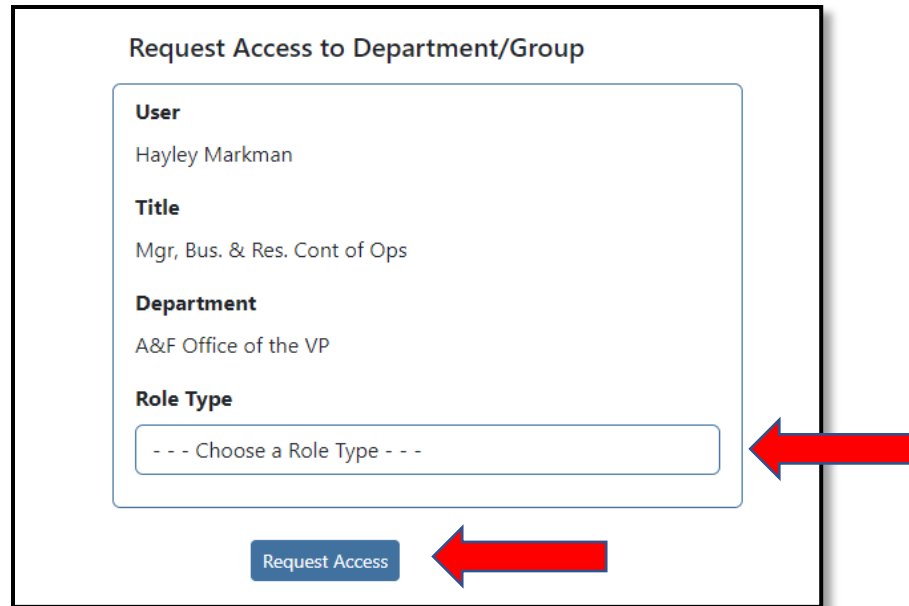- ➢ After selecting the role, type click Request Access to complete the request process.
- ➢ Once access has been granted, return to home page, and select Continue My Plan.
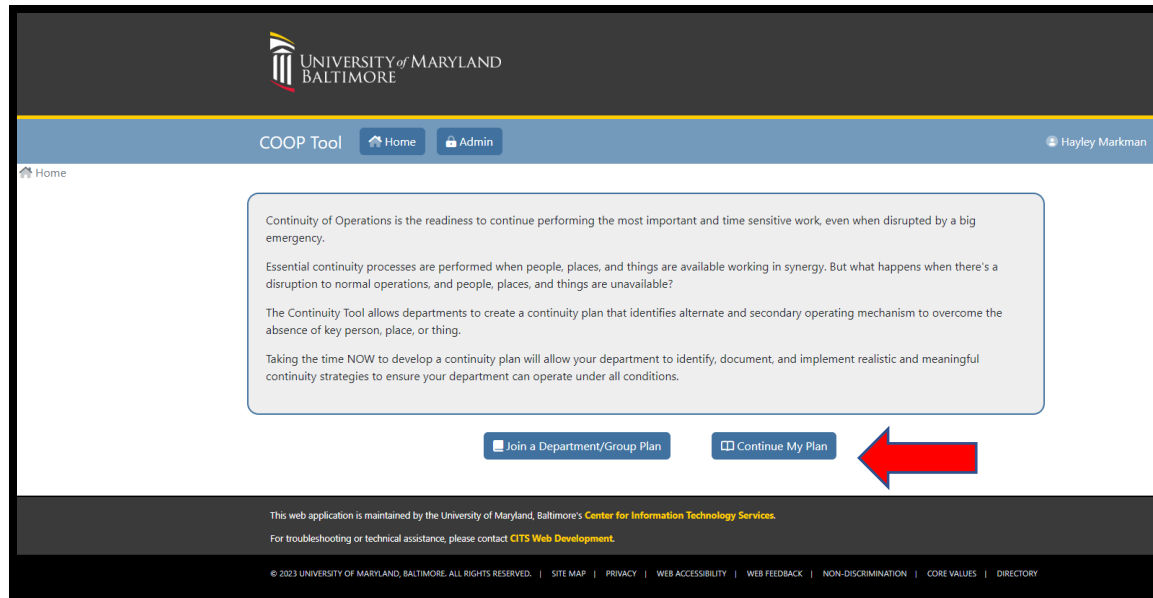
➤ After doing so, find the Actions and select Update Plan to begin creating your plan.
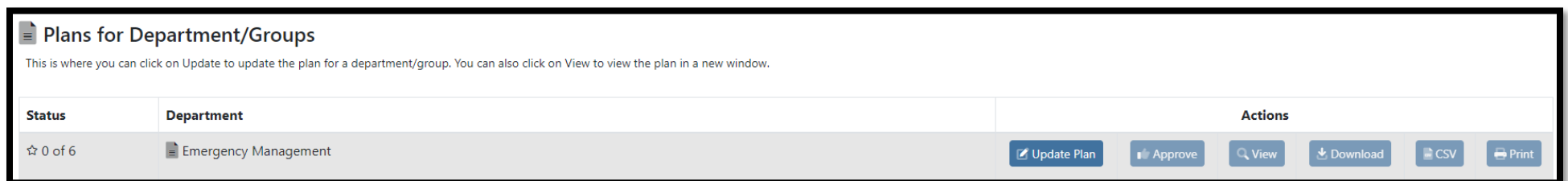
Section 2.0: Creating the Plan: How to Step-by-Step

Now that you can access the template, this section provides instructions about continuity concepts and how to create the COOP plan.

Section 2.1: Leadership Succession

When the official-in-charge is absent, identifying a secondary and tertiary successor keeps senior decision making intact. A pre-determined chain of command communicates who takes the helm if the Primary is absent. Leadership Succession can exist for any position, but for our purposes, focus on the official that oversees your department/division/school.

➢ List the senior leadership in your department in this section. Leadership succession is important and allows the university to adapt quickly, make higher quality decisions, preserves continuity, and creates organizational stability.

   ⁜ *Responsibilities & Authorities*:
   - If applicable, document authorities and limitations.
   - While not applicable to all circumstances, in some cases when a secondary or tertiary successor substitutes for the primary individual, there may need to be a temporary transfer of specific authorities. Authorities are inclusive of legal, financial, and human-resource responsibilities.
   - Legal authorities are required by law or statute.
   - Financial authorities consider the ability to spend or invest in a service, good, or contract with a price-tag or involves budgetary matters.
   - Human-resource authorities are employment related decisions like hiring new employees or approving leave.
   - Considering the limitations of a delegated authority is important. Defining what cannot be redelegated should be clearly defined to ensure proper procedures are followed. In cases where legal authorities are delegated, discuss these considerations with the General Counsel.

Considering the limitations of a delegated authority is important. Defining what cannot be redelegated should be clearly defined to ensure proper procedures are followed. In cases where legal authorities are delegated, discuss these considerations with the General Counsel.

➢ **Step 1:** Click the "+ Add Leadership" button on the top right corner to create an order of succession for the official-in-charge (2.1.a).

2.1.a

> **Step 2**: Use the Search for User to find the individual(s) who will be part of the succession.
>   - Type in their name (2.1.b and 2.1.c)

2.1.b

2.1.c

2.1.d

>   - Click "search" (2.1.d)
> **Step 3:** Hit select and then add:
>   - Mobile Phone - to ensure you can reach this person in a time of need. (2.1.e)
>   - Level – using the drop down, identify their position in assuming the role of the Official-in-Charge. The Official-in-Charge is the Primary person holding the position that must be assumed when the incumbent is unavailable. (2.1.f)
>   - Title – list their title to indicate the position. (2.1.g)
> **Step 4:** Click Add Leadership to save (2.1.h)
> *Note: Repeat Steps 1-4 (twice) for the Secondary and Tertiary persons.*

👤+ Add Leadership - Tutorial

This is the form where you can add a new leader to the plan. Please fill out the form below and click the "Add" button to add the leader to the plan.

Name

Hayley Markman - hmarkman@umaryland.edu

Mobile Phone

2.1.e

Level

- - Choose Level - -

2.1.f

Title

2.1.g

Add

2.1.h

Leadership Succession ☑ Completed

Please identify who is the primary leader of your organization. Identify a backup and tertiary for when they are unavailable.

Edit	Name	Title	Level	Delete
✎	Christopher Stanton	Executive Director	Primary	🗑
✎	Jonathan Bratt	AVP of Enterprise Resilience	Secondary	🗑
✎	Dawn Rhodes	SVP of A&F and Chief Financial and Business Officer	Tertiary	🗑

The section will become green after marking it complete.

The above is an example of a completed Leadership Succession list.

Section 2.2: Essential Processes

Essential Process are considered important, urgent, and time sensitive, that must be continued through a disruption or rapidly resumed. During an emergency or business interruption, these processes are prioritized to ensure impacts and consequences are mitigated.

- Essential processes are a subset of all org. processes and are an integral part of the department's mission.
- Failure to perform the process results in adverse consequences that affect life-safety, compliance, and critical operations/services that your stakeholders rely upon.
- Processes that can be deferred, without consequence, for 30 days or more, are considered non-essential.

Although each process has its own time-sensitivity, consider qualitative and quantitative measures like:

- Immediate resumption
- Within a few days
- One week

- 7 days
- 14 days
- 72 hours

When the process experiences a disruption, key stakeholders and partners must be notified. Leadership, patients, customers, clients, partners, students, and others may require a unique notification and should be considered as part of the organization's communication plan.

If a secondary or tertiary assume responsibility, it's critical that they understand how to perform the process. Procedures, instructions, and just-in-time reminders ensure back up personnel are setup for success. Feel free to refer to existing information or create them. Regardless, obtain from Essential Process owner and add any additional specific information or references that would be useful to a secondary or tertiary backup to perform an Essential Process during a disruption.

Essential Processes Considerations (Who Performs the Process):

➢ Identify a secondary and tertiary person for each essential process.

Ensure that expectations are communicated to secondary and tertiary process performers. Considerations for backups include the following:

➢ Have the knowledge, skills, and abilities to perform this function.
➢ Understand key processes, departments, and other people who support the performance or implementation of the function.
➢ Possess the ability to work remotely, either at an alternate location (where you are physically required to work) or through telework (via working from home or another remote location).
➢ Maintain ability to store and access documentation from an alternate facility, to include having dependable internet coverage.

➢ Participate in continuity planning, training, and engagement opportunities to understand their role in the continuity process.

➢ **Step 1:** Select "+Essential Processes" button at the top right corner to begin. (2.2.a)
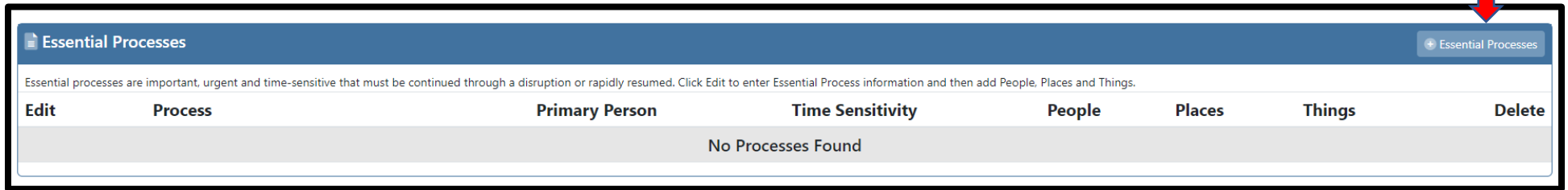
➢ **Step 2**: Add essential process details
  - Type in the name of the process (2.2.b)
  - Type and add a description to describe the process (2.2.c)
  - Using the drop down, select time sensitivty to indicate whent the process must resume (2.2.d)
  - Name who should be notified when this process is disrupted (2.2.e)
  - List any additional instructions in order to continue this process (2.2.f)
  - List the responsibilities and any limitations of personnel in order to continue this process (2.2.g)
  - Hit Add Process upon completion (2.2.h)
➢ **Step 3:** Repeat steps for each essential process identified.

Add Process

This is where you can add new process for the Tutorial plan. Fill out the form below and click the Add button to add the new process.

Process

`2.2.b`

Description

`2.2.c`

Time Sensitivity

- - - Select Time Sensitivity - - -   `2.2.d`

Who to notify when process is disrupted

`2.2.e`

Instructions

`2.2.f`

Personnel Responsibilities and Limitations

`2.2.g`

[Add]   `2.2.h`

- Once a process is added, People, Places, and Things hyperlinks appear. Complete People, Places, and Things for each essential process.

Essential Processes

Essential Processes

Essential processes are important, urgent and time-sensitive that must be continued through a disruption or rapidly resumed. Click Edit to enter Essential Process information and then add People, Places and Things.

Edit	Process	Primary Person	Time Sensitivity	People	Places	Things	Delete
✎	Maintain the ability to manage emergencies		Immediately	✎ People	✎ Places	✎ Things	✖

Section 2.2.1: People

When primary process owners or performers are absent, back up personnel must be identified to ensure the process continues. Backup personnel should be cross-trained and have access to the same information, permission levels, system access, and capabilities as the Primary.

Considerations for backups include the following:

- Have the knowledge, skills, and abilities to perform this function.
- Understand key processes, departments, and other people who support the performance or implementation of the function.
- Possess the ability to work remotely, either at an alternate location (where you are physically required to work) or through telework (via working from home or another remote location).
- Maintain ability to store and access documentation from an alternate facility, to include having dependable internet coverage.
- Participate in continuity planning, training, and engagement opportunities to understand their role in the continuity process.
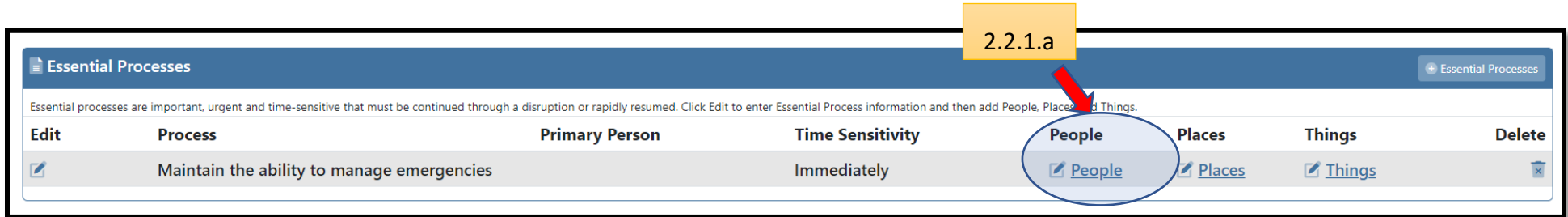
Ensure that expectations are communicated to secondary and tertiary process performers.

While not applicable to all circumstances, in some cases when a secondary or tertiary substitutes for the primary individual, there may need to be a temporary transfer of specific authorities. Authorities are inclusive of legal, financial, and human-resource responsibilities.

- Legal authorities are required by law or statute.
- Financial authorities consider the ability to spend or invest in a service, good, or contract with a price-tag or involves budgetary matters.
- Human-resource authorities are employment related decisions like hiring new employees or approving leave.

Considering the limitations of a delegated authority is important. Defining what cannot be redelegated should be clearly defined to ensure proper procedures are followed. In cases where legal authorities are delegated, discuss these considerations with the General Counsel.
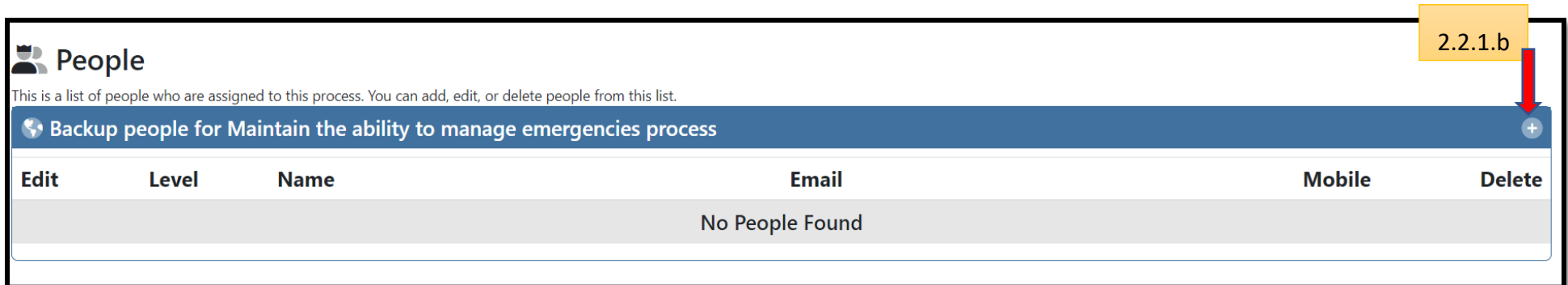
➢ **Step 1:** Click on People (2.2.1.a)

➢ **Step 2:** Select "+Essential Processes" button at the top right corner to begin. (2.2.1.b)

➢ **Step 3**: Identify details for the People section.
- In the person you would like to add has already been added to another essential process in the plan, click here to select that person (2.2.1.c)
- Select Level from the drop down (2.2.1.d)
- Type in the first and last name (2.2.1.e)
- Type in email address (2.2.1.f)
- Type in personal phone number (2.2.1.g)
- Click update to add to People roster (2.2.1.h)

➢ **Step 4:** Repeat until all People are added.

👥 Add People

This is where you can add people to the Tutorial plan.

Current People

These people are already in the plan you can choose them or add a new person.

- - - Select a Person - - -   `2.2.1.c`

Level

`2.2.1.d`

- - Choose Level - -

Name

Enter Name   `2.2.1.e`

Email

`2.2.1.f`

Enter Email

Mobile

`2.2.1.g`

Validate

Add   `2.2.1.h`

Note: The Primary name will automatically be added To Primary Person (for each process) and added to the Contact Roster

People for process: Maintain the ability to manage emergencies   People | Places | Things

Identify Primary person who is primarily responsible for process performance and backup personnel to ensure there's coverage if the Primary is absent

🌐 Backup people for Maintain the ability to manage emergencies process   ⊕

Edit	Level	Name	Email	Mobile	Delete
✎	Primary	Duty Officer (rotational)	emergencymanagement@umaryland.edu	410-706-8888	🗑
✎	Secondary	Chris Stanton	cstanton@umaryland.edu	555-555-5555	🗑
✎	Tertiary	Laura Cathcart	lcathcart@umaryland.edu	123-456-7890	🗑

Above is an example of a completed People Section

Section 2.2.2: Places

If the primary worksite or "Place" is inaccessible, an alternate or secondary location is required. These locations may require resources, systems, or agreements to ensure the space is equipped to support the essential process.

The Alternate Facility is a secondary location, which can support the performance of the essential process, should your primary location become unusable. There are several options for choosing an alternate location strategy, and the selection depends upon the essential process operating requirements.

Alternate Location Options	Description
UMB Facility	• Utilize unused/underused available space on campus. • Identify a conference room, lecture hall, or excess space in an administrative building, campus center, or in a school-operated location. • Ask another department to co-locate and consider dual usage space

Non-UMB Facility	• Use of non-UMB owned or controlled space. The alternate site may be at another institution, partner entity, or private business such as We Work or Spark Baltimore.
Telework	• Remote work.

When considering an alternate location, determine needs (utility capabilities, IT infrastructure, available workspace and storage, physical accessibility for persons and equipment, distance away from your primary location, security and access control, and logistical need considerations). The cost to have an alternative facility capability should be evaluated with the benefit (mitigating potential loss from disrupted essential processes). Use of an alternate facility should be documented whether by email agreement, Memorandum of Understanding (MOU), or Memorandum of Agreement (MOA). Contact Emergency Management and Real Estate, Planning, and Space Management for additional guidance.
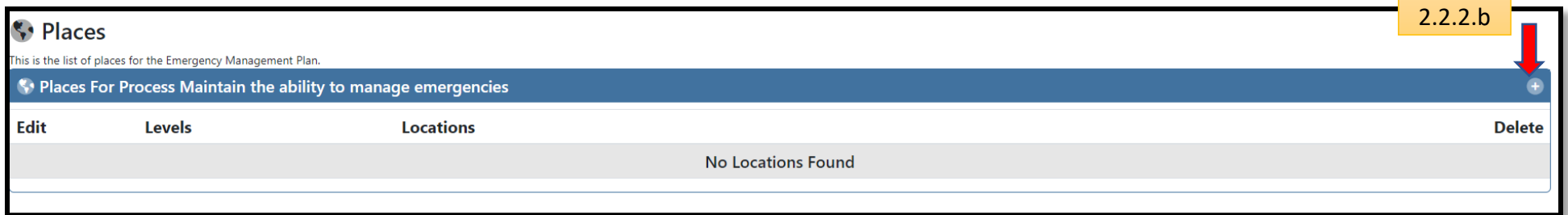
➢ **Step 1:** Click on Places (2.2.2a)

➢ **Step 2:** Click "+" button in upper right corner (2.2.2.b)

Places

This is the list of places for the Emergency Management Plan.

Places For Process Maintain the ability to manage emergencies

2.2.2.b

Edit	Levels	Locations	Delete
		No Locations Found	

➢ **Step 3:** Complete Place details

- Type in Location (2.2.2.c)
- Choose level from drop down to select if the location is primary or alternate (2.2.2.d).
- Click "Update" once complete (2.2.2.e).

Places

This page allows you to edit the places for the Emergency Management Plan.

Locations

Enter locations   2.2.2.c

Level

- - Choose Level - -   2.2.2.d

2.2.2.e   Update
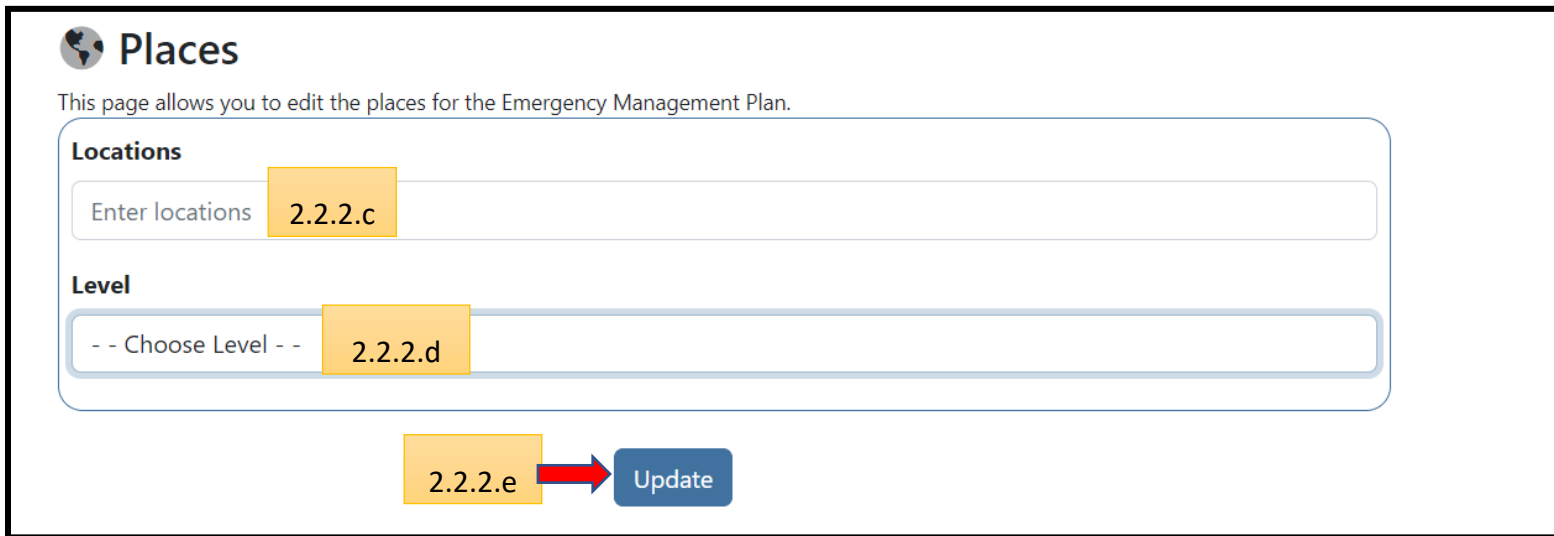
➢ **Step 4:** Repeat based upon number of locations to perform the process. Every process must have at least one alternate location.

🌐 Places for process: Maintain the ability to manage emergencies

This is the list of places for the Emergency Management Plan.

🌐 Places For Process Maintain the ability to manage emergencies ⊕

Edit	Levels	Locations	Delete
✏️	Primary	222 N. Pine St	🗑️
✏️	Alternate	Pearl Street Garage	🗑️
✏️	Alternate	Virtual	🗑️

Above is an example of a completed Places roster

Section 2.2.3: Things

When completing the Things section of Essential Processes, document Continuity of Resources and means of accessibility for the following:

- Critical Applications & Vital Records (2.2.3.a)
- Communications Resources (2.2.3.b)
- Equipment (2.2.3.c)

Resource Type	Definition	Example	Safeguarding Measure Examples
Critical Application & Vital Records 2.2.3.a	Critical Applications are applications, databases, or IT systems required to perform a process and/or which store records that are necessary to meet operational responsibilities to support both emergency operations and protect the legal and financial aspects of the organization.	Applications: Blackboard, 0356, Quantum Records: Floorplans, operating procedures, personnel files, and budget info	• Pre-positioning (hard copy and/or electronic copies of records and/or resources) at an alternate site or secondary location • Implementing redundancy to IT capabilities such as saving documents on cloud servers or having manual workarounds • Ensure systems are cloud-based and accessible off campus
Communications Resource 2.2.3.b	A piece of equipment that enables information exchange and sharing.	Laptop, cell phone, scanner, printer, pocket wi-fi	• Establish at least two providers or contracts for your critical resources or services. • Secure and maintain spare devices
Equipment 2.2.3.c	A generic or specialized tool or resource used to perform or support performance of an essential process.	Dry Ice, access control reader, PPE	• Rental/purchasing/outsourcing. • Reciprocal agreements • Multiple service-providers/vendors under contract

Some strategies for consideration to ensure accessibility in a timely manner may include the following:

- Implementing redundancy to IT capabilities such as saving documents on cloud servers or having manual workarounds if IT is inaccessible.
- Identify how to obtain needed equipment when primary is not usable (example: rental/purchasing sourcing, reciprocal agreements to borrow/share equipment, etc.)
- Pre-positioning (hard copy and/or electronic copies of records and/or resources) at an alternate site or secondary location
- Considering establishing at least two providers or contracts for your critical resources or services
- Providing essential personnel with mobile hot spots or enable mobile wi-fi

➢ **Step 1:** Click on Things (2.2.3.d)

➢ **Step 2:** Click "+" to add Things required to complete the process (2.2.3.e)

➢ **Step 3:** Complete Things details

23

- Describe primary critical applications and records ordinarily needed to perform process (2.2.3.f)

- Describe alternate critical applications and records, or strategies that can be used as a workaround or replacement, if primary is unavailable (2.2.3.g)

- Describe primary communications tool ordinarily needed to perform process (2.2.3.h)

- Describe alternate communications tools, or strategies that can be used as a workaround or replacement, primary is unavailable (2.2.3.I)

- Describe primary equipment ordinarily needed to perform process (2.2.3.j)

- Describe alternate equipment, or strategies, that can be used as a workaround or replacement if primary is unavailable (2.2.3.k)

- Click Add Things upon completion (2.2.3.l)

➢ **Step 4:** Repeat (2.2.3) for all (essential) things needed to perform the process.

Things for Emergency Management Plan

This is a list of things for the Emergency Management Plan

Critical Applications and Records

Enter Applications and Records

2.2.3.f

Alternatives to Critical Applications and Records

Enter Alternatives Applications to Critical Applications and Records

2.2.3.g

Communications Tools

Enter Communications Tools

2.2.3.h

Alternatives to Communications Tools

Enter Alternative Communications

2.2.3.I

Equipment

Enter Equipment

2.2.3.j

Alternate Equipment

Enter Alternate Equipment

2.2.3.k

2.2.3. l → Add Things

Things for process: Maintain the ability to manage emergencies
People | Places | Things

This is a list of things for the Maintain the ability to manage emergencies process Plan

Things For Process for Maintain the ability to manage emergencies Process   ⊕

Edit	Critcal Apps and Records	Alt Critcal Apps and Records	Communication Tools	Alt Communication Tools	Equipment	Alt Equipment	Delete
📝	EMT Roster in Smartsheet	Hard copy in OEM Duty Binder	Internet	Hot spots	Printer	Portable printer	🗑
📝	EM Procedures	Hardcopy EM procedures are available	Phone	Staff have a mix of AT&T and T-Mobile cell phones (work and personal devices); hard line available in EOC; FirstNet network is backup, and OEM staff have GETS Cards too.	Projector for EOC	Portable projector	🗑

Above is an example of a completed Things roster

> **Step 5:** After adding all of your departments essential processes, mark the section complete by checking the complete box (2.2.3.m). It should then turn green. See the example below.
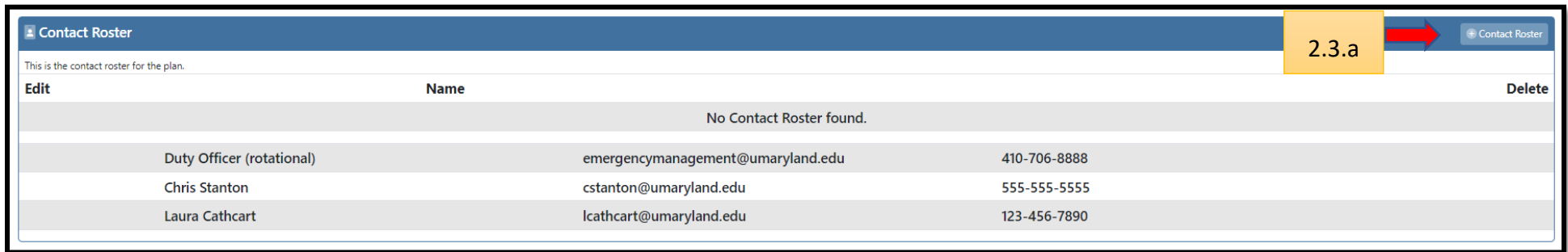

📄 **Essential Processes**   ⊕ Essential Processes   2.2.3.m ted

Essential processes are important, urgent and time-sensitive that must be continued through a disruption or rapidly resumed. Click Edit to enter Essential Process information and then add People, Places and Things.

Edit	Process	Primary Person	Time Sensitivity	People	Places	Things	Delete
📝	Maintain the ability to manage emergencies	Duty Officer (rotational)	Immediately	📝 People	📝 Places	📝 Things	🗑
📝	Coordinate alerts	laura	Immediately	📝 People	📝 Places	📝 Things	🗑

Above is an example of a completed Essential Processes.

Section 2.3: Contact Roster

The Contact Roster section of the e-tool is designed to serve as a virtual emergency contact list. You should list all of your emergency contacts in this section.

➢ **Step 1:** To create a Contact Roster, click "+ Contact Roster" (2.3.a)

➢ **Step 2:** Complete Contact Roster details
   - Add first name and last name (2.3.b)
   - Add email address (2.3.c)
   - Add mobile or home number (2.3.d)

➢ **Step 3**: Click Add Contact Roster upon completion (2.3.e). Remember to identify essential internal and external phone numbers. *This roster is your emergency contact list.* Notice that the people you added in the essential process section are now recorded under "Process People" (2.2.f).

📄 Add Contact Roster

This is where you can add Contact Roster to the Emergency Management plan.

Name

2.3.b

Email

2.3.c

Mobile

2.3.d

Format: 123-456-7890

2.3.e ➡️ Add Contact Roster

Contact Roster

This is the contact roster for the plan.

Edit	Name	Email	Phone	Delete
✏	Dr. D (POCH director)	sdeck@umaryland.edu	555-555-5555	🗑
✏	UMMC Emergency Manager	example@umms.org	111-111-1111	🗑
✏	Everbridge rep. (Alerting system contact)	example@everbridge.com	888-888-8888	🗑

Process People

2.3.f

Edit	Name	Email	Phone	Processes	Delete
	(rotational) Laura Cathcart, Hayley Markman, Haley Cifizzari, and Jon Bratt	emergencymanagement@umaryland.edu	410-706-8888	Coordination and management of domestic emergencies	
	Alex Likowski	alikowski@umaryland.edu	410-292-3925	UMB Alerts	
	As delegated by Primary, Successor #1 or as directed by SVP	drhodes@umaryland.edu	419-367-1107	OEM Management and Oversight	
	Carin Cardella	ccardella@umaryland.edu	443-326-0225	UMB Alerts	
	Chris Stanton	cstanton@umaryland.edu	410-706-8888	Coordination and management of domestic emergencies , Coordination and Management of International Emergencies , OEM Management and Oversight	

Above is an example of a completed Contact Roster.

Section 2.4: Additional Information

The additional information section is a place to include other important details related to your department's COOP. This is also an opportunity to upload important reference files.

➢ **Step 1**: Add attachments that should be included in the COOP plan. To start, click "+ Additional Information." (2.4.a)

Additional Information		2.4.a	➡	⊕ Additional Information
This is additional information for the plan.				
Title	**File**			**Delete**
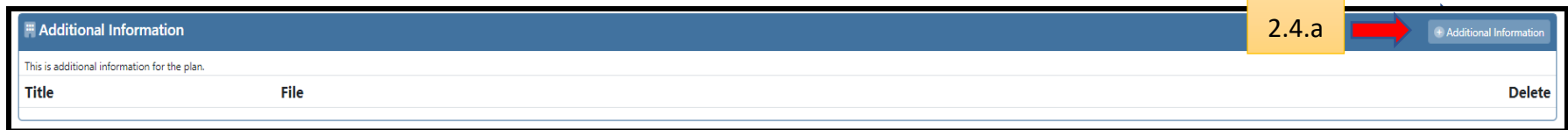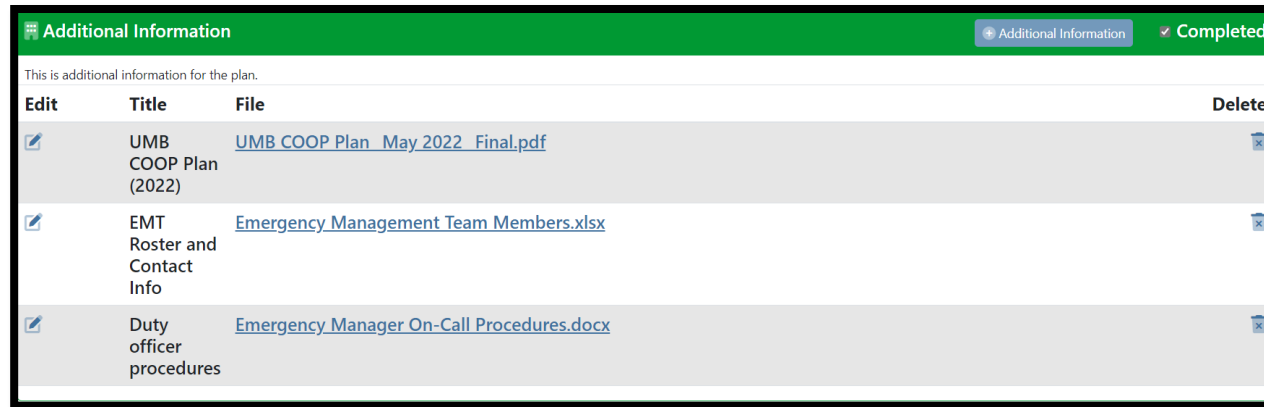
➢ **Step 2:** Add Additional Info details (2.4.b)

⊞ Add Addtional Information

Title

2.4.b

File Path

2.4.c ➡ Choose File | Emergency Management Team Members.xlsx

Add ⬅ 2.4.d

➢ **Step 3:** Add a title (2.4.b)
➢ **Step 4:** Choose file (2.4.c)
➢ **Step 5:** Click Add upon completion (2.4.d)

➢ **Step 6:** Repeat steps 1 -4 as necessary

Above is an example of a completed Additional Information list.
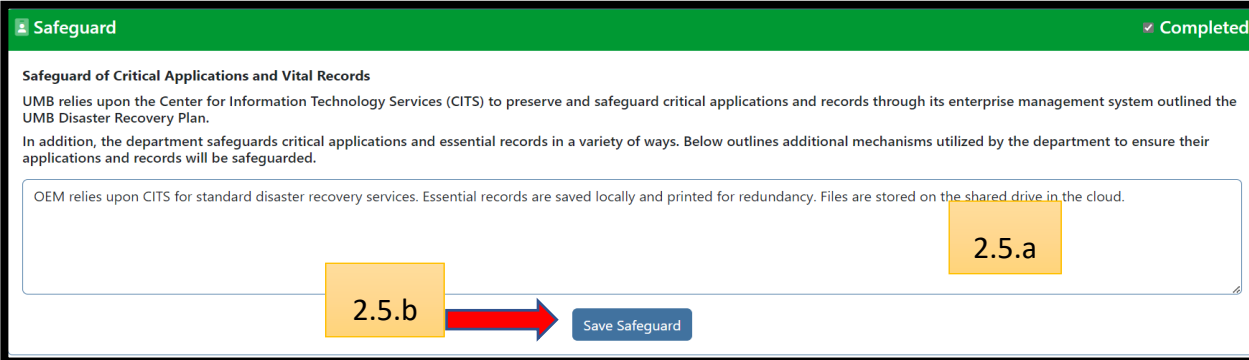
Section 2.5: Safeguard

The Center for Information Technology Services (CITS) preserves and safeguards critical applications and records for enterprise applications. Consider if the following safeguards apply to your departments critical applications and vital records used to perform essential processes.

1. Leveraging cloud application providers for secure access to work applications and data from almost any device with an active Internet connection and to ensure high levels of availability of an application and its data.

2. Leveraging cloud infrastructure providers for redundancy of server & storage hardware and to simplify deployment of department-managed IT services across multiple datacenters.

3. Implementing department-level disaster recovery (DR) and highly available (HA) IT equipment & services are stored and operated in geographically separate datacenters to protect against datacenter failure.

4.   Performing data backup processes such as the 3-2-1 rule: three (3) copies of any important data (i.e., one primary and two backup) stored on two (2) different types of media (e.g., disk, tape, cloud, etc.) with one (1) copy stored off-site. Long-term retention of data backups aligns with relevant business and regulatory requirements.

5.   Maintain a list of its critical vendors with contact information to aid repair and replacement of critical services and systems in the event of an emergency.

> **Step 1:** In the text box, describe additional safeguard and protection measures as applicable (2.5.a)
> **Step 2:** Click save Safeguard to save (2.5.b)
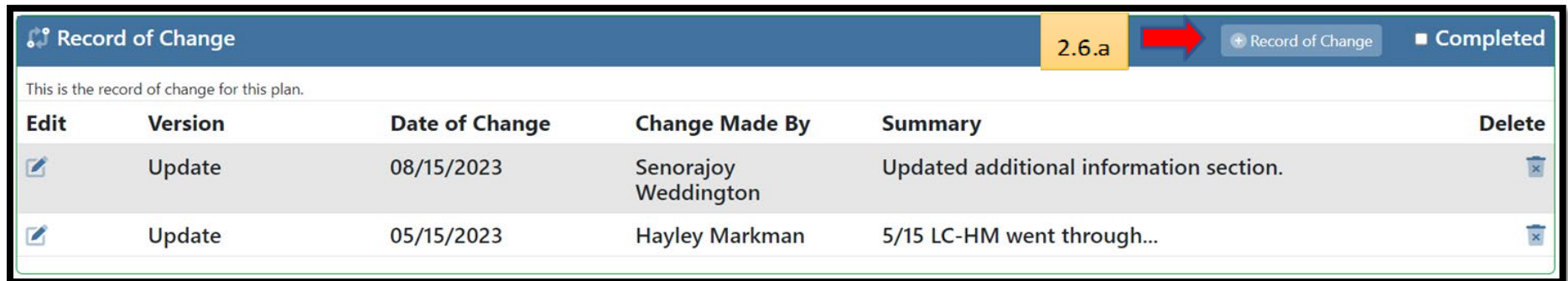
Above is an example of a completed Safeguard section.

Section 2.6: Record of Change

The Record of Change section is designed for you to get a digital record of all updates and changes to your COOP plan. See below for more instructions:

➢ **Step 1:** Click "+ Record of Change" (2.6.a)

➢ **Step 2:** Add Record details
- From the drop down, select the type of change (2.6.b)
- Add a description summarizing the changes (2.6.c)

- Step 3: Click "Add Record of Change" upon completion (2.6.d)

📄 Add Record of Change to Emergency Management Plan 📄 Add Record of Change to Emergency Management Plan 📄 Add Record of Change to Emergency Management Plan

This is where you can add a Record of Change for the Emergency Management plan.

Version

2.6.b

- - Choose Version - -

Summary

2.6.c

2.6.d ➡️ Add Record of Change

🔁 **Record of Change**   ⊕ Record of Change   ✔ Completed

This is the record of change for this plan.

| Edit	Version	Date of Change	Change Made By	Summary	Delete
✏️	Update	08/15/2023	Senorajoy Weddington	Updated additional information section.	🗑️
✏️	Update	05/15/2023	Hayley Markman	5/15 LC-HM went through…	🗑️

Above is an example of a completed record of change.

Section 3.0: Plan Approval

➢ **Step 1:** Navigate to the top of the page and click "Plans" underneath the header (3.0.a)
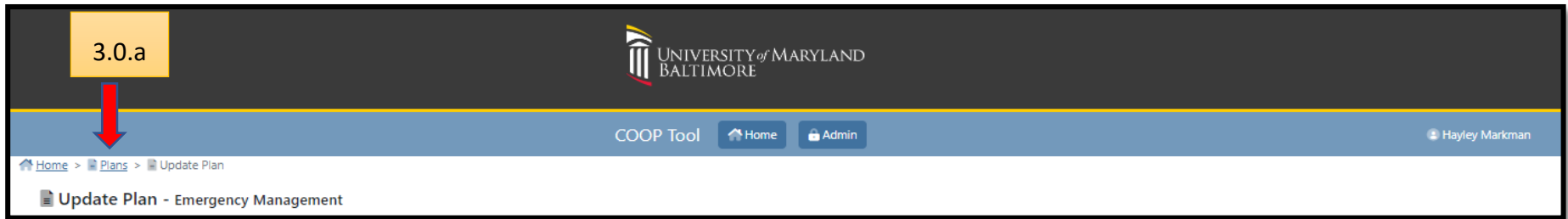
➢ **Step 2:** Click "Approve" (3.0.b)
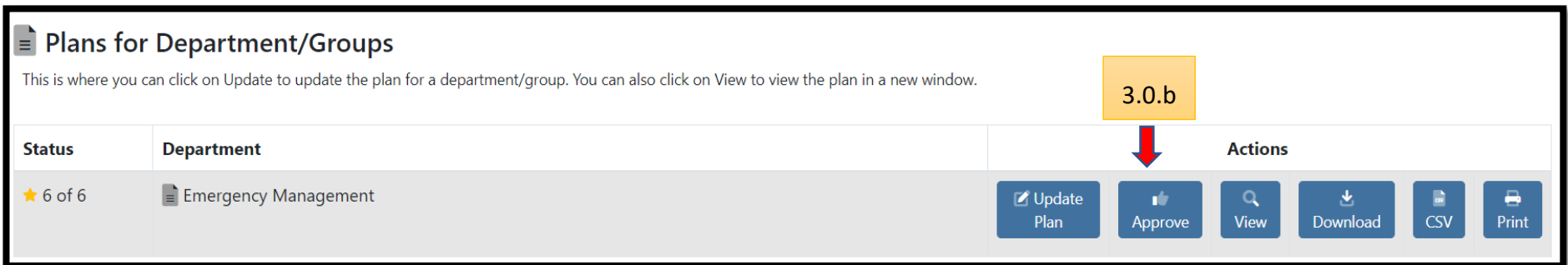
➢ **Step 3:** Scroll to the bottom of the page to add the signature (3.0.c).

➢ **Step 4:** Click Approve (3.0.d)
➢ **Step 5:** Return to Plan page to download and print the plan.
➢ **Step 6:** Email the completed plan to HMarkman@umaryland.edu
➢ **Step 7:** Ensure all personnel with a role in performing an Essential Process (Primary, Secondary, and Tertiary) have a copy of the plan.
➢ **Step 8: Congratulate yourself (and the team) for creating the department's COOP plan!**