

EASTERN MICHIGAN UNIVERSITY

Continuity of Operations Plan (COOP) Academic Affairs

Work Unit:

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INTRODUCTION

Consider the following real-life scenarios and the impact they may potentially have on unit operations as well as the campus community as a whole:

1. Heavy rain has flooded two unit offices causing emergency relocation to other buildings across campus. Files, equipment and office furniture were destroyed. Each unit is required to establish a temporary working office in an alternate location.
2. Public health agencies warn of a pandemic involving a novel influenza virus strain. A pandemic should impact campus activities for months: Classes and public events may be suspended; campus infrastructure will remain intact, however 30 percent or more of faculty/staff might be unable or unwilling to work. Disruptions could occur not only in university services, but also among regional vendors, health service providers and local government.

Scenario 1 affects the loss of use of a facility, such as an office, floor or entire building. Division and unit staff must turn their attention from their normal duties to managing the loss of use of their space, relocating to temporary spaces and resuming normal business operations. The pandemic influenza scenario would likely affect the loss of personnel and supply lines as opposed to university facilities and infrastructure.

Advanced planning, called Continuity of Operations (COOP) planning can help mitigate the impact that an emergency may have on your unit and speed recovery to an operational status.

A COOP plan is a collection of resources, actions, procedures, and information that is developed, tested, and held in readiness for use in the event of a major disruption of operations. COOP planning helps prepare Eastern Michigan University units to maintain mission-critical operations after any emergency or disaster.

The key purpose of COOP planning is to reduce the consequences of a disaster to acceptable levels. Although when and how a disaster will occur is not known, the fact that future disasters will happen is certain. A comprehensive COOP plan provides a framework that establishes operating procedures to sustain essential functions when normal procedures are not possible to perform, and provides a guide for the restoration of normal operations and building functions.

A COOP plan is not a one-time project with an established start and end date. Rather, it is a living document. It is essential that information and action plans in the COOP plan remain viable and current. The plan should be tested at least once a year.

The goal of continuity planning is to reduce the consequence of any disruptive event to a manageable level. In general, continuity plans are designed to:

- Minimize loss of life, injury, and property damage.
- Mitigate the duration, severity, or pervasiveness of disruptions that do occur.
- Achieve the timely and orderly resumption of essential functions and the return to normal operations.
- Protect essential facilities, equipment, records, and assets.
- Be executable with or without warning.
- Meet the operational requirements of the respective division. Continuity plans may need to be operational within minutes of activation, depending on the essential function or service, but certainly should be operational no later than 12-hours after activation.
- Meet the sustainment needs of the respective division. A division may need to plan for sustained continuity operations for up to 30-days or longer, depending on resources, support relationships, and strategy adopted.
- Ensure the continuous performance of essential functions and operations during an emergency, including those such as pandemic influenza that require additional considerations beyond traditional continuity planning.

COOP PLANNING AT EMU

A COOP Plan is not an emergency response plan; the purpose of a COOP Plan is to facilitate the recovery and resumption of essential functions through the development of plans, procedures and provisions for alternate sites, personnel, resources, interoperable communications and vital records/databases.

COOP planning at EMU utilizes an “all-hazards” approach, meaning that each planning scenario will incorporate both the loss of infrastructure and staff caused by any natural or man-made emergency. All major EMU work units will prepare a Unit COOP Plan specific to their needs. The overarching goal of the COOP planning process is to assist each unit to recover to a fully operational level within 30 days after a major interruption.

An All-Hazards Continuity of Operations template is provided for campus units to ensure that plans are uniformly prepared. For the purpose of this template, the term Unit will mean all functional units, programs and departments at EMU.

The University’s COOP Plan is based on the realistic approach to the problems likely to be encountered during a major emergency or disaster. The following may apply:

- An emergency or a disaster may occur at any time of the day or night, weekday, weekend, or holiday, with little or no warning.
- Emergency response and associated recovery efforts will be influenced by the changing patterns of services, facility use and present campus population through the normal cycles of the academic calendar.
- Disasters may be community-wide. Therefore it is necessary to plan for and carry out disaster response and short-term recovery operations in conjunction with other campus and local resources.

Units are encouraged to be collaborative when completing their template, and seek comments from staff and leadership and the University COOP Planning Team. Completed templates are to be returned to Jason Smith, COOP Coordinator, at the EMU Emergency Management office.

PLANNING ASSUMPTIONS

In order to prepare plans to resume essential operations following an emergency, a consistent set of planning assumptions must be used by all units. For planning purposes, assume the affected unit has experienced:

- A severely damaged facility or infrastructure that requires unit relocation to a different facility on or off campus for 3 or more months, and
- A 30 percent staffing loss. Staffing levels may be impacted due to high absenteeism, work force reductions due to facility loss, social distancing requirements to isolate for disease controls and/or lack of skilled workers and adequate supplies.

For the purposes of planning, assume that either a severe staffing loss or damaged facility could severely impact technology resources on campus, and that information technology resources will be unavailable at the onset of a COOP emergency.

A comprehensive COOP plan will be implemented once the emergency has stabilized, and the campus begins the recovery process. It is assumed that infrastructure and staffing will be impaired for some time, but the campus is able to resume certain functions on a priority basis. Essential functions that involve life safety, infrastructure and technology will be given the highest priority. The unit template will be used to help the campus prioritize the resumption of operations.

ASSISTANCE/QUESTIONS

For assistance in preparing a unit COOP plan, please contact Mark Wesley at mwesley3@emich.edu or 734-487-0799.

PLAN REVIEW AND REVISION

Date	Name	Review and Revision	Sections Revised

SECTION 1: WORK UNIT OVERVIEW

I. WORK UNIT IDENTIFICATION

INSTRUCTIONS: In this section, identify the Unit management and additional COOP contacts within the Unit. These individuals may be contacted by the COOP Coordinator for more information.

UNIT NAME:

OFFICE LOCATION:

UNIT PHONE:

Primary COOP Contacts	Name	Email	Phone	Fax
Unit COOP Lead				
Alt. COOP Contact				
Unit Manager				

II. UNIT FACILITIES

INSTRUCTIONS: List the buildings used by your Work Unit. Please include both primary and secondary uses (administrative, instruction, lab, etc.) and any special considerations or comments if needed.

Building Name	Primary Use	Secondary Use	Number of Personnel at Facility	Special Considerations

III. UNIT OVERVIEW

INSTRUCTIONS: Write a brief description of your Work Unit. Include such items as principle services, number of staff, buildings, location and space needs. The goal is to create a picture of the size of your unit and the scope of its activities. You may have most of the needed information in another document or on your website. This can be copied, pasted and modified for use in this COOP document. Please include any unique situations or conditions that the unit may face if there is a need to relocate for an extended period of time or experience significant staffing loss.

IV. UNIT COOP OBJECTIVES

INSTRUCTIONS: The goal of the unit COOP Plan is to assist the unit to re-establish the essential services necessary to return to an operational state within 30 days after a major operational interruption. Briefly describe the range of services that you provide to others in the event of a long-term emergency. Do not include your normal operations that can be suspended. It should be clear why your unit must remain functions, at least in part, during a long-term

emergency. Consider the priority tasks of your department. List them out and indicate whether they are performed daily, weekly, monthly, etc.

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V. RELOCATION CONSIDERATIONS

If an emergency render facilities uninhabitable, in all or part, the work unit must have alternate space options or telecommuting capabilities to perform essential functions. In the best case scenario, the division has a pre-designated “hot site”— a move-in ready facility with the necessary computer, telecommunications, and infrastructure (e.g., water, electricity, heating/air conditioning) to allow each work unit to continue essential functions. More typical scenarios include facilities that need some or substantial augmentation of equipment and infrastructure to support the performance of essential functions.

Before looking for alternate facilities, it is best to have some sense of what the work unit will need in terms of space, equipment, and infrastructure to continue operation of essential functions. This worksheet begins with identifying the number essential staff to carry out all identified essential functions. For the essential function listed, the work unit, in consultation with staff who do the work, determine (a) whether the work can be done manually or whether a power supply is needed and, if so, what type of power and how many outlets; (b) what types of equipment are needed such as desks, chairs, computers, tape recorders, copy and fax machines; the number and types of communication devices such as land line and cell phones, satellite dish, two-way radios and whether network or internet access is needed; the approximate square footage to accommodate the number of staff needed to perform the functions, and security access is required.

INSTRUCTIONS: Before selecting alternate facilities, you must determine what your work unit will need in terms of space, equipment, and infrastructure to continue operation of essential functions. Identify the requirements for the alternate location by work unit. An alternate facility is a location, other than the normal facility, used to carry out essential functions in the event of COOP plan activation. Requirements include personnel, back-up power, communications and space requirements.

Begin by identifying the work site needs within your work unit in order to perform identified Tier I, II and III functions. In the event that the organization has to move to an alternate facility, there are additional needs of staff operating at the facility that must be met.

- Record the number of essential staff that would be required to perform identified essential functions in the event physical relocation is needed.
- List the furniture and office equipment that are needed.
- Identify what type of power supply is needed to carry out the identified essential functions.
- Identify communications needs such as land lines, cell phones, satellite dish, two-way radios, tape recorders, network access, and internet access.
- Estimate the floor space needed to accommodate the staff. This can be listed as square footage or as space for a specified number of people.
- Indicate what security requirements may be necessary for potential alternate facilities. This may include security access and/or secure storage, etc.
- Indicate any special considerations or needs to be taken into account for relocation. This may include wheelchair access, transportation considerations as well as food and lodging.

STAFF TO RELOCATE	FURNITURE/EQUIPMENT	POWER SUPPLY	COMMUNICATION SYSTEMS / NEEDS	SECURITY MEASURES / NEEDS	SPECIAL CONSIDERATIONS

SECTION 2: LEADERSHIP SUCCESSION

Orders of succession are provisions that are implemented when leadership personnel are unable to execute their duties during an emergency. Units must establish, communicate and maintain their orders of succession for key positions. This succession may be addressed through by-laws, codes, ordinances or internal policy. When considering succession, attempt to identify at least two successors to an incumbent. Although succession most frequently goes downward in the organization hierarchy, it may be necessary or desirable to move upward instead; some positions may require successors from outside the immediate unit or even the division. There also may be situations in which it is necessary to assign successors from outside the geographic proximity.

I. UNIT LEADERSHIP SUCCESSION

INSTRUCTIONS: List the people who can make operational decisions if the unit manager is absent.

	Name	Position	Email	Office Phone	24/7 Phone
Unit Manager					
First Successor					
Second Successor					

SECTION 4: UNIT FUNCTIONS AND RECOVERY TIME OBJECTIVES

Essential functions are based on the units' customers and needs. Assigning a priority to the customers' needs helps COOP planners distinguish between critical and supportive functions. Essential functions are the foundation for COOP programs and plans. For a unit that is at the beginning stage of COOP planning, determining essential functions must be completed before moving to any other area. Identifying essential functions requires an intimate understanding of all the organization's operations. Although many functions are important, not every activity the organization performs is a critical function that must be sustained in an emergency.

Completing this worksheet will help each unit prioritize the recovery of its primary functions and assist the campus in determining the essential functions that need to be restored first following an emergency. Keep in mind that a function may be more essential at certain periods throughout the year. For example, if employees are paid on the 1st and 15th of each month and a disaster strikes on the 16th, payroll would not be a Tier I or Tier II function. However, if an emergency occurs on the 14th of the months, payroll will need to be reestablished within 24 hours to ensure personnel are paid. It is recommended that time-sensitive or date-specific functions be considered as if the disruptive event were to take place immediately before the function needs to be accomplished. If an incident affects the unit when the function is not time-critical, the COOP plan would be adjusted to keep that function at a lower priority for recovery.

I. UNIT FUNCTIONS

INSTRUCTIONS

- List each function that the unit performs in the table below.
- For each of the primary functions listed in the table, recommend a Recovery Time Objective for restoring that function after a catastrophic incident has occurred by choosing one of the following Tiers.
 - Tier I:** Tier I functions are the agency's essential functions that must reach operational status no later than 12 hours after COOP activation.
 - Tier II:** Tier II functions are those that must reach operational status within 12 to 72 hours and are able to sustain operations for a minimum of 30 days. These functions may be dependent on the operational status of Tier I functions.
 - Tier III:** Tier III functions are important business functions that must reach operational status within 72 hours to two weeks. Tier III functions may be dependent on the status of Tier I or II functions, or may simply have less criticality.
 - Tier IV:** Two weeks to 30 days. Tier IV represents the functions that could be postponed until all functions in Tiers I, II and III are fully operational.
 - Tier V:** Represents functions that can be suspended for 30 or more days.
- All functions that fall into Tiers I, II or III will require a separate "Essential Function Worksheet" to be completed.

NO.	FUNCTION PERFORMED	DESCRIPTION OF FUNCTION	TIER
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			

ESSENTIAL FUNCTION II:

FORM COMPLETED BY:			
	NAME	TITLE	DATE

RECOVERY TIME OBJECTIVE:

OF PERSONNEL REQUIRED:

PEAK TIME:

I. CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

PROCESS	PRIMARY EMPLOYEE	SECONDARY EMPLOYEE	SPECIAL NOTES

II. VITAL RECORDS

RECORD NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

III. EQUIPMENT AND SYSTEMS

NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

ESSENTIAL FUNCTION III:

FORM COMPLETED BY:			
	NAME	TITLE	DATE

RECOVERY TIME OBJECTIVE:

OF PERSONNEL REQUIRED:

PEAK TIME:

I. CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

PROCESS	PRIMARY EMPLOYEE	SECONDARY EMPLOYEE	SPECIAL NOTES

II. VITAL RECORDS

RECORD NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

III. EQUIPMENT AND SYSTEMS

NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

ESSENTIAL FUNCTION IV:

FORM COMPLETED BY:			
	NAME	TITLE	DATE

RECOVERY TIME OBJECTIVE:

OF PERSONNEL REQUIRED:

PEAK TIME:

I. CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

PROCESS	PRIMARY EMPLOYEE	SECONDARY EMPLOYEE	SPECIAL NOTES

II. VITAL RECORDS

RECORD NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

III. EQUIPMENT AND SYSTEMS

NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

ESSENTIAL FUNCTION V:

FORM COMPLETED BY:			
	NAME	TITLE	DATE

RECOVERY TIME OBJECTIVE:

OF PERSONNEL REQUIRED:

PEAK TIME:

I. CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

PROCESS	PRIMARY EMPLOYEE	SECONDARY EMPLOYEE	SPECIAL NOTES

II. VITAL RECORDS

RECORD NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

III. EQUIPMENT AND SYSTEMS

NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

ESSENTIAL FUNCTION VI:

FORM COMPLETED BY:			
	NAME	TITLE	DATE

RECOVERY TIME OBJECTIVE:

OF PERSONNEL REQUIRED:

PEAK TIME:

I. CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

PROCESS	PRIMARY EMPLOYEE	SECONDARY EMPLOYEE	SPECIAL NOTES

II. VITAL RECORDS

RECORD NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

III. EQUIPMENT AND SYSTEMS

NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

ESSENTIAL FUNCTION VII:

FORM COMPLETED BY:			
	NAME	TITLE	DATE

RECOVERY TIME OBJECTIVE:

OF PERSONNEL REQUIRED:

PEAK TIME:

I. CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

PROCESS	PRIMARY EMPLOYEE	SECONDARY EMPLOYEE	SPECIAL NOTES

II. VITAL RECORDS

RECORD NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

III. EQUIPMENT AND SYSTEMS

NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

ESSENTIAL FUNCTION VIII:

FORM COMPLETED BY:			
	NAME	TITLE	DATE

RECOVERY TIME OBJECTIVE:

OF PERSONNEL REQUIRED:

PEAK TIME:

I. CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

PROCESS	PRIMARY EMPLOYEE	SECONDARY EMPLOYEE	SPECIAL NOTES

II. VITAL RECORDS

RECORD NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

III. EQUIPMENT AND SYSTEMS

NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

ESSENTIAL FUNCTION IX:

FORM COMPLETED BY:			
	NAME	TITLE	DATE

RECOVERY TIME OBJECTIVE:

OF PERSONNEL REQUIRED:

PEAK TIME:

I. CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

PROCESS	PRIMARY EMPLOYEE	SECONDARY EMPLOYEE	SPECIAL NOTES

II. VITAL RECORDS

RECORD NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

III. EQUIPMENT AND SYSTEMS

NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

ESSENTIAL FUNCTION X:

FORM COMPLETED BY:			
	NAME	TITLE	DATE

RECOVERY TIME OBJECTIVE:

OF PERSONNEL REQUIRED:

PEAK TIME:

IV. CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

PROCESS	PRIMARY EMPLOYEE	SECONDARY EMPLOYEE	SPECIAL NOTES

V. VITAL RECORDS

RECORD NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

VI. EQUIPMENT AND SYSTEMS

NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION

II. OUTSIDE VENDORS AND SERVICE PROVIDERS

INSTRUCTIONS: List below the external products, services, suppliers and providers upon which the department depends. Identify the product or service, and the name and contact information for the primary provider and for alternate providers that can deliver the same products or services.

SERVICE/PRODUCT		PHONE	24/7 PHONE	ALT CONTACT
1ST PROVIDER				
2ND PROVIDER				
SERVICE/PRODUCT		PHONE	24/7 PHONE	ALT CONTACT
1ST PROVIDER				
2ND PROVIDER				
SERVICE/PRODUCT		PHONE	24/7 PHONE	ALT CONTACT
1ST PROVIDER				
2ND PROVIDER				
SERVICE/PRODUCT		PHONE	24/7 PHONE	ALT CONTACT
1ST PROVIDER				
2ND PROVIDER				
SERVICE/PRODUCT		PHONE	24/7 PHONE	ALT CONTACT
1ST PROVIDER				
2ND PROVIDER				
SERVICE/PRODUCT		PHONE	24/7 PHONE	ALT CONTACT
1ST PROVIDER				
2ND PROVIDER				
SERVICE/PRODUCT		PHONE	24/7 PHONE	ALT CONTACT
1ST PROVIDER				
2ND PROVIDER				
SERVICE/PRODUCT		PHONE	24/7 PHONE	ALT CONTACT
1ST PROVIDER				
2ND PROVIDER				
SERVICE/PRODUCT		PHONE	24/7 PHONE	ALT CONTACT
1ST PROVIDER				
2ND PROVIDER				
SERVICE/PRODUCT		PHONE	24/7 PHONE	ALT CONTACT
1ST PROVIDER				
2ND PROVIDER				

SAMPLE COOP PLAN

WORK UNIT OVERVIEW

I. WORK UNIT IDENTIFICATION

UNIT NAME: **Payroll**

OFFICE LOCATION: **104 Hover**

UNIT PHONE: **734-487-2393**

COOP CONTACTS	NAME	EMAIL	PHONE	FAX
Unit COOP Lead	Rhonda Linderman	Withdrawn	Withdrawn	Withdrawn
Alt. COOP Contact	Doris Celian	Withdrawn	Withdrawn	Withdrawn
Unit Manager	Rhonda Linderman	Withdrawn	Withdrawn	Withdrawn

II. UNIT FACILITIES

BUILDINGS	PRIMARY USE	SECONDARY USE	SPECIAL CONSIDERATIONS
Hover	Administrative	None	None

III. UNIT OVERVIEW

The primary mission of the Payroll Department is to ensure that all employees are paid accurately and timely with the correct withholdings and deductions, and to ensure the withholdings and deductions are remitted in a timely manner. This includes salary payments, tax withholdings, and deductions from a paycheck. Our mission is accomplished by working with all the paying departments as well as the Human Resources, Financial Aid, and many other offices. This mission of the Payroll Department is not attainable without the assistance of the contacts in each department. These contacts serve an important role in providing the information needed for paying and serving all employees of Eastern Michigan University.

The Payroll Department oversees preparation of the University's bi-weekly payroll for all employees. Using Federal, State and other laws and regulations, the Payroll Department processes timely and accurate payments to all employees. The Payroll Department withholds and submits all Federal and State taxes, garnishments and child support payments; enters all timesheets and special payments; handles all Non-Resident Alien taxing for employees; handles all processing for taxable tuition waivers; processes and transmits all direct deposits for employees.

IV. UNIT COOP OBJECTIVES

- Making accurate and timely payments to all persons on the University payroll.
- Making all statutory deductions and verifying that all required reporting procedures are followed in connection with statutory deductions.
- Making all non-statutory deductions and/or reductions and verifying that all record keeping and reporting procedures are followed.
- Maintaining records and reports required by the University, State and Federal governmental agencies pertaining to personnel paid through the payroll system.
- Distributing paychecks.
- Establishing payroll policies and processing procedures.
- Generating year-end tax forms.
- Processing W-4's.
- Reconciling withholding accounts.
- Assisting departments with the processing of payroll data.

V. RELOCATION CONSIDERATIONS

# OF STAFF	FURNITURE/EQUIPMENT	POWER SUPPLY	COMMUNICATIONS	SECURITY	SPECIAL CONSIDERATIONS
7	7 – Office workspace for personnel	Standard	Telecommunications	None	None
	7 – Computers		Network Access		
	1 – Office Computer		Internet		
	7 – Professional Calculators		Email		
	1 – Large file cabinet (pref. fireproof w/lock)				

LEADERSHIP SUCCESSION

I. UNIT LEADERSHIP SUCCESSION

	NAME	POSITION	EMAIL	OFFICE PHONE	24/7 PHONE
Unit Manager	Rhonda Linderman	Department Manager	Withdrawn	Withdrawn	Withdrawn
First Successor	Dawn Bush	Payroll Coordinator	Withdrawn	Withdrawn	Withdrawn
Second Successor	Tracy Pytlak	Payroll Specialist	Withdrawn	Withdrawn	Withdrawn

UNIT CALL TREE

I. CALL TREE CALLER

CALL TREE CALLER	NAME	POSITION	EMAIL	OFFICE PHONE	24/7 PHONE
PRIMARY CALLER	Rhonda Linderman	Department Manager	Withdrawn	Withdrawn	Withdrawn
ALTERNATE CALLER	Dawn Bush	Payroll Coordinator	Withdrawn	Withdrawn	Withdrawn
SECOND ALTERNATE					

II. UNIT EMPLOYEES

NAME	POSITION	EMAIL	OFFICE PHONE	24/7 PHONE
Dawn Bush	Payroll Coordinator	Withdrawn	Withdrawn	Withdrawn
Tracy Pytlak	Payroll Specialist	Withdrawn	Withdrawn	Withdrawn
Virginia Weidenfeller	Payroll Practitioner III	Withdrawn	Withdrawn	Withdrawn
Carla Williams	Payroll Practitioner II	Withdrawn	Withdrawn	Withdrawn
Donnalee Edge	Payroll Practitioner II	Withdrawn	Withdrawn	Withdrawn
Amy Barker	Payroll Accountant	Withdrawn	Withdrawn	Withdrawn

UNIT FUNCTIONS AND RECOVERY TIME OBJECTIVES

I. UNIT FUNCTIONS

NO.	FUNCTION PERFORMED	DESCRIPTION OF FUNCTION	TIER
1	Payroll to Employees	Prompt payment of employees in accordance with Michigan statute, through the timely preparation and submission of complete, authorized payroll documents.	Tier I
2	W-2 Processing	The preparation of W-2 forms to disseminate of employees and the IRS at the end of the year. The W-2 for reports an employee's annual wages and the amount of taxes withheld from his or her paycheck.	Tier I
3	1042-S Processing	The preparation of 1042-S forms to disseminate to among U.S. nonresident employees. The 1042-W form reports federal tax withholding for tax treaty benefits, Fellowship/Scholarship income, contractors, royalty payments, and prize/award payments.	Tier I

ESSENTIAL FUNCTION WORKSHEET(S)

ESSENTIAL FUNCTION 1: Processing Payroll as needed for bi-weekly staff, students and semi-monthly staff

FORM COMPLETED BY:	Rhonda Linderman	Department Manager	September 21, 2010
NAME	TITLE		DATE

RECOVERY TIME OBJECTIVE: Tier I: 0-12 Hours

OF PERSONNEL REQUIRED: 6 to 7

PEAK TIME: Weekly – staff requirements vary based on type of payroll to be processed

I. CRITICAL PROCESSES AND ESSENTIAL PERSONNEL

PROCESS	PRIMARY EMPLOYEE	SECONDARY EMPLOYEE	SPECIAL NOTES
Run PHPSHRS every payroll	Dawn Bush	Rhonda Linderman	
Run Appworx chain PAY_CHKS_1	Dawn Bush	Rhonda Linderman	Process via INB if Appworx is down – Opens Payroll Process
Manual Data Entry such as retro, back pay, etc. Includes PAF's	Virginia Weidenfeller, Carla Williams, Dawn Bush	Rhonda Linderman	Staff depends on which payroll is being processed
Pull web time entry by Wednesday at 10 AM	Dawn Bush	Rhonda Linderman	Would be either bi-weekly or student
Run Appworx chain PAY_CHKS_2	Dawn Bush	Rhonda Linderman	Calculates Payroll
Run Access or Crystal reports used to check various data	Virginia Weidenfeller, Carla Williams, Dawn Bush	Rhonda Linderman	All verification completed by Friday for BW and BS or day before SF check printing. Not critical.
Send Excel file to Financial Aid for CWS balances	Carla Williams	Rhonda Linderman	Not critical
Run Appworx chain PAY_CHKS_3	Dawn Bush	Rhonda Linderman	
Send ACH and Pos Pay file to Chase or Higherone by noon	Dawn Bush	Rhonda Linderman	Appworx is needed and WDrive is essential for this process
Wire to Higherone by noon	Patty Mclean (Accounts Payable)	Tammy Walters, Tim Griffith (Financial Services)	Student Payroll
Paper checks to departments by Thursday	Mail Room	Mail Room	Initiated by Dawn Bush
Payment to vendors, TIAA, MPERS, Garnishments, FOC, Taxes, etc.	Tracy Pytlak	Dawn Bush	Notifications of payments to Accounts Payable

II. VITAL RECORDS

RECORD NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION
TIAA – Employee retirement information and deductions	104 Hover Electronically in Banner	Annually	Unknown – See DoIT	
MPSERS – State of Michigan retirement information	104 Hover – Payroll Office	Ongoing	Stored in Fireproof cabinet	
Earning Totals – Employee earned wages	Electronically in Banner	Bi-Weekly	See DoIT	
Deduction Totals – Employee deductions	Electronically in Banner	Bi-Weekly	See DoIT	
Garnishments – Employee wage garnishment requests/orders	104 Hover – Payroll Office Electronically on WDrive	Ongoing		
Friend of the Court – Employee wage garnishment request/orders	104 Hover – Payroll Office Electronically on WDrive	Ongoing		
Payroll Operating Procedures	Select Payroll Staff WDrive	Annually		

III. EQUIPMENT AND SYSTEMS

NAME AND DESCRIPTION	STORAGE LOCATION	MAINTENANCE FREQUENCY	PROTECTION METHOD	OTHER INFORMATION
Appworx Software – automates, integrates and accelerates business application processing within Banner	Payroll Computers	See Business Operations	See Business Operations	
Banner – automates payroll. Reliable timely data that is available 24/7 to support decision-making	EMU Network	See DoIT	See DoIT	
Microsoft Access – Data solutions and review data released by Banner	Payroll Computers	Annually		
Crystal Software – Data solutions and review data released by Banner	Payroll Computers	Annually		
MICR Printer – Specialized printer (Include name and model number)	Hover – General Accounting Office	Unknown	Stored in secure/locked room	
Intellecheck – utilizes blank secure check stock. Also used to email direct deposit information	Payroll Computers	See DoIT	See DoIT	

SERVICE PROVIDERS

I. INTERNAL DEPENDENCIES ON EMU WORK UNITS

EMU SERVICE OR PRODUCT	EMU PROVIDER	CONTACT	TITLE	CAMPUS PHONE
PAFS and data entry into Banner	Human Resources	Crystal Dunt, Pat Henrey	Human Resources Assistant	734-487-3430
PAFS and data entry into Banner	Academic Human Resources	Bonnie Emrick	Academic HRIS Assistant	734-487-0076
Wap37	Career Services	Jeanne Lagana, Mary Jones	Career Services Assistant II	734-487-1304
Verification of CWS Balance	Financial Aid	Kelly O'Connor	Sr Financial Aid Advisor	734-487-0455
Accounts Payable	General Accounting	Tim Griffith	Department Manager	734-487-1116

II. OUTSIDE VENDORS AND SERVICE PROVIDERS

SERVICE/PRODUCT	Banner – See DoIT	PHONE	24/7 PHONE	ALT CONTACT
1 ST PROVIDER	SungardHE	NA	NA	www.sungardhe.com
2 ND PROVIDER	NA	NA	NA	NA
SERVICE/PRODUCT	Intellecheck	PHONE	24/7 PHONE	ALT CONTACT
1 ST PROVIDER	Evisions	714-824-5252	Helpdesk.evisions.com (login required)	714-730-2524 (fax)
2 ND PROVIDER	NA	NA	NA	NA
SERVICE/PRODUCT	AppWorx – Operated and maintained by DoIT	PHONE	24/7 PHONE	ALT CONTACT
1 ST PROVIDER	UC4 – EMU Business Operations	734-487-2165	IT Help Desk – 734-487-2120	Op_serv@emich.edu
2 ND PROVIDER	NA	NA	NA	NA
SERVICE/PRODUCT	Windstar – 1042-S Processing Software	PHONE	24/7 PHONE	ALT CONTACT
1 ST PROVIDER	Windstar Technologies	800-259-6398	NA	techsupport@windstar.com
2 ND PROVIDER	NA	NA	NA	NA

III. KEY INTERNAL DEPARTMENTS THAT RELY ON SERVICES

DEPARTMENT(S)	SERVICE(S)	PHONE	24/7 PHONE	ALT CONTACT
All	Payroll Services	NA	NA	NA

IV. KEY EXTERNAL CUSTOMERS THAT RELY ON EMU FOR SERVICES

CUSTOMER(S)	SERVICE(S)	PHONE	24/7 PHONE	ALT CONTACT
US Department of Treasury	Electronic Federal Tax Payment System – Allows users to pay federal tax payments via the web, voice response system or other channels	800-272-9872	800-272-9872	www.eftps.com/eftps
Michigan Office of Retirement Services	MPSERS – Michigan School Employees Retirement System	800-381-5111 (general) 517-636-0166 (reporting)	NA	www.michigan.gov/orsschools/ 517-322-1116 (fax)
Michigan Department of Treasury	State Taxes (Michigan)	877-865-2860	NA	www.michigan.gov/taxes
State of Ohio	Ohio Business Gateway – State Taxes	866-644-6468	NA	www.ohiobusinessgateway.ohio.gov
Detroit Income Tax Division	Detroit City Taxes	313-224-3315	NA	Coleman A. Young Center 2 Woodward – Suite 1200 Detroit, MI 48226
TIAA	Retirement	303-626-4468	NA	www.tiaa.cref.org
Garnishments (varies)	Hardcopy and electronic information stored within Payroll Department (WDrive)	NA	NA	NA
Friend of the Court	Hardcopy and electronic information stored within Payroll Department (WDrive)	NA	NA	NA

MITIGATION STRATEGIES

I. MITIGATION STRATEGY

VULNERABILITY	MITIGATION STRATEGY	MITIGATION TIMELINE	
		TARGET DATE	COMPLETION DATE
Payroll (from a remote location)	tbd	NA	NA
Printing checks if MICR is unavailable	tbd	NA	NA
Windstar supporting key availability	tbd	NA	NA
Password protection	tbd	NA	NA
1042-S procedures	Develop Standard Operating Procedures for 2010 tax processing. Identify roles and responsibilities, processes, and resources needed.	April 2011	NA