



Continuity of Operations (COOP)

Getting Started



The Good, The Bad and...

- **USDA National Finance Center in New Orleans**
 - Responsible for the payroll function for over 50,000 USDA employees
 - Relocated the entire payroll function to a back-up data base in Philadelphia just prior to Hurricane Katrina
 - Relocated a pre-designated emergency relocation group when the hurricane struck
 - Despite destruction of the New Orleans facility, USDA employees never missed a pay check
- **Louisiana Vital Records Office in New Orleans**
 - Stored 100 years worth of all state birth and death certificates marriage licenses and divorce papers in New Orleans facility – without any back-up data base
 - Facility was submerged during flooding, destroying many documents and leaving victims without any means of proving they were even American citizens
 - Most employees were also displaced victims – forcing the Office to operate with less than 5% of it's staff
 - VitalChek (national certificate verification agency) could not help because it relied on the Louisiana Vital Records Office to produce necessary documents



Continuity of Operations (COOP)

- ▶ Planning effort to ensure the continued performance of critical business & government functions
 - Well defined & understood lines of succession for key officials & authorities
 - Development of plans, procedures, and provisions for alternate facilities, personnel, resources, interoperable communications, vital records, systems, and databases



Planning Objectives

- ▶ Employee Safety
- ▶ Continuous Performance of Essential Functions
- ▶ Protect Essential Equipment, Records or Other Assets
- ▶ Reduce Disruptions
- ▶ Minimize Damage and/or Losses
- ▶ Achieve Orderly Recovery
- ▶ Identify Relocation Sites & Meet Operational/Managerial Requirements Before and Emergency Occurs



Planning Considerations (1 of 2)

- ▶ Activate With or Without Warning
- ▶ Operational Not Later Than 12 Hours After Activation
- ▶ Sustainable For Up To 30 (90) Days
- ▶ Includes Regularly Scheduled Testing, Training and Exercises (TT&E)
- ▶ Regular Risk Analysis of Alternate Operating Facilities



Planning Considerations (2 of 2)

- ▶ Takes Advantage of Existing Infrastructure and Other Options like Telecommuting, Work-At-Home & Shared Facilities
- ▶ Includes Development, Maintenance and Review of COOP Capabilities Using Multi-Year Strategy and Program Management Plan (MYSPMP) to Ensure Funding is Available in Future Budgets



Who's Involved?

- ▶ **Senior Management**
 - You Can Delegate Authority – But Not Responsibility
- ▶ **COOP Coordinator/POC**
 - The Manager (aka Stuckee) For All COOP Activities
- ▶ **COOP Planning Team**
 - A Good Mix Of Professionals From Throughout The Organization
- ▶ **BHS**
 - Provider of Guidance – Keeper Of Plans
- ▶ **IDHW**
 - All Things Pan Flu



Elements Of A COOP Plan

- ▶ Essential Functions
- ▶ Delegations of Authority
- ▶ Orders of Succession
- ▶ Continuity (Alternate) Facilities
- ▶ Continuity (Interoperable) Communications
- ▶ Vital Records Management
- ▶ Human Capital
- ▶ Testing, Training & Exercises (TT&E)
- ▶ Devolution of Control and Direction
- ▶ Reconstitution



Design And Development

- ▶ One Large Plan or a Series of Smaller (Division or Bureau) Plans
- ▶ Leverage Existing SOPs and/or EOPs
- ▶ Use of the BHS Template
- ▶ 5 Phases of the Effort...



Phase 1 - Initiation

- ▶ Appointing the COOP Coordinator
- ▶ Organizing the COOP Team
- ▶ Conducting an Initial Project Meeting



Phase 2 – Essential Functions

- ▶ Identifying Essential Functions
- ▶ Communications With Key Personnel
- ▶ Delegation of Authority
- ▶ Succession Planning
- ▶ Selecting an Alternate Facility
- ▶ Identifying Vital Records, Systems and Equipment
- ▶ Interoperable Communications



Phase 3 – Design and Build the Plan

- ▶ Defining COOP Document Scope
- ▶ Entering Gathered Data Into the Template
- ▶ Assembling the Concept of Operations
- ▶ Outlining the Executive Decision Process
- ▶ Creating Checklists



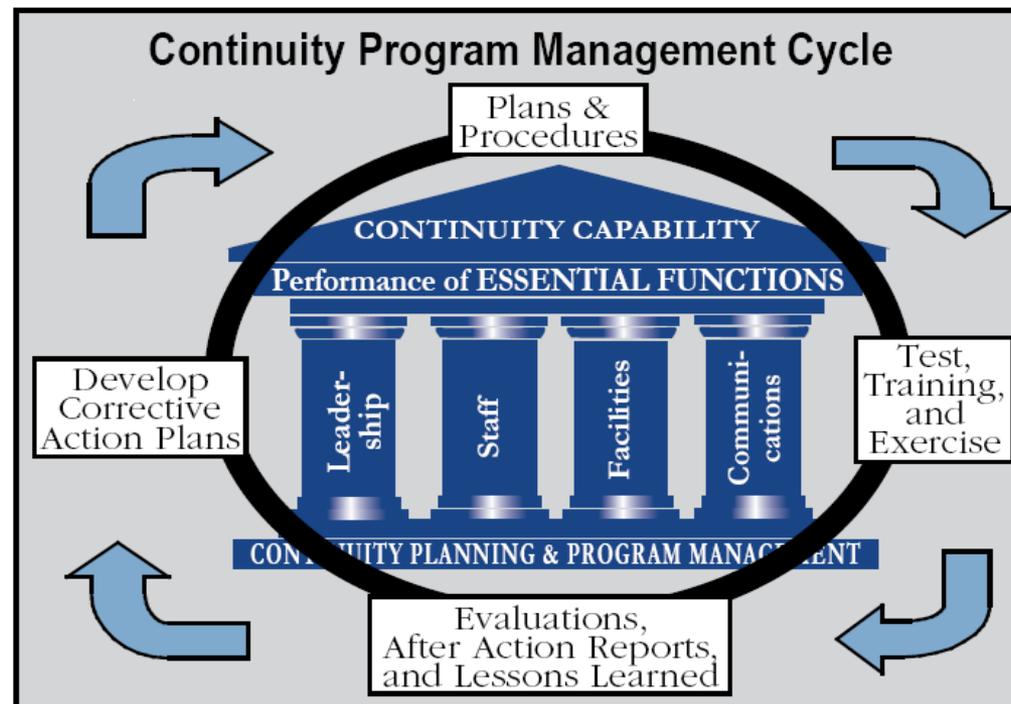
Phase 4 – TT&E

- ▶ Assessing and Validating COOP Plans, Policies and Procedures
- ▶ Ensuring Personnel Are Familiar With the Plan
- ▶ Ensuring COOP Personnel are Sufficiently Trained to Carry Out Essential Functions During COOP Activation



Phase 5 - Maintenance

- ▶ Instituting A Multi-Year Process to Ensure the Plan Continues to be Updated as Necessary





Questions...

Sounds easy...Doesn't it?

