

Continuity of Operations (COOP)



Idaho Bureau of Homeland Security

October, 2008



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



Overview

- ▶ Define COOP
- ▶ Need for COOP Planning
- ▶ Viable elements of COOP
- ▶ Questions/Discussions



What is COOP?







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



Requirements for COOP Planning

- ▶ COOP plans must:
 - Be effective with and without warning
 - Take an all-hazard approach
 - Include alternate facilities
 - Have essential functions operational within 12 hours of activation
 - Be able to sustain operations for 30 days
 - **For Pan Flu plan for a minimum of 90 days**



Why COOP?



**Because you told me to
Drill Sergeant!**



Why COOP?

Office of the Governor, Executive Order No. 2006-10:

Office of the Adjutant General, Chief, Bureau of Homeland Security shall coordinate emergency management activities of all state agencies on behalf of the Governor (Section 46-1006, Idaho Code)

AND...

Each state agency will develop and maintain Continuity of Operations Plan (COOP) to (a) address how the agency will provide essential services to citizens during response and recovery, and (b) return the agency to normal operations. An electronic copy of the current COOP will be kept on file at the Bureau of Homeland Security.



Benefits of COOP Planning

- ▶ Good Business Practice!
- ▶ Continuance of Essential Functions
- Fundamental mission of State agencies
(Gov Executive Order & Title 67 Idaho Code)





Why COOP?

- ▶ It can't happen here!





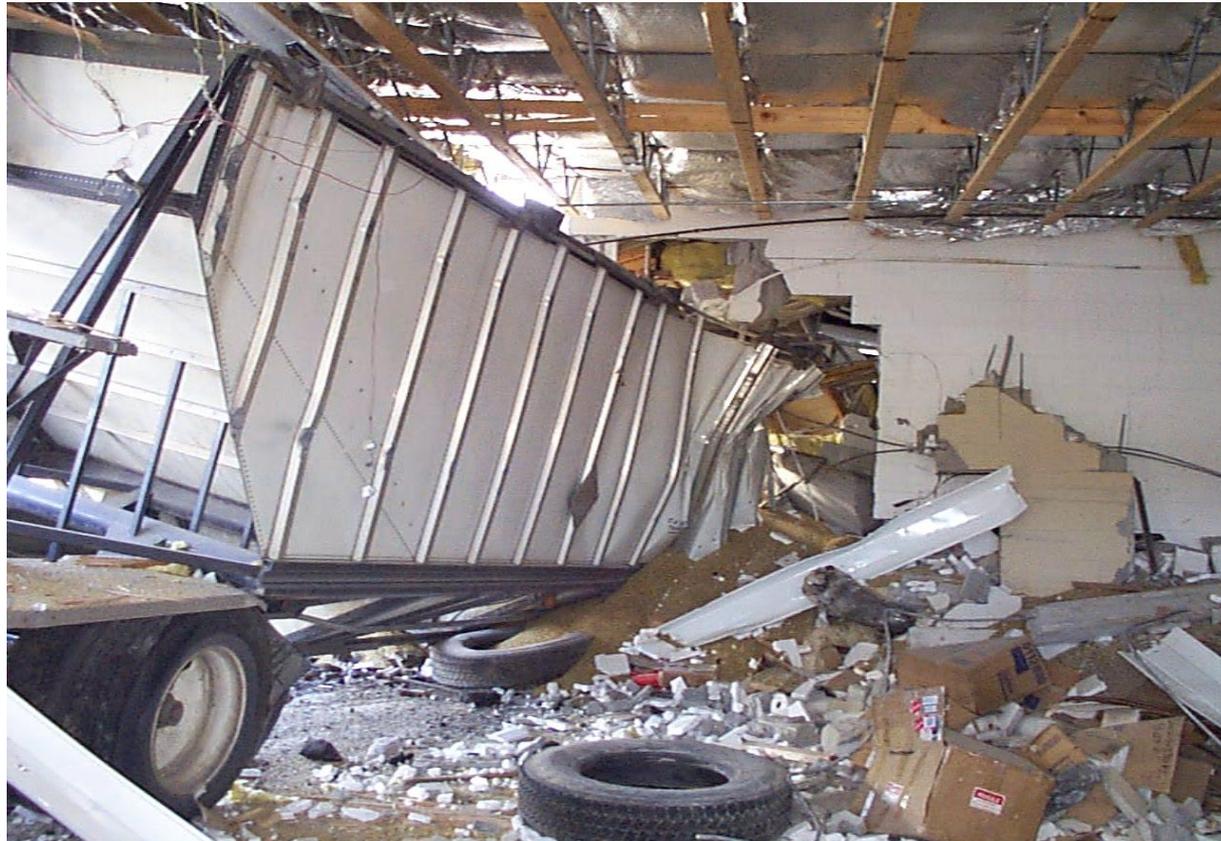
Idaho Examples



Idaho State Police/Idaho Department of
Transportation Regional Office



Idaho Examples



Idaho State Police/Idaho Department of
Transportation Regional Office



Idaho Examples



Boise Foothills



Idaho Examples



Borah Peak Earthquake



Idaho Examples



Middleton School



Idaho Examples



Teton Dam Flooding



Idaho Examples



Boise Flooding



What about a Flu Pandemic?



Understand unique relationship of COOP and
Pandemic Influenza planning considerations



Stuff Happens!





What COOP is Not

- ▶ COOP is not the same as:
 - Emergency Action Plans (EAP)
 - Emergency Operations Plans (EOP)
 - Continuity of Government Plans (COGs)





Four Pillars...

- An organization's continuity capability – its ability to perform its essential functions continuously – rests upon key components or pillars, which are in turn built on the foundation of continuity planning and continuity program management



An organization's resiliency is directly related to its continuity capability

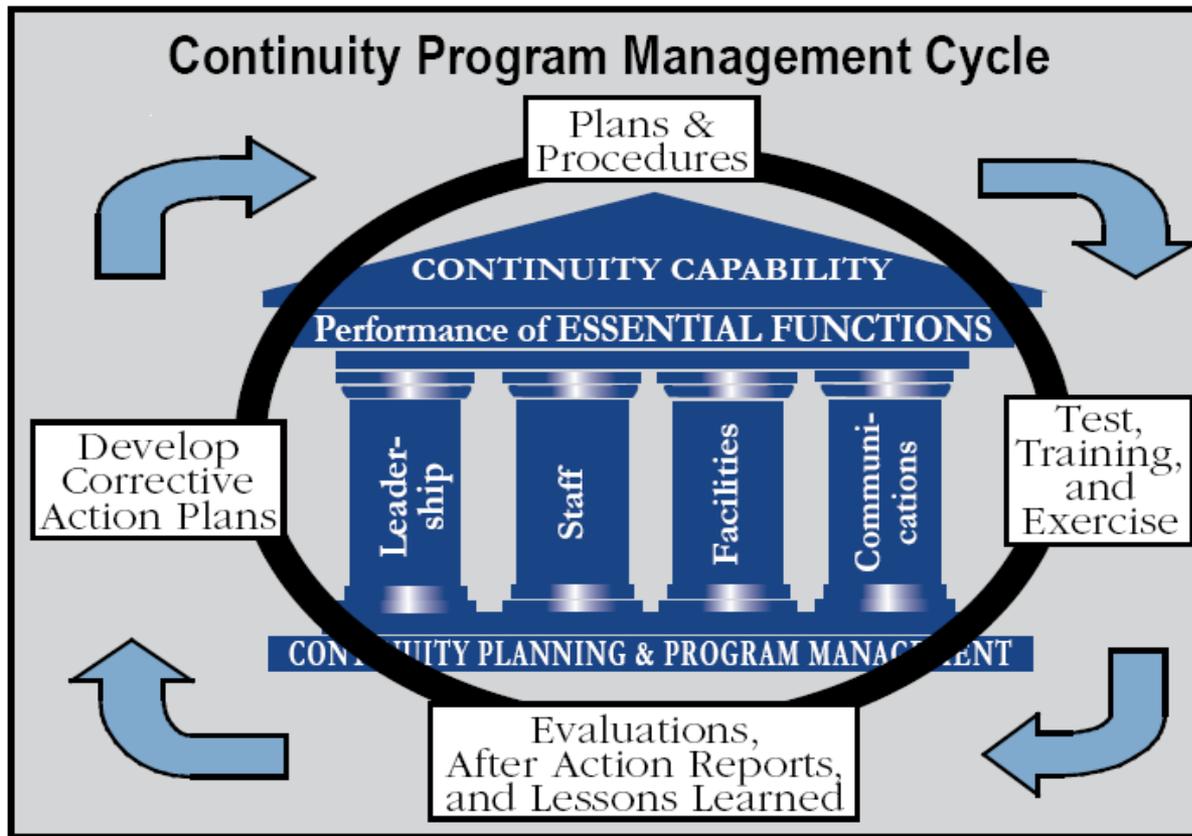


...and Four Phases

- Continuity planning and implementation must address four phases:
 - Readiness and preparedness
 - Activation and relocation
 - Continuity operations
 - Reconstitution



Program Management Cycle



A Multi-Year Strategy and Program Management Plan (MYSPMP) will align this cycle with the budgetary needs



Risk Management Cycle

All continuity programs should use the 5 phases of Risk Management Cycle:

- Strategic goals, objectives, and constraints
- Risk Management
- Alternatives Evaluation
- Management Selection
- Implementation and Monitoring





Elements of a Viable Continuity Capability

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



Essential Functions

Essential functions are those functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the general public and sustain the industrial and economic base. In short, they are the agency's business functions that **must continue with no or minimal disruption.**



Orders of Succession

- Orders of succession should be established for the organization lead and other key leaders.
- This includes planning to three positions deep and geographically dispersing successor where possible.



Delegations of Authority

- Should be documented in advance and delineate limitations, authority, and under which circumstances authority would transfer.
- Should ensure training of officials who are to assume responsibilities outside their usual work area.
- Should be included in the vital records package.



Continuity Facilities

- Note the terminology. “Continuity facilities” includes alternate facilities and non-traditional options such as virtual offices (telework).
- Alternate facilities should mirror primary facilities to the extent possible, replicating essential capabilities by using systems and configurations used in daily activities.

continued...



Continuity Facilities (cont.)

- When possible, alternate facilities should be in locations that provide power, telecommunications, and internet separate from the grids that provide to the primary facility.
- Facility risk assessments should be conducted
 - Reevaluate at least annually for suitability and functionality.



Continuity Communications

- Organizations should implement minimum communications requirements for its organization and its continuity facilities.
- Organizations should possess all necessary communications capabilities, quantities, and modes/medias needed to complete their organizational responsibilities under all conditions.



Vital Records Management

- Organizations should identify vital records and assign responsibility for those records to appropriate personnel.
- Vital records program and plans should be integrated into the overall continuity programs and plans.

continued...



Vital Records Management (cont.)

- Records should be reviewed, rotated, or cycled at least annually to ensure that they are current.
- Multiple forms of media for redundant storage should be utilized.



Human Capital

- Address the human capital needs of **all employees**, not just continuity personnel.
- Review and update policies annually.
- Develop and implement a process to identify, document, communicate with, and train continuity personnel.
- Identify a human capital liaison from the human resources department to work with the Continuity Coordinator and emergency planning staff when developing emergency plans.

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Human Capital (cont.)

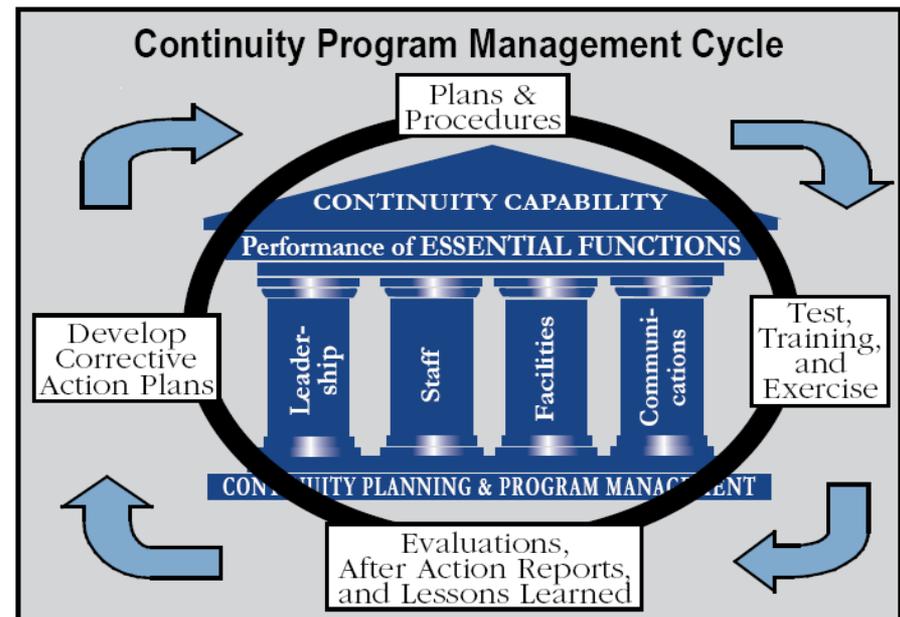
- Implement a process for communicating the organization's status to all staff.
- Communicate how, and the extent to which, employees are expected to remain in contact with their organization during any closure situation.
- Implement a process and procedures for contacting and accounting for all staff in the event of an emergency.
- Provide guidance to all employees on developing Family Support Plans.



Test, Training and Exercises

- Organizations should refer to the Homeland Security Exercise and Evaluation Program (HSEEP) for exercise and evaluation guidance.

- <https://hseep.dhs.gov>





Devolution of Control and Direction

- **Capability to transfer statutory authority and responsibility to other employees and facilities and to sustain that capability for an extended time.**
- Personnel at the devolution site must be trained.
- Vital records, documents and data bases must be available and up to date.
- Delegations of authority must include senior personnel at the devolution site.
- Communications and information management systems must transfer.



Reconstitution Operations

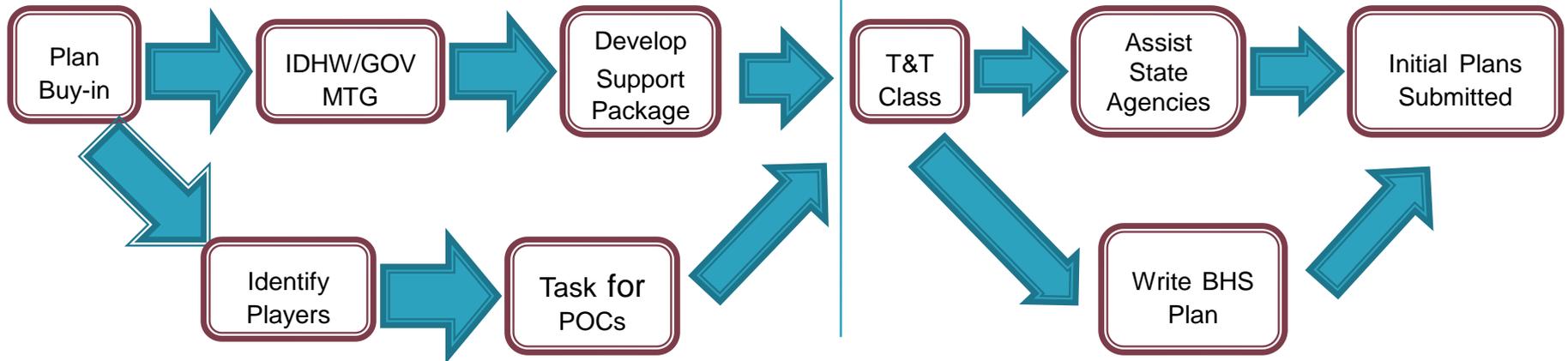
- Resuming normal operations from the primary or replacement facility.
- Conducted after the emergency or disruption ceases and is unlikely to resume.
- Appoint a reconstitution manager and team whose sole responsibility is returning operations to the primary or replacement facility.



COOP Program Timeline

Phase 1 (1 JUL 08 – 31 OCT 08)

Phase 2 (1 NOV 08 – 30 APR 09)

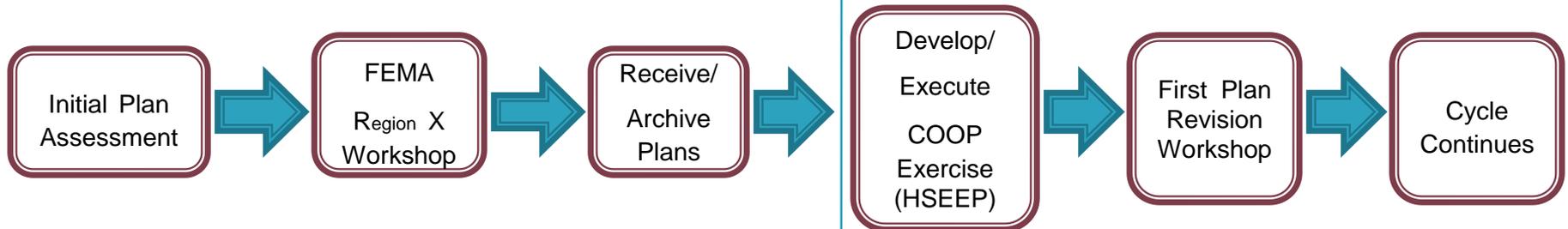




COOP Program Timeline

▶ Phase 3 (1 MAY 09– 30 JUN 09)

Phase 4 (1 JUL 09 and beyond)





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Questions??