



Business continuity planning – the all-hazard approach
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Overview

- What is continuity of operations (COOP) planning?
- 6 goals of COOP planning
- 7 phases of COOP development
- 8 Elements of a COOP plan



BCP vs. COOP

- **Business Continuity Planning (BCP)**
 - More of a private sector focus
- **Continuity of Operations Planning (COOP)**
 - More of a governmental sector focus
- Both are concerned with the same elements, just use different terminology and structure



What is COOP?

- An effort within individual agencies and organizations to ensure continuity of their essential functions across a wide range of potential emergencies
- All-hazard emergency planning
 - Naturally occurring vs. human induced
 - Small scale vs. widespread



8 Elements of a COOP Plan

1. Essential Functions
2. Human Capital and Key Personnel
3. Delegations of Authority and Orders of Succession
4. Vital Records, databases, systems, and equipment



8 Elements of a COOP Plan (continued)

5. Alternate Facilities
6. Communications
7. Reconstitution and Devolution
8. Tests, Training and Exercises (TT&E)



Why COOP?

- Without COOP, agencies cannot function after disaster
- Reliability
- Consistency of Services
- Minimization of chaos
- Public relations



6 Goals of COOP

1. Ensure timely and orderly continuous performance of essential functions during and after emergency
2. Protect facilities, equipment, records, and other assets that support essential functions
3. Reduce or mitigate disruptions to operations



6 Goals of COOP

4. Reconstitution (resumption of normal activities) and devolution (continue as many essential functions as possible when reconstitution at primary facility is not possible) after emergency
5. Minimize loss of life and injury to agency personnel
6. Family support planning for agency personnel during emergency



General Guidelines for COOP Capability

- **Should** be maintained at a high level of readiness
- **Should** be capable of execution both with and without warning
- **Should** be operational no later than 12 hours after activation
- **Should** maintain operations for up to 30 days
- **Should** take maximum advantage of existing infrastructure



COOP Program Model – 7 Phases

1. Initiate COOP program
2. Identify functional requirements
3. Design and develop plan
4. Implement program
5. Test, train and exercise
6. Revise and update the plan
7. Execute the plan



Phase 1: Initiate COOP program

- Appoint COOP manager
- Organize COOP team
- Identify resources for COOP program
- Establish objectives, milestones, deliverables and timelines



Phase 2: Identify functional requirements

- Assess essential functions
- Conduct a business impact analysis (BIA)
- Conduct a risk assessment (RA)



Phase 3: Design and Develop the Plan

- Determine plan format
- Analyze existing SOPs and EOPs
- Collect necessary data for creating the COOP plan
- Organize data into a consistent, user-friendly format



Phase 4: Implement program

- Publish COOP plan
- Distribute COOP plan



Phase 5: Test, train and exercise

- Conduct tests
- Train staff
- Exercise the plan



Phase 6: Revise and update the plan

- Revise and update based on problems and gaps identified during TT&E
- Certification



Phase 7: Execute the plan

- Activate and use the plan during an actual emergency
- Analyze the level of execution
 - Entire plan
 - Portions of the plan
- Implementation of reconstitution and devolution if necessary



8 Elements of a COOP Plan - Revisited

1. Essential Functions
2. Human Capital and Key Personnel
3. Delegations and Orders
4. Vital Records, databases, systems, and equipment
5. Alternate Facilities
6. Communications
7. Reconstitution and Devolution
8. Tests, Training and Exercises (TT&E) Program



What Are Essential Functions?

- Must be performed to achieve agency's mission
- Provide vital services
- Exercise civil authority
- Maintain safety and well-being of citizens
- Sustain industrial and economic base
- Should be resumed within 12 hours of disruption



Essential Functions

4-Step Process

1. Identify all agency functions
2. Identify essential functions from within all agency functions
3. Determine resource requirements to perform essential functions
4. Prioritize essential functions



Essential Functions

1. Essential Function	2. Critical Process or Service	3. Priority
Capture and Destruction of Certain Animals	Capture of wild, domestic, and/or livestock animals; isolation of such animals; if necessary, destruction of such animals	2



Human Capital Management

- HCM is the management of sum of talent, energy, knowledge and enthusiasm that people invest in their work.



HCM Goals

- Placing the right people in the right jobs to perform essential functions
- Investing in training and development to build skills and competencies to increase employee flexibilities
- Considering alternate assignments for non-essential employees
- Ensuring all employees have clear understanding of what to do in an emergency



HCM continued

1. Essential Function	2. Critical Process or Service	3. Priority	4. Key Position(s)
Capture and Destruction of Certain Animals	Capture of wild, domestic, and/or livestock animals; isolation of such animals; if necessary, destruction of such animals	2	Field Agent

Additional HCM Items

- ICS and COOP
 - Different goals
 - Separate or together?
- Emergency Operating Procedures
 - Evacuation
 - Sheltering-in-place
 - Designated Assembly Areas
- Go-Kits
- Family support planning

Delegations of Authority vs. Orders of Succession

- **Delegation of Authority**
 - Certain tasks assigned in anticipation of COOP event from one employee to another
 - Keep in mind any tasks with legal or statutory implication
- **Orders of Succession**
 - Planning to fill vacant position with employee who will perform position's tasks

Delegations of Authority

- Identify which authorities should be delegated and triggering conditions
- Types of authority
 - Emergency
 - Administrative
- Identify personnel receiving authority and train them

Delegations of Authority

1. Authority (Function)	2. Type?	3. Position Holding Authority	4. Triggering Conditions	5. Position(s) Receiving Authority
To independently examine, capture, tranquilize, detain, treat, vaccinate, neutralize and/or destroy animals that are a threat to health, life, or property, and to acquire the resources needed to execute the foregoing measures.	Emergency	Agency Director	Individual with higher authority not available; a significant animal health threat; danger of contraction/spread of disease among animals and animal products posing threat to health, life, property	Agency Deputy Director and/or Deputy Director's Designee(s)

Delegations of Authority

6. Rules	7. Procedures	8. Limitations
Individual possessing higher authority within the agency is not available	Acting Director of SAHA or that individual's designee submits a written statement to the State Department of Agriculture within 30 days describing the measures, the location and extent of their execution, and the nature of the precipitating threat; complete and send to State Dept of Agriculture Section 1 of Emergency Measures Form; if this is impractical, SAHA agents and staff may initially email/phone designated Dept of Agriculture staff. Dept of Agriculture staff will review, and respond quickly to, the request	Measures are executed in locations affected by a significant animal health threat concerning the state; danger is that of contraction or spread of contagious disease among animals, agricultural products, and/or humans, which in turn poses a threat to health, life, or property measures are temporary in nature, and necessary to preserve animal health

Orders of Succession

- For planned departures and emergencies
- Provides for operational consistency
- Preserves institutional knowledge
- Matches current talent with future need



Orders of Succession

- Determine qualifications and skills
 - For key positions
 - For potential successor positions
- Geographical location
- Limitations on the successor
- Triggering events
- Training



Orders of Succession

4. Key Position(s)	5. Successor 1 & Limitations	6. Successor 2 & Limitations	7. Successor 3 & Limitations	8. Successor 4 & Limitations
Field Agent	Available Field Agent	Available Field Agent	Available Field Agent	Available Field Agent



Vital Records, Databases, Systems and Equipment

- If irretrievable, lost or damaged will materially impair an organization's ability to carry out essential functions
- Characteristics
 - Form, type and category
- Two categories
 - Emergency Operating Records
 - Legal and financial records



Vital Records, Databases, Systems and Equipment

1. Critical Process or Service	2. Vital Record or Database	3. Form / Category / Type	4. Location	5. Responsible Staff Member	6. Supporting Network or Server
Capture of wild, domestic, and/or livestock animals; isolation of such animals	1. Disease Monitoring Data	Electronic/ Emergency/ Static	C:\SAHA\animal Disease (on-site server) and R:\AnimalHealth Admin\Disease (off-site server)	IT Staff	Server on- and off-site
	2. Stockpile Inventory Database	Electronic/ Emergency/ Dynamic	R:\AnimalHealth Admin\Stockpile (off-site server)	IT Staff	Off-site server; internet storage network



Vital Records, Databases, Systems and Equipment

7. RPO	8. Priority	9. Unique Risk	10. Current Protection Method	11. Offsite storage? / Alternative Storage Media? / Duplication?
1 week	1	None	Stored on- and off-site	Yes / hard copy updated yearly / No
14 days	1	None	Secure Storage Room off-site	Yes / Secure Internet Storage Network / No



Alternate Facilities

- Location where agency can carry out essential functions when primary facilities are inadequate
- Categories
 - o Hot
 - o Warm
 - o Cold



Alternate Facilities - Factors

- Location
- Building type
- Space
- Distance
- Transportation
- Communications
- Security
- Lodging
- Food
- Accessibility



Alternate Facilities - Options

- Secondary facilities
 - o Stand alone space
 - o Branches or smaller offices
- Cooperative agreements
 - o Mutual aid agreements
- Telework
 - o Home or satellite office



Alternate Facilities

1. Essential Function	2. # of Personnel	3. Electricity	4. Communication	5. Space	6. Lodging	7. Security	8. Secure Storage
9. Alternate Worksite	10. Address	11. Transp.	12. Agreement	13. Date Executed	14. Cost	15. Special Notes	



Communications

- Communication systems should provide:
 - o Ability to communicate with:
 - Personnel
 - Other agencies
 - Customers
 - o Access to data and systems
 - o Ability to support COOP operations
 - o Interoperability with field infrastructures



Communications

Comm. System	1. Current Provider	2. Services Provided	3. Special Services Available	4. Alt. prov.	6. Alternative Mode
Voice Lines	Verizon	Local and long distance service; voicemail	Emergency priority access to phone lines during times of limited service	PBX	Two-way radio
Fax Lines					
Data Lines					
Cell Phones					



Communications

- Preventative controls
 - Uninterruptible power supplies
 - Generators
 - Fire and smoke detectors
- Media relations
- Chain of communication
 - Rapid recall list



Reconstitution

- Process by which surviving and/or replacement personnel resume normal operations at original or replacement primary operating facility

OR

- Returning to normal operations somewhere



Reconstitution Team

- Determine when original facility can be accessed or locate new primary facility
- Develop time-phased plan for resuming operations
- Inform employees
- Transport materials, supplies and personnel
- Notify public and customers of change



Devolution

- Transfer statutory authority and responsibility for essential functions from agency's primary operating staff and facilities to other employees and facilities
- Worst case scenario planning



Tests, Training and Exercise

- All agency employees know their roles
- Verify that COOP plan works
- Clarify where COOP plan needs revision
- Employees are familiar with procedures
 - Alert
 - Notification
 - Deployment



Tests and Training

- **Tests** – demonstration of the correct operation of equipment, procedures, processes, and systems that support the agency.
- **Training** – instruction in individual or agency functions, procedures, and responsibilities



Exercises

- Evaluation of agency performance against set of standards or objectives
- Types
 - Tabletop (TTX)
 - Drills
 - Functional
 - Full-scale



Additional Resources

- Ready.gov
- Lessons Learned Information Sharing
- The University of Maryland Center for Health and Homeland Security – DHS COOP
- Ohio EMA



Questions

