

## **Continuity of Operations Planning**

**Satellite Conference and Live Webcast  
Thursday, March 27, 2008  
12:00-1:30 p.m. (Central Time)**



**Produced by the Alabama Department of Public Health  
Video Communications and Distance Learning Division**

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## **Program Objectives**

- **To explore the origins of continuity of operations planning.**
- **To discuss the organizational prerequisites to successful COOP.**
- **To explore the essential elements of a COOP.**

## **Learning Objectives**

- **Introduce the concept of continuity of operations and define its objectives and scope**
- **Define the context of a continuity of operations policy**

## **Learning Objectives**

- **Provide an outline for a continuity of operations plan**
- **Emphasize the importance of broad organizational participation in the development, training, and testing of continuity of operations plans**

## **Discussion Outline**

- **Introduction to Continuity of Operations Planning**
- **Developing a Continuity of Operations Policy**
- **Writing a Continuity of Operations Plan**
- **Some Practical Ideas about Continuity of Operations Planning**

## Introduction to Continuity of Operations Planning

## Continuity of Operations Planning

- The acronym—COOP

## Setting the Stage

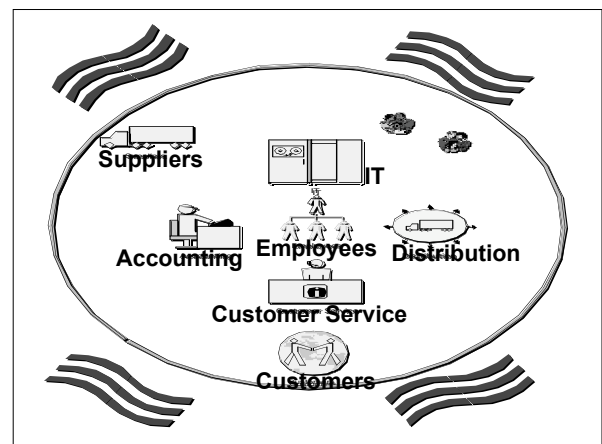
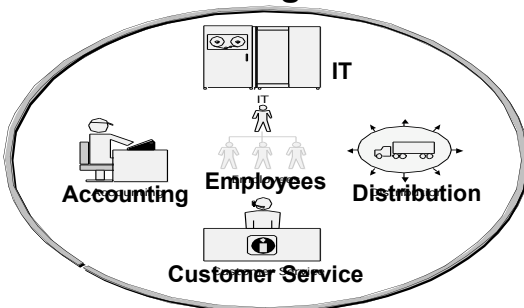
*Order, unity, and continuity are human inventions ...*

Bertrand Russell

## COOP—Background

- Originally developed and applied to continuity of information systems operations
- Policies focused on records retention, mirror sites, backups, and redundancy
- Expectations of short-duration downtime, minimal disruptions limited to IT intensive areas

## COOP Planning—Reach and Range



### **COOP—Objectives**

- **Minimizing loss after a disaster**
- **Resumption of “normal” operations as soon as possible**
- **To expand the capabilities of the workforce**

### **COOP—Essential Prerequisites**

- **Essential ingredients to achieving the objectives of COOP:**
  - **executive leadership to acknowledge need for and commitment to continuity planning and continuity of operations itself**

### **COOP—Essential Prerequisites**

- **management and systems available to facilitate the recovery of core operations**
- **staff capable of operating systems under adverse conditions; capability determined by sufficiency of wellbeing, knowledge, and skills**

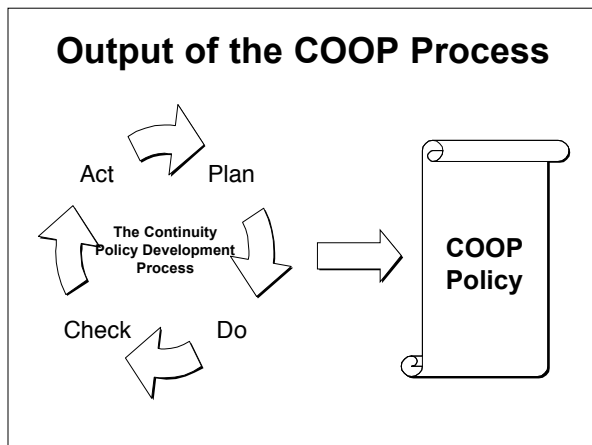
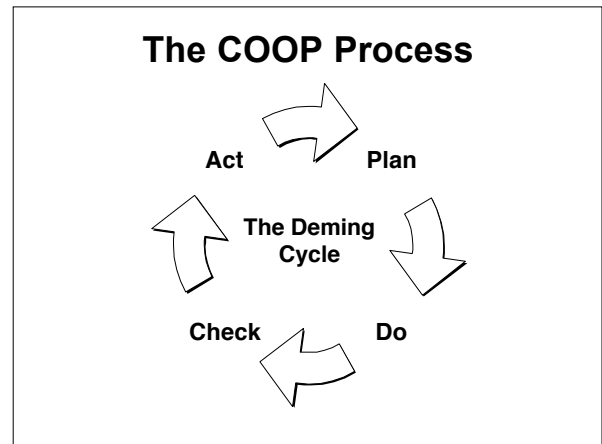
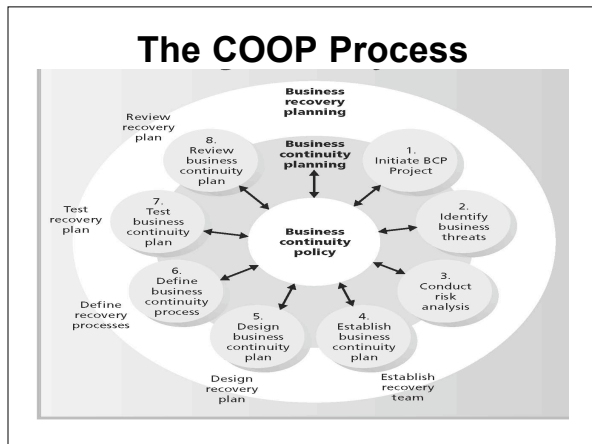
### **COOP—Scope**

- **Applies to the complete enterprise including all inputs, processes, and outputs**
- **Policies must focus on minimizing adverse consequences for the enterprise**

### **COOP—Scope**

- **Expectations of multiple waves of several weeks duration affecting significant portions of the workforce and their families**
- **Extends beyond the boundaries of the enterprise**

### **Developing a Continuity of Operations Policy**



- ### Recipe for COOP Policy
1. **Contacts**—who and how during work hours, non-work hours, and emergencies
  2. **Assignments**—an organizational “depth chart”

- ### Recipe for COOP Policy
3. **Risk Assessment**—identify and categorize threats and consequences
  4. **Continuity Benchmarks**—define temporal expectations for: resumption following a failure and full recovery to normal activity

- ### Recipe for COOP Policy
5. **COOP Reviews**—formal process and calendar for reviewing continuity plans
  6. **COOP Processes and Procedures**—formal prescriptions for response actions to particular incidents and failure scenarios

### Recipe for COOP Policy

- 7. Incident Documentation—formal methods for recording incident and response scenarios
- 8. Testing—formal plan for and test-acceptance criteria for the COOP
- 9. Training—formal training requirements for employees in the COOP and COOP Processes and Procedures

### Thoughts on COOP Planning Process and Participation

	Phase I	Phase II	Phase III	Phase IV	Phase V	Phase VI
Policy Leaders	■	■	■	■	■	■
Budget Unit Managers		■	■	■	■	■
Management Teams		■	■	■	■	■
Staff			■	■	■	■

### Thoughts on COOP Planning Process and Participation

- Phase I - Initiate Continuity Planning Process
- Phase II - Threat Identification and Risk Assessment
- Phase III - Organize COOP Teams

### Thoughts on COOP Planning Process and Participation

- Phase IV - Develop the Formal COOP Plan (Including Processes and Procedures)
- Phase V - Test COOP Plan
- Phase VI - Improve COOP Plan

### Writing a Continuity of Operations Plan

### Initiating COOP Planning

- Requires executive leadership
- Needs effective management to be successful
- Should be recognized as the enormous undertaking that it is

## Initiating COOP Planning

- Once initiated will continuously evolve, but must not be permitted to languish
- An incremental process
- Designing, executing, and evaluating tests of the COOP Plan may require outside expertise

## Elements of a COOP Plan

- Executive Summary
- Introduction
- Purpose
- Mission
- Applicability and Scope
- Authorities and References
- Planning Assumptions
- Core Functions
- Essential Operations
- Delegations of Authority and Succession Planning

## Elements of a COOP Plan

- Concept of Operations
- Implementation
- Vital Records, Databases and Systems
- Alternate Facilities
- Interoperable Communications

## Elements of a COOP Plan

- Media Communications
- Training
- Testing, Exercises and After Action Reports
- Plan Maintenance

## Elements of a COOP Plan, Further Defined

- Executive Summary
  - Briefly describes the purpose of the plan, whom it affects, and situations under which it should be initiated.
- Introduction
  - Explain the importance of COOP planning to the organization, and provide background leading to the development of the COOP plan.

## Elements of a COOP Plan, Further Defined

- Purpose
  - The one or very few things that offer direction and explain the desired outcome.
- Mission
  - A clear statement of the approach to creating, disseminating, training, and testing the COOP Plan

### **Elements of a COOP Plan, Further Defined**

- **Applicability and Scope**
  - Answers the questions: To what and whom does the COOP plan apply? Is this a new plan or an update to an existing COOP plan?
- **Authorities and References**
  - References an annex or appendix that fully defines the guidance and authority for the content of the COOP plan.

### **Elements of a COOP Plan, Further Defined**

- **Planning Assumptions**
  - Details the “givens” of the COOP plan.
- **Core Functions**
  - List of the organization’s prioritized functions and activities that must be continued under any circumstances.

### **Elements of a COOP Plan, Further Defined**

- **Essential Operations**
  - List of core processes and services that must be continued under any and all circumstances.
- **Delegations of Authority and Succession Planning**
  - Establishes the rules and procedures defining the conditions and order of succession, notification, and limitations.

### **Elements of a COOP Plan, Further Defined**

- **Concept of Operations**
  - Explains how the COOP plan will be implemented, consists of three phases: I—activation and relocation, II—alternate facility operations, III—reconstitution.
- **Implementation**
  - Process for dealing with known (with warning) and unknown (without warning) threats and emergencies.

### **Elements of a COOP Plan, Further Defined**

- **Vital Records, Databases, and Systems**
  - Procedures protection, duplication, movement of records (hard copy and electronic) vital to the organization’s core functions including emergency operating records (e.g., plans, staff assignment, succession plans, etc.) and legal and financial records (e.g., payroll records, contract records, etc.)

### **Elements of a COOP Plan, Further Defined**

- **Alternate Facilities**
  - Identify, preposition, and maintain equipment and other resources required at alternate site: e.g., computer equipment and software, file cabinets, desks, chairs, office supplies, etc.

### **Elements of a COOP Plan, Further Defined**

- **Interoperable Communications**
  - Identify and make available at alternate facility the data and communications systems to support core functions--secure and non-secure communications--voice, fax, data, internet, email.

### **Elements of a COOP Plan, Further Defined**

- **Media Communications**
  - Process for appointing a Public Information Officer (PIO) and integrating into the Joint Information Center (JIC).
- **Training**
  - The process and methods for training the workforce in all aspects of the COOP plan.

### **Elements of a COOP Plan, Further Defined**

- **Testing, Exercises, and After Action Reports**
  - Methods and means for testing all systems, schedule for drills and exercises, and the format and content prescription for after action reports.

### **Elements of a COOP Plan, Further Defined**

- **COOP Plan Maintenance**
  - Review COOP plan annually focusing on these essential issues: maintaining overall plan currency and readiness; procedures, equipment, systems, personnel and rosters; resolving COOP Plan policy issues;

### **Elements of a COOP Plan, Further Defined**

- **COOP Plan Maintenance**
  - advising the State Health Officer on COOP-related matters; coordinating with related plans; conducting training, testing and exercises; incorporate lessons learned from testing and exercises as well as any actual events that occurred during the year.

### **Some Practical Ideas about Continuity of Operations Planning**



## Core Functions

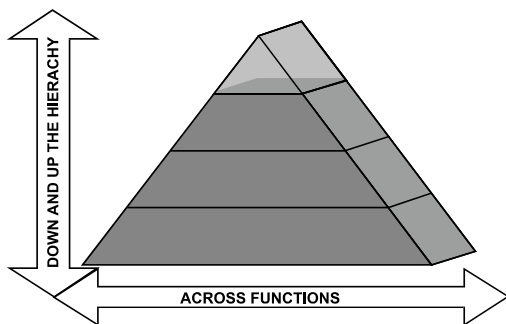
- **Functions**
  - Stated or Implied
  - Required to be performed by statute or Executive Order
  - Provide:
    - vital services
    - exercise civil authority

## Core Functions

- **Maintain the safety and well being of the general populace**
  - sustain the industrial and economical base in an emergency
  - functions deemed essential by the heads of principal organizational elements.

## More Thoughts on Training

- **Cross train the workforce**



## A Note About Testing Your Plan

- **Train, train, train**
- **Table Top Exercises (TTX) are essential, but inadequate to fully test a COOP plan**
- **Full-scale exercises including loss of personnel and telework scenario components should be part of the test plan**
- **Use both scheduled and surprise test events**

Management means, in the last analysis, the substitution of thought for brawn and muscle, of knowledge for folkways and superstition, and of cooperation for force. It means the substitution of responsibility for obedience to rank, and of authority of performance for the authority of rank. Peter F. Drucker

## Upcoming Programs:

**Generation Rx: The Adolescent  
"Pharming" Phenomenon**  
Thursday, April 3, 2008  
11:00 - 1:00 p.m. (Central Time)

**HIV/AIDS Update 2008 for Home Health  
Aides and Attendants**  
Wednesday, May 7, 2008  
2:00 - 4:00 p.m.

For complete list of upcoming programs  
visit: [www.adph.org/alphn](http://www.adph.org/alphn)