

Continuity of Operations (COOP)

**Virginia Emergency Management
Conference April 20, 2007**



Agenda

- Why do we COOP?
- What is COOP?
- COOP Guidance
- 10 Elements of a COOP Plan
- Q & A



Emergency Planning: A National Security Priority

“Our cities must have clear and up-to-date plans for responding to natural disasters, disease outbreaks, or terrorist attack ... for evacuating large numbers of people in an emergency ... and for providing the food, water, and security they would need.”

“I consider detailed emergency planning to be a national security priority.”

President Bush

New Orleans, September 15, 2005

Potential Threats



NATURAL

Severe Winds
Tornado
Hurricane



BOTH

Fire
Flood
Disease



MAN-MADE

Internet Virus
Cyber Attack
Agro-Terrorism
Chemical Explosion
Water Poisoning
Aircraft Strike
Radiological
Bio-Terrorism
Civil Disorder



Definitions

- **Business Continuity Planning (BCP)**: The effort to provide procedures to resume or restore critical business processes following a disruption.
- **Continuity of Operations Planning (COOP)**: The effort to assure that the capability exists to continue essential agency functions across a wide range of potential emergencies. Essentially, the process of maintaining the business of government.
- **Continuity of Government (COG)**: Preservation of the institution of government. Maintaining leadership, through succession of leadership, delegation of authority and active command and control. The lack of leadership can lead to anarchy or unlawful assumption of leadership.

FEMA COOP Planning Guidance

- Jurisdictions must be prepared to continue their minimum essential functions throughout the spectrum of possible threats from natural disasters through acts of terrorism. COOP planning facilitates the performance of State and local government and services during an emergency that may disrupt normal operations.
- COOP planning goals should include an all-hazards approach, the identification of alternate facilities, the ability to operate within 12 hours of activation, as well as sustain operations for up to 30 days.
 - FEMA Interim State/Local COOP Planning Guidance, May 2004



FPC 65

- Implement COOP plans **with and without warning**
- Operational within **12 hours after activation**
- Sustain operations for up to **30 days**
- Regularly schedule testing, training and exercising
- Regular risk analysis of current alternate operating facilities
- Optimal location of alternate facilities.
- Leverage existing agency field infrastructures
- Consider the distance of the alternate facility from the primary facility
- Multi-year, funded program management

Emergency Management Accreditation Program/NFPA

- The Emergency Management Accreditation Program (EMAP) and NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs establishes a common set of criteria for disaster management, emergency management and business continuity programs.
- American National Standards Institute (ANSI) recommended that the NFPA 1600 standard be adopted by the 9/11 Commission as the national preparedness standard.
- One of the standards defined by EMAP and NFPA 1600 is the planning standard. The standard requires a Continuity of Operations Plan.



**Governor Warner Announces
National Emergency Management
Accreditation for Virginia,
November 16, 2005**

State of Virginia Guidance

- **Executive Order 7 (2002)**

“All executive branch agencies directed to prepare emergency response plans or updates to existing plans that address continuity of their operations and services, and the security of their customers and employees, in the event of natural or man-made disasters or emergencies, including terrorist attacks.”

- **Governor’s Management Objectives for 2004-2005**

(To be accomplished no later than December 2005) Emergency Preparedness: “Achieve 100% preparation and testing of agency Continuity of Operations Plans and receive state-level emergency management accreditation through the national certification process”

State of Virginia Guidance

- **Executive Order 69 (2004)**

“All executive branch agencies directed to exercise and test their COOP plans on or before Sept 1, 2005.”

- **§ 44-146.18 Code of Virginia (2005)**

“The ... Department of Emergency Management shall in the administration of emergency services and disaster preparedness programs ... provide guidance and assistance to state agencies and units of local government in developing and maintaining emergency management and continuity of operations (COOP) programs, plans and systems...”

Executive Order 44 (2007)

- To provide for consistent and uniform planning, directs each executive branch agency including institutions of higher education with guidance from their Emergency Coordination Officer:
 - Create or update Continuity of Operation Plans to conform to the template produced by the Virginia Department of Emergency Management, and
 - Utilize the resources available from the Virginia Department of Emergency Management for creating or updating Continuity of Operations Plans.
- The process of creating or updating Continuity of Operations Plans shall be completed by April 1 of each year, with an electronic copy sent to the Virginia Department of Emergency Management. The Office of Commonwealth Preparedness, in consultation with the Virginia Department of Emergency Management will devise a process for review of all executive branch agencies' Continuity of Operations Plans by the first week of December each year.
- The Office of Commonwealth Preparedness will develop an annual Continuity of Operations Plan testing, training and review schedule for all executive branch agencies.

Responsibilities of the ECO per Executive Order 65 (2004)

- Coordinate with the Department of Emergency Management on emergency preparedness, response, and recovery issues
- Prepare and maintain designated parts of the Plan for which the agency is responsible
- Prepare and maintain internal plans and procedures to fulfill the responsibilities designated in the Plan
- Maintain a roster of agency personnel to assist in disaster operations and ensure that persons on the roster are accessible and available for training, exercises, and activations of the Plan
- Coordinate appropriate training for agency personnel assigned to disaster Operations
- Prepare and maintain internal emergency preparedness, response, and recovery plans for the agency's resources (facilities, personnel, and assets) that outline a comprehensive and effective program to ensure continuity of essential state functions under all circumstances
- Assure the State Coordinator of Emergency Management that preparedness plans for its facilities are coordinated with the applicable local emergency management agency

State of Virginia Guidance

VDEM COOP Toolkit

www.vaemergency.com

The screenshot shows the Virginia Department of Emergency Management website in Microsoft Internet Explorer. The browser title is "Virginia Department of Emergency Management - Microsoft Internet Explorer". The website header includes "Commonwealth of Virginia | Governor" and "Skin to Content | Web Policy | Contact Us". The main navigation bar features the "VAEmergency.com" logo and a search box with the text "COOP" and "Search Site". The date "Today is Monday, November 28, 2005" is displayed in the top right corner.

The website content is organized into several sections:

- Left Navigation Menu:** Includes links for "Wireless | Español", "VDEM Home", "About VDEM", "Threats & Emergencies", "Prepare & Prevent", "Recover", "Newsroom & Archives", "Training Calendar", "VA Business Toolkit", "Citizen Corps", "Just For Kids!", "Emergency Management Community Home", "Online VEOC Login", "Programs & Services", "Grant Information", "Library", "EM Update Newsletter", "Regions & Localities", "Contact Us", "Jobs", and "Links".
- Main Content Area:**
 - Spotlight:** Features a "Get Ready for Winter" banner with the text "Winter Preparedness 2005-6" and an image of a house with a fire. Below the banner, it states "Colder Weather Tells Virginians to 'Get Ready for Winter'" and provides a link to "Learn how to get ready for winter.".
 - Information for Hurricane Katrina Evacuees:** A section with a circular logo and text: "Information for Hurricane Katrina Evacuees. Check here regularly as we update information for evacuees.".
 - What's New:** A section titled "How can we make" with a sub-heading "Governor Warner announces National".
- Right Side Widgets:**
 - Threats & Emergencies:** A section with a "Choose a threat" dropdown menu.
 - Today's Weather:** A section with the "NWS Forecast" and a form to "Enter 'City, ST' or Z" with a "Go" button. Below it is a link to "NWS VA Weather Advisories".
 - VEOC Status:** A section with the text "VEOC Status: Increased Readiness" and a link to "About the VEOC".
 - VA Threat Condition:** A section with the text "Overall: Elevated".
 - National Threat Level:** A section with a color-coded bar showing "ELEVATED" and a link to "Subscribe to E-mail news".

Who Should be involved in COOP Planning?

- It's a team effort!
- Personnel at every level of the organization, including:
 - Senior Management
 - COOP Coordinator/Point-of-Contact
 - COOP Planning Team
 - Management and Staff
 - VDEM/OCP

COOP Planning Objectives:

- Ensure the continuous performance of an agency's essential functions during an emergency.
- Ensure the safety of employees.
- Protect essential equipment, records and other assets.
- Reduce disruptions to operations.
- Minimize damage and losses.
- Achieve an orderly recovery from emergency operations.
- Identify relocation sites and ensure operational and managerial requirements are met before an emergency occurs.

Critical Elements of a viable COOP Plan

- Essential Functions
- Delegations of Authority
- Orders of Succession
- Alternate Facilities
- Interoperable Communications
- Vital Records
- Human Capital Management
- Tests, Training and Exercises
- Devolution
- Reconstitution



Essential Functions

- 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.
- Based on the agency's customers and needs.
- The foundation for COOP programs and plans.



Delegations of Authority

- Who is authorized to make decisions or act on behalf of the department or agency head and other key individuals.



Orders of Succession

- Provisions for the assumption of senior agency leadership positions during an emergency when the incumbents are unable or unavailable to execute their duties.
- Not limited solely to management positions.



Alternate Facilities

- A location, other than the normal facility, used to conduct critical functions/and or process data in the event that access to the primary facility is denied or the primary facility is damaged.
- The alternate site provides the capability to perform minimum essential functions until normal operations can be resumed.

Interoperable Communications

- Provide the capability to perform essential functions, in conjunction with other agencies and organizations, until normal operations can resume.
- Interoperability is the ability of a system or a product to work with other systems or products without special effort on the part of the user.



Vital Records

- Records that regardless of media, if damaged or destroyed would disrupt organization operations and information flow, cause considerable inconvenience and require replacement or recreation at a substantial expense.
- A system or piece of equipment is critical if it is essential to emergency operations and/or to the continuance of critical processes and services during a crisis for a minimum of fourteen days.

Human Capital Management

- The process of acquiring, optimizing and retaining the best talent by implementing processes and systems matched to the organization's underlying mission.
- Critical in ensuring the flexibility required of key personnel during these times of crisis.

Tests, Training and Exercises

- All staff must be educated on their role in COOP plan execution.
- Back-up systems and processes must be tested for effectiveness.
- Exercises that simulate various disruptions and practice COOP plan execution must be conducted.



Devolution

- The capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities.
- It is also the ability to sustain that operational capability for an extended period.



Reconstitution

- The process by which agency personnel resume normal agency operations from the original or a replacement primary facility.
- Conducted after the emergency or disruption ceases and is unlikely to resume.



For More Information

- Federal Preparedness Circular (FPC) 65
- FEMA, Introduction to State and Local EOP Planning Guidance, August 2002
- FEMA Independent Study Program: IS-547 Introduction to Continuity of Operations (COOP)
- FEMA Independent Study Program: IS-546 Continuity of Operations (COOP) Awareness Course
- FEMA Interim State/Local COOP Planning Guidance, May 2004

Questions?

