

Continuity of Operations Plan (COOP)

Orientation and Program Introduction

**Preparing for the “ Big What If ” of
someday, helps us manage the
everyday.**

**April 7th 2016
Presented by:
Kevin Bernard**

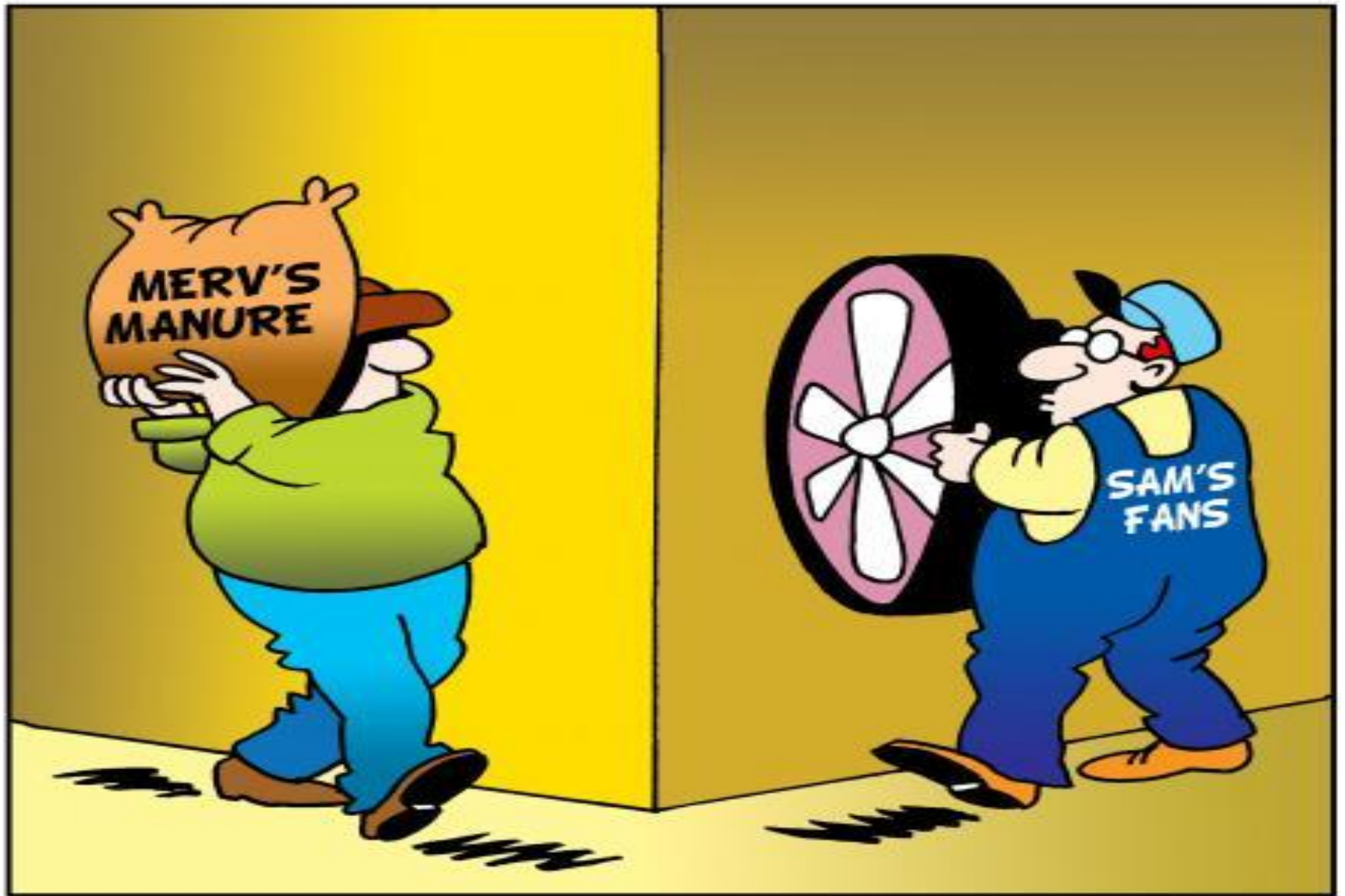




No one plans to fail, they just fail to plan.

Agenda

- Continuity of Operations Planning Basics
 - Authority, Purpose, Key Components, Terms, & Phases
- COOP Elements
 - Essential Functions, Positions, Resources & Communications
- Plan Approval & Maintenance
 - Leadership Approval, Plan Storage, Training & Exercises



Purpose

- To give practical training on the concepts and development of a Continuity of Operations (COOP) plan for a community health center or public health department.

Addresses four phases of emergency management

Mitigation Preparedness Response Recovery

Phases of Continuity Planning

Phase I

Mitigation

After assessing your risks do what you can to avoid the risk or reduce the impact in case of an emergency or incident.

Phase II

Preparedness

Be as prepared as you can to minimize the impact in case of an emergency or incident.

INCIDENT
OCCURS

Phase III

Response

Take reasonable actions when emergency or incident occurs.

Phase IV

Recovery

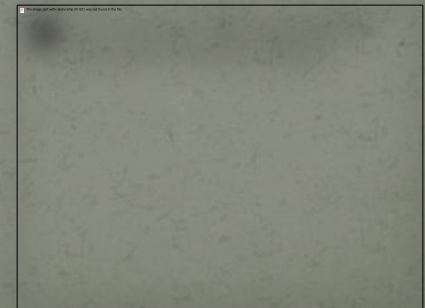
While still responding start to think about how to return to normal operations as soon as possible.

Mitigation & Preparedness Occur Before an Incident

Response and Recovery Occur During & After an Emergency

Objectives

- Provide an understanding of COOP,
- COOP terms, and benefits of COOP planning
- Explain elements of a viable COOP capability
- Provide information about how a COOP event might affect you, your organization, and your family



Why Are We Really Here?

Ensure Your Facility's ability to continue to provide vital services when confronted with various emergencies, disasters and localized disruptions.

Retain the trust and confidence of those that rely on us. As an Individual, a team member, a leader, a business, or Corporation!

Because you wear a cape and sleep much better knowing you are part of the solution.....

So why is Business Continuity so important ?

- What would you do tomorrow if your building was on fire today?
- What would your patients/customers/employees do?
- What would your competitors do?
- What would your bank and stakeholders do?



Developing your Business Continuity Plan

- Businesses with no plan: 43% never reopen.
- WTC 1993 Bombing: 150 companies never reopened (43%).
- Hurricane Andrew 1992: 80% of businesses without a plan failed in 2 years.
- 2005 London Bombing: 70% of those with a plan identified that the plan needed changes.
- Katrina created a new definition of disaster: city destroyed, no roads, utilities, government infrastructure, etc. Years to recover.
- 70% of all businesses that close for one month either never reopen or fail in three years.
- Most companies that lose their computer system for 10 days or more fail.

What causes businesses to fail?

- 68% Human error.
 - 25% Technology failure.
 - 5% Natural disaster.
 - 2% Intentional causes.
-
- Many companies fall into a trap of planning only for “failures on a grand scale” when it is the smaller interruptions that cause most problems.

Ensure ? Assure? Insure?

- You can insure for property damage from most perils, and you can insure for business interruption, but you cannot insure for:
 - Market share loss
 - Business relationships with vendors
 - Regulatory compliance failure
 - Increased insurance cost
 - Increased cost when operations resume
 - Replacement, restoration, recovery costs not adjusted for inflation
 - Severance and unemployment insurance cost
 - Loss of employees
 - Cost of equipment and facilities used during recovery
 - Delayed accounts payable and receivable during recovery
 - Loss of financial support and impaired cash flow
 - Impaired communications with customers, vendors, etc.
 - Loss of goodwill and community support

COOP 101

- Essential Functions (Mission-Critical)
- Essential Positions; Functional Roles & Responsibilities; Incident Command
- Vital Records & Critical Applications; Communications Resources; Logistics Support & Resource Requirements
- Alternate Operating Facility; Recovery Location- TMTC
- Function Priority; COOP Phases; Recovery Time Objective (RTO)
- Lines (Orders) of Succession; Delegations of Authority
- Reconstitution; Devolution

What COOP Is Not

An Emergency Operations Plan

Specific to an incident or event

A three ring binder on a shelf

“Not Business As Usual”

MUST:

- ❑ Be able to implement plan with out warning
- ❑ Operational within 12 hours; SOP may be “stood down” via delegation of authority
- ❑ Maintained for up to 30 days; may include alternate sites, systems, databases and vendors
- ❑ Have personnel tested on your COOP
- ❑ Update testing on a regular basis

What COOP Is

The ability to continue delivering essential services during an interruption of normal business activities.

Specific to a Division or Agency.

Easy to use, up to date, accessible.

Common sense.

What A COOP Should Be

Ready to use at any time, from anywhere

Be useful for short, medium, and long term disruptions

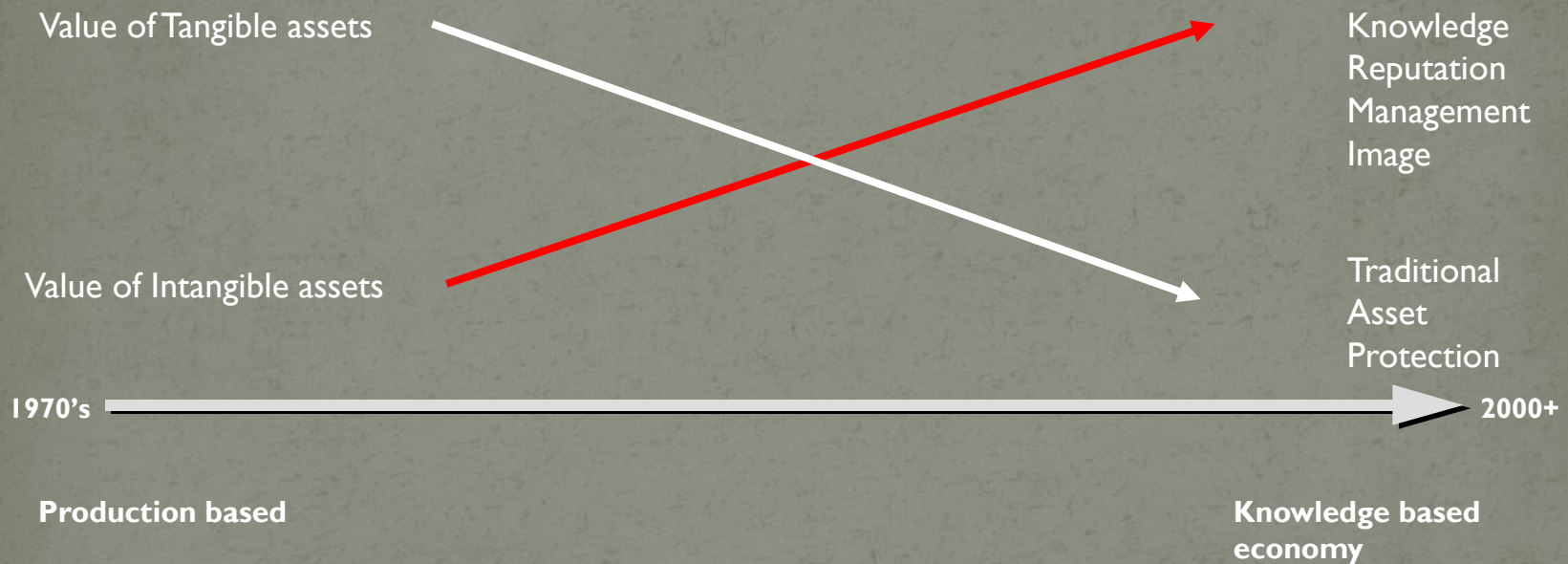
Easy to access and use, even to a novice

A team effort to specify how the operational components of the plan will be implemented.

- **Senior management**
- **COOP coordinator**
- **COOP planning team**

A riskier world?

Risk Management – A changing framework



Risk Model

'PEST' model

Technical

IT/Systems
Breakdown
Contamination
Industrial Accident

Economic

Industrial
Accidents
Government Crisis
Utilities failure

On-site product
tampering
Malicious acts
Organizational failure

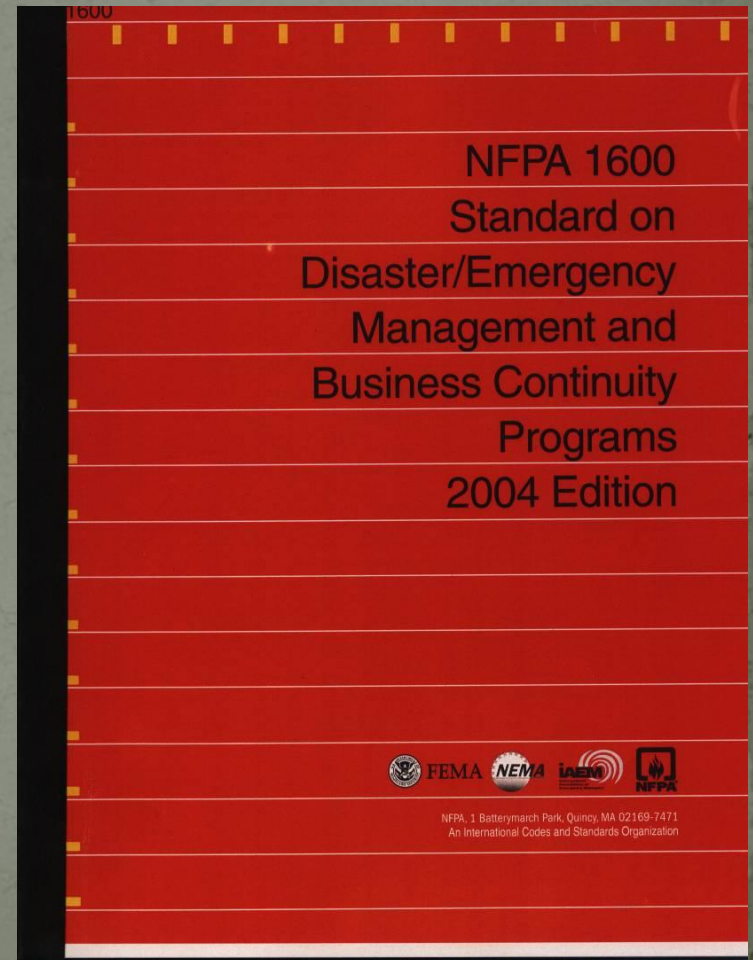
Sabotage
Terrorism
Labor strikes
Off-site product
tampering

People

Social

Business Continuity Planning

... and it has
been a
national
standard for
both the public
and private
sectors since
2004



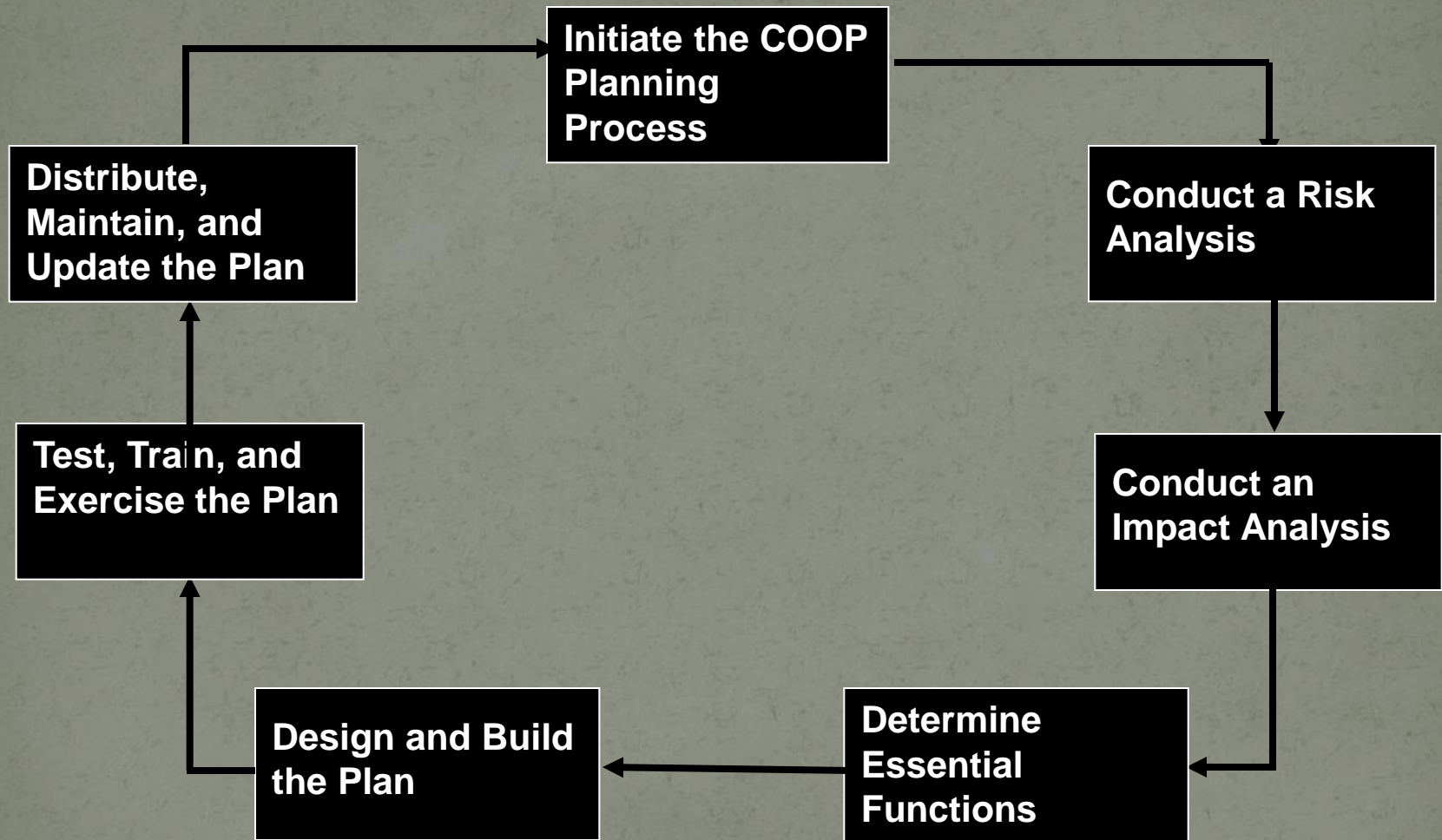
1600

NFPA 1600
Standard on
Disaster/Emergency
Management and
Business Continuity
Programs
2004 Edition

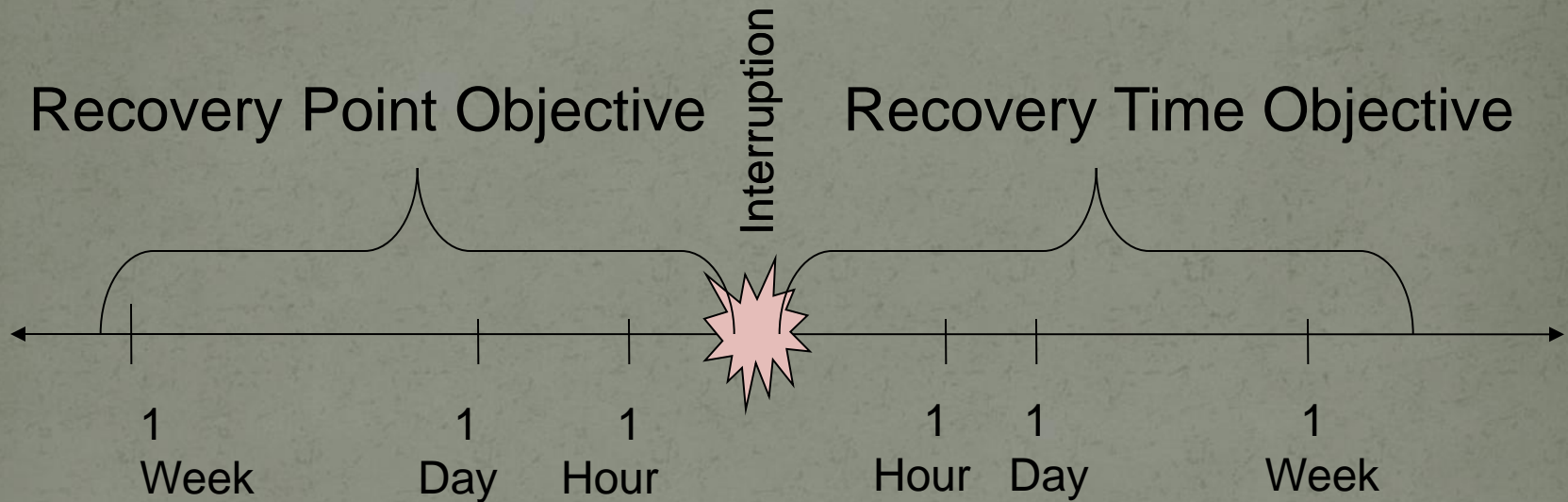


NFPA, 1 Batterymarch Park, Quincy, MA 02169-7471
An International Codes and Standards Organization

The COOP Planning Model



RPO and RTO



How far back can you fail to?
One week's worth of data?

How long can you operate without a system?
Which services can last how long?

Elements of a FEMA Compliant COOP

Essential Functions

Orders of Succession

Delegations of Authority

Continuity Facilities

Continuity Communications

Vital Records Management

Human Capital

Teams, Roles and Responsibilities

Test, Training and Exercising

Devolution of Control

Alert Notification Procedures

Plan Elements

**Essential
Functions**

**Alternate
Facilities**

**Vital
Records**

**Orders
Of
Succession**

**Delegations
Of
Authority**

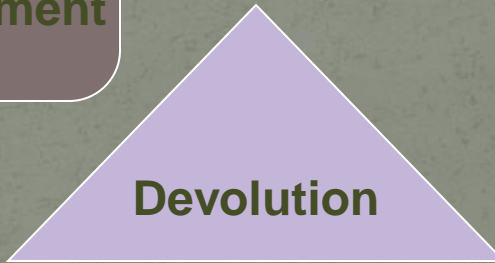
**Human
Capital
Management**

**Testing
Training**

Recovery

Communications

Devolution



Question everything- SWOT it to death

How?

When?

Where?

Why?

What?

Who?



Assessment Model: SWOT

Assessment

Internal Assessment: Organizational assets, resources, people, culture, systems, partnerships, suppliers, . . .



External Assessment: Marketplace, competitor's, social trends, technology, regulatory environment, economic cycles .



SWOT

Good Points

- Easy to Understand
- Apply at any organizational level

SWOT

Possible Pitfalls

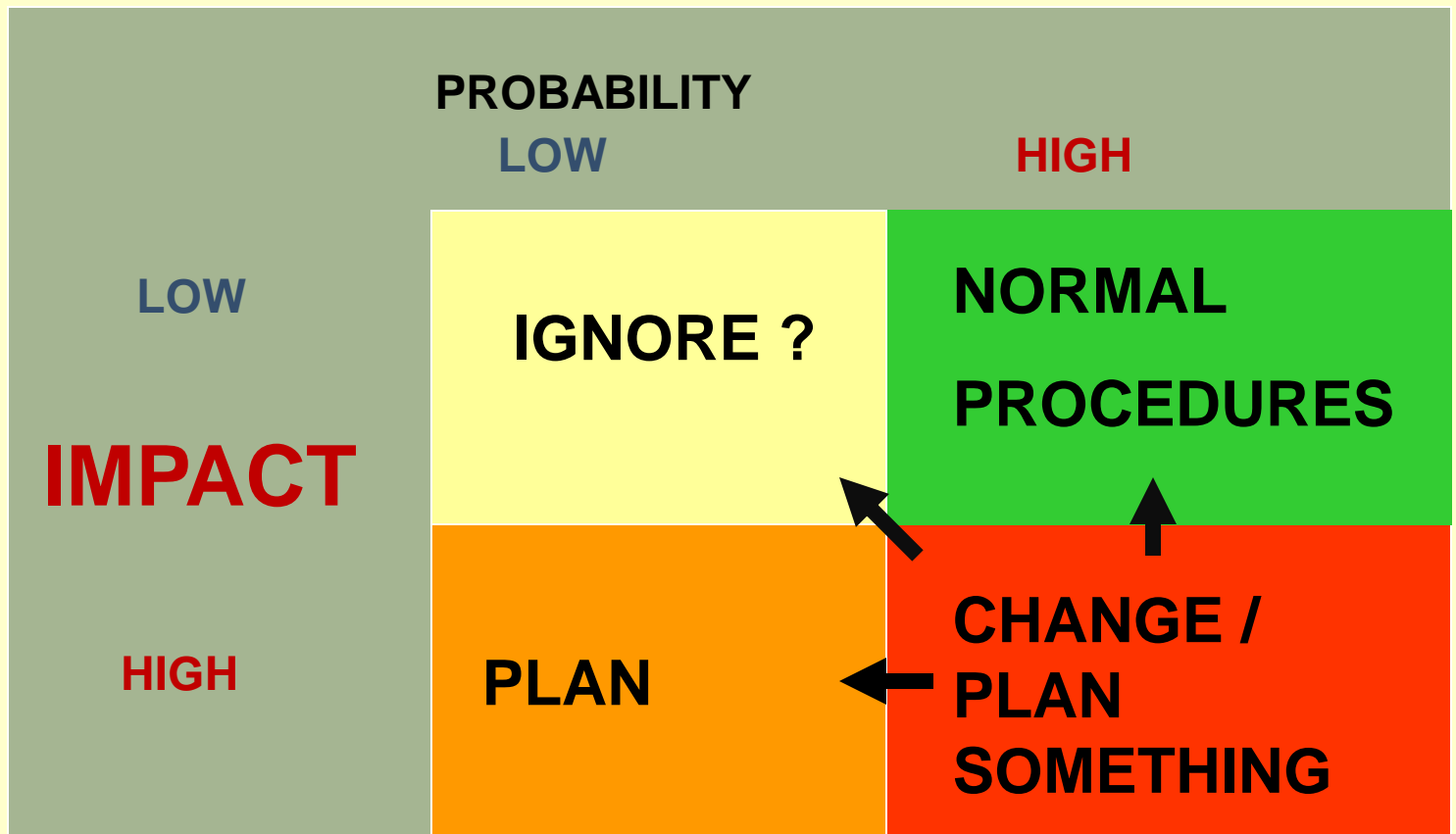
- Needs to be Analytical and Specific
- Be honest about your weaknesses

Key Components





















- COOP Plans answer the following questions in a catastrophic event or other emergency situation:
 - **What** critical things do we need to do?
 - **Who** will do them?
 - **How** will they be done? What equipment/resources?
 - **Where** will we be doing these things?
 - **When** (how quickly) will we need to resume them?
- Also:
 - **Who's** in charge? What if he/she can't?
 - **How** will we return to normal, or what if we can't?

Business Continuity Planning

The Risk Matrix



Department Assessments

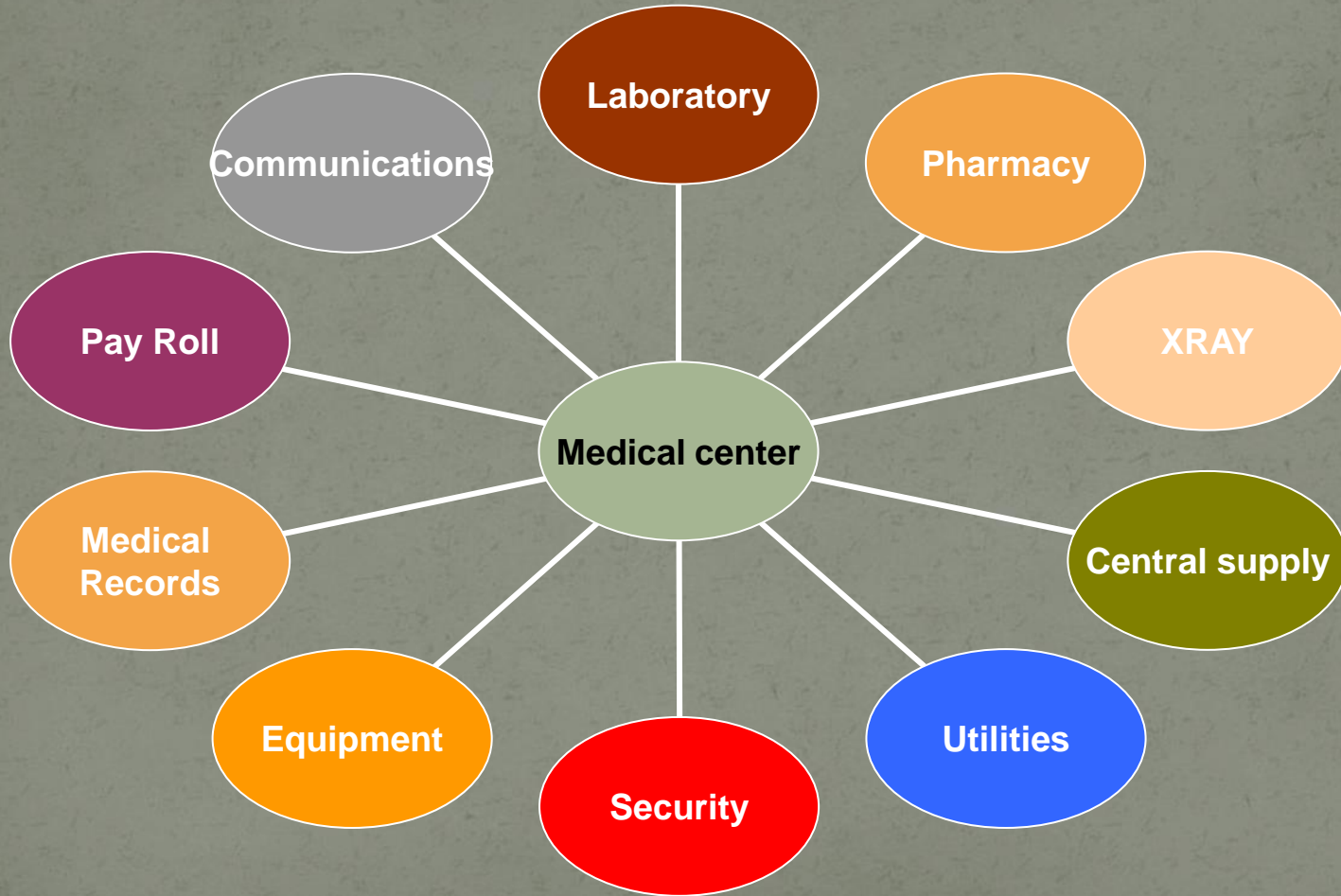
Overall	Detail	Follow-Up	BIC
FACILITY 	Life Safety  Elevators  Equipment  Doors  Locks 	<ol style="list-style-type: none"> 1. Engineering Solution . 2. Override currently not available. 3. Evacuation equipment. 4. What is priority equipment moves? 	
SYSTEMS	Infant Security (HUGS)  WOWS  Paging  Phones 	<ol style="list-style-type: none"> 1. Alarm data 2. Not enough phones 	
Vital Documents	What do we need 	<ol style="list-style-type: none"> 1. Training regarding the location 	
SUPPLIES/LINEN 		<ol style="list-style-type: none"> 1. linen carts 	
PHARMACY 			
FOOD SERVICE 			
EVS 			
PATIENT CARE 			
MD TRANSITION 	L&D 	<ol style="list-style-type: none"> 1. Identify status of L&D multidisciplinary rooms 	
Post Move Operations 			

Business Continuity Planning

- When is it a Crisis?



Consider all Departments *not just IT*



Seven COOP Phases

- **Phase 1: Emergency Response**
 - Initial emergency management activation
- **Phase 2: Event Assessment**
 - Assess workstations, facilities, impact/outage length
- **Phase 3: Notification & Implementation**
 - Implement emergency policies & communication protocols, evacuate
- **Phase 4: Continuity of Operations Preparations**
 - Arrange for transfer activities, personnel, records, equipment

Seven COOP Phases

- **Phase 5: Continuity of Operations**
 - **Execution of essential operations at alternate facility**
- **Phase 6: Public Information**
 - **Partner & media information**
- **Phase 7: Reconstitution; Final Report Activity**
 - **Normal operations resume; After Action Report created**

Initiate the COOP Planning Process

- **Step 1:**
- Appoint the COOP Program Manager.
- Select the planning team.
- Identify resources required.
- Establish objectives and milestones.
- Determine procedures for information gathering and decision making.

Establish Objectives and Milestones

Objectives should be measurable so that you:

- Know when the objective has been met.
- Know whether the objective is acceptable in terms of quality, timeliness, and other established criteria.

Specific,
Measurable,
Achievable/Agreeable,
Realistic/Relevant,
Timely.

Simply Put

People

Orders of Succession

Delegations of Authority

Human Capital

Teams, Roles and Responsibilities

Places

Continuity Facilities

Continuity Communications

Vital Records Management

Required Resources

Things

Essential Functions

Teams, Roles and Responsibilities

Devolution of Control

Alert Notification Procedures

People

Assets

Process

How to Structure Your Agencies

COOPs can be broken down:

By agency size

By geographic location

By function

By whatever makes sense to you and your team

COOP Table of Contents

- **RECORD OF CHANGES**
- **INTRODUCTION**
- **COOP ELEMENTS**
- **A. PROGRAM PLANS AND PROCEDURES**
- **B. HAZARD VULNERABILITY ANALYSIS**
- C. BUDGETING AND ACQUISITION OF RESOURCES**
- D. ESSENTIAL FUNCTIONS**
- E. ORDER OF SUCCESSION**
- F. DELEGATION OF AUTHORITY**
- G. CONTINUITY FACILITIES**
- H. CONTINUITY COMMUNICATIONS**
- I. VITAL RECORDS MANAGEMENT**
- J. HUMAN CAPITAL**
- K. ORGANIZATIONAL CENSUS**

COOP Table of Contents

- L. TEST, TRAINING, AND EXERCISE (TT&E) PROGRAM
- M. DEVOLUTION OF CONTROL AND DIRECTION
- N. RECONSTITUTION OPERATIONS
- O. CONTINUITY PLAN OPERATIONAL PHASES AND IMPLEMENTATION
 - APPENDIX A: DIRECTIVES
 - APPENDIX B: COUNTY EMA and/or STATE EOP HVA
 - APPENDIX C: PANDEMIC INFLUENZA PLANNING ASSUMPTIONS
 - APPENDIX D: INCIDENT COMMAND SYSTEM
 - APPENDIX E: ACRONYMS

THERE IS NO CUT AND PASTE APPROACH

**YOUR INDIVIDUALIZED PLAN
MUST REFLECT WHAT YOUR
FACILITY WILL DO TO PROTECT
ITSELF FROM ITS *UNIQUE*
HAZARDS WITH THE *UNIQUE*
RESOURCES IT HAS OR CAN
OBTAIN**

How to Set Up Your Planning Team

COOP should not be done in a vacuum:

Senior personnel must be involved

Assign a planning lead

Assign planning team members

Have a team for each COOP you will complete

I've Already Got a Fulltime Job!

How much time will this take?:

Executive management – 8 hours

Primary COOP planner - 40 hours

COOP team member - 15 hours



Conduct a Risk Analysis

- Step 2:
- Risk analysis helps to:
- Narrow the range of incidents requiring planning.
- Prioritize according to risk.
- Plan for the highest-risk hazards first.

Conduct a Risk Analysis

- Step 2:
- Sources of Information:
 - The local hazard analysis
 - Historical information
 - Directive



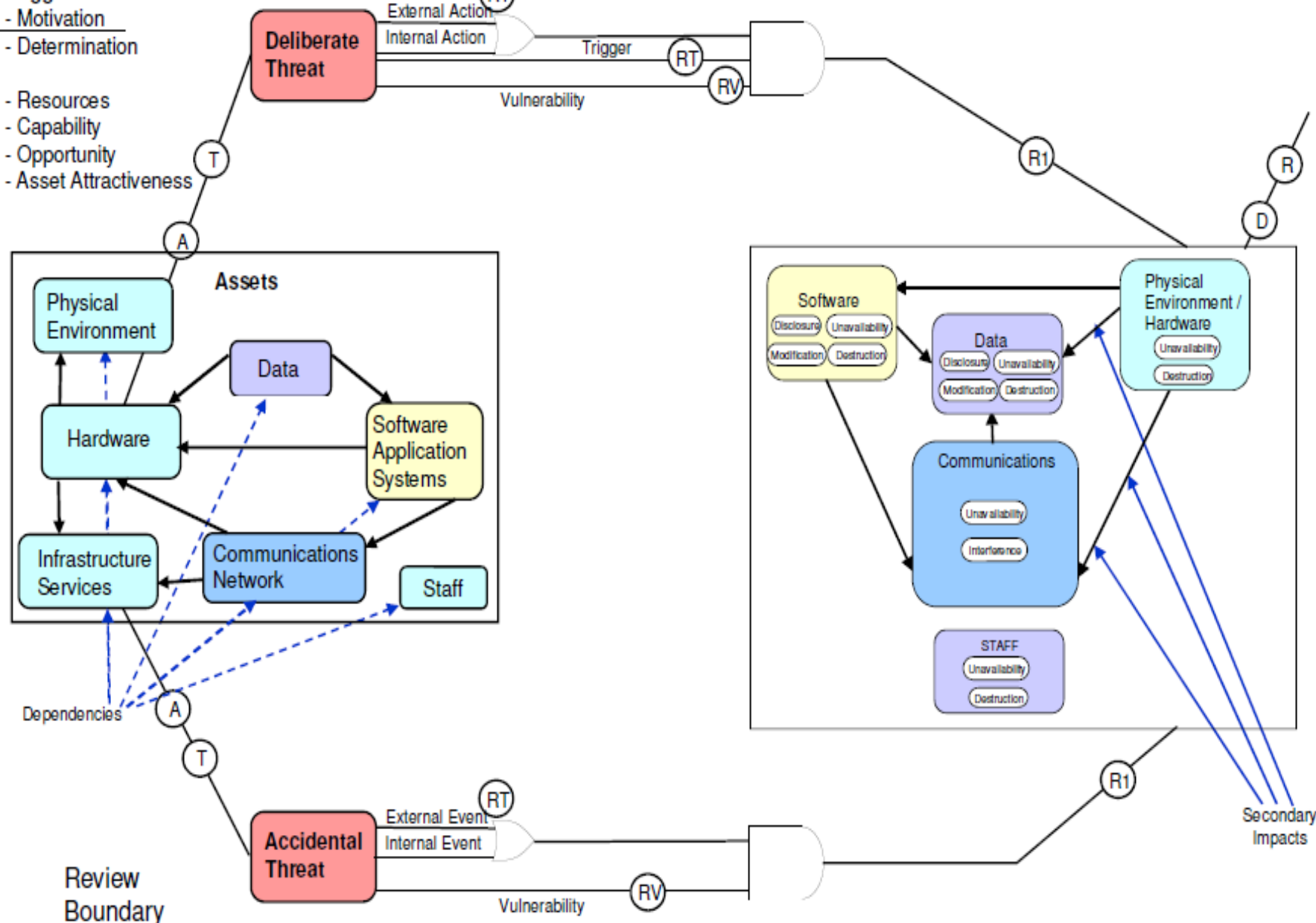
Conduct a Risk Analysis

- Step 2:
- Determine vulnerability to identify risks that are:
 - Inherent to the agency's location.
 - Inherent to the facility.
 - Most critical for agency personnel.

Trigger / Other Factors

- Motivation
- Determination

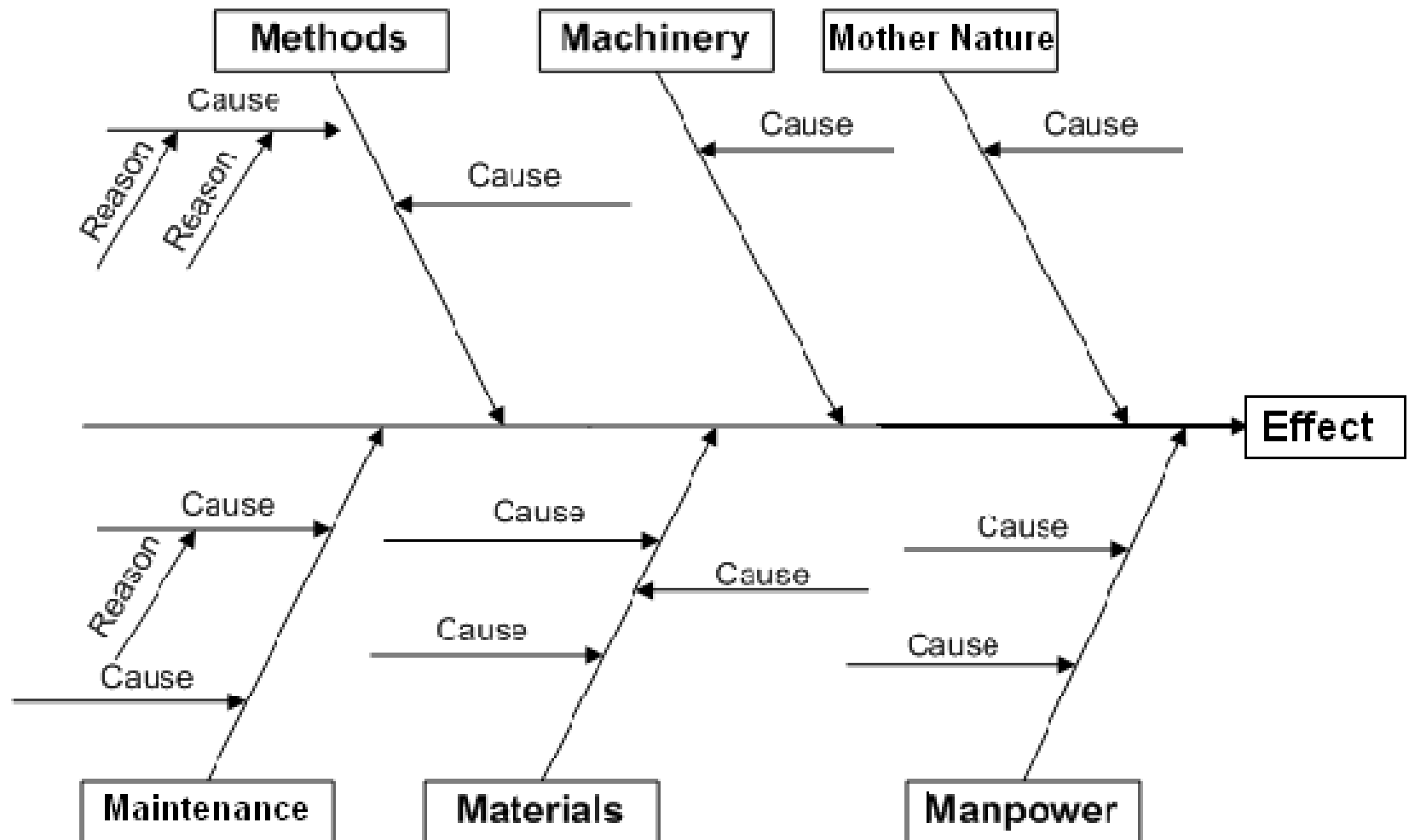
- Resources
- Capability
- Opportunity
- Asset Attractiveness



Review Boundary

Secondary Impacts

Root Cause Analysis



Step 3: Conduct an Impact Analysis

- 4 = Catastrophic. The agency could not function from its facility. The COOP plan would definitely be implemented.
- 3 = Major. Agency operations would be disrupted for more than 12 hours. The COOP plan would definitely be implemented.
- 2 = Moderate. Some functions may be interrupted but the agency could be operational within 12 hours. The COOP plan might be implemented.
- 1 = Minor: Agency operations could continue with little or no interruption.

Step 4: Determine Essential Functions

- Use a system:
 - Identify all agency functions.
 - Identify essential functions.
 - Prioritize the functions.
 - Identify critical support resources.

Priority 1: First
0-12
hours



Priority 2:
First 12-72 hours



Priority 3:
After first 72
hours

Business Impact Analysis Summary

Service	Recovery Point Objective (Hours)	Recovery Time Objective (Hours)	Critical Resources (Computer, people, peripherals)	Special Notes (Unusual treatment at Specific times, unusual risk conditions)
Registration	0 hours	4 hours	SOLAR, network Registrar	High priority during Nov-Jan, March-June, August.
Personnel	2 hours	8 hours	PeopleSoft	Can operate manually for some time
Pharmacy	30 days plus	1 hour	D2L, pyxis network, med files	high priority. Alternate space?

Step 5: Design and Build the Plan

Sample operational checklists may include:

- Emergency Calling Directory
- Key Personnel Roster and Essential Functions Checklist
- Senior Emergency Response Team (SERT) Roster
- Emergency Relocation Team Checklist
- Alternate Site Acquisition Checklist
- Emergency Operating Records

PDCA Cycle

- **Plan**

Understand the problem/situation, create plan to see if assumptions are correct

- **Do**

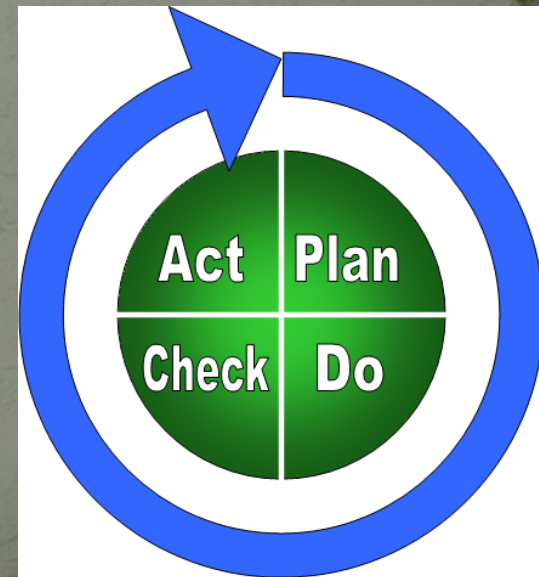
Run test

- **Check**

Evaluate the results of the test

- **Act**

Respond to the results, act upon what has been learned



Step 6: Test, Train, and Exercise the Plan

- Tests confirm whether or not procedures, processes, and systems function as intended.
- Training ensures that all personnel know what to do, how to do it, and when.
- Exercises provide practice and verification of whether parts of the plan—or the entire plan—work as intended.

What does an A3 Report look like?

Title: _____

BACKGROUND

- Write according to target audience
- Provide clear understanding of problem/issue
- Include historical data, dates, names that might provide insight
- List individuals participating in the event
- **Use VISUAL information as much as possible**

CURRENT CONDITIONS

- Depict an overview of the current process or system
- Highlight key features in the current state
- Identify what you know about the problem. What it is, is not?
- Use data, numbers to further explain the current situation
- **Use visual methods of explanation when possible**

GOAL/TARGET

- Set a clear goal or target state for the situation
- Be clear on the measure of performance
- Consider how to collect the data to evaluate effectiveness
- **Use visual methods of explanation when possible**

ROOT CAUSE ANALYSIS

- Show the Root Cause identified
- Separate Symptoms and Opinions from cause and effect
- Show the tools used in Root Cause analysis (5 whys, Fishbone, etc.)
- Identify tests needed to build confidence in Root Cause analysis
- Summarize main findings of the Root Cause analysis, **Visually if possible**

COUNTERMEASURES (ACTION ITEMS)

- Make sure action items address the potential Root-Causes
- Identify who is responsible for the action item
- Be clear on exactly what is expected
- Clarify due dates for all actions
- Clarify implementation order and location clear
- May include Gantt Chart (Timeline)

EFFECT CONFIRMATION

- Determine ways to confirm effect, by each root cause if possible
- Plan in advance for data to be collected
- Collect data, verify effectiveness of action items
- Use the same measures as called out in goal section
- Show data and how it confirmed, or not, action items

FOLLOW UP ACTIONS

- Standardize those countermeasures that had a positive effect
- Look for similar processes that may benefit from what was learned
- Re-address any Root Causes that remain a problem
- Plan next steps, may include next "cycle" of PDCA

Step 7: Distribute, Maintain, and Update the Plan

- Factors to consider:
 - Accountability
 - Version control
 - Security



Program Plan Building Phases

Phase 1: Planning	Phase II: Development	Phase III: Operation	Phase IV: Execution
Needs Awareness Assessment	Plan Construction	Ongoing plan awareness	Plan activation
Advance Planning	Plan testing	Training of key participants	
Risk & Vulnerability Assessment	Plan Implementation	Plan Maintenance	
Plan Design			

Essential Functions

- Identified services & functions that must be continued
- Prioritized according to how quickly they need to be resumed:



Level of Emergency	Impact on Health Center
I	Up to 12 hours of disruption
II	12 - 72 hours Limited COOP activation
III	1 or 2 essential functions up to 3 days ? Alternate site; >1 week
IV	1 or 2 functions, 3 - 14 days Possible order of succession Alternate site; < 1 week
V	Entire center disruption lasting 14 days Activation of succession Movement of operations to alternate site

Special Considerations

Incident Command

- Required for effective command, control, communication, and coordination
- Used by emergency management organizations
- Used in COOP activations
- Introductory ICS courses:

IS-100.b – (ICS 100) Introduction to Incident Command System

<http://training.fema.gov/emiweb/is/is100b.asp>

IS-700.a – National Incident Management System (NIMS), An Introduction

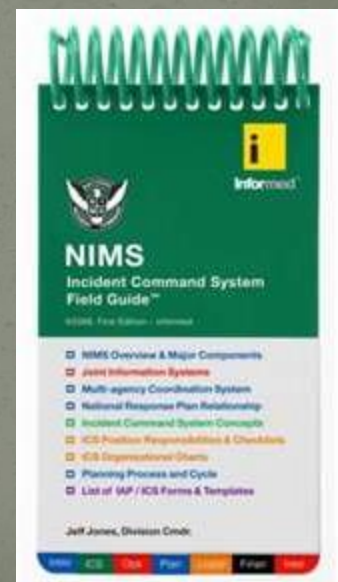
<http://training.fema.gov/emiweb/is/is700a.asp>

IS-546.a – Continuity of Operations Awareness Course

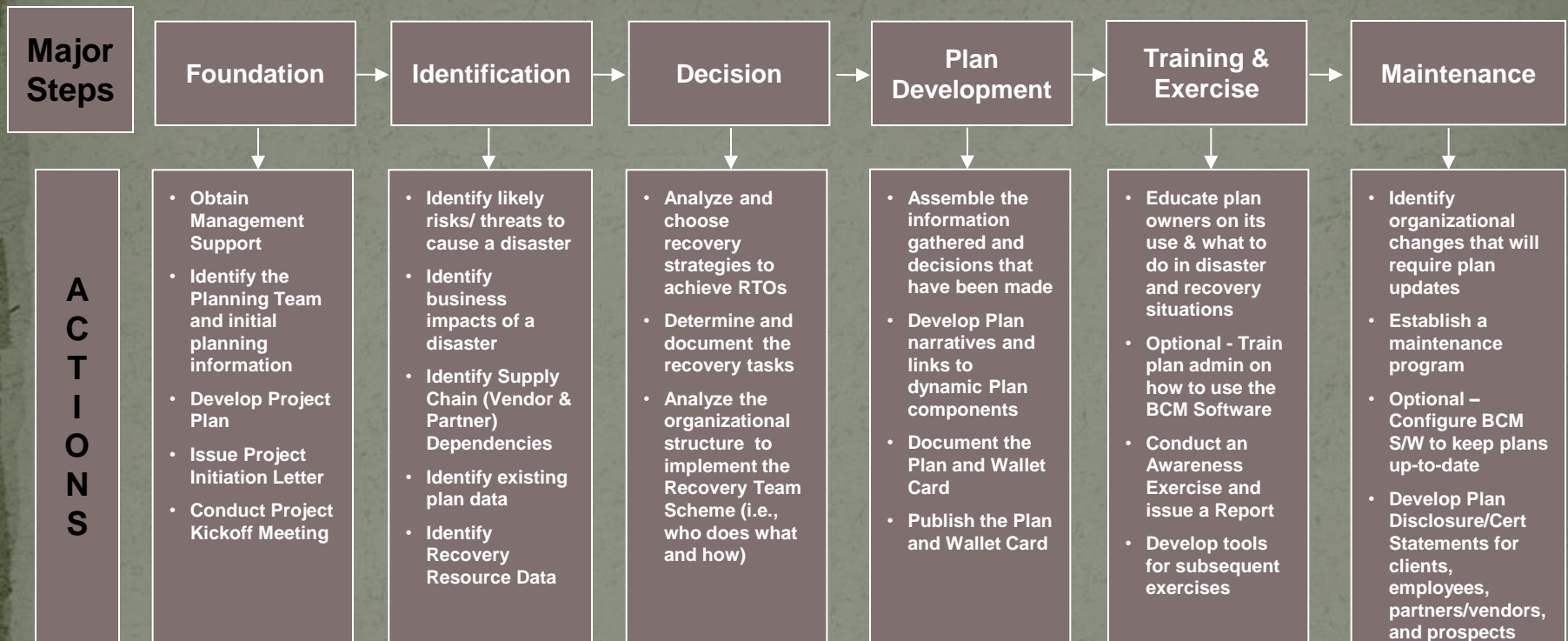
<http://training.fema.gov/EMIWeb/IS/IS546A.asp>

IS-547.a – Introduction to Continuity of Operations

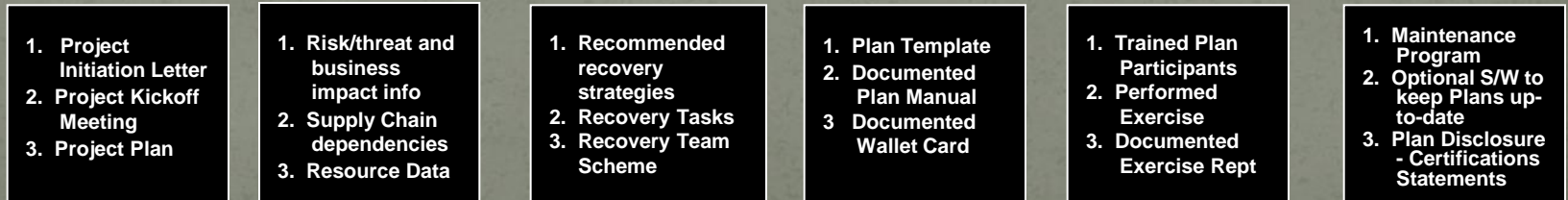
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BC Plan Development Process

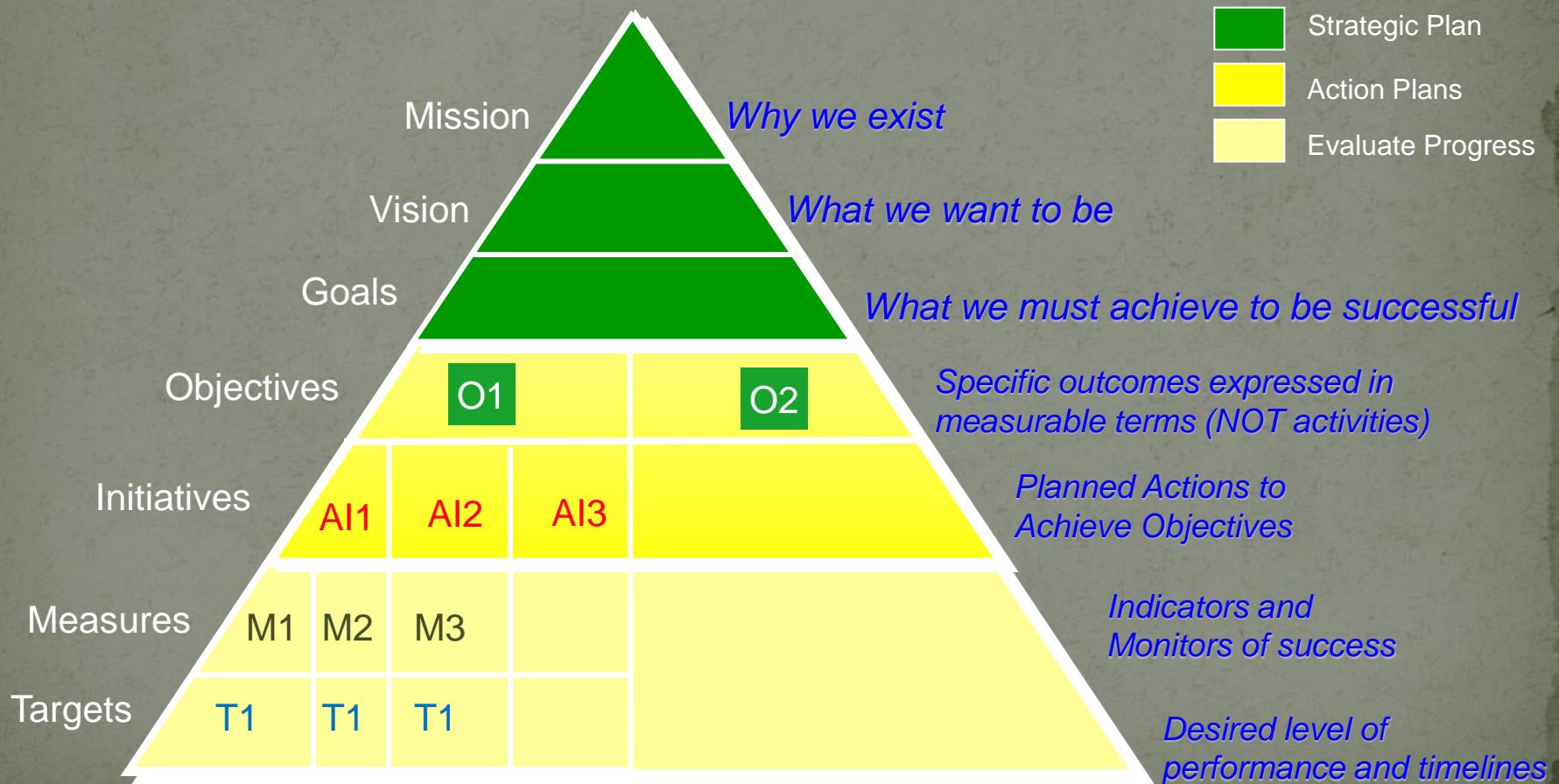


DELIVERABLES



Major Components of the Strategic Plan

Components



Family Support Planning

- Agency leaders must encourage all personnel to plan for family safety and security during COOP operations
- During a response employees need to focus on maintenance of functions not concerned with potential family safety issues
- Remember those with special needs, both employees and those with family members who may need assistance
- Activate an information call in number for employees

After the Event

- Refer or make available counseling services for employees and their families.
- Provide necessary recovery time (time-off) for staff assisting with recovery efforts.

Family Emergency Planning

- A COOP situation will affect you and your team's families:
 - There will be a period of uncertainty about what is happening, how bad the situation is, and what you should do to protect yourself and your loved ones.
 - You may feel unsure of your job security, particularly if the threat is severe
 - You may also be concerned for your financial well being.
- It is imperative that your agency develop a family emergency plan. At a minimum the plan should include:
 - Contact and communication information
 - An immediate emergency checklist that includes medical, financial and legal information and other important documents.
 - Supplies, including medication, for at least 72 hours

Phase I: Activation

Initial 12 hours following activation of COOP

- Activate Plans, Procedures and Schedules; transferring essential functions, personnel, records and equipment to alternate operating facilities.

Up Stream Losses

Those you will experience when your suppliers are affected and cannot deliver. If their business is damaged the probability of keeping pre-disaster schedule is like zero....



Vital Records – Finance

Unprocessed gifts and checks

- A box of check stock**
- A box of deposit slips and stamp**
- Payroll information and personnel files**
- Insurance documentation**
- Last month's bank statements**
- Policy and procedure manual**

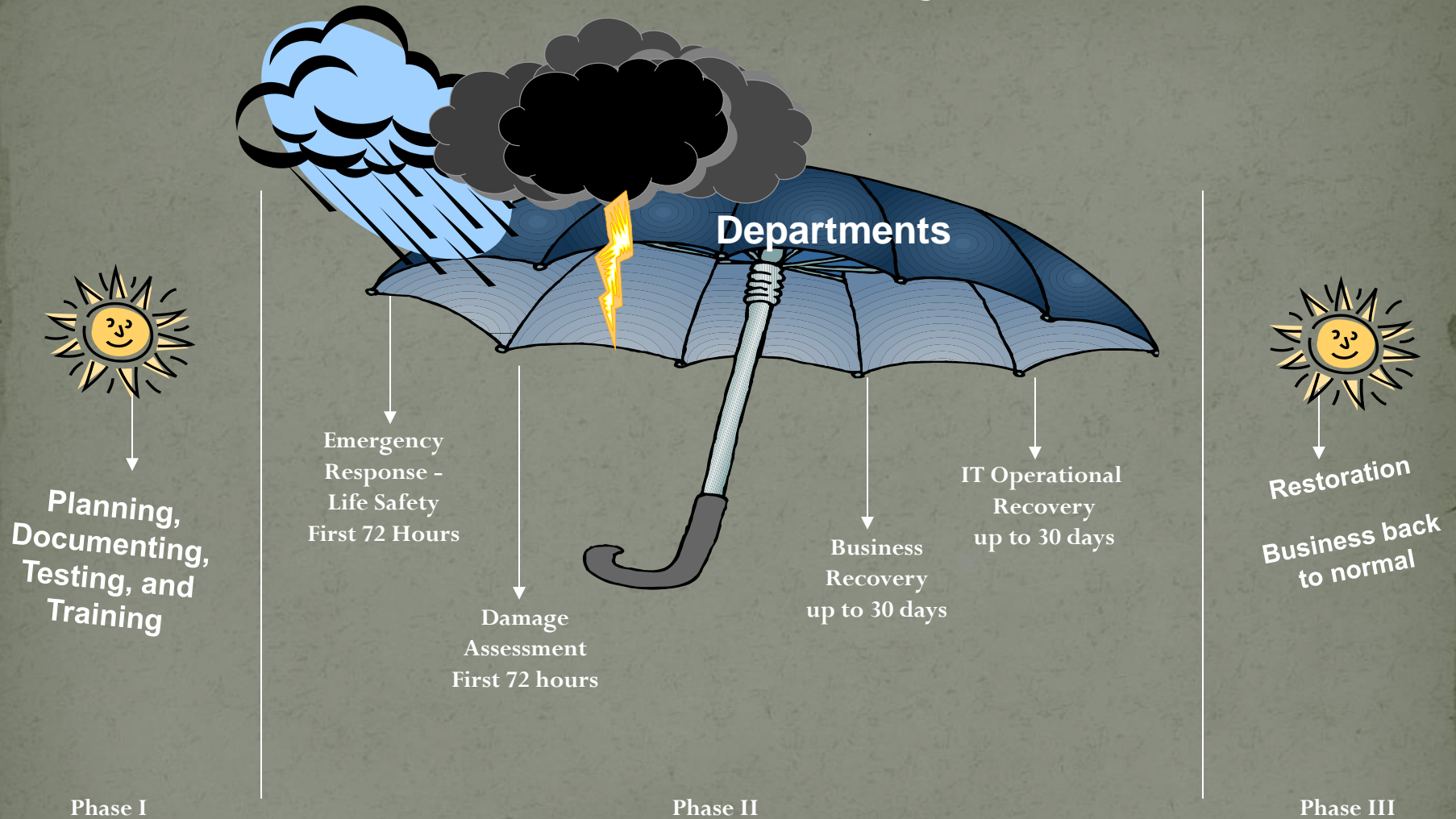
Down Stream Losses



Lives of your clientele are affected by a disaster.

No transportation, walk-ins, no payment, refugees,
limited resources for health care.

Three Phases of Continuity



Phase II: Alternate Operating Facility Operations

- 12 hours after activation up to 30 days
- Highest priority functions are activated first
- Lower priority essential functions are then brought online
- Operations at alternate facilities will vary widely dependant on the community health care center and their essential functions

Alternate facilities/locations should provide:

- **Sufficient space and equipment;**
- **Capability to perform essential functions within 12 hours;**
- **Reliable logistical support, services, and infrastructure systems;**
- **Consideration for health, safety, and emotional well-being of personnel;**
- **Interoperable communications; and**
- **Computer equipment and software.**

Work with your City's or the County's GIS personnel to identify maps and/or GIS layers outlining natural hazards specific to your jurisdiction. These maps can be used to ascertain whether your organization's building(s) are located within known potential hazard areas.

Facility Name :

Address:

Telephone: _____

Basic Facility Specifications

Number of Private Offices: _____ Number of Parking Stalls: _____ ; On-street parking only

Number of cubicles: _____ Loading dock: Yes 0 No 0

Conference rooms? _____ Handicapped accessible? Yes 0 No 0

Back-Up Power Yes 0 No 0

Dimensions: _____

Communications: Points of Contact:

Number of commercial telephone lines available? _____

Number of secure telephone lines available? _____

Network Interface Ports available _____

Two-way radio support infrastructure? Yes 0 No 0

Office Equipment Available

Number of desks: _____ Computers: _____

Number of chairs: _____ Internet access: _____

Number of telephones: _____ Number of copiers: _____

Office Supplies Yes 0 No 0 _____

Number of fax machines: _____ 1 _____

Utilities:

Network:

Loading dock: Yes 0 No 0

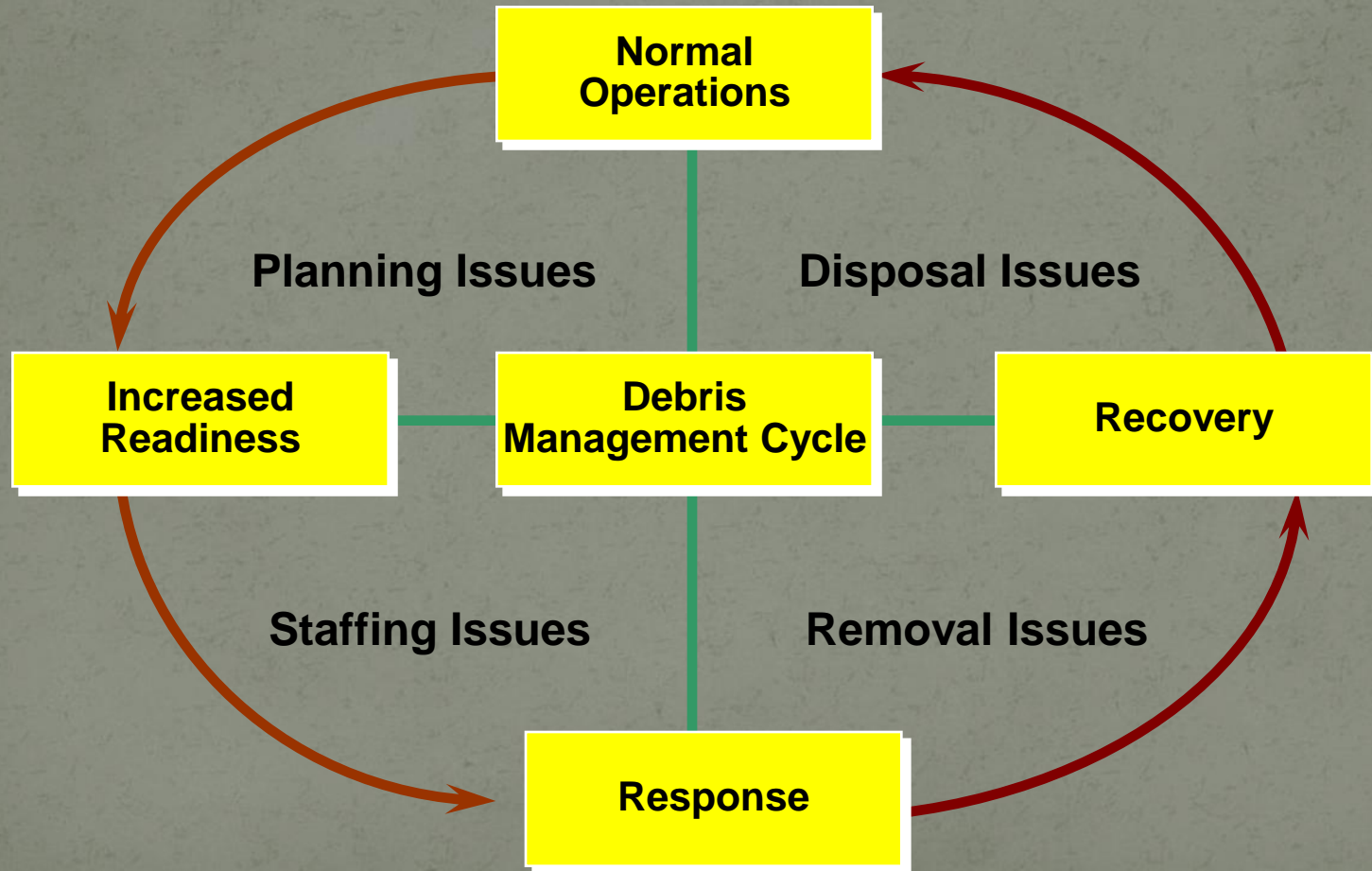
Relocation Support Name Telephone

Local Hotel _____

Local Dining _____

Other Amenities (e.g., (FAD) _____

The Debris Management Cycle



Phase III: Reconstruction

- Process to resume normal operations from the original / replaced primary health center once the disruption is over.
- Basic planning for this takes place with COOP planning
 - Specific planning begins as COOP implemented

Reconstruction

- Agencies must identify a plan to return to normal operation after leaders determine reconstitution operation can begin
- Suggest designation of Reconstitution Manager due to its complexity

Vital Records and Databases

- In Business Continuity Planning or COOP, there are 2 main types of records:

1. Emergency Operating Records-which includes plans, directives, delegations of authority, or staffing assignments and orders of succession in order to implement your Business Continuity Plan.
2. Legal and Financial Records-which includes, medical records, personnel records, payroll records, insurance records and contractor records (e.g. agreements).

Copies of medical records as well as offsite computer file storage is strongly recommended.

•Essential Business Records

- contracting and acquisition files – scanning
 - official personnel files – hard copy
 - payroll records
 - insurance records
 - Per HR – part of the payroll and insurance records are on the computer system but not all.
- property management and inventory records

Corporate Records:

- Incorporation documents – scanned PDF
- By-laws – scanned PDF
- Tax-exemption documents (e.g. application for tax exemption, IRS Form 1023; IRS determination letter; and related documents)
- Board meeting documents including agendas, minutes, and related documents – scanned PDF – current information
- Conflict of Interest and Nondisclosure statements – scanned PDF
- Correspondence with legal counsel and/or accountants not otherwise listed – emails to CEO; current audit reports are available through accountants; old audit reports are permanent records

Hazard Vulnerability Analysis

EVENT	PROBABILITY				RISK					PREPAREDNESS			TOTAL
	HIGH	MED	LOW	NONE	LIFE THREAT	HEALTH/ SAFETY	HIGH DISRUP- TION	MOD DISRUP- TION	LOW DISRUP- TION	POOR	FAIR	GOOD	
SCORE	3	2	1	0	5	4	3	2	1	3	2	1	
volcano	X					X					X		24

Natural Events
 Technical Events
 Human Initiated

COOP Budget

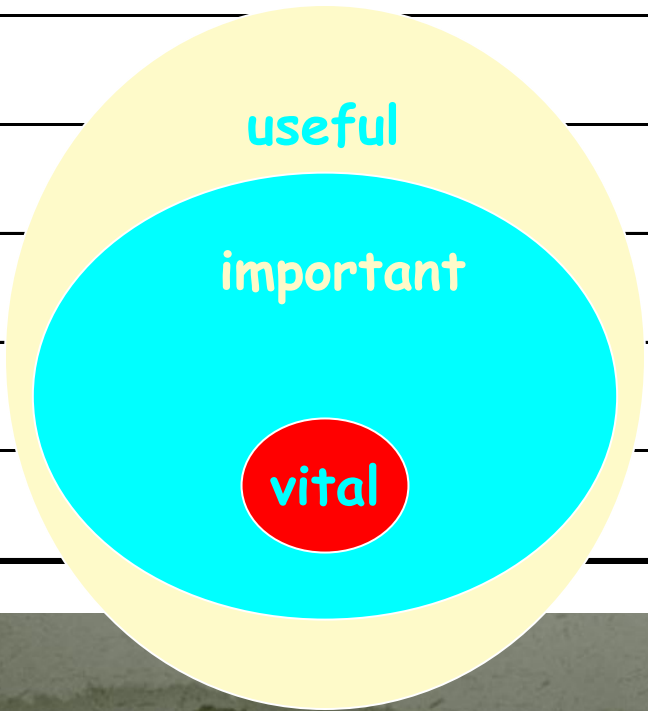
Category	Person Responsible	Date Amount Verified	Amount
Payroll for overtime and special contract personnel			
Transportation			
Facilities			
Food, shelter, special clothing			
Utilities			
Information technology infrastructure			
Go-Kits and Related Supplies			
Pandemic Influenza Preparedness Supplies			
COOP Training			
COOP Drills and Exercises			
Total			

Essential Functions

- Essential Functions are defined as those functions, stated or implied, that the organization is required to perform by statute, executive order, or organizational charter or policy and are necessary to provide vital services, maintain the safety and well-being of the employees, clients or customers, and visitors during an emergency.
 - Critical Essential Functions are those essential functions that cannot be interrupted.
 - Standard Operating Procedures must be developed for all Critical Essential Functions.
 - Short-term Essential Functions can be interrupted for a period of up to 15 days.
 - Long-term Essential Functions can be interrupted for more than 15.

Essential Functions

Function	Critical Essential Function		Short-term Essential Function Y/N	Long-term Essential Function Y/N	Priority
	Y/N	If Yes. does SOP exist? Y/N			



Order of Succession

Authority	Position Holding Authority	Position Delegated Authority	Triggering Conditions
Close Facility			When conditions make coming to or remaining in the facility unsafe.
Represent Agency/ Organization when engaging Govt. Officials			When the pre-identified senior leadership is not available.
Activate Agency/Organization MOU's/MAA's			When the pre-identified senior leadership is not available.

Key Position (Position Title)	Successor	Successor 2	Successor 3
Leadership			
Leadership			
Leadership			
Operations			
Planning			
Logistics			
Finance/Admin			

Suspension of All Functions & Services

Absenteeism Rate	50%		Check One					
	40%		<input type="checkbox"/> AND					
	30%							
	20%		<input type="checkbox"/> OR					
	10%							
<p>The mark “X” in a box for each parameter and the selection of the logical connector specifies the criteria for the suspension of all functions and services.</p>				2 Weeks	4 Weeks	12 Weeks	6 Months	12 Months
				Time Since Beginning of Pandemic Outbreak				

Communication System	Support Essential Function	to Current Provider	Specification	Alternate Provider	Special Notes
Non-secure Phones					
Secure Phones					
Fax Lines					
Cellular Phones					
Satellite					
Pagers					
E-mail					
Internet Access					
Data Lines					
Two-way Radios					
GETS Cards					
[Insert other options here]					

Incident Command System Structure

Position	Primary Assignment	First Alternate	Second Alternate	Third Alternate
Incident Commander				
Information Officer				
Safety Officer				
Liaison Officer				
Operations Chief				
Planning Chief				
Logistics Chief				
Finance/Admin Chief				

Reconstruction Operations

- Identify the person/position responsible for recruiting replacement employees and certifying workplace safety.

Essential Function	Type (C, ST, or LT)	Priority	Recruiting Replacement Employees (Name and Position or Position)	Certification of Workplace Safety (Name and Position or Position)

Devolution

- Devolution is 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.
- Devolution is a way of ensuring a COOP capability in the event COOP personnel are unable to perform their mission or if the alternate facility is unavailable to support it.

Testing, Training, and Exercises

- Assess and validate COOP plans, policies, and procedures
- Ensure agency personnel familiarity with COOP procedures
- Ensure COOP personnel sufficiently trained to carry out essential functions
- Test and validate equipment assuring internal and external interoperability
- Foster resilience for employees and practices

Testing is critical for

- Alert, notification and activation procedures
- Communication systems
- Vital records and databases
- Information technology systems
- Reconstitution procedures
- Other aspects dependent on agency

COOP Testing Requirements

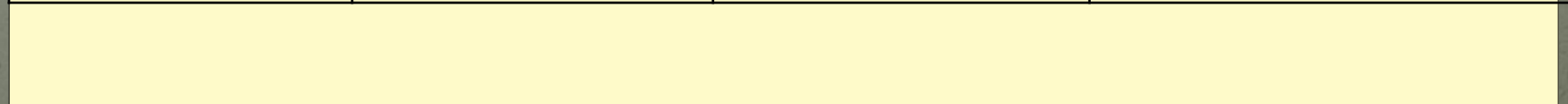
Quarterly	Semiannual	Annual
Alert, notification, and activation procedures	Recovery plans of vital records and critical information systems, services, and data	Primary and backup utilities and services at alternate operating facilities
Communications capabilities	Ongoing	Ongoing

Continuity Facilities

- Identify alternate work locations for use during an emergency.
 - Sufficient space, equipment, and resources to sustain an EF
 - Capable of being operational within 12 hours after an event
 - Reliable logistical support, systems, and infrastructure support
 - Provide for the health, safety, and security of employees being relocated
 - Sufficient communication systems including secure communications, if applicable
 - Sufficient information technology and support
 - Capabilities to use virtual records necessary to sustain an EF Alternate Locations may or may not be the same for Pandemic Influenza Outbreaks and All-Hazard Emergencies

Continuity Facilities

Continuity Facility	Type of Facility	Location of Facility	Accommodations
ABC Hospital	Alternate Site	1234 Medical Center Drive, Niceville, USA	Hot Site, Identified meeting room with telephones internet access, ham radio access, satellite radio access, 2 desktop computers, laptop connectivity.
County EOC	Alternate Site	7000 Disaster Way My Town, Gotham City	Warm Site, Possible meeting room with telephones, internet access, shared ham radio capability, shared satellite phone capability, No desktop computers, laptop connectivity.
Home Telework	Devolution Site	Home of Record HCC Leadership	Warm Site, telephones, internet access, no ham radio, no satellite phone, desktop computers, laptop connectivity



FEMA PAY?

•
FEMA may cover:

- Emergency medical care
- Temporary medical facilities
- Sheltering
- Storage and internment of unidentified human remains
- Mass mortuary services
- Overtime pay for regular employees
- Regular and overtime pay for extra hires

FEMA may not cover:

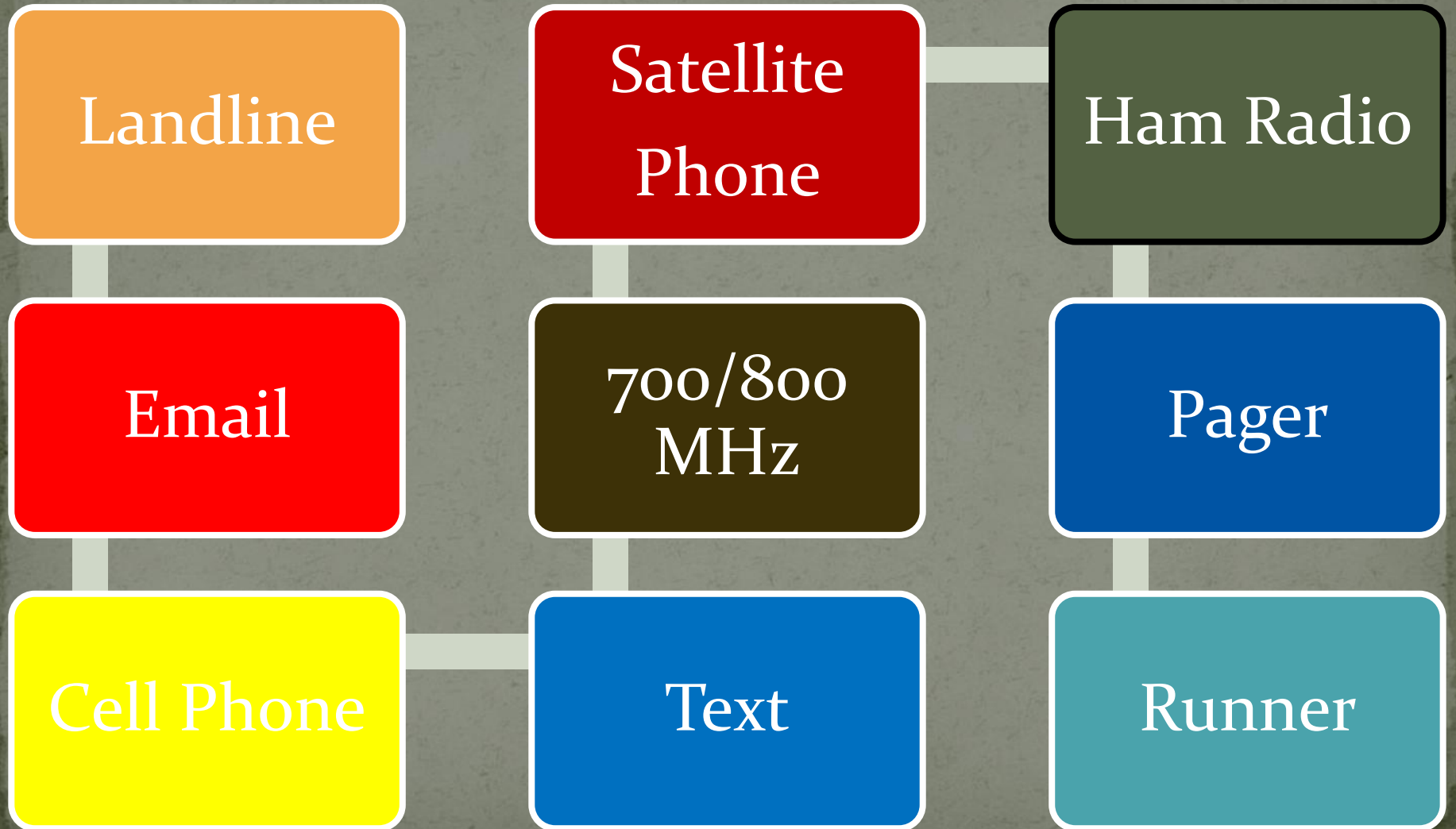
- Inpatient care
- Follow-up treatment
- Costs associated with loss of revenue
- Increased administrative and operational costs due to increased patient load
- Disaster-related recovery
- Submit Request for Public Assistance (RPA) within 30 days of the date that the affected area is designated a disaster area in a Presidential Disaster Declaration.
- Kickoff Meeting will be scheduled within one week of FEMA's receipt of the Request for Public Assistance.
- Damaged facilities and emergency work must be identified and reported to FEMA within 60 days of the Kickoff Meeting.

Continuity Communications-Internal

Name	Work Telephone	Primary e-mail address	Cellular Telephone	Other

The KEY to interoperable communications is Connectivity

Continuity Communications Exercise



Continuity Communications-External

- Develop an extensive communication list for all key external stakeholders including other state entities, vendors, contractors, and client organizations
- Key external stakeholders may or may not be the same for Pandemic Influenza Outbreaks and All-Hazard Emergencies

The KEY to interoperable communications is
Connectivity

Vital Records and Databases

Vital Record	Format of Record	Pre-Positioned at Continuity Facility (Yes or No)	Hand Carried to Continuity Facility (Yes or No)	Virtually Accessible at Continuity Facility (Yes or No)	Storage Location(s)	Maintenance Frequency

Property Damage Documentation

- invoices
- purchase orders
- repair quotations
- time and material contracts with expenditures
- labor time sheets with corresponding payroll journals
- supply vouchers or requisitions
- inventory quantities with pricing

Business Interruption Documentation

- reconstruction schedule
- past experience of business actual experience during the
- period of indemnity
- revenue forecasts
- additional expenses incurred to reduce the period of reconstruction
- purchase journals
- payroll journals
- general ledger
- profit and loss statements
- inventory records, quantities and values

Delegation of Authority Form

The person named below will have full, unlimited authority to operate [INSERT ORG NAME] to the fullest extent possible until such person is relieved by the next highest ranking officer. Delegation to successors other than CEO/Administrator extending beyond seven days will need approval by [INSERT ORG/AGENCY NAME]

Name and Title of Person Delegated

Authority: _____

Date and Event Triggering

Delegation: _____

Authority is (circle one): Unlimited – No Restrictions Limited – list limitations:

Day/Date of Delegation Termination: _____

Date Authority Extended: _____

Name and Title Approving Extension: _____

Signature of Extension Authorization: _____

Name and Title of Person Assuming

Authority: _____

Date of Authority Assumption: _____

Monitoring Employee Availability and Absences

- This worksheet will be used during an emergency and should not be filled-in for inclusion in the COOP. Appendix G of the COOP template includes a table that may be used for this purpose.

Status Codes:

- 1. Present at primary location**
- 2. Present at Alternate Location**
- 3. Absent—illness**
- 4. Absent—caring for ill family member**
- 5. Deceased**

Your Homework

Get your boss involved

Determine how many plans you will want for your agency

Assign your lead planner(s)

Pull your team(s) together

Read the preparation package

Start thinking about the information you will want to populate your plan

Administrators “Go Box”

Fireproof / waterproof container in an alternate location

- ❑ Documentation of insurance policies, agent numbers
- ❑ Vendors numbers (plumbers, electricians, contractors, mold remediation)
- ❑ What type of payment will they take in a emergency?
- ❑ Camera (disposable) for pictures of damage
- ❑ Copy of any licensure
- ❑ Voice mail box # remote password and update info to provide instructions to employees, clients, etc. Arrange for programmable call forwarding to a serviceable number
- ❑ Copy of back up files or servers
- ❑ Copy of COOP Plan
- ❑ Emergency payroll procedures
- ❑ Listing of inventory



The pessimist sees difficulty in every opportunity.

The optimist sees opportunity in every difficulty”

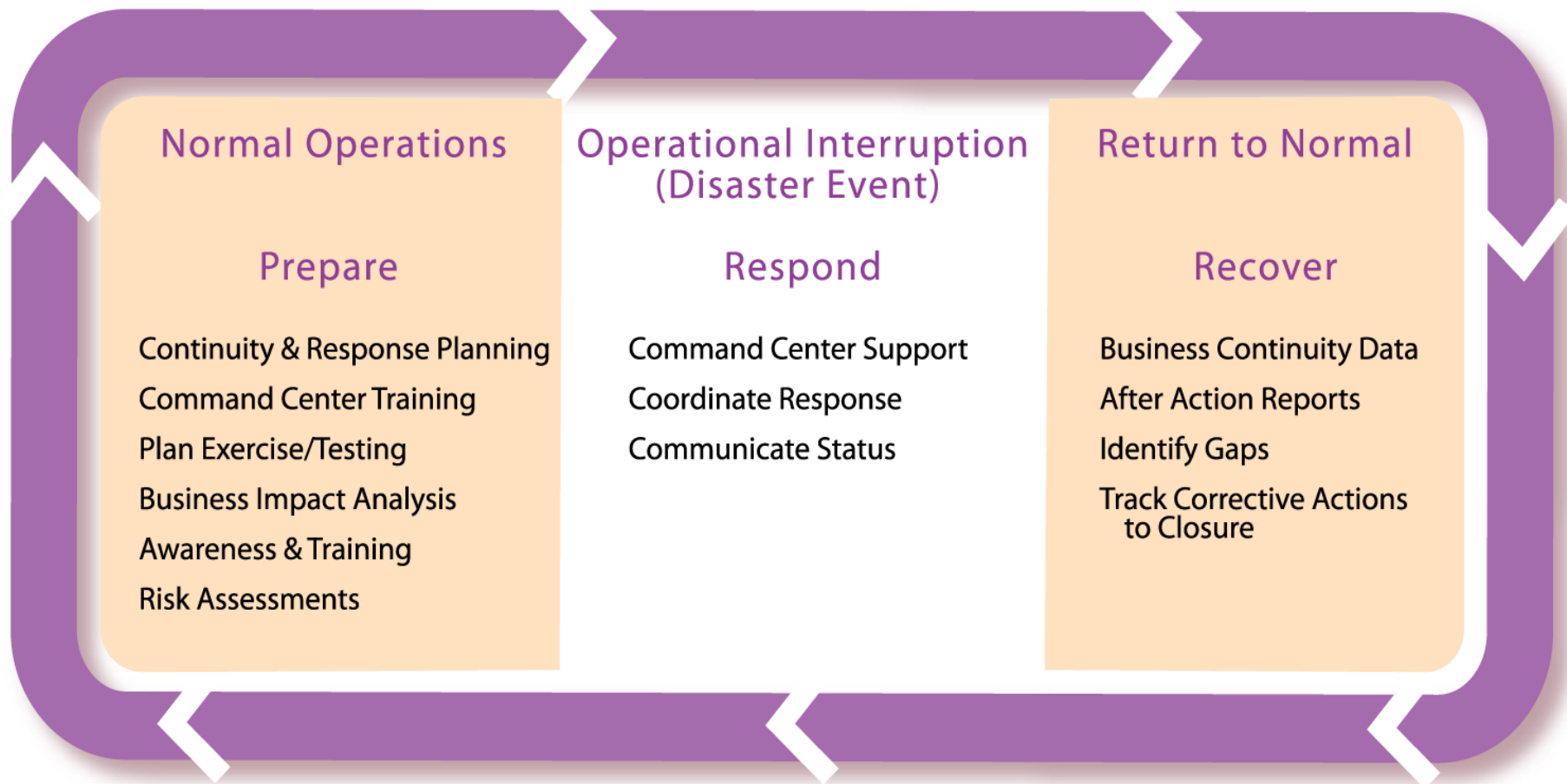
- Winston Churchill

Types of Plans

- **Business Continuity Plan (BCP)**
- **Disaster Recovery Plan (DRP)**
- **Continuity of Operation Plan (COOP)**
- **Emergency Management Plan (EMP)**
- **Crisis Management Plan (CMP)**
- **Pandemic Incident Response Plan (PIRP)**
- **Health Crisis Response Plan (HCRP)**
- **Supply Chain Interruption Plan (SCIP)**

“Ensuring Mission Critical Operations in an Unpredictable World...”

Healthcare Continuum



Share Best Practices & Lessons Learned

Your Lifelines



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