Governor's Office of Emergency Services

State of California Continuity of Operations (COOP) and Continuity of Government (COG) Program

Workshop I: COOP/COG Project and Program Management

OES CALIFORNIA

Governor's Office of Emergency Services

Agenda

- Introductions
- COOP/COG Overview & Methodology
- COOP/COG Program
- Key Concepts
- Pre-Planning Activities

What is Continuity of Operations (COOP) and Continuity of Government (COG)?

COOP – Continuity of Operations

- Capability to continue essential program functions and to preserve essential facilities, equipment and records across a broad range of potential emergencies.

COG – Continuity of Government

- Capability to ensure survivability of constitutional and democratic government and the continuity of essential government functions.

What is a COOP/COG Plan?

- A COOP/COG Plan addresses more than immediate emergency response.
- A COOP/COG Plan must also:
  - effectively coordinate and implement the resumption of operations under "non-normal" conditions;
  - Consider all departments and business functions, not just IT;
  - Achieve a timely and orderly recovery from an emergency and resume service to internal and external clients.

COOP/COG Plan Key Concepts

- Continuity of time-critical, "essential" functions is paramount – not all functions can be addressed
  - Excessive, sustained loss of necessary leadership or resources – facilities, communications, IT, people, vendors
- When a COOP/COG plan is activated:
  - Leadership and key personnel succession plans may be invoked (continuity of governance, or COG)
  - SOPs may be "stood down" via Delegation of Authority and other protocols
  - Alternate business processes are activated
    - Different sites, systems, databases, vendors
- An activated COOP/COG plan is not "business as usual"

Why Develop a COOP/COG Plan?

- Assures resumption of essential government functions within tolerable lapses if they are disrupted
  - Minimizes harm (physical, financial, psychological) to public constituencies who benefit from the services
  - Preserves trust in government
  - Reduces anxiety and stress among affected government employees and contractors
- Increases consistency of operations during normal operations

Caveat on COOP/COG Planning

Two concepts are converging on COOP/COG - and the respective terminologies may conflict!

Emergency Operations:

* Downtime is intolerable

* Continuity of Government (COG) addresses senior executive and elected positions only

* The focus is "putting out the fire" - immediate response and damage control

Contingency Planning:

* Emphasizes recovery and resumption of computer system operations (historical roots)

* Tolerance for downtime varies

* A database manager may be a key person

* The focus is "after the fire is out"

Why is COOP/COG Planning Important?

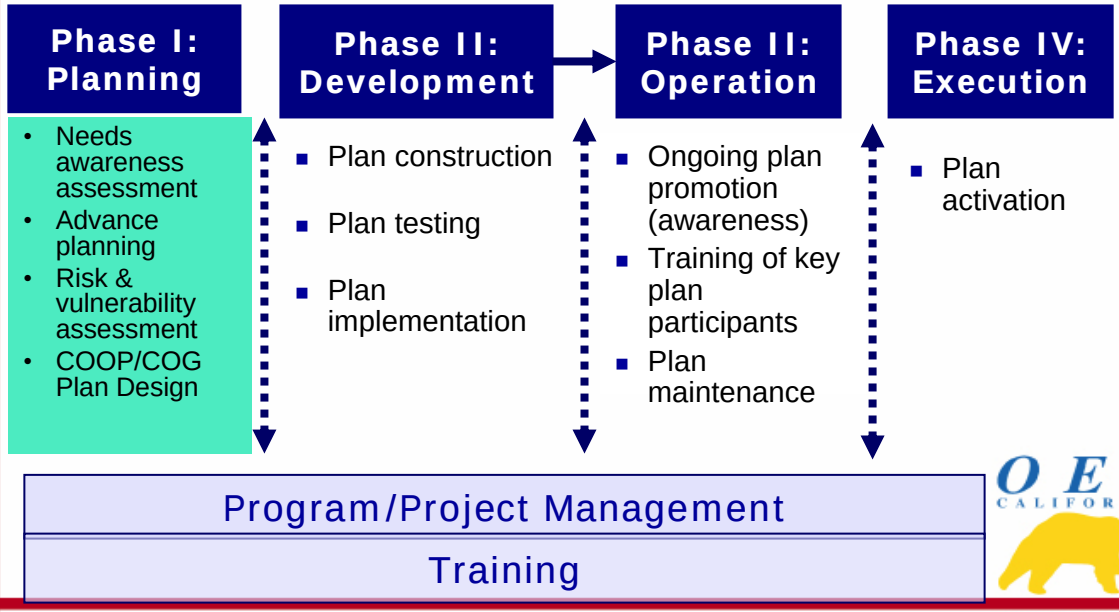
Threats to disrupt operations are very real:

Natural Hazards	Technological Hazards	Human-Caused Hazards
Flood	Hazardous Material Spill	Terrorism
Fire	Airplane Crash	Labor Strike
Earthquake	Power Outage	Sabotage
Hurricane	IT Technology Failure	Contractor Dispute
Tornado	Supply-Chain Failure	Regulatory Action
Severe Weather	Communication Outage	Civil Unrest
Public Health Emergencies, i.e. Pandemic Flu		

Risk Management Tools/Protocols

- **SOPs** - Standard Operating Procedures and standing organization for command, control, supervision address common and familiar causes of disruptions to operations
- **Emergency Operations Plan (EOP)** - Immediate response to threatening event, to minimize harm to people and operations via incidence detection, alerts, evacuations
- **Mitigation** - Minimizes exposure to possible adverse events (can be part of COOP/COG)
- **COOP/COG Plans** - Minimizes disruption to operations, especially time critical functions via anticipatory actions
- **Crisis Management** - Addressing all unanticipated and/or unplanned threatening events

COOP/COG Program Phases



Scope of a COOP/COG Plan

- Implements resumption of operations under unique ("non-normal") conditions
- Covers all critical departments and business functions--not just information technology components
- Coordinates the transition from emergency operating circumstances to normal operations
- Provides a map for the resumption of full services to clients/constituents

Scope of a COOP/COG Plan (Cont.)

- The plan may reference other existing department/agency plans such as the Operational Recovery Plan, Business Continuity Plan, and Safety and Security Plan.
- The plan should contain a level of detail sufficient to continue essential functions, however, each agency must specify that level of detail.
- Specify how the operational components of the plan will be implemented.

COOP/COG Planning Considerations

- A COOP/COG Plan:
  - Must be capable of implementation at any time—with or without warning, during duty and non-duty hours
  - Must provide full operational capability for Essential Functions no later than 12 hours after activation
  - Must sustain operations for 30 days

Key Concepts

- Recovery Time Objective (RTO)
  - The maximum tolerable interval between a disruption and the resumption of an essential service
- Sustainment Period
  - The planned duration for sustaining essential operations via temporary means
- Recovery Site
  - Alternative facility for resuming operations
  - Hot sites - Instant or immediate resumption
  - Warm sites - Delayed resumption
  - Cold sites - Much delayed resumption

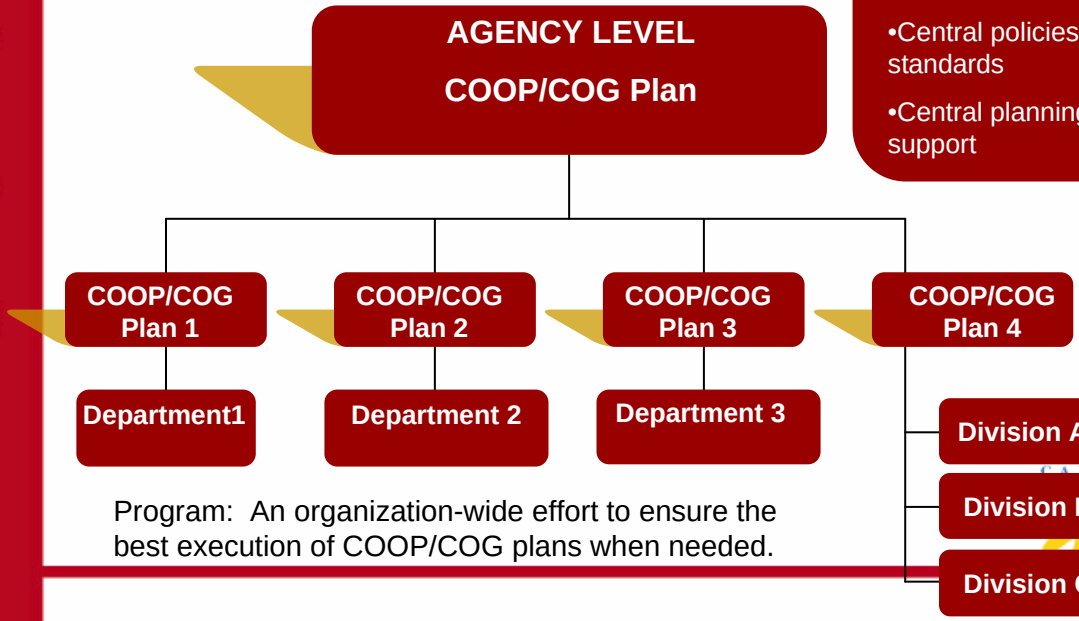
COOP/COG Plan Objectives

- The objective of a COOP/COG Plan is to:
  - Minimize disruptions to operations
  - Protect facilities, equipment, records and mitigate loss and damage to assets
  - Achieve a timely and orderly recovery from an emergency situation and resume full service

What is a COOP/COG Program?

COOP/COG Program:

- Central oversight, mission, authority
- Central policies standards
- Central planning support



Program: An organization-wide effort to ensure the best execution of COOP/COG plans when needed.

COOP/COG Program

- Provides guidance for classifying functions as essential - or not
- Identifies risk sources for common locations
- Identifies and coordinates communication and requirements for intra- and inter-agency dependencies
- Coordinates recovery strategies across divisions - and agencies
- Minimizes duplication of effort - using common templates for COOP/COG plan contents
- Adopts standard definitions

Benefits for Normal Operations

- Encourages organization-wide awareness of time-sensitive operations
- Enhances communications systems and protocols
- Supports examination of duplicative operations (both benefits and costs – avoid single points of failure, SPFs)
- Discourages inefficient practices
- Decreases the cost of operations

COOP/COG Plan Construction

Workshops and Plan Development

Workshop 1	Workshop 2	Workshop 3	Workshop 4
• COOP/COG Overview • Project Pre-Planning activities	• Essential Functions • Resource Requirements • Risk Environment	• Alternate Resources • Recovery Strategies	• Lines of Succession & Delegation of Authority • Activation and Relocation • Logistics & Recovery Procedures • Reconstitution • COOP/COG Plan Support

Key Elements of a COOP/COG Plan

- Mission
- Assumptions
- Authority and Policies
- Organization
- Concept of Operations
- Budget/Resources
- References other existing plans

COOP/COG Plan Table of Contents

Section	Content
1	Executive Summary
2	Introduction
3	Purpose and Assumptions
4	Applicability and Scope
5	Essential Functions
6	Authorities and References
7	Concept of Operations
8	COOP/COG Planning Responsibilities
9	Logistics
10	Testing, Training, and Exercises
11	Multi-Year Strategy Program Management Plan

Critical Success Factors

- Senior executive buy-in to the process
- Simple but realistic threat scenarios
- Program: consistent guidance for planning
- Planning team:
  - Hands-on engagement by owners of essential functions
  - Adequate resources: program office, department or division (function) reps

Supporting COOP/COG Plan Development

- Clear authority and mandate
- Consistent guidance
  - Policies
  - Objectives, assumptions, limitations
- Training support to the team
- Process support to the team
  - Templates
  - Help desk

Pre-Planning Activities

- Identify Planning Team
- Identify Project Objectives
- Develop Project Timeline
- Identify Critical Milestones
- Train Planning Team
- Define Plan Scope

Identify Planning Team

- **Senior Management:** planning and oversight of the COOP/COG program
- **COOP Program Manager:** coordinates agency-wide COOP/COG activities and inter-agency COOP/COG planning efforts.
- **Emergency Relocation Group (ERG) Personnel:** provide expertise, assist with training exercises
- **Non-ERG** P**ersonnel:** provide input on the execution of Essential Functions

Train the Planning Team

- Determine the current level of planning experience for team members and provide training where required.
- Ensure that all planning team members are trained in and understand:
  - SEMS/NIMS – Standardized Emergency Management System/National Incident Management System
  - ICS – Incident Command System
  - Mutual Aid
  - State Emergency Plan and National Response Plan
- Team members should understand the statutory responsibilities of their department/agency on a day-to-day basis and during an emergency.

Develop Project Timeline - Considerations

- Availability of resources to be dedicated to the project
- Familiarity by staff of continuity planning concepts
- Size and scale of the organization
- Existence of prior or current continuity plans
- Organizational and cultural impediments to efficient data collection and analysis
- Number of divisions or operating units expected to participate in the process

Identify Critical Milestones – A 10-step Process

Step	Milestone	Anticipated Completion Date
1	Establish essential functions	
2	For each essential function, identify key resources	
3	Identify basic disruption scenarios	
4	Identify serious Vulnerabilities	
5	Identify alternative resources	
6	Vet recovery strategies	
7	Design activation process	
8	Establish institutional support for plan	
9	Develop recovery procedures	
10	Test Plan	

Milestones – Final Thoughts

- Skipping a milestone leads to:
  - Confusion and poor analysis in subsequent steps
  - Wasted effort
  - Loss of morale for those with planning responsibilities
- COOP/COG planning cannot be strictly linear - but the milestones minimize "spinning wheels"

Four States of the Operational Component of a COOP/COG Plan

- **Standby** – normal conditions, team trains, plan is maintained and exercised
- **Activation** – appropriate disruption, emergency declaration
- **Activated** – alternate operations in play
- **Decommissioned** – reconstitution of normal operations and SOPs

Essential Functions = Time Critical

- All functions are valuable, but
- COOP/COG focuses on time critical ones
  - Much harm if disruptions are prolonged
  - Typical time criterion is minutes or hours
  - Less critical functions can tolerate disruptions for days or weeks
- COOP/COG addresses recovering time critical functions that won't satisfy time criterion without advance preparation

Basic Disruption Scenarios

- Facility unavailable, localized event
- Facility unavailable, region-wide event
- Loss of vital records or key databases
- Loss of a communications system/mode
- Loss of specialized equipment or systems (including computer systems)
- Loss of key vendor services (or other agency services)
- Loss of people (local or area-wide?)

Serious Risks & Disruption Scenarios

- Are all serious risks addressed by one or more disruption scenarios?
  - Necessary that risks are covered
  - Scenarios must be plausible
- Add specialized scenarios if appropriate
- Identify risks that are not contemplated or covered (Documented in COOP/COG plan scope as well as assumptions)

Essential Functions & Scenarios

- Disruption scenarios are the basis for examining the operations resiliency of essential functions:
  - If key resources are not available, what alternatives exist?
  - If alternatives do not exist, what should be put in place?
- This is a vulnerability assessment

Basic Types of Alternate Operations

- Substitutable processes
  - Example: Communications - telephone, e-mail, Web site, cell phones, fax, in-person meetings
- Build in internal backup
  - Example: regional offices cover each other or HQ
- External backup
  - Example: MOUs among labs, standby contracts with private facilities
- Re-construct process, alternative site
  - Example: third party data processing site - migrate operations (computers, networks, data, people)

Key Success Factors

- Senior executive ownership and support
- Consistent and adequate program support – minimize re-inventing wheels
- Prioritization of functions – time-critical ones only
- Detailed operational recovery plans
- Promote, train, test, and maintain

Questions ??