

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

**Workshop IV: Command and Control
and Constructing the COOP/COG Plan**



Agenda

Concept of Operations

Command and Control:

- Plan Activation – Coordination Team?
- Policies and Procedures
- Team Development

COOP/COG Plan Construction:

- Applicability and Scope, Authorities
- Concept of Operations:
- Plan Ownership
- Document organization

Promotion, Training, Testing, and Maintenance



Planning Methodology



Review from Workshop III

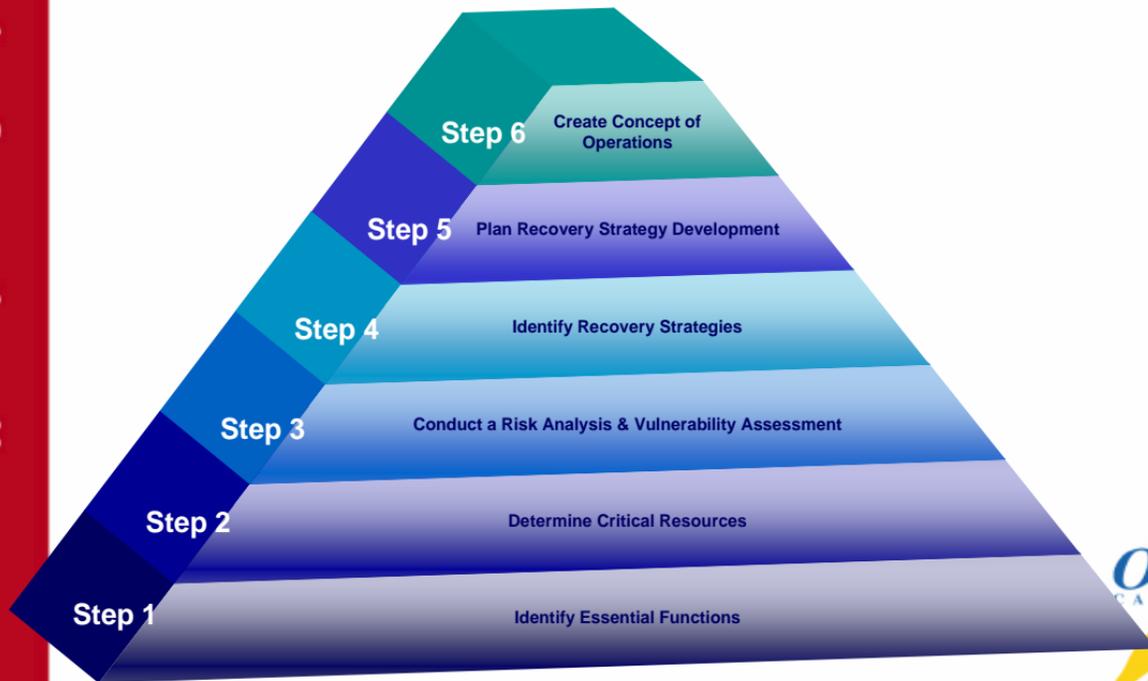
- Formulated Recovery Strategies
 - Alternate Sites
 - Alternative Personnel
 - Alternative Communications
 - Protected Vital Records and Databases
 - Alternate Systems and Equipment
 - Alternative Vendors, Agencies, or Departments



Concept of Operations



Step 6: Create Concept of Operations



Three Phases of COOP/COG Plan Operations

- Activation – of the COOP/COG plan
- Essential Function Resumption – operation under “emergency conditions”
 - Multiple stages or levels of resumption?
- Reconstitution – de-activation of COOP/COG plan



Concept of Operations

- The COOP/COG Plan includes a brief paragraph that outlines what is covered in a separate Concept of Operations document.
- The COOP/COG Plan: Concept of Operations is a separate operational document that includes specific procedures and circumstances for activating the COOP/COG Plan and potentially relocating to an alternate facility.
- Covers the who, what, where, when, and how of the activation and implementation of the COOP/COG Plan when a disruption has occurred.
- Includes only the essential operational information needed to carry out the plan and continue the essential functions.



Concept of Operations Operational Plan Contents

- Specifies the steps for how the plan is activated, who can activate it and how they are notified.
- Defines the Emergency Response Group, identified its members and their responsibilities.
- Provides for devolution – the complete transfer of command and control for the functions to another department or branch.
- Outlines the steps for how a move to the alternate facility would be carried out both during work hours and after hours.
- Employee notification and call back procedures.
- A list of required resources and vendors.
- Location, map, and driving directions to the alternate facility.



Plan Activation



Plan Activation Issues

- Who “owns” the COOP/COG Plan?
 - “Standby mode” – normal operations
 - Activated mode – emergency conditions
- Who can activate the COOP/COG Plan?
- What are the criteria for activating it?
- How is the COOP/COG Plan compartmentalized? (e.g. if the COOP/COG Plan is activated, which departments or divisions are affected?)
- What language, terms are used?



Plan Activation Process and Criteria

- Detect threat and escalate
- Damage assessment: within plan scope
 - Essential functions affected
 - Disruption likely for more than ? Hours
 - Recovery is beyond normal management capabilities
 - COOP/COG plan anticipates this type of disruption
- Damage is outside of plan scope
 - But COOP/COG plan is best alternative
- (Construct a decision tree)



Activation Language

- Activate and relocate: resume?
 - “We are activating and relocating according to COOP/COG plan B”
 - “We are in activation phase ____”
 - “We are activating to Level X condition”
- Levels of activated operation?
- Recovery
 - “We have resumed Y operations”
 - “We are operating in resumption mode”
 - “Activity Y is in resumption mode”
- Reconstitution
 - “We are reconstituting Z operations”
 - “We have reconstituted Z operations and de-activated the COOP/COG plan”
 - “We are ‘back to business as usual’ – fully reconstituted”



Alert and Notification Procedures

- Plan is activated - or not: how do you inform all stakeholders?
- Method is described in:
 - Detailed procedures are in the Concept of Operations
 - Primary and alternate communications methods.



Impact Assessment Process

- Start with key resources – which are disrupted, and therefore what essential functions are affected?
- Or – start with reports from owners of essential functions – how badly are they affected?



Applicability and Scope



Section 4: Applicability and Scope

- Types of risk scenarios contemplated
- Role of COOP/COG plan versus other plans
- Scope
 - Division, business units, and essential functions covered
 - Response Time, e.g. 24 Hour Response
 - Period of Sustainment, e.g., 30 Days
- Limitations
 - Scenarios not contemplated
 - Scenarios not covered - vulnerabilities



Applicability – Risk Scenarios

- A Local facility disruption of one Essential Function
- A Regional disruption affecting all Essential Functions
- Loss of Communications System
- Loss of Vital Records or databases
- IT System Failures
- Loss of critical (non-executive) Personnel(?)
- Loss of Senior Executives or Department Leadership



COOP/COG Versus Other Plans

- Emergency Operations Plans
- Lines of Succession
- Emergency Preparedness and Crime Prevention Plan
- Operational Recovery Plan
- Business Continuity Plan
- Business Resumption Plan



Section 6: Authorities and References

The COOP/COG Plan should include any relevant state or local statutes as well as internal policies that specify essential functions to be carried out by the agency or department under all circumstances.



Sample Language: Authorities and References

- *“COOP/COG planning ensures the continuance and uninterrupted delivery of critical services to the public, other state agencies, tenants, clients, and **{Insert Organization Name}** personnel that is necessary to enable us to comply with existing statutes, executive orders, and mandates, and other applicable laws, statutes, and regulations.”*
- *Principle document mandating the development and implementation of the COOP/COG Plans, include:*
 - *Governor Schwarzenegger's Executive Order S-04-06 requires all Executive Branch Agencies to update their Continuity of Operations/Continuity of Government plans consistent with the guidelines and submit them to the Cabinet Secretary and the Director of the Office of Emergency Services by September 30, 2006.*



COOP/COG Plan Assumptions

- Each COOP/COG Plan is set up based on a set of assumptions which, if not true, will render the plan ineffective.
- The test for a planning assumption is: will the plan fail if the assumption is not true?

Sample Assumptions:

- That the departments' Succession Policies will be followed.
- That resumption strategies will be implemented.
- That policies and procedures in other plans will remain in effect (i.e. evacuation plan)



Activated COOP/COG Plan Organization

- Emergency Response Group (ERG) or Senior Activation Team (SAT)
- Agency-wide COOP/COG Team—Leadership
- Essential Function Recovery—Division Leaders



COOP/COG Team Development



COOP/COG Plan Team Requirements

- Plan director – leader
- Points of contact (POC's) for:
 - All essential function owners
 - Major resource categories
 - Liaisons to major/key vendors
- Alternates for POC's (backups)
- Existing staff with appropriate responsibilities join the team – not new recruits or job positions
- Dedicated staff: few or none



Emergency Response Group or COOP/COG Team

- Detects potential or real threats to essential functions
- Notifies appropriate managers or COOP/COG team members
- Escalates incident to appropriate level of management authority
- Acts to protect mission-critical assets if/when COOP/COG plan is activated



Activation Transition - Organization

- Who makes the activation decision?
 - Multiple options – or single points of failure?
- Who commands the emergency response team before/after activation?
- Who commands the damage assessment team before activation?



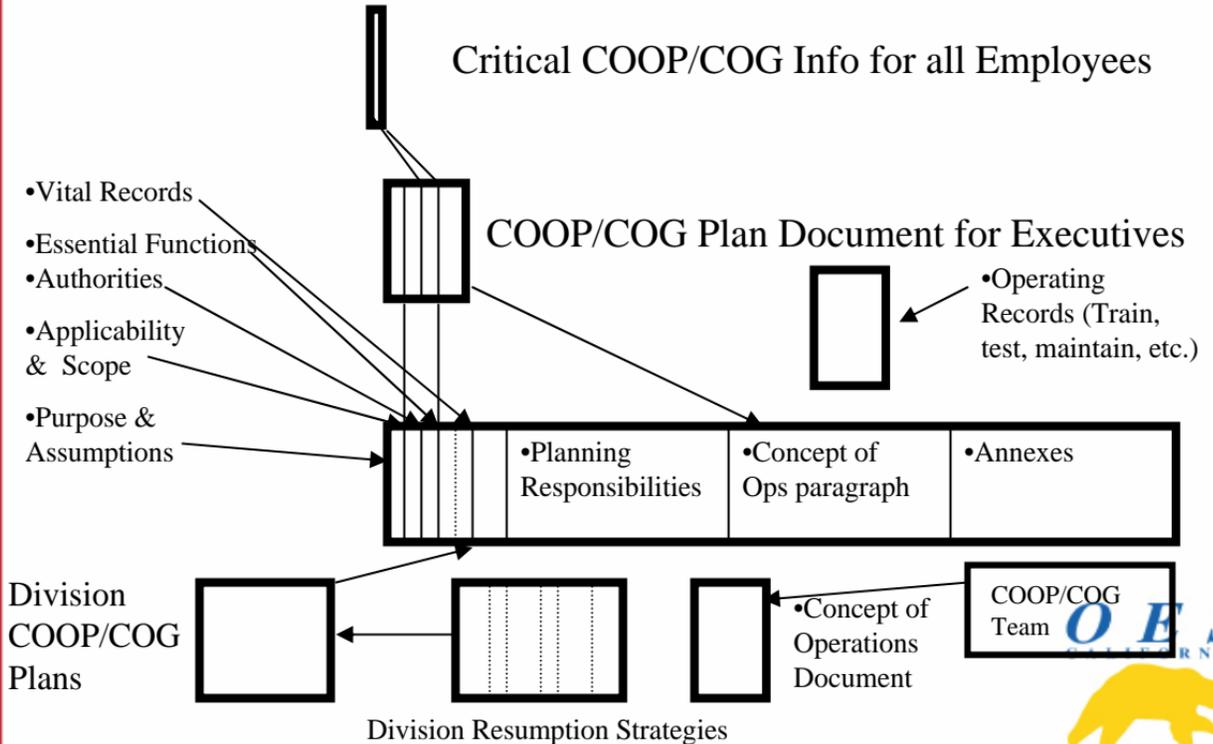
COOP/COG Plan Construction: Putting it All Together



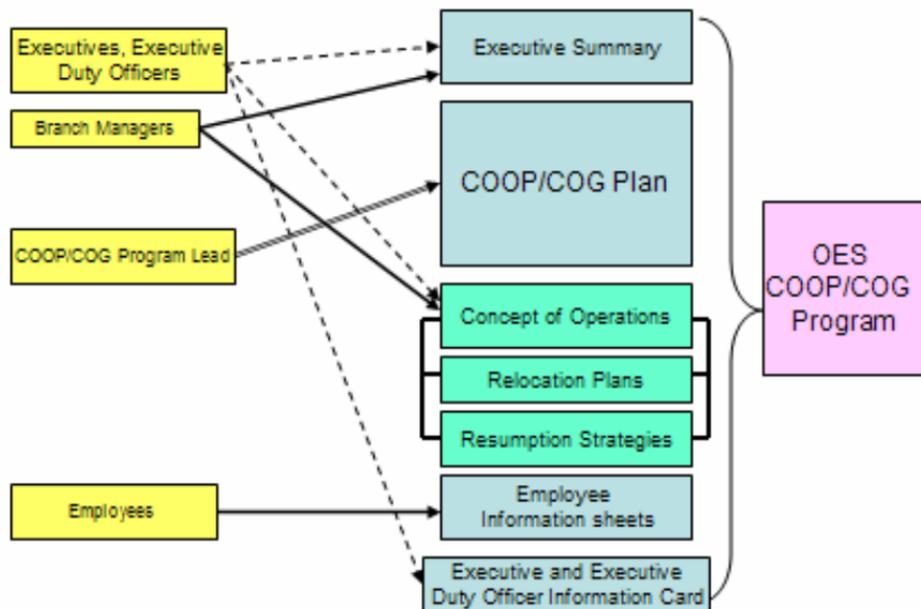
Step 7: Write Plan – COOP/COG Plan Construction



SAMPLE: COOP/COG Plan Components



SAMPLE: COOP/COG Plan Components



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



Leadership and Continuity of Government

- Succession Planning
- Delegation of Authority
- Devolution



Succession Planning

- A *Succession Policy* helps ensure Continuity of Government in the event of an emergency.
- Continued performance of operations by providing for the replacement of individuals in key positions.



Lines of Succession

- Lines of Succession to key positions are an essential part of an organization's COOP/COG plan.
- Lines should be of sufficient depth to ensure the agency's ability to perform essential functions through any emergency.
- Geographical dispersion is encouraged, consistent with the principle of providing succession to office in emergencies of all types.



Lines of Succession

- Lines of Succession should be created for Positions
 - Look at organizational chart
 - Determine key positions
 - Determine the personnel who will assume authority in the absence of the individual in that key position.



Worksheet 14: Key Positions and Lines of Succession

Essential Function	Key Position	Successor(s)



Sample Worksheet 14: Key Positions and Lines of Succession

Essential Function	Key Position	Successor(s)
<i>Recovery</i>	<i>Director</i>	1. Joe Marriott 2. James Kitch 3. Alice Hoverty
<i>Recovery</i>	<i>Deputy Director—Homeland Security</i>	1. Max Jones 2. Jay Mahoney
<i>Recovery</i>	<i>Deputy Director—Emergency Management</i>	1. Kevin Smith 2. Joe James
<i>Response</i>	<i>Database Manager</i>	<i>Karl Foreman</i>
<i>Response</i>	<i>Head of Security</i>	<i>Missy Jones</i>



Delegation of Authority

- Delegation of authority recognizes that operations under an activated COOP/COG plan are not “business as usual”
- Some standard operating procedures (SOPs) may be “stood down”
- Some positions may be assigned additional authority
 - Ability to procure goods/services
 - Ability to assign personnel



Types of Authority that may be Delegated

- Emergency Authority
 - Generally only lasts as long as the emergency exists.
 - An individual with emergency authority may only make limited decisions, as necessitated by the emergency.
- Administrative Authority
 - Delegation of administrative authority must comply with laws and regulations governing the agency.
 - Delegation of administrative authority may be extended to middle level management, or non-management employees, as long as such delegation is allowed under the law.



Steps for Delegating Authority

1. Specify the authorities that should be delegated
2. Describe circumstances that trigger delegation of authority
3. Identify limitations on the delegation of authority
4. Provide adequate documentation of delegations of authority
5. Ensure that officials are trained to perform the duties delegated to them



Worksheet 15: Delegation of Authority

Authority	Type of Authority	Position(s) Holding Authority	Triggering Conditions	Limitations on Delegation



Sample Worksheet 15: Delegation of Authority

Authority	Type of Authority	Position(s) Holding Authority	Triggering Conditions	Limitations on Delegation
<i>Close the Office</i>	<i>Emergency authority</i>	<i>Office Manager</i>	<i>When conditions make coming to or remaining in the office unsafe for staff and customers.</i>	<i>Only delegate in life threatening situations.</i>
<i>Authorization of emergency expenditures</i>	<i>Emergency Authority</i>	<i>CFO or Agency Head</i>	<i>When the agency head or designated official has declared an official emergency.</i>	<i>Do not delegate expenditures of over \$200,000.</i>



Devolution

- Devolution is defined as a major loss of senior executives and leadership that requires a complete transfer of command and control of all essential functions to another location.
- If the department or agency (or division) suffers a significant loss of management capacity, what alternatives are feasible for re-assigning functional responsibilities to another agency?
- Devolution recognizes that one or more departments within an agency may experience sufficient loss of personnel from a disaster, at the administrative or operational level, that resuming essential functions is not possible unless the responsibilities for these functions are transferred to agencies or departments outside of the normal organization structure. This section of the Plan outlines the concept of operations the premise and procedures - for transferring authority.



Reconstitution

Reconstitution is a time phased approach of resuming normal operations after a disruption.

Reconstitution is:

- The process of returning personnel and operations back to its primary or new facility.
- Needed any time operations are moved from the primary facility for any period of time.
- May be employed when a temporary suspension of non-essential functions is required.

A reconstitution plan should contain procedures necessary to affect a smooth transition from the relocation site, whether standard COOP/COG or devolution scenario, to a new or restored primary facility.



Review of Recovery Strategies

- Purpose of Review
 - Avoid conflicts among departments or divisions
 - Identify co-dependencies
 - Look for actions or operations that can be combined
- Discuss recovery strategies



Capturing Recovery Strategies in the COOP/COG Plan

- Descriptions of the Resumption Strategies for each Division should be located in an Annex to the COOP/COG Plan.
- Recovery Strategies require:
 - Identification of Recovery Team members
 - Identification of key resources, especially those provided by external sources
- They may also make reference to other formal recovery plans (e.g. existing disaster recovery plans for IT systems).



Section 8: COOP/COG Planning – Who Owns it Long Term?

- Section 8 identifies where the day to day operations of COOP/COG planning and operations reside.
- Those who command the plan during activation are not necessarily responsible for normal operations
 - Improving recovery strategies
 - Promotion and awareness
 - Training, testing, exercising
 - Maintenance



Section 9: Logistics Review

- Section 9 of the COOP/COG Plan should contain information about recovery logistics requirements.
 - Space Requirements
 - Human Support Requirements (food provisions, sleeping arrangements, transportation, etc.)
- Worksheets 6,7 and 11 support this need.
- References to MOU's, Provisioning Contracts go here, with the actual documents housed in annexes.



Necessary Resources for Alternate Locations

- Section IX of the COOP/COG Plan should contain lists of Necessary Resources.
- Worksheets 3, 4, 5, 7 and 8 are a good starting point for capturing this information.
- More detailed lists may already exist in other recovery plans and could be referenced.



Worksheet 1 Supplement: Essential Function/Critical Activity Process Details

- Department/Division: _____
- Function/Activity: _____
- Recipients (Who is Served?): _____
- Operations Schedule/Volume: _____

Stage or Step No.	Brief Name	Process Description Notes	Key Policy, Procedure, or Performance Issues	COOP Process Variations: Notes



Worksheet 16: Essential Function/Critical Activity Recovery Procedures

•Department/Division: _____

•Function/Activity: _____

Stage/ Step No.	Brief Name	Process Description Notes	Staff Position Who Normally Leads	Predecessor Task Dependencies	Successor Task Dependencies



Functional Resource Requirements

- COOP/COG Plan link to Senior Executive Office
- COOP/COG Planning Director - Leadership
- Incidence detection, response, and plan activation coordination
- Coordination of regional and headquarters plans and/or plan components
- Promoting and publishing the plan
- Team training, testing, and plan exercising
- Maintenance of plan documents



COOP/COG Plan Responsibility Issues

- Placement level – too low in the organization, and effort is unsuccessful
 - Lack of executive authority
 - Lack of resources
- Substance – recovering physical processes vs administrative processes
- Prominence of public emergency response capabilities
- Location of normal operating risk management



Section 11: Multi-Year Program Management Plan

- Inventory COOP/COG Plan deficiencies and draft multi-year program “project” plan:
 - Flag serious operational vulnerabilities
 - Inconsistencies in recovery plans
 - Low “readiness” levels of COOP/COG teams
 - Inadequate testing of key components
 - Poor awareness throughout divisions
 - Lack of measurements of plan quality
 - Poor links with key vendors



COOP/COG Plan Success Factors

1. Leadership involvement
2. Awareness by all stakeholders
3. Recovery structure: logic, effectiveness, consistency
4. Pervasiveness across divisions, branches, sections
5. Measurement: recovery times, training, testing, exercise experience and sophistication
6. Resource commitment
7. External coordination – vendors and other key stakeholders



Role of Annexes

- Background or highly detailed material
 - Essential function lists
 - Location and evacuation maps
 - Re-location maps and directions
 - Resumption Strategies
 - Contracts for services – activated plan(s)



Training, Testing, and Exercises



Training All Stakeholders

- Non-team member involvement
 - Employees
 - Contract employees
 - Consultants
 - Vendors (non-critical)
 - Customers – recipients of services
- What do they know about your plan?
- What should they know about your plan?
- Plan promotion and awareness addresses these questions



Good Training/Testing Practices

- Train before you test
 - Formal review and instruction in the plan
 - Table top “exercises” to familiarize team members with their roles: “what if” scenarios
- Tests
 - Establish goals for tests – should reflect logic and structure of the plan, search for failure points
 - Test components before testing larger plan elements
 - Employ tabletop exercises before simulating events
 - Don't repeat disruption scenarios
 - Plan tests carefully
 - After action reports capture lessons learned



Types of Tests

- Table top “scenario playing”
 - Relatively low cost
 - Not real time: reduces team commitment time
 - More readily addresses multiple types of disruptions
- Audits: spontaneous checking of preparedness
 - Training of team members
 - Availability of key resources (call lists, passwords, keys to locks, combinations to locks, access to action lists)
 - Currency of contact lists
- Component tests
 - Availability of alternate resources
 - Functioning of key plan elements
 - Activation sequences
 - Alert procedures
 - Capacity – load requirements
- Scenario simulations – “live fire”



Maintenance



Plan Maintenance

- Organizations evolve and change at a rate of 5 – 20 percent per year
 - New hires, retirements, promotions
 - Process improvements
 - New customers
 - New vendors, contractors, consultants
 - Different communications systems, computer software
- A maintenance plan is necessary to assure currency
 - Team member names and contact information
 - Critical resource requirements
 - Essential functions and key activities or processes
- Maintenance plans should include both
 - Scheduled, periodic reviews of documents and team preparedness
 - Event-driven actions where appropriate



Protection of Government Resources, Facilities, & Personnel



Personnel Resource Considerations

- Disrupted functions because of facilities, communications, vendors, or computers
 - HR guidance for non-critical:
 - Employees
 - Contract employees
 - Consultants
 - HR guidance for critical (linked to essential functions):
 - Employees
 - Contract employees
 - Consultants
- Leave; uncompensated time off; overtime; expectations for performance; willingness to be re-assigned



Finalizing the COOP/COG Plan

- Completion of plan documents
- Approval of plan contents
 - Recovery strategies
 - Organization structure – day to day
 - Activation structure
- Specify document security controls
- Develop/implement response capabilities
- Recruit and train team
- Promote, test, exercise



COOP/COG Becomes the Culture

- COOP/COG plans are
 - Formal documents
 - Awareness by everyone of how to respond, and why
 - Training and expertise by COOP/COG Plan team members about their roles and responsibilities when a plan is activated
- COOP/COG program is a key instrument for risk management
- COOP/COG plans evolve in maturity via experience: training, testing, changing operations



Questions ??

