

Continuity of Operations (COOP)



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Continuity of Operations is:

- ▶ Continuity of Operations is an effort within individual organizations to ensure that essential functions continue to be performed during a wide range of emergencies, including:
 - ▶ Localized acts of nature
 - ▶ Accidents
 - ▶ Technical or attack-related emergencies



Legal Basis

COOP

- ▶ Continuity of Operations is a Federal Initiative, required by Presidential Directive, to ensure that agencies are able to continue performance of essential functions under a broad range of circumstances.



LAWS

- ▶ The National Continuity Policy (NSPD 51/HSPD 20)
 - ▶ Specifies the continued performance of essential Federal functions under all conditions
- ▶ Federal Continuity Directive (FCD) 1
 - ▶ Provides direction to Federal agencies for developing continuity plans

Continuity Planning Guidance

- ▶ Continuity Planning is a fundamental responsibility for both public and private entities to ensure continuity of the functions that customers depend on.
- ▶ Today's changing threat environment has increased the need for continuity capabilities and plans at all levels of the government and within the private sector.



Purpose of a Continuity Plan

- ▶ When an organization is faced with a continuity event, the continuity plan will:
- ▶ Provide for continuation of essential functions
- ▶ Enable a rapid response to any emergency situation
- ▶ The continuity plan documents:
- ▶ **What** will occur in a continuity situation
- ▶ **How** and **how quickly** continuity actions must occur
- ▶ **Where** continuity operations will occur
- ▶ **Who** will participate in continuity operations



Continuity Planning Team

- ▶ Ensure continued performance of essential functions
- ▶ Minimize damage and loss to critical processes
- ▶ Ensure succession if agency leadership is disrupted
- ▶ Protect essential facilities and resources
- ▶ Achieve a timely and orderly recovery
- ▶ Resume full service to customers
- ▶ Maintain a test, training and exercise program



Partnerships



▶ Most case studies show that prior relationship building and stakeholder engagement *pre-disaster* have increased response and recovery efforts *post-disaster*.



Phases of Continuity

► Phase I: Readiness and Preparedness

- ID Essential Functions
- Develop COOP Plan
- ID all resources needed for continuity operations
- Conduct tests, training, and exercises

► Phase II: Activation and Relocation (0-12 hrs)

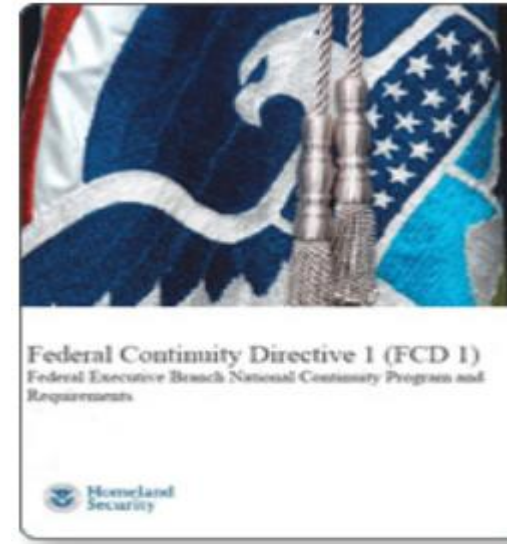
- Primary and continuity facilities are inaccessible
- Key personnel are incapacitated or otherwise able to perform continuity functions

► Phase III: Continuity of Operations (12 hrs - 30 days, or until resumption of normal operations)

- Reception, in-processing, and accounting for personnel
- Guidance, ID replacement personnel
- Execution of essential functions at continuity facility
- Activation of processes to acquire resources needed to sustain operations
- Notification of customers and stakeholders
- Redeployment plans for return to primary facility

► Phase IV: Reconstitution (recovery, mitigation, and termination)

- Restore operations to primary facility
- After-Action Report and Corrective Action Plan



Continuity Planning Process

Information Technology



Human Resources



Facilities Management

Facility Management



Procurement and
Acquisition



Public Information



Legal



Security



10 Key elements of a viable continuity program:

- Essential functions
- Orders of succession
- Delegations of authority
- Continuity facilities
- Continuity communications
- Essential records management
- Human Resources
- Tests, training, and exercise
- Devolution of control and direction
- Reconstitution operations



The COOP Planning Team initially meets to establish criteria that becomes the basis for the planning process.

Items that need to be identified include:

- ▶ Major tasks to be completed
- ▶ Milestones for completion of each major task
- ▶ Expectations for the continuity plan
- ▶ Success criteria for the continuity plan

Valid Success criteria is:

- ▶ Measurable, so that it is known when objectives are met
- ▶ Testable, so that tests, training, and exercises can be held.



National Incident Management System (NIMS)

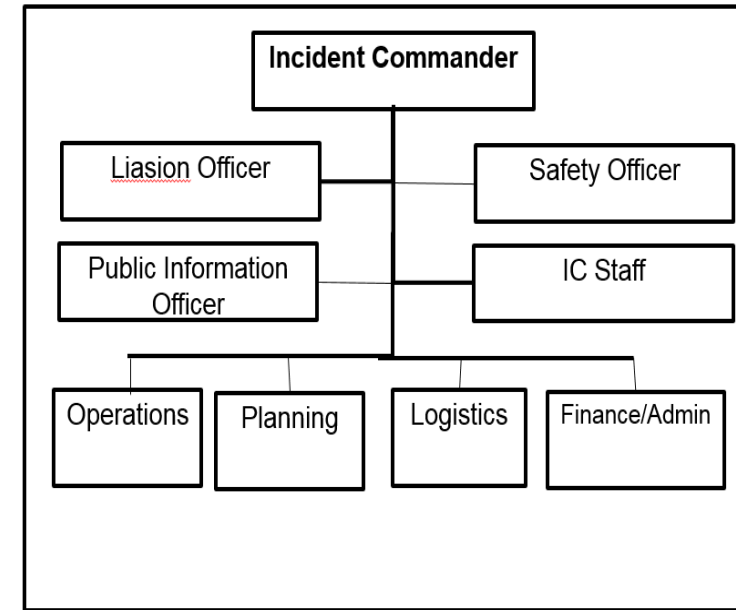


- ▶ **National Incident Management System (NIMS)** provides whole community partners with shared vocabulary, systems, and processes to help successfully deliver the core capabilities. (US Dept of Homeland Security)

Incident Command System

Standardized approach to incident management:

- Enables a **coordinated response** among various jurisdictions and agencies
- Establishes **common processes** for planning and managing resources operating within a common organizational structure
- Allows for the **integration** of facilities, equipment, personnel, procedures, and communications



Emergency Relocation Group

ERG Members are responsible for:

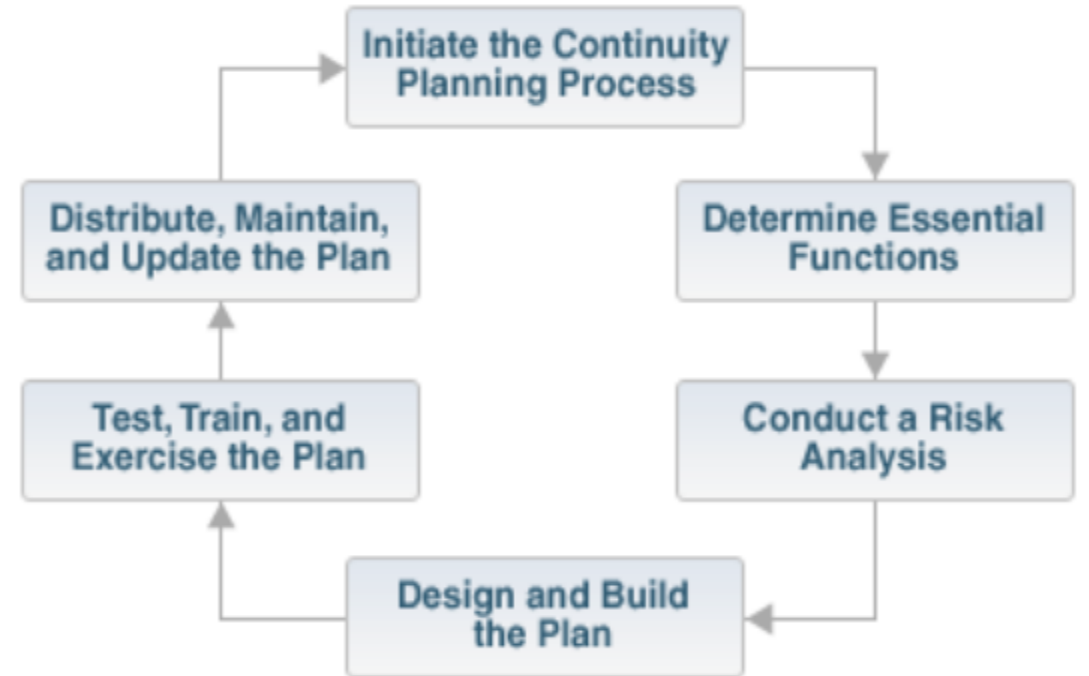
- ▶ Participating in tests, training and exercises
- ▶ Preparing go kits that contain all of the information, supplies and materials needed for continuity plan activation
- ▶ Ensuring that the employees and their families are prepared
- ▶ Reporting to the continuity facility or assigned work area when plan is activated.
- ▶ Fire Plan, Building Annex, etc.



Continuity planning model

The continuity planning model represents a continual process for developing, validating, and refining a continuity plan. Through the six steps of the planning process, the continuity planning team:

- Identifies essential functions that must be performed.
- Analyzes and prioritizes potential hazards.
- Designs and builds the continuity plan.
- Tests, trains, and exercises the functions identified in the plan.
- Distributes and maintains the continuity plan.



Training and Exercises



Type of Exercise	Utility/Purpose	Type of Player Action	Duration	Real-Time Play?	Scope
Discussion-Based	To familiarize players with current plans, policies, agreements, and procedures; develop new plans, policies, agreements, and procedures	Notional; player actions are imaginary or hypothetical	Rarely exceeds 8 hours	No	Varies
Seminar	To provide an overview of new or current plans, resources, strategies, concepts, or ideas	N/A	2-5 hours	No	Multi- or single agency
Workshop	To achieve a specific goal or build a product (e.g., exercise objectives, SOPs, policies, or plans)	N/A	3-8 hours	No	Multiagency or multiple functions
Tabletop Exercise	To assist senior officials in the ability to understand and assess plans, policies, procedures, and concepts	Notional	4-8 hours	No	Multiagency or multiple functions



Game	To explore decisionmaking processes and examine the consequences of those decisions	Notional	2-5 hours	No (some simulations provide real- or near real-time play)	Multiagency or multiple functions
Operations-Based	Test and validate plans, policies, agreements, and procedures; clarify roles and responsibilities; identify resource gaps	Actual; player action mimics reaction, response, mobilization, and commitment of personnel and resources	May be hours, days, or weeks depending on purpose, type, and scope	Yes	Varies
Drill	Test a single operation or function	Actual	2-4 hours	Yes	Single agency or function
Functional Exercise	Test and evaluate capabilities, functions, plans, and staffs of Incident Command, Unified Command, Intel centers, or other command/operations centers	Command staff actions are actual; movement of other personnel, equipment, or adversaries is simulated	4-8 hours or several days or weeks	Yes	Multiple functional areas/multiple functions
Full-Scale Exercise	Implement and analyze plans, policies, procedures, and cooperative agreements developed in previous exercises	Actual	One full day or longer	Yes	Multiple agencies or multiple functions

After Action Report.

The purpose of an After Action Report (AAR) is to analyze the management or response to an incident, exercise or event by identifying strengths to be maintained and built upon, as well as identifying potential areas of improvement.

"The road to success and the road to failure are almost exactly the same."

-- Colin R. Davis

The road to success is always under construction:



Communication Plan and Emergency Preparedness

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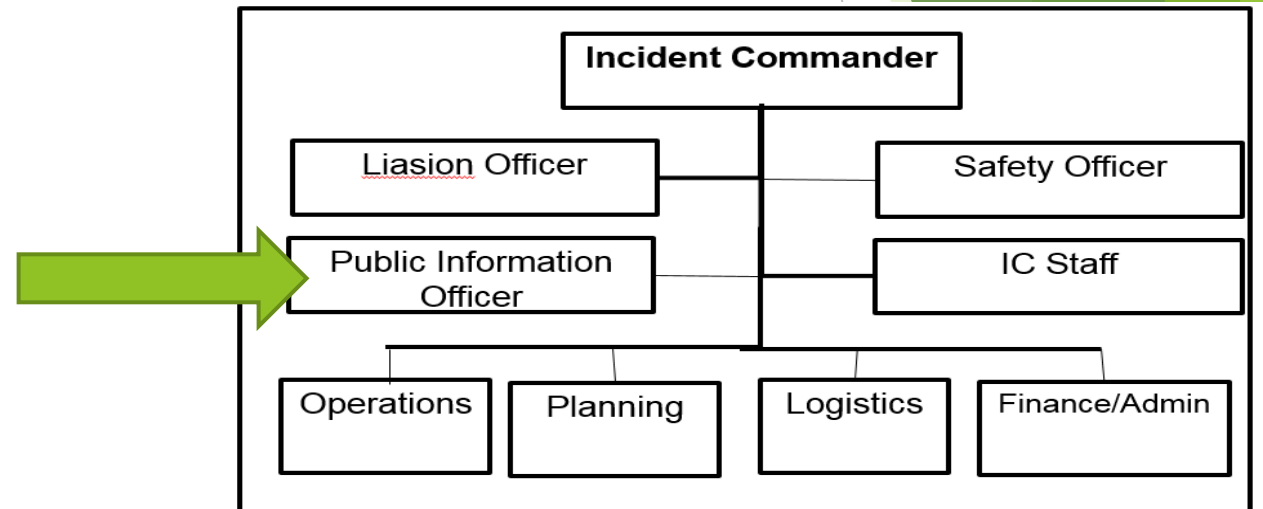
Importance of Communication Plan

- ▶ Prepares Organizational Leadership
- ▶ Empowers Staff
- ▶ Helps to preserve life and property
- ▶ Lack of preparedness equals:
 - ▶ Slow and inadequate response
 - ▶ Unnecessary harm/stress on staff
 - ▶ Uniformed stakeholders
 - ▶ Rumors
 - ▶ Untimely conclusion



Emergency Preparedness requires a Communication Plan

- ▶ Essential for successful communications with internal and external stakeholders.
 - ▶ Daily
 - ▶ During a crisis
- ▶ Purpose of the communication plan:
 - ▶ Build trust
 - ▶ Disseminate accurate, timely information
 - ▶ Minimize rumors
 - ▶ Inform and instruct staff, residents, stakeholders, emergency responders, public
 - ▶ Minimize fear
 - ▶ Encourage the adoption of appropriate actions by individuals



Communication:

Daily VS. During a Crisis

► Daily:

- Brochures
- Flyers
- Advertisements
- Intranet
- Social media
- Website

► During a Crisis:

- Phone Conference
- Press Release
- Interview with Media
- Email
- In-facility briefing
- Social media
- Website



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The Communication Plan DURING A CRISIS

▶ 1. Form a Team

- ▶ Depending on the crisis, this can be a person or a team of people.
 - ▶ Training and Practice are needed for this role.

▶ 2. Plan Ahead

- ▶ Emergency Response Plan to include Communication Plan
 - ▶ Spokesperson
 - ▶ Pre-existing template materials
 - ▶ Updated list of staff
- ▶ Educate staff on emergency preparedness plan

▶ 3. Know the Stakeholders

- ▶ First responders
- ▶ Utility companies
- ▶ Staff/Families
- ▶ News Media
- ▶ Regulators (local/state/federal)
- ▶ Corporate management
- ▶ Evacuation sites



HEALTH DISTRICT

The Communication Plan DURING A CRISIS

- ▶ 4. Know How to Contact Stakeholders
 - ▶ Keep duplicate copies of contact information
 - ▶ Hard copy
 - ▶ Cloud based
- ▶ 5. Communication Channels
 - ▶ Press release
 - ▶ Press conference
 - ▶ Telephone
 - ▶ Email
 - ▶ In-facility briefing
 - ▶ Social media
 - ▶ Website
- ▶ 6. Honor Confidentiality
 - ▶ HIPAA Compliance
 - ▶ Employment Law
 - ▶ Remind Staff NOT to speculate or discuss the event/situation outside the facility.



THANK YOU!

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