

Helping Your Agencies Develop Continuity of Operations Plans

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Objectives

- ☞ Upon completion of this course participants will:
 - ☞ Recognize the importance of a Continuity of Operations Plan (COOP)
 - ☞ List possible scenarios when a COOP may need to be enacted
 - ☞ Understand the elements of an effective COOP
 - ☞ Recognize the state's role in assisting agencies in developing a COOP

Instructor Information

❧ Karen C. Owens

❧ Emergency Operations Manager

❧ Firefighter/EMT-Intermediate

❧ Masters Public Safety Leadership

❧ Christopher Newport University

“Church Hill EMS closes doors,
Hawkins County EMS taking over”,
8/24/16

“Tri-cities medical crew could be
forced to shut down by October”,
2016

“Richmond fire station closed
due to possible mold”,
08/29/16

“Gloucester Township EMS
Alliance Shut Down”,
07/02/12

“Major ambulance service shuts down
without notice in six states”, 12/10/13

“Welcome Fire Department treasurer
charged with embezzlement”, 02/09/16

“911 service unavailable for almost
a week in Mitchell County”,
12/09/15

Why Is Continuity Planning Important?

- ❧ Community expectation
- ❧ Resilient agencies can respond
- ❧ Resources for recovery

Emergency Plan vs. Continuity Plan

❧ Emergency Plans

- ❧ Every day activities
- ❧ Mission essential functions
- ❧ May be agency, jurisdictional, or regional

❧ Continuity Plan

- ❧ Agency specific
- ❧ Not utilized daily

Continuity Plan

A continuity plan is written to ...“help ensure the continued performance of essential services during a wide range of potential emergencies by understanding and prioritizing services provided by your agency”

--UNC Center for Public Health

Why Do Agencies Need a Plan?

- ❧ Ensure they can continue mission essential functions
- ❧ Assist in recovery from various events:
 - ❧ Natural Disaster (flood, earthquake, etc)
 - ❧ Fire
 - ❧ Financial emergencies
 - ❧ Staffing emergencies
- ❧ Provides guidance for operating during the event

Planning Considerations

Phases of Continuity

- ❧ Phase I – Readiness and Preparedness

- ❧ Phase II – Activation and Relocation
 - ❧ 0-12 hours

- ❧ Phase III – Continuity Operations
 - ❧ 12 hours – 30 days
 - ❧ Or until resumption of normal operations

- ❧ Phase IV – Reconstitution
 - ❧ Recovery
 - ❧ Mitigation
 - ❧ Termination

Conduct A Risk Assessment

- ❧ What risks are possible?
 - ❧ Natural
 - ❧ Manmade
 - ❧ Financial
 - ❧ Others
- ❧ Just because it has not happened does not mean it will not happen!

Identify Your Risk

- ☞ Identify each hazard
- ☞ Weigh and compare risks of the hazards
- ☞ Profile hazards and determine potential consequences

Risk Factors



∞ Probability

∞ Risk

∞ Preparedness



EMS Agency Risk Analysis and Preparedness Worksheet:

This document is an overall evaluation of an agencies probability, risk, and preparedness based on potential events and circumstances.

Probability is the likelihood of an event impacting the agency. Risk is the potential for exposure to loss, which can be determined by using either qualitative or quantitative measures.

Preparedness is the degree to which the agency could withstand the event or problem and continue to do the agency mission.

In making decisions for your agency it may be helpful to review the Hazard Analysis developed for the jurisdiction in which your agency resides. This document can tell you about possible hazards from flooding, transportation, hazardous materials, etc.

Event	Probability			Risk			Preparedness		
	High	Medium	Low	High	Medium	Low	High	Medium	Low
Natural Events									
• Severe Storm									
• Flooding (coastal/tidal)									
• Ice Storm									
• Snow fall									
• Wild Fire									
• Hurricane									
• Tornado									
• Earthquake									
• Temperature Extremes									
• Pandemic/Epidemic									
• (other)									
• (other)									
• (other)									
• (other)									
Technological Events									
• Unavailability of medical supplies									
• Utility failure									
o Electrical power									
o Potable water/sewer									
o Natural gas									
• Generator failure									
• Communications Failure									
• Internal Fire									
• Internal Flooding									
• Disruption in supply of									

diesel fuel									
• Information Systems Failure									
• Inability to replace or repair equipment									
• Structure Damage									
• (other)									
• (other)									
• (other)									
• (other)									
Human Events									
• Bomb Threat									
• Structural Damage									
• Lack of Personnel									
• Terrorism									
o Biological									
o Nuclear									
o Radiological									
o Chemical									
• Civil Disturbances									
• (other)									
• (other)									
• (other)									
• (other)									

Probability: The likelihood of occurrence. It is generally part objective and part statistical. It can also include elements that are intuitive or highly subjective. Issues to consider for probability include, but are not limited to known risks, historical data, and manufacture/vendor statistics. (H-within 5 years, M-within 25 years, L-within 50 years)

Risk: The potential impact the incident may have on your organization. Issues to consider for risk include, but are not limited to threat to life and/or health, disruption of services, damage/failure possibilities, loss of community trust, financial impact, and legal issues. (H-Over 30 days, M-up to 30 days, L-24 hours or less)

Preparedness: The current readiness of the organization to manage the incident. This includes mitigation measures (those likely to prevent the incident's occurrence, or minimize the impact if it did occur). Issues to consider for preparedness include, but are not limited to status of current plan, training status, insurance, availability of back-up systems, and community resources. (H-fully prepared, M-somewhat prepared, L-unprepared)

Writing Your Plan

Four Pillars of Functioning

❧ Leadership

❧ Staff

❧ Facilities

❧ Communication systems

Elements of a Basic Plan

- ❧ Essential functions
- ❧ Order of succession
- ❧ Delegation of Authority for critical positions and decisions
- ❧ Continuity of facilities and equipment
- ❧ Continuity communications
- ❧ Essential records management
- ❧ Human Resources
- ❧ Testing, Training, and Exercise Program
- ❧ Devolution of Control and Direction
- ❧ Reconstitution of the organization/station

Essential Functions

- ❧ Business functions that must continue with minimal or no interruption
 - ❧ Resume within 12-hours
- ❧ Establish planning parameters that drive agency efforts in all other areas

Order of Succession

- ❧ Enable an orderly & predefined transition of leadership
 - ❧ May be prescribed by statute

- ❧ Enacted if leaders are incapacitated or otherwise unavailable

Delegation of Authority

- ❧ Provides legal authorization to act on behalf of Agency Head or other officials
 - ❧ Includes limitations, conditions, and restrictions of certain positions
- ❧ Frequently tied to specific positions
 - ❧ Should include those included in order of succession

Continuity Facilities

- ❧ Includes all facilities where essential functions are continued or resumed during an event
- ❧ Three types of facilities
 - ❧ Hot Site
 - ❧ Warm Site
 - ❧ Cold Site
- ❧ Alternate work arrangements
 - ❧ Telework
 - ❧ Mobile Work Concepts

Continuity Communications

- ⌘ Robust and effective communications are key
- ⌘ Must support full connectivity among key personnel
 - ⌘ Internal Communications
 - ⌘ External Communications
- ⌘ Communicate early and often

Essential Records Management

- ❧ Access to and use of records and systems enable performance of essential functions
- ❧ Plan needs to include:
 - ❧ Identification
 - ❧ Protection
 - ❧ Availability
- ❧ Essential Records Categories:
 - ❧ Emergency Operations Records
 - ❧ Rights and Interests Records

Human Resources

- ❧ Continuity personnel predetermined and appropriately trained
- ❧ Support for those not involved in continuity operations
- ❧ Documentation of alternate work plans (i.e. telework)

Testing, Training & Exercise

- ❧ Train staff to become familiar with the plan
- ❧ Tests and exercises assess and validate components
- ❧ Test full plan or components of the plan annually
 - ❧ Develop Corrective Action Plan as needed

Devolution of Control & Direction

- ✧ Addresses movement of essential functions to alternate site personnel
- ✧ Staffed by personnel identified to conduct Essential Functions
- ✧ Plans should be all-hazard

Reconstitution

- ⌘ Resumption of normal operations from the original or replacement primary operating facility
- ⌘ Includes actions to resume non-essential functions
- ⌘ Transition back to primary facilities (or replacement facilities)

How Can The State Help?

☞ Training

- ☞ Importance of planning
- ☞ Exercise development

☞ Resource Support

- ☞ Planning templates
- ☞ Vulnerability assessment worksheets
- ☞ Mission essential identification

Additional Resources

❧ FEMA: Policy, Plans, and Evaluation Division (PPED)

❧ <https://www.fema.gov/continuity-operations>

❧ Essential Records Plan Template

❧ <https://www.fema.gov/media-library-data/1403723708235-8739cde2b1a3542c3b40c7481886c620/Essential%20Records%20Plan%20Packet%202014.pdf>

❧ Non-Federal Agency Plan Template

❧ <https://www.fema.gov/media-library-data/1389194323803-5d98dd1ec9f3af8ad15774b74a92bba5/Non-Federal%20Continuity%20Plan%20Template.pdf>

Questions?

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