


Focused Continuity of Operations Planning



Andrew C. Rucks, PhD
Peter M. Ginter, PhD
W. Jack Duncan, PhD.

UAB SCHOOL OF PUBLIC HEALTH
Knowledge That Makes a Difference





Concept of the Presentation

- I. Session Set-up
 - Origins of fCOOP
 - fCOOP Logistics
- II. fCOOP Process
- III. Summary

TEAMWORK



SESSION SET-UP

Origins of fCOOP

fCOOP Logistics

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Planning Difficulties

- Plans often take far too long to develop, are too complex, and have far too much detail.
- Planning participants get bogged down in the process and detail, get frustrated, and momentum is lost.



Focused Strategic Thinking (FST)

Focused strategic thinking transforms the long, complex, and data dense strategic planning process into a simple, structured, participative, efficient, effective process.



Focused Strategic Thinking (FST)

FST involves a limited number of informed participants with the shared objective of producing a draft strategic plan over a very short span of time.



FST and fCOOP

Assumptions underlying FST and fCOOP:

1. To be effective there must be a core of people that know the issues well enough to make judgments about what works.
2. Participants must do their own thinking and customize the plan to meet their unique needs.
3. Participants must be committed to the development of a complete plan.



FST and fCOOP

- The organization of thinking is the central concept of FST and fCOOP.
- Structured thinking requires a framework or process to get everyone moving – a conceptual model.
- Through an organizing framework, participants gain an appreciation of the required inputs, the processes involved, and the desired outputs.



Systems Thinking

- We are able to isolate various parts and focus our thinking.
- We focus on the parts without having, at the same time, to deal with the whole.
- Once a part is examined, we again change the focus to a broader picture.
- FST and fCOOP are iterative processes of examining the parts and relating them back to whole process.



Facilities

- Open face-to-face arrangement of seating.
- Horseshoe design usually works best.
- Avoid theater seating.
- Three or four breakout rooms are helpful.
- Outdoor settings for breakout sessions also works well.



fCOOP Session Materials and Equipment

- Four Flip Charts with Easels.
- Four Sets of Color Markers.
- Masking Tape or Self-adhesive Flip Charts.
- Laptop Computer and LCD.



fCOOP Session Size

fCcoop sessions may be held with as few as five participants and as many as 35. Thirty-five participants is about the upper limit to get everyone's involvement and still control the process.

Twenty or so participants is the optimal number for idea generation, discussion, and maintenance of the schedule.



fCOOP Session Facilitation

fCOOP sessions progress much better if someone is assigned to facilitate and is not involved in the content of the discussions or in final decision making.

The facilitator should provide the process structure and keep the discussion on track.



Recorder

Recording progress and documenting may be facilitated by having a person take notes on a laptop computer as each session progresses. Creating templates upfront works quite well and are easy to develop.

We have been successful in documenting sessions and making a presentation of the draft fCOOP at the conclusion of the session.



fCOOP Who Should Attend

- Legislative branch leaders (e.g., commissioners)
- Executive branch decision makers
 - Department heads
 - Chiefs of fire and law enforcement
- Judicial branch administrators



Introductions

If participants do not know each other well or have not been working well together as a team a pre-session on team building may be helpful.

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fCOOP Process Session

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Role of the Facilitator

- Provide a process for COOP development.
- Assist in starting the discussion.
- Recap and summarize key discussion points.
- Assist in building consensus.
- Insert occasional "out of the box" perspectives through "informed ignorance."
- Assure that everyone participates.
- Keep the process on schedule.
- Help document the process.

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Role of the Participants

- Share expertise.
- Assess others' ideas objectively and professionally.
- Encourage sharing of ideas.
- Tolerate disagreement.
- Seek consensus.
- Help achieve desired outcomes.



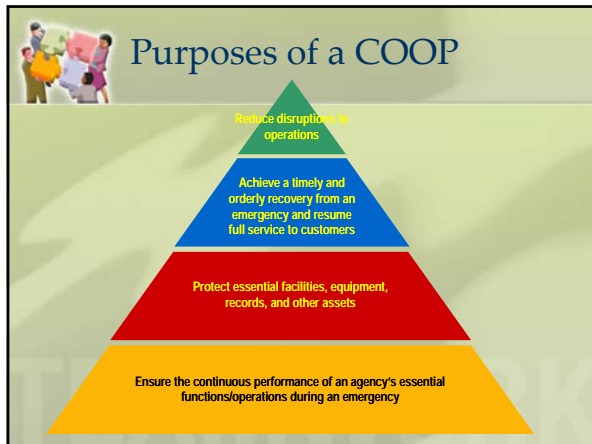
Work Plan

- Today
 - Facilitators provide conceptual overview of COOP
 - Series of Work Group Assignments and Reports
 - Review of Accomplishments
- In the Near Future
 - Facilitators Prepare Draft of COOP
 - Organization Reviews and Offers Corrections
 - Facilitators Finalize and Deliver COOP



COOP Overview

- A Continuity of Operations Plan serves (COOP) as a supplemental tool to an Emergency Operations Plan (EOP).
- COOP is designed to ensure that the organization and its components are able to continue performing essential functions and to facilitate an orderly recovery following a disaster.



Invoking COOP

A COOP activating event is:

- An emergency that incapacitates the normal functioning of an organization for more than a limited amount of time
 - Damage to an operating facility
 - High rate of employee absenteeism

COOPs are “all-hazard” and can be activated due to:

- A Natural Disaster, or
- An Act of Terrorism, or
- An Accident, or
- An Infectious Disease

COOP Goals

- Capable of being implemented with or without warning
- Operational within a minimal period of disruption for essential functions, e.g., 4, 6, 8, 10, or 12 hours
- Capable of maintaining sustained operations for a reasonable period, e.g., up to 30 days for short-duration disaster, or up to 18 months for a long-duration disaster such as a pandemic
- Continuous testing, training, and exercising of personnel, equipment, systems, processes, and procedures
- Incorporate lessons learned from simulated and real disaster responses



COOP Outline

I. EXECUTIVE SUMMARY	B. PHASE II: ALTERNATE FACILITY OPERATIONS
II. INTRODUCTION	1. Mission Critical Systems
III. PURPOSE	2. Vital Files, Records, and Databases
IV. APPLICABILITY AND SCOPE	C. PHASE III: RECONSTITUTION
V. ESSENTIAL FUNCTIONS	VIII. COOP PLANNING RESPONSIBILITIES
VI. AUTHORITY AND REFERENCES	IX. LOGISTICS
VII. CONCEPT OF OPERATIONS	A. ALTERNATE LOCATION
A. PHASE I: ACTIVATION AND RELOCATION	B. INTEROPERABLE COMMUNICATIONS
1. Delegation of Authority	X. TEST, TRAINING, AND EXERCISES
2. Decision Process	XI. MULTI-YEAR STRATEGY AND PROGRAM MANAGEMENT PLAN
3. Alert, Notification, and Implementation Process	XII. COOP PLAN MAINTENANCE
4. Leadership	
a. Orders of Succession	
b. Delegations of Authority	
c. Devolution	

COOP Outline (continued)

- Annex A: Authorities and References**
- Annex B: Operational Checklists**
- Annex C: Alternate Location/Facility Information**
- Annex D: Maps and Evacuation Routes**
- Annex E: Definitions and Acronyms**



Work Group Assignment— Purpose

- The assignment is to develop a statement of purpose for the COOP using the model statement we will provide as a guide.

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Work Group Assignment— Essential Functions

- Essential Functions are defined as those functions, stated or implied, that the County is required to perform by statute, executive order, or County policy and are necessary to provide vital services, exercise civil authority, maintain the safety and well-being of the public, and sustain the economic base in an emergency.
- The assignment is to identify and prioritize the essential functions of the County using the table provided as a data collection tool.

Function	Critical Essential Function Y/N	Long-term Essential Function Y/N	Priority

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Work Group Assignment— Authorities and References

- The assignment is to develop a list of all applicable state and local statutes, rules, and official policies that apply to county operations.

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Work Group Assignment—Activation

- The assignment is to:
 - identify how the COOP will be activated. For example: *The Executive Director, or in his absence, the next person in succession, has the authority to activate the COOP. In the event of a countywide emergency, such as a hurricane, the MPO will follow the direction from the Emergency Management Department for LG activation instructions.*
 - define method and means by which alerts and notifications will be issued during normal business hours and for incidents outside normal business hours, and
 - define the order of succession for key positions within the County (a worksheet is supplied as a guide and data collection tool).



Work Group Assignment—Relocation

- The assignment is to:
 - identify to all currently in-use facilities and the number of employees for essential functions of the County, and
 - identify alternative sites where the critical functions could be performed if a relocation is required during an emergency.

Worksheets are provided.



Work Group Assignment—Vital Records and Databases

- The assignment is to identify all vital records and databases used by the County, their location, format, person responsible, security issues and accessibility from an alternate location.


Name of Vital File, Record, or Database	Current Location	Primary Format	Back-up/Redundancy Information	Person(s) Responsible for Maintenance, Retrieval, and Security	Accessible from Alternate Location Y/N	Security Considerations



Group Assignment—Interoperable Communications

- Discuss the various methods of communications used by County personnel.


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Group Assignment—COOP Planning Responsibilities

Responsibility	Position Responsible
Review and Update the COOP Annually	
Update Telephone Numbers Monthly	
Review Status of Vital Files	
Conduct Alert and Notification Tests	
Plan COOP Exercises	


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Next Steps

- Using the data collected to day a draft COOP will be prepared and submitted to you for comment and revising.
- A telephone conference call will be scheduled to review the draft and obtain revisions.
- Edits will be made and a final COOP submitted for your approval.

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- fCOOP Summary

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fCOOP Summary

- Keep it Simple
- Keep it Structured
- Keep it Participative
- Keep it Efficient
- Keep it Effective

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Keep it Simple

- A step-by-step, easy to follow process.
- Consensus judgments of key players.
- Achieve an 80 to 90 percent plan.
- Get immediate results.

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Keep it Structured

- A process that focuses thinking.
- A specific ordering of work activities.
- Clearly identified outputs.
- Forces conclusions at critical points.
- Provides limits to discussion.
- Someone is responsible for keeping on schedule – the keeper of the process.



Keep it Participative

- Convenes the key stakeholders.
- Becomes the participant's plan (not the facilitator's).
- Encourages everyone to participate.
- After the session, results may be circulated to others for additional input.



Keep it Efficient

- Occurs in a short time span.
- Enables the participants to see the logic of the plan emerge from the discussion.
- Plan is developed at a lower cost than long planning efforts.
- Creates immediate momentum.
- Provides a record of the ideas, observations, and opinions generated.



Keep it Effective

- Achieves the same quality of plan as extended, data dense plans.
- Produces a practical working document.
- Is immediately testable.
- Provides a basis for further refinement.



- fCOOP Example of Work Product



Rockdale County, Georgia
Continuity of Operations Plan
(COOP)

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