

# NJPCA

BE READY TO RISE TO THE CHALLENGE

## The Financial Benefit of Continuity of Operations Planning Region II Conference July 12, 2009

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# Financial Value of Planning

- Business plans should address the financial response to an emergency including goals for maintaining cash reserves and plans related to managing and insuring against business interruptions, equipment, facilities, and property loss.



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# Emergency Mgt and COOP



1. Mitigation (including prevention): reduce or eliminate impact of hazards (generators)

**Every \$1 on mitigation saves \$7 in post-disaster costs**

2. Preparedness: build capabilities to respond and recover from the impacts of those hazards (this session)
  3. Response: gain control over on-going negative effects of the hazards (staying open to serve population)
  4. Recovery: return to pre-disaster condition (normal business operations as soon as possible)
- COOP is a good business practice and part of fundamental mission, as responsible and reliable institutions.

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# What is COOP?



- Ensure the performance of an agency's essential functions
- Reduce loss of life by minimizing damage and losses
- Ensure the successful succession to office in the event a disruption renders agency leadership unavailable to perform their responsibilities
- Reduce or mitigate disruptions to operations.
- Ensure that agencies have alternate facilities from which to operate
- Protect essential facilities, equipment, vital records, and other assets
- Achieve a timely and orderly recovery from a COOP situation





# COOP Impacts on the Organization



- The severity depends on the nature and severity of the emergency and could range from a little to a lot.
- Normal lines of direction and control may be disrupted
- Normal operations will be disrupted for a brief time or until reconstitution is completed after the emergency ends.
- Normal security arrangements will be disrupted and the organization could be vulnerable to additional disruptions until the COOP site is activated and all employees get home or to a safe location
- Normal communication links and methods will be disrupted until the COOP site is up and running and reconstitution is complete
- A comprehensive COOP capability will minimize those impacts



# COOP Impacts on You and Your Family



- A COOP situation also will affect you and your family:
- There will be a period of uncertainty about what is happening, how bad the situation is, and what you should do to protect yourself and your loved ones
- You may feel unsure of your job security, especially if the COOP situation is severe
- You may also be concerned for your financial well-being, wondering if and how soon you will be paid
- A comprehensive COOP plan that includes a family support plan will minimize these impacts



# Components of a COOP Family Support Plan



- Personnel accountability procedures: upon COOP activation and throughout COOP operations, supervisors should account for their subordinates and stay informed of employee status
- Information dissemination plan: the agency's COOP plan should include a call-in number where employees can call to receive information. The plan should also provide for two-way communication between ERG members and their families
- Assistance in developing family emergency plans: family support planning in advance of an emergency will help all employees and their families know what to do
- Information about services at or near the alternate site



# Developing a Family Emergency Plan



- Developing a family emergency plan is important for any emergency, not just COOP.
- Plan should include at minimum:
- Contact and communication information
- An immediate emergency checklist that includes medical, financial, and legal information and other important documents
- Supplies, including medications (72 hrs)

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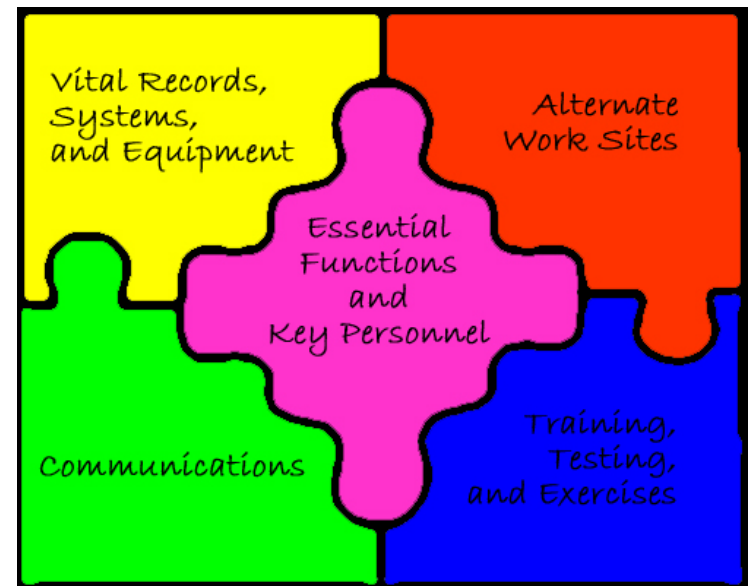


# Elements of COOP



- There are 9 elements of a viable COOP:

1. Essential functions
2. Delegations of authority
3. Alternate facilities
4. Interoperable communications
5. Vital records and databases
6. Human capital management
7. Tests, training, and exercises
8. Devolution
9. Reconstitution



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# Elements of a Viable COOP: Essential Functions



- Essential functions are those functions that enable an organization to:
  - **Provide vital services**
  - Exercise civil authority
  - Maintain the safety of the general public
  - Sustain the industrial and economic base

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# Essential Functions (Foundation)



- Based on the agency's customers and needs.
- Assigning a priority helps COOP planners distinguish between essential and nonessential functions. (At risk population)
  - In addition to medical needs, interference in access to receive medical care (functional areas, C-MIST)
  - Communication: hearing, vision, cognitive, language
  - Medical Care: do not have adequate support (unstable, terminal, contagious, ongoing treatment)
  - Independence: require support to be independent (medical care and equipment)
  - Supervision: unable to cope with new environment
  - Transportation: require transportation support

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# Delegations of Authority



- Delegations of authority specify who is authorized to make decisions or act on behalf of:
  - Organization
  - Other key individuals
- Delegations of authority are used for specific purposes during COOP emergencies.
- Legal review



# Delegations of Authority



- Delegations should be predetermined and documented in writing. They should state explicitly:
  - What authorities are delegated
  - To whom
  - Exceptions to the successors authority to redelegate
  - Limitations on the delegated authority

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# Delegations of Authority (Uses)



- Approving emergency policy changes
- Approving changes in SOPs
- Empowering designated representatives to participate as members of interagency emergency response teams to act on behalf of the organization
- Making personnel management decisions
- Approving commitment of resources
- Signing contracts



# Orders of Succession



- Orders of succession are provisions for the assumption of senior agency leadership positions during an emergency when the incumbents are unable or unavailable to execute their duties.
- They allow for an orderly and predefined transition of leadership.





# Succession vs. Delegations



- Delegations of authority are specific and limited.
- Successors are vested with most of the authorities and powers of the incumbent.
- Orders should be established for the agency head and officials down to office directors responsible for performing essential functions.

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# Alternate Facilities



- Organizations need to identify locations other than their normal facilities to carry out essential functions in a COOP situation.
- Selecting a good alternate facility is critical to COOP capability.
- Alternate facility must have interoperable communications.
- PIN 2007-16 (FTCA)

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# Interoperable Communications



- Interoperable communications are communications that provide the capability to perform essential functions, in conjunction with other agencies and organizations, until normal operations can be resumed.

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# Interoperable Communications



- Internal and external communication even if primary communications fail
- Must support the execution of the agency's essential functions
- Provide capability to communicate within the organization
- Provide **connectivity** to outside agencies and customers
- Ensure access to data, systems, and services
- Compatible





# Vital Records



- Vital records are those electronic and hardcopy documents, references, and records needed to support essential functions during a COOP situation.
  - EMR
- Two types of vital records
  - Emergency operating records
  - Legal & financial records

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# Emergency Operating Records



- Plans and directives
- Orders of succession
- Delegations of authority
- References for performing essential functions

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# Legal & Financial Records



- Personnel records
- Social Security records
- Payroll records
- Retirement records
- Insurance records
- Contract records

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# Human Capital Management



- HCM is the sum of talent, energy, knowledge and enthusiasm that people invest in their work. Places the right people in the right jobs to perform the agency's essential functions most effectively
- Ensures that ALL employees have a clear understanding of what they are to do in an emergency.
- Includes specific protocols for identifying and assisting special needs employees.
- Employees must be kept informed during emergencies whether they work at the alternate site or not.
- Poor emergency communications can lead to unnecessary anxiety or indifference in the workforce.





# HCM: Non-Emergency Response Group



- All employees need to be informed during the course of an emergency so that they can be ready to go back to work when recalled or to support their agencies' efforts from home.
- In COOP event, most employees will be expected to:
  - Go home
  - Remain available
  - Wait for further directions
- Management's responsibility to know where all employees are and how to contact them,



# Tests, Training, and Exercises



- TT&E include measures to ensure that an agency's COOP program is capable of supporting the continued execution of its essential functions throughout the COOP operations.
- TT&E is a significant part of a viable COOP capability.
- HSEEP Format

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# Devolution



- Devolution is the capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities.
- It is also the ability to sustain that operational capability for an extended period.
- Devolution is a way of ensuring a COOP capability in the event COOP personnel are unable to perform their mission or if the alternate facility is unavailable to support it.



# Devolution



- As part of COOP planning, agencies should:
- Identify likely triggers for devolution
- Describe how and when devolution will occur
- Identify the resources that will be required to continue essential functions under a devolution scenario

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# Reconstitution



- Reconstitution is the process by which agency personnel resume normal agency operations from the original or replacement primary operating facility.
- Agencies must identify and outline a plan to return to normal operations.
- Reconstitution is complex.
- Agencies should appoint a Reconstitution Manager to handle the process.

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# Resources



- Standard on Disaster/Emergency Management and Business Continuity Programs
  - <http://www.nfpa.org/assets/files/pdf/nfpa1600.pdf>
- Public Health Workbook to Define, Locate, and Reach Special, Vulnerable, and At-Risk Populations in an Emergency
  - [http://www.bt.cdc.gov/workbook/pdf/ph\\_workbook\\_draft.pdf](http://www.bt.cdc.gov/workbook/pdf/ph_workbook_draft.pdf)

