

 STATEWIDE POLICY	NUMBER		SUPERSEDES
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Division Chief Operating Office	REFERENCE ORS 291.016, 291.018, 291.028, 291.032, 291.034, and 276A.223		
SUBJECT Statewide Continuity of Operations Planning	APPROVED SIGNATURE Katy Coba, Director <i>(signature on file with DAS Business Services)</i>		

PURPOSE

This policy sets forth guidelines requiring all state agencies, individually, and in conjunction with other agencies, to develop, implement, test, maintain and execute Continuity of Operations Plans (COOP). This policy provides direction and establishes notification processes in the event an emergency occurs and a continuity plan must be implemented.

APPLICABILITY

This policy applies to all Executive Branch agencies under direct authority of the Governor. Other agencies, including the Office of Secretary of State, Office of State Treasurer, Department of Justice, Judicial Department, Lottery, and Department of Education may elect to follow this policy. This policy applies to day-to-day business operations of state agencies. In the event of a statewide emergency, agencies with emergency response functions and responsibilities shall coordinate with the Office of Emergency Management.

DEFINITIONS

Business Impact Analysis (BIA): A method of identifying the effects of failing to perform a function or requirement.

Continuity Facilities: A comprehensive term, referring to both continuity and devolution sites where essential functions are continued or resumed during a continuity event.

- “Alternate sites” are locations, other than the primary facility, used to carry out essential functions by relocating Emergency Relocation Group (ERG) members following activation of the continuity plan.
- “Devolution sites” are locations used to carry out essential functions by devolving the essential functions to a geographically separated facility and staff (the Devolution Emergency Relocation Group (DERG)) following activation of the devolution plan.

These sites refer to not only other facilities and locations, but also work arrangements such as telework and mobile work.

Continuity of Operations Plan (COOP): An effort within individual organizations to ensure they can continue to perform essential functions during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

Mission Essential Functions (MEF): The limited set of essential functions an agency must continue, or resume rapidly after a disruption of normal activities.

Risk Assessment: A product or process which collects information and assigns values of risks for the purpose of setting priorities, developing or comparing courses of action, and informing decision-making.

POLICY GUIDELINES

- I. Agency directors are responsible for overall plan development. Agency directors will designate someone to serve as the agency's COOP sponsor, and a staff person to serve as the COOP coordinator. The sponsor should have direct access to the agency director, and the authority to advise the agency director in the event of an emergency or event that significantly disrupts agency services. In addition, the agency director will identify a COOP emergency coordinator. This person shall have the authority to develop, facilitate and coordinate the individual agency's preparations.
- II. The COOP sponsor/coordinator will take responsibility for managing the COOP planning process, working within the agency to accomplish the risk assessment, business impact analysis, plan development, maintenance, testing, and awareness training.
- III. To ensure that state agencies maintain current and functional COOPs, agencies must, at a minimum, update their plans annually. All executive branch agencies will develop, implement, maintain, and test COOP plans, including identifying recovery alternatives, through the following actions:
 - Conduct a business impact analysis (BIA) for new or substantially revised business functions. Depending on the criticality of the issues to be addressed, the agency may decide first to conduct a Risk Assessment.
 - Identify and thoroughly document all essential business functions with a recovery time of one month or less.
 - Update the disaster recovery plan for the information technology (IT) infrastructure that supports essential business functions and provide a copy of the plan to the Office of the State Chief Information Officer.
 - Ensure short-term and long-term review and revision of the plans. Short-term reviews, which will occur periodically throughout the year, will include activities such as updating telephone numbers and the names of team members. Long-term reviews will include updating the business impact analysis, regular testing, and incorporating new programs and systems into the plan. Long-term reviews will occur at least once a year.
 - Provide continuity of operations training for staff to create an organizational awareness and enhance the skills required to develop, implement, test, maintain and execute the COOP.
- IV. COOPs should, at a minimum, address the following areas:
 - Disaster recovery planning
 - Succession planning
 - Delegation of authority
 - Essential functions
 - Identification of mission essential functions and recovery time objectives
 - Dependencies, both internal and external (including other agencies, business partners, vendors, etc.)
 - Alternate worksite strategies
 - Equipment
 - Response to loss of power, phone and computer networks
 - Critical equipment failure
 - Human Capital
 - Response to loss of essential (key) staff
 - Response to loss of workforce
 - Technology
 - Vital records preservation
 - Emergency communications

PROCEDURES

Mission Essential Functions:

While all government functions are essential in that they serve the public good, choices must be made in emergency situations as to which of those functions are essential to be maintained. For example, it is clear that correctional facility security must be ensured while the issuance of storm water construction permits could be delayed until a crisis abates.

1. Each agency shall identify mission essential functions and services.
2. Each agency shall identify the resources required at individual worksites to carry out these services. Also determine whether the agency will need resources beyond those routinely available, to maintain the function.

Communications:

1. Each agency director shall ensure that they and their backups can be contacted in an emergency. The following contact numbers are required, as applicable:
 - Telephone numbers:
 - direct line
 - cellular
 - pager
 - home
 - Satellite (if issued one)
2. Contact numbers for personnel, listed by worksite, shall be provided.

Response Team and Essential Personnel Notification:

Agencies shall maintain up-to-date rosters of (1) personnel that would be responsible for coordinating a worksite response to an emergency situation, and (2) personnel essential to ensure that mission essential services can be delivered.

Relocation Plan:

1. Agencies shall develop relocation plans in the event a worksite needs to be moved in order to maintain the delivery of mission essential services. The following guidelines should be used in determining whether the local worksite should be moved:
 - Over 30 days
 - Complete relocation from locale where the worksite is located
2. Items to include in local relocation plans:
 - Work space (e.g., office, warehouse, call center)
 - Employees
 - Telecommunications
 - Computer capability
 - Office supplies
 - Notifications:
 - Clients
 - Staff
 - Vendors
 - Coordination with local emergency medical services (EMS)
 - Coordination with local police

Implementation:

An agency director, or designee, may implement a COOP upon determining that an emergency or unanticipated event exists that threatens to, or actually disrupts, services. If a COOP is implemented, immediate notification shall occur as follows:

1. Governor
2. Chief Operating Officer
3. Director of the Office of Emergency Management (OEM)

The agency COOP emergency coordinator, or designee, will serve as the main contact point between OEM and the affected agency to allow for smooth, orderly, and coordinated communication and ensure that resources are maximized and objectives met with the least amount of confusion.