Oregon Racing Commission

Continuity of Operations Plan

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Subject: Continuity of Operations Planning
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Approved by: Connie Winn, Executive Director

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1. PURPOSE

The mission of the Oregon Racing Commission is to regulate and facilitate all aspects of the pari-mutuel industry in the State of Oregon for the benefit of the citizenry, the licensees, the participants, and the economy.

This policy sets the expectations and guidance for the Oregon Racing Commission (ORC) to develop, implement test, maintain, and execute continuity of operations plan (COOP).

The overall purpose of the continuity of operations plan is to continuity of the ORC's functions under all imaginable conditions. The threats include but are not limited to natural disasters, war, terrorism, environmental changes, technological and biological as well as chemical and biological emergencies. These current changing environments and recent emergencies have increased the need for viable continuity planning.

The ORC's COOP will allow the agency to:

- Perform essential functions no later than 24 hours after activation of the COOP plan.
- Maintain essential functions on an emergency basis for the initial 30 days while long term solutions are being implemented.
- Conduct regularly scheduled activities of the commission.
- Ensure personnel, equipment, systems, processes, and procedures used to support the commission mission are available.

The ORC's COOP will:

- Regularly assess and analyze the facility and alternative facilities being used.
- Plan and consider the locations of alternate facilities beyond emergency sites .
- Develop standard operating procedures which allow performance of essential functions.
- Provide annual review and evaluation of COOP.

2. APLICABILITY

This policy applies to day-to-day operations of ORC with emergency response functions and responsibilities shall coordinate with the Office of Emergency Management.

3. DEFINITIONS

- Business Impact Analysis: 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: Locations, other than the primary facility, used to carry out essential functions by relocating emergency relocation group (ERG) members following activation of the plan.

- Devolution sites are locations used to carry out essential functions by devolution the essential function to a geographically separated facility and staff following activation of the plan.

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

- Continuity of Operations Plan (COOP): A plan to ensure operations continue to perform essential functions during a wide range of emergencies including, but not limited to natural disaster, health disaster, war/conflict, technology breaches.
- Mission Essential Functions (MEF): The limited set of essential functions ORC must continue or resume rapidly after a disruption of normal activities.
- Risk Assessment: A process of collecting information, analyzing, and assigning risk value for the purpose of prioritizing action items, review, and further decision-making efforts.

4. GOALS AND OBJECTIVES

The goals and objectives of this plan are to:

- Ensure the continuation of essential functions.
- Ensure the safety of State employees.
- Maintain command, control, and direction during emergencies.
- Deduce disruptions to operations.
- Protect critical equipment, records, and other assets.
- Assess and minimize damages and losses.
- Provide organizational and operational stability.
- Facilitate decision-making during an emergency.
- Achieve an orderly recovery from emergency operations.
- Assist affected employees and their families.
- Provide for the line of succession to critical management positions.
- Provide resources and capabilities to develop plans for restoring or reconstituting regular activities, depending upon the scope, severity, and nature of the incident.
- Fulfill the agency's responsibilities in local, regional, and state emergency operations plans and agreements.

5. AUTHORITIES AND REFERENCES

A. Authorities

Authorization and requirements for agency COOP Plans are provided in the Statewide Continuity of Operations Planning policy: http://www.oregon.gov/das/Policies/107-001-010.pdf. This policy sets forth guidelines requiring all State of Oregon agencies, individually, and in conjunction with other agencies, to develop, implement, test, and maintain Continuity of Operations plans. This policy was signed by the Department of Administrative Services Director on February 21, 2018.

B. References

References used to develop this template include:

- Federal Governments, National Incident Management System October 2017
- The State of Oregon Continuity of Operations Planning Manual 2023
- Governor's Directive 2023 - Continuity of Operations Planning
- DAS Statewide Continuity of Operations Plan 2018
- Other references that have supported the development of this COOP plan include the following:
- State of Oregon Hazard Mitigation Plan, Volume II June 2018
- IS-1300: Introduction to Continuity of Operations 2019
- State of Oregon Comprehensive Emergency Management Plan, 2015
- FEMA Region 10 Course K1301- Continuity Planning
- IS 00321 Hurricane Mitigation
- IS 00322 Flood Mitigation
- IS 00323 Earthquake Mitigation

6. EMERGENCY COMMUNICATION

The agency will re-establish normal lines of communication within the agency, to other agencies, and to the public. Every staff member has a state issued cellphone. In addition, each manager will have a list of home numbers of staff.

7. DISASTER RECOVERY PLANNING

This section includes the plan to ensure continuity of operations in any of the below situations. However, it's important to note that the below processes are dependent on ORC's Emergency Operations Plan and the priority with which ORC's staff and equipment will be restored.

Loss of Facility
The recovery procedure may consist of relocating critical staff to an alternate site. Relocation will depend largely upon how quickly access to computers can be restored. As all ORC staff have remote offices, the relocation will be based on their current location. This may mean re-establishing a working location at a DAS location, or an alternative location they are living in while dislocated. staff can remain working remotely provided they have Internet access. Operations will continue at the alternative site until the home offices become available or a different permanent site can be located.

The initial plan will be if home offices are not available the staff members will use a DAS office in Grants Pass or Portland if a new remote office is not possible. Temporary out of state work may be considered depending on the disaster.

Loss of Power
The recovery procedure depends upon the length of time the power is anticipated to be out. If we anticipate power will return in **two days or less**, each employee impacted will contact their supervisor and provide additional details. As all staff are remote off season, if during that time, the employee will discuss alternative locations to work. If we anticipate the power will be out

longer than one week, the recovery procedure consists of implementing manual procedures at the alternative site.

Communication will be conducted by phone until computer systems are installed, or restored, to allow email communication. If computer systems will not be available at the alternative site for more than one week a paper-based **or** alternative process will be implemented. When computer systems are available, **or** depending on the extent of potential damage, another longer-term alternative site is chosen.

Loss of IT/Network
The recovery procedure consists of working with the IT services vendor to restore normal IT systems. The recovery procedure depends upon the length of time the computer system is anticipated to be out. If we anticipate restoration in **two days or less**, the employee shall call their supervisor and report to them and together they will determine if alternate locations are available as staff are home based except during race meets. If at the race meet, services can be used at the hotel during the fair meet circuit.

If we anticipate the network or computer failure will **exceed one week**, our plan consists of implementing manual procedures until computer systems become available. When computer systems are available, all business processes will continue as normal, and all manual/paperwork will need to be recorded in the computer systems retroactively.

Loss of Workforce
The recovery procedure is to work with available staff to resume operations.

Employee Support
ORC recognizes that the well-being of employees' dependents and domestic companion animals are of mutual concern to ensure that employees remain available to support alternate facility operations. Employees must coordinate with their daycare providers to determine when it is appropriate to pick up their child. In some cases, the parent may be able to withdraw their child from the facility immediately. In other cases, the parent should plan to pick up the child from a remote evacuation site, as in the case of a capitol complex evacuation. Employees must determine a prudent course of action in coordination with daycare providers, and management must consider this.

Development of Plans and Schedules for Reconstitution and Termination
As soon as feasible, preparation for transferring operations of communication, vital records, databases, and other activities back to the primary facility will begin. Circumstances may dictate ORC management may designate a new primary facility for storage.

8. ROLES AND RESPONSIBILITIES
ORC has set procedures to govern both orders of succession and delegation of authority to activate the plan to support policy determinations and executive decisions.

Lines of Succession:
1. Connie Winn – Executive Director
2. Micah Lloyd – Director of Mutuels – Shared with Karen Parkman
3. Karen Parkman – Program Coordinator – Shared with Micah Lloyd
1. Dr. Tom Everman
2. Dr Jean Manhart
1. Michelle Shirey Vet Tech
2. Maleah Thom Vet Tech
1. Micah Lloyd – Director of Mutuels
2. Karen Parkman – Program Coordinator
3. Dawn Rome – Supervisor of Pari-Mutuels
1. Chris Adams – Chief Investigator
2. Mike Gentile - Investigator
1. Mike Twiggs – Presiding Steward
2. Terry Crystal – Deputy Steward

9. RECONSTITUTION

a. Reconstitution Process: The agency will develop general guidelines and policies for ending alternate operations and returning to a non-emergency status at the designated primary facility or remote office.

b. Reconstitution Procedures: The agency will establish specific actions to ensure a timely and efficient transition of communications, vital records, and databases to the primary facility. The main resources that would need to be transitioned are any IT hardware (servers, etc.) that had to be moved to an alternate location. ORC would rely on the Cascade Technology Alliance, which provides IT support services to ORC through a shared services agreement, to conduct this relocation.

c. After-Action Review and Remedial Action Plans: ORC will activate a cross-sectional team to discuss reflections and outcomes and develop any improvements for future plans.

10. Notifications and Alerts

ORC recognizes that they should have to ability to activate this COOP plan under all conditions:

With Warning: ORC expects that, in many cases, they will receive a warning at least a few hours prior to an event. This will normally enable the full execution of the COOP plan with complete and orderly alert and notification. Notification will occur through cell phone, and email, using standard procedures developed by the agency. Managers would use the phone tree to call their staff and the executive team would hold office hours for all staff to alert them of the situation.

Without Warning: The ability to execute the COOP plan following an event that occurs with little or no warning will depend on the severity of the emergency and the number of personnel that survive.

a. Non-Business Hours: ORC will use the call tree to notify staff and ensure COOP team personnel are alerted and activated to support operations for the duration of the emergency. Notification will occur through email and telephonic means.

b. Business Hours: If possible, ORC will activate the COOP plan and deploy available members of the COOP teams to support operations for the duration of the emergency. Depending on the status of communications, notification will be made by email, telephone, in-person at facilities, and using designated call down procedures described in the call tree.

APPROVALS

This Continuity of Operations Plan (COOP) complies with applicable State of Oregon policies, state, and local regulations. Oregon Racing Commission will review this plan annually to make revisions or updates.

Approved: Date: September 30, 2023