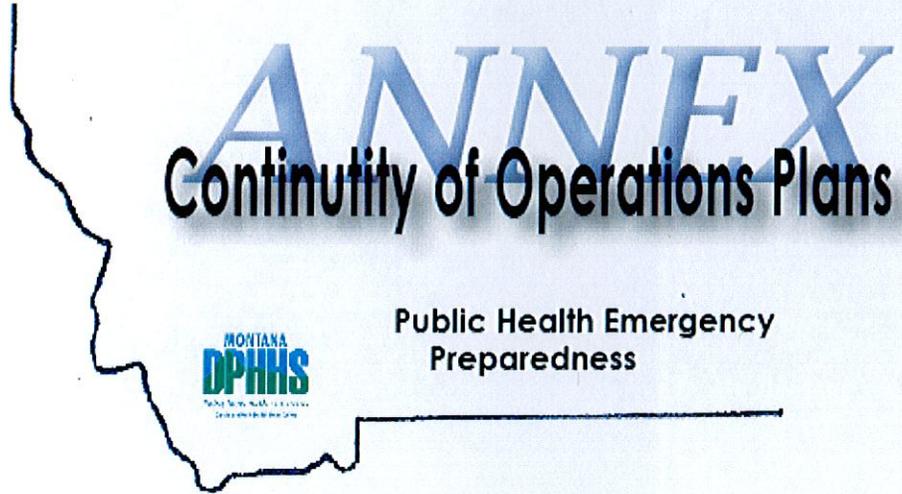


Montana Department of Public Health & Human Services



August 2014  
Version 1

## DPHHS Continuity of Operations Plans Annex

Review and authorization of the Continuity of Operations (COOP) Annex by the DPHHS Director is necessary because outlines the service processes unique to the Department's functions within the State of Montana government and the DPHHS Emergency Operations Plan.

This plan is hereby approved for implementation. It supersedes all previous editions.

*Mary E. Dalton acting for*

Richard H. Opper, Director

Montana Department of Public Health & Human Services

*10/14/2014*

Date Signed





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The Department of Public Health and Human Services schedules a regular review of all Department Emergency Operations Plans, Supporting Annexes, Standard Operating Procedures, and other guidance documents used to respond to public health emergencies. The following individuals assisted in the review of this document:

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## ***Section I: Purpose, Scope, and Assumptions***

### **Purpose**

This Annex defines the procedures to develop, maintain, and implement continuity of operations plans (COOP) for the Department of Public Health and Human Services (DPHHS).

Continuity planning ensures that State Essential Functions (SEF) (see Appendix B) are maintained during emergency incidents that may affect DPHHS infrastructure or a significant number of DPHHS personnel. The purpose of this Annex is to

- Define the roles and responsibilities of those involved in COOP efforts
- Define the method used to develop and maintain the continuity plans for DPHHS
- Define the authority to activate continuity plans
- Outline the requirements for each branch, division, or bureau to update their continuity plans annually
- Define training requirements for COOP planners and leadership
- Explain the confidentiality of COOP

### **COOP and Department EOP relationship**

The DPHHS Emergency Operations Plan (EOP) is designed to manage intra-state public health incidents through its emergency response coordination, whereas COOP ensures the continuity of essential functions within DPHHS. COOP can also assist in predicting workload surges during incidents of any type.

Branch, division, and bureau leadership (plan owners) have the capability to predetermine the impact severity of a catastrophic event by utilizing criticality ratings of business service processes (BSP) and knowledge of their internal processes. Plan owners can decide what business service processes are required to have emergency operations protocols using this information.

### **Scope**

The scope of this Annex is limited to DPHHS personnel and services. Incidents that may cause an activation of all or portions of COOP might result from natural, manmade, technological disasters, or other incidents that cause the interruption of the normal day-to-day operations of the Department.

### **Assumptions**

- Plan owners have assigned a continuity planner for their plan(s)
- Continuity planners are trained and provide access to the COOP planning software
- Plan owners have reviewed and approved their plan(s)
- Plan executive authorities have reviewed and approved their plan(s)

- Continuity plans have been submitted for review and approved by Department of Administration (DOA)

## ***Section II Roles & Responsibilities***

### **Montana Department of Administration (DOA)**

DOA is the lead agency for developing and maintaining the continuity plans for the State of Montana. DOA's primary COOP role is to

- Lead and support the Continuity of Government (COG) and COOP programs for state government
- Develop COG/COOP policies for state government
- Select, install, maintain and support the statewide COG/COOP planning software
- Support State agencies regarding the completion of their COOP plans
- Keep information contained in the statewide COG/COOP planning software application readily available and accessible to plan owners if an incident, emergency or disaster occurs
- Develop an exercise program for the COG/COOP plans in conjunction with Montana Disaster and Emergency Services (DES)
- Act as the lead state agency in response to incidents activating state agency COOP plans
- Select, install, maintain, and support the statewide emergency notification tool
- Act as the State's certifying authority for all COG/COOP plans in coordination with DES
- Locate alternate operational sites at the time of an incident

### **DPHHS Director**

- Ensure that comprehensive COOP planning is a team effort that involves all levels of DPHHS personnel
- Formally designate DPHHS COOP Coordinator
- Require plan owners to update COOP plans annually
- Encourage plan owners to participate in annual COOP training
- Encourage plan owners to cooperate with the COOP Coordinator

### **Plan Owners and Executives (Branch Manager, Division Administrators, and Bureau Chiefs)**

- Assign an employee as the COOP planner for their area of responsibility
- Approve Business Service Process (BSP) rankings
- Approve BSP criticality ratings
- Ensure COOP plans are updated annually
- Direct COOP planners to attend training on an annual basis

## **DPHHS COOP Coordinator**

The COOP Coordinator leads the DPHHS COOP planning process and is situated in the Public Health Emergency Preparedness (PHEP) section of the Communicable Disease Control and Prevention (CDCP) Bureau of the Public Health and Safety Division (PHSD).

The COOP Coordinator monitors the progress of plan development amongst all branches, divisions, and bureaus that are required to have continuity plans. The coordinator works with appropriate leadership to ensure that all continuity plans have an employee responsible for their respective plans. The COOP Coordinator provides technical assistance and guidance to continuity planners as needed. Additionally, the COOP Coordinator will

- Act as the DPHHS point of contact for DOA regarding COOP
- Ensure DPHHS plans are being updated annually or as necessary
- Coordinate with DOA for major changes to DPHHS plans in the COOP planning software
- Participate in continuity exercises as requested
- Assist new planners in gaining access to the COOP planning software
- Maintain DPHHS Transfer of Authority and Successor Responsibilities Guidelines, Policy Nr. 1.1.112

## **COOP Planners**

Continuity planners are responsible to develop and maintain their assigned plans. The number of COOP planners assigned varies on the complexity and quantity of plans that require development and maintenance. Additionally COOP Planners will

- Attend required training
- Participate in drills and exercises
- Ensures plan owner, successors, and planner(s) have access to a current copy of their COOP plan
- Develop and maintain plans
- Annually provide updates to the COOP Coordinator
- Update the supply starter packages as needed, but annually at a minimum

## ***Section III Concept of Operations***

The COOP process for DPHHS includes 3 different categories, which are (1) development of the plan, (2) implementation/activation of the plan, and (3) plan maintenance. The 3 categories cover all 9 essential elements that are recommended by FEMA for COOP planning. The 9 essential elements include

### **1. Essential Functions**

2. Succession Plans/Delegations Of Authority
3. Alternative Facilities
4. Interoperable Communications
5. Vital Records and Databases
6. Human Capital Management
7. Test, Training, and Exercises
8. Devolution
9. Reconstitution

DOA and the COOP Coordinator provide current guidance to planners and plan owners/executives for the development, maintenance, and entry of data into the COOP planning software system.

## **Plan Development**

### **Identify and Rank Essential Services**

Essential Services are those processes which are critical to the mission of DPHHS. DPHHS has identified over 1,000 service processes that are referred to as BSPs. BSPs include emergency operations centers (EOC), program management, payroll, and continuity planning. The criteria for ranking essential services are located in Appendix C.

### **Business Services Process (BSP) Ranking and Approval**

The procedure for ranking BSPs and approving criticality ratings is listed in Appendix D. DOA is responsible for ensuring consistency throughout State Government for COOP. Therefore, all State entities use the same BSPs for similar services (e.g., EOC BSP in DPHHS is consistent with EOC BSP function in DES). DOA has developed and established the approval process for BSPs and criticality ratings.

### **Identify Supplies**

Supplies have been identified in the continuity plans so personnel will know what items they need to take with them in case of an incident (Appendix E).

### **Devolution & Reconstitution**

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 and to sustain that operational capability for an extended period. Devolution planning is in conjunction with COOP planning, but should be developed as a separate plan.

Reconstitution is the process by which personnel resume normal agency operations at the primary or new operating facility.

## Implementation

### Considerations for Implementation

The decision to activate a continuity plan and corresponding actions are tailored for each situation based upon projected or actual impact and severity. Plan owners can use the table in Appendix F to assist in their decision to activate continuity plans.

### Implementation of a COOP plan

The Governor, the Director of DPHHS, a plan executive/owner, or their designees may implement all or any applicable portion(s) of the continuity plans for DPHHS. Once a plan has been activated the plan owner or designee shall notify the Public Health Duty Officer (see Appendix H). The Public Health Duty officer shall make the appropriate notifications in accordance with the procedures outlined in the Duty Office manual.

### Delegation of Authority and Orders of Succession

Delegation of authority and orders of succession are vital in continuity planning to ensure essential services are maintained even in the absence or temporary incapacitation of plan owners, executives, or their designees.

*Delegation of Authority:* Specifies the activities that may be performed by those authorized to act on behalf of the agency head or other key officials

*Orders of succession:* Provide for the orderly, predetermined assumption of senior agency positions during an emergency in the event that any officials are unavailable or unable to execute their legal duties.

DPHHS Policy Nr. 1.1.112 outlines the Transfer of Authority and Successor Responsibilities for the agency.

### Telework

Telework during continuity operations allows DPHHS personnel to continue to perform their regular jobs and ensure that essential functions are provided to our customers. Telework also increases the flexibility of the workforce, involve employees in day-to-day operations, and increase the resiliency of the organization, even if their work place has become untenable. Telework during times of crisis allows employees to conduct some or all of their work at an alternate worksite away from the employer's usual office. Personnel should be pre-identified and trained in the use of teleworking prior to COOP activation (MCA 2-18-120).

## Maintaining Continuity of Operations Plans

COOP plans are living documents requiring regular review and revision. COOP planners shall update their plans as changes occur. All DPHHS COOP plans are required to be updated

annually. The COOP Coordinator will send out a notice to all planners informing them that they will need to update their plans and provide verification to the Coordinator.

#### **Reorganization of Branch, Division or Bureau**

If a branch, division or bureau undergoes reorganization, they shall contact the COOP Coordinator so the changes can be coordinated with and submitted to DOA.

#### **COOP Security**

Personnel that have access to plans shall ensure they are maintained in a secure manner. Continuity plans contain information that is considered confidential (i.e., movement of facilities, reassignment of personnel, and key contacts personal information). See Appendix G for plan distribution and security.

## ***Section IV Maintenance***

The PHEP Section Continuity Coordinator or designee will review these procedures annually to ensure currency and accuracy. He or she will propose significant edits and procedural changes to a review group for advisory purposes to determine whether the procedures herein remain appropriate to the goals and capabilities of the Department. Goals of the review include:

- Ensure overall plan accuracy and readiness
- Address and resolve policy, methodology, and technological issues
- Coordinate with related plans, procedures, and protocols

A full scale COOP exercise will be scheduled once every five years and may be conducted as part of another exercise. A functional or full scale exercise should not be attempted until such time that all phases of continuity planning have been completed.

Training should be conducted for COOP on an annual basis. It is recommended that annually DPHHS leadership conduct a discussion based exercise or training that reviews COOP, reconstitution, and devolution procedures.

Minor corrections, edits, updates, or adjustments in this document do not need vetting by a review group. Those changes, however, should be tracked in a versioning method or in the Record of Change log.

## ***Section V Appendices***

**Appendix A**  
**Glossary**

**Appendix B**  
**State Essential Functions**

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**Considerations for Activation of the Continuity Plan**

**Appendix G**  
**COOP Plan Distribution and Security**

**Appendix**  
**DPHHS Duty Officer Notification**

## Appendix A      Glossary

1. **Affects:** Services a department must be able to perform in support of the SEFs, but may have a longer time to implementation
2. **Business Service Process:** Any essential service function of the business (e.g., payroll, state budget, training, and continuity planning)
3. **Critical:** Those services a department must be able to perform in support of the SEF's before, during, and in the immediate aftermath of an incident
4. **Criticality Ratings:** Determine the order in which Business Service Process are restored
5. **Does Not Affect:** Those remaining services that are in support of the department's mission but are not critical to sustain the SEFs
6. **Equipment:** For the purpose of this document, equipment is those items that are nonexpendable, (e.g., computers, printers, copiers, etc...)
7. **Continuity of Government (COG):** A coordinated effort within each branch of government to ensure that State Essential Functions continue to be performed during a catastrophic emergency
8. **Plan Owner:** For the purpose of this document, can mean the Director, branch manager, division administrators, or bureau chief
9. **Supplies:** For the purpose of this document, supplies are anything that is expendable (e.g., pens, paper, paper clips, etc...)
10. **Tasks:** A function performed with the purpose of fulfilling an objective. Tasks are the overall steps that are required to complete the process listed in the BSPs

## Appendix B State Essential Functions

Montana's State Essential Functions (SEFs) [MOM Policy 1240.X14, July 1, 2011]

1. **Maintain Continuity of Government.** Focus: Ensure the continued functioning of critical government leadership elements, including: succession to key offices; organizational communications; leadership and management operations; situational awareness; personnel accountability; and functional and judicial organizations (as necessary). The State will identify the various subordinate mission essential functions necessary to accomplish this overarching mission.
2. **Provide Visible Leadership.** Focus: Visible demonstration of leaders effectively dealing with the crisis and leading the response efforts: this assists in providing and monitoring the threat and confidence of established government organizations and the public.
3. **Maintain Effective Relationships with Neighbors and Partners.** Focus: Maintain external relationships and agreements with a wide variety of entities; this may vary considerably across the various States, territories and tribes. This includes communications and interactions, as necessary during a crisis, with critical partners and organizations, including the Federal Government; other State, territorial and tribal governments, private sector and non-profit organizations; and may include foreign governments and organizations in some cases.
4. **Maintain Law and Order.** Focus: Maintain civil order and public safety (protecting people and property, and the rule of law); ensuring basic civil rights, preventing crime, and protecting critical infrastructure. This involves, State, territorial, and tribal governments and local law enforcement, and includes calling up of National Guard units to support these efforts.
5. **Provide Emergency Services.** Focus: Provide critical emergency services, including emergency management, police, fire, ambulance, medical, search and rescue, hazmat, shelters, emergency food services, recovery operations, etc.
6. **Maintain Economic Stability.** Focus: Manage the overall economy of the State government. While the Federal government is responsible for protecting and stabilizing the National economy and regulating the currency, State, territorial, and tribal governments have a responsibility to manage their jurisdiction's finances and ensure solvency. During a crisis affecting the economy, maintaining confidence in economic and financial institutions is critical at every level of government.
7. **Provide Basic Essential Services.** Focus: Ensure provision of basic services, including water, power, healthcare, communications, transportation services, sanitation services, environmental protection, commerce, etc. These are services that must continue or be restored quickly to provide for basic needs. Other less critical services (recreation, education) may be delayed or deferred at the discretion of the State government; the focus is on providing those critical services necessary to sustain the population and facilitate the return to normalcy.

## Appendix C      Criteria for Ranking Essential Services and Approval

1. Each BSP is ranked against each of the seven (7) SEFs as either critical, affects, or does not affect. These rankings are determined by the plan owner and their planners with input from DOA and the COOP Coordinator. Once rankings have been determined, DOA enters the information into the CMS/LDRPS program
2. The CMS/LDRPS program calculates the priority rating score for each BSP from 1 – 7000
3. These scores determine the criticality rating and the time to implement the BSP during an incident
4. Table 1 provides an overview of how the impact rating determines the score, criticality rating, and the time to implement
5. The current executive authority for each plan shall approve the criticality ratings with the COOP Coordinator. Once this is completed the COOP Coordinator will notify DOA

<b>Impact Rankings</b>	<b>Priority Rating Score</b>	<b>Criticality Ratings</b>	<b>Recovery Time Objective</b>
Critical	848 – 7,000 Points	1	0 – 24 Hours
Affects	144 – 847 Points	2	4 Hours – 5 Days
Does Not Affect	1 – 143 Points	3	>5 Days

Table 1

## **Appendix D      Consistency for ranking and approving BSPs**

Consistency for ranking and approving BSPs is ensured by the following:

1. All BSPs in DPHHS have been developed jointly with the plan owners, planners, COOP Coordinator, and DOA
2. The initial rankings of each BSP against the seven (7) SEFs are done jointly with DOA, the plan owner, planners, and the COOP coordinator
3. The approval of the criticality ratings are done with the plan owner, planners and the COOP Coordinator
4. To ensure consistency, all questions, request for services from DOA, and changes to continuity plans must be submitted and reviewed by the COOP Coordinator prior to submission to DOA

## Appendix E Minimum Required Supplies

1. With the exception of the "Supply Starter Package" (listed below), most items will not be held in reserve in case of an incident. At the time of an incident, supplies can be gathered from other departments within the State or the State Procurement Office will purchase required items as needed, (e.g., laptops, printers, etc...).
2. Storing of supplies and equipment: Each office within DPHHS shall have a "Supply Starter Package", it is to be purchased and stocked by each section. The box should contain necessary office supplies to get through the first few days, if the building has to be evacuated. The "Supply Starter Package" should contain the required items listed below. The plans and the box should be kept in a secure location or at the alternate site.
3. Planners will update supply and equipment at a minimum annually.

Supply Starter Package*			
Minimum Quantity Required	Item Name	Minimum Quantity Required	Item Name
1	18 gallon Storage Container for Supplies (or larger)	1 pack – 100 per pack	Manila Envelopes (9" x 12")
1 package (dozen per pkg)	Tablets of lined paper (8 1/2 " x 11")	1 box	Envelopes (business size)
1 package (dozen per pkg)	Notepads (5 " x 8")	20	Envelopes for Interoffice Mail
1 box	Pens	1 Package (36 per pkg)	Post-it – 1 1/2" x 2"
1 box	Mechanical Pencil or regular pencils	1 Package (12 per pkg)	Post-it – 3" x 3"
1	Lead for mechanical pencil	1 Package (12 per pkg)	Post-it – 3" x 5"
2 boxes (dozen per box)	Highlighters (2 different colors)	1 Package (12 per pkg)	Post-it – 4" x 6"
2	Correction Fluid or ribbon	1 Package (12 per pkg)	Post-it – 4" x 6"
2	Standard Staplers	1 Package (12 per pkg)	Post-it – 4" x 6"
2	boxes of staples (to match staplers)	Assorted 1 Package	Rubber Bands
1 packages – 5 rolls per package	Tape	12 pack	Batteries – AA
2	Tape Dispenser	8 pack	Batteries – D

Minimum Quantity Required	Item Name	Minimum Quantity Required	Item Name
2 Boxes	Paper Clips	4 Pack	Batteries – 9 Volt
2 Boxes	Medium Binder Clips	1	Calendar
1 Box	Large Binder Clips	1	Telephone Book
1 boxes – 100 per box	Manila Folders	1 Boo/Sheet	Stamps
2 packages	Paper for printer & Fax	1	Flashlight
1	Copy of COOP Plan	1	Copy of Building Emergency Action Team (BEAT) plan

**\*Note the quantities and items listed are the minimum requirements**

**Appendix F**

**Considerations for Activation of the Continuity Plan**

	<b>Duty Hours</b>	<b>Non-Duty Hours</b>
<b>With Notice</b>	<ul style="list-style-type: none"> <li>➤ Is the threat aimed at the facility or surrounding area?</li> <li>➤ Is the threat aimed at organization personnel?</li> <li>➤ Are employees unsafe remaining in the facility and/or area?</li> <li>➤ Loss of information technology services.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Is the threat aimed at the facility or surrounding area?</li> <li>➤ Is the threat aimed at organization personnel?</li> <li>➤ Who should be notified of the threat?</li> <li>➤ Is it safe for employees to return to work the next day?</li> </ul>
<b>Without Notice</b>	<ul style="list-style-type: none"> <li>➤ Is the facility affected?</li> <li>➤ Are personnel affected? Have personnel safely evacuated or are they sheltering-in-place?</li> <li>➤ What are instructions from first responders?</li> <li>➤ How soon must the organization be operational?</li> <li>➤ Significant numbers of personnel are out due to illness or pandemic. This number will vary by plan and should be up to the plan owner.</li> <li>➤ Loss of information technology services.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Is the facility affected?</li> <li>➤ What are instructions from first responders?</li> <li>➤ How soon must the organization be operational?</li> </ul>

## **Appendix G      COOP Plan Distribution and Security**

1. The following designated personnel should be able to access their continuity plans as needed. This includes after business hours:
  - Plan Owner
  - Personnel listed in succession plan(s)
  - Team leaders listed in plan(s)
  - COOP Planners
  - Continuity Coordinator
2. Continuity plan(s) made be stored electronically (e.g., thumb drive or tablet) or a hard copy may be maintained. It is recommended that they be stored in both formats.
3. Continuity plans should be stored in a secure location and should not be left in areas where the general public can access them (e.g., trunk of car or desk top).
4. As continuity plans are updated, planners should ensure that designated personnel have received a current copy and destroy previous versions.

## Appendix H      Call to the Duty Officer Phone

Duty phone number: **444-3075**

Provide the Duty Officer with the following information.

- Description of the issue
- Who is currently involved
- What is being done
- What, if any, resource request, and
- Points of contact

The Duty Officer will notify the appropriate subject matter experts and department officials. He or she might return a call to clarify or gather more information.