What is the COOP and why should I Care?

• Required by N.C. General Statute 147-33.89

• Business Continuity Plan (BCP): A plan that details how an individual organization will ensure it can continue to perform its Essential Functions during a wide range of emergencies. (FEMA)

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

Purpose:

• Outlines priorities and procedures to restore essential DMF operations following events that disrupt normal business functions.

• Examples:
  • Extreme weather events (hurricanes, floods, etc.)
  • Pandemic disease outbreaks
  • Specific problems to specific areas (e.g., flooding of a LAN room)
Scope

• Applies to DMF processes and operations by location.

• DMF staff located in the Wilmington and Washington Regional Offices (WIRO and WARO, respectively) fall under the regional office COOPs. Once these offices are re-established by the regional office administrator, DMF program critical processes and priorities will restart operations.

• Addresses:
  • Normal business services
  • Services provided during emergency situations

Department of Environmental Quality
Objectives:

- Ensures continuous performance of DMF essential functions during an emergency.
- Ensures safety to DMF employees.
- Protects essential equipment, records, and other assets.
- Reduces disruption of operations.
- Minimizes damage and losses.
- Achieves orderly recovery from emergency operations.
- Identifies relocation sites and ensures operational and managerial requirements are met before an emergency occurs.
Continuity of Operations Plan (COOP)

Training

- DMF employees must be aware of the plan and how to implement during an event that disrupts operations.
  - This power point
  - Staff meeting discussions by team leaders
  - Updated personal contact information

- The division conducts and annual review and updates when necessary.
- The plan is tested through scheduled and unscheduled events:
  - Tabletop exercises (scheduled)
  - Snow days (unscheduled)
  - Power outage (scheduled and unscheduled)

- Hard copies* of the COOP will be distributed to be maintained at the office and home locations:
  - Director
  - Deputy Director
  - Section Chiefs
  - Other identified staff

*The COOP contains confidential information and is only shared and accessed by authorized individuals.
Continuity of Operations Plan (COOP)

Essential Functions (Business Processes)

• **Statewide Critical** - affects large portion of the state’s population or statewide core functions and needs to be restored within one (1) week or serious consequences will threaten the future of the mission.
  - Zero (0) functions identified in DMF

• **Agency Critical** - affects department’s core functions and needs to be restored within one (1) week. These processes must be restored or replaced by alternate processes from one week to one month to ensure a minimal level of service to citizens. Can be delayed until support systems (e.g. computer, phone service, and transportation) are restored.
  - Eight (8) functions identified in DMF

• **Program Critical** - affects a program’s core functions and needs to be restored within one (1) week to a time not exceeding one (1) month.
  - 30 functions identified in DMF

• **Non-Critical** - little or no impact on core functions - Can be delayed for longer than one (1) month without serious consequence to the mission. These processes are not included in this COOP
  - DMF did not identify any, but if not listed as agency or program critical, would be considered non-critical

*Department of Environmental Quality*
Continuity of Operations Plan (COOP)

Agency Critical Essential Functions

• COOP Development and Activation
• Compliance (provide law enforcement communications)
• Compliance (monitoring for fisheries regulations and public health regulations by land, water, and air)
• Laboratory Operations and Analysis
• Health Safety - Recreational Waters, Certified Shellfish/Crustacea Plants, & Harvesting
• Public Information Office (Communication)
• Technical IT Support (Computers, Software and IT Infrastructure)
• Facilities (division-owned)
## Program Critical Essential Functions

<table>
<thead>
<tr>
<th>Department</th>
<th>Program Critical Essential Functions</th>
<th>Programs/Support related to</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vessel, Vehicle and Heavy Equipment Outfitting &amp; Maintenance</td>
<td>Commercial Fisheries Statistics Programs - Trip Ticket Program</td>
<td>Permit Program</td>
</tr>
<tr>
<td>GIS Program</td>
<td>Commercial Fisheries Statistics Program - Quota Monitoring</td>
<td>Construct and Maintain Artificial Reefs</td>
</tr>
<tr>
<td>Accounts Receivable and Payable</td>
<td>Commercial Fisheries Statistics – Logbooks</td>
<td>Socio-Economic Program</td>
</tr>
<tr>
<td>Budget Planning and Analysis</td>
<td>Recreational Fisheries Statistics - North Carolina Coastal Angling Program</td>
<td>Support to the Marine Fisheries Commission</td>
</tr>
<tr>
<td>Purchasing Services</td>
<td>Recreational Fisheries Statistics - Tagging Program</td>
<td>Federal Aid</td>
</tr>
<tr>
<td>Warehouse Operations</td>
<td>Recreational Fisheries Statistics - Creel Surveys</td>
<td>Fishery Management Plans</td>
</tr>
<tr>
<td>Human Resources</td>
<td>Commercial License Program</td>
<td>Fishery Stock Assessments</td>
</tr>
<tr>
<td>Fishery Biological Data Collection</td>
<td>Coastal Habitat Protection Plan</td>
<td>Public Trust/Submerged Lands Program</td>
</tr>
<tr>
<td>Biological Database Management</td>
<td>Recreational License Program</td>
<td>Capital and Repair/Renovation Coordination</td>
</tr>
<tr>
<td>Shellfish Lease Program</td>
<td>Systems Development and Coordination</td>
<td>Mapping Shellfish Habitat</td>
</tr>
</tbody>
</table>
Continuity of Operations Plan (COOP)

Essential Functions (Business Processes)

• Each function has an assigned business owner – a section chief

Succession of Order

• Necessary in case the primary, key contacts are unavailable or unable to execute their duties.

• Division Level (in order):
  1. Director (Environmental Division Director)
  2. Deputy Director (Environmental Program Manager I)
  3. Fisheries Management Section Chief (Environmental Program Supervisor II)
  4. Marine Patrol Chief (MF Law Enforcement Director)
  5. Habitat and Enhancement Section Chief (Environmental Program Supervisor II)
  6. Shellfish Sanitation & Recreational Water Quality Section Chief (Environmental Program Supervisor II)

After the first notification by the Director/Deputy Director, additional contact are identified through a call tree following the chain of command to the following (each section is to maintain a call tree so that all employees are notified).

  1. Section Chief (Essential Functions Leader and Team Leader)
  2. Section Chief notifies next in line
  3. Supervisors notify employees

Note: Supervisors and employees are to keep each other informed of their status

Department of Environmental Quality
## Continuity of Operations Plan (COOP)

### Succession of Order by Location

<table>
<thead>
<tr>
<th>Location</th>
<th>First</th>
<th>Second</th>
<th>Third</th>
<th>Fourth</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Locations</td>
<td>Director/Deputy Director</td>
<td>Fisheries Management Section Chief</td>
<td>Marine Patrol Colonel</td>
<td>Habitat &amp; Enhancement Section Chief</td>
</tr>
<tr>
<td>Morehead City – Headquarters</td>
<td>Director/Deputy Director</td>
<td>Fisheries Management Section Chief</td>
<td>Marine Patrol Colonel</td>
<td>Habitat &amp; Enhancement Section Chief</td>
</tr>
<tr>
<td>Morehead City – Central District Office</td>
<td>Shellfish Sanitation &amp; Recreational Water Quality Section Chief</td>
<td>Fisheries Management Southern District Manager</td>
<td>Marine Patrol Captain</td>
<td>Fisheries Management Program Supervisor</td>
</tr>
<tr>
<td>Elizabeth City</td>
<td>Fisheries Management Program Supervisor</td>
<td>Senior* Conservation Biologist II</td>
<td>Senior* DMF Employee</td>
<td></td>
</tr>
<tr>
<td>Manteo</td>
<td>Marine Patrol Captain</td>
<td>Fisheries Management Program Supervisor</td>
<td>Senior* DMF Employee</td>
<td></td>
</tr>
<tr>
<td>South River</td>
<td>Marine Mechanic Supervisor I</td>
<td>Senior Research Vessel Captain</td>
<td>Senior* DMF Employee</td>
<td></td>
</tr>
<tr>
<td>WIRO/WARO</td>
<td>Regional Office Manager</td>
<td>Environmental Program Supervisor II/Environmental Program Supervisor I (WIRO) &amp; District MF Manager (WARO)</td>
<td>Fisheries Management Program Supervisor I (WARO)/Senior** Conservation Biologist II (WIRO)</td>
<td>Senior** Conservation Biologist II</td>
</tr>
</tbody>
</table>

*Senior = length of state service
### Essential Functions (Business Processes) Teams
- Responsible for leading, maintaining, response, and recovery

<table>
<thead>
<tr>
<th>Team</th>
<th>Team Leader</th>
</tr>
</thead>
<tbody>
<tr>
<td>DMF Administration and Management Team</td>
<td>Director and Deputy Director</td>
</tr>
<tr>
<td>DMF Administrative Services Team</td>
<td>Administrative Services Section Chief</td>
</tr>
<tr>
<td>DMF COOP Team</td>
<td>Director and Deputy Director</td>
</tr>
<tr>
<td>DMF DIT Information Technology Team</td>
<td>DIT DMF Section Chief</td>
</tr>
<tr>
<td>DMF Facility and Maintenance Team</td>
<td>Maintenance Services Section Chief</td>
</tr>
<tr>
<td>DMF Fisheries Management Team</td>
<td>Fisheries Management Section Chief</td>
</tr>
<tr>
<td>DMF Habitat and Enhancement Team</td>
<td>Habitat and Enhancement Section Chief</td>
</tr>
<tr>
<td>DMF Law Enforcement Team</td>
<td>Marine Patrol Colonel (Section Chief)</td>
</tr>
<tr>
<td>DMF License and Statistics Team</td>
<td>License and Statistics Section Chief</td>
</tr>
<tr>
<td>DMF Public Information Team</td>
<td>Public Information Officer</td>
</tr>
<tr>
<td>DMF Shellfish Sanitation &amp; Recreational Water Quality Team</td>
<td>Shellfish Sanitation &amp; Recreational Water Quality Team Section Chief</td>
</tr>
</tbody>
</table>
Reconstitution

• Once transfer of essential functions (business processes) has occurred, DMF will provide a status report for the following:
  • DMF staff
  • Employee displacement reports
  • Emergency response
  • Damage assessment and security of facilities
  • IT systems
  • Vital records assessment
  • Priority recovery efforts
  • Situation reports
Alternate or Reduced Facility Operations

- If one or more offices become inaccessible, essential business functions and operations will be transferred or replicated.
- The Director, Deputy Director, and Essential Function's Team Leader will coordinate to transfer processes.

<table>
<thead>
<tr>
<th>Morehead City Headquarters</th>
<th>Morehead City – Central District Office</th>
<th>Elizabeth City</th>
<th>Manteo</th>
<th>South River</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Employee homes</td>
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<td>1. Employee homes</td>
</tr>
<tr>
<td>2. DMF Central District Office</td>
<td>2. DMF Headquarters</td>
<td>2. Manteo</td>
<td>2. Elizabeth City</td>
<td>2. DMF Headquarters</td>
</tr>
<tr>
<td>3. DEQ Regional Office (WARO or WIRO)</td>
<td>3. DEQ Regional Office (WARO or WIRO)</td>
<td>3. DEQ Regional Office (WARO)</td>
<td></td>
<td>3. DMF Central District Office</td>
</tr>
<tr>
<td>4. DEQ Headquarters</td>
<td>4. DEQ Headquarters</td>
<td></td>
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</tbody>
</table>

Note: DMF staff located in the WIRO and WARO fall under the regional office COOPs’ alternative worksites. Most likely first alternative worksite will be employee homes.

Department of Environmental Quality
Summary

• Essential functions leaders and team leaders need to understand their role in implementing the plan.

• Circumstances (disasters) can place any employee in charge of operations (succession of order).

• Use opportunities such as snow days, power outages, etc. to test call trees and the plan.