

# COOP CONTINUITY OF OPERATIONS PLANNING

Procedures, Applications and Models  
for Intermodal Transportation and Security  
Prepared for  
University of Central Florida  
Center for Advanced Transportation Systems Simulation

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Final

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I. PROJECT TITLE

COOP(CONTINUITY OF OPERATIONS PLANNING) procedures and applications for Intermodal Transportation Safety and Security.

II PRINCIPAL INVESTIGATOR, INSTITUTION, TELEPHONE NUMBER, EMAIL ADDRESS

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### IV PROJECT OBJECTIVE

The objective of this project is to provide models and applications to the Intermodal Community, in Risk Mitigation, Continuity of Operations and Disaster Recovery. These models and applications will be based on the COOP theory of Disaster Recovery Planning, TSA guidelines, input from DRII(Disaster Recovery International Institute) and the instructors 12 years of experience in the field as a Certified Business Continuity Professional. The resultant study can be used by those concerned and/or tasked with the responsibility of their mission essential functions of the corporate, government, intermodal, or educational entity. This can range from the first time Executive, Director or Manager that needs to understand how to guide his/her staff, to the individual who has been in charge of security and wants more in depth training.

### V. PROJECT ABSTRACT

The mission statement and the goal would be to create easy to use, affordable Business Continuity and Recovery applications to the individual Intermodal communities, businesses, and associations. This is a critical project based on the obvious 9-11 results. This program will help ensure these entities mitigate risk for themselves, their customers and employees, people first. The model will also help mitigate risk against the legal ramifications, i.e. lawsuits that could be pursued by not effectively having a plan for contingencies.

### VI. TASK DESCRIPTION

To provide basic applications, procedures and models for Intermodal organizations current operational procedures in regards to risk mitigation, and continuity, training, ongoing quarterly and yearly operations, audits, continuing their operations,

These applications will be for novice individuals with minimal or no experience in the Business Continuity arena and will be applicable to the more sophisticated user who is looking for more depth in planning procedures and models..

#### VII. MILESTONES, DATES,(including Project Start and End Dates}

*Start date* immediate upon acceptance, as early as 9/14/04. (any deviation in date will push project back accordingly and will be accepted by External Project Coordinator via email or conference call.  
*End Date* 11/15/04

#### VII. Milestones:

- 9/14//04 Start Date and Acceptance,
- 10/7/04 First Update Due with list of Topics, feedback, research to date and changes if needed from Project Coordinator
- 10/21/04 Second Update, Changes submitted if any from 9/7 meeting.
- 11/5/04 3<sup>rd</sup> Update, final formal feedback before final revision is written.
- 11/15/04 Final Paper Submitted  
Feedback from Project Coordinator and future direction.

#### IX. STUDENT INVOLVEMENT

Not in this phase of the project.

#### X. RELATIONSHIP TO OTHER RESEARCH PROJECTS

To be determined, after initial research is completed.

## XI. TECHNOLOGY TRANSFER ACTIVITIES

1. Internal Training and offerings to Universities and Government Entities affiliated with UCF and the State who need additional training. Computer Sciences, Human Resources, Business Administration, University Administration, Physical Plant. To name a few.
2. On line training development in an effort to generate revenue and offer risk mitigation to the Intermodal Community that may not be able to attend classes or have the budget for travel.
3. WebSite offerings
4. Professional and Trade Organizations related to Safety, Security and other Intermodal Associations.

## XII. POTENTIAL BENEFITS OF THE PROJECT

*First and Foremost* the ability to offer the Intermodal community: Ports, Rail, Bus, Air, an opportunity to prevent disruptions and provided a safer, more secure environment for their employees, customers and the general public.

*Second:* to offer the ability to recover in a timely manner if an outage occurs.

*Third:* To educate and show the Intermodal community how to avoid audits and litigation, by keeping current with local and state statutes regarding COOP, and what their responsibility is at anytime.

## XIII. TRB Keywords

Risk Mitigation, Continuity of Operations Procedures, Contingency Planning, Safety and Security, Intermodal Transportation, Business Impact Analysis, COOP Plan, Business Recovery, Intermodal

**1. Executive Summary**( the purpose being to educate an executive or a decision maker to understand the Process in 3 minutes or less, a brief synopsis that could be repeated with accuracy.)

### **1.1 History of Disaster Recovery and Business Continuity both in Govt. and Industry and Division of Law Enforcement**

- Industry started in the mid 70's in the Midwest w/multiple back up centers.
- Defining moment was in 1979 with SunGard Recovery Services.
- By 1989 over 100 providers existed with over 240 million in annual fees.

#### ***Today's Market.***

- Comprised of 31 companies generating subscription fees of \$620 million
- The industry has grown by acquisition of companies and hot site subscribers
- Market is now dominated by SunGard, IBM, and HP who control over 80% of the revenue and market share.

***Please refer to Addendum for a glossary of terms that are attached.***

*What does COOP have to do with history?*

- COOP has been spawned off of many different types of Business Continuity Practices, but did evolve out of the Homeland Security Mandates from 9-11 as an easy to use format for the all public sectors.

*Where have you heard COOP Plan being used the most recently and by whom?*

- During Hurricane season 2004 when our Governor Jeb Bush and Our Attorney General Toni Jennings asked every Intermodal Sector of our State and each and every Private and Public Sector that was not a part of the Intermodal Community to launch and execute their COOP plan.

### **1.2 Definition of COOP... What is COOP?**

(A COOP plan itself and what is expected for minimal marks will be identified with the mandates that follow. A sample of COOP deliverables for guidance, a risk analysis, and a sample Business Impact Analysis are attached as an addendum at the end of this report.)

*By definition, COOP is the Continuity of Operations planning for State and local government organizations. It is a good business practice whether it is a Category 5 hurricane, natural or terrorist event. It is an effort within individual departments and agencies to ensure the continued performance of minimum essential functions during a wide range of potential emergencies. This is developed through plans, comprehensive procedures, and provisions for alternate facilities, personnel, resources, inter-optimistic communications and vital records/databases. Its roots are old but its sting is current since 911.*

### **1.3 Objectives, Responsibilities, Procedures**

A state agency or a publicly held company is required by Florida Statute Sections 252.35 (2) (k), 252.35 (2) (n), and 252.365 to produce a comprehensive Continuity of Operations Plan (COOP) with an "all-hazards approach to address the full spectrum of potential emergencies." In addition, the Intermodal Sector is required to "develop, approve, and maintain COOP plans and procedures for headquarters and all subordinate elements." Subsequent amendment 2002-43 Florida Law mandates the twelve essential elements that all COOP documents must contain.

All units are required to inventory the functions they provide to the Intermodal Sector and then determine which functions are the minimum, or mission essential, meaning those that, in general, enable any state agency or Intermodal Sector to "provide vital services, exercise civil authority, maintain safety and well-being of the populace, and sustain the industrial and economic base in an emergency." For the Intermodal Sector specifically this means those functions essential to viability of the Intermodal Sector and its operations. Units need to consider not only functions they may or may not perform during an emergency event; they must also consider what essential functions they perform for 30 days while the Intermodal Sector recovers from an emergency

If a unit has a "mission essential function" while the Intermodal Sector is shut down, it is required to write a COOP. All units, however, have common "mission essential functions" such as 1) alert and notification of unit personnel (how they can be contacted when to return or where something is stored) and 2) safeguarding vital equipment, records, and databases (who safeguards, who are their alternates, what is safeguarded, what is backed-up or duplicated, how often, and where are the duplicates and back-ups stored off-site are all questions that must be described in Unit COOPs).

Most sectors would shut down and cancel business functions if the Intermodal Sector was closed for a 30 day period. However, such action has important ramifications. For example, some Ports such as the Port of Canaveral if closed for due to a hurricane may have to reroute any items that would spoil in an effort to save the cargo and avoid lost revenue. Finding alternate sites and methods of transportation might be a key element in an Intermodal Sectors COOP. Likewise, any research that is tied to a time table, storage new contracts, or grant could be mission essential since the loss of the facility could result in a loss of current and future revenue. Identifying needs and facilities required at an alternate location for 30 days to perform essential functions is a key element that must be addressed in all COOP documents. The size and facilities at an alternate site depend on the mission essential functions defined by each unit.

- **What are the COOP's Procedures?**

- **Provide Purpose, applicability and scope, and authorities and references**

- **Describe the concept of Operations**

- Key Staff, Mission Essential Functions, Direction and Control, Alert and Notification

- **List Responsibilities and procedures**

- **Outline Phases of COOP: Activation, Alternate Operations, and Reconstitution and Termination.**

- **Contain Annexes with detailed information on each of these essential elements.**

Within each of these components the following objectives should be included: delineation of mission essential functions; a decision process for activation; a staff roster; additional procedures to ensure readiness (duty and non-duty hours, with and without warning) provisions for personnel accountability; reliable processes to acquire additional resources " ***to sustain operations for 30 days; and provisions for attaining operational capability within 12 hours of activation. This is so important because this is where the Intermodal Sector will be audited and fined by the Governors office.***

The following information which contain the rest of the COOP procedures can be trained in a workshop component for each Division

In addition to the COOP Plan it is necessary to prepare accompanying Standard Operating Procedures to establish applicable processes for coordinating activities with appropriate internal units and external organizations with the requisite resources. For example: plan to notify customers of new work location, phone numbers, mail and email and keep them updated.

- **Prepare Procedures for acquiring resources necessary to sustain operations for up to 30 days.**
- **Develop Site-Support Procedures for alternate facilities and ensure building evacuation and COOP plans are amalgamated.**
- **Alert and Notification Checklist and Rosters**
- **COOP Implementation Plans which should be kept offsite with all administrators.**
- **Communications Plans**
- **Building Evacuation Plan (Emergency Action Procedures)**
- **Family Preparedness Plan**
- **Protection and Safeguarding of Vital Records and Databases**
- **Order of Succession Implementation in Emergency Conditions SOP**
- **Contingency Procedures for Availability of Vital Records and Databases**
- **Annual Review and Remedial Action Plan**
- **Pre-Positioned Resources and Drive away Kit standards**
- **Advance team COOP SOP**
- **COOP team SOP**

- **Facility Vulnerability Assessment**
- **Unit COOP Implementation Plan**
- **Relocation Group Rosters and Updates**
- **Logistical Support SOP Mobile Communications Support SOP**

#### **1.4 What COOP is not....and why are the auditors so busy now and historically?**

Emergency Management Plans are not COOP Plans or Business Recovery Plans. These plans are historically used in conjunction with the COOP plan or the Disaster Recovery Plan. The emergency ops plans are based on County regulations and police procedures. The old methodology of dialing 911 is not acceptable for the COOP methodology. In a multiple disaster scenario EVERYONE is calling 911. Issues like Hazmat, chemical fires, bombings, etc., are always a part of both an Intermodals understanding of their County's Emergency Operations Plans, and an understanding of where it belongs in their COOP plan. The responsibility of how the mission essential functions of the Port or the Railroad continue, still remains with that Intermodal sector.

Y2K plans are not Business Recovery Plans or COOP Plans

Y2K plans occurred and were mandated by the auditors prior to the Year 2000. Publicly held companies had Fiduciary Responsibility to their stockholders if they had data systems that were going to come to a screeching halt once the clock struck 12 AM on New Years 2000. It was the first mandated government effort and wake up call to all Publicly held and Government agencies to "reassess" their current Disaster Recovery Plans and ask a few of the following questions:

"Will we be in business tomorrow, and if not what do we lose each and every hour?"

"How long will it take us to get productive and will our customers wait?"

"Who are competitors and who will eat up our market share while we are down?"

"Can we be sued for not protecting our mission essential functions by the stockholders or the public?"

## 1.5 Why use COOP over other plans for Intermodal Sectors?

The reality is that there are many other methodologies and plans to choose from when it comes to planning for a business interruption. The following are a few companies, (their websites follow in the addendums with contact information please see Section ....).

- DRII, Disaster Recovery International Institute
- DRJ, Disaster Recovery Journal
- SunGard
- IBM
- HP
- Strohl
- Best Practices

What I see after 21 years of experience in the IT and DR industry are fairly simple and straightforward. ***Ease of Implementation, cost and follow-up.***

Studies of these products lead to legitimate questions. For example, what does COOP Cost to implement? The reality compared to other plans is very little. Why? Because besides training for the coordinators which include materials, it only has internal costs to the Intermodal Sector and is a wonderful plan for a novice in the planning industry.

- A minimal of 35K less per department that would be paid in the public sector for planning, for the initial planning phase. The planning process per department is based off of the consultant's fee per hour, the reports timeframe, the depth of the department's mission essential functions, the software to support the plan ongoing and many other factors.
- It does cost an individual cost per hour for an additional work load of the individual who is the planner, but then the Intermodal Sector owns the plan, its execution and its development and testing.

## **1.6 What makes a COOP plan so beneficial compared to other planning methodologies?**

- By far the simplest place and plan for a novice to implement, or a Security Professional to build upon if hired for this role.
- The Cost
- The Resources, especially the training arm and the website support.
- The consistent terminology used amongst agencies and peers and support groups among the State of Florida and other States, it is transferable.

## **1.7 What will be learned in this Summary that will be applicable to the Intermodal Sectors, of Florida and other States.**

- The History of the COOP
- The risk of not having a COOP Plan and the benefits of having a COOP Plan.
- Other Options and Websites to either build upon a COOP plan, or create a COOP Plan.
- Terminology to “talk the talk and walk the walk.”
- Terminology to identify in a contract, if and when an outside vendor is needed, and many times an outside vendor is needed.

## **1.8 What did I learn and what can the Intermodal community learn from my experiences of facilitating a large Universities Plan, UCF**

- By its nature a COOP plan is a very political subject that will go internal due to the cost of outsourcing.
- The Intermodal Sector itself is very diversified, much like a small city.
- It’s voluntary until the President and/or an Executive Staff gets directly involved.
- Successful testing is crucial before hurricane seas
- With continued outreach a COOP plan will spread to other departments that see the value of being involved and being secure.
- The security of a COOP plan, public vs. private is very different with regards to the Sunshine law. This area is still under much debate. A

confidential plan is critical along with Non-Disclosure forms signed by those who have ownership.

- Terrorism will always be an issue to publicly revealed plans, and terrorism will unfortunately always be in our time.
- Resources are not always immediately there for back up and, so creativity is crucial for protection and lobbying for a grant is critic

### **1.9 What will make a first effort successful?**

- Leaders from Environmental Health and Safety, or the physical area of a company and the Computer Science areas taking charge.
- Hiring an outside consultant with experience to facilitate under a time crunch and to guide the team through the politics.
- A leadership COOP committee defined much like the military that could declare an incident and that is organized.

### **1.10 What other choices does the Industry look at for planning and Security?**

- DRII, Disaster Recovery International Institute
- DRJ, Disaster Recovery Journal
- SunGard
- IBM
- HP
- Iron Mountain
- Other Similar Businesses

### **1.11 Why as an Executive should I support COOP and the amount of work it will take to create such a plan?**

For many reasons, the highlights follow but what is your first and most important and entrusted resource?

ALWAYS, ALWAYS, ALWAYS.....YOUR PEOPLE! YOUR PEOPLE! YOUR PEOPLE!!!

### **1.12 What are the legal ramifications?**

*The main penalty Universities and Government agency's would be facing would be from the Governor's Office since he issued the Executive Order*

*80-29 mandating we participate in statewide disaster preparedness. This is a National Effort, not just a Florida effort.*

*A Publicly held company could be sued up to hundreds of thousands of dollars per hour based off of their last audit results and by their stockholders for neglecting their Fiduciary responsibility.*

## 2. Introduction

### 2.1 History of the Industry, yes there was a billion dollar industry prior to 911

The U.S. computer backup industry began in the mid-1970's with the introduction of several small regional backup computer facilities located in the Midwest. The defining moment was the establishment of SunGard Recovery Services in Philadelphia, Penn., in 1979. Over the next 10 years, the industry grew to over 100 providers of backup computer centers located throughout the U.S. By 1989, \$240 million in annual subscription fees were generated from a rapidly growing number of clients. Vendors marketed their services as "hot sites" which were designed to provide stand-by computer resources, in the event that one or more subscribers required an alternative computer center to process critical applications.

This requirement was usually prompted by an actual or perceived event that could render the subscriber's computer systems inoperable. The activation of the hot site services was initiated through the formal declaration of a disaster. The definition of "disaster" varied by client, and, subsequently, hot site providers allowed broad interpretation. For example, clients have activated

Today, the industry is comprised of 31 companies which represent the majority of the hot site providers who generate subscription fees of \$620+ million annually. The industry has seen substantial consolidation since 1989. In fact, this trend continues with the acquisition of XL/Datacomp's 1400 hot site subscribers by SunGard in 1994. This consolidation has created a situation where the market is now dominated by 3 companies: Comdisco, IBM, and SunGard. These companies now control over 80 percent of the market in both revenue and subscriber base.

The hot site industry has successfully recovered 582 companies since 1982 with an average of 40 per year. Nearly 44 percent of these recoveries have resulted from regional events where multiple subscribers have been affected simultaneously. In not one case has a client been denied access

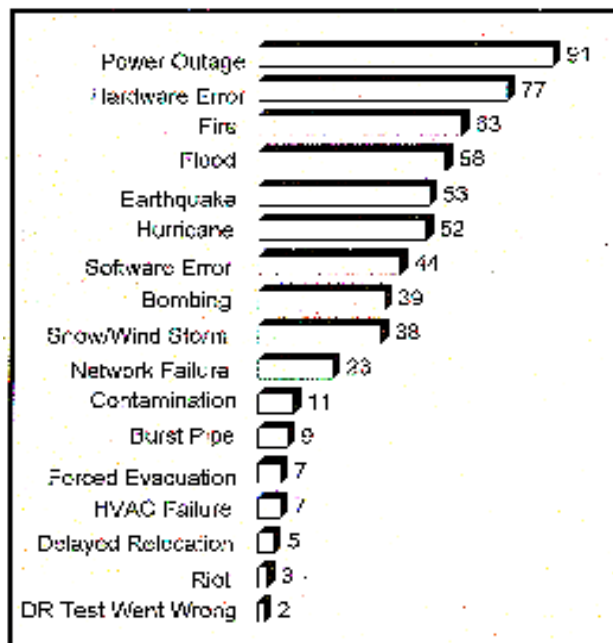
to a recovery facility because of excessive demand. The event most likely to send a company to a hot site is loss of power, followed by hardware errors and fires.

One of the most interesting facts that have become evident from research is that nearly 50 percent of the companies requiring the use of a hot site spend less than 72 hours there. This points to a fundamental problem in the industry of premature declaration of disaster. Companies tend to declare a disaster quickly during a potential event, fearing they will not be admitted to the hot site because of "first-come, first-serve" philosophy.

## 2.2 What happened on 9-11

- How did the Country change in their thinking and now what are the leading causes of disruption?

Leading causes of disruption per the DRJ's (Disaster Recovery Journal's Research as of 12/2004)



It is simplistic to say that 9-11 made us all rethink our safety and security. But in essence it rocked every fiber of every being since most of us prior to this event assumed we lived in the land of the free. The attacks in New York, PA and Virginia resulted in full out quest for "Homeland Security."

Now we understood Disaster Recovery, Business Continuity, and more importantly Risk Mitigation was not just for big business anymore. We realized we as a country can be penetrated anywhere at anytime and became much more aware of our day to day lives and what we all could lose. We lost people, our most precious asset not only for who they were but for their intellectual property that created a very negative domino effect on the economy.

What spawned COOP was the National Strategy for Homeland Security in 2002. As stated in previous paragraphs, this is not a new market. The government just started to get *publicly* involved to create a virtually “free plan” to help all who wanted to aid in the protection of our country and their assets.

*COOP is not a Florida initiative, it is a National initiative which makes it easy to implement across departments, divisions and States.*

Since then the public has taken steps to identify the risks that could be pertinent to their homes and to their businesses and do something in a planning capacity to mitigate the risk. The downside of 9-11 are all of the tragedies that keep on giving. The upside of 9-11 is that 9-11 served as a wake up call to make us stronger in our Ports, in our Airports, on the highway, in our trucks, on our trains, in our Data Centers, and on the streets.

The assessments start in our own businesses and homes, migrate to our local, State and Federal level. Identifying the “Mission Critical” infrastructures can also be accomplished by going through each phase of the COOP plan and paying attention to some of the studies that have been done, some of these will be noted at the end of this report.

These infrastructures for example would be major highways, they could be airports with heavy traffic and high profile passengers like Ronald Reagan Airport. The point is that we can mitigate our risk and if an event occurs we can recover more quickly as long as we put a plan in place and work the plan.

### **2.3 Why Business resumption instead of Disaster Recovery?**

What is the difference between Disaster Recovery and Business Continuity?

Both can utilize planning tools, but Business Continuity takes the process further by planning for the disaster ahead of time so that business

continues to process and does not lose revenue or its precious assets like people. Business Continuity plans for the rainy day and if the hurricane is coming migrates the business to the back up center and has plans in place for its employees to continue to make a living and be safe in the process.

- **BUSINESS CONTINUITY PLANNING (BCP):** Process of developing advance arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions continue with planned levels of interruption or essential change. SIMILAR TERMS: Contingency Planning, Disaster Recovery Planning

## **2.4 How will the COOP plan be shown to work in the Intermodal Sectors?**

In the Intermodal Sector, on every port, in every airport, in every train Station, and within the world of Trucking, there are large carriers and small carriers; there are departments with budgets for writing plans and departments that do not have a budget. The COOP plan provides a methodology that is cost effective, easy to learn, supportable, and that provides an opportunity for every individual within these entities to take responsibility for their jobs, their company, and most importantly their safety.

Within each one of these sectors studies have been done to assess the vulnerability of many highways, ports, etc. These reports will be noted at the end of this report as tools to read if they apply to your specific Intermodal Sector. There will also be tools given that are normally paid for in an effort for each company within the sector to assess their own risks, and then how to act on those risks in an effort to mitigate.

These assessments and their sectors own their internal assessments and these will then roll up into some of the data needed for the COOP plan that can then be plugged into that area of COOP that it pertains.

## **2.5 How will the COOP plan differ from Emergency Management Plans?**

Emergency Management Plans are not COOP Plans or Business Recovery Plans. These plans are historically used in conjunction with the COOP plan or the Disaster Recovery Plan. The emergency ops plan is based on County regulations and police procedures. The old methodology of dialing 911 is not acceptable for the COOP methodology.

## **2.6 How will we show the COOP plan being easy to use and accessible to the Intermodal Community?**

We will show samples and methodology that are easily accessible to the public. We will show forms, websites, and support groups and contacts in the addendum section.

We will note other assessments specific to each sector.

## **2.7 How will we show the cost effectiveness of such a plan?**

Besides the cost of time and materials, the COOP Plan is basically **free** compared to public products and companies. This is especially evident when a Business Impact Analysis is done and the loss of business outweighs the cost of COOP materials and the planning process associated.

## **2.8 How will we show how a COOP plan is compatible with TSA and other Government projects?**

The COOP Plan was created by Government, just like the retraining done by TSA after 9-11. The products were government mandated, the salaries are mandated by the Homeland Security Budget. The product came after September 11, 2001 and was spawned by the National Strategy for Homeland Security in July 2002. It is a National Effort which crosses over the entire nation.

## **3.0 Project Understanding**

### **3.1 What is the terminology used within this report and the definitions?**

[PLEASE REFER TO ADDENDUM1COOPBusContGlossary.doc](#)

### **3.2 Definitions of Various terminology used within the industry and this report.**

[PLEASE REFER TO ADDENDUM1COOPBusContGlossary.doc](#)

### **3.3 Timeline of COOP and reference to the Websites**

The COOP plan is usually submitted by December 31 of each year. The COOP governing bodies would like to see the plan tested by June of each year and then tested at least twice a year thereafter and changes submitted to Tallahassee or to the State which the Intermodal Sector

resides. As these changes, in Florida we can refer to the website: [www.FloridaDisaster.org](http://www.FloridaDisaster.org), for a proper or changing timeline. I still prefer to send the plan for compliance in writing and not electronically due to security issues. If sent electronically, save the files so that they cannot be changed or doctored without a password.

### 3.4 Who is currently using the COOP methodology and why?

There have been over 1750 separate public, private and government agency's that have submitted plans JUST to the State of Florida to date from December 2003 to now.

### 3.5 Who is being asked to submit a COOP plan in the future and why and are there examples of the Intermodal Sector of our Country?

Let's look at some Examples

- *Publicly traded company's* have always been asked to submit a Disaster Recovery Plan. The consequences were fines. In the past when auditors like KPMG or the company's internal auditors launched an audit on a specific department like IT or Payroll, there was more time to respond and update. Today and post 9-11, the timeframe without fines have gone from 3 months to 1 month. without a daily fee based off of the loss of business attached after the warning. *These publicly held company's can be CSX, USAir, American Airlines, FedEx etc.*

- *Privately held companies* may not have as stringent of guidelines as a publicly held company, but if they want to get there someday and if they want to stay in business and grow and retain high quality people they will protect their business and their investment. Some examples of privately held company's who should be planning are small trucking company's, maybe many that belong to NATMI, Cargo and Corporate Planes running out of the Executive Airports, LYNX etc.

- *Universities, City and County Government offices* are all submitting COOP plans and have submitted over 1750 plans in the State of Florida. Universities much like Ports resemble small cities and much can be learned from these plans. The politics are also strong in both of these entities. These plans in the State of Florida were tested severely in 2004 and their results and PowerPoint presentations are available on the

[www.FloridaDisaster.org](http://www.FloridaDisaster.org) website!

## 4.0 Technical Approach

### 4.1. Define Technical

What do we mean by technical? It is not only the Data Center but those areas that evolve around the technical and the physical approach to continuing business.

What needs to be considered from a Data Center Perspective?

- The staff and scripts that a new staff could duplicate.
- Electronic Vaulting
- Co-location in a pinch
- Testing twice a year without fail
- Systems that provide the business with the greatest revenue or the greatest risk by going down. Refer to the BIA
- Network Topology and Communication
- Software and its backup at a remote site with serial numbers
- Workgroup Recovery
- How the Data Center connects with the other business functions
- Phones
- Wireless Technology
- The War Room that houses the COOP staff

### 4.2 How does one start, and how many levels deep should one go.

**Start by going to the COOP Website where forms and training classes are available. An online training class is now available. There are also PowerPoint Presentations and real life examples and links to other plans and Disaster Activations that have occurred over within the year 2004.**

[www.FloridaDisaster.org](http://www.FloridaDisaster.org)

1. Form a Disaster Recovery Special Interest Group and a Declaration Process
2. Assemble COOP Committee from various departments
3. Assemble the COOP planning teams
4. Create a monthly training meeting with a proper new agenda and revisit last month's topic for questions.

5. Remember to only execute the COOP Plan in accordance with the nature of the emergency
6. Emergency Management teams will be contacted accordingly
7. Follow Crisis Communications Plan and do not deviate, loose lips sink ships!
8. Debrief after test or event and document, document, document.

#### 4.3 Who naturally is in charge of the plan in a business and why?

**The real answer always lies in the team approach, without your people a COOP plan is never effective but here are some sound approaches:**

A COOP Coordinator must be chosen.

Create an Executive team who have the power and the resources to declare a disaster and more importantly disperse anything needed from a monetary perspective is essential.

The COOP plan should be updated by the Disaster Recovery Coordinator quarterly and demand the same from the team.

Systems Disaster Recovery Plans will be updated as the Infrastructure changes and the master plan will be updated in accordance to those changes. The systems plan should still be updated once a quarter.

Living COOP plans will be used as the central repository for all critical business unit plans, these plans need to be kept offsite as well as with the coordinators.

Training on the COOP plan should be done Semi-annually

Table Top Exercises which involve Administrative Computing Staff and Critical Business units need to be done semi-annually.

**Note:** *In the future a CSO (Chief Security Officer) position is evolving in the Industry. This person will be at the top of the organization chart with the Chief Operating Officer and the Chief Technical or Information Officer in a direct reporting role but a lateral role to each other. The rest of the team's line up underneath these two positions. The reason for this is in the past the Physical aspects of the Company or Intermodal Sector have been ignored. For example the security guards at the gate of the port not reporting to the Director of the Port. This created too much risk. This*

*option can be utilized now for a progressive Port, Rail, Bus, Trucking or Airport entity.*

#### **4.4 What kind of buy in should I have from the Executive Staff and Why? To answer that question lets look at why a Plan can fail.**

What can make the process fail?

- Lack of buy in and ownership from the Decision Makers, whether that be Government, Public Sectors, Private Sectors, Small Business, etc. They own the budget and they have the experience with many areas of their mission essential functions or they would not have the title. They may also be held responsible from the Publics perspective for the people, and the loss of revenue.
- Not testing the plan and getting assigning a "COOP" Operating Officer a major role in an effort to educate him/her on all levels of the business that they may have been removed from with their day to day activities.
- Not updating the plan and keeping them involved when changes are made, or purchases or made or staff changes...
- Not keeping the plan with the team, or offsite where it is accessible, a master plan being kept with one of the Executive Staff or their Assistant.

#### **4.5 What did I learn and what could another Coordinator learn from facilitating a large Universities Plan, UCF and how can it be applied to the Intermodal Community?**

- By its nature a COOP plan is a very political subject that will go internal as far as people resources and back up due to cost.
- The Intermodal Sector itself is very diversified, much like a small city and like the University, each area of a Port may be run by a different business with different needs, each one needs to be looked at for its own individual mission essential functions.
- It's voluntary if you are not publicly held or a Government agency so until the President or an Executive gets directly involved it won't be successful.
- Testing the plan was timely due to hurricane season this year and saved many lives and revenue.
- With continued outreach it has spread to other departments that see the value of being involved, this will be the same at any Airport, Port, Railroad or Trucking company, it may start slow but will spread like wildfire.

- The security of a COOP plan, public vs. private is very different with regards to the Sunshine law. This area is still under much debate.
- Terrorism will always be an issue to publicly revealed plans.
- Unlike a public company, the resources are not immediately there for back up, so creativity is key for protection and lobbying for grants is critical.

#### 4.6 What made UCF's first effort successful?

- Leaders from Environmental Health and Safety, and the Computer Science schools taking charge
- Hiring an outside consultant with experience to facilitate under a time crunch
- Leadership COOP committees that we defined much like the military that could declare an incident.
- The ability to take advantage of a template that was already created and easy to train others on while not having to spend a lot of money and valuable resources.

#### 4.7 Sample COOP

[PLEASE REFER TO ADDENDUM2COOPPlan.doc](#)

- *This Sample of the COOP plans format is real and has been filled in with various data for each area that pertains to the Mission Essential functions of the an example of a University Bookstore. **Every business, every Intermodal sector will have different Mission Essential Functions.***

#### 4.8 Sources for COOP

- Authority Figures
- Sources for COOP, Websites, Contacts, Training, Costs. Timelines etc., for submission to State.

[www.FloridaDisaster.org](http://www.FloridaDisaster.org)

Contacting the Website will give a constant update on new trainers, new products, new forms, and a new timeline for submission. Right now along with the forms, this website gives over 400 examples of current plans, PowerPoint Presentations, real life examples and activated COOP plans, and names and phone numbers of those who are in charge of the Administrative area and Executive Contacts for the COOP process.

#### 4.9 What about the vertical market?

- Other Sources and Plans that have been submitted.

[www.FloridaDisaster.org](http://www.FloridaDisaster.org)

This website does have current plans that have been submitted for those who have taken advantage of the Sunshine Law. They may not have all information due to security purposes, but offer a great template that the individual Intermodal Sector can apply.

#### 4.10 Resources to various vertical market plans, Air, Rail, Ports, Trucking etc., Websites, National Studies

I. "The Vulnerability Assessment for FDOT D5 RTMC", contact Center for Advanced Transportation at UCF.

II. "A Guide to Highway Vulnerability Assessment for Critical Asset Identification and Protection" prepared by SAIC, Virginia, contact name Shahed Rowshan (703) 676-0848 for copies.

III. "A Guide to Updating Highway Emergency Response Plans for Terrorist Incidents" prepared Parsons Brinckerhoff-PB Farradyne, Maryland, contact name Mr. David Yohanan, (301) 816-1858, E-Mail: Yohanan@pbworld.com

IV. "Security Considerations in Transportation Planning: A White Paper", Steven E. Polzin, P.E. Ph.D. for Southeastern Transportation Center, [www.planning.dot.gov/Documents/Security Papers/Security Considerations\\_Polzin.htm](http://www.planning.dot.gov/Documents/Security%20Papers/Security%20Considerations_Polzin.htm)

V. "Guide to Developing an Effective Security Plan for the Highway Transportation of Hazardous Materials", developed by Battelle and Total Security US, [http://www.fmcsa.dot.gov/safetyprogs/hm/Security\\_Plan\\_Guide.htm](http://www.fmcsa.dot.gov/safetyprogs/hm/Security_Plan_Guide.htm)

VI. FEMA, Emergency Management Institute 2004 Catalog of Activities, <http://training.fema.gov/emiweb/rcdlists.htm>

VII. "Transportation System Security" the website and the following articles can be found by contacting Joedy Cambridge, [jcambrid@nas.edu](mailto:jcambrid@nas.edu), some of these articles that are:

USCG Maritime Strategy for Homeland Security 2/27/03

Canada to Launch Maritime Security Initiatives 1/27/03

FTA Transit Threat Level Response Recommendation 1/22/03

Recommended Security Guidelines for Facilities 1/22/03

Maritime Transportation Security Act of 2002 1/6/03

Homeland Security: Management Challenges 12/30/02

*These websites contain information in Transportation Security, Aviation Security, Surface Transportation Security, and Seaport/Maritime Security.*

• Other Websites are found in Section 5.0

#### **4.10 Documentation-See Addendums**

- Samples of blank COOP plan again

Please see Addendum2COOPPlan.doc

- Sample of a Risk Analysis

Please see AddendumCOOPRiskAssessment.doc

- Sample of a Business Impact Analysis

Please See AddendumBIAQuestionnaire.doc

#### **5.0 Pertinent and Associated Websites**

- All State and Federal Agency's related to Transportation Safety and Security.

- Websites for COOP

[www.FloridaDisaster.org](http://www.FloridaDisaster.org)

- Other Websites for Competition and their pricing. (Public Sector)

Please refer to AddendumDRVendorswebsites.doc

- Associations within the US that can be helpful to anyone in the industry to improve their plan.
- Government Agencies that may provide money for planning.

**[www.FloridaDisaster.org](http://www.FloridaDisaster.org), FEMA**

- Tradeshows for the Business Continuity Arena
  - ◆ DRJ, Disaster Recovery Journal, Coming to Orlando, FL March 6-9, 2005, [www.DRJ.com](http://www.DRJ.com)
  - ◆ 32nd Conference
  - ◆ Over 100 exhibitors
  - ◆ The ability to get certified with DRII(Disaster Recovery International Institute)

- Trade Associations

Association of Contingency Planners, American Association of Port Authorities Planning and Research, FEMA, NATMII, Association of American Railroads, American Trucking Association, Federal Transit Administration, Transportation Security Administration, Dept. of Homeland Security, Federal Emergency Management Association.

- Software Products

COOP, [www.FloridaDisaster.org](http://www.FloridaDisaster.org)

Business Continuity Planning, [www.rothstein.com](http://www.rothstein.com)

Disaster Recovery International Institute, <http://www.drii.org>

Disaster Recovery Journal, <http://www.drj.com>

SunGard Availability Services Precovery Product,

- Training Calendar (please refer to the following updated websites)

**[www.FloridaDisaster.org](http://www.FloridaDisaster.org) and [www.catss.ucf.edu](http://www.catss.ucf.edu)**

## 6.0 References including Legal

A state agency or a publicly held company is required by Florida Statute Sections 252.35 (2) (k), 252.35 (2) (n), and 252.365 to produce a

comprehensive Continuity of Operations Plan (COOP) with an “all-hazards approach to address the full spectrum of potential emergencies.” In addition, the Intermodal Sector is required to “develop, approve, and maintain COOP plans and procedures for headquarters and all subordinate elements.” Subsequent amendment 2002-43 Florida Law mandates the twelve essential elements that all COOP documents must contain

The main penalty Universities and Government agencies would be facing would be from the Governor’s Office since he issued the Executive Order 80-29 mandating we participate in statewide disaster preparedness. This is a National Effort, not just a Florida effort.

A Publicly held company could be sued up to hundreds of thousands of dollars per hour based off of their last audit results and by their stockholders for neglecting their Fiduciary responsibility.

[Please refer to AddendumCOOPrecommendedresources.doc](#)

## **7.0 Summary and considerations for Marketing and Cross polinization** within Intermodal Sector Colleges, i.e. Computer Science, Engineering, Business Administrations, College of Education etc.

Disaster recovery planning involves more than off-site storage or backup processing. Organizations should also develop written, comprehensive disaster recovery plans that address all the critical operations and functions of the business. The plan should include documented and tested procedures, which, if followed, will ensure the ongoing availability of critical resources and continuity of operations. COOP is not the only plan out there but it is a strategic place to start, and a plan and methodology that can be built upon and shared with colleagues across the nation.

The benefits of developing a comprehensive disaster recovery plan include:

- Minimizing potential economic loss.
- Decreasing potential exposures.
- Reducing the probability of occurrence.
- Reducing disruptions to operations.
- Ensuring organizational stability.

- Providing an orderly recovery.
- Minimizing insurance premiums.
- Reducing reliance on certain key individuals.
- Protecting the assets of the organization.
- Ensuring the safety of personnel and customers.
- Minimizing decision-making during a disastrous event.
- Minimizing legal liability

The market for hot site recovery services will continue to grow for the foreseeable future. If the current rate of growth which projects that this industry will generate in excess of \$1 billion annually continues, the numbers of subscribers have doubled since 9-11. The market will experience a few more minor acquisitions; however, there are few prime acquisition targets left. By the year 2000, CPR estimated the total number of major hot site providers dwindled to approximately 20 after 9-11 it dwindled to have of that due to acquisitions and over subscription.

Network recovery is a significant horizon in the disaster recovery industry. Recent decisions by Judge Green relative to the Local Carriers and the Long Line Carriers make their entering the disaster recovery business inevitable. To date, U.S. communications carriers have made only exploratory movements into disaster recovery these companies won't open h sites, but rather focus on moving and storing data to and from recovery facilities.

Since 9-11 specialized recovery services emerged and will continue over the next several years. The wide distribution of client/server architectures will require hot site providers to open more end-user facilities closer to where their subscribers are located and many will go internal due to cost. Hot sites have moved toward extremely large regional recovery centers connected to many end-user oriented business resumption centers connected by redundant networks. Backing up and storing of client/server data will become a preoccupation with the hot sites over the next several years as they hold the key to recovering sophisticated LAN, MAN, and WAN environments. The vendor that first provides an economical solution for data recovery will control this important emerging market.

The market will continue to be influenced by the number of annual disasters as well as legal statutes. More specifically, following each major disaster incident and issuance of a revised legal statute, there is an increase in new subscriptions for hot site contracts. Disaster recovery is still viewed as a discretionary expense and one which requires a catalyst to move management to take action on implementing a recovery plan.

In summary, the hot site industry will continue to grow steadily; however, enforcement of existing legal statutes relating to contingency planning and several major disaster events could increase the growth of this industry by an additional five percent per annum. This is according to the research department at Disaster Recovery Institute out of Reston Virginia.

Planning is key and the COOP plan on a National level best ensures the safety and security of the Intermodal Sector of America. COOP is a perfect companion planning product for their current security plans and future needs.