

Continuity of Operations Plan

ELECTION SECURITY





ELECTION SECURITY BEST PRACTICES
GUIDE & DATA CLASSIFICATION SYSTEM



Election
Information
Security Policy
Template



Election Security
Incident Response
Plan Template



Continuity of
Operations Plan
Template



Vendor Risk
Management Policy
Template



Election System
Security Plan
Template

WRITTEN INFORMATION SECURITY PROGRAM (WISP) TEMPLATES



Agenda

- Continuity of Operations Plan (COOP) Overview
 - What is it, How to use it, When to use it

- Structure of the Plan
 - Interoperability with the Written Information Security Program (WISP)
 - Essential Election Functions

- Must be tailored to the needs of **Your Organization**



COOP Overview: What Is It and Why Do I Need One?

A step-by-step plan to keep your essential election functions working during a disruption

- Things can and will go wrong
- Better structured for foreseen events and controlled changes
- This is your Plan B



When Do I Use It?

Activate the plan when a major disruption occurs.

Examples include:

- Internet access down
- Voting equipment unavailable
- ePollbooks not operational
- Tabulation machines down
- Computers, applications compromised
- Critical staff can't perform their duties
- Polling locations unusable



EIRP vs COOP: Blown Tire

Election Incident Response Plan

- Turn on flashing lights, pull over
- Notify somebody (911, family member, co-worker)
- Call insurance
- Determine next action (change tire yourself, call tow truck)
- Get back on the road

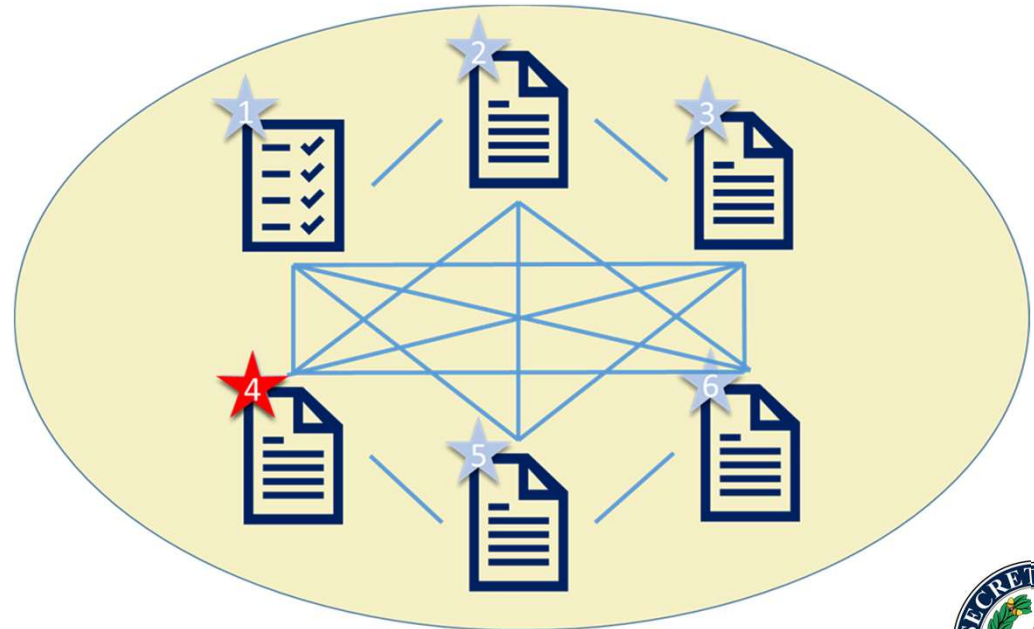
Continuity of Operations Plan

- Practice safe driving procedures
- Have emergency contact information available
- Ensure that spare tire and tools are available and in good condition.
- Road safety kit available
- Have a spare car to use, carpool

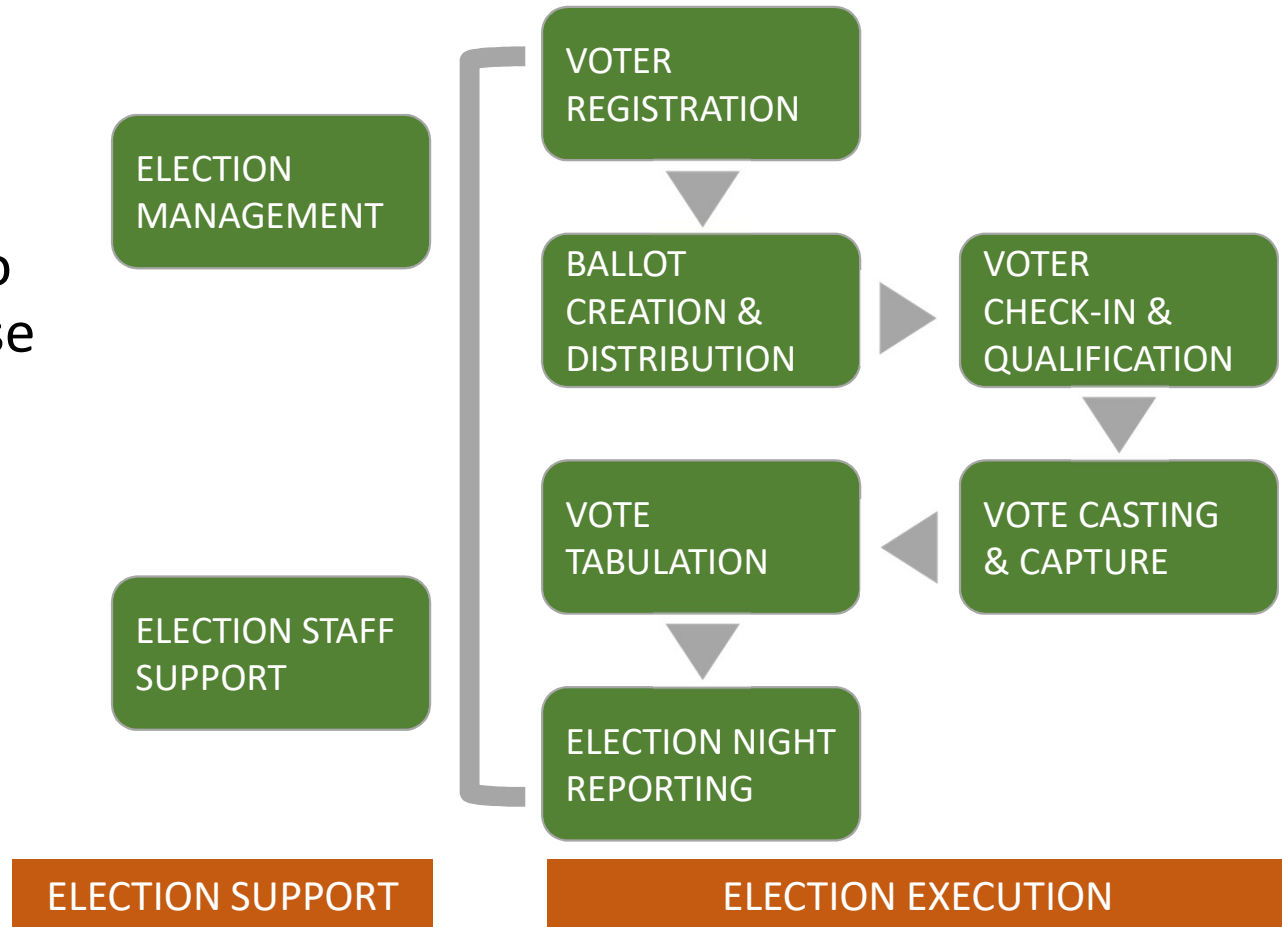


Written Information Security Program Interoperability

- ★ Election Security Best Practices Guide & Data Classification System
- ★ Election Information Security Policy
- ★ Election Incident Response Plan
- ★ Continuity of Operations Plan
- ★ Vendor Risk Management Policy
- ★ Election System Security Plan



- The COOP is your Plan B to maintain these essential election functions.



Structure of the COOP

Alternative
Technology
and Data Plan

TABLES WITHIN
DOCUMENT

Election
Continuity of
Operations
Contact List

APPENDIX A

Early Voting
and Election
Day Worker
Contact List

APPENDIX B

Responsibility
Succession Plan
& Job
Responsibilities
and Tasks Guide

APPENDIX C & D

Alternate
Utilities and
Facilities Plan
&
Relocation
Checklist

APPENDIX E & F



Structure of the COOP

Alternative Technology and Data Plan

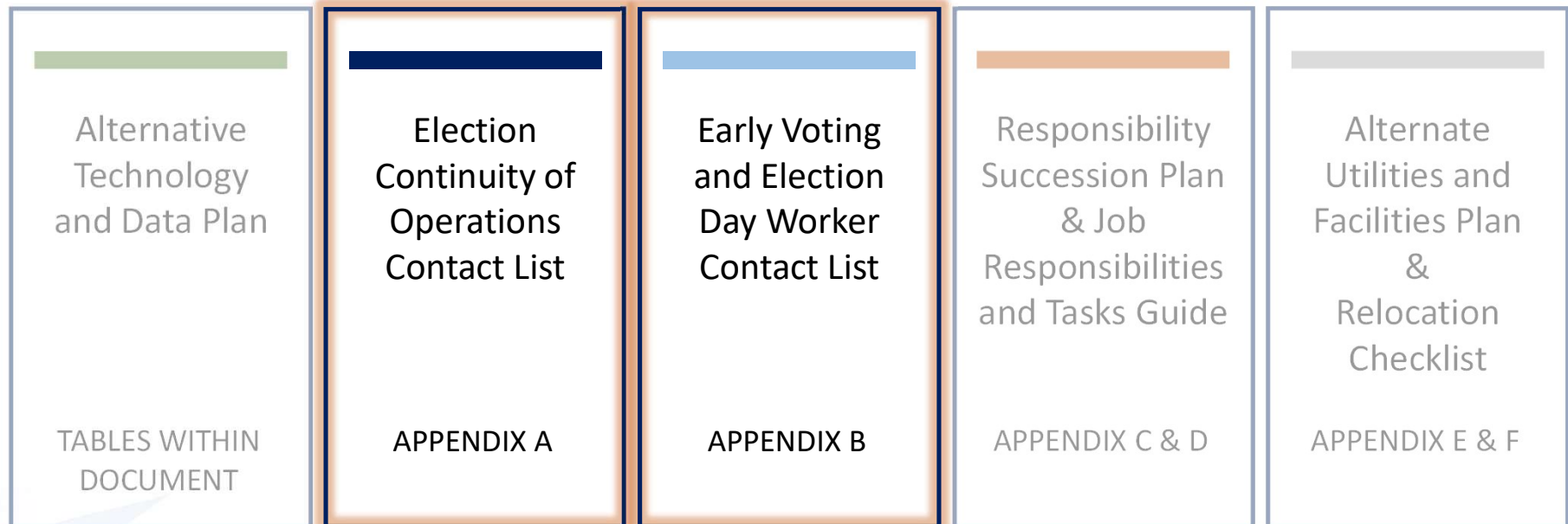
- Each of the 8 election functions has one of these
- Provides information on what resources you will use if your technology and data are compromised

Table 1: Election Staff Support Alternative Technology and Data Plan

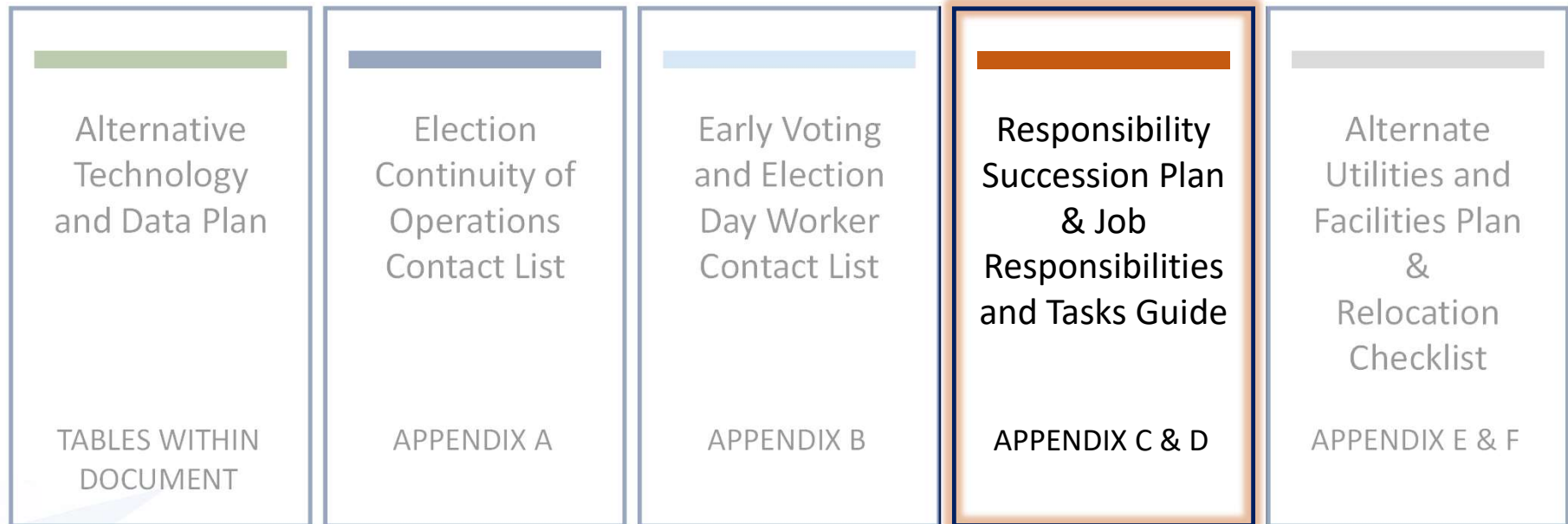
WHAT IS COMPROMISED	ALTERNATIVE	LOCATION	HOW TO ACCESS IT	ROLE WITH ACCESS OR RESPONSIBILITY TO TAKE ACTION			
				PRIMARY	DESK PHONE	NEXT-IN-LINE	DESK PHONE
Computer Needed for Essential Functions	Prepared replacement computer 1	Locked 2 nd floor storage closet	Key to closet	Election Administrator	123-456-7890	Voter Registrar	123-456-7890
Computer Needed for Essential Functions	Prepared replacement computer 2	Safety Deposit Box at First Dollar Bank	Key to safety deposit box, box number and approval	Election Administrator	123-456-7890	Voter Registrar	123-456-7890
Internet Access	Mobile Hotspot Device 1	Locked 2 nd floor storage closet	Key to closet and access credentials for Mobile Hotspot	Election Administrator	123-456-7890	Voter Registrar	123-456-7890



Structure of the COOP



Structure of the COOP



Structure of the COOP

Responsibility Succession Plan



Document

- Train next-in-line designees
- Set up access and permissions

Job Responsibilities and Tasks Guide



- Step-by-step instructions on duties for next-in-line designees

ROLE	DUTIES	PRIMARY	MOBILE #	NEXT-IN-LINE DESIGNEE	MOBILE #	NEXT-IN-LINE HAS DOCUMENTED JOB FUNCTIONS?	NEXT-IN-LINE HAS NEEDED CREDENTIALS AND PERMISSIONS?
Election Administrator	<ul style="list-style-type: none"> • Maintain Election Operations During Incident • Determine the Appropriate Continuity Plan Elements to Enact 	Jane Smith	123-456-7890	John Doe	123-456-7890	Yes	Yes

JOB RESPONSIBILITIES AND TASKS GUIDE			
Title: Election Coordinator			
Critical Responsibilities	Step-by-Step Task Instructions	Resources Needed	Resource Location
Arrange Voting Machine Transport to Polling Locations	<ol style="list-style-type: none"> 1 Create maps from courthouse to polling locations 2 Contact secure courier and arrange pick-up and delivery date 3 On delivery day, maintain accurate Chain of Custody record 	<ul style="list-style-type: none"> • Polling location addresses • Courier contract • Chain of Custody form 	<ul style="list-style-type: none"> • File cabinet in Dan's office in folder marked "Polling Sites" • File cabinet in Dan's office in folder marked "Vendors" • Election WISP binder in locked 2nd floor storage closet



Alternative
Technology
and Data Plan

TABLES WITHIN
DOCUMENT

Election
Continuity of
Operations
Contact List

APPENDIX A

Early Voting
and Election
Day Worker
Contact List

APPENDIX B

Responsibility
Succession Plan
& Job
Responsibilities
and Tasks Guide

APPENDIX C & D

Alternate
Utilities and
Facilities Plan
&
Relocation
Checklist

APPENDIX E & F



Structure of the COOP

Alternate Utilities and Facilities Succession Plan

- Plan for where to relocate to

Relocation Checklist

- All necessary items

ISSUE	SOLUTION	CONTACT	ESTIMATED COSTS	WHO IS RESPONSIBLE FOR TAKING ACTION			
				PRIMARY	MOBILE #	NEXT-IN-LINE DESIGNEE	MOBILE #
Short Term Electricity Outage at Election Main Office	Rent Generators from ABC Hardware as Per Negotiated Plan Requiring Them to Keep Three Generators on Reserve During	ABC Hardware Contact Info: Rep Name Phone # Email		Jane Smith	123-456-7890	John Doe	123-456-7890

	ITEM	LOCATION	WHO IS RESPONSIBLE
Longer Duration Electricity Outage at Election Main Office	Computers	Individual Desks	Each Staff Member is Responsible for His or Her Computer
	Written Information Security Program Binder	Locked 2 nd floor closet	Election Administrator
	Backup Hard Drive	Locked 2 nd floor closet	Election Administrator
	Mobile Hotspot Device	Locked 2 nd floor closet	Election Administrator
	Spare Tabulation Computer	Locked 2 nd floor closet	Election Administrator
	Main Tabulation Computer	Office 112	Office Manager
	Batteries and Chargers	Office 1B	Office Manager
	Extension Cords	Office 1B	Office Manager
	Encrypted USB Keys	Office 1B	Office Manager



Customizing the Plan: Adaptation

- Read through the entire plan template
- Make it specific to your county
- Include any information you would want to see coming in
- Begin adapting the template to your specific criteria
- Conduct tabletop exercises, drills or mock events



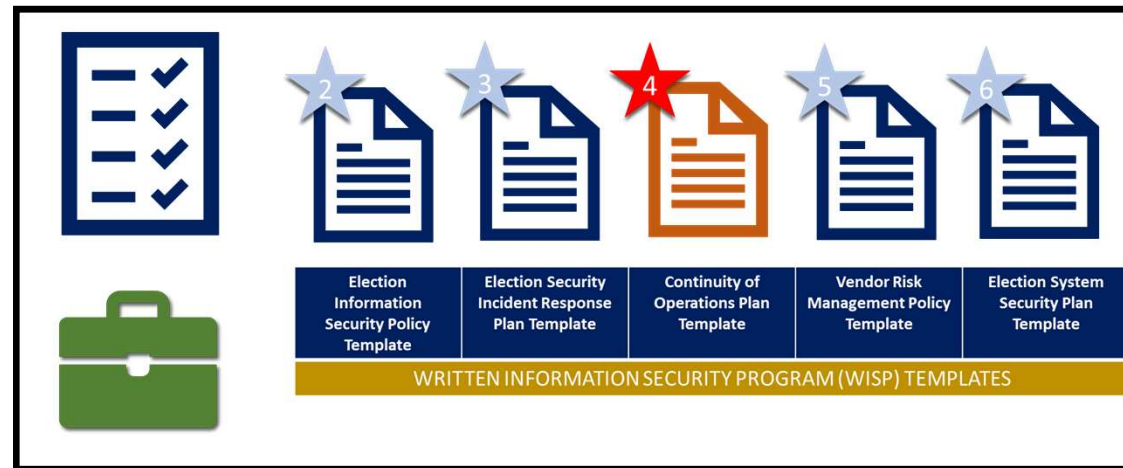
Customizing the Plan: Updating

- Review your plan and establish a schedule for updates
- Keep a record of all reviews and changes

PLAN REVIEW LOG						
ORIGINAL EFFECTIVE DATE <Date>						
Drafted By		<Name, Title>	Signature	<Signature>	<Date>	
Approved By		<Name, Title>	Signature	<Signature>	<Date>	
REVIEW AND REVISION LOG						
REVIEW SCHEDULE		General Election Years: December after elections	Legislative Session Years: July after SOS Law Conference	After an incident or practice drill		
Review Date	Revision Date	Revision Description	Drafted By: Name, Title	Signature, Date	Approved By: Name, Title	Signature, Date



Customizing the Plan: Implementing



Once you have made the plan your own:

- Work with your organization to implement it
- Train your staff
- Continue working on the other documents in the Election Security Toolkit



AVAILABLE SUPPORT



WEBINARS



TRAINING



RESOURCES

ELECTION SECURITY TRAINERS
ElectionSecurity@sos.texas.gov





Q&A

