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Continuity of Operations (COOP) Plan

February 26, 2019



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What if . . .



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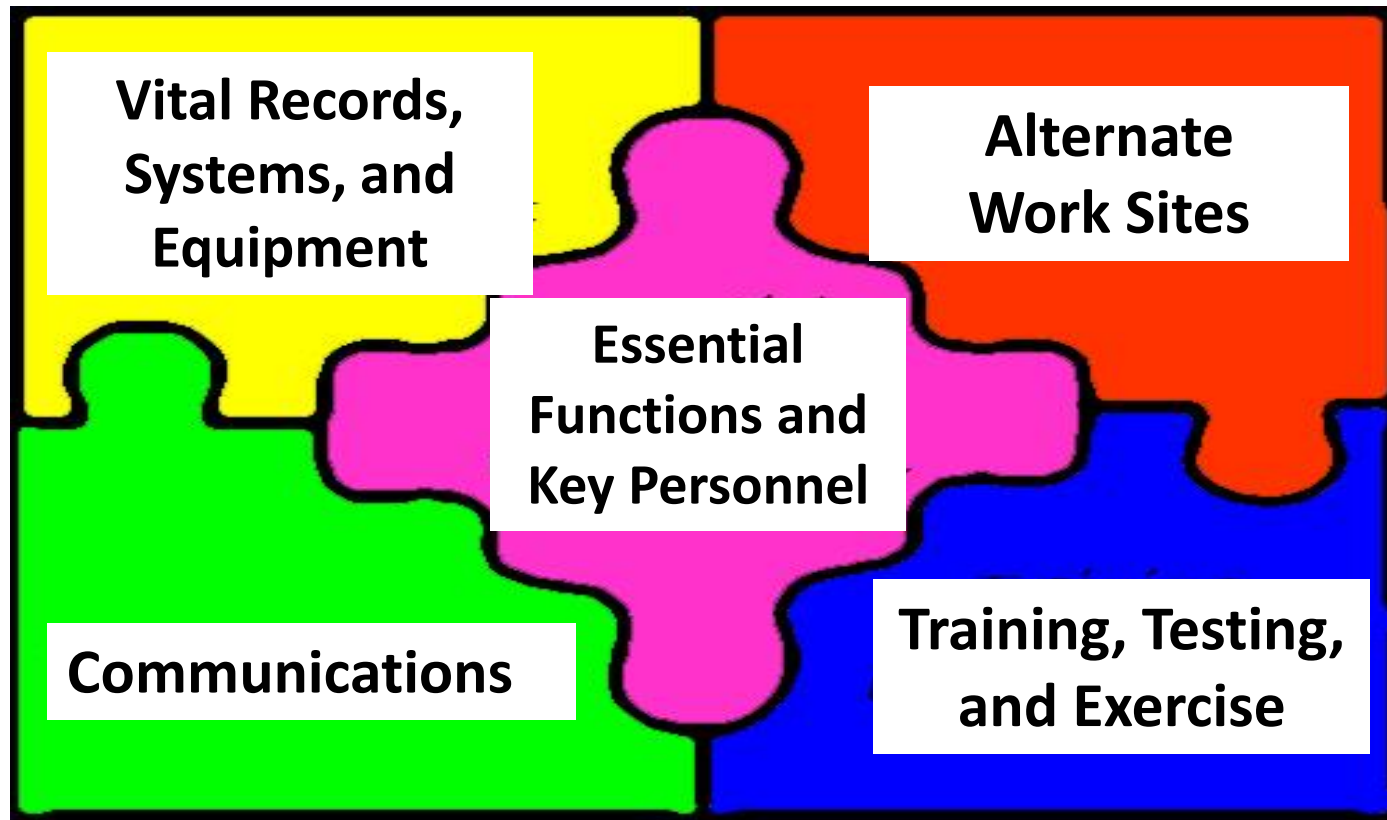
Continuity of Operations:

A **planning effort** within an organization to **ensure** that its **essential functions continue** to be preformed during a wide range of emergencies until normal operations can be resumed



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COOP Considerations:





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What is a COOP Event?

Loss of **access to a facility** (in whole or in part)

Cause: fire, tornado, flood, etc.

Loss of **services** due to a **reduced workforce**

Cause: pandemic influenza

Loss of **services** due to **equipment or system failure**

Cause: IT system failure,



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Why Have a COOP Plan?

Provides a **framework** which will **ensure the continuation of essential functions and services**

Supports and implements contingency operations until normal operations can resume

Kentucky Revised Statute (KRS) 39A.220



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KRS 39A.220 (1)

Each agency, board, or commission of state government, unless the requirement is waived, in writing, by the director, shall develop agency **emergency operations procedures** which are consistent with and which **meet the requirements** of the **Kentucky Emergency Operations Plan**. The agency emergency operations procedures shall be updated not less than yearly.



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Kentucky Emergency Operations Plan

It is the policy of Kentucky to respond quickly at all levels in the event of an emergency or threat resulting from human, technological, natural, or other causes, **and to ensure the ability to perform essential functions under all circumstances.** To achieve these objectives, Kentucky has established a Continuity of Government (COG) Plan. **The Executive, Legislative, and Judicial branches will each establish a Continuity of Operations (COOP) Plan that is supported by, and interfaces with, subordinate agency and departmental COOP Plans.** The KYEM Planning Branch maintains the Commonwealth’s COG Plan.



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Benefits of COOP Planning

Enables an agency to **maintain essential functions** despite disruptive events

Allows an agency to **anticipate events** and necessary **response actions**

Improves performance through the identification of essential functions that must be supported

Improves communication to support essential functions throughout the agency



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Benefits of COOP Planning

Ensures **safety and security** of staff and visitors

Protects staff from job loss

Encourages **personal planning**

Facilitates timely **resumption of normal operations**



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COOP Development and Implementation

COOP development is a **team effort**.

COOP Team must represent **major agency components**.

Leadership support is critical.

Planning **coordination** should be led by a **COOP Program Manager**.

COOP Team is crucial during COOP events.



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COOP Lifecycle

- Step 1: Identify **COOP Team** and **COOP Program Manager**
- Step 2: Determine **Essential Functions** and **Key Personnel**
- Step 3: Identify and implement **mitigation opportunities**
- Step 4: **Design** and **build** COOP
- Step 5: **Implement** COOP
- Step 6: **Test, Train,** and **Exercise**
- Step 7: **Maintain** and **update**



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COOP Plan Objectives

Enable staff to perform **essential functions**

Identify **essential personnel** to perform essential functions

Identify **alternate facilities** to support essential functions

Facilitate the **timely resumption** of **services**

Identify essential **communications and IT systems**

Identify and protect **vital records**



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Elements of a COOP Plan

Plan **elements that support essential functions** include:

- Orders of Succession
- Delegations of Authority
- Notification / Communication
- Vital Records
- Staff Considerations
- Alternate Facilities / Telework
- Devolution
- Reconstitution



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Essential Functions are:

An organization’s important or urgent **activities** and **functions** that **must continue** with **no or minimal interruption** under all circumstances

Why important:

- Enables the organization to **accomplish its mission**
- Enables an organization to **identify and prioritize resources and personnel** needed for continuity



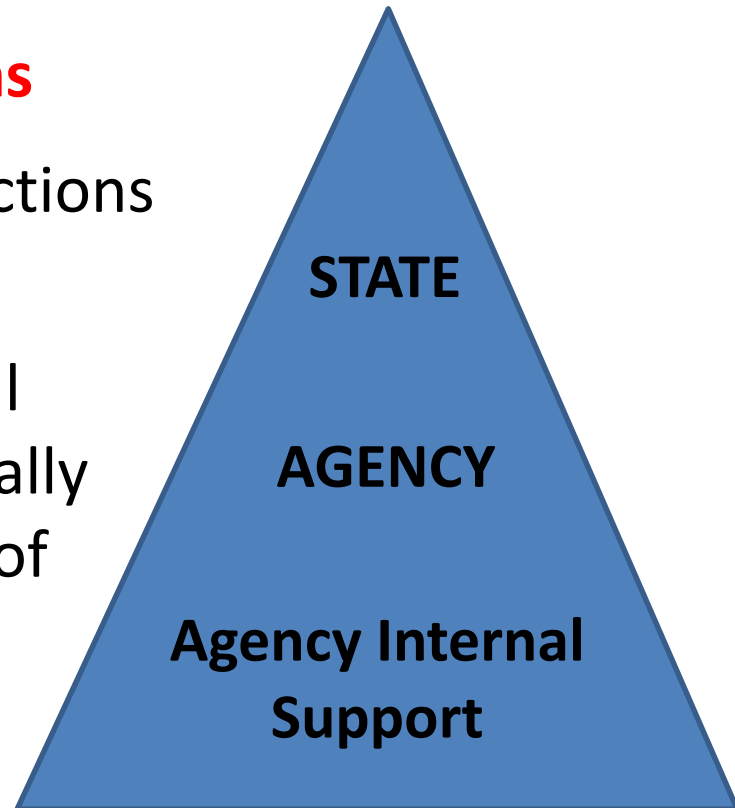
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Essential Functions Hierarchy

State Government **essential functions**

State agencies perform essential functions in **support of State Government**

State agencies have **internal** essential support functions that are operationally critical and **enable** the performance of essential functions





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Orders of Succession

The **positions** within an agency **that can assume senior-level authorities** in the event that senior officials are unavailable or unable to execute their duties

Why important

Provides for the **orderly, predetermined assumption of senior authority** during an emergency



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Orders of Succession Example

Key Position Title	Successor 1 Title	Successor 2 Title	Successor 3 Title
Director	Deputy Director	Assistant Director – Operations	Assistant Director - Preparedness
Deputy Director	Assistant Director – Operations	Assistant Director - Preparedness	Assistant Director - Finance
Assistant Director - Operations	Assistant Director - Preparedness	Assistant Director - Finance	Business Function Manager - Operations
Business Function Manager - Operations	Business Function Manager - Preparedness	Business Function Manager - Finance	Business Function Manager - Exercise
Executive Admin Assistant	Admin Assistant - Operations	Admin Assistant - Preparedness	Admin Assistant - Finance



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Delegation of Authority

The **granting of authority**, established prior to a COOP event, which is the basis for allowing assumption of authority to perform the duties of an absent senior staff member

The downward division of authority and power **enables the continuation of essential functions**



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Delegation of Authority

Why important

Specifies the **activities** that **may be performed** on behalf of absent senior officials

Documents the **legal authority** of delegated officials to make key policy decisions during a continuity situation

Allows for the **quick, uninterrupted performance** of leadership duties



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Staff Notification

COOP plan activation and related information should be disseminated to staff.

What is the **notification distribution** method?
(perhaps by **email** or **phone** or **social media**)

Who is responsible to make notifications?

Can staff **email and phone information** be easily accessed?

Do employees know the notification process?



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Communications

How will the agency **communicate with internal and external agencies and stakeholders?**

Are agency communication systems **redundant and resilient?**

How quickly are **alternate communications** available?

Are communications **sustainable** for 30 days?



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Vital Records

Critical data and documents required for performing essential functions, which should be maintained on **secure systems and backed up on redundant servers**

Why important

- Essential to **continue agency function**
- Compliance with **Record Retention Laws**
- Compliance with **agency policies and procedures**
- **Federal grant requirements, audit support**



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Key Personnel

Personnel necessary to perform essential functions:

Agency Leadership

Essential Staff who regularly perform the essential functions or who have **special knowledge or expertise**

COOP plans must **identify key personnel** and ways to ensure that their essential functions continue



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Staff Considerations:

Ensure employees and their families are prepared

Employees **will not leave their severely impacted families** to “go to work”

Encourage all employees to undertake **personal disaster planning**

Provide training to employees



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Staff Considerations: Roles and Responsibilities

Understand continuity **roles and responsibilities**

Perform duties as assigned

Ensure **vital records** are **accessible, maintained,** and **protected**

Crosstrain employees who are in lines of succession

Provide COOP **training**



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Alternate Facility

A **location**, where essential functions can be performed during a COOP event

Which alternate facility depends on the nature of the event:

- A location in **another part** of the primary facility
- **Local site** from the primary facility
- **Remote** site from the primary facility

Why important

Provides a location where essential functions can be performed



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Alternate Facilities

Ensure **Alternate Site is prepared** to receive your agency

Enter into **formal agreements** with alternate site management

Establish agreements **prior to COOP events**

Where should staff report

- Can any staff **telework**
- Identify positions that must report **in person**



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Devolution

The empowering of another agency or contractor to perform essential functions, in the event of incapacitation until agency can re-assume its duties

Establish formal agreements or contracts prior to COOP events

Why important

Ensures continuity of essential functions



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Reconstitution

The **process** by which agency personnel **resume normal operations** at the **primary operating facility**

Reconstitution activities begin with **onset of COOP event**

Why important

Ensures the **return to normal operations** as **quickly** as possible



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Testing the COOP

Train personnel

Regularly **exercise** the COOP

Tabletop

Full-scale

Revise COOP, when testing reveals **deficiencies**



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Plan Maintenance

Develop a schedule for **COOP review**

No less than annually

Revise COOP as necessary

Revision **triggers**:

Change in key personnel

Relocation of facilities

Record retention changes

Change in agency mission, statutory duties



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What Next

Review the FEMA COOP template accessible at:

https://www.fema.gov/media-library-data/1536859210230-a1cc6e2fbae089261fccf7f8ee1693a8/non_federal_continuity_plan_template_508_083118.pdf

This site provides explanations, examples ,and samples that will be helpful.



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What Next

KYEM will offer COOP Components webinars beginning the March 12

Sessions will be succinct; 30 to 45 minutes each

Attendees will be able to ask questions and interact with the presenters.

Templates, guidance, and webinars (after presentation) will be posted on the KYEM website at:
www.kyem.ky.gov



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COOP Component Webinars

Beginning March 12, and continuing through April 16, COOP webinars will be conducted each Tuesday afternoon.

Webinars will begin at 2:00 pm (Eastern)

Participants must register at:

<https://attendee.gotowebinar.com/register/2587959398246027788>



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Webinar Schedule:

DATES	TOPICS
March 12	Identifying Essential Functions
March 19	Essential Personnel and Lines of Succession
March 26	Communications and Employee Training
April 2	Alternate Facilities and Vital Records
April 9	Devolution and Reconstitution
April 16	Training, Exercise, and Plan Maintenance



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**To request assistance, advice,
or schedule consultations, contact:**

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QUESTIONS ???