Continuity of Operations (COOP) Plan

February 26, 2019
What if . . .
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.
COOP Considerations:

- Vital Records, Systems, and Equipment
- Alternate Work Sites
- Essential Functions and Key Personnel
- Communications
- Training, Testing, and Exercise
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,
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 Revise Statute (KRS) 39A.220
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.
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.
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
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
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.
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
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
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
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
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
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.
Orders of Succession Example

<table>
<thead>
<tr>
<th>Key Position Title</th>
<th>Successor 1 Title</th>
<th>Successor 2 Title</th>
<th>Successor 3 Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director</td>
<td>Deputy Director</td>
<td>Assistant Director - Operations</td>
<td>Assistant Director - Preparedness</td>
</tr>
<tr>
<td>Deputy Director</td>
<td>Assistant Director - Operations</td>
<td>Assistant Director - Preparedness</td>
<td>Assistant Director - Finance</td>
</tr>
<tr>
<td>Assistant Director - Operations</td>
<td>Assistant Director - Preparedness</td>
<td>Assistant Director - Finance</td>
<td>Business Function Manager - Operations</td>
</tr>
<tr>
<td>Business Function Manager - Operations</td>
<td>Business Function Manager - Preparedness</td>
<td>Business Function Manager - Finance</td>
<td>Business Function Manager - Exercise</td>
</tr>
<tr>
<td>Executive Admin Assistant</td>
<td>Admin Assistant - Operations</td>
<td>Admin Assistant - Preparedness</td>
<td>Admin Assistant - Finance</td>
</tr>
</tbody>
</table>
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.
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
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?
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?
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
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
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
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
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.
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**
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
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
Testing the COOP

Train personnel

Regularly exercise the COOP
  Tabletop
  Full-scale

Revise COOP, when testing reveals deficiencies
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
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.
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
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
<table>
<thead>
<tr>
<th>DATES</th>
<th>TOPICS</th>
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</thead>
<tbody>
<tr>
<td>March 12</td>
<td>Identifying Essential Functions</td>
</tr>
<tr>
<td>March 19</td>
<td>Essential Personnel and Lines of Succession</td>
</tr>
<tr>
<td>March 26</td>
<td>Communications and Employee Training</td>
</tr>
<tr>
<td>April 2</td>
<td>Alternate Facilities and Vital Records</td>
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<td>April 9</td>
<td>Devolution and Reconstitution</td>
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<tr>
<td>April 16</td>
<td>Training, Exercise, and Plan Maintenance</td>
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To request assistance, advice, or schedule consultations, contact:

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QUESTIONS ???