

Information Paper

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From: Jerry Miller, COOP Coordinator for Department of Administration/OFP
To: File
Subject: Continuity of Operations Plan (COOP)

All State Agencies are required to have a Continuity of Operations Plan (COOP), to keep it updated, and perform realistic training and exercising of the COOP each year. Creating a COOP takes time and dedication but Bold Planning has an existing template that makes your job much easier. The purpose of this information paper is to educate the COOP Coordinators on the key concepts of COOPs and to provide some best practice ideas for making/updating your COOP.

In the event of an emergency (natural or man-made) a COOP can be activated at the request of the Governor, or directly by the Agency Secretary/Director. COOP's are NOT for the typical fire alarm or similar emergency, but these situations CAN evolve into an activation of your COOP based on duration and extent of the emergency.

Purpose of the COOP:

- To ensure the continuous performance of mission essential functions/operations to the State and its customers during an emergency
- To protect essential facilities, equipment, records, and other assets
- To reduce or mitigate disruptions to operations
- To reduce loss of life, minimize damage and losses
- To identify and designate principals and support staff to be relocated
- To facilitate decision-making for execution of COOP and the subsequent conduct of operations
- To achieve a timely and orderly transition to alternate facilities and subsequent recovery of operations from the alternate facility.

Considerations:

- COOPs must be maintained at a high-level of readiness
- COOPs must be capable of implementation, both with and without warning
- Agencies must be up and operational within 12 hours after a COOP activation
- Alternate Facility operations must be maintainable for up to 30 days
- COOPs and/or Agencies should take maximum advantage of existing local, State or Federal government infrastructures.
- COOP activations can occur during or after normal working hours.

COOP Activation Scenarios:

1. The primary facility or any other essential **facility** of (*your Agency*) is closed for normal business activities as a result of an event or credible threat of an event that would preclude access or use of the facility and the surrounding area

2. The **area** in which the primary facility or any other essential (*Agency*) facility is located is closed for normal business activities as a result of a widespread utility failure, natural disaster, significant hazardous material incident, civil disturbance, or terrorist or military threat or attack. Under this scenario, there could be uncertainty regarding whether additional events such as secondary explosions or cascading utility failures could occur.

Non-COOP Activation Scenario: The primary facility or any other essential facility is temporarily unavailable due to a sudden emergency such as a fire, bomb threat, or hazardous materials emergency that requires the evacuation of the facility, but only for a short duration that does not impact normal operations.

COOP Activation: The following measures may be taken if an event interrupts normal operations, or if such an incident appears imminent and it would be prudent to evacuate the primary facility or any other essential facility as a precaution:

1. The Governor, Cabinet Secretary or Department/Agency Director may activate the COOP to include activation of primary or alternate facilities. Your current alternate facility should consist of a primary site (possibly still in close location to current work site/building) and a secondary site (preferably away from current working area and is to have an MOU established for its use).
2. The COOP activator will direct some or all of the COOP teams to initiate the process of relocation to the primary or secondary alternate facility. COOP teams and employees will be notified using established alert procedures (either during or after normal work hours).
3. COOP teams will initiate relocation to the alternate facility site and will ensure that the mission-essential functions of the closed primary or other impacted facility are maintained. The alternate location should be capable of performing functions using available or relocated resources, until full operation are re-established at your normal work facility or new permanent work facility if former work site is unusable.
4. Employees who do not have specific COOP assignments may be called upon to supplement COOP team operations (assigned to the Support Team).
5. Employees will receive specific reporting instructions upon COOP activation. Employees will be required to keep abreast of ongoing situation and be prepared to perform assigned duties, to work from home or to return to work.
6. COOP teams and their members will be responsible for ensuring the continuation of the mission-essential functions of OFPM within 12 hours and for a period up to 30 days.
7. Incidents and COOP activation may occur during or after normal work hours; both with and without any prior warning.
8. Devolution: Leaders must decide if the Devolution site needs to be activated.

Time Phased Implementation:

1. There are three levels of disaster: Minor (minimal state or federal assistance required), Major (requires broad range of state or federal assistance) and Catastrophic (massive state and federal assistance).
2. Activation has three phases:
 - a. Phase I (0 to 12 hours): Employees are alerted and transition to a designated alternate facility begins. Can be cancelled and returned to normal operations if events are not deemed severe enough.
 - b. Phase II (12 hours to termination): The transition to the designated alternate facility is complete and the performance of mission-essential functions should be underway. Begin planning for recovery and transitioning back to normal operations either at original site or at a new site.
 - c. Phase III (Reconstitution and Termination): All personnel including those not involved in the COOP activation will be informed that the threat or actual emergency no longer exists and instructions will be provided for resumption of normal operations.

Staff Organization:

1. **Mission Essential Personnel:** Pre-identified mission essential or critical personnel that are placed on an access roster and given to the Capital Police and KHP. Purpose of the roster is to allow access to critical employees to controlled areas, zones and buildings so they can begin planning and recovery operations. The COOP activator will initiate recall procedures for these personnel. These mission essential personnel may relocate to the alternate facility to continue mission-essential functions. Remaining staff/employees will be further broken into teams to support COOP transition.
2. **Crisis Response Team:** Cabinet Secretary and/or Agency Director plus key leaders that convene to access the emergency, to activate the COOP and to issue initial transition instructions. Ensures alert procedures are implemented and COOP Teams are either alerted or put into operation.
3. **Relocation Team:** Members are responsible for relocating equipment, supplies and personnel to the designated Alternate Facility in a timely manner. Team will also be responsible for movement back to original work site upon re-establishment and recovery operations of the organizations.
 - a. (Fill in name): Acts as team chief to relocate to alternate facility. Assigns tasks and equipment to support the move.
 - b. (Fill in the blank): Responsible for agency computer support. Interfaces with OITS for computer support. Reestablishes computer support and Wi-Fi when relocating to/from alternate facility.
 - c. (Fill in the blank): Acts as the Alternate Facility site Manager. Sets up alternate site within 12 hours, responsible for daily support, responsible for closing alternate facility during reconstitution.
4. **Support Team:** Members of the Support Team are responsible for reporting to their Support Team Chief, reporting to their designated locations to await further instructions (in many cases their home residence), and providing support to the Relocation Team. Team is a source of labor to support operations.
 - a. (Fill in the name): Acts as the Support Team Chief and is responsible for reporting and coordinating support to the Relocation Team. Coordinates with OFPM Deputy Directors to supply non-tasked employees to help with specific tasks and duties.
 - b. (Fill in the name): Responsible for administrative support at the alternate facility.
5. **Planning Team:** Members are responsible for scheduling and conducting continuity meetings (minimum of one per year), establishing a framework for the organization's continuity plan design and strategy, reviewing the accuracy of the personnel information contained within the plan, developing an ongoing process for reviewing and updating the plan, and scheduling and participating in continuity trainings and exercises.
 - a. (Fill in the name): Serves as Planning Team Chief and is the primary POC for planning issues. Responsible for the official review and formal approval of the finalized plan.
 - b. (Fill in the name): Advises Director concerning alternate worksites and mission requirements. Acts as the Planning Team Chief in their absence.
 - c. (Fill in the name): Primary COOP Administrator. Schedules annual COOP review meeting. Attends KDEM quarterly training at the Armory. Responsible for the on-going maintenance of the COOP plan over time.
6. **Other Teams** that your Agency creates/establishes to support operations during COOP activations. Examples include: Fiscal Support Team; Personnel Support Team, Customer Service and Work Order team, etc...

Mission Essential Functions: Mission essential functions have been identified and prioritized by Agency COOP planners within three time durations; One day disruption (Tier 1), one day to one week disruption (Tier 2) and one week to one month duration (Tier 3). Some mission essential functions are required by law or statute; these will be further identified as such when you create your COOP.

1. One Day Disruption: Continue to perform daily mission and support to customers and other State Agencies; Prepare to activate Teams; Review COOP for emergency actions; Prepare to issue PIO communications; Activate alert procedures and give employees initial reporting assignments or instructions; (list your Agency's jobs/duties that MUST be done daily)
2. One Day to One Week Disruption: Continue tier one activities; Activate alternate facility (primary or secondary); Continue some operations from home; Reestablish employee sick line, web site information, work order section; ensure payroll and HR support is ongoing; (list your Agency's jobs/duties that MUST be done every week).
3. One Week to One Month Duration: Continue tier 1 and 2 mission essential functions; Continue support to and for the alternate work facility; move equipment for permanent facility occupation; sign and/or renew existing and expiring leases; Ensure payroll, HR, IT support, Customer Services, and other essential missions are 100% operational. (list your Agency's jobs/duties that MUST be done monthly).

Devolution Site: Devolution is the capability to transfer statutory authority and responsibility for mission-essential functions from an organization's primary operating staff and facilities to another organization's employees and facilities. All COOPs have a Devolution Annex that details specifics such as training, access to site and/or databases, IT requirements/support and a formal delegation of authority documentation. Pre-devolution preparation begins when staffing levels are reduced by 40% in the areas of leadership, communication, administrative support and/or prioritized Mission Essential Functions. Devolution site will be shown on General Information Tab of COOPs.

COOP Annexes: All COOPs are organized by tabs/sections on a computerized database. Once these annexes are completed, each annex can be printed and placed in a 3 ring binder for access/use if the computers are down. Following pages of this information paper is a brief discussion of best practices or procedures to use in completing your Agency's COOP.

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COOP Best Practices

Background:

1. Authority for requiring COOP's comes from Federal Directives and Circulars.
2. COOP's are derived from and support your Agency Mission and Vision Statements.
3. COOP's are required as part of the Continuity of Government Plan that is the responsibility of The Attorney General (TAG) for Kansas.
4. Web site: <https://kansascoop.boldplanning.com/>

Composition:

1. COOPs are created by compiling critical information, entering it into a standard format and generating reports from the entered information.
2. Personnel using COOPs are broken down into three categories:
 - a. **Administrator**-Has overall responsibility for the content of the COOP. The administrator has authority to grant access to COOPs and gives logon and passwords to users and viewers of COOPs.
 - b. **Users**-The plan administrator grants authority to COOP Users to update and make changes to their own COOP. Users cannot make changes to Master Level Data or to other COOPs.
 - c. **Viewers**-Personnel that are granted access to view and research COOPs belonging to the Agency. Viewers are NOT granted authority to make changes.
3. COOP Administrators should spend 2 hours each month to review their COOPs and make changes to keep all information in the COOP up-to-date. All portions of the COOP and those using it must be as accurate as possible or your COOP will be out of date in the event of a COOP activation.
4. COOPs are broken down into Tabs when working on a computer standardized format or into Annexes when printed from the Reports Tab on the computer.
5. Gather information, ensure its accuracy and then enter it into the COOP format by starting with the Contacts Tab will make your job easier as you develop your COOP.
6. Help & Suggestions are available on every tab/section of your COOP. Near the top/center of the page is a "?" that users can open to get suggestions for completing that page/tab.

Gather Information:

1. **Mission Statement and Vision Statements:** These will provide insight into what your Agency is required to do to support state government, other Agencies and your customers. These will become your Mission Essential Functions.
2. **Contacts:** Identify Key and Essential Personnel, their home, work and cell phone numbers and business and personal (if desired) email addresses. These are the personnel/leaders that make decisions and need immediate access to restricted buildings or areas.
3. **Databases and Plans:** Identify key and essential databases, organization charts, documentation, resources, emergency plans, orders of succession, delegations of authority, personnel rosters, recall plans, phone numbers, files, etc...
4. **Addresses:** You will need the address of each facility that you occupy and work from.
5. **Organization Chart.**

Completing COOP Annexes/Tabs:

1. **Contacts:**
 - a. Starting point to enter information. By starting with contacts, you can autofill in subsequent portions of your COOP thus saving time and minimizing errors.
 - b. Department is the Agency.
 - c. Divisions are the organizations under the Agency.

- d. Contacts are the key personnel in the Agency that would be required to be contacted if the COOP is activated. Upon COOP activation or to prepare for a possible activation they will be the first personnel contacted. They will subsequently use alert rosters or emergency plans to contact personnel assigned to them. They will provide initial and essential information to employees.
 - e. Once all the contact information is entered it will be "imported" to other areas when you choose to do so.
 - f. If each Division has a COOP coordinator/POC, enter their name in the appropriate location so that they will be contacted during potential emergencies. They are the subject matter expert for COOP activations.
2. **General Information:**
- a. Use the available drop down menu to auto-fill the Name of Organization. This information comes from your contacts page/tab. Same with the Department Head and Primary Continuity Planner; auto-fill this by using the edit and selecting personnel from previous contacts.
 - b. Self-explanatory page, just fill in the blanks until you come to box for date of formal approval of your COOP. This doesn't get annotated until COOP is completely done and an Agency head sign off that it is finished.
 - c. Organization for activating....? OITS
 - d. Devolution: This is the organization/Agency that does your Mission Essential Functions by legal statute until you are able to resume operations. See the Devolution paragraph located in the Information Paper (attached) for more information on Devolution Sites.
3. **Teams:** By pre-identifying and assigning POC's in the following teams, the chain of command, delegation of duties and assigning responsibility is clear and speeds up emergency actions. Personnel already entered into your COOP as contacts will auto-fill once you select them from drop down menus. Teams should have x3 members each unless the size of the Agency prevents this.
- a. **Pandemic Team:** During pandemic emergencies, equipment, facilities and supplies are normal but there will not be enough people to perform Mission Essential Functions.
 - b. **Crisis Team:** Key and Essential Personnel that must respond to emergencies, meet to begin initial assessment and start alert and recall activities. Should include Agency head, deputy, and COOP administer as a minimum. Will make COOP activation decision and plan for relocation.
 - c. **Relocation Team:** Team is responsible for moving people, and essential supplies and materials to alternate worksite. One member of the team should be designated as **Alternate Facility Manager**. They will be responsible for opening, daily maintenance, and closing of the alternate facility. Team is augmented by the Support Team.
 - d. **Support Team:** All personnel not otherwise assigned become assets to support tasking's, and perform other duties and responsibilities to operations and the Relocation Team.
 - e. **Other Teams:** If you feel it is necessary to structure and pre-identify other teams, do so. It is your COOP and if it helps you through emergencies, that is why we have COOPs.
4. **Order of Succession:** Also called the Chain of Command/Leadership. It is critical in emergencies that primary and alternate personnel are pre-identified and will assume leadership of the Team. It will prevent some confusion and tells others outside of your Agency who to contact for questions or information.
5. **Delegation of Authority:** Identifies and gives legal responsibility to assume key leadership positions and responsibilities during COOP activations. Some personnel will be unavailable or injured during emergencies but your mission essential functions must continue.
6. **Facilities:** There are primary and alternate facilities.
- a. **Primary Facilities:** are you daily work sites where you normally work. Equipment, supplies, personnel and vital records/databases are all present.
 - b. **Alternate Facilities:** should be designated are first and secondary alternate facilities. First alternate sites are usually located near your primary facility and can be used when the area is accessible but the primary worksite is closed. Secondary alternate facilities should be located

away from your worksite; for example across town. Remember buildings and total areas may be inaccessible during COOP activation.

- c. **Pre-Positioned Equipment:** What is available at either alternate facility that you can use to continue your mission essential functions? The pull down menus offers categories of equipment and supplies which become important when you run reports. It will become apparent what equipment, materials, supplies, etc... that you won't have pre-positioned and must be transported to the site by the Relocation Team.
7. **Security and Access:** This is where you will identify security access requirements, computer and IT security procedures and evacuation procedures for your Primary work Facility.
 - a. The three buttons at the top of the screen (add facility...) allow you to enter name and location of the primary facility.
 - b. The edit button pulls up a second screen where you specific requirements for building access, office access, computer/IT security procedures and emergency evacuation procedures.
8. **Communications:** This tab identifies critical communications equipment. If all of your existing communications equipment is lost or destroyed during emergencies, it gives a consolidated list of items that need to be borrowed or purchased so that your Agency can do its' Mission Essential Functions. Some communications equipment can be pre-positioned or carried by employees to new work site (laptop computers, radios, etc...).
 - a. **Top Three Buttons:** Opens a sub-menu where you enter individual communication devise/equipment that are required for your. Items are prioritized, listed by category and the required amount of each item is specified.
 - b. **Edit Button:** Allows you to change the listings that you have already entered.
9. **Mission Essential Functions:** A COOP is a document that identifies the recovery steps an organization will take during an event to ensure it can continue to complete its Mission Essential Functions. Mission Essential Functions are also commonly referred to as "MEFs".
 - a. "Mission Essential Functions" are the responsibilities/tasks your organization is required to complete to be considered "operational." Each individual organization has their own unique list of Mission Essential Functions they are required to conduct and all serve a distinct purpose in ensuring the organization's overall mission of continuity of operations.
 - b. Below is a list of examples of Mission Essential Functions from various organizations:
 - Conduct daily audit of accounts payable log (Accounting)
 - Create and submit daily audits of employee benefits (Human Resources)
 - Detect and suppress urban, rural, and wild land fires (Fire)
 - Respond to 911 calls and vehicular injuries (EMS)
 - Issue medications to Tuberculosis/HIV patients (Health)
 - Inspect and maintain water/wastewater system (Public Works)
 - c. When listing your Mission Essential Functions, you first need to decide the frequency of how often the function must be conducted (daily-Tier 1, weekly-Tier 2, and monthly-Tier 3). Next, you need to identify how many personnel it requires to complete the function as well as any specialized resources it may require to complete (vehicles, tools, software, etc.). Once you've added your Mission Essential Functions to the list, you can then prioritize the functions (within each tier) based on their importance of being completed. Keep in mind, there may also be laws, ordinances, and/or regulations that stipulate functions your organization must conduct. Your list of MEF's can have an identifier tag that signifies it as such.
10. **Vital Records/Resources:**
 - a. "Vital Records" are the important items your organization requires to operate. Some examples of Vital Records could include spreadsheets, databases, software/systems, specialized programs or any other items your organization relies upon to complete its Essential Functions. Keep in mind: Vital Records are not just electronic documents; they could also include maps, manuals, or other types of printed materials.

- b. Your continuity plan should contain a prioritized list of the Vital Records your organization uses based on their importance. For each Vital Record you should identify what the Vital Record is, how it is used within the organization, how the Vital Record is stored/backed-up, and who to contact during a continuity event to gain access to the stored version.
 - c. Much like in other tabs/sections, use the top buttons to add new items and the edit button the side to change/update already entered information.
11. **Alert Notification Procedures:** Alert notifications are normally initiated by the Agency head, their replacement and/or the Crisis Team.
- a. The purpose of Alert Notification Procedures is to establish a strategy of how (phone trees, text messaging, etc...) your organization would contact its personnel if an event/disruption were to occur (business hours/non-business hours).
 - b. This is an important part of your plan because if personnel aren't notified in a timely manner it may drastically delay the recovery efforts of your organization's operations. Furthermore, a lack of notification to personnel can cause an organization to lose containment of the situation due to rumors, incomplete information, or inaccurate information. Your organization needs to establish several different methods about how it could send notifications to its personnel.
 - c. Finally, be sure to consider several "communication disruption factors" into the strategy of your Alert Notification Procedures. How would your Alert Notification Procedures be affected in the event that the power was out or phone lines were down or damaged? What if cell phones weren't working? How might this impact your notification strategy for both sending and receiving information?
 - d. Alert procedures must be reviewed and tested yearly.
12. **Drive Away Kits:** Commonly known as "go-bags."
- a. Use the top button to name a kit and what it consists of. Use the edit button to modify/change existing information.
 - b. Drive away kits can be assembled, stored in a known location and be self-transported or moved by the Relocation Team.
 - c. Kits consist of anything you must have to do your MEF's. It includes: documents, phone numbers, office supplies, backup phones, computer disks, COOP plans, laptops, radios, etc...
 - d. Take only small amounts of supplies needed to resume operations then replenish later.
13. **Other Tabs/Sections:**
- a. **TTE/Plan Maintenance:** digital tracking of COOP meetings, training and key events. Every time you work on your COOP or attend meetings/trainings enter the event in the tab. It gives a written record of your work and will provide proof to Legislative Post Committee reviews.
 - b. **References/Authorities:** Provided by Bold Planners; the authoritative references behind COOPs.
 - c. **Reports:** Takes your inputted information then assembles it into reports that have HTML or Word formatting or an abbreviated summary format of only key information. Status of your plan is provided by Bold Planners who review each tab/section of your COOP and assess it at red (needs major work), yellow (needs more information) or green (plan is adequate or complete). Recommend that after your COOP is updated, that all annexes be printed and assembled into a 3 ring notebook. Include the notebook in the Drive Away Kit and one notebook for reference if and when the power goes out. Give your Agency head the summarized report so they will have key information available to them.
 - d. **E-mail Notification:** A built in email system that allows you to send/receive/retrieve emails from/to Bold Planners, your COOP users and viewers and other personnel (if you have their email addresses).
 - e. **Administrative:** COOP Administrators can issue log-on IDs and passwords to COOP users and viewers from Agency employees. You can also generate a summary of your COOP's status or numerous administrative reports.

f. **File Archive:**

- The File Archive is a storage area within the system where you can upload supporting documents and additional files pertaining to your plan. Think of the File Archive as your "Online Storage Locker".
- There are many benefits to the File Archive, but its main purpose is to provide you and your planners with remote accessibility to any of the critical files you add to the File Archive. Think for a minute about what files or documents would be important for you to utilize if you were not able to access your office, worksite, or computer servers. Adding a copy of these critical files to the File Archive would create the capability for you to access them remotely using any internet enabled device (home computers, tablets, cell phones, etc.)
- Some examples of files you might consider adding here include:
 - 1) Employee Emergency Contact Information
 - 2) Spreadsheets of Critical Vendors / Contacts
 - 3) Critical Contracts / Legal Documents
 - 4) Emergency Evacuation Procedures
 - 5) Family Emergency Support Plans
 - 6) Facility Diagrams / Images
 - 7) Standard Operating Procedures
- The File Archive has been pre-loaded with a standard set of folders to help you organize your files. Using the "Add New Folder" button, you can add additional folders, name folders, and also create subsets of folders to create your own filing structure.
- Tip to Remember: The files you add to the File Archive are simply archived copies of the original document. (These archived files do not automatically update when the original file is updated.) As a planning process, we recommend that you review these files and/or upload a newer version of the file periodically