

Continuity of Operations Plans Basic Plan Development - 101

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Agenda Topics

- Why a COOP?
- COOP Basic Elements
- Quick COOP strategy



Why would you need a COOP?

- It gets super busy when a crisis hits
- A scripted and well exercised plan will save you time and instill confidence in staff/constituents
- Good chance your key leaders may be unavailable (Murphy's Law)



Basic COOP Elements

- Identification of Essential Functions
- Delegations of Authority / Succession Plan
- Identification of Alternate Facilities
- Communications
- Vital Records & Information
- Human Capital
- Test, Training and Exercise Program
- Devolution Plans
- Reconstitution Plans



What is an Essential Function?

- A task or service that you must continue under any circumstance

AND

- Essential functions cannot suffer an interruption for more than a few hours, and must be sustainable for up to 30 days



Essential Functions - Examples

Essential Function	Recovery Time Objective	Department
Public Safety/Emergency Response	1 hour	Police
Clear roadways, parking lots, driveways	1 hour	Public Works
Serious Crime Investigation	12 hours	Police
Repair emergency generator at EOC	1 hour	Public Works
Conduct new construction building inspections	72 hours	Fire Department
Process Payroll	24 hours	Human Resources
Process AP Payments	72 hours	Finance
Restore bus and paratransit routes	12 hours	Transportation
Respond to Public Records Requests	72 hours	Clerks
Zoning - Code Enforcement	72 hours	Community Planning
Animal Control – Code Enforcement	12 hours	Animal Control



Order of Succession and Delegation of Authority

- Orderly and pre-defined
- Should enable automatic implementation

Order of Succession	Delegation of Authority
Pre-defined	Changes more frequently due to staff turnover
By position	By named individual
In a plan document	In memorandums
General guidance	Detailed Instructions

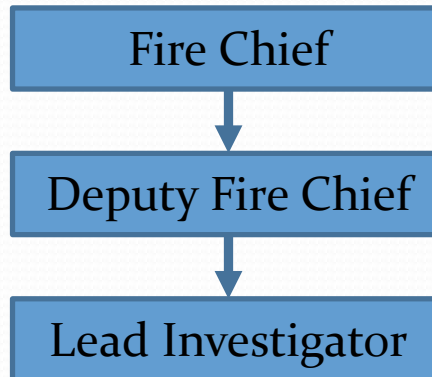


Order of Succession Examples

Try to go as deep as you can (3 or more, if possible)

Essential Function or Department	Key Leader	Successor 1	Successor 2
Police Department	Police Chief	Deputy Chief	Lead Investigator
Fire Department	Fire Chief	Deputy Chief	Battalion Chief
Administration	City Manager	Deputy City Manager	Finance Director
Payroll	Payroll Manager	Payroll Clerk	Finance Director

Or you could create a flow chart



Delegations of Authority

Use a Worksheet

Authority or Function	Authority Type	Key leader holding position	Order of Succession Delegates (in order)	Triggers	Limitations
Process Payroll	Signature, electronic approval	Susie Smith	1. Marky Mark 2. John Doe 3. Ima Runnin	Incapacitated or unavailable	Revoke upon incumbent return or replacement
Serious Crime Investigation	Signature, verbal	Det. Barny Fife	1. Det Frank Poncherello 2. Det. Jon Baker 3. Det Art Grossman	Incapacitated or unavailable	Revoke upon incumbent return or replacement

Then craft a formal document for each delegation that has the elements:

- The authority being delegated
- Any limits on that authority
- Who the authority is being delegated to (names & titles)
- What circumstances would trigger the delegation
- Re-delegation authority (if desired)



Alternate Facilities

For each essential function, where would you relocate?

Essential Function or Department	Primary Location	Alternate Location	Min. Relocation Time
Mayor's Office	City Hall	Transit Facility, Conference room 1	30 minutes
Human Resources	City Hall	Transit Facility, Suite 201	1 hour
Risk Claims	City Hall – Annex 1	Chamber of Commerce – rm. 12	6 hours
Payroll	City Hall – Annex 1	Chamber of Commerce – rm. 12	6 hours

Make sure:

- You don't have everyone going to the same place – deconflict!
- Your alternates are reasonably far apart
- You have agreements or contracts in place, as needed
- To get a 2nd Alternate, if you can
- To test your comms @ the alternate sites



Communications

For each essential function:

Essential Function	Communications Need	Specifications	Need in place NLT
Mayor's Office	Cell Phone	Mobile w/data plan	Immediate
Mayor's Office	Laptop Computer	Standard Deployment, VPN Client	Immediate
Risk Claims	Laptop Computer	Standard Deployment, VPN Client, Remote access to claims software	12 hours
Payroll	Laptop Computer	Standard Deployment, VPN Client, Remote access to time and labor SAAS	24 hours



Vital Records

For each essential function:

Essential Function	Vital Records	Where Stored	Need access within
City Clerk/Council	City Charter	Network SAN, Microfiche, File cabinet	24 hours
City Clerk/Council	Ordinances	Network SAN, Microfiche	12 hours
City Clerk/Council	City Code	Code Publishing SAAS	Immediate
PIO	Emergency Communications Plan	PIO file cabinet, Network SAN	Immediate

This could be a very large list – take your time developing. Consider:

- Plans, policies, orders, delegation memos, personnel records, insurance Records, contracts, etc...
- Consider your IT security policies



Human Capital

For each essential function, what are your minimum staffing & training requirements.

Essential Function	Minimum Staffing	Training Requirements
City Clerk/Council	Clerk, Manager - 1	Local Certification
Payroll	Accounting Tech - 1	Local Certification
Serious Crime Investigation	Detective, Sergeant - 1	Local Certification, APSC Certification
Public Affairs	PIO - 1	Local Certification FEMA G920, G289, L0388



Test, Training and Exercises (TT&E)

- **Test:** Comms, Alert Procedures, Relocation Plans
- **Training:** focus on core competencies, choose and use day-to-day tools that you would use at an alternate location
- **Exercise:** goal is to gradually improve resiliency. Exercise small components regularly, maybe one comprehensive exercise annually



Devolution and Reconstitution

- **Devolution**: transfer statutory authority and responsibility for essential functions to another agency. Usually for a catastrophic disruption.
- **Reconstitution**: an orderly resumption of operations. Can be complex. Assign to a manager.



So you don't have a plan. Now what?

- Assemble your COOP Policy Group
- Pick a handful of your senior policy people
- Identify your essential functions (it all starts and ends with this exercise)
- For each E.F, identify your orders of succession and delegation – write the memo's



Fast tracking a basic COOP – con't

- For each E.F. identify the alternate facilities, communications needs and vital records that need to be accessed – prioritize the deployment of resources – test along the way
- Review your minimum staffing needs for each E.F. -



Fast tracking a basic COOP – con't

- For each E.F. identify the alternate facilities, communications needs and vital records that need to be accessed – prioritize the deployment of resources – test along the way
- Review your minimum staffing needs for each E.F. – determine operational closure or devolution benchmarks



Fast tracking a basic COOP – con't

- Exercise your new plan – pick elements
- Wash, rinse, repeat
- Record lessons learned, update plan along the way



Resources

FEMA COOP Media Library:

<https://www.fema.gov/media-library/assets/documents/72598>

FEMA Continuity Resources and Technical Assistance

<https://www.fema.gov/policy-plans-evaluations>

FEMA Community Resource Tool Kit

<https://www.fema.gov/continuity-resource-toolkit>



Questions

