Appendix XX – TEMPLATE

Continuity of Operations Plan (COOP)

## **Last review date: XXXX Next Review Date: XXX**

## **Purpose**

## The XX AGENCY Continuity of Operations Plan (COOP) provides guidance and steps to take to minimize interruption of essential XX AGENCY functions in events that include loss of personnel, facilities, or utilities. In disaster and emergency events, the COOP is used in conjunction with the XX AGENCY (Disaster Plan, Emergency Operations Plan, or other) and the activation of the XX AGENCY operations center. The COOP can also be used and referenced for circumstances when key leadership or personnel are absent for extended periods or when power or it capacity is lost.

## **Plan Maintenance**

## The COOP should be reviewed with staff annually and updated and improved as needed.

## **Plan Objectives**

## Reduce or mitigate disruptions to operations

## Ensure the performance of XX AGENCY essential functions under all conditions

## Ensure the efficient succession of leadership in the event a disruption renders key leaders unavailable to perform their responsibilities

## Develop a plan to use alternate locations where XX AGENCY can continue to perform its essential functions

## Protect critical facilities, equipment, vital records, and other assets

## Execute a timely and orderly recovery and reconstitution from an emergency/disaster

## **HA COOP Contents**

1. XX AGENCY Succession Procedure
2. Identification of primary and backup disaster operations center locations
3. Status communication procedure (TO HOME AGENCY, GOVERNMENT, LICENSING, OR OTHER AGENCIES AS REQUIRED)
4. Prioritized XX AGENCY essential business functions and services table: Includes alternate methods to accomplish functions when communication and IT functions are affected. This table is a tool that the director of the XX AGENCY (OR Director of operations center- if used by the agency) can use to establish priority operations/services when there are of limited resources.
5. IT COOP procedure: Describes essential IT software and connectivity for agency functions, records protection, IT system backup, and redundant service methods.

## **Succession Procedure for Loss of Leadership**

## Loss of leadership may occur outside of disaster circumstances, or during a disaster it can be due to casualties, unable to respond due to transportation and communication infrastructure failures, or the individuals may be critical to the survival of their own family. The Succession Procedures provides:

## Direction for incidents when leadership is incapacitated and/or facilities or resources are damaged.

## Identified successors to assure there is no lapse in essential decision-making authority.

## Instruction on how to carry out succession and a list of alternates for leadership staffing in the event an incumbent is unable or unavailable to fulfill essential duties.

## Both successors for regular XX AGENCY business roles and roles in the XX AGENCY disaster operations center are identified.

The Succession Procedure appears on the following pages:

|  |  |
| --- | --- |
| Procedure Name | **XX AGENCY Succession Procedure** |
| Original Date |  |
| Next Review Date |  |
| Authorized By | **Name: Date:** |
| Reviewed By | **Name: Date:** |

**Purpose of Procedure**

Pre-identifying orders of succession is critical to ensuring effective leadership during emergencies that effect individuals, organizations, or communities. In the event an incumbent is unable or unavailable to fulfill essential duties, this procedure identifies successors to assure there is no lapse in essential decision-making authority.

**Procedure**

Annual review of this procedure to assure appropriate updates to roles or procedures are made is the responsibility of the XX ROLE. Any changes will be submitted and approved by the XX AGENCY Team/POSITION.

The XX AGENCY has established orders of succession for the key positions listed in the table below. The procedure for succession for all positions except the Executive Director is as follows:

* Staff assigned in the order of succession table will be informed upon hire and provided with training regarding the duties of any assigned succession positions.
* The Human Resources Director or successor will confirm that an incumbent is unable or unavailable to fulfill essential duties.
* Human Resource Director or successor will be responsible to inform individual staff members when they are to assume duties as indicated in the succession table.

**Procedure for Succession of Executive Director Role**

Order of succession for the delegation of authority for the XX AGENCY Executive Director role is listed in the table below.

In the event the Executive Director becomes unreachable or unable to perform their authorized duties, roles, and responsibilities, the Director of Human Resources or successor position will initiate a notification to the next successor in line. The successor will assume all duties of the Executive Director immediately upon notification, EXCEPT AS LISTED BELOW (IF ANY EXCEPTIONS).

The Executive Director successor will perform the following:

* Estimate the potential length of absence of the Executive Director.
* Inform staff of the change in leadership and estimated duration.
* Within 48 hours, inform the XX BOARD OF DIRECTORS/OTHER AUTHORITY via email (VERBALLY IF NO INDIVIDUAL BOARD COMMUNICATION RESTRICTION OR UNABLE TO USE EMAIL) of the delegation of authority and the approximate length of duration (if known). Provide updates to the Board/Other Authority of changes in status of the delegation of authority.
* Assume duties as XX BOARD DUTIES OF DIRECTOR (Secretary of the Board, Treasurer, OR ANY OTHER) as specified in the Bylaws of the XX BOARD.
* Provide an agenda item for the next Board meeting regarding the status of the Executive Director and any action needed to be taken by the Board OR
* Inform the Board that they may elect to call a special meeting (AS SPECIFIED IN ANY AGENCY DOCUMENTS AND LISTED HERE).
* OTHER DUTIES RELATED TO BOARD OR GOVERNANCE.

**XX AGENCY Staff Succession Planning – Staff List**

|  |  |  |
| --- | --- | --- |
| **Official (Title)** | **Designated Successors Title** | **Designated Successor Name** |
| **Chair, Board of XX** |  |  |
|  | Vice-Chair | NOTE: changes annually |
| **Executive Director** |  |  |
|  | Director of Operations |  |
|  | Director of Human Resources |  |
| **Director of Finance** |  |  |
|  | Senior Accountant |  |
|  | Senior Accountant |  |
| **Director of Operations** |  |  |
|  | Regional Manager |  |
|  | Manager II |  |
| **Director of Human Resources** |  |  |
|  | Human Resource Manager |  |
|  | Payroll Accounting Technician |  |
| **Safety Coordinator** | Director of Human Resources |  |
| **Maintenance** |  |  |
|  | Maintenance Specialist |  |
|  | Maintenance Specialist |  |
| **XX Managers** |  |  |
|  | Specialist |  |
|  | Specialist |  |
| **IT Director** |  |  |
|  | Systems and Program Analyst |  |
| **Services Manager** |  |  |
|  | Lead Services Specialist |  |
| **Public Information Officer** | Director of Development |  |

**XX AGENCY Emergency Operations Center Positions**

List of Staff Assigned to Work in XX AGENCY Operations Center

3-Deep: Person assigned will vary depending upon the site affected

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Position | Location | | Staff Position | |
| **Emergency Center Director** | Operations Center | 1. Executive Director  2. Director of Operations  3. Director of HR or Finance | |
| **Liaison Officer/Public Information Officer (PIO)** | Operations Center | 1. Training/Information Officer  2. Director of Dev  3. Executive Secretary | |
| **Safety Officer** | Operations Center | 1. Safety Coordinator  2. HR Manager  3. Maintenance Manager | |
| **Operations/Planning Section Coordinator** | Operations Center | | 1. Director of Operations  2.  XX Manager  3.  XX Specialists | |
| **Facility Site Leader(s)** | At the Facility impacted by Incident | | 1. On-Site Manager  2. Lead Maintenance Spec  3. XX Specialist or Manager | |
| **Services Manager** | Operations Center | | 1. Housing Manager  2.  Lead Res Services Specialist  3. Resident Services | |
| **Facility Damage Inspection Manager** | Operations Center | | 1. Maintenance Manager  2. Sr. Project Manager  3. Project Manager | |
| **Finance Section Coordinator** | Operations Center | | 1. Senior Staff Accountant  2. Accounting Technician II  3. Accounting Technician I | |
| **Logistics Section Coordinator** | Operations Center | | 1. Maintenance Managers  2. Housing Managers  3. Directors | |
| **Transportation Manager** | Operations Center and Field | | 1. Executive Secretary  2. Director of Finance  3. Accounting Tech II | |
| **Resources Manager/IT** | Operations Center | | 1. IT Manager  2. Computer Specialist  3. Systems & Programs Analyst | |
| **Human Resources Manager** | Operations Center | | 1. Director of Human Resources  2. Human Resources Manager  3. Accounting Tech Payroll | |
|  |  | |  | |
|  |  | |  | |

## **Identifying the Alternate Work Locations or Disaster Operations Centers**

## The executive director or designee will make the decision to relocate operations and/or activate the Operations Center (OC) after a disaster that has a significant impact on AGENCY properties, staff (residents or clients/other).

## A single operating center location will allow staff to coordinate an efficient response to the emergency or disaster, and at the same time continue essential XX AGENCY functions.

## The primary and alternate locations identified for the OC are:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Primary Operating Center (OC)** | | **Alternative Back-Up Sites** | **Equipment Needed** | **Agreement in-place with Host Agency?** |
|  |  | |  |  |
|  |  | |  |  |
|  |  | |  |  |

## ***Two functions are occurring at the operations center:***

## **initial and ongoing response to the disaster and**

## **Continue prioritized essential business operation**

## **Disaster Status Communication Procedures**

Within the same business day of an event resulting in office/services closure, XX AGENCY POSITION will notify the following by email or by telephone of any closure, alternate schedule and expected partial/full re-opening date/time:

* XX AGENCY OR LICENSING AUTHORITY
* Local City and County Office of Emergency Management or Emergency Operations Center
* If the contact is by telephone, it will be followed by an email that will include emergency contact telephone numbers at which XX AGENCY Executive Director and Department Directors can be reached.

XX AGENCY POSITION is the central point of contact and will continuously update AGENCIES LISTED ABOVE regarding (EXAMPLE TEXT ONLY):

* *Changes in service procedures until the resumption of routine operations and the performance status of each XX REQUIRED SERVICE,*
* *If any SERVICE is not being fully performed, actions being taken to restore full performance.*

XX AGENCY/POSITION \_\_\_\_is the backup to assume these duties if XX AGENCY POSITION LISTED ABOVE is unavailable.

## **Prioritized XX AGENCY essential business functions and services, and alternate methods to accomplish functions**

## Use this table to identify priority operations and set objectives and timeline to restore all services

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Function** | **System Name** | **Alternative Access** | **Back Up Method to Continue Service-Describe manual method or other limitations** | **When Does Service Need to be Reinstated**  **(1 month, 1 week, 72 hours, 48 hours, 24 hours)** |
| **Alerting System** | XX system | Limiting factors: trained users. Can be accessed by authorized users from any site with internet | Requires internet. Trained user of system could go to a location with internet. Alerts can be sent by authorized user. Recipients can receive alerts if cellular service or internet is available. | ASAP |
| **Communication with clients and customers** | XX alert system, email, phone calls, texts | Use of internet and phone service out of affected area. Requires access to system by authorized staff. | Door to door if no phone or internet services. Public Notices on office door, home visit, information services through city or county operations centers can be given messages to broadcast for customers/ clients. | ASAP |
| **Maintenance Calls** | Answering services takes maintenance calls. | Maintenance staff need to do rounds on buildings. | Calls to answering service are internet based. Staff will need to do rounds to assess buildings and determine needs. | ASAP – 24 hrs |
| **Record System** | XX online software | Staff with access can go outside of affected area to get power/internet. | Paper files held at site. | ASAP |
| **IT Systems-Cloud based storage** | XX Private Cloud | Access from any PC with Internet, go outside of affected area to get power/internet | We are 100% cloud based and if cloud is down, there is no manual method. | ASAP |
| **Security Systems** | Cameras, alarm monitoring, fobs | Door monitors, private security services. | In power outage Fob battery 6-hours. No powered by generator. Staff to monitor doors and allow access. Private security firms to secure damaged/insecure buildings. | ASAP |
|  |  |  |  |  |
| **Function** | **System Name** | **Alternative Access** | **Back Up Method to Continue Service-Describe manual method or other limitations** | **When Does Service Need to be Reinstated**  **(1 month, 1 week, 72 hours, 48 hours, 24 hours)** |
| **Food Distribution** | Email, phone calls, notices on door or in property areas. | N/A | Door to door communication regarding distribution status if no phone or internet services.  Certified by Food Bank to distribute food. Can conduct disaster food distribution at XX sites if supplied by Food Bank. | 1-7 Days  If disaster occurs immediately before or on date of usual distribution needs to occur immediately. |
| **Payment for emergency/disaster expenses** | Credit Cards, Debit Cards, and Purchase Orders | Back up emergency use credit card could be put in place. | Credit cards used for day-to-day expenses may be at their limit at time of disaster event.   * Consider disaster 2nd card/account. * Consider purchase orders with hotels/caterers. | Immediate/ASAP |
| **List Partnership Agencies/**  **Subcontractor Services** | Emails, Phone Calls | In Person Visit to agencies, | Establish disaster agreements. Maintain communication with partners/contractors to meet agency/client needs and additional disaster resources.  Back up via runner to agency office or communicate via an unaffected area of county.  Partners may provide transport to evacuate clients, feeding, mental health services. | ASAP |
| **Staff or Client Relocations** | Emails, Phone calls, notices with directions | In Person Visit | Determine your agency responsibility/ability to inform and relocate clients for housing or services.  Determine transportation needs and potential alternate housing resources.  Determine methods to inform staff and clients when usual communication is affected. | As Needed |
| **Payroll Process** | ADP/other | Access from any PC with Internet, go outside of affected area to get power/internet | Determine who has ability to do payroll, assure back ups. If no internet may be able to call in to process a standard payroll. Assure payroll data each pay period is backed up. | 48 hours |
| **Vendor Payments** | XX Software | None | Assure finance staff are cross trained in making vendor payments in system. Must have internet. What is agency potential to use paper checks | 5 business days maximum |
| **Other Payments** | XX Software | None |  |  |
| **Other Essential Operations** |  |  |  |  |

## **IT Connectivity and Software**

## **IT COOP procedure that describes essential IT software and connectivity for XX AGENCY functions, records protection, IT system backup, and redundant service methods.**

INTERNET and POWER VULNERABILITY AND REDUNDANT ACCESS METHODS

**In the event of power outage or internet outage in any area:**

* XX AGENCY buildings DO/DO NOT have back-up generators. Power is required for internet and phone services in AGENCY buildings. wireless phone service access may continue to be available.
* Staff will be directed to work areas in other areas of the county with internet service.
* If access to other areas of the county is not possible, staff will be redirected to work on appropriate disaster operations that do not require internet and power access.

COMMUNICATION and OPERATIONAL BACK-UP PLANS AND SYSTEMS

**Voice Communications:**

**SAMPLE TEXT:**

* *Normal office communication systems rely on hardline commercial T1s and Cable circuits for voice and data service. The phone systems will not work without power and internet connectivity.*
* *Cell phones are available for back-up voice communication. Texting may be possible when cell phone service is not available due to overload or non-functional cell towers.*

**Computer/IT Communications:**

* XX AGENCY computer systems are accessible via the internet through the XX /SYSTEM/XX Cloud.
  + The XX Cloud is a cloud-based computing system that is secured through multiple layers of security hosted by XX SYSTEM.
  + The XX SYSTEM Cloud hosts all files, profiles for users, printer information, etc. and XX AGENCY IT Dept uses XXX Services for user authentication, multi-factor authentication (MFA), and single sign on (SSO).
* XX AGENCY Staff can use the internet at AGENCY Offices or work from home offices dependent upon approval from management.

**CLOUD BASED REDUNDANCY/BACK-UP**

The XX SYSTEM Private Cloud has physical server farms in XX LOCATIONS to allow for redundancy to ensure the XX SYSTEM Private Cloud is always available through the internet from anywhere.

**INFORMATION TECHNOLOGY BACK-UP PLANS AND SYSTEMS**

XX AGENCY computers are equipped with supported (SOFTWARE SYSTEMS/Microsoft Operating Systems).

* The SOFTWARE SYSTEMS/Microsoft Office Suite is hosted in the XX SYSTEM Private Cloud and also accessible through XX (SUCH AS Microsoft 365).
* EMAIL : XX SYSTEM (Microsoft Exchange 365 OR OTHER) is used for email services and the (XX SUCH AS Exchange 365) spam detection is used for scanning/monitoring messages delivered to user’s mailboxes.

All AGENCY files and information are hosted in Cloud based systems through the XX SYSTEM Private Cloud, (LIST SYSTEMS USED: e.g Microsoft Azure, Microsoft Office 365, Microsoft Exchange 365, OTHER SOFTWARE). AGENCY staff to access all services as long as they are able to have access to the internet through a XX AGENCY office or home office upon management approval. All services are also backed up from the host provider.

* user authentication method: such as multi-factor authentication (MFA), and single sign on (SSO) for multiple applications.
* FIREWALL: A firewall is in place at the gateway to the Internet.
* XX SOFTWARE SYSTEM: is a cloud-based system used as the centralized source of day-to-day information on core task performance for all XX OPERATIONS.

XX AGENCY USES the following software and hardware for essential business functions:

* Copiers, multifunction printers, and SCANNERS.
* DIGITAL STORAGE: DESCRIBE METHODS TO SCAN AND STORE
* FINANCE: DESCRIBE SOFTWARE FUNCTIONALITY AND ACCESS