

The cover slide features a scenic background of a lake with autumn foliage on the hills. On the left, the Tompkins County seal is prominently displayed. The seal is circular with an eagle in the center, surrounded by the text 'TOMPKINS COUNTY' and a ring of stars.

Tompkins County Resiliency and Recovery Plan

Building a Local Government Continuity of Operations (COOP) Plan

March 7, 2022

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The agenda slide includes the Tompkins County seal and the Tetra Tech logo in the top right corner. The Tetra Tech logo consists of a stylized 'Tt' in a blue square followed by the text 'TETRA TECH'. The main content is a bulleted list of agenda items. A decorative network graphic of blue dots and lines is located in the bottom right corner.

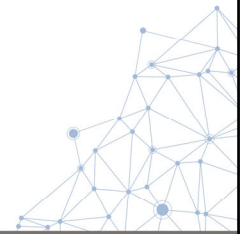
Agenda

- Welcome
- Introduction
- Continuity Principles
- Business Process Analysis
- Develop a Plan
- Stay Prepared
- Additional Resources

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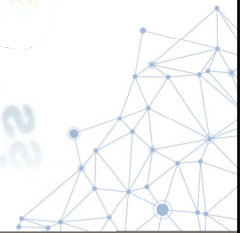
Welcome



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Introduction

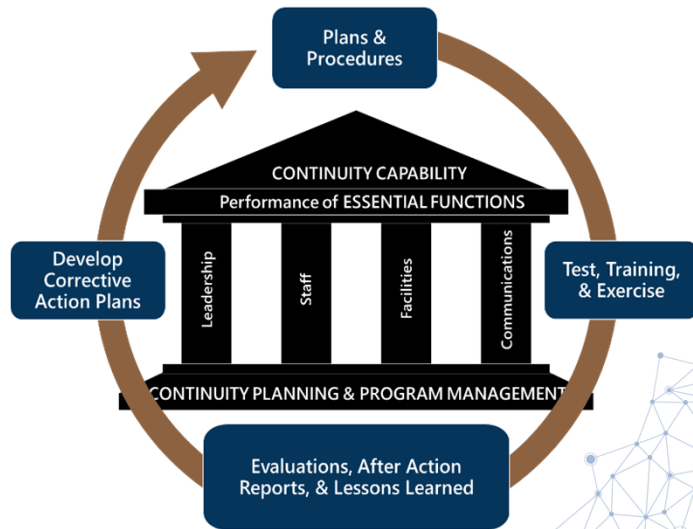


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What is Continuity?

Continuity is the ability to provide uninterrupted critical services, essential functions, and support, while maintaining organizational viability, before, during, and after an event that disrupts normal operations.

FEMA October 11, 2018



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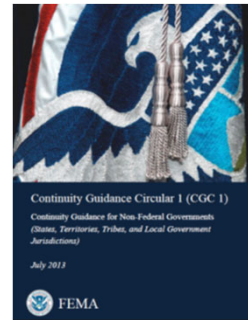
Key Components

- COOP Plans answer the following questions in a catastrophic event or other emergency situation, including public health emergencies:
 - **What** critical things do we need to do?
 - **Who** will do them?
 - **How** will they be done? What equipment/resources?
 - **Where** will we be doing these things?
 - **When** (how quickly) will we need to resume them?
- Also:
 - **Who's** in charge? What if they aren't available?
 - **How** will we return to normal, or what if we can't?

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Continuity of Operations (COOP) vs. Continuity of Government (COG)

- COOP - Ensuring that *Primary Mission Essential Functions* continue to be performed during a wide range of emergencies
- COG - Ensuring that the executive, legislative, and judicial branches of the government continue to function



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Legal Authority

NYS Executive Law Article 2B §23 7. b. Disaster Response:

- (1) coordination of resources, manpower and services, using recognized practices in incident management, utilizing existing organizations and lines of authority and centralized direction of requests for assistance
- (7) criteria for establishing priorities with respect to the restoration of vital services
- (8) plans for the continued effective operation of the civil and criminal justice systems.
- (17) Continued operation of governments of political subdivisions.

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Legal Authority

NYS Labor Law §27-C:

- (2) Each public employer in the state of New York shall prepare a plan for the continuation of operations in the event that the governor declares a public health emergency involving a communicable disease...
- (3) The operations plan required by this section shall include, but not be limited to:
 - a. A list and description of positions and titles considered essential...
 - b. A specific description of protocols the employer will follow in order to enable all non-essential employees and contractors to telecommute...
 - c. A description of how the employer will, to the extent possible, stagger work shifts of essential employees and contractors...

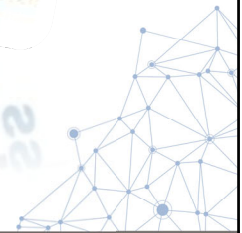


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Continuity Principles



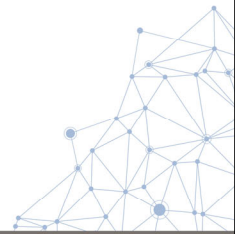
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Terms & Definitions

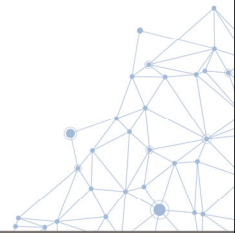
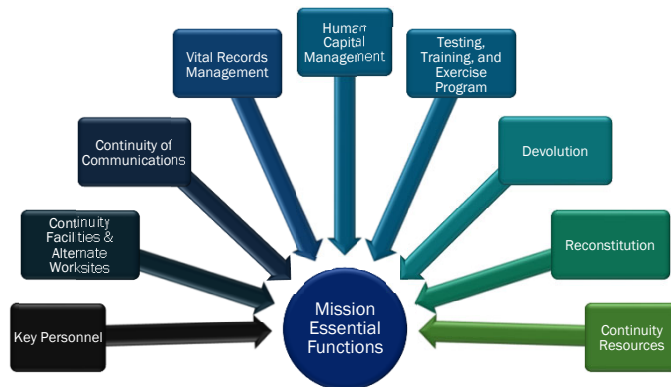
Questions

COOP Terms

What?	Mission Essential Functions (Mission-Critical)
Who?	Essential Positions; Emergency Response Organization
How?	Vital Records & Systems; Communications; Critical Resources and Logistics
Where?	Alternate Facility
When?	Priority; COOP Phases; Recovery Time Objectives
Who's in Charge?	Orders of Succession; Delegations of Authority
Return to Normal?	Reconstitution; Devolution



Elements of a Viable Continuity Program





Business Process Analysis

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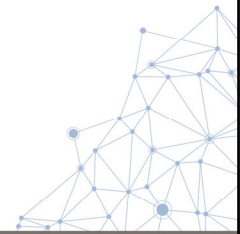
Business Process Analysis

- Mission Essential Functions
 - Most important planning element
 - Enable an organization to:
 - Provide vital services
 - Exercise civil authority
 - Maintain the safety of the general public
 - Sustain the industrial and economic base

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Business Process Analysis

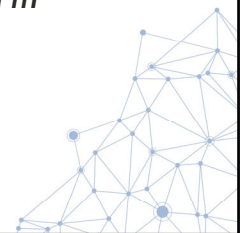
- Mission Essential Functions
 - Identifying/prioritizing essential functions:
 - Determine functions that must be continued in all circumstances.
 - Include functions that:
 - Cannot be interrupted for 12 hours
 - Must be resumed within 30 days



Business Process Analysis

- Orders of Succession
 - Identify critical staff (by title).
 - Identify alternates to assume responsibilities for senior agency leadership positions during an emergency when the incumbents are unable or unavailable to execute their legal duties.
 - Should be established for:
 - Supervisors/Mayors
 - Department heads
 - Key officials
 - Other important personnel

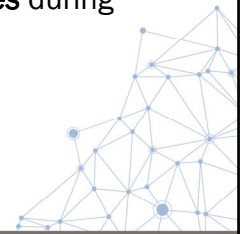
***The boss says:
_____ is in charge while I'm
out on vacation.***



Business Process Analysis

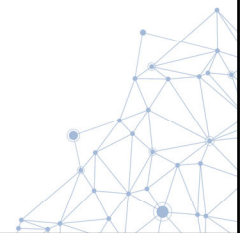
- Delegations of Authority
 - Ensure the continued operation of departments/agencies and their essential functions
 - Ensure rapid response to any emergency situation requiring COOP implementation
 - Specify who is authorized to make decisions or act on behalf of the department/agency head and other key officials for **specific purposes** during COOP emergencies

*The boss says:
While I'm gone:
_____ can sign time cards.
_____ can pay invoices.*



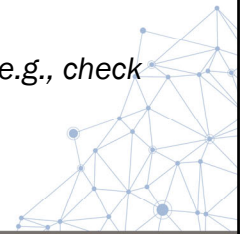
Business Process Analysis

Then, for each Mission Essential Function...



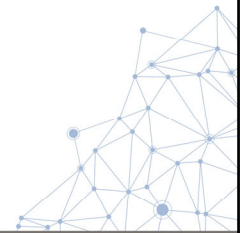
Business Process Analysis

- For each Mission Essential Function:
 - *Who are the key staff?*
 - *What other stakeholders (e.g., regulators) are involved?*
 - *What data/information is required? (Vital Records)*
 - *How much data can we afford to lose? (Recovery Point Objective)*
 - *What electronic systems are used? (Vital Systems)*
 - *What communication systems are used?*
 - *What special equipment (e.g., notary stamp, excavator) or supplies (e.g., check stock) are required? (Critical Supplies)*



Business Process Analysis

- For each Mission Essential Function:
 - *Where is it carried out? What facility(ies) is(are) critical to carrying it out?*
 - *Where else could we do it? (Alternate Facilities)*
 - *What decisions need to be made?*
 - *How long can we wait before we need to be doing this again? (Recovery Time Objective)*
 - *Can someone else do this for us in the meantime? (Devolution)*



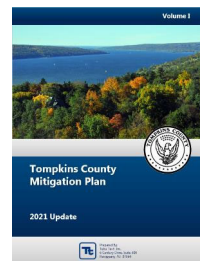


Develop a Plan

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Develop a Plan

- Who is in charge of the continuity program for your municipality?
- Who else is involved?
- What local laws/plans do you already have in place?
- What can happen that would make you need to activate the continuity plan?
 - Staff shortage
 - Facility(ies) unavailable
 - Systems crash
- To what hazards are your facilities vulnerable?
- Address each element of your program

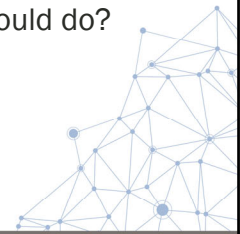


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Develop a Plan

- Who is in charge at the time of an emergency, for your municipality as an organization?
 - Supervisor/Mayor?
 - Chairperson of the Board?
 - Manager?
- Who will assess damage and impacts to your facilities and operations?
- How will you inform your staff about what happened and what they should do?
- Who will be in charge of recovery?



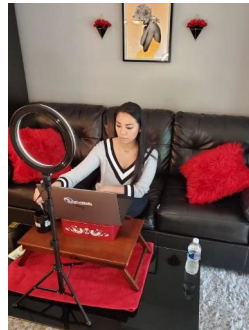
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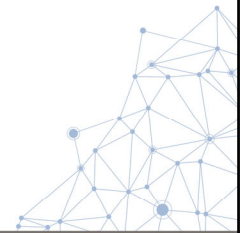
Develop a Plan

- Alternate Facilities

- Telework



- Alternate Facility

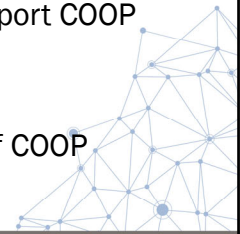


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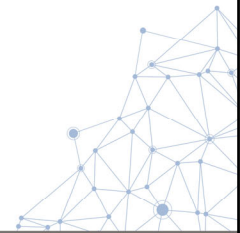
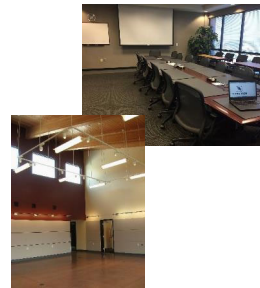
Develop a Plan

- Alternate Facilities
 - Carrying out your mission essential functions from another site
 - Desirable characteristics:
 - Located at a safe distance from and secured against worst-case and most-likely scenarios
 - Can be operational in 12 hours or less
 - Provide sufficient space, equipment, supplies, and services to support COOP personnel in the performance of essential functions
 - Supports required communications and IT infrastructures
 - Provides for food, lodging, health, sanitation, and security needs of COOP personnel on site or nearby



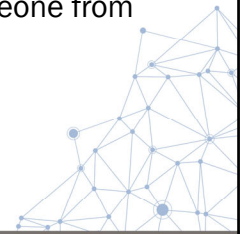
Develop a Plan

- Alternate Facilities
 - Hot Site
 - Information technology infrastructure and systems are in place.
 - You could operate from this site today with no service interruption.
 - Warm Site
 - Some infrastructure is in place.
 - It will take some time before you are up and running.
 - Cold Site
 - Little or nothing you need is already there.



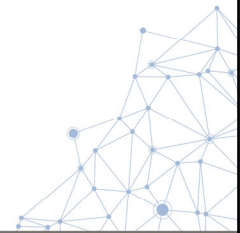
Develop a Plan

- Devolution
 - Another agency takes over a function for a while.
 - Examples:
 - Your highway garage was destroyed along with all the town’s plow trucks, so the County or a neighboring municipality takes care of clearing your municipality’s roads.
 - Your finance manager won the lottery and quit, so you ask for someone from the County to keep your books until you can find a replacement.

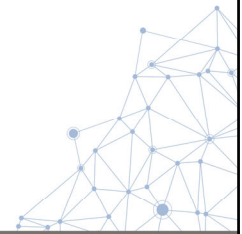
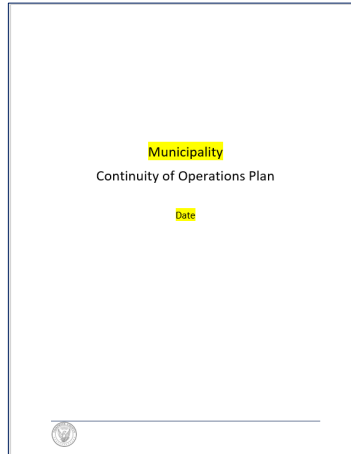


Develop a Plan

- Reconstitution
 - Get things back to normal (or better) when you had to use an alternate facility or devolve your operations
 - Original facility or a new permanent one
 - Requires planning to be carried out from the beginning of the incident
 - Reconstitution Manager
 - Facility management
 - Repairs
 - Replacement of equipment
 - Orderly transition back to normal operations

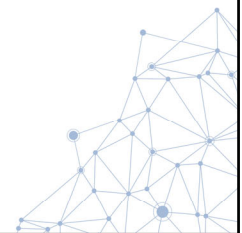


Develop a Plan



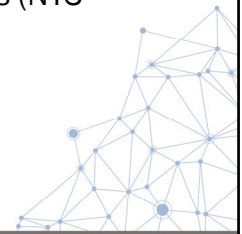
Stay Prepared

- Encourage staff to develop their own emergency plans for their families.
- Set up Go-Kits/Drive-Away Kits.
- Make sure your staff understands the plan and their roles and responsibilities.
- Conduct drills and exercises to test the plan.
- Maintain the plan on a regular basis, at least annually.



Additional Resources

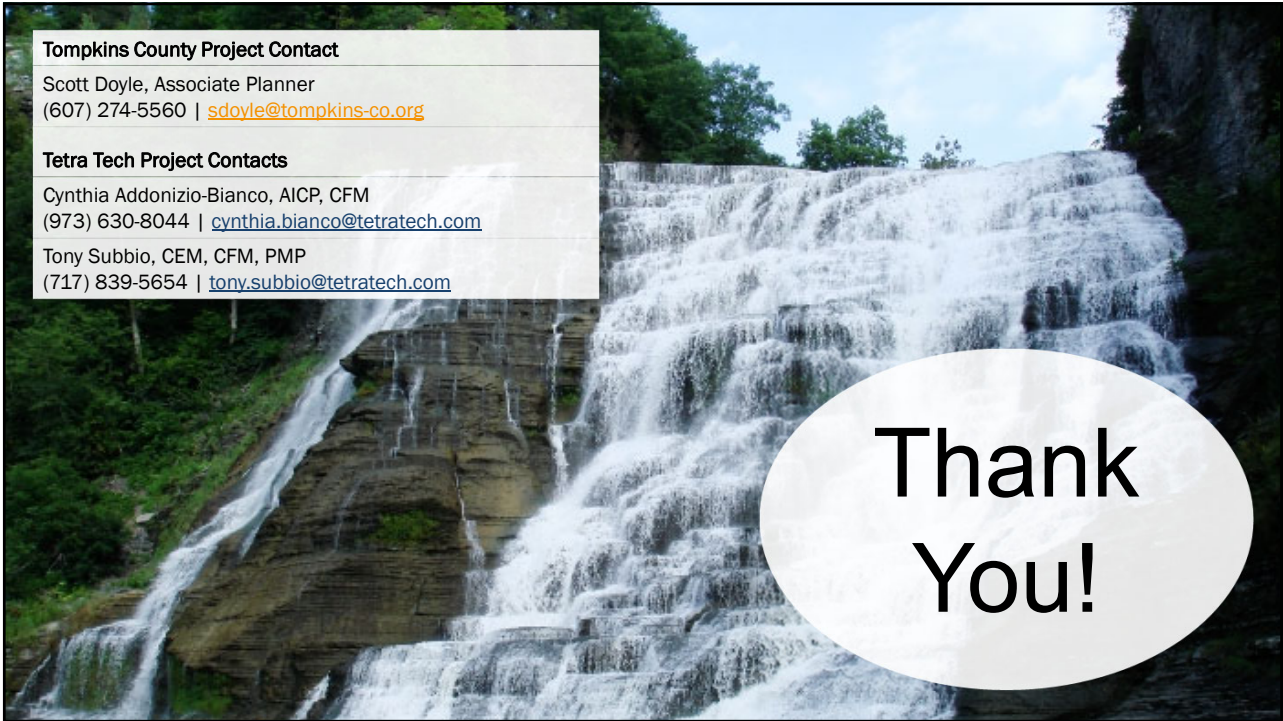
- FEMA's Continuity Resource Toolkit:
<https://www.fema.gov/emergency-managers/national-preparedness/continuity/toolkit>
- FEMA's Continuity Practitioner Excellence Certificate Programs:
<https://www.fema.gov/emergency-managers/national-preparedness/continuity/excellence-series>
- New York State Division of Homeland Security and Emergency Services (NYS DHSES) Continuity of Operations Planning:
<https://www.dhSES.ny.gov/planning/state/coop.cfm>
- Municipal COOP Plan Template



Questions?

*Thank you for your
time!*





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Thank
You!