

A L L I A N C E F O R
H U M A N S E R V I C E S

www.alliance4hs.org



CONTINUITY OF OPERATION PLAN (COOP)
FOR NONPROFIT HUMAN SERVICES PROVIDERS



ALLIANCE FOR HUMAN SERVICES & MIAMI-DADE COUNTY OFFICE OF EMERGENCY MANAGEMENT

This document is intended to be a guideline for developing a COOP plan for nonprofits. It is strictly a template to guide one through the steps needed to begin the process of developing a comprehensive COOP plan for the organization. *Much of this template model can be attributed to Miami-Dade County's Office of Emergency Management's Guidelines for Developing an All Hazards Continuity of Operations Plan for Businesses, the Bay Area Emergency Preparedness Coalition for Seniors & People with Disabilities, and the U.S. Department of Homeland Security's Sample Emergency Plan.*

Table of Contents

Protecting Your Agency & Staff

1. Mission Essential Functions
2. Delegations of Authority & Orders of Succession
3. Interoperable Communications
4. Vital Records and Databases
5. Personnel Issues and Coordination
6. Funding Continuity of Programs
7. Facility Preparation
8. Alternate Facilities
9. Training & Testing
10. Plan Maintenance

Serving Your Community & Clients in Time of Disaster

11. Role of Agency in Time of Disaster
12. Inventory of Neighborhood Resources
13. Meeting the Needs of People You Serve

Name(s), Position(s), and contact number(s) of staff responsible for developing, coordinating, & updating COOP plan:

A. _____

B. _____

Security: *While a COOP plan is not considered a classified document, it does contain sensitive information and its handling and distribution should be controlled and limited, both electronically and in hard copy. Agencies should consider using Chapter No. 2001-361, FL Law (formerly Senate Bill 16-C) to provide a public records exemption for their plans.*

- Address physical security of current and alternate facilities*
- Address communications security*
- Enact personnel access controls for employees and customers*
- Client confidentiality is secured*
- Be prepared to augment all levels of security (physical, operational, cyber, and access) based upon the emergency or threat*

Purpose

Emergencies are unplanned events that can cause significant injury, or even death, to employees, customers, or the public, disrupt or close down operations, cause physical or environmental damage, or harm the organization's public image. Miami-Dade County's nonprofits have a special responsibility to prepare and serve the community to the best of their ability, after disaster. Part of that responsibility is to develop a continuity of operations (COOP) plan that will allow the agency to prepare and resume service after a natural disaster.

A COOP plan addresses emergencies from an all hazards approach. The COOP plan is designed to establish policy and guidance to ensure the execution of mission essential functions and to direct the relocation of personnel and resources to an alternate facility capable of supporting operations. The plan should develop procedures for alerting, notifying, activating and deploying employees; identify mission essential functions; establish an alternate facility; and roster personnel with authority and knowledge of functions.



The following components should be included in the COOP plans and procedures:

- Delineation of mission essential functions
- A decision-making process for activation of the COOP plan
- An up to date staff roster
- Procedures to ensure readiness – on-duty and off-duty hours, with and without warning of an incident
- Provisions for personnel accountability
- Reliable processes to acquire additional resources to sustain operations for 30 days.
- Provisions for attaining operational capability within 12 hours of activation
- Constraints derived from the planning committee such as unique operational issues or technology, personnel factors, or resource limitations which affect the COOP plan
- Mechanisms for implementation in accordance with the magnitude of the incident

Protecting Your Agency & Your Staff

1. MISSION ESSENTIAL FUNCTIONS

Identifying mission essential functions is the foundation from which all other components of the plan are developed and often is the most difficult. Any mission not deemed to be essential should be deferred until additional personnel and/or resources become available. List the mission essential functions (those functions necessary to continue to provide vital services and sustain an economic base during an emergency).

OUR CRITICAL OPERATIONS

The following is a **prioritized** list of our critical operations, staff and procedures we need to recover from a disaster.

<u>Operation</u>	<u>Staff in Charge</u>	<u>Action Plan</u>
a.	_____	_____
b.	_____	_____
c.	_____	_____
d.	_____	_____

2. ORDERS OF SUCCESSION & DELEGATION OF AUTHORITY

Who's in charge? Each agency should identify orders of succession for agency heads and other key leaders and ensure that those identified are prepared to perform emergency duties.

Name of individual(s)/position(s) & Contact Numbers in order of succession:

- 1.
- 2.
- 3.

Each agency should identify those who are delegated authority and are prepared to perform emergency duties. Document which authorities can and should be delegated, to whom, under what circumstances, including when delegation becomes effective and when it terminates, and any limitations.

Individual(s) delegated authority (specific which authority):

By whom:

Under what circumstances:

3. Interoperable Communications

How can I get in touch with my agency personnel, clients, and the community? Communications capabilities should be consistent with the organization's operations and provide for access to other data and systems required to conduct mission essential functions. Consideration should be given to the full spectrum of technological advances now available: landlines, cellular, satellite, wireless, e-mail, media, radios, rally points, etc.

In the event of a disaster we will communicate with employees in the following way:

4. Vital Records and Databases

Where's my information? The COOP plan should account for the identification and protection of vital records and databases at the primary and alternate facilities. To the extent possible, agencies should provide for off-site storage of duplicate records, off-site (and out-of-state if possible) back up or electronic records and databases, and pre-positioning of vital records and databases at the alternate facility.

- Identify vital records, systems, electronic and hard copy data critical to organizational functions.
- Include: emergency operating plans and directives, delegations of authority, orders of succession, volunteers, and staffing

- Legal, financial, personnel, and payroll records; insurance policies, vendor contracts, etc.
- Develop procedures for documenting operations when the COOP plan is activated

CYBER SECURITY

To protect our computer hardware, we will:

To protect our computer software, we will:

If our computers are destroyed, we will use back-up computers at the following location:

RECORDS BACK-UP

_____ is responsible for backing up our critical records including payroll and accounting systems.

Back-up records including a copy of this plan, site maps, insurance policies, bank account records and computer back ups are stored onsite _____.

Another set of back-up records is stored at the following off-site location:

If our accounting and payroll records are destroyed, we will provide for continuity in the following ways:

Name of IT support personnel/company:

Contact number(s): _____

5. PERSONNEL ISSUES AND COORDINATION

- Develop a communications plan (telephone trees, home visits, etc.) to disseminate information to essential and non-essential personnel. Are there established plans for check-in notification of employees about returning to work following the emergency?

- Address the health, safety, and emotional well-being of employees and their families (a resource guide for personal safety and responsibility for disaster preparedness distributed that includes 211 and 311)

- Assure personal preparedness for staff through training and education; encourage staff to develop personal preparedness plans and kits for themselves and their families

- Address pay status, leave time, and potential lay-offs

- Address medical, special needs, and travel issues of staff

5a. Name(s)/position(s) of staff responsible for maintaining communications plan:

5b. Name(s)/position(s)/Agency responsible for employee preparedness training:

5c. Staffing necessary for post-disaster response

- Realistically, how many staff will work after a disaster, if it strikes during work?

- If it is during a work week, but before the day begins?

- If it happens on a weekend?

- Which staff should automatically report to work in a disaster?

- To support the work of staff in an emergency, we will use volunteers as follows:

6. FUNDING CONTINUITY OF PROGRAM

Agencies should prepare a strategic, long-range planning process that includes anticipated funding requirements. The plan should define organizational vision, mission statement, goals and objectives of the program. The plan should identify a current inventory of internal and external resources, resource shortfalls, steps to overcome them, and operation and maintenance costs. Does the agency provide for ensuring cash is on hand or credit will be made available for continuation of operations and services during the emergency period? Costs should include program dollars as well as labor costs.

7. FACILITY PREPARATION

- Prepare all furniture, appliances and other free standing objects so that they are adequately secured.
- Move heavy items to lower shelves in closets and cabinets.
- Check cabinet doors to be sure they can be closed securely
- Remove or isolate flammable materials.
- Clearly mark gas and water shut-off valves and post legible instructions on how to shut off each one.
- Maintain a conveniently located set of tools (including pipe and crescent wrenches) to facilitate prompt gas shut-off.
- Are your computers secured and have you produced hard copies of needed information.
- Place a facility evacuation plan in an area accessible to the public.

Indicate the location(s) where the following items, in working condition, can be found.

- Portable radio and extra batteries: _____
- Emergency First aid supplies: _____
- Flashlights and spare batteries: _____
- Wrenches and other tools: _____
- Fire extinguishers: _____

•Generator: _____

•Other (Extension Cords, Tools, etc.): _____

Date Accomplished _____

8. ALTERNATE FACILITIES

The COOP plan should designate an alternate operating facility with sufficient space, equipment, infrastructure systems, and logistical support to maintain operations for up to 30 days. Physical security and personnel access control measures should be taken into account. Agencies should consider pre-positioning minimum essential equipment at the alternate facility. Consider cooperative or mutual aid agreements with other agencies and/or virtual office technologies.

8a. Name of alternate facility:

Contact person & number:

Alternate numbers:

Complete address:

8b. Equipment on Site:

8c. Cooperative or mutual aid agreement signed along with pertinent contact information:

Yes/No

9. TRAINING & TESTING

- The COOP plan is no good if staff are not familiar with it.
- Service provider **MUST** train on their plan, including actually carrying out some of the functions of the plan.
- The Plan **MUST** be tested, including:
 - Tabletop exercises (facilitated “what if” discussions)
 - Implementation revisions
 - Train & test again and again and again...

Testing/Training Dates and Observations

	<u>Date</u>	<u>Observations</u>	<u>Corrective Actions Taken</u>
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____

10. PLAN MAINTENANCE

- The COOP Coordinator/team has the responsibility to maintain the plan including training and testing schedule.
- Senior management must ensure COOP team has necessary resources and support.
- The COOP **MUST** be reviewed at least annually to incorporate new technologies, procedures, contact information, etc.

Serving Your Community & Clients in Time of Disaster

11. VISION OF ROLE OF AGENCY IN TIME OF DISASTER

Write out the vision of the role of your agency in:

- a.** Preparing your clients and community (including the broader community) before the disaster
- b.** Assisting your clients and/or community immediately after the disaster
- c.** Assisting your clients and/or community in long-term recovery months or years after the disaster

12. INVENTORY OF NEIGHBORHOOD RESOURCES

Identifying the following neighborhood resources can strengthen your response to emergencies:

- In an extended power outage, where can you rent or borrow a generator?
- Nearest public health clinic and emergency organization? (name, address and phone):
- Does the nearest *fire* station know about you? (address and phone:)
- Does the nearest *police* station know about you? (address and phone:)

Ensuring Service Continuation through Collaborations -- *What is needed to continue providing services after a disaster)*

What neighboring agencies or businesses can you join with to share resources in an emergency (beside your alternate site), to maintain operations and ensure the care of people you serve? *At least one of the sites should be located at the opposite end of Miami-Dade County.*

1. _____

2. _____

3. _____

13. MEETING THE NEEDS OF THE PEOPLE YOU SERVE

- How many total clients could be at your site in a disaster?
- Do you have a hard copy of your client's rosters?
- Without transportation home, how many clients might be forced to stay at your facility?
- How will you find out about the condition of people you serve who are off site?

In an emergency, who else or what other agencies need information about the status of people you serve? Off site staff? Families of clients? List the most critical contacts that need to be made:

1. _____

2. _____

3. _____

Are there special needs/vulnerable populations or facilities (assisted living facilities, shelters, group homes, etc.) that your agency has served or is know of that your agency can continue to service or "adopt" immediately after the emergency?

1. _____

2. _____

3. _____

** Is your agency familiar with the Miami-Dade County Office of Emergency Management’s Emergency Evacuation Assistance Program (EEAP)/Special Needs Registry for people with special medical needs living at home that need assistance with evacuation? If not, visit www.miamidade.gov/oem for eligibility guidelines and applications (or call 311).*

The following assumes an emergency may require you to provide shelter to clients at your facility

- Where can you go as an additional source for *water/food*?
- What else will be needed (e.g., medicine, special equipment, etc.)?

1. _____

2. _____

3. _____

Evacuation/Transportation (*Structural damage may require you to evacuate your building in an emergency*)

Are there program participants who will need assistance evacuating your facility? Have you assigned staff or other participants to help and account for these individuals? ____ Yes ____ No