

MANAGEMENT DIRECTIVE

Commonwealth of Pennsylvania Governor's Office

Subject:

Commonwealth of Pennsylvania
Continuity of Operations (COOP)
Program

Number:

205.41 Amended

Date:

February 16, 2011

By Direction of:

Kelly Powell Logan, Secretary of Administration

Contact Agency:

Office of Administration, Office of Continuity of Government Operations, Telephone
717.705.5590

This directive establishes policy, responsibilities, and procedures for the management of the Continuity of Operations (COOP) Program. This directive identifies executive authority for COOP planning at the agency level and establishes a foundation for activities necessary to ensure that agencies maintain a high level of readiness to implement COOP plans in the event of an emergency. Changes are indicated by marginal dots.

- 1. PURPOSE.** To establish policy, responsibilities, and procedures for the management of the COOP Program.
- 2. SCOPE.** This directive applies to all departments, boards, commissions, and councils (hereinafter referred to as "agencies") under the Governor's jurisdiction. Legislative, judicial and other independent agencies should adopt similar policy, responsibilities and procedures for the purpose of their COOP programs.
- 3. OBJECTIVE.** To define responsibilities and provide policy guidance for the management of the agency COOP program to ensure annual review, update, and submission of up-to-date agency COOP plans to the Office of Administration (OA).
- 4. DEFINITIONS.**
 - a. Agency Continuity of Operations (COOP) Program Manager.** An employee in an agency responsible for developing the agency COOP plan and making sure it is kept up-to-date. The agency COOP Program Manager is the person most familiar with the plan and participates in the implementation of plan exercises and activations. The agency COOP Program Manager may be referred to as the COOP Manager or COOP Coordinator.

- b. Agency Continuity of Operations (COOP) Program Manager (Alternate).** Agency employee who acts on the agency COOP Program Manager's behalf when they are not available.
- c. Agency Continuity of Operations (COOP) Team.** A team assembled by the agency to help develop, maintain and implement the agency COOP plan.
- d. Continuity of Government (CoG).** The effort to coordinate the continuing operations of all three branches of government during emergencies and disruptions.
- e. Continuity of Government (CoG) Office.** Commonwealth employee(s) appointed by the Secretary of Administration to implement and manage the commonwealth's COOP and CoG program.
- f. Continuity of Government (CoG) Steering Committee.** In accordance with *Executive Order 2012-05, Commonwealth Continuity of Government*, the CoG Steering Committee will provide guidelines, oversight and policy direction to agency heads on agency emergency plans; provide guidance to the Governor and agency heads on needs for internal emergency prevention, preparation, response, and recovery measures; and assess and report to the Governor on the level of CoG preparedness across commonwealth agencies. Members of the CoG Steering Committee include: Secretary of Administration; Secretary of General Services; Director of the Pennsylvania Emergency Management Agency; Commissioner of the Pennsylvania State Police; Secretary of Health; and other members as directed by the Governor.
- g. Continuity of Operations (COOP).** Efforts within individual agencies to ensure that their critical functions continue during a wide range of emergencies and disruptions including, for example, localized acts of nature, accidents, and technological or attack-related emergencies. COOP activities include plans and procedures to ensure that critical functions are performed; testing, training, and exercising ensuring a viable COOP capability; managing agency response during a disruption; and continuing and/or resuming agency critical functions throughout a disruption.

5. POLICY.

- a.** The authority for this directive is derived from *Executive Order 2012-05, Commonwealth Continuity of Government*, which requires all agencies to prepare, test and maintain COOP plans. OA is mandated with the responsibility to guide the COOP Program.
- b.** Agencies are required to appoint an agency COOP Program Manager and a COOP Alternate Program Manager.
- c.** Agencies will maintain their agency COOP plan and are expected to review and update all components of the COOP plan, including personnel and contact information, at least annually, in order to ensure operability of the plans.
- d.** Agencies will maintain readiness through periodic testing of different plan components. Scheduled and completion dates of annual exercises are to be documented in the COOP plan.

- e. The agency Deputy Secretary for Administration, or equivalent, agency COOP Program Manager and COOP Alternate Program Manager will complete, at a minimum, the most current versions of the following courses:

- (1) IS-546 Continuity of Operations Awareness Course,
- (2) IS-547 Introduction to Continuity of Operations,
- (3) IS-700 National Incident Management System (NIMS),
- (4) IS-800 National Response Framework, An Introduction, and
- (5) Additional courses as defined by the OA CoG Office.

NOTE: Agency COOP team members are encouraged to take the training listed above and additional training which may help them implement a successful COOP Program in their agency. Examples of training include: leading workgroups, team building, and project management.

6. RESPONSIBILITIES.

- a. **Secretary of Administration** shall:

- (1) Oversee the COOP Program.
- (2) Lead the CoG Steering Committee, as defined in *Executive Order 2012-05, Commonwealth Continuity of Government*, to ensure that comprehensive emergency preparedness/business COOP plans exist to minimize any disruption of services and to support the continued mission of all agencies within the scope of this directive.
- (3) Host semi-annual CoG Steering Committee meetings.
- (4) Provide direction and guidelines for Human Resource and Information Technology as part of an overall emergency preparedness, response, and recovery planning.

- b. **Continuity of Government (CoG) Office** shall:

- (1) Implement priorities as confirmed by the CoG Steering Committee.
- (2) Provide technical assistance to agencies in the development, maintenance, testing and improvement of their COOP plans. Assist agencies with COOP plan activation and/or exercise development, as requested by the agency.
- (3) Host the annual meeting with agency Deputy Secretaries for Administration, or equivalent, to present strategic priorities and focus for the year.
- (4) Host the recurring meetings with agency COOP planners to discuss issues, challenges, and policy changes.
- (5) Define enterprise CoG/COOP policy as it relates to plan templates, submission deadlines and federal emergency management planning standards.

- (6) Develop tools and strategic policy guidance to enhance continuity preparedness.
- (7) Coordinate CoG planning efforts with the Governor's Office.
- (8) Cultivate cooperation with independent agencies, the Legislature and the Administrative Office of Pennsylvania Courts in order to develop a state government CoG strategy/framework.
- (9) Monitor CoG federal policies and guidance and integrate these principles into the commonwealth's program.
- (10) Review agency plan submissions.
- (11) Plan multi-agency exercises.
- (12) Provide stewardship for the development of an evacuation plan for the Capitol Complex within the City of Harrisburg.
- (13) Attend semiannual CoG Steering Committee hosted by the Secretary of Administration.

c. Agency Deputy Secretary for Administration, or equivalent, shall:

- (1) Ensure the agency has a documented, viable COOP plan for their agency.
- (2) Ensure the agency's ability to continue critical functions for up to 30 days, in accordance with federal guidelines, using the three scenarios of emergencies outlined in the COOP plan template; single building, multiple building and pandemic.
- (3) Designate and assign responsibilities to the agency COOP Program Manager and Alternate Program Manager. Provide guidance, assistance and resources to assist the agency COOP Program Manager and COOP Program Manager Alternate perform their work.
- (4) Define the agency COOP Program Manager role before, during and after an emergency or disruption.
- (5) Attend the annual meeting hosted by the OA CoG Office regarding strategic priorities and focus for the year.
- (6) Complete training as required by the OA CoG Office.
- (7) Ensure members of the agency COOP team have completed the required training.
- (8) Ensure the agency has met the annual testing requirements as defined by this directive.
- (9) Ensure that the agency COOP plan is updated, signed and submitted to OA by the last Wednesday in November of each year.

- (10) Review and sign the annual agency COOP plan submission.
- (11) Make available agency space and other unused resources that another agency can use as an alternate location during a COOP event.
- (12) Ensure the OA CoG Office has been notified of an event that may lead to a relocation of employees.

d. Agency Continuity of Operations (COOP) Program Manager and Alternate COOP Program Manager shall:

- (1) Evaluate agency operations and determine how best to meet the agency's COOP obligations based on the agency's mission.
- (2) Develop goals, milestones, informational materials and other tools to derive an effective, actionable, all-hazards COOP plan for the agency.
- (3) Assess, improve, update, sign and submit the COOP plan to the OA CoG Office by the last Wednesday in November of each year.
- (4) Develop, instruct and maintain an agency COOP team to assist in planning, data gathering and exercises.
- (5) Train COOP team and agency leaders in proper use, maintenance and storage of the plan and tools.
- (6) Assist or direct agency COOP team during response.
- (7) Design, plan and lead COOP plan testing exercises, after action reviews, and develop resulting corrective action plans.
- (8) Participate in ongoing education and programmatic meetings as required by the OA CoG Office.
- (9) Complete training, as required.
- (10) Attend COOP planning meetings hosted by the OA CoG Office.
- (11) Attend the annual meeting hosted by the OA CoG Office regarding strategic priorities and focus for the year.
- (12) Perform COOP related tasks as delegated by the agency Deputy Secretary for Administration, or equivalent.
- (13) Coordinate with the Alternate COOP Program Manager in regards to attending meetings and implementing the COOP plan during an event on behalf of the agency COOP Program Manager when the agency COOP Program Manager is not available.

7. PROCEDURES.

a. Submission of Agency COOP Plans:

- (1) Use the standard COOP plan format established by the OA CoG Office. Agencies may add additional information to their plan in order to make their plans relevant to their agency and easier to implement.
- (2) Updated plans are to be signed by the agency COOP Program Manager, Deputy Secretary for Administration, or equivalent, Chief Information Officer, and Human Resources Director.
- (3) The COOP Program Manager is to submit the signed, updated COOP plan to the OA CoG Office, by the last Wednesday in November of each year.
- (4) Plans are submitted to the OA CoG Office via the defined enterprise standards, policies and plan templates.

b. Conduct Annual Exercises to include, at a minimum:

- (1) Discussion-based tabletop exercise for the agency COOP team.
- (2) Call down list exercise.
- (3) One functional exercise a year testing remote or alternate locations.

This directive replaces, in its entirety, *Management Directive 205.41*, dated July 12, 2010.