APPENDIX D
Continuity of Operations Plan

STATE OF NEVADA GOVERNOR'S OFFICE OF ENERGY
CONTINUITY OF OPERATIONS PLAN

APPROVALS

This Continuity of Operations Plan (COOP) was prepared by Governor's Office of Energy to develop, implement and maintain a viable COOP capability. This COOP complies with applicable internal agency policies, state and local regulations and supports recommendations provided by the Federal Emergency Management Agency. This COOP has been distributed internally within the Governor's Office of Energy and with external agencies that may be affected by its implementation.

Approved: _____ Date 6.18.14

Paul Thomsen, Director
Governor's Office of Energy

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1. EXECUTIVE SUMMARY

The Governor's Office of Energy has essential functions that must be performed, or rapidly and efficiently resumed, in an emergency. While the impact of an emergency cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency on our people, our facilities and our mission – in addition to maintaining services for State citizens.

2. INTRODUCTION

The Governor's Office of Energy has prepared this Continuity of Operations (COOP) plan as part of its Energy Assurance grant and responsibilities. This COOP establishes policy and guidance to ensure the execution of the essential functions for the Governor's Office of Energy in the event that an emergency at the agency or in the State threatens or incapacitates operations, and/or requires the relocation of staff and functions.

A. Purpose

The capability to prepare for, respond to and recover from emergencies affecting the office's operations is dependent upon the proficiency and well being of its employees and leadership. The Office of Energy has adopted this plan, which allows the Office of Energy to:

- Have the capability to implement the COOP both with and without warning;
- Perform essential functions no later than 12 hours after activation of the COOP;
- Maintain essential functions for up to 30 days (90 days in a pandemic scenario);
- Develop standard operating procedures which enable the performance of essential functions.

B. Applicability and Scope

This plan describes the actions that shall be taken to activate a viable COOP capability within 12 hours of an emergency event and to sustain that capability for up to 30 days. The COOP can be activated during business and non-business hours, both with and without warning.

C. Policy

It is the policy of the State of Nevada to respond quickly at all levels in the event of an emergency or threat in order to continue essential functions and operations. COOP capabilities must be maintained at a high level of readiness, capable of being activated both with and without warning, ready to achieve operational status no later than 12 hours after activation, and able to maintain sustained operations for up to 30 days (90 days in a pan flu scenario) or until termination.

D. Objectives

The objectives of this plan are to:

- Ensure the continuation of essential functions;
- Protect facilities, equipment, records, and other assets;
- Facilitate decision-making during an emergency;
- Achieve an orderly recovery from emergency operations; and
- Fulfill the office's responsibilities in local, regional and state emergency operations plans and agreements.

E. Assumptions

The following assumptions are made in considering continuity of operations planning by the Office of Energy:

- Upon declaration of COOP activation, employees will be instructed about their responsibilities under the activation of the COOP.
- Emergencies or threatened emergencies can adversely impact the agency's ability to continue to support essential functions and to provide support to the operations of clients and external agencies.
- Agency and non-agency personnel and resources located outside the area affected by the emergency or threat shall be available as necessary to continue essential functions.
- A disaster may require staff to function with limited automated support and some degradation of service until full recovery is made.
- In compliance with the National Incident Management System (NIMS), and Homeland Security Presidential Directive (HSPD) - 5, all COOP program activities shall incorporate the principles of NIMS and the Incident Command System (ICS).

3. AUTHORITIES AND REFERENCES

A. Authorities

The COOP has been developed with the full endorsement of the Governor's Office of Energy's Director and senior management. The authority to develop the COOP is derived from Nevada Revised Statutes 701.180, 701.190 and 701.210.

B. References

The reference used to develop this plan includes *The State of Idaho Continuity of Operations (COOP) Template*, August 2008. Other references that have supported the development of this COOP include the Homeland Security Presidential Directive (HSPD) 20, National Security Presidential Directive (NSPD) 51: *National Continuity Policy.* Though not required, the COOP addresses elements identified in the Federal Emergency Management Agency, *Federal Continuity Directive 1.* The updated FCDs and other related FEMA documents can be found at: http://www.fema.gov/government/coop/index.shtm.

4. CRITICAL BUSINESS FUNCTIONS

When confronting events which disrupt normal operations, the Governor's Office of Energy is committed to ensuring that essential business functions will be continued even under the most challenging emergency circumstances. During activation of this COOP, all other activities may be suspended to enable the agency to concentrate on providing the

essential functions and building the internal capabilities necessary to increase and eventually restore operations.

Essential Functions of the Office of Energy include:
1. Serve in the capacity of the ESF-12 position when an emergency is declared in the State.
2. Provide appropriate communication to the Governor and other essential stakeholders.

The Office of Energy currently operates out of one facility in the State. All documents, equipment and staff are located in Carson City, Nevada.

5. CONCEPT OF OPERATIONS (CONOPS)

To implement the COOP, the agency has developed a Concept of Operations (CONOPS), which focuses on establishing emergency decision-making authority and defining a decision process for determining appropriate actions in implementing COOPs and procedures.

A. Planning Scenarios

Activation of the COOP may involve:

- The pre-planned movement of selected key personnel and technical personnel to an alternate operating facility;
- The implementation of temporary work procedures;
- The delegation of emergency authorities to successors of senior management and technical personnel due to their being unavailable during the emergency; and/or
- The assignment of COOP teams to perform specific activities necessary to ensure essential functions.

When activating the COOP, certain items of cyber security need to be considered. Cyber security and policy are to protect an individual's information. The following should be considered:

- Consider the source of USB devices.
- If necessary, have USB devices cleared by IT personnel.
- Consider the vulnerability of PDF readers on Smartphones. Storing email on Smartphones (iPhone, Android or Blackberry) could allow hackers to read emails stored on phones.
- Personal Smartphones are not to be used for state purposes or to download state information.
- Verify that appropriate and approved software is installed on home computers or Smartphones that are allowed access to State systems.
- Employees can often unknowingly be the biggest threat to system security. Alert supervisors to any unusual emails or computer activity.

Three threat scenarios have been identified as the most likely to trigger COOP activation:

- **Class 1 Scenario: Single Building/Agency**: In this scenario, a portion or all of the agency's operations are disrupted at one location, with limited displacement of operations to alternate facilities. The most likely causes of such a disruption are fire; system/mechanical failure; loss of utilities such as electricity, telephone, water, or steam; or explosion (regardless of cause) that produces no significant damage to any other facilities or systems used by the agency.

- **Class 2 Scenario: Catastrophic Event**: This scenario assumes that an incident affects a geographic region with a cluster of state operations (e.g., the Capitol). This scenario also assumes the disruption of operations to a number of agencies, leading to widespread displacement of the workforce and a disruption to multiple interdependencies between and among agencies. Disruption of normal business operations is assumed to be for an extended period of time.

- **Class 3 Scenario: Pandemic**: This scenario assumes that there is a pandemic-related disruption of the workforce and that infrastructure is affected only to the extent that systems require maintenance and/or operation by a severely depleted workforce. Operations from an alternate (continuity) location will probably not be required. A pandemic event will most likely last for 12-18 months with as many as three waves of new infections lasting 4-6 weeks each. Continuous essential function evaluation may be required. Flu.gov has Nevada's Pandemic Plan online, which contains more information: http://www.flu.gov/planningpreparedness/states/nevada.html#.

B. COOP Execution

The Director, or his or her designee, may implement the COOP. The COOP is implemented based on known or anticipated threats and emergencies occurring with or without warning.

- **Known Threats And Emergencies (With Warning)**: There are some threats to operations that may afford advance warning that shall permit the orderly alert, notification, evacuation, and, if necessary, the relocation of employees. Such situations may include seasonal flooding, a transportation accident resulting in a threat of a release of hazardous material (HAZMAT) or a threat of a terrorist incident.
- **Unanticipated Threats and Emergencies (No Warning) During Non-Business Hours**: Incidents may not be preceded by warning (e.g., earthquakes, arson, HAZMAT, or terrorist incidents) and may occur while on-site staff is not at work. In these circumstances, while operations from the primary facilities may be impossible, employees may still be able to respond to instructions, including the requirement to relocate following notification.
- **Unanticipated Threats and Emergencies (No Warning) During Business Hours**: Incidents may also occur with no warning during normal office hours. Execution of the COOP would begin with implementation of building evacuation and safe assembly procedures, continuing through to notification of the COOP team.

C. COOP Team

The Governor's Office of Energy has identified key positions to provide management necessary to establish essential functions within 12 hours after the emergency event. These are identified in *Personnel Contact List (Rapid Recall List)* located in the Appendix.

D. Time-phased COOP Implementation

When confronting events that disrupt the normal operations of the agency, the office shall implement its COOP using a time-phased approach detailed below.

- **Phase 1: Activation and Relocation, 0-12 hours**
  a. **Alert and Notification**: The agency has established specific procedures to alert and notify the director and staff that COOP activation is imminent. The *Personnel Contact List (Rapid Recall List)* is located in the Appendix. Any staff member may recommend to the Director or his/her designee, COOP activation. Upon declaration, by the director, of the continuity of operations plan, staff will proceed with Initial Actions.
  b. **Initial Actions**: The Office has identified specific actions to be taken to terminate primary operations and activate the COOP team, communication links, and alternate work locations. Initial actions emphasize staff safety. Staff should be notified by the Director (or designee) of COOP activation in an orderly manner, via the *Rapid Recall List* in the Appendix. If office evacuation is necessary, staff should secure vital records and equipment if it is reasonable to do so and relocate to alternate work sites, to include home offices, the Division of Emergency Management facility (2478 Fairview Drive, Carson City) and/or Washoe County's Emergency Operations Center (5159 Spectrum Boulevard, Reno). Home office sites are available to staff who are able to connect to state computers via a Virtual Private Network (VPN). Upon COOP activation, staff should:
     1. Secure vital records and equipment (if it is safe to do so
     2. Relocate to alternate work locations, to include
        a. Home office if VPN exists
        b. DEM
        c. Washoe County EOC

- **Phase 2: Alternate Operations, 12 hours to end of emergency**
  a. **Operational Hours:** During COOP activation, the office's operating hours will be 8 a.m. and 5 p.m., Monday through Friday, or as otherwise necessary to provide essential functions.
  b. **Execution of Essential Functions**: The agency will perform any functions determined to be essential to operations from the alternate facilities using temporary procedures. The agency will re-establish normal lines of communication within the agency, to other agencies, and to the public via email, online communications and via the news media if necessary.
  c. **Development of Plans and Schedules for Reconstitution and Termination:** As soon as it is feasible, and safe to do so, preparation for

transferring operations of communication, vital records, databases and other activities back to the primary office will begin. Circumstances may dictate that a new primary facility is designated and subsequently occupied.

- **Phase 3: Reconstitution, end of emergency**
  a. **Reconstitution Process**: Upon the conclusion of the emergency event, staff should begin reconstitution procedures.
  b. **Reconstitution Procedures**: Vital records and equipment should be relocated back to the office, and staff should return to the office as under normal work conditions.
  c. **After-Action Review and Remedial Action Plans**: An after-action review should be conducted with staff input to determine what, during the COOP, worked well, what did not and what specific solutions can be made to correct any areas of concern. The after-action review should occur within five business days of the COOP, and, depending upon the event's severity, may be a staff debriefing or a written report.

E. Notification and Alert

The Office of Energy recognizes that the COOP may be activated under different conditions:

- **With Warning**: It is expected that, in many cases, the Governor's Office of Energy will receive a warning of at least a few hours prior to an event via office emergency declaration from the state Division of Emergency Management, the Governor's Office, or local emergency officials. Staff notification of the COOP will occur through email, text message and/or telephonic methods listed in the *Rapid Recall List* in the Appendix.
- **Without Warning:** The ability to execute the COOP following an event that occurs without warning depends on the severity of the emergency and the number of personnel who survive.
  a. **Non-Business Hours**. Staff will be alerted and activated to support operations for the duration of the emergency. Notification will occur through email, text message and telephonic means as listed in the *Rapid Recall List* in the Appendix.
  b. **Business Hours**. If possible, the COOP will be activated and available staff will be deployed as directed to support operations for the duration of the emergency. Depending on the status of communications, notification will be made by telephone, in-person at the office, and using designated call down procedures as listed in the *Rapid Recall List* in the Appendix.

F. Delegations of Authority and Orders of Succession

In the event that executive leadership, senior management or senior technical personnel are unavailable during an emergency, the Office of Energy has developed a set of procedures to govern delegations of authority.

- Authorities have been identified for delegation in support of policy determinations and executive decisions. Delegations specify what the authority covers, what

limits may be placed upon it, who (by title) will have the authority, and under what circumstances. See *COOP Response Team / Delegation of Authority* in this Appendix: F-13.

6. RESPONSIBLITIES

A. Responsibilities

The following lists identify major responsibilities of key personnel required to implement Office of Energy's COOP. The Director is responsible for:

- Activating the COOP
- Working with emergency management agencies and the Governor's Office to ensure the office's resource needs are met
- Deactivating the COOP

The COOP coordinator is responsible for:

- Initiating communications via the *Rapid Recall List* in the Appendix.
- Overseeing staff are safely evacuated when applicable
- Overseeing that records and equipment are maintained safely
- Overseeing the reconstitution of the office's operations

7. ADMINISTRATION AND LOGISTICS

A. Alternate Facility

The Office of Energy recognizes that normal operations may be disrupted and that there may be a need to perform essential business functions at alternate facilities. The Office, through cooperative agreements and mutual aid agreements, also has access to additional facilities that could support essential business functions. The current options for alternate work sites are:

1. Home offices with VPN connections
2. The Division of Emergency Management (Carson City)
3. Washoe County EOC (Reno)

B. Vital Records, Equipment and Systems

The Office of Energy has records, equipment and systems that will be prioritized for restoration and recovery in an emergency event. Energy Program Managers, in coordination with the Deputy Director and Administrative Assistant, should identify key records and equipment for preservation during emergencies and ensure these items are maintained during a COOP activation.

C. Interoperable Communications

Communications is a critical component of a successful COOP activation. Communications must support connectivity to internal organizations, other agencies, critical customers, and the public. Primary and alternate modes of communication are listed in the *Rapid Recall List* in the Appendix.

D. Employee Support

If circumstances require, the Office recognizes that the well-being of an employees' dependants and domestic companion animals are of mutual concern to ensure that employees remains available to support alternate facility operations. Employees must determine a prudent course of action, and management must take this into consideration.

8. COOP MAINTENANCE

The Office has provided staff with a training program to ensure that the agency's COOP capability remains viable. The training is intended to familiarize agency staff members with their roles and responsibilities during an emergency, ensure that systems and equipment are maintained in a constant state of readiness, and validate aspects of the COOP.

COOP RESPONSE TEAM & DELEGATION OF AUTHORITY

Response Team

PRIMARY: Paul Thomsen, Director

FIRST ALTERNATE: Sue Stephens, Energy Program Manager

SECOND ALTERNATE: Brita Tryggvi, Deputy Director

Delegation of Authority

The Deputy Director or Energy Program Manager may temporarily delegate specific authorities in accordance with the Line of Succession (above) if the Director is absent due to vacation, illness or other circumstances. In the event that the Continuity of Operations Plan is activated, I hereby delegate all authorities and responsibilities identified within the scope of the Director position, including those listed below, to staff members listed in the above Line of Succession who may act in my absence, beginning with the First Alternate and progressing through each alternate as necessary:

1. Activation and execution of the Office of Energy's COOP as necessary.
2. Signatory authority for contracts, agreements or other actions which, under normal circumstances, require the written approval of the Director.
3. Specific authority to commit Office of Energy resources and establish any new operational policies, consistent with office protocols that may be required in the event of an emergency or disaster.
4. Re-direction, as necessary, of office staff and programs to assure performance of the office's essential functions.
5. Providing information to the Director or their designee on the operational status and capabilities of the Office of Energy and, as needed, recommendations for the modification, reduction, or cessation of essential services within the office
6. Collaboration with external partners in forums and circumstances appropriate to the role of the Director.
7. Manage or delegate as appropriate all personnel activities within the Office of Energy such as hiring authority, employee leave of absence requests, potential disciplinary actions, lay off or termination actions in conjunction with the Governor's Office.

Individuals acting for the Director shall retain such authorities until authority is assumed by the Director of the Governor's Office of Energy, or their designee. The Office of Energy Line of Succession is designated by name of individual, not by job title. Only the individuals named above are included in the Line of Succession.

Approved: _____ Date 6.18.14

Paul Thomsen, Director

PERSONNEL CONTACT LIST / RAPID RECALL LIST

Contact Procedure

The following people may need to be contacted during an emergency.

NAME	PHONE	ORDER OF CALL
Paul Thomsen	775-772-4600	1
Sue Stephens	714-932-5468	2
Brita Tryggvi	530-448-4329	3
Kevin Hill	775-450-1332	4
Governor's Office	775-684-5670	5
DEM	775-687-0300	6
Suzanne Linfante	775-848-9489	7
Bette Hartnett	775-297-1237	8
Scott Kelley	775-742-9300	9
Kristen Rhynes	775-267-0659	10

The last person on the call-down list calls the first person after receiving his/her call in order to confirm that the call down has been successfully completed.