

HOW TO COOP WITH THE BEST OF THEM

Alexa Lenhart and Amy Tarte
Emergency Management Planners
Prince William County
Office of Emergency Management

Thursday, March 31st, 2016

Agenda

- What is COOP?
- History of Prince William County COOP
- Continuity Planning Program Audit Recommendations
- Agency COOP Template
- Tips and Tricks
- Next Steps
- “Exploring the Possibilities”

Continuity of Operations (COOP)

- Continuity of Operations, as defined in the National Security Presidential Directive-51/Homeland Security Presidential Directive-20 (NSPD-51/HSPD-20) and the National Continuity Policy Implementation Plan (NCP/IP), is an effort within individual executive departments and agencies **to ensure that Primary Mission Essential Functions (PMEFs) continue to be performed during a wide range of emergencies**, including localized acts of nature, accidents and technological or attack-related emergencies



-FEMA

Continuity of Government

- **Continuity of Government**, means a *coordinated* effort within each branch of Government (e.g., the Federal Government's executive branch) to ensure that NEFs continue to be performed during a catastrophic emergency.
 - Federal Continuity Directive 1 (FCD 1)

COOP Essential Functions

- National Essential Functions
- Primary Mission Essential Functions
- Mission Essential Functions
- Essential Functions
 - Provide vital services
 - Exercise civil authority
 - Maintain the safety and well being of the general population
 - Sustain the industrial/economic base in an emergency

Commonwealth of Virginia

Essential Functions

- Maintain continuity of government
- Provide visible leadership
- Defend the Constitution of Virginia
- Maintain effective relationships with neighbors and partners
- Maintain law and order
- Ensure availability of emergency services
- Maintain economic stability
- Ensure the availability of basic essential services

COOP Guidance

- Federal Entities
 - Federal Continuity Directives 1 – October 2012
 - Federal Continuity Directives 2 – July 2013
 - Continuity Evaluation Tool (CET) – September 2013
- Non-Federal Entities
 - Continuity Guidance Circular 1 (CGC 1) – January 2009
 - Continuity Guidance Circular 2 (CGC 2) – July 2010
 - Continuity Assistance Tool (CAT) – July 2009
- Business Process Analysis (BPA)
- Business Impact Analysis (BIA)

History of Prince William County Continuity of Operations Planning

- 2003
 - Met with department heads
 - Provided initial templates
- 2008
 - Pandemic influenza focus
 - Federal guidance templates
 - First adopted COOP Plan
- 2009
 - Changed templates
- 2014
 - McGladrey audit
- 2015 to present
 - Refined template to address audit recommendations
 - Added detailed Recovery Strategies

Continuity Planning Program Audit Recommendations

- Maintenance and monitoring processes deficient
 - Continuous review, enhancement and maintenance
- Risk and hazard vulnerability assessments have not evaluated functions performed to define continuity planning scenarios
 - Define specific disaster scenarios based on existing risk and hazard vulnerabilities

Continuity Planning Program Audit Recommendations

- County has not performed formal business impact analysis (BIA) to support recovery priorities
 - Perform business impact analysis of the detrimental impact that they expect to experience as a result of a disruption of equipment and/or information technology systems
- Agency and technical recovery strategies are currently incomplete
 - Formally analyze and document current recovery strategies and capabilities

Continuity Planning Program Audit Recommendations

- Undefined recovery task/process documentation requirements and inconsistent development of recovery task lists for individual agencies
 - Establish recovery task lists to enhance recovery task framework specifying essential activities, temporary operating procedures, restoration procedures, and resumption procedures
- Incomplete Disaster Recovery Plan (DRP) documentation
 - Establish standards that define the documentation for DRP
- Testing and exercising of COOP and DRP cannot be verified
 - Establish training, testing, and exercise schedule activities under central continuity plan testing program

County COOP Framework

- County Basic Plan
 - Overall plan for the County
- Agency COOP Plans
 - 30+ agency plans
 - Government and quasi-governmental agencies
 - Template annex driven
 - Flexible and scalable
 - Decision made to redact
- Board of County Supervisors
 - Continuity of Government

Agency COOP Template

- Concept of Operations
 - COOP Team Roles and Responsibilities
- Implementation
- 4 Phases
 - Readiness and Preparedness
 - Activation and Relocation
 - Continuity of Operations
 - Reconstitution
- Plan Maintenance and Training
- Attachments
 - Checklist
 - Contact Lists
 - Essential Functions
 - Recovery Strategies
 - Messaging Templates
 - Business Impacts Analysis

Tips and Tricks

- Stakeholder participation
 - Monthly COOP Coordinator briefings
 - Briefed Management Staff Meetings (department heads)
- COOP Coordinator for each agency
 - Lead of COOP Team
 - Responsible for agency COOP Plan

Tips and Tricks

- Planning process
 - In-person meeting at agency
 - Provide background and template updates
 - Planning, training, and exercising COOP Plans
 - Review and comment cycle
- COOP Training
 - Agency, workforce orientation
 - COOP Team Members, IS 546 and IS 547
 - COOP Coordinator, IS 548

Tips and Tricks

- Business Impact Analysis
 - Lead by Department of Information Technology Disaster Recovery Manager
 - Drives discussion of essential functions
- Central repository
 - SharePoint
 - Tracking spreadsheet

COOP Home
CONTINUITY OF OPERATIONS (COOP)

I Like It Tags & Notes

Search this site...

- COOP
- ADC
- Aging
- Budget
- Circuit Court
- Clerk of the Court
- Communications
- Community Services
- County Attorney
- Court Services Unit
- Criminal Justice Service
- Development Services
- DoIT
- Economic Development
- EEO & Diversity
- Emergency Mgt
- Finance

CONTINUITY OF OPERATIONS (COOP) Documents

Instructions for completing your COOP are here.

Shared Documents

<input type="checkbox"/>	Type	Name	Modified	<input type="checkbox"/>	Modified By
<input type="checkbox"/>	Folder	2014 COOP Coordinator Meeting	10/10/2014 9:14 AM	<input type="checkbox"/>	Lenhart, Alexa
<input type="checkbox"/>	Folder	2014 COOP Plan Training and Exercise	10/10/2014 9:16 AM	<input type="checkbox"/>	Lenhart, Alexa
<input type="checkbox"/>	Document	2014 COOP Plan Template_Final	12/16/2015 2:51 PM	<input type="checkbox"/>	Lenhart, Alexa
<input type="checkbox"/>	Document	ESSENTIAL FUNCTIONS GUIDANCE	1/12/2015 2:00 PM	<input type="checkbox"/>	Lenhart, Alexa

[Add document](#)

Calendar

June, 2015

S	M	T	W	T	F	S
31	1	2	3	4	5	6
7	8 9:00 am C 1:30 pm F	9	10	11	12	13
14	15	16	17	18	19 1:30 pm - PWC Dep	20
21	22	23	24	25	26	27
28	29	30 9:00 am F	1	2	3	4

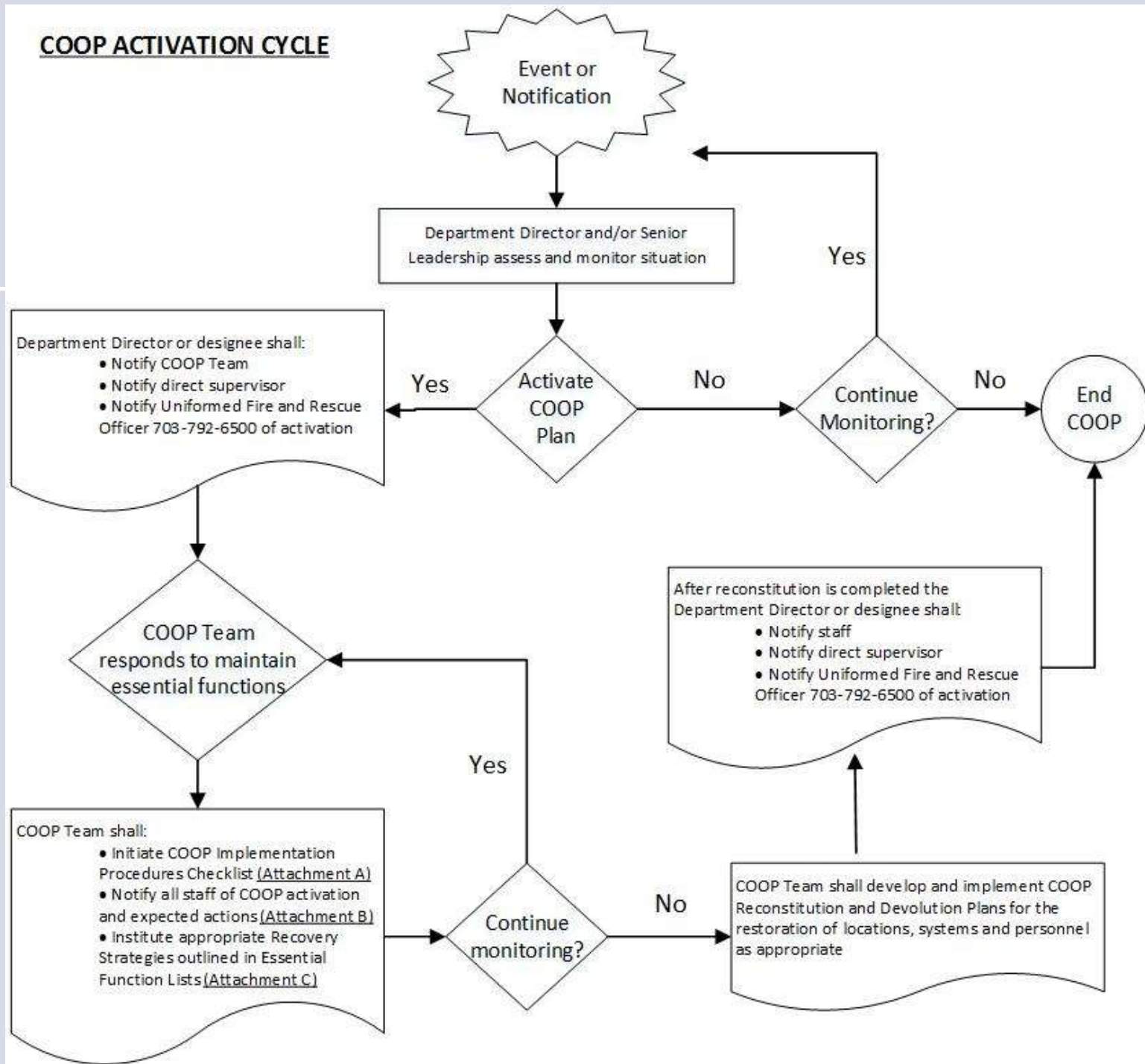
A17 : [X] [✓] [fx] 16

	A	B	C	D	E	F	G	H	I	J	K	L
	Annex	OEM	Agency	Submitted to EM	AJL/AT	EMP Review & Comments Returned	Agency returned after EMP review	ESM Review	OEM Review	Workforce Training	Notes	
1												
2	1	CEM	Adult Detection Center	12/11/14	12-11/12-22	12/11/14	05/29/15	06/09/15		05/22/15		
3	2	ETJ	Area Agency on Aging	08/14/14		09/18/14	10/09/14	10/10/14		02/19/15		
4	3	TJG	Circuit Court Chambers	12/19/14	12-29/1-8	01/12/15	8-31/10-15	10/16/15				
5	4	TJG	Clerk of the Court	11/24/14	11-25/11-27	12-1/12-11	12/04/14	12/18/14		06/08/15		
6	5	ETJ	Community Services	03/02/15	3-10/3-10	03/11/15	03/27/15	03/31/15		03/30/15		
7	6	CEM	County Attorney	09/30/14	11-20/11-24	11/25/14	05/29/15	06/09/15				
8	7	SLR	Criminal Justice Services	09/23/14		09/26/14	10/03/14	11/04/14		02/25/15		
9	8	SLR	Development Services	06/09/14	11-5/11-10	11/12/14	10-31/11-25	12/08/14		03/25/15		
10	9	MSP	Economic Development	01/05/15	02/23/16							
11	10	MSP	EEO/Diversity	05/19/15	7-3/7-13	07/13/15	07/15/15	07/20/15		09/04/15		
12	11	TJG	Elections	09/30/14	10/10/14	11/13/14	11/13/14	12/03/14		01/09/15		
31	30	ETJ	Social Services	07/31/14		08/12/14	10/03/14	10/29/14		01/15/15		
32	31	SLR	Transportation	07/29/14		08/12/14	11/25/14	12/03/14		06/19/15		
33	32	ETJ	Virginia Cooperative Extension	10/23/14	11-6/11-25	11/25/14						
34	33		Service Authority	02/24/16	2-24/							
35			EMP needs to review									
36			Needs returned to EM				OEM needs to review					
37			ESM needs to review				Plan or training incomplete					

Tips and Tricks

- Tackle by type of impact (triggers)
 - Loss of facility
 - Loss of personnel
 - Loss of information technology systems and/or equipment
- Visual references
 - Activation flow chart
 - Tables
 - Checklists
- Step-by-step instructions highlighted in yellow
 - Minimizes find/replace

COOP ACTIVATION CYCLE



ESSENTIAL FUNCTIONS GUIDANCE

Essential functions are those specific duties or responsibilities that, if not performed, would substantially impact the ability of the department to fulfill its mission. Consider these questions to help develop a list of essential functions:

- What is your department's mission statement or strategic plan?
- What functions does your department perform to fulfill what is within the mission statement/strategic plan?
- Which public goods or services does your department provide, and to whom?
- Which of these goods and services absolutely *cannot* be deferred during an emergency?
- What sections of the Prince William County Code, Code of Virginia affect your department? What is your department required to do by law?

Follow the guidance below to provide information for each essential function.

Essential Function: (Identify the Essential Function)	Priority: (see below)	RTO: (see below)
Description: (Provide a general description of the essential function)		
Tasks: (Break each essential function down into tasks that need to be performed to accomplish the essential function.)		
Personnel: (List who is needed to accomplish the essential function. Include position title and name of person currently in this position)		
External Contacts: (List any other County agencies or external vendors/partners that you rely on to enable you to accomplish the essential function. For example, HR depends upon other agencies to submit a timesheet in order to ensure the employee gets paid. Include vendors the department contracts with to provide a service that is critical for the essential function.)		
Equipment/Critical Systems: (Identify computer systems, communications capabilities, unique equipment, tools, and software that are needed to accomplish the essential function.)		
Vital Records and Databases: (List the information necessary to accomplish the essential function. Include hardcopy records, data backup information and electronic [softcopy]) or hardcopy documents. Copies of or access to these documents should be available from your alternate location.)		

This table should be populated using the following steps and then delete these instructions:

- 1) Use this template; copy the information from your current COOP Plan and paste into this attachment making sure you are not changing table titles.
- 2) NOTE: THIS SECTION WILL BE EXPANDED TO INCLUDE THE RECOVERY STRATEGIES FOR YOUR AGENCY.

Recovery Strategy: (Insert essential function title)

Loss of access to facility recovery strategy: (Insert description of the general recovery strategy on how your department will maintain the essential function during a loss of access to your facility or facilities.)

-

Reduced workforce recovery strategy: (Same as above, focused on significant reduction of workforce due to pandemic, transportation incident, or other event limiting staff ability to report to work.)

-

Equipment or systems failure recovery strategy: (Same as above, focused on loss of equipment or system failure. The Business Impact Analysis documents may be referenced in this section and/or included as an additional attachment to this plan under [Attachment H](#); however, if your Department requires equipment or systems, this section should detail the plan for operations in order to maintain Essential Functions until those systems or equipment can be restored.)

-

Instructions are Key – Nobody is an Expert

1

Click on the "View" tab

2

Select "Navigation Pane"

OR

PRINCE WILLIAM COUNTY
(DEPARTMENT NAME)
CONTINUITY OF OPERATIONS PLAN
ANNEX (NUMBER)

TABLE OF CONTENTS

RECORD OF REVISIONS
INTRODUCTION
PURPOSE
ASSUMPTIONS <small>Click to follow link</small>
APPLICABILITY AND SCOPE
CONCEPT OF OPERATIONS 7
COOP TEAM 7
DEPARTMENT HEAD OR DESIGNEE 8
DEPARTMENT COOP COORDINATOR 8
DEPARTMENT RECONSTITUTION MANAGER 9
INFORMATION TECHNOLOGY REPRESENTATIVE 9
OTHER TEAM MEMBERS 9

Table of Contents is hyperlinked.
Hold Ctrl + click on section title
to follow the links.

Tips and Tricks

- Divide and document review items or focus areas
 - Completeness of tables
 - Details of attachments
 - Formatting
- Attachments
 - Detailed process information should reside in attachments section
 - Provide attachment table of contents

ATTACHMENT SECTION

This section is to be used as the primary response resource of this plan. Attachments include:

- [Attachment A : COOP Implementation Procedures Checklist](#); to be used by the COOP Coordinator and COOP team as a guide to responding to a COOP event
- [Attachment B : COOP Rapid Recall List](#); should be maintained regularly with Department staff contact information
- [Attachment C : Essential Functions and Recovery Strategies](#); maintained by the Department of identified essential functions and the recovery strategies required to maintain those essential functions
- [Attachment D : External Contact List](#); maintained by the Department of identified external contacts for facility, systems, partner agencies, community networks, and other external partners essential to continuation of essential functions
- [Attachment E : Alternate Facilities List](#); pre-identified locations and alternate locations for essential function operations
- [Attachment F : Training and Exercise Matrix](#); record of annual training and exercises to be submitted by December 31 of each year to the Emergency Services Manager
- [Attachment G : COOP Messaging Templates](#); draft text for COOP Team members, Information Technology Representatives, Department Personnel, Community and Clients, Internal and External Partners
- [Attachment H: Business Impact Analysis](#); comprehensive analysis and restoration priorities of information technology systems and resources critical for essential functions

ATTACHMENT A: COOP PLAN IMPLEMENTATION PROCEDURES CHECKLIST

Item	Task	Task Assigned To	Date Completed
Activation and Relocation			
1	Receive notification of event		
2	Conduct personnel accountability		
3	If needed, invoke succession of leadership		
4	Initiate personnel notification using Rapid Recall List		
5	Activate the department's COOP Plan		
6	Hold department's response meeting at alternate location		
7	Assemble supporting elements required for re-establishing and performing essential functions at alternate location: vital files and databases, critical software and critical equipment		
8	Assemble remaining documents required for performance of all other essential functions to be performed at the alternate location		
9	Initiate external communication for applicable external contacts		
10	Prepare designated communications and other environment for relocation		

ATTACHMENT F: TRAINING AND EXERCISE MATRIX

This Training and Exercise Matrix is provided to track COOP Plan training, tests and exercises. This Training Matrix should be updated annually and a copy provided to the Emergency Services Manager by December 31 of each year.

EXERCISE TYPE	SUGGESTED SCOPE	FREQUENCY	DATE COMPLETED
Agency COOP Plan Training	Reoccurring training on the agency COOP plan for staff, senior management, and/or COOP Team on agency COOP responsibilities, essential functions, and recovery strategies.	Annual	
Notification/Activation Drill	Conduct all staff or COOP team call-down drill using agency Rapid Recall List and Alert/Notification Process defined in COOP plan or policy.	Twice each year	
Recovery Strategy Drill	Conduct drills to evaluate the effectiveness of recovery strategies defined in agency COOP plan. Consider exercising communication equipment, vital record retention/recovery, work flow, staffing plans and any additional recovery strategy tasks that are appropriate to maintain essential functions.	Twice each year	
Alternate Facility Relocation Drill	Exercise partial or full relocation to alternate facility and conduct essential functions.	Annual	

County Next Steps

- Board of County Supervisors COOP Plans
 - Large-scale County exercise
- Continuity of Government
 - Legal authority and policy decisions
 - Reconstitution
 - Devolution
- Alternate facilities (County or leased)
- Multiple agency COOP exercises
 - Decision matrix

“Exploring the Possibilities”

- Top down systematic policy and process approach
 - Communicate value and impact of continuity planning
 - Identify and prioritize essential functions of jurisdiction
 - Address alternate facility issues of jurisdiction
- Designate expert in COOP/COG
 - Time commitment and workload
 - Trusted agent of jurisdiction
- Outside continuity program assessment

“Exploring the Possibilities”

- Utilize Continuity Evaluation Tool (CET) or Continuity Assistance Tool (CAT)
- Explore use of COOP tracking and/or planning software
 - Reduce workload, time, and duplication
 - Centralized location of information

“Exploring the Possibilities”

- Documentation
 - Policy and process
 - Orders of Succession vs. Delegation of Authority
 - Essential Functions and Recovery Strategies
 - Alternate Facility information and infrastructure needs
 - Detailed training and exercise program
 - Plan updates and maintenance

Thank you for your time and participation!

Questions?

Contact Information

- Alexa Lenhart
 - 703-792-5254
 - alenhart@pwcgov.org
- Amy Tarte
 - 703-792-7047
 - atarte@pwcgov.org