Continuity of Operations Planning (COOP)

Project Manager’s Implementation Package
COOP IMPLEMENTATION CHECKLIST

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1.0 PROJECT SUMMARY AND OUTLINE

Phase 1 – System Preparation, Personalization, and Initial Training

- Creation of COOP Executive Team
  - COOP Project Manager
  - Supporting Executive Manager(s)
  - Facilities Director
  - Information Technology Director
  - Human Resources Director

- System Access and Plan Structure
  - This will include getting login credentials and discussing project scope such as system configuration and customization (Master Plan/Department Plans).

- Collection/entry of critical countywide data
  - It is important to build clean and complete master lists of IT applications (vital records), county facilities and county staff contact information within the master plan that can be used as ‘pick lists’ as each of your departments build their COOP. To do this, coordinate with Information Technology, Human Resources, and Facilities Management for data collection of critical jurisdiction-wide information and load into Master Plan.

- Setup of system access for Department Team Leaders/Users
  - It is essential to have people assigned to the project that have years of experience in the department for which they are creating a COOP.

- Schedule and facilitate the kickoff training workshop

Phase 2 – Plan Training and Development

- Outreach to all departments.
- Provide documentation for project initiation and the letter of executive support to department team leaders.
- Kickoff meeting/training and facilitation of data entry.
  - Use the ‘COOP 101’ PowerPoint presentation to educate your team about the project.
- Follow up with all departments on plan finalization and the requirements for plan reviews.
2.0 SOLICITATION OF EXECUTIVE SUPPORT

The COOP planning effort cannot be accomplished solely by the COOP Project Manager. It must be a team effort involving a number of people throughout the organization. To encourage participation and to ensure sufficient time and resources, it may be necessary to solicit executive support at the very beginning of this project.

The COOP Project Manager must be in close contact with the Executive and the Department Heads to keep them informed and actively participating. It is highly recommended that the COOP Project Manager ask the Executive to endorse the project and provide an official letter of support. After developing this letter of support, the COOP Project Manager must continually communicate with management about the status of the project and the benefits of completing this process. This will keep the motivation and support at a high level.

2.1 Letter of Executive Support

Develop a document similar to the example below and work with executive management to have it approved and officially distributed to staff throughout your organization.

To: All County Department Management and Staff

From: The County Administrator/Commissioner

Re: Continuity of Government/Continuity of Operations Planning

Date: April 11, 2016

As you all know, disaster management and emergency planning have become top priorities for governments throughout the country. The Federal government has assigned significant resources to this need in the wake of significant events including 9/11, Hurricane Katrina, the Japan Tsunami, Superstorm Sandy, and the fears related to the ongoing threat of terror activities. The Department of Homeland Security is continually working with state and local government jurisdictions to improve the levels of preparedness and the specific response capabilities to meet these various risks.

The development of this comprehensive Continuity of Operations Plan (COOP) is of vital importance to our local government. We are responsible for providing services to our citizens and we must be prepared to continually meet these responsibilities in the face of small routine disruptions as well as a major disaster or terrorist attack.

All departments and related organizations need to participate in this countywide planning effort. We consider this planning project to be a priority for our county and we appreciate your assistance in successfully developing our COOP. Please work with your staff and allocate the appropriate resources to develop a plan to continue your operations after a disruption and build on the overall resilience of the county.

Thank you for your efforts during this planning process.

Sincerely,

The County Administrator/Commissioner
3.0 CREATION OF THE COOP EXECUTIVE TEAM

For any organization to successfully develop a working Continuity of Operations Plan (COOP), there must be a concerted effort from staff at all levels. This will involve input from management and operations from all the functional departments, divisions and business units. The goal of this COOP effort is to push the planning process deep into the organization and invite larger numbers of staff to participate.

The following are COOP Executive Team members who must be identified for active participation. This includes their roles, responsibilities and estimated hours over the course of the project. Note that the estimated hours include all trainings and exercises, as well as COOP meetings and individual work for data collection and entry.

3.1 COOP Project Manager

This individual is the leader for the entire effort and the primary point of contact for other departments. On average, this individual can expect to work approximately eighty (80) hours during the course of this project. Responsibilities for this key position include the following:

- Identify all COOP Team members and schedule all project planning efforts.
- Collect and input all data for the COOP Master Plan, which will create “pick lists” for department plans to choose from.
- Manage and oversee all aspects of the COOP project for the organization.
- Distribute training materials to appropriate staff, schedule trainings, and follow up with Team Leaders until Plan completion.
- Maintain COOP program after the completion of initial development project. Provide ongoing support and master plan maintenance, as well as roll-out of the Plan Maintenance Cycle.

3.2 Executive

This individual is the top decision-maker and manager for the entire organization. Support and active participation from the Executive is vital to any successful COOP. On average, this individual can expect to work approximately five (5) hours during the course of this project. Responsibilities for the Executive include the following:

- Provide a letter of executive support for the planning effort.
- Allocate department resources for training, plan development and exercises.
- Approve the final COOP/COG plan.

3.3 Facilities Director

This individual is the primary point of contact for all facility issues including security, maintenance, damages, and potential relocation alternatives. On average, this individual can expect to work approximately thirty (30) hours during the course of this project. Responsibilities for the Facility Director include the following:

- Identify all buildings and facilities to be covered by this COOP.
- Provide information about facility security, maintenance, access, and evacuation procedures.
- Assist all departments with alternate facility options and priorities.
- Provide 24-hour facility contacts and building capacities.
3.4 Information Technology Director
This individual is the primary point of contact for all IT issues including system availability, disaster recovery, telephones, and communications. On average, this individual can expect to work approximately thirty (30) hours during the course of this project. Responsibilities for the Information Technology Director include the following:

- Identify all vital records, resources and systems and provide details regarding back-ups, redundancy and Disaster Recovery (DR) planning.
- Review all department IT requirements for essential functions.
- Compare all department IT requirements against IT recovery strategies.

3.5 Human Resources Director
This individual is the primary point of contact for all Human Resource (HR) issues including contact information, HR policies and procedures and staff training. On average, this individual can expect to work approximately thirty (30) hours during the course of this project. Responsibilities for the Human Resource Director include the following:

- Provide current contact information for all staff involved in the project.
- Coordinate all HR policies related to COOP.
4.0 SETUP OF THE COOP MASTER PLAN STRUCTURE

The OregonCOOP.com system has significant functionality to simplify the COOP planning process. The Master Plan is the primary tool for efficiency and for coordination among the various Department Plans. When using the Master Plan, all related Department COOPs will “roll-up” into a collated, integrated Continuity of Government (COG) plan.

4.1 Access to the Master Plan

BOLDplanning will provide access credentials to the County Master Plan to the COOP Project Manager, who can then provide access to other COOP Team Members as necessary. Typically, the COOP Executive Team members described in Section 2.0 will eventually need access to this Master Plan functionality. Information that applies to the entire organization must be collected and entered into the Master Database. Some of the information is populated directly into the department plans, but most is provided as a “pick list” and can be imported into the Department Plans if desired. In this way, critical data is entered once and shared (accurately), rather than being entered separately for each department. The Master Plan has complete access to all the Department Plans.

4.2 The Executive COOP and the Continuity of Government (COG) Report

In order to enable the COG Report, a specific COOP which covers the functions, operations and offices of the highest-level Executive must be identified. The COOP Project Manager must identify the Planning Team Leader for these Executive operations. This will be identified in the general information tab of the Executive Department COOP Plan, and must be in place before the COG Report can be created.

4.3 Setup of the Department Plans

Under the Master Plan, a series of separate department plans will be created. There will be department plans for each of the departments within the organization. The COOP Project Manager must identify each of the Department Planning Team Leaders who will then be given access to input data and develop their own plans. The Team Leaders can then provide access credentials to other team members as necessary. Each department will develop its own individual COOP for their functions and operations while being automatically integrated with the larger planning effort through the Master Plan and the related reports.
5.0 DATA COLLECTION FOR THE MASTER PLAN

During this initial phase of the project, it is important to develop the Master Plan in order to streamline the process and to maintain database integrity, which is critical for future data analysis. This Master Plan data will effectively “jump-start” the planning process for the departments, resulting in less work, less time and greater consistency and coordination. The COOP Project Manager, along with the other members of the COOP Executive Team, must oversee the collection and data entry for the following sections of the Master Plan prior to subordinate plan data entry.

5.1 General Information
To enable the Continuity of Government (COG) Plan report, select the highest ranking organization from the pre-populated dropdown list of department plans. This department should represent the Executive plan discussed above in 3.2.

5.2 Facilities
Identify all primary facilities where staff works on a regular basis. Later in the project each department plan will have the option to import the appropriate facilities that house their operations.

- Enter facility locations and addresses.
- The Facilities Director (Section 2.3) should be the primary resource for this information as well as the staff capacity numbers.
- Provide details about the physical security, access controls and evacuation procedures for each listed facility. Enter data about the evacuation procedures as well. Typically, the Facility Director is the point of contact for this information and should be given a password to the Master Plan for direct data entry. This information can then be distributed appropriately as the appropriate facility is imported into a specific department plan.

5.3 Contacts Database
Identify all staff involved with COOP planning and activation responsibilities. Each department plan will have the option to import the appropriate contacts that are essential to their operations.

- Staff members should be entered into the system along with all appropriate contact information.
- The Human Resource Director (Section 2.5) should be the primary resource for this information.
- Members will be listed as key staff, staff, non-staff or vendor/other.
- Develop the department and division lists with the drop-down boxes in the top-right corner. Your entries here should match the current organizational structure/chart of your organization.
- Use the location “pick list” to assign staff to the facility where the person normally works.
- Personal contact information for staff should not be entered into the master list. Personal contact information should be entered into the department plan level only.
5.4 COOP Teams
Identify all members of your COOP Executive Team. At a minimum, the positions listed in Section 2.0 should be assigned, along with any additional staff members within your organization. This COOP Executive Team and any other teams developed in this Master Plan are automatically populated in all department plans as read-only information.

- Select staff from the contacts database for the COOP Executive Team.
- Enter the specific roles and responsibilities for each individual assigned to the team.
- Sort members to re-order them correctly for display.

5.5 Vital Records, Systems and Resources
The IT Director (Section 2.4) should take the lead for the collection and data entry for this section. It is important to identify vital records, resources and systems and provide backup procedures and disaster recovery (DR) plans. The Department COOPs will have access to this list to import those vital records that are required for their department essential functions.

- The IT Director should add a new vital record for each of the critical systems, databases, networks and equipment. The IT Director should refer to existing Disaster Recovery (DR) plans in order to complete the questions related to backups, protection, formats and other procedures.

5.6 Alert Notification Procedures
Methods and procedures for communications and notification are very important for any successful COOP effort. All countywide alert notification procedures entered in the Master Plan will automatically be populated in the department plans in a read-only format. The COOP Project Manager should work with the COOP Executive Team to detail current procedures that apply to all departments, including the following:

- Internal notifications to the COOP Executive Team, the Department COOP Teams and to all staff.
- External notifications to the public regarding modified service levels.
- Redundant methods for communicating these notifications.

5.7 File Archive
The File Archive is an on-line library for COOP-related documents and files to be stored for use during a COOP activation. All file formats can be uploaded into the file archive; including MS Word, MS Excel, Adobe PDF, JPEG images, and Zip files. Any files uploaded into this Master Plan will automatically be pushed down to all the Department Plans for their use. It is recommended that the COOP Project Manager use this resource by uploading a variety of documents that relate to all of the departments. At a minimum, the following types of documents should be considered for upload to the master file archive:

- Emergency Operations Plans (EOPs) and other emergency-related procedures.
- Complete staff rosters with multiple methods for communication.
- Countywide forms, documents and policies.
6.0 DEVELOPMENT OF THE DEPARTMENT COOP TEAMS

It is necessary to identify staff from all of the operational departments, divisions and business units and invite them to participate in the process. Each of these individuals must then be contacted directly and informed of their responsibilities, time commitments and the project schedule.

Every department, division and business unit performs vastly different functions – for example: IT, HR, Finance, Facilities and Administration each have their own unique requirements for systems, facilities, equipment and human resources. With this in mind, the fundamental organizational structure must be considered and all departments, divisions and business units identified for participation in this COOP planning effort.

6.1 Department COOP Team

The COOP Project Manager must work with the other members of the COOP Executive Team to identify all of the departments that will participate in this organization-wide planning effort. For each of the identified departments, there are three roles that must be filled by actively participating staff. The COOP Project Manager must identify the Department Head, the Planning Team Leader and planning staff for each department.

Over the course of the project, a number of individuals will join to assist with plan development. Also during the ongoing plan maintenance, staff changes will obviously occur. Therefore, it is necessary to continually update the system as staff joins/leaves the department.

6.2 Department Head

This individual is the top decision-maker and manager for the department. Support and active participation from the department head is important for this effort. On average, this individual can expect to work approximately five (5) hours during the course of this project. Responsibilities for the department head include the following:

- Provide active support and allocate sufficient staff time and resources.
- Identify an individual to act as the Department COOP Planning Team Leader.
- Approve the final Department COOP.

6.3 Department Planning Team Leader

This individual is the primary point of contact for all department project management and related COOP issues, including the completion of the COOP. On average, this individual can expect to work approximately thirty (30) hours during the course of this project. Responsibilities for this key position include the following:

- Review the COOP Preparation Package and attend all related training workshops and planning meetings.
- Identify the staff to act as Department COOP Planning Team members.
- Research, collect data and input this information into the web-based system.
- Maintain the COOP after the completion of this development project.
6.4 Department Planning Team

These individuals are essential departmental staff that will be involved in any type of COOP activation, and will need to be involved in the COOP planning effort. On average, these individuals can expect to work approximately five (5) hours during the course of this project. Responsibilities for these positions include the following:

- Review the COOP Preparation Package.
- Attend COOP Planning Team meetings and provide input.
- Review plan drafts for accuracy and improvement opportunities.
7.0 KICKOFF TRAININGS FOR DEPARTMENT STAFF

The last step during the implementation phase is the scheduling of the kick-off workshop for the COOP Executive Team and the Department Planning Team Leaders.

7.1 Confirm Date and Location for Kickoff

The location for the training must be a computer training facility with Internet access for all workstations. Attendance by department staff will be based on the size and capacity of the training facility in terms of space and number of workstations (having IT technical support on-hand at the beginning of the training is recommended to avoid any connectivity issues in the training room).

After sending the initial invitations, the COOP Project Manager should send out occasional reminders to solicit additional involvement.