



The LSH GROUP, LLC

*Business Continuity, Continuity of Operations,
& Disaster Recovery Specialists*

COOP Templates for Success!



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*President/CEO and founder of The LSH Group, LLC
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- ❖ Ms. Hanwacker is an experienced executive leader with 30 years addressing IT, BC/DR solutions, Network/IT Security and most recently Risk Management.
- ❖ At AT&T, Ms. Hanwacker was the Director of BC/DR Professional Services where she managed the implementation of the \$30+ million BC/DR program that included managing and planning for all core AT&T network operations. Her team played a major role in the 9/11 recovery effort for NYC.
- ❖ Ms. Hanwacker holds an MBA in Finance, MS in IT/Computer Science, Executive Leadership Certification and has met all the requirements as a Certified Business Continuity Professional (CBCP).

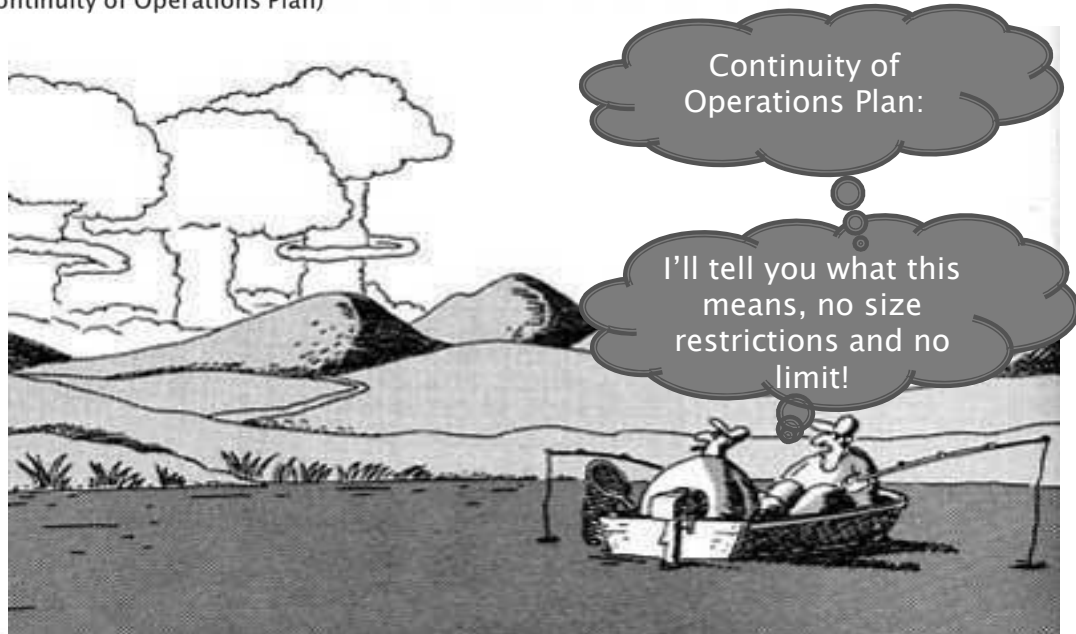


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What is a COOP? *"Good Business Practice"*

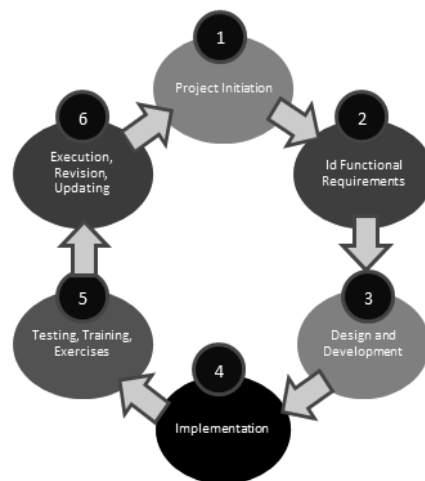
(Continuity of Operations Plan)



The COOP Planning Process

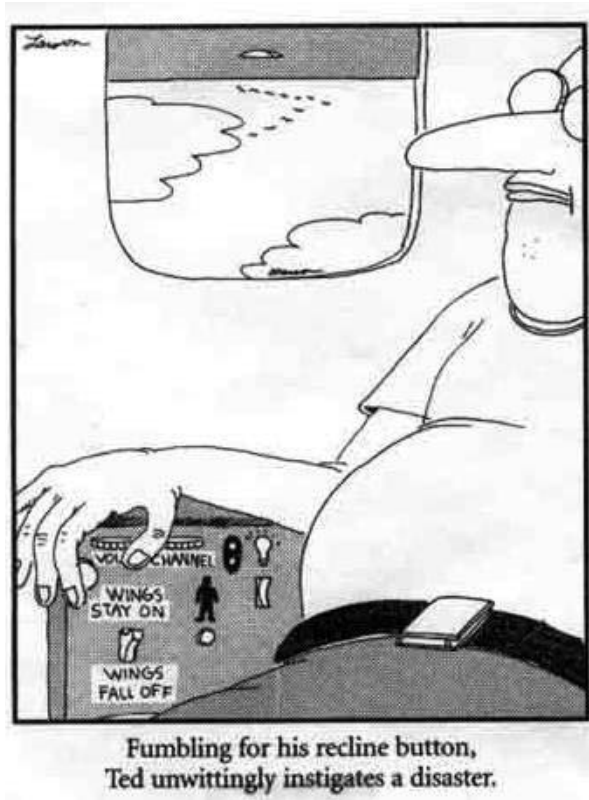
Six Phases:

1. Project Initiation
2. Identification of Functional Requirements
3. Design and Development
4. Implementation
5. Testing, Training, and Exercises
6. Execution, Revision and Updating



Why COOP?

- ▶ Objectives
- ▶ Goals



What are the Elements of a COOP Plan?

Phase	Element
Phase 1:	0. Project Initiation
Phase 2:	1. Critical/Essential Functions 2. Delegations of Authority 3. Orders of Succession 4. Alternate Facilities (if needed) 5. Interoperable Communications 6. Vital Records 7. Human Capital Management
Phase 3:	8. Design & Development
Phase 4:	9. Implementation
Phase 5:	10. Test, Training, and Exercises
Phase 6:	11. Devolution 12. Reconstitution

OVERVIEW OF PHASE I TEMPLATES

- 1 – COOP Coordinator Information
- 2 – COOP Team Members
- 2A – Communications Plan
- 3 – Framework, Mission Statement
- 4 – Objectives and Deliverables
- 4A – Cost Planning Template
- 5 – Required Documents



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Phase 1: Project Initiation

Template 1: COOP Coordinator

The COOP team is led by an appointed COOP Coordinator- who is familiar with each division, able to assist other team members, develop framework and define measurable criteria.

COOP Coordinator	
Name	
Contact Information: Work phone Email	
Emergency contact: Home phone Cell phone Pager	
Date Appointed	
Full or Part time?	
If Part time, identify percentage of time to COOP activities.	
Supervisor	
Brief Professional Background	



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Phase 1: Project Initiation

Template 2: COOP Team Members

The COOP team is comprised of members from key areas or divisions.

COOP Team Members		
Name	Job Title and Department within Agency	Date Assigned
Responsibility:		
Name	Job Title and Department within Agency	Date Assigned
Responsibility:		
Name	Job Title and Department within Agency	Date Assigned
Responsibility:		
Completed by:		Date:
Reviewed by:		Date:

Phase 1: Project Initiation

Template 3: Framework

Important to include Executive signatures representing their support.

This COOP team has been assigned by the _____to direct development of a comprehensive continuity of operations capability for _____. Because of the importance of this initiative, members of this team have been assigned from all major divisions/branches of the agency. This team is responsible for preparing a Continuity of Operations Plan (COOP), as well as for overseeing the process required to implement, validate and maintain a continuity capability.

Executive Signatures:

Phase 1: Project Initiation

Template 4: Objectives & Deliverables

Clearly identify the objectives and deliverable so that the team can focus their efforts on what is relevant to the COOP initiatives.

Objectives and Deliverables	
Main Objectives:	
Sub-Objectives:	
Deliverables of COOP Team:	
Completed by:	Date:
Reviewed by:	Date:

Phase 1: Project Initiation

Template 5: Required Documents

Existing documentation that will assist in the preparation. Documents containing sensitive information should be distributed to appropriate team members to ensure that confidentiality is not compromised.

Required Documents and Information	
Document Title	Location
Completed by:	Date:
Reviewed by:	Date:

Phase 2: Id of Functional Req'ts

Business Impact Analysis (BIA)

- ▶ Identify critical and essential assets.
- ▶ Identify potential threats to those assets.
- ▶ Determine potential impact to each threat.
- ▶ Determine susceptibility to each threat.

Risk Assessment (RA)

- ▶ Evaluation of the likelihood that it will occur.
- ▶ Controls to reduce exposure to such risk.
- ▶ Perform jointly with vulnerability assessment in BIA

Phase 2: Id of Functional Req'ts

1. Critical/Essential Functions
2. Delegations of Authority
3. Orders of Succession
4. Alternate Facilities
5. Interoperable Communications
6. Vital Records
7. Human Capital Management

OVERVIEW OF PHASE II TEMPLATES

- 6 – Areas of Responsibility
- 7 – Functions Performed by Areas of Responsibility
- 7A – Criteria for Selecting Critical/Essential Functions
- 8 – Critical/Essential Functions Questionnaire
- 8A – Critical Processes
- 8B – Management, Technical and Supporting Personnel
- 9 – Prioritized Listing
- 9A – Cost Planning
- 10 – Matrix for Delegation
- 10A – Authority Rules
- 11 – Organization Chart
- 11A – Functions and Key Positions
- 12 – Orders of Succession
- 13 – Requirements for Alternative Work Sites
- 13A – Alternative Work Site Options
- 13B – Designated Assembly Areas
- 14 – Communication Systems
- 14A – Preventative Controls for Communication Systems
- 14B – Alternate Modes of Communication
- 15 – Rapid Recall List
- 16 – Vital Data Records
- 16A – Vital Records Protection Methods
- 16B – Vital Systems and Equipment Protection Methods
- 17 – Restoration and Recovery Resources
- 18 – Systems & Equipment
- 19 – Go Kits

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Phase 2: Id of Functional Req'ts

1. Critical/Essential Functions

- Those that must continue with minimal or no disruption
- They enable an organization to provide vital services
- They are based on the needs of the customers
- This must be completed before moving on to any other steps

Phase 2: Id of Functional Req'ts

Template 6: Areas of Responsibility

Identify general areas of responsibility such as human resources, building facilities, IT, legal, etc.

Number	Areas of Responsibility
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	
16	
17	
18	
19	
20	
21	
22	
23	
24	
25	



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Phase 2: Id of Functional Req'ts

Template 7: Functions Performed by Areas

Complete for each area of responsibility identified in Template 6 list the function performed and provide a brief description of the activities typically performed

AREA: _____			
Number	Functions Performed	Brief Description	Essential? Y/N
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			



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Phase 2: Id of Functional Req'ts

2. Delegation of Authority

Specifies who is authorized to make decisions or act on behalf of the department or agency head or other key individuals.

Phase 2: Id of Functional Req'ts

Template 10: Matrix for Delegation & Condition/Procedure

In developing this list, review who has the authorities for making policy determinations and decisions at the appropriate levels.

Type of Authority	Position Title Holding Authority	Triggering Conditions/Procedure

Phase 2: Id of Functional Req'ts

3. Order of Succession

Provisions for the assumption of leadership positions when the incumbents are unavailable or unable to execute their duties



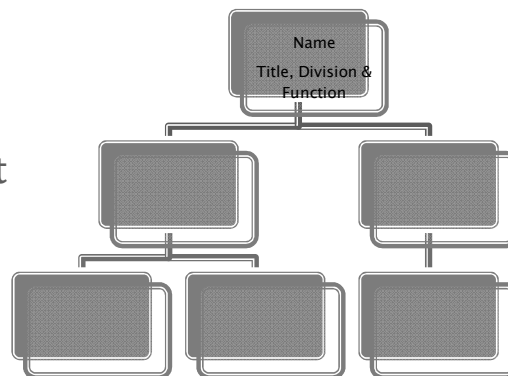
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Phase 2: Id of Functional Req'ts

Template 11: Current Organization Chart



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Phase 2: Id of Functional Req'ts

Template 12: Orders of Succession

List orders of succession to key positions essential related to the COOP plan.

Officials (Title)	Designated Successor(s) (Title)	Limitations/Conditions	Responsibilities

Phase 2: Id of Functional Req'ts

4. Alternate Facilities

If work space must be evacuated, key personnel should relocate to an alternate work site such that the organization can continue its critical/essential functions.

- ▶ Describe how to activate communications and when to abandon current facility.
- ▶ Define when to report to an alternate facility
- ▶ Return to normal operations.

Phase 2: Id of Functional Req'ts

Template 13: Requirements for Alternate Facility

Identify requirements for the alternative work sites by essential function. Requirements include personnel, special needs, power, communication and space.

Number of Personnel	Human Needs (Special)	Power	Communication	Space Requirements

Phase 2: Id of Functional Req'ts

5. Interoperable Communications

Provide the capability to perform critical/essential functions, in conjunction with other agencies and organizations, until normal operations can resume.

Even if primary means of communications fails,
Must be able to communicate with:

Customers and business partners –**EXTERNALLY**
Leadership and Coworkers –**INTERNALLY**

Phase 2: Id of Functional Req'ts

Template 14: Communications

List the current vendor and its contact information, the services the vendor is currently providing and any special emergency services the vendor has to offer.

Communication Mode	Current Provider	Services Provided	Special Services Available	Alternative Provider?
Voice Lines				
Fax Lines				
Data Lines				
Cellular Phones				
Pagers				
E-mail				
Internet Access				
Instant Messenger Services				
Blackberry and other Personal Digital Assistants				
Radio Communication Systems				



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Phase 2: Id of Functional Req'ts

Template 14A: Preventative Controls for Communication Systems

Complete a worksheet for each facility and indicate whether the facility is a primary or alternate work site. Identify all the optimal preventive controls for each communication system and then list the preventive controls currently in place for that mode of communication. Examples of preventive controls might be uninterruptible power supplies, generator back-up, water sensors, etc.

Facility: _____ ☐ Primary ☐ Alternate

Communication Mode	Current Provider	Services Provided
Voice Lines		
Fax Lines		
Data Lines		
Cellular Phones		
Pagers		
E-mail		
Internet Access		
Instant Messenger Services		
Blackberry and other Personal Digital Assistants		
Radio Communication Systems		



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Phase 2: Id of Functional Req'ts

Template 14B: Alternate Modes of Communication

Copy the information gathered in Template 14A into this table and identify alternative providers and/or modes of communication. Communication systems already in place can be named as alternative modes for other modes of communication. For example, radios could be an alternative mode of communication for voice lines.

Communication Mode	Current Provider	Alternate Provided	Alternate Mode 1	Alternate Mode 2
Voice Lines				
Fax Lines				
Data Lines				
Cellular Phones				
Pagers				
E-mail				
Internet Access				
Instant Messenger Services				
Blackberry and other Personal Digital Assistants				
Radio Communication Systems				
Other				

Phase 2: Id of Functional Req'ts

Template 15: Rapid Recall List

The Personnel Contact List is a short document with a cascade call list and other critical phone numbers. The cascade call list should include COOP team members, key personnel, organization management and emergency personnel, both inside and outside the organization.

Employee Cascade List	Email Address	Work #	Home #	Cellular or Pager #
Organization Head				
COOP Team				
Employee 1				
Employee 2				
Employee 3				
Employee 4				
Employee 5				
Key Personnel and Management				
Employee 1				
Employee 2				
Employee 3				
Employee 4				
Employee 5				
Emergency Personnel		Phone Number(s) and other Contact Information		
Fire Department				
Police Department				
Ambulance/Emergency Medical Services				
Employee Emergency Hotline				
Alternate Facility Contacts				
Other				

Phase 2: Id of Functional Req'ts

6. Vital Records & Vital Systems/Equipment

Those records, that if damaged or destroyed would disrupt operations and information flow, cause considerable inconvenience and require replacement or recreation at substantial expense.

Phase 2: Id of Functional Req'ts

Template 16: Vital Records

Records can be in electronic or paper form. Do not include records that may be useful but are not essential to performing the service.

Critical Service or Process	Vital Record	Description	Form of Record	Type of Record	Time Critical?

Phase 2: Id of Functional Req'ts

Template 17: Third Party Recovery

Company Name	Contact Name	Address/Phone	Services



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Phase 2: Id of Functional Req'ts

Template 18: Systems & Equipment

List those systems and equipment that are absolutely necessary for the continued operation of critical/essential processes or services for 14 days (i.e. computer, software, etc.). Do not include systems or equipment that may be useful but are not essential to performing the service.

Critical System or Equipment	Networks or Servers that Must be Operational in Order to Support the Critical System or Equipment	Priority	Description	Type of System



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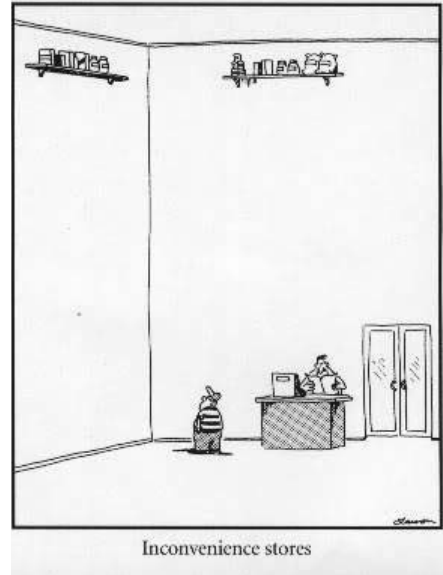


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Phase 2: Id of Functional Req'ts

7. Human Capital Management

- ▶ People are real assets and valuable resources.
- ▶ Need the right people to perform the critical/essential functions best.
- ▶ Ensure all employees have a clear understanding of what they are to do in an emergency.
- ▶ Includes specific protocols for identifying and assisting special-needs employees and family planning issues.



Phase 3: Design & Development

COOP team now has to decide whether the plan should consist of:

- One large plan or
- A series of smaller COOP plans
- SAMPLE COOP TEMPLATE

Where Templates Fit

1. Continuity of Operations Plan
(Template 1, 2, 5)
2. Promulgation Statement
(Template 3)
3. Purpose, Scope, Assumptions
(Template 4, 6, 7, 8, 9)
4. Communications
(Template 14, 15)
5. Budgeting and Acquisition of Resources
(Template 4, 9, 13)
6. Delegation of Authority
(Template 10, 11, 12)
7. Vital Records & Vital Systems/Equipment
(Template 16, 17, 18)

Phase 4: Implementation

- | | |
|---|--|
| <ul style="list-style-type: none"><input type="checkbox"/> Executive Summary<input type="checkbox"/> Table of Contents<input type="checkbox"/> Introduction<input type="checkbox"/> Purpose<input type="checkbox"/> Applicability and Scope<input type="checkbox"/> Essential Functions<input type="checkbox"/> Authorities and References<input type="checkbox"/> Concept of Operations<input type="checkbox"/> COOP Planning Responsibilities | <ul style="list-style-type: none">Logistics<ul style="list-style-type: none"><input type="checkbox"/> Alternate Location<input type="checkbox"/> Interoperable Communications<input type="checkbox"/> Test, Training, and Exercises<input type="checkbox"/> MYSPMP<input type="checkbox"/> MaintenanceAnnexes<ul style="list-style-type: none"><input type="checkbox"/> Annex A – Authorities & References<input type="checkbox"/> Annex B – Operational Checklists<input type="checkbox"/> Annex C – Alternate Facility<input type="checkbox"/> Annex D – Maps, Evacuation<input type="checkbox"/> Annex E – Definitions |
|---|--|

DESCRIPTION OF CONTENTS

Executive Summary

Outlines the organization and content of the COOP plan. Describes what it is, whom it affects, and the circumstances under which it should be executed. Discusses key elements of COOP planning. Explains the organization's implementation strategies.

Introduction

Explains the importance of COOP planning and references any recent events that led to the increased emphasis on COOP capability

Purpose

Why a COOP is being developed, its purpose. Designed to address the all-hazards threat.

Applicability and Scope

How it applies to the whole organization. Should address the full spectrum of threats.

Essential Functions

Includes a list of the organization's prioritized essential functions.

Authorities and References

Refers to an annex that outlines all supporting authorities and references used in developing the COOP.



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DESCRIPTION OF CONTENTS (con't)

Concept of Operations

Explains how the organization will organize its COOP. Explains how to address each critical COOP element. Separated into 3 phases: Activation and Relocation, Alternate Facility Operations, and Reconstitution.

COOP Planning Responsibilities

Includes additional delineation of COOP responsibilities of each key staff member to include: Individual Emergency Relocation Group (ERG) members, those identified in the order of succession and delegation of authority and others.

Logistics

Alternate Location

Explain the significance of identifying an alternate facility, the requirements for determining an alternate facility, and the advantages and disadvantages of each location.

Interoperable Communication

Identify available and redundant critical communication systems located at the alternate facility.

Test, Training, and Exercise

Familiarizes the staff with their roles and responsibilities during an emergency. Ensures that systems and equipment are maintained in a constant state of readiness. Validates certain aspects of the COOP.



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DESCRIPTION OF CONTENTS (Con't)

MYSPMP

Multi-Year Strategy and Program Management Plan. Addresses short and long term COOP goals, objectives, and timelines, budgetary requirements, planning and preparedness considerations, and planning milestones or tracking systems to monitor accomplishments. It should be developed as a separate document.

COOP Maintenance Plan

Addresses how the organization plans to ensure that the COOP Plan contains the most current information.



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Phase 5: Testing, Training, Exercises

Objectives:

- ▶ Assess and validate COOP plans, policies, and procedures.
- ▶ Ensure employees are familiar with procedures.
- ▶ Ensure COOP personnel are trained to execute critical/essential functions in a COOP situation.
- ▶ Test and validate equipment to ensure both internal and external interoperability.



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Phase 5: Testing, Training, Exercises

Testing:

- ▶ An evaluation of a capability against an established and measurable standard
- ▶ Conducted to evaluate capabilities –not personnel
- ▶ Should be documented
- ▶ Results should be published
- ▶ Gaps should be tracked and managed



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Phase 5: Testing, Training, Exercises

Training:

- ▶ Instruction in core competencies and skills
- ▶ The principal means by which individuals achieve a level of proficiency
- ▶ Encompasses a range of activities, each intended to provide information and refine skills
- ▶ Should be documented
- ▶ A training schedule should be published and updated



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Phase 5: Testing, Training, Exercises

Exercises:

- ▶ Allows participants to apply their skills and knowledge to improve operational readiness
- ▶ Purpose of an exercise is to identify areas that require additional training, planning, or other resources
- ▶ Goal of exercising COOP plan is to prepare for a real incident that would require COOP activation



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Phase 5: Testing, Training, Exercises

Types of Exercises:

- ▶ Table-Top
- ▶ Functional
- ▶ Full-Scale



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Phase 6: Execution, Revision & Updating

A COOP can be activated in part or in whole depending on the threat.

An effective COOP will outline an executive decision process for the quick and accurate assessment of the situation and determination of the best course of action.

Phase 6: Execution, Revision & Updating

Class/Level of Emergency	Impact on Organization
I	Disruption of up to 12 hours. No COOP activation required.
II	Disruption of 12 -72 hours. Limited COOP Activation.
III	Disruption of 1 or 2 critical/essential functions, up to 3 days. Some personnel may move to alternate site; >1 week.
IV	Disruption of 1 or 2 critical/essential functions, 3-14 days. May require activation of orders of succession Some personnel may move to alternate site; <1 week.
V	Disruption to the entire organization lasting 14 days. Requires activation of orders of succession. Requires movement of personnel to alternate site.

Phase 6: Execution, Revision & Updating

Devolution: Activation and Relocation

- ▶ Notify appropriate chain of command for activation.
- ▶ Activates plans, procedures, and schedules to transfer essential functions, personnel, records, and equipment to the alternate facility.



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Phase 6: Execution, Revision & Updating

Reconstitution

The process by which personnel resume normal operations from the original or replacement primary facility. It is conducted after the emergency or disruption ceases and is unlikely to resume. Then revise plans based upon lessons learned.



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Contact Information



For more information:

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