

Continuity of Operations (COOP)

for Douglas County Departments

Workshop 1



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Purpose and Goals

Purpose of Sessions

To provide time for collaborative learning about COOP, and time to work on departmental COOP documents.

Goal

First, all Douglas County departments will submit a draft COOP plan(s)* to Administration by March 31, 2018.

Second, Douglas County will develop a county-wide COOP by June 30, 2018.

* Some departments may need a COOP by sub -department

Sessions

All Sessions in GC204, Unless Noted Otherwise

- January 29, 9AM – 11AM, COOP Consult, Part 1
 - January 31, 2PM – 4PM, COOP Consult, Part 1
 - February 12, 9AM – 11AM, COOP Consult, Part 1
 - February 13, 9AM – 11AM, COOP Consult, Part 1, Courthouse 207

 - March 12, 9AM – 11AM, COOP Consult, Part 2
 - March 13, 2PM – 4PM, COOP Consult, Part 2
 - March 20, 9AM – 11AM, COOP Consult, Part 2
 - March 21, 2PM – 4PM, COOP Consult, Part 2
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- No pre-registration is required.
 - If no one is present by 15-minutes into session, session will be canceled.
 - If you send another department representative in your place, please send with materials.
 - You may attend a session more than once, but the agenda will not change significantly

What is a COOP?

Continuity of Operations (COOP) is a federal government initiative, required by U.S. Presidential Policy Directive 40 (PPD-40), to ensure that agencies are able to continue performance of essential functions under a broad range of circumstances:

“Continuity planning facilitates the performance of essential functions during all-hazards emergencies or other situations that may disrupt normal operations. By continuing the performance of essential functions through a catastrophic emergency, the state, territorial, tribal, and local governments, and the private sector support the ability of the Federal Government to perform National Essential Functions (NEFs).”

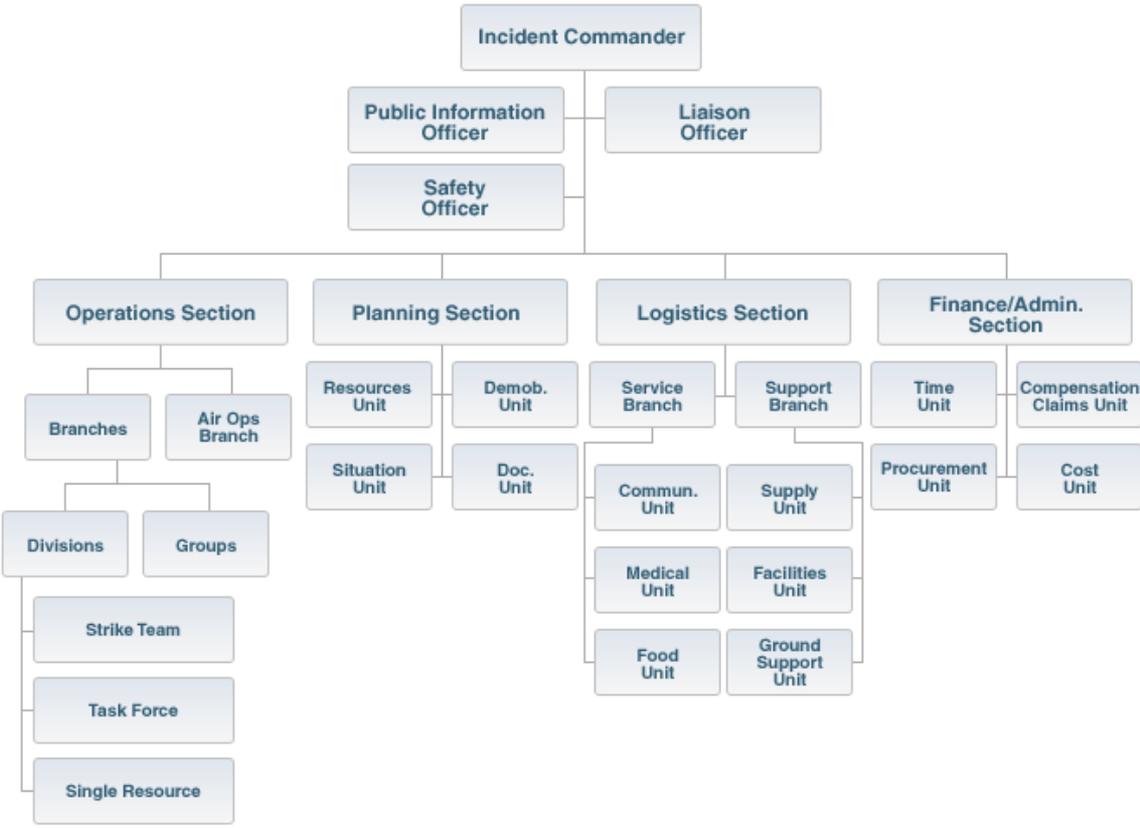
Emergency Response Structure

Community Response

County Response

Roles of :

- Emergency Management
- Incident Command (Field Operations)
- Emergency Operations Center



Role and Structure of County COOP Operations

Leadership of the County COOP function

- Preparedness for leadership

Relationship of the COOP organization to the County EOC

Role of Department Heads

Role of Department Workers

- Your Department Support

- Support of Other Functions

 - ICS/EOC

 - Other COOP Department

Special Functions

- Information Technology

- Facilities

Douglas County - COOP Planning

COOP planning must be reasonable, practical, and achievable.

You are not planning for every possibility that could cause an interruption. Your plan will guide your performance of essential functions as a result of any interruption.

Douglas County plans for three general scenarios for interruption:

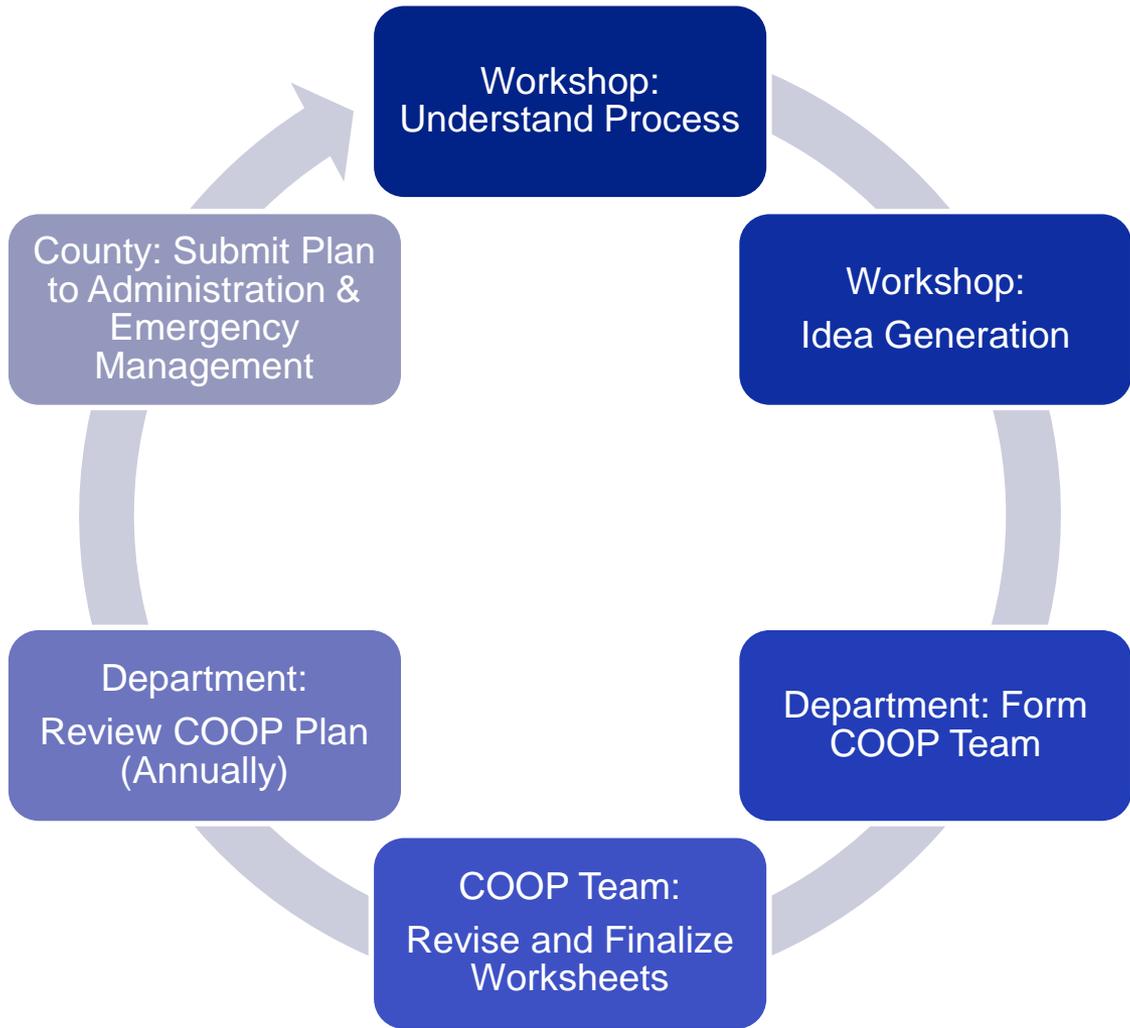
- Departmental resources* are unavailable (damaged, ill, etc.) but the community is intact.
- The community has damage but your resources are intact.
- The facility and community are both damaged.

** Remember that as we discuss resources, we are discussing all of the “things” you need to accomplish your critical functions. These may include facilities, staff, data, equipment, supplies...*

Things to Remember As You Plan

- You may benefit from partnering with other close departments (e.g., court staff)
- Do not forget “special functions” (e.g., elections).
- It is better in this planning to be “minimalist” with essential functions.
- **If your department has no “immediate” or “day” essential functions, your essential function will likely to be leadership and labor to assist departments that are overwhelmed.**
- You do not have to have a complete technical plan for your data but you do need to communicate fully with IT staff on what your IT requirements are.
- Damage assessment is an important part of each department’s responsibilities (e.g., equipment and supply inventories.)

COOP Planning Process



COOP: For Office & Home

Department Employees, especially employees that would be considered ***essential personnel*** should also consider individual and family preparedness.

Some people have responsibilities at home that could inhibit their ability to perform essential functions, which may require extended hours and stress when executing a COOP in an emergency situation.



Worksheets to Create Your Departmental Coop:

Workshop 1:

[Worksheet A](#): Orders of Succession and Delegation

[Worksheet B](#): Determine Essential Functions

[Worksheet C](#): Prioritize Essential Functions

[Worksheet D](#): Essential Functions Staff

[Worksheet E](#): Go Kits

[Worksheet F](#): Vendor Information

[Worksheet G](#): Inventory of Vital Records

Workshop 2:

[Worksheet H & I](#): Staff Calling Tree (Table & Chart)

[Worksheet J](#): Communications Plan with Partners

[Worksheet K](#): Alternate Work Site Requirements

[Worksheet L](#): Alternate Worksite Options

[Worksheet M](#): COOP Plan Training Program

[Worksheet N](#): COOP Plan Exercise Program

Resolving Questions

Parking Lot Questions

Document or Ask Your
Question

James will Research
Answer, and Provide a FAQ

Worksheet A: Orders of Succession and Delegation

List authorized successors for leadership in Worksheet A. Lines of succession should be reviewed and updated routinely to ensure continuity of essential functions. Desk manuals, Job Action sheets, and cross trained staff are recommended for all essential functions.

Delegations of authority will follow the orders of succession. If the Director is unavailable for a sustained period of time, the second individual will be delegated the authority to act on behalf of the Director. If first and second individuals are unavailable for a prolonged period, the third individual will assume the primary authority, and so on.

Worksheet A: Orders of Succession and Delegation

Key Position	Successor	Delegated Authority(s)	Activation/Termination of Delegated Authority(s)	Documentation of Authority(s)
<i>LPHA Administrator</i>	<i>LPHA Deputy Administrator</i>	<i>All</i>	<i>Activated: Administrator is not available during COOP plan activation</i> <i>Terminated: Administrator is available or emergency is over</i>	<i>LPHA Policy X.x</i>
<i>Nursing Supervisor</i>	<i>Nurse A</i> <i>If unavailable:</i> <i>Nurse B</i>	<i>Administrative authority only. No prescribing medications</i>	<i>Activated: Nurse Supervisor is not available during COOP plan activation</i> <i>Terminated: Nurse Supervisor is available or emergency is over</i>	<i>LPHA Policy X.x</i> <i>Physician Standing Orders (1-1-2014)</i>

Worksheet A: DHHS Example

Key Position	Successor	Delegated Authority(s)	Activation/Termination of Delegated Authority(s)	Documentation of Authority(s)
Dave Longsdorf, Supervisor	Lead Social Worker Jennifer Paananen, SW Connie Morehouse, SW	<ul style="list-style-type: none"> • Screen new Mental Health, AODA and Adult Protection Cases • Assign new cases to staff. • Oversee/review court documents. • Address complaints/concerns from clients. • Contact State offices pertaining to electronic systems. • Determine appropriate placements. This does not include financial decisions. • No authority for personnel and budgetary 	<p><u>Activated:</u> Administrator is not available during COOP plan activation</p> <p><u>Terminated:</u> Administrator is available or emergency is over</p>	Douglas County DHHS Lead Social Worker Policy.

Worksheet B: Determine Essential Functions

The department must identify and prioritize its essential functions so the mission may be carried out during an emergency or COOP incident.

Any task not deemed as an essential function will be deferred until additional personnel and resources become available.

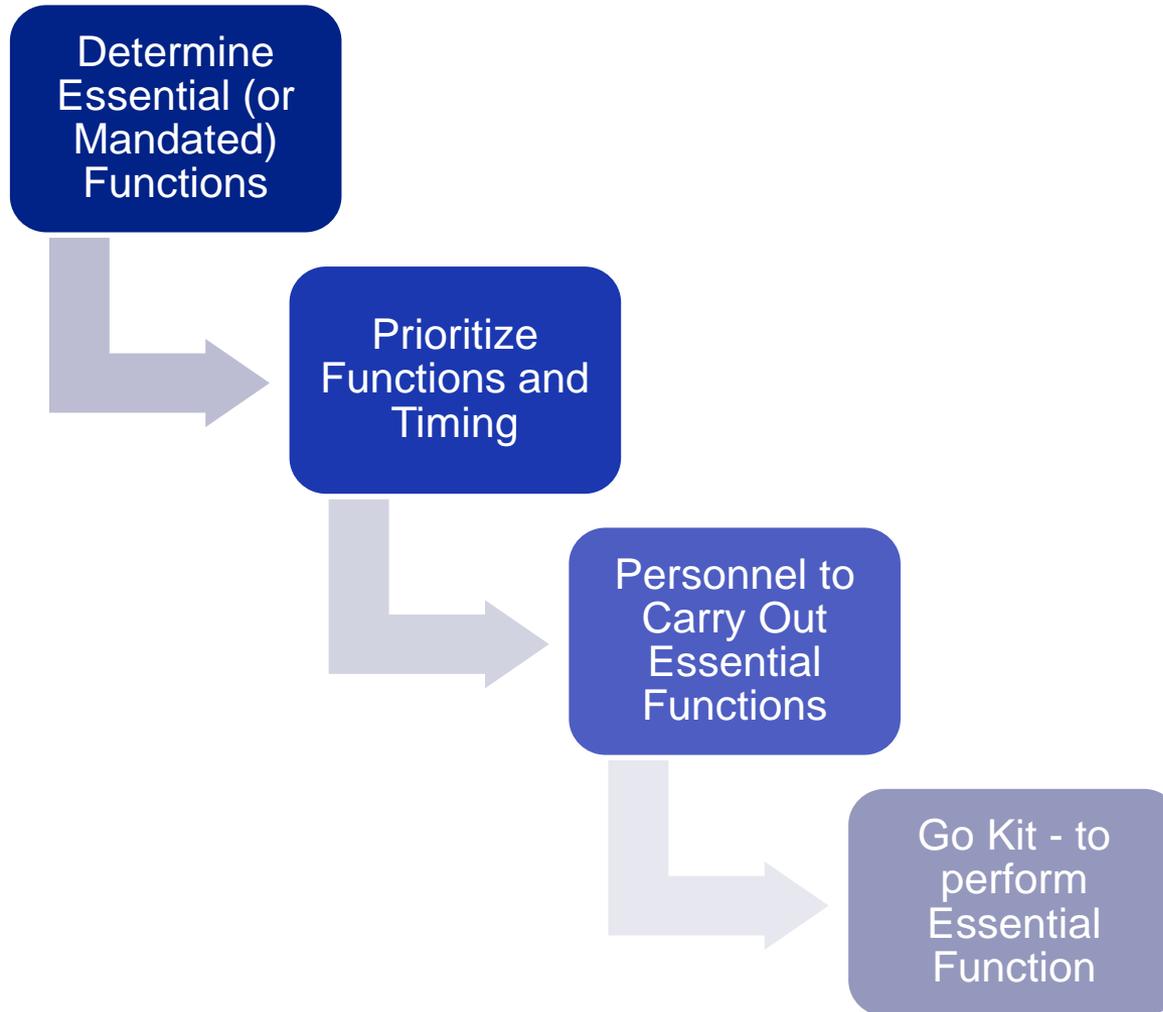
The essential functions are prioritized using the following definitions:

- **Immediate:** Must be performed immediately after a disruption.
- **Day:** Not considered immediate, but must be performed within 24 hours.
- **Week:** Must be performed, given a disruption of greater than one day but less than one week.
- **Month:** Must be performed, given a disruption of greater than 1 week but less than 1 month

After 30 days of emergency operations, all functions should be resumed at normal operations level.

If normal operations cannot be resumed in 30 days, the department may consider entering devolution agreements with other agencies/organizations.

Essential Functions, 4-Part Process



Worksheet B: DHHS Example

Functions Performed	Essential ? (Y/N)	If Yes, Why?	Staff Person Responsible
Emergency Detentions/Ch. 51 Commitments, CH 51 Case Management	Y	Statutory Mandate, Ensures the safety of the individual and the community	All MH/AODA/APS Staff
Adult Protection Investigation, Guardianship, Protective Placement	Y	Statutory Mandate, Ensures the safety of the individual and the community WI Chapter 54 and 55	All MH/AODA/APS Staff
WATTS Reviews	N	WI Chapter 55	Alex Graun
Intoxicated Driver Safety Plan Assessments	N	WI HFS 62	All MH/AODA/APS Staff
Targeted Case Management	N		All MH/AODA/APS Staff
Drug Court	N		Jennifer Paananen
Prevention – Case Management	N		All MH/AODA/APS Staff

Worksheet C: Prioritize Essential Functions

Essential Function	Recovery Time	Priority
<i>Food Service Inspections</i>	<i>Day</i>	<i>1</i>
<i>WIC Clinic</i>	<i>Day</i>	<i>2</i>
<i>Women's Health Clinic</i>	<i>Week</i>	<i>1</i>

Worksheet C: DHHS Example

Essential Function	Recovery Time	Priority
Emergency Detention, Ch. 51 commitments, Ch. 51 case management	Day	1
Adult Protection Investigations, Guardianships, Protective Placement	Day	2
WATTS Reviews	Month	4
Intoxicated Driver Program Safety Plan Assessments	Week	3
Targeted Case Management	Month	6
Drug Court	Month	5
Prevention – Case Management	Month	7

Worksheet D: DHHS Example

Essential Function	Essential Staff	Contingency Staff
Emergency Detentions, CH 51 commitments, CH 51 case management	MH Social Workers	Other Departmental Social Workers under the direct supervision of MH Supervisor or Lead MH Social Worker
Adult Protection Investigations, Guardianships, Protective Placement	APS Social Workers	Other Departmental Social Workers under the direct supervision of APS Supervisor or Lead APS Social Worker (Ideally I&A Social Worker)
Intoxicated Driver Safety Plans	IDP AT certified Social Workers (3)/IDP Coordinator (1)	Unable to perform this function without certification.
WATTS Reviews	APS Social Workers	Other Departmental Social Workers
Drug Court	AODA Social Workers	Other Departmental Social Workers under the direct supervision of AODA Supervisor or Lead AODA Social Worker
Targeted Case Management	MH/AODA Social Workers	Other Departmental Social Workers under the direct supervision of MH/AODA Supervisor or Lead MH/AODA Social Worker
Prevention – Case Management	MH/AODA Social Workers	Other Departmental Social Workers under the direct supervision of MH/AODA Supervisor or Lead MH/AODA Social Worker

Go Kits, what are they?

Each essential function should have a “Go Kit” in the event the function must relocate quickly. These kits contain only items that are vital to the performance of the function. A kit may be as simple as a portable electronic storage device (flash drive) with all the manuals, forms, contacts, and links necessary to perform the function, even if this data is on a duplicate server or cloud service.

The kit may also be a physical box or bag with manuals, supplies, equipment, etc. that are necessary to perform the function. **One should not rely on the presence of technology** and should consider a manual work around. One should **consider keeping the kit at an alternative location** to assure access if your building becomes compromised. It is very important to keep the information contained in the kit up to date. Worksheet E can be used to document the contents of each kit.

Worksheet E: Go Kits

Types of Content	Specific Item(s) and Brief Description	Last Review/Update
<i>Flash Drive</i>	<i>Inspection forms, food service provider list, EHOG, policy manual, statutes, rules,</i>	January 2014
<i>Inspection Tools</i>	<i>Thermometer, gloves, towels,</i>	

Worksheet E: DHHS Example

Types of Content	Specific Item(s) and Brief Description	Last Review/Update
Web based reporting	Laptop with internet capability (Nightngale, WITS, WASP)	October 2017
Core Court Forms – Hard copies	ME 903, ME 917, GN 3100, GN 3140, GN 4040, GN 3400, GN 4000 Once IDP is up – WAID, MV3633, MV3634, MV3631	October 2017
Core Daily Forms	Release of information, Timecards	October 2017
Office Supplies	Pens, paper tablets, paperclips, folders, envelopes, stamps	October 2017
Jump Drive	All necessary forms and PDF's of Ch. 51, 54, 55.	

Vendor Information

During a COOP incident, it is important to have a plan of how to obtain or maintain the equipment and supplies necessary to perform essential functions. Use Worksheet F to document the vendor's contact information, the types of services, equipment, or supplies provided, and other relevant information.

Worksheet F: Vendor Information

Vendor Information Name, Address Phone & Fax Email, Website Name of Contact Account Number	Services Vendor Provides to Department	Additional Information
<i>ABC Office Supplies</i> <i>123 Main, JC, MO</i> <i>555-5555</i> ABCOS@fakemail.com <i>Michael Johnson</i> <i>Acct# 33-4523</i>	<i>Provides misc. office supplies</i>	<i>Closed on Tuesdays</i>
<i>Joe's Information Technology</i> <i>555-5555</i> Computerjoe@fakemail.com <i>Sally Jones</i> <i>Acct# XM202</i>	<i>Provides setup and maintenance to the servers and computers</i>	<i>Don't ask for Joe</i>

Worksheet F: DHHS Example

Vendor Information Name, Address Phone & Fax Email, Website Name of Contact Account Number	Services Vendor Provides to Department	Additional Information
Office Depot	1023 W Central Entrance Duluth, MN 55811 (218) 722-8121	
CHAMP Software (Nightingale Notes)	Champ Software, Inc. 709 N Riverfront Dr. PO Box 2246 North Mankato, MN 56002 Phone (507) 388-4141 or toll-free (855) 686-3498 Fax (507) 396-4780 Email info@champsoftware.com	
WI Dept of Transportation (WASP)	ADRU PO Box 7983 Madison, WI 53707 608-266-2261	

Vital Records

As used in COOP planning, the term “**vital records**” refers to **documents and databases that must be available to support a department’s essential functions.** (Not to be confused with Birth and Death records administered by the health department.) Vital records include the databases that support the records.

Use Worksheet G to document the necessary files, records, or databases with a description, location, supporting applications (what software is necessary to open the file,) how it is maintained, and any back up or protections in place.

Worksheet G: Inventory of Vital Records

Essential Function	Vital File, Record, or Database	Description	Form(s) and Location(s) of Record	Supporting Applications and/or MIS	Maintenance Frequency	Additional Back-ups / Protections
<i>Food Service Inspections</i>	<i>Inspection Records</i>	<i>Documentation of the outcome of the inspections and certificates.</i>	<i>Electronic Record on LPHA server</i>	<i>Microsoft Access</i>		<i>Data backed up weekly on external hard drive.</i>

Worksheet G: DHHS Example

Essential Function	Vital File, Record, or Database	Description	Form(s) and Location(s) of Record	Supporting Applications and/or MIS	Maintenance Frequency	Additional Back-ups / Protections
Ch 51 Commitment	Court forms, case notes	The court forms are the legal orders for commitment. Case notes are the daily documentation of compliance.	Electronic (Nightngale notes) and hard copy		Daily, as often as generated.	
Adult Protection investigation	Court forms, documentation	The court forms are the legal orders for guardianship/Protective placement. Case notes are located in electronic form.	Electronic (Nightngale notes, WITS)		Daily, as often as generated	
WATTS Reviews	Court Forms, documentation	The court forms are the legal orders for ongoing guardianship/Protective placement. Case notes are located in electronic form.	Electronic (Nightngale notes)		Monthly, as often as generated	

Worksheet G: DHHS Example

Intoxicated Driver Program	Court Forms, DOT forms, documentation	The court forms are the orders for assessment and notice of compliance. The DOT forms are the safety plan and order.	Electronic (WASP)		Per appointment	
Targeted Case Management	MA required assessment, service plan, documentation	A comprehensive assessment must be generated to open the case. Service plan is written annually and reviewed at 6 months. Documentation is per appointment	Electronic (Nightngale)			
Drug Court/MH & AODA prevention	Documentation	Documentation is per appointment	Electronic (Nightngale)			

Planning Ahead for Workshop 2

Things to think about:

- If your current work location was damaged or destroyed, where would you work?
 - What special requirements might you have?
 - Do you have any partners or locations where you could co-locate?
- Communications... who do you need to communicate with (stakeholders, customers, state, etc.)?
- How will you train your department on COOP?

