We will start momentarily…

COOP Training, Testing, and Exercise (TT&E) Program
January 30, 2014

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Webinar

▸ Session participants will remain muted

▸ Type questions in "Questions Pane"

▸ Feedback survey

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▸ Recorded, will be available over MEPP

Outline

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- Plan Revision & Updating
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At this point in the presentation you should be able to hear the presenter speaking. Should you experience audio problems please visit http://bit.ly/AudioHelp

Introductions

▶ <u>Presenters</u>: Preeti Emrick & Marissa Clark, University of Maryland Center for Health and Homeland Security

▶ <u>About CHHS</u>:
- Created after 9/11 attacks
- To bolster UMB's work related to homeland security
- Works with emergency managers and responders in the private sector & all levels of government
- Develops plans, policies, and strategies
- Enhance & ensure public safety during natural disasters or man-made catastrophes

COOP Planning Process
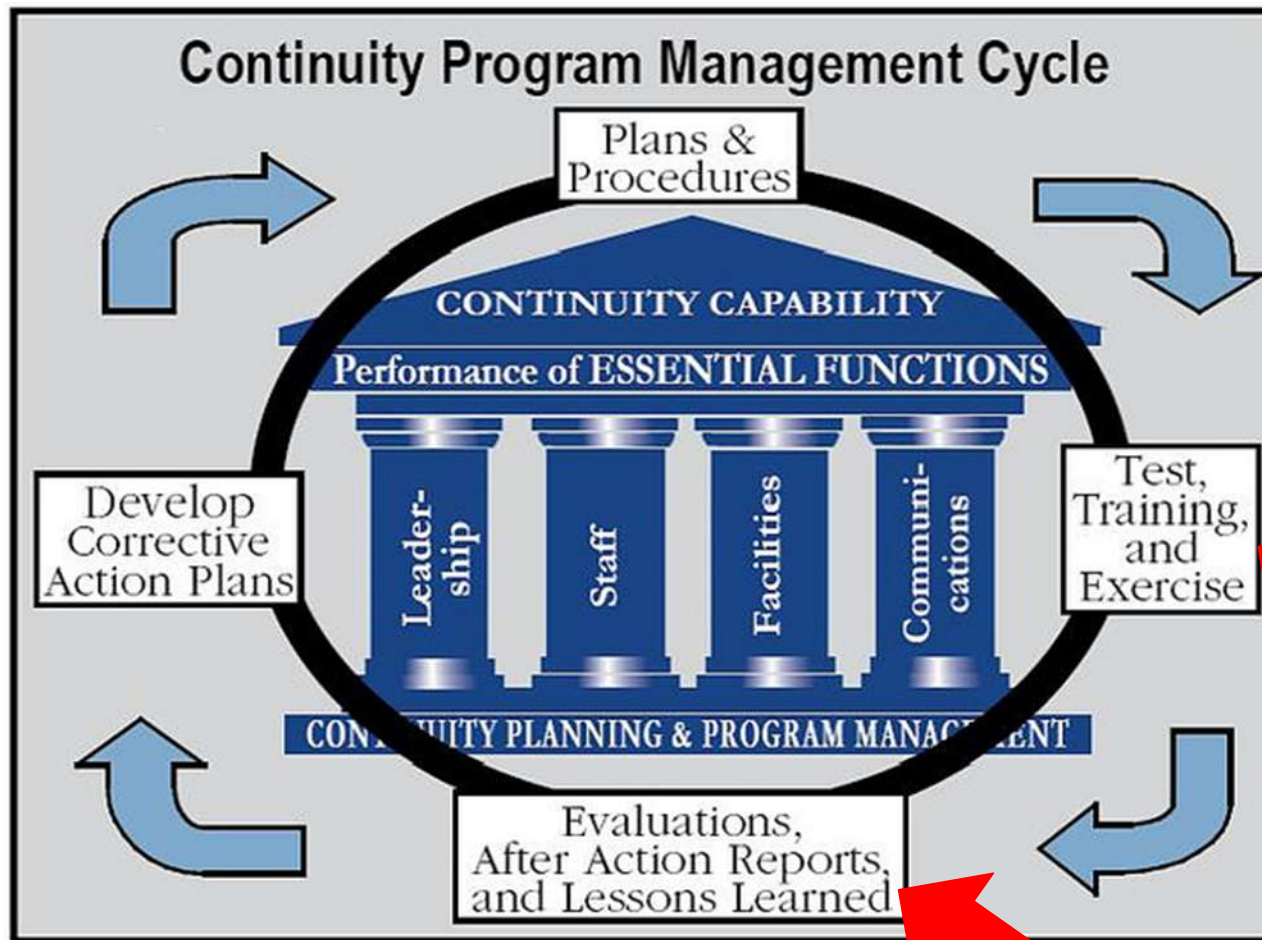
Training, Testing, & Exercise ("TT&E") Program

▶ All-hazard TT&E Program must be established to maintain the agency's COOP capability

▶ Continuous TT&E of personnel, equipment, systems, processes, and procedures

▶ Incorporate lessons learned

▶ Measures to ensure that an agency's COOP program is *capable* of supporting the continued execution of its essential functions throughout the duration of the COOP situation

TT&E Program (cont'd)

▶ **Major components of a TT&E Program include:**
  ◦ Training all leadership and staff in their COOP responsibilities

  ◦ Conducting periodic exercises to test and improve COOP plans, procedures, systems, and equipment

  ◦ Instituting a multi-year planning process to ensure continual plan updates in response to changing conditions

Definitions

▶ <u>**Training**</u> – Instruction in individual or agency functions, procedures, and responsibilities

▶ <u>**Exercise**</u> – "An instrument to train for, assess, practice, and improve performance in prevention, protection, response, and recovery capabilities in a risk-free environment." (Homeland Security. Ex. & Eval. Pro. Vol. I)

▶ <u>**Testing**</u> – Serves to assess and validate all the components of continuity plans, policies, procedures, systems, and facilities used to ensure continuance of essential functions and identify issues for subsequent improvement

▶ <u>**Evaluation**</u> – A post-exercise analysis

Goals of TT&E

- Ensure all agency employees know their roles following COOP plan activation
- Verify that COOP plan and designated recovery systems actually work
- Clarify where COOP plan needs revision or additional information
- Build team unity and resiliency
- Communication network practice
- Individual performance improvement
- Reveal resource gaps

Goals of TT&E (cont'd)

▶ **Agencies can ensure that:**
- All equipment and systems work as required

- Employees are able to deploy to the alternate facility within the required framework

- The alternate facility includes everything that is needed for the response team to perform the agency's essential functions

Building a TT&E Program

▶ **Perform a Capabilities Assessment**
- ◦ Review COOP plan for potential weaknesses and shortfalls

- ◦ Identify what capabilities would strengthen those weaknesses

- ◦ Consider what tasks must be performed to achieve the identified capabilities

- ◦ Design exercises to improve the agency's ability to complete those tasks

Building a TT&E Program (cont'd)

▶ **4-Step Cycle in Exercise Program Management**

1. **Budget Management**: identify expenditures associated with planning for and conducting exercises

2. **Exercises**: includes the design, development, conduct, and evaluation of exercises

3. **Monitoring and Reporting**: establishes a means of monitoring compliance to ensure program requirements are met

4. **Improvement Planning**: ensures exercise process doesn't lose its effectiveness by developing a plan to incorporate recommended improvements into subsequent exercise cycles

Building a TT&E Program (cont'd)

▶ **Exercise Planning Team**
- ◦ Determines exercise objectives, creates scenarios, and develops exercise documentation

- ◦ Develops and distributes pre-exercise materials (i.e. agendas, invitations, press releases for media, etc.)

- ◦ Serves as point of contact for exercise participants

- ◦ Conducts exercise briefings and training sessions

- ◦ Recruits and trains facilitators and evaluators

Exercises

▸ **An agency's exercise program should include and document:**
  ◦ Compliance with HSEEP, as appropriate
  ◦ An **annual** opportunity for key employees to demonstrate their familiarity with COOP plans and procedures
  ◦ A **biennial** exercise for key employees to demonstrate their familiarity with the reconstitution procedures
  ◦ A **biennial** exercise for employees to demonstrate their familiarity with devolution procedures
  ◦ A comprehensive debriefing/hot wash after *each* exercise

(cont'd)

Exercises (cont'd)

▶ *(cont'd)* An agency's exercise program should include and document:

- A cycle of events that incorporates evaluations, AARs, and lessons learned into the development and implementation of a Corrective Action Program ("CAP")
- A CAP to assist in documenting, prioritizing, and resourcing continuity issues

What to Exercise

▶ **Full spectrum of COOP operations**
  ◦ Alert, notification, and activation
  ◦ Relocation to alternate facilities
  ◦ Operations
  ◦ Logistical support, services, and infrastructure to alternate facility
  ◦ Devolution
  ◦ Reconstitution

Testing

▶ **Testing is critical for:**
- Alert, notification, and activation procedures
- Communication systems
- Vital records and databases
- Information technology systems
- Reconstitution procedures
- Other aspects dependent on agency

Testing (cont'd)

- **An agency's testing program should include and document:**
  - ◦ **Annual** testing of alert, notification, & activation procedures
  - ◦ **Annual** testing of recovery strategies for essential records, critical information systems, services, & data
  - ◦ **Annual** testing of the capabilities for protecting essential records and information systems
  - ◦ **Annual** testing of primary and backup infrastructure systems and services at continuity facilities
  - ◦ **Annual** testing and exercising of required physical security capabilities at continuity facilities

(cont'd)

Testing (cont'd)

▸ *(cont'd)* **An agency's testing program should include and document**

- Quarterly testing of the internal and external interoperability and viability of communications equipment and systems
- Annual exercise of the capabilities required to perform an agency's essential functions
- Annual testing of telework capabilities, to include IT infrastructure
- Annual exercise of internal and external interdependencies

Trainings

▶ **An agency's training program should include and document:**

◦ **Annual** continuity awareness briefings or other means of orientation for the entire workforce

◦ **Annual** training on the roles & responsibilities for personnel

◦ **Annual** training for the agency's leadership on that agency's essential functions

◦ **Annual** training for all staff who are expected to telework during a continuity activation

◦ **Annual** training for all agency's personnel designated within the orders of succession for Agency Head or other key positions

(cont'd)

Trainings (cont'd)

▶ *(cont'd)* **An agency's training program should include and document**

- ◦ **Annual** training for those officials listed within the delegations of authority on all pre-delegated authorities for making policy determinations and other decisions
- ◦ **Periodic** briefings to managers about the essential records program

Example of Trainings

▸ COOP awareness briefing for entire workforce

▸ Team training for COOP Team personnel

▸ Team training for agency personnel assigned to activate, support, and sustain COOP operations

▸ Cross-Training for agency personnel in case essential functions must continue with reduced staff

Example of Trainings (cont'd)

▶ Below are examples of additional types of training new and existing personnel, both key and supportive, may receive:

◦ Introduction to COOP planning

◦ COOP plan activation and relocation

◦ Cross-training for essential functions

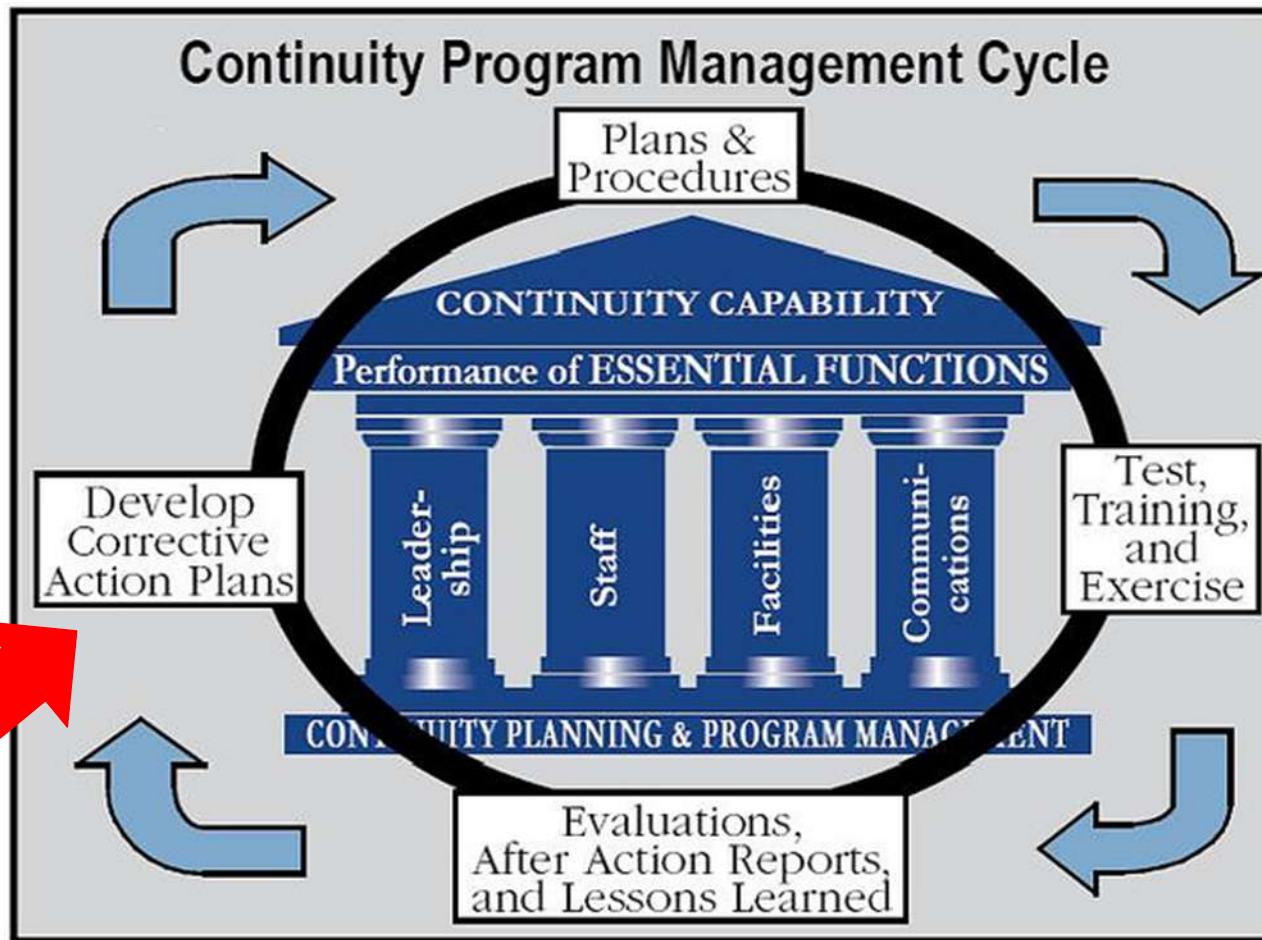◦ National Incident Management System

◦ Incident Command System

Initial COOP Training

▶ **The first training should be conducted to:**
- Introduce general concepts of COOP

- Announce staff assignments, roles, and responsibilities

- Present general procedures

- Describe COOP testing, exercise, and timeframes

COOP Planning Process Revisited

Establish Review Cycle

▸ **Annually** review COOP policies & procedures

PLUS

▸ After *each* exercise/testing of major systems
▸ Issues arising from training
▸ Corrective Actions

Maintenance Tasks

▸ Train key individuals and teams

▸ Conduct regular/refresher COOP exercises covering a variety of hazards and types of training

▸ Institute multi-year process to ensure regular updates

COOP Plan Maintenance Schedule

Activity	Tasks	Dept/Personnel Responsible	Frequency
COOP plan update and certification	Review entire plan for accuracy. Incorporate lessons learned and changes in policy and philosophy. Manage distribution.		Annually
Maintain orders of succession and delegations of authority	Identify current incumbents. Update rosters and contact information.		Semiannually
Maintain alternate location readiness	Check all systems. Verify accessibility. Cycle supplies and equipment, as necessary. Maintain point of contact information.		Monthly
Monitor and maintain vital records program	Monitor volume of materials. Update and remove files.		Ongoing
Revise COOP checklists and contact information for essential personnel	Update and revise COOP checklists. Confirm and update essential personnel information.		Annually

QUESTIONS?

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