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MILITARY DEPARTMENT
Camp Murray, Washington 98430-5000

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Office of the Secretary
Department of Transportation

October 29, 2012

TO: State Agency Directors

FROM: Bret D. Daugherty, Major General
The Adjutant General

SUBJECT: State Agency Continuity Implementing Instructions in accordance with Governor's Directive 12-20

The following instructions provide implementation guidance supporting the recent Governor's Continuity Directive. Also attached is a guide that will assist you in rapidly finding the key elements in your continuity plan for reference purposes. I encourage you to report any problems or issues with the guide to the Washington Military Department, Emergency Management Division (EMD), for assistance.

In order for you to comply with the Governor's Directive you are directed to send specific pieces of information to the Military Department. For purposes of compliance, please send your information to John Ufford or Craig Ginn at the Emergency Management Division. Contact information is john.ufford@mil.wa.gov (253) 512-7052 and craig.ginn@mil.wa.gov (253) 512-7097. Either John or Craig will be happy to clarify information or provide additional information as necessary. As a reminder the following information is due on the following dates:

- October 31, 2012 – Identification of an Agency Continuity Point of Contact
- December 1, 2012 – Completion of Agency Continuity Plans review for the five critical items in Directive
- December 31, 2012 – Completion of Agency Exercise of the five critical items in the Directive
- January 15, 2013 – Progress on agency completion of Continuity Assessment Tool & update of Continuity Plan
- April 15, 2013 – Progress on agency completion of Continuity Assessment Tool & update of Continuity Plan
- July 15, 2013 – Progress on agency completion of Continuity Assessment Tool & update of Continuity Plan
- Oct 15, 2013 – Progress on Update of Continuity Plan
- Jan 15, 2014 – Progress on Update of Continuity Plan
- Apr 15, 2014 – Progress on Update of Continuity Plan
- July 15, 2014 – Progress on Update of Continuity Plan

The Military Department will be reporting on agency progress in completing these requirements through the Government Management Accountability Program to the Governor's Office each quarter. In order to fulfill the exercise requirement, agencies should conduct either a tabletop discussion or an actual drill using their plans instructions and procedures. If you have any questions concerning these instructions, please contact John Ufford.



CHRISTINE O. GREGOIRE
Governor



STATE OF WASHINGTON
OFFICE OF THE GOVERNOR

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DIRECTIVE BY THE GOVERNOR
12-20

October 15, 2012

TO: Washington State Agencies

FROM: Christine O. Gregoire, Governor

SUBJECT: Continuity of Government Operations Preparation

Keeping essential state government functions operating through any condition is necessary to properly serve the people of this state. Washingtonians depend on state government for a variety of essential services and we need to ensure that state government is ready in all situations to provide those services to our citizens. In June of 2007, I directed you to develop or update continuity of operations plans (COOP). It is required that those plans be updated on a regular basis and that we incorporate lessons learned from events such as the January 2012 storm. In order for state agencies to provide essential services, it is important that individual agency plans are coordinated with the other agencies that provide and receive essential services. In order to ensure state agencies are prepared to respond in the event of disasters, I am issuing the following directives.

- Each cabinet agency head will conduct a review of their continuity plan/procedures to ensure that:
 - Employee contact lists are current;
 - The plan identifies staff that perform essential functions, that those staff members know their responsibilities, and that they have access to phones and other technology to carry out those responsibilities;
 - Procedures exist for updating agency websites in a timely manner to reflect current agency status (open/closed/delayed);
 - Procedures exist for internal and external communication when normal methods may be disrupted, including information on whether the agency is open or closed; and,
 - Performance of the agencies' critical functions, including technology systems that support those functions, are possible when disruptions occur due to a disaster or emergency.

- By December 1, 2012, agency heads will verify to the Military Department that this review has been completed. In order to ensure regular updates of agency plans, updates will be completed annually by June 1. In addition, agencies will practice/exercise these capabilities by December 31, 2012, and verify to the Military Department that this has been done. Agencies will exercise continuity plans annually beginning in 2013 and report completion to the Military Department.
- Each agency head will designate the person or persons responsible for their agency's Continuity of Operations (COOP) and Information Technology Disaster Recovery (DR) responsibilities, if not already accomplished, and provide contact information for that/those individual(s) to the Military Department by October 31, 2012.
- The Military Department will formalize the Interagency Continuity of Operations Working Group. It will be chaired by the Governor's Chief of Staff. The individuals identified above will comprise the membership of the Working Group which will become a committee, formalized by charter. This committee performs the function of coordinating continuity activities (COOP and DR) for the state and submits progress reports to the Governor's Chief of Staff. In addition, the Working Group will identify potential state level Executive Branch essential functions and interdependencies between agency essential functions. This work is to be completed by September 30, 2013.
- The Interagency Continuity of Operations Working Group will promote the use of best practices and strategies for Continuity of Operations and Disaster Resilience and Recoverability. Using the results of the agency reviews and lessons learned, the Working Group will identify and prioritize required policies, methodologies, and initiatives to improve the ability of the state to provide essential services during a disaster. These recommendations will be proposed to the Military Department, Office of the Chief Information Officer, Department of Enterprise Services, and Consolidated Technological Services, who will set state procedures, identify standards, tool sets, and solutions necessary to achieve the necessary delivery of service. The initial list of initiatives and priorities will be presented by the Working Group by March 29, 2013, with subsequent quarterly review of additional needs and progress against those priorities from the participating agencies.
- Each agency will complete the Federal Emergency Management Agency Continuity Assistance Tool for Non-Federal Entities (FEMA P-788 July 2009) which is based on the FEMA Continuity Guidance Circular 1, by April 30, 2013. This assessment becomes the driving force behind the agency COOP updates due June 30, 2014. This update should also include disaster recovery plans for technology systems that support the agencies' essential functions. Agencies will report progress quarterly on accomplishment of the Continuity Assistance Tool and on COOP update to the Military Department beginning January 15, 2013, for the period October 1 to December 31, 2012.
- I encourage non-cabinet agencies, boards and commissions; agencies directed by separately elected officials; and two- and four-year educational institutions to perform the activities in this directive. Ensuring your essential functions continue is extremely important to the delivery of government services in all conditions.

It will take all of us in state government to ensure that we are ready to provide vital government services at any time and during any situation.

Washington State Agency Coordination Checklist – Continuity of Operations

I. CONTACT INFORMATION					
A. AGENCY NAME					
B. AGENCY PRIMARY DUTIES					
C. FACILITY INFORMATION					
Name		Location/Mailing Address (Street, City, State, Zip Code)			
Duty Hours Emergency Contact Name/Number		Non-Duty Hours Emergency Contact Name/Number			
D. CONTACT INFORMATION					
Contact	Name	Position Title	Phone	Email	Mailing Address
Primary Agency COOP Coordinator					
Alternate Agency COOP Coordinator					
Primary Facility Representative					
Alternate Facility Representative					

Washington State Agency Coordination Checklist – Continuity of Operations

II. ESSENTIAL ELEMENTS CRITERIA		
A. PLANS AND PROCEDURES		
ID Number	Description	Page/Paragraph Indicator
A-1	The COOP plan contains procedures for:	a. Alerting employees
		b. Notifying employees
		c. Activating employees
		d. Deploying employees, procedures for travel
A-2	The COOP plan contains the following components and/or procedures:	a. Delineation of mission essential functions.
		b. A decision process for activation or evacuation.
		c. A staff roster.
		d. Procedures to ensure readiness – duty and non-duty hours, with and without warning.
		e. Provisions for personnel and visitor accountability and safety.
		f. Reliable processes to acquire additional resources to sustain operations for 30 days
		g. Provisions for attaining operational capability within 12 hours of activation.
A-3	The COOP plan contains the following documentation:	a. Planning assumptions and/or constraints
		b. Purpose
		c. Objectives
		d. Applicability and scope
		e. Authorities and references;
		f. Direction and control
A-4	Responsibilities and procedures are included for Time-Phased Operations which include:	a. COOP Plan Activation
		b. Alternate Operations
		c. Reconstitution and Termination
A-5	The COOP plan contains mechanisms for implementation according to the magnitude of the incident.	
A-6	The COOP plan contains documentation, which describes the incorporation of accompanying Standard Operating Procedures (SOPs) and/or checklists for COOP implementation and execution.	
A-7	Procedures are in place to notify customers of new work location, phone numbers, re-route US mail, etc.	
A-8	The COOP plan addresses Site-Support Procedures for its in-route and alternate facility including reestablishment of communication with critical customers	
A-9	The COOP plan has been aligned with the	

Washington State Agency Coordination Checklist – Continuity of Operations

	building evacuation plan to ensure that the plans are compatible and coordinated.	
A-10	The COOP plan contains Annexes with detailed information.	
B. MISSION ESSENTIAL FUNCTIONS		
ID Number	Description	Page/Paragraph Indicator
B-1	Mission essential functions are:	a. Identified
		b. Prioritized
B-2	Personnel are assigned to those functions based on skills and knowledge.	
C. DELEGATIONS OF AUTHORITY		
ID Number	Description	Page/Paragraph Indicator
C-1	Authorities are identified which can and should be delegated.	
C-2	The circumstances under which the authorities would be exercised, including when they would become effective and terminated are described.	
C-3	The positions to which the authorities are delegated are listed.	
C-4	The limitations of the delegations of authority are identified	
D. ORDERS OF SUCCESSION		
ID Number	Description	Page/Paragraph Indicator
D-1	Orders of succession for key leadership positions are identified and address the following:	a. Conditions for succession
		b. Method of notification
		c. Time, geographical, and organizational limitations.
D-2	The succession order is described by position or titles rather than by person.	
E. ALTERNATE FACILITIES		
ID Number	Description	Page/Paragraph Indicator
E-1	The COOP plan contains provisions for the joint development of Alternate Facility Support Procedures coordinated with the alternate facility manager.	
E-2	Consideration for the pre-positioning of assets and resources at facility are included in the COOP plan.	
E-3	Procedures are in place that provide for reliable logistical support, services, and infrastructure systems.	
E-4	The alternate facility is capable of supporting the agency's operations and is able to accept the COOP team.	
E-5	Consideration for appropriate physical security and access controls is included for the alternate facility.	

Washington State Agency Coordination Checklist – Continuity of Operations

ID Number	Description	Page/Paragraph Indicator
F-1	The COOP plan identifies the data and communications systems to support mission essential functions.	
F-2	The procedures for interoperable communications provide for both internal and external communications.	
F-3	Provisions for redundant communications are included in the COOP plan.	
G. VITAL RECORDS AND DATABASES		
ID Number	Description	Page/Paragraph Indicator
G-1	The COOP plan contains provision for:	a. Identifying vital records, systems, and data (hard copy and electronic) critical to performing functions
		b. Off-site back-up of electronic records and databases and storage of duplicate records
		c. Pre-positioning of vital records and databases at the alternate facility prior to deployment
		d. Assuring availability of Emergency operating records
		e. Ensuring back-up for Legal and financial records
G-2	The COOP plan describes a maintenance program to assure the records are accurate, current, and frequently updated.	
G-3	During Alternate Operations, the COOP plan includes procedures for documenting operations when the COOP is activated.	
G-4	Consideration for assuring the agency's Disaster Recovery Plans are capable of supporting COOP activities.	
H. LOGISTICS AND ADMINISTRATION		
ID Number	Description	Page/Paragraph Indicator
H-1	The COOP plan contains provisions which at a minimum:	a. Identifies equipment and other resources at the alternate facility
		b. Pre-positions equipment and other resources at the alternate facility
		c. Maintain equipment and other resources at the alternate facility
H-2	Provisions are included for the preparation and pre-positioning of Go Kits.	
H-3	Telecommunications and information technology support procedures and resources are included for the alternate	

Washington State Agency Coordination Checklist – Continuity of Operations

	facility.	
H-4	Provisions for personnel transportation (parking), lodging, and dining at the alternate facility are established within the COOP plan.	
H-5	Site-Support Procedures which identify the initial requirements for receiving, supporting, and relocating personnel to alternate facility are included in either the COOP plan or SOPs.	
I. PERSONNEL ISSUES AND COORDINATION		
ID Number	Description	Page/Paragraph Indicator
I-1	Communications plans have been included which disseminate information to essential and non-essential personnel.	
I-2	Considerations that address the health, safety, emotional well-being of all employees and their families have been included in the planning.	
I-3	Guidance has been prepared which assure personal preparedness for staff through "personal go-kits."	
I-4	Measures are included in the planning which address pay status, administrative leave, and layoffs.	
I-5	Information has been included which provide guidance to employees on medical, special needs, and travel issues.	
J. SECURITY		
ID Number	Description	Page/Paragraph Indicator
J-1	Provisions for ensuring the Operational Security of the agency's COOP program and documentation have been incorporated into the COOP plan.	
J-2	Consideration has been given to restricting physical access controls to the primary and alternate facility for employees and critical customers.	
J-3	Provisions for ensuring cyber security of data and networks have been incorporated into the planning process.	
K. TEST, TRAINING AND EXERCISE		
ID Number	Description	Page/Paragraph Indicator
K-1	The COOP plan contains a comprehensive Test, Training, and Exercise program.	
K-2	Provisions are included for periodic test of the following: <ul style="list-style-type: none"> • Alert and notification procedures • Equipment at the alternate facility • Exercise of operational plans, alternate facilities, and interoperable communications 	
K-3	A remedial action plan/process has been established which incorporates lessons from the test, training, and exercise program.	
L. PROGRAM MANAGEMENT		
ID Number	Description	Page/Paragraph Indicator
L-1	The COOP plan contains a strategic and multi-year planning process that includes anticipated funding requirements.	

Washington State Agency Coordination Checklist – Continuity of Operations

L-2	The COOP plan contains provisions for updating the COOP plan and the SOPs annually.	
L-3	A coordinated program management process to ensure maintenance, operation, and funding for a viable COOP capability is included in the COOP plan.	
M-1	Integration of National Incident Management System (NIMS) * The adoption of NIMS is required by September 30, 2005, per the most current Department of Homeland Security Guidance.	
M-2	Provisions are included which maintain efforts to minimize damage and losses of resources.	
M-3	Consideration for an orderly response, recovery, and termination from any incident has been incorporated into the planning process.	
M-4	Provisions are included which ensure that this plan can be activated if the agency is closed to normal business activities as a result of an event or credible threats of action that would preclude access or use of the agency office and the surrounding area.	
M-5	Provisions are included which ensure that this plan can be activated simultaneously with multiple agency COOP plans.	
M-6	Provisions for ensuring a means of information coordination for the Governor to ensure uninterrupted communication within the internal organization of the agency and externally to other agencies and to all identified critical customers have been identified.	
M-7	Procedures to assure timely direction, control, and coordination to the agency leadership, other agencies, and other critical customers before, during, and after an event or upon notification of a credible threat have been included in the planning process.	
M-8	The plans Activation procedures include a process for Alert and Notification including the Alert and Notification procedures include provisions for notifying the Governors Office of the decision to activate the agencies COOP plan, relocate and the anticipated time of arrival at the alternate facility.	
M-9	A thorough After-Action Review and Remedial Action Plan process had been included in the COOP plan to assess all phases and elements of the alternate operations when/if the COOP plan is activated.	