



City of Chelsea

Business Continuity Best Practice

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EOTSS | Executive Office of Technology Services & Security



Image: Chelsea City Hall¹

Introduction

The City of Chelsea is located directly across the Mystic River from the City of Boston; in Suffolk County, Massachusetts. Geographically, Chelsea is the smallest city in Massachusetts and holds a population of 35,177 residents². Because of its unique resident-to-land ratio, the City is known as the 26th most densely populated municipality in the country. With rising resident expectations and budgetary and staff limitations to consider, many cities like Chelsea will take an incremental approach to infrastructure or process enhancements. In November 2015, the City of Chelsea requested technical assistance from the State and signed a Community Compact agreement with the Baker-Polito Administration. By signing the agreement, Chelsea gained access to a State-wide Best Practice program and selected Business Continuity as an area of development. Through the program, the City received a grant to hire a consultant that would develop and document Business Continuity best practices and recommendations. This Executive Summary provides insight into Chelsea's IT initiative, as well as their engagement with Fortress, Inc., the IT firm of their choice.

¹cmh2315fl. "Chelsea City Hall (Chelsea, Massachusetts). *Flickr.com*. Accessed on January 8th, 2018. <https://www.flickr.com/photos/21953562@N07/11559101845>

²"Community Facts." United States Census Bureau. American Fact Finder. https://factfinder.census.gov/faces/nav/jsf/pages/community_facts.xhtml

Project Process

The City of Chelsea initiated this project to develop a written disaster recovery and backup plan, and train staff to support implementation. A recent incident, resulting in some loss of municipal data, prompted leadership to focus their efforts on creating a comprehensive Continuity of Operations Plan (COOP). In December 2015, the City hired Fortress, Inc. to develop a city-wide Continuity of Operations/Government Program (COOP/COG). The program would provide consistent and uniform program policy and disaster recovery guidance for key departments in Chelsea. To kick-off the initiative, a project team was formed. It included Fortress, Chelsea leadership and representatives from the following city departments:

Assessor	Fire	Planning
Auditing	Health & Human Services	Police
City Clerk	Human Resources	Procurement
City Manager	Information Technology	School
Public Works	Inspectional Services	Treasury
Emergency Management	Law	

Together, the team would assess Chelsea’s current state, develop enhancements where gaps have been identified and establish a comprehensive COOP/COG Plan to increase the City’s preparedness and overall resiliency to breaks in continuity. They planned to achieve this outcome by executing the following tasks described in Fortress’ proposal:

Task 1	Conducted the City of Chelsea COOP/COG Project Kick-Off Meeting
	The Fortress Team developed and conducted a City of Chelsea COOP/COG Project Kick-Off Meeting for members of the Chelsea COOP/COG Team. Fortress utilized this as an opportunity to brief COOP/COG Team members of the importance of continuity planning and how this project and overall process will enhance Chelsea’s resiliency. This meeting forum presented the Project purpose and goals, the Project Schedule and associated milestones or deliverables, roles and responsibilities of COOP/COG Team members and the general standards and guidelines. The worksheets were distributed, with instructions and

	<p>job aids, to the team members. The worksheets were required to be completed by all team members. The worksheets provide information pertaining to Department Emergency Operations Plans, Occupant Emergency Plans, Hazard Mitigation Plans, Information Technology Disaster Recovery Plans, and Standard Operating Procedures. Information collected from these worksheets would be utilized by the team for future tasks of this project work plan.</p>
<p>Task 2</p>	<p>Conduct City of Chelsea COOP/COG Workshops</p> <p>The Fortress Team conducted two workshops. The workshops allowed key stakeholders from the City of Chelsea to provide their completed worksheets that were distributed during the Kick-Off Meeting and to speak to any major city-wide or department-specific plans or initiatives which currently exist in greater detail. These workshops allowed the Fortress Team to gain a stronger understanding of the current state of the Chelsea COOP/COG program, served as a means for Fortress to develop the City of Chelsea COOP/COG Gap Analysis Report.</p>
<p>Task 3</p>	<p>Develop and Submit City of Chelsea COOP/COG Gap Analysis Report</p> <p>The Fortress Team, used Federal and State Guidance, and an Assessment Toolkit to evaluate the current state of the City of Chelsea’s COOP/COG program in order to develop a Gap Analysis Report. All information and documentation obtained from worksheets and/or shared during workshops was referenced within the Gap Analysis Report. The Report depicted the current state and extent of the City of Chelsea’s current COOP/COG Program, including major strengths and areas requiring development or enhancement. Upon review by stakeholders from the City of Chelsea, the Fortress Team used the feedback to revise and resubmit final copies of the City of Chelsea COOP/COG Gap Analysis Findings Report.</p>

<p>Task 4</p>	<p>Identify City-Wide Essential Functions</p>
	<p>In coordination with the Chelsea Director of Emergency Management/911, Chelsea IT Director, Chelsea COOP/COG Coordinator, and the Chelsea COOP/COG Team, the Fortress Team will have identified and established Chelsea’s essential functions. The ability to distinguish between essential and supportive functions enabled City of Chelsea Senior Leadership and the COOP/COG Team to effectively allocate necessary resources during COOP/COG Plan implementation. Examples of functions commonly provided by local governments which may be considered in this process include the following: Preservation of life and property (public safety, including police, fire, emergency medical services, and emergency management- 911, Emergency Communications; Information Technology; Solid waste operations; Social and human services; Payroll and employee relations; Public Information; Cash flow management; Investment of local government funds. Examples of support functions include the following: Public library services; Recreational classes; administering life insurance programs.</p>
<p>Task 5</p>	<p>Conducted Business Impact Analysis of City-Wide Essential Functions</p>
	<p>The Fortress Team conducted a formal Business Impact Analysis (BIA) of selected City of Chelsea City-Wide Essential Functions. <i>Conducting a BIA is the first major step in the continuity planning process and is utilized to predict the consequences of any disruptions which may impact city functions (operational, legal, financial, or regulatory). This process will also identify critical interdependencies between essential and support functions and will lead to the following task involving the prioritization of functions and the establishment of Recovery Time Objectives (RTOs).</i></p>
<p>Task 6</p>	<p>Prioritize Essential Functions and Establish Recovery Time Objectives</p>
	<p>The Fortress Team worked with the Chelsea Director of Emergency Management-911, Chelsea IT Director, Chelsea COOP/COG Coordinator, and the Chelsea Team, to determine Recovery Time Objectives (RTOs), in support of Chelsea’s Mission Essential and Support Functions. <i>Establishing RTOs for each essential and supporting function will clarify the</i></p>

	<p><i>maximum time period that specific functions or services can be interrupted before they must be restored to an acceptable level of operation. This Task will provide support to the previous task (BIA Conduct) in order to appropriately prioritize essential functions. Fortress will utilize the following RTO classifications to assist the City of Chelsea in determining how essential and support functions are to be prioritized within specific and designated timeframes.</i></p>
Task 7	<p>Identified Vital Records, Systems, Equipment and Personnel for Mission Essential Functions</p>
	<p>In coordination with the Chelsea Director of Emergency Management/911, Chelsea IT Director, Chelsea COOP/COG Coordinator, and the Chelsea COOP/COG Team, the Fortress Team identified and established a comprehensive list of all vital records, systems, equipment, and personnel for City of Chelsea Mission Essential Functions. These assets are critically involved in the operation of essential functions, and as such, were formally documented. <i>Vital assets are most frequently categorized in two common types of formats: paper and electronic. Examples may include but are not limited to: personnel records, operational procedures, contract records, insurance policies or records, mutual aid agreements, or executive policies and other systems. Vital equipment, systems or personnel that are utilized to enact such records will also be added to this list given the level of importance as required to implement continuity of operations.</i></p>
Task 8	<p>Determined Safeguards for Vital Records, Systems, Equipment and Personnel; and identified Alternate Facilities for Mission Essential Functions</p>
Task 9	<p>Designed and Developed the City of Chelsea COOP/COG Plan</p>
	<p>The Fortress Team utilized all data collected in the above tasks, to design and develop the comprehensive City of Chelsea COOP/COG Plan which meets Department of Homeland Security, Federal Emergency Management Agency, and Commonwealth of Massachusetts guidelines and standards. The Plan addressed an overarching COOP/COG program for the City of Chelsea and serves as an extension to Chelsea’s Comprehensive Emergency Management Plan (CEMP). Like the CEMP, the City of Chelsea COOP/COG Plan follows a</p>

	<p>FEMA Comprehensive Planning Guide (CPG) 101 format and includes all major key sections, including: Cover Page, Privacy Statement, Record of Changes, Executive Summary, Introduction, Purpose, Scope, Authorities/References, Concept of Operations, Essential Functions, Planning Scenarios or Planning Assumptions, COOP Plan Implementation, Organization and Assignment of Responsibilities, an Overview of the COOP/COG Team, Alternate Facilities, Alert and Notification, Orders of succession and Delegations of Authority, Vital Records, Systems and Equipment, Communications, COOP/COG Plan Maintenance, a Multi-Year Training/Exercise Strategy, and Acronym and Definitions. The Plan outlines a strategy that the City of Chelsea will utilize to perform routine Business Impact Analyses, conduct annual program assessments, and to determine short/long-term continuity program enhancements.</p>
<p>Task 10</p>	<p>Presentation of the City of Chelsea COOP/COG Plan to the project team</p>
	<p>The Fortress team worked with the Chelsea Director of Emergency Management/911, Chelsea IT Director, Chelsea COOP/COG Coordinator and the Chelsea COOP/COG Team to schedule and conduct a meeting to present the outline and major components of the City of Chelsea COOP/COG Plan. This meeting was used to also discuss the operational implementation of the Plan, as well as the associated continuity, recovery, and reconstitution tasks which must occur in order to effectively ensure the continued operation of Chelsea’s Mission Essential Functions during major incidents or emergencies. After the meeting, the Fortress Team used the feedback obtained from members of the Chelsea COOP/COG Team to revise and resubmit final copies of COOP/COG Plan.</p>

As a result of these efforts, the project team developed strategy documents for the departments. Due to the sensitive nature of some of these documents, we can only provide the following high-level overview of topics covered in the plans:

1. Introduction
2. Incident/Event Recognition
3. Alert and Notification
4. Leadership, Order of Succession, and Delegation of Authority
5. Department COOP/COG Plan Activation
 - 5.1 Relocation/Alternate Work Location
 - 5.1.1 Implementation of COOP-COG Measures for City Hall Relocation/Alternate Work Locations
 - 5.1.2 Implementation of COOP-COG Measures for Loss of IT Services
 - 5.2 Implementation of Contingency Actions for Department Tier 1 Essential Functions
 - 5.3 Implementation of Contingency Actions for Department Tier 2 Essential Functions
 - 5.4 Implementation of Contingency Actions for Department Tier 3 Essential Functions
6. Department COOP/COG Reconstruction
7. Attachment: Department Organizational Chart
8. Attachment: Implementation of COOP-COG Plan Loss of Critical Asset Decision Table
9. Attachment: Department Confidential Contact List

Conclusion

In partnership with the State and Fortress, the City of Chelsea produced a City of Chelsea COOP/GOG. With this Business Continuity best practice completed, the City has fulfilled their Community Compact agreement and is now better positioned to manage their technology infrastructure and business operations, should a disaster occur.