



**Form A: COOP RESPONSE TEAM**

<b>Key Executive</b>	<b>Title/Position</b>	<b>Office Phone #</b>	<b>Alternate Phone #</b>	<b>Email</b>
	<b>Team Members</b>	<b>Team Responsibilities</b>		
<b>Command</b>	<i>Example: Ted Cahill, Chief Counsel</i>	<i>Example: Determine objectives &amp; establish priorities based on the nature of the incident.</i>		
<b>Planning</b>	<i>Example: Pam C. Jones, Planning</i>	<i>Example: Develop incident action plans</i>		
<b>Operations</b>	<i>Example: Kay Smith, Operations</i>	<i>Example: Directs all resources to carry out incident</i>		
<b>Logistics</b>	<i>Example: John Brown, Facility</i>	<i>Example: Assembles necessary documents and</i>		
<b>Finance/Administration</b>	<i>Example: Beth Robinson, HR</i>	<i>Example: Monitor cost of the incident.</i>		



**Form C: PERSONNEL CONTACT LIST (RAPID RECALL LIST)**

The Personnel Contact List is a short document with a cascade call list and other essential phone numbers. The cascade list should include COOP Planning Team members, key personnel, organization management and emergency personnel, both inside and outside the organization. The Point of Contact (POC) will activate the list and initiate the first contact with the organization head and COOP Planning Team.

Employee Cascade List	Email Address	Work #	Home #	Cell or Pager #
Organization Head				
COOP Planning Team ( <i>from Form A</i> )				
Employee A				
Employee B				
Employee C				
Employee D				
Employee E				
Key Personnel & Management				
Employee I				
Employee J				
Employee K				
Employee L				
Employee M				
Emergency Personnel	Phone Number(s)			
Fire Department				
Police Department				
Ambulance/EMS				
State Emergency Operations Center				
Alternate Facility Contacts				
Employee Emergency Hotline				







**Form F2: ORGANIZATION CONTINUITY FACILITIES**

Continuity Location	Type of Arrangement	Unmet Space Needs





**Form H: VITAL EQUIPMENT AND SYSTEMS**

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

Essential Function: \_\_\_\_\_

Essential Process or Service	Essential System or Equipment	Networks or Servers Required	Priority	Description

**Form I: CONTINUITY COMMUNICATIONS**

Identify current and alternative providers, and/or alternate 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 Provider	Alternative Mode #1	Alternative Mode #2
Voice Lines				
Fax Lines				
Data Lines				
Cellular Phones				
Pagers				
E-Mail				
Internet Access				
Instant Messenger Services				
Blackberry/PDAs				
Radio				
Other				

**Form J: ORGANIZATIONAL GO-KITS**

Item	Organization Unit	Location	Quantity	Maintenance Performed By	Maintenance Date
COOP					
Communications Equipment					
COOP Procedures					
Contact Lists					
Memorandums of Agreement					
Map to Alternate Site					
Vital Records					
Office Supplies					
Other (List)					

**Form K: TRAINING, TESTING AND MAINTENANCE**

	Training Components	Training Type	Targeted Staff	Whose Responsibility?	Frequency	Date Scheduled	Date Completed
<b>Training</b>	<i>Example: COOP Awareness</i>	<i>Online - FEMA IS-546</i>	<i>Implementation Team</i>	<i>Executive Leadership</i>	<i>Annually</i>	<i>6/30/2014</i>	<i>6/30/2014</i>
	Testing Components			Whose Responsibility?	Frequency	Date Scheduled	Date Completed
<b>Testing</b>	<i>Example - Table Top Exercise with Executive Leadership</i>			<i>COOP Program Manager</i>	<i>Annually</i>	<i>6/15/2014</i>	<i>6/15/2014</i>
	<i>Example - Functional Exercise (Alternate Site Relocation)</i>			<i>COOP Program Manager</i>	<i>Annually</i>	<i>8/20/2014</i>	<i>8/20/2014</i>
	Maintenance Components			Whose Responsibility?	Frequency	Date Scheduled	Date Completed
<b>Maintenance</b>	<i>Example: Update Call Trees</i>			<i>HR Office</i>	<i>Semi-Annually</i>		
	<i>Example: Update Vital Records Schedule</i>			<i>Records Coordinator</i>	<i>Annually</i>		

**Form L: COOP PLAN MAINTENANCE**

Activity		Tasks	Frequency	Date Required	Date Completed
Plan update and certification	1	Review entire plan for accuracy	Semi-annually		
	2	Incorporate lessons learned and changes in policy and philosophy			
	3	Manage distribution of plan updates			
Maintain and update Orders of Succession	1	Obtain names of current incumbents and designated successors	As-needed		
	2	Update Delegation of Authorities			
Checklists	1	Update and revise checklists	As needed		
	2	Ensure annual update/validation	Annually		
Update rostering all positions	1	Confirm/update information on rostered members of COOP Teams	Monthly or quarterly		
Appoint new members of the COOP Team	1	Qualifications determined by COOP Leaders	As needed		
	2	Issue appointment letter and schedule member for orientation			
Maintain alternate work site readiness	1	Check all systems	Quarterly		
	2	Verify access codes and systems			
	3	Cycle supplies and equipment as needed			
Review and update supporting Memoranda of Understanding/ Agreements	1	Review for currency and new needs	Annually		
	2	Incorporate changes, if required			
	3	Obtain signature renewing agreement or confirming validity			
Monitor and maintain equipment at alternate sites	1	Train users and provide technical assistance	Ongoing		
	2	Monitor volume/age of materials and assist users with cycling/ removing files			
Train new members	1	Provide an orientation and training class	Within 30 days of appointment		

**Form L: COOP PLAN MAINTENANCE**

Activity		Tasks	Frequency	Date Required	Date Completed
	2	Schedule participation in all training and exercise events			
Orient new policy officials and senior management	1	Brief officials on COOP	Within 30 days of appointment		
	2	Brief each official on his/her responsibilities under the COOP			
Plan and conduct exercises	1	Conduct internal exercises	Semi-annually		
	2	Conduct joint exercises with local, regional, and/or state agencies	Annually		
	3	Support and participate in interagency exercises	Annually or as needed		
Maintain security clearances	1	Obtain, maintain and update appropriate security clearances	Ongoing		

**Form M: COOP PLANNING CROSSWALK**

<b>Criteria</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
<b>PURPOSE</b>				
Plan includes a statement why COOP is important to the organization				
<b>SCOPE</b>				
Provide for capability to perform essential functions in 12 hours to 30+ days.				
Provides for three-scenario approach to COOP planning.				
Addresses the 3 phases of COOP: activation & relocation, alternate facility operation and return to normal operations.				
<b>OBJECTIVES</b>				
Defines specific objectives to direct & guide appropriate continuity actions.				
<b>SITUATION and ASSUMPTIONS</b>				
COOP plan explicitly states planning assumptions.				
<b>HAZARD VULNERABILITY ANALYSIS</b>				
Plan includes a documented Hazard Vulnerability Analysis				
<b>CONCEPT OF OPERATIONS</b>				
Plan includes a concept of operations that provides an overview of how plan will be implemented				
Documents the use of systematic listing of work task, function & operations in development of essential functions.				
Documents the prioritization of work tasks, functions & operations in development of essential functions.				
Documents the consequences of lack of performance and time criticality to perform work tasks, functions & operations.				



**Form M: COOP PLANNING CROSSWALK**

<b>Criteria</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
Documents resource requirements & provides for pre-positioned resources necessary to perform essential functions.				
Encourages personal preparedness for essential & non-essential staff and their families				
Plan includes a roster of fully equipped & trained personnel to perform essential functions.				
Contains procedures to contact and/or provide information to non-essential staff.				
Provides for personnel accountability of essential & non-essential staff throughout duration of emergency.				
Provides for continued support telecommunication and information technology requirements.				
Documents selection of an alternate site that satisfies identified requirements to perform essential functions.				
Documents that a site vulnerability analysis was conducted on the alternate facility.				
Provides for security and access control of primary & alternate facility throughout emergency				
Provides for specific actions to transfer operations back to primary facility.				
<b>IMPLEMENTATION</b>				
Provide for a executive decision process to determine best activation of COOP plan.				
Provide for the development of an incident action plan based on nature of incident and assessment of facility.				

**Form M: COOP PLANNING CROSSWALK**

<b>Criteria</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
Plan utilizes incident command system (ICS) process & procedures.				
<b>ACTIVATION AND RELOCATION</b>				
Plan provides specific criteria & activation checklists to decide whether to activate the plan.				
Plan provides alert & notification procedures for key staff, contingency teams, non-essential personnel & critical customers				
Provides transportation procedures to address transfer of personnel, records & equipment				
Plan provides for minimum standards of communication & direction/control during activation of alternate site				
Provides for provision of complete site-support procedures (staff, records & equipment) for activating alternate facility.				
Provides specific procedures to provide for execution of essential functions.				
Assigns responsibilities for key staff to perform mission-essential functions.				
<b>TERMINATION/RETURN TO NORMAL OPERATIONS</b>				
Provide for immediate preparations to transfer back to primary facility.				
Contain termination procedures to ensure transfer of functions, vital records & databases to primary facility.				
Provide for the creation of an after-action report to identify and correct deficiencies.				
<b>VITAL RECORDS &amp; DATA SYSTEMS</b>				
Documents the identification of vital records and data systems necessary to conduct essential functions.				

**Form M: COOP PLANNING CROSSWALK**

<b>Criteria</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
Provides for the protection of vital records and data systems at the primary facility.				
Provides for the availability/recovery of vital records and data systems at alternate facility.				
<b>CONTINUITY COMMUNICATIONS</b>				
Provide for the identification, protection, availability & redundancy of essential communications systems.				
Provide for the reestablishment of communication to staff, appropriate agencies and customers.				
<b>CONTINUITY OF GOVERNMENT</b>				
Provide for the pre-delegation of authority for making policy determinations & decisions at all organizational levels.				
Defines limitations, accountability & termination of authorities.				
Establish and maintain orders of succession of all key positions to ensure ability to perform essential functions.				
Delineate order of successions by position or titles, not names.				
<b>ORGANIZATION &amp; RESPONSIBILITIES</b>				
Identifies responsibilities of individuals, teams and organizations involved in COOP plan.				
COOP plan identifies emergency coordinating officer/response team chief for each continuity team.				
<b>ADMINISTRATION AND LOGISTICS</b>				
Plan addresses pay status, leave, travel status & related personnel support issues.				
<b>MEMORANDUMS OF UNDERSTANDING AN/OR AGREEMENT</b>				

**Form M: COOP PLANNING CROSSWALK**

<b>Criteria</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
Documents the establishment of written agreements with other department/jurisdictions to obtain facilities and resources.				
<b>AUTHORITIES AND REFERENCES</b>				
Documents basic authority for authorities, delegations and action outlined in plan.				
<b>TRAINING AND EXERCISES</b>				
Requires individual/team training of COOP staff to implement plan and carryout essential functions.				
Provides for routine testing & exercises of various types and scopes to demonstrate viability & improve overall capability.				
<b>PLAN MAINTENANCE</b>				
Provides for a strategy to develop, maintain & enhance a viable capacity.				
Provides for annual update of the plan driven by a training & exercise program.				
Plan provides for the on-going update of the COOP plan as warranted by changes within the organization.				

**Worksheet A1: COOP PLANNING COORDINATOR SELECTION**

The COOP Planning Team is led by an appointed COOP leader within the organization or department.  
Information on the current COOP leader follows.

Name	
Date appointed as COOP leader	
Full-time or part-time position?	
If part-time, state normal position held and percentage of time to be devoted to COOP activities	
Person to whom COOP leader reports	
Brief professional background details	
Normal contact details (work phone, email)	
<b>Completed by:</b>	<b>Date:</b>
<b>Reviewed by:</b>	<b>Date:</b>

**Worksheet A2: COOP PLANNING TEAM MEMBERS**

**COOP Team Members**

<b>Name</b>	<b>Job Title and Department within Agency</b>	<b>Date of Appointment</b>

Individual responsibilities within project team:

<b>Name</b>	<b>Job Title and Department within Agency</b>	<b>Date of Appointment</b>

Individual responsibilities within project team:

<b>Name</b>	<b>Job Title and Department within Agency</b>	<b>Date of Appointment</b>

Individual responsibilities within project team:

<b>Name</b>	<b>Job Title and Department within Agency</b>	<b>Date of Appointment</b>

Individual responsibilities within project team:

<b>Name</b>	<b>Job Title and Department within Agency</b>	<b>Date of Appointment</b>

Individual responsibilities within project team:

<i>Completed by:</i>		
<i>Reviewed by:</i>		

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**Worksheet A3: INITIAL COOP PLANNING TEAM MEETING**

The initial meeting of the COOP project team will be held on <PLACE>, <DATE>, <TIME> to discuss the following:

**Initial COOP Planning Team Meeting Topics**

<b>Topic</b>	<b>Check Off</b>
COOP Planning team organization	
Roles and responsibilities	
Project deliverables	
Project deadlines	
Reporting process	
Review and approval process	
Coordination with external response agencies	
<i>Completed by:</i>	<i>Date:</i>
<i>Reviewed by:</i>	<i>Date:</i>

**Worksheet A4: COOP TEAM MISSION STATEMENT**

This COOP team has been assigned by the [executive director/general manager] to direct development of a comprehensive continuity of operations capability for [agency]. Because of the importance of this planning effort, members of this team have been assigned from all major divisions/branches of the agency. The team is responsible for preparing a Continuity of Operations (COOP) plan, as well as for overseeing the process required to implement, validate and maintain a continuity capability.

<i>Completed by:</i>	<i>Date:</i>
<i>Reviewed by:</i>	<i>Date:</i>



**Worksheet A5: COOP PLANNING TEAM OBJECTIVES AND DELIVERABLES**

To enable the COOP Planning Team to focus their efforts on the key issues, and to ensure that the work undertaken is relevant to the requirements of the project, the objectives and deliverables are clearly defined. The following list of objectives and deliverable has been approved by senior management.

**Objectives of COOP Team**

Main objective of COOP Planning Team:

Sub-objectives of the COOP Planning Team:

Deliverables:

*Completed by:*

*Date :*

*Reviewed by:*

*Date :*

**Worksheet A6: PROJECT MILESTONES**

Realistic and achievable project milestones have been established to enable progress to be tracked against an approved schedule. The following project milestones have been agreed to.

**Project Milestones**

<b>Milestone Description</b>	<b>Scheduled Completion Date</b>

<i>Completed by:</i>	<i>Date:</i>
<i>Reviewed by:</i>	<i>Date:</i>

**Worksheet A7: PROJECT REPORTING REQUIREMENTS AND FREQUENCY**

The COOP leader issues a [weekly/monthly/quarterly] report to senior management. This report contains a brief executive summary, which is additionally distributed to the executive director/general manager and board members as appropriate.

**COOP Leader**

**Distribution for COOP leader's monthly progress report is as follows.**

Name of Person	Name or department/unit for which responsible

**Distribution for executive summary only:**

Name of Executive or Board Member	Department represented within agency

The contents of the report include:

Activities accomplished during the previous month:

- *Activities completed*
- *Outstanding issues encountered*
- *Means of resolving these issues*

Progress made against agreed milestones:

- *Milestone description*
- *Scheduled date*
- *Progress made*
- *Likelihood of meeting scheduled date*

<i>Completed by:</i>	<i>Date:</i>
<i>Reviewed by:</i>	<i>Date:</i>

**Worksheet A8: COST PLANNING TEMPLATE**

Costs can be identified for the COOP plan. Descriptions should be sufficient to ensure that managers not involved with the project can understand the nature of the proposed expenditure.

**Cost Planning Template**

Description of Item (Include Purpose)	Number of Units/ Hours	Unit of Measure (i.e. Hour, Dozen, Gallon)	Cost
Total Estimated Cost			0
Additional Comments			
<i>Completed by:</i>		<i>Date:</i>	
<i>Reviewed by:</i>		<i>Date:</i>	

**Worksheet A9: REQUIRED DOCUMENTS AND INFORMATION**

The COOP team has prepared the following list of documents and information that are required to be shared with the COOP team. Where this includes documents containing sensitive information, care is taken to ensure that confidentiality is not compromised.

**Required Documents and Information**

Description of Document/Information	Document Location	Sensitive or Confidential Information? (Y/N)
<i>Example: Copy of Building Lease</i>	<i>Example: Office of Chief Financial Officer</i>	Y
<i>Completed by:</i>		<i>Date:</i>
<i>Reviewed by:</i>		<i>Date:</i>

**Worksheet B1: AREAS OF RESPONSIBILITY**

Use the organization/department's mission statement, values, goals and objectives, the organization chart, and a brief review of organization operating procedures, rulebooks, and legal authorities, to identify the organization/department's general areas of responsibility.

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

*Example*

*Highway maintenance*

**Worksheet B2: FUNCTIONS PERFORMED BY AREA OF RESPONSIBILITY**

Complete Worksheet B2 for each area of responsibility identified in Worksheet B1. List the functions performed and provide a brief description of the activities typically performed in the identified function.

Responsibility: \_\_\_\_\_

*Example Responsibility: Maintenance of highway* \_\_\_\_\_

Number	Functions Performed	Brief Description
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		
16		
17		
18		
<i>Example</i>	<i>Visual inspection of track</i>	<i>Personnel perform routine inspection of roadways in jurisdictions weekly, driving 275 miles</i>

**Worksheet B3: CRITERIA FOR SELECTING ESSENTIAL FUNCTIONS**

Based on the review of emergency response plans, emergency operating procedures, and brainstorming sessions among COOP team members, agency employees and supporting emergency responders, identify criteria for selecting essential functions.

	Criteria
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	
16	
17	
18	
19	
20	
<i>Example</i>	<i>The function supports normal emergency response activities as planned by the local/regional emergency management agency.</i>



**Worksheet B4: ESSENTIAL FUNCTIONS BY TIMEFRAME**

Tier	Division/Area	Function	Description
<b>Tier1: 0-12 Hours</b>	Tier 1 functions are the agency's critical functions that must reach operational status no later than 12 hours after COOP activation.		
<b>1.1</b>			
<b>1.2</b>			
<b>1.3</b>			
<b>Tier 2: 13 Hours to One Week</b>	Tier 2 functions are those that must reach operational status within 13 hours to one week and be able to sustain operations for a minimum of 30 days. These functions may be dependent on the operational status of Tier 1 functions.		
<b>2.1</b>			
<b>2.2</b>			
<b>2.3</b>			
<b>Tier 3: One Week to Two Weeks</b>	Tier 3 are important business functions that nonetheless are not needed until a full week following a disruption of service. Tier III functions may be dependent on the status of Tier I or II functions, or may simply have less criticality in terms of the		
<b>3.1</b>			
<b>3.2</b>			
<b>3.3</b>			
<b>Tier 4: Two Weeks to 30 Days</b>	Tier 4 represents the functions that could be postponed until all functions in Tiers I, II and III are fully operational.		
<b>4.1</b>			
<b>4.2</b>			
<b>4.3</b>			
<b>Tier 5: 30+ Days</b>	Tier 5 represents the functions that can be suspended for 30 or more days.		
<b>5.1</b>			
<b>5.2</b>			
<b>5.3</b>			

**Worksheet B5: ESSENTIAL FUNCTIONS QUESTIONNAIRE**

Building on the results documented in Worksheet #B2, the objective of this worksheet is to further evaluate essential agency functions and develop measures to minimize. If, at any point, the function is determined NOT to be essential it is not necessary to complete the questionnaire for that function.

**Area of Responsibility:**

**Function:**

Services this function provides:

Identify any supportive functions upon which this function depends. Primary essential functions may depend upon functions not previously identified as essential and upon functions both within and outside the agency.

If the function under evaluation is determined to be essential, then the supportive functions identified above are also essential and should be analyzed separately using Worksheet B5.

1. The loss of this function would have the following effect on the agency:

Check	
<input type="checkbox"/>	Catastrophic effect on the agency or some divisions
<input type="checkbox"/>	Catastrophic effect on one division
<input type="checkbox"/>	Moderate effect on the agency
<input type="checkbox"/>	Moderate effect on some divisions
<input type="checkbox"/>	Minor effect on the agency or some divisions

2. How long can this agency function continue without its usual operation of information systems and telecommunications support? Assume that loss of support occurs during your busiest, or peak, period. Check one only.

Check	Period of Time	Check	Period of Time	Check	Period of Time
<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	

**Worksheet B5: ESSENTIAL FUNCTIONS QUESTIONNAIRE**

	Hours		Up to 3 days		Up to 3 weeks
	Up to 1 day		Up to 1 week		Up to 4 weeks
	Up to 2 days		Up to 2 weeks		Other (specify)

Indicate the peak time(s) of year and/or a peak day(s) of the week and/or peak time of the day, if any, for this function or its associated applications.

(Month) Jan Feb Mar Apr May Jun Jul Aug Sept Oct Nov Dec

(Day) Sun Mon Tue Wed Thu Fri Sat

(Hour) 1 2 3 4 5 6 7 8 9 10 11 12

(Military time) 13 14 15 16 17 18 19 20 21 22 23 24

3. Are there any other peak load or stress considerations?

4. Have you developed/established any backup procedures (manual or otherwise) to be employed to continue agency functions in the event that the associated applications are not available? Consider how much data you can afford to lose. Consider data and/or

If yes, how often have those procedures been tested?

5. The loss of this function would have the following legal ramifications due to regulatory statutes, contractual agreements, or law: (Specify the area of exposure)

6. The loss of this function would have the following negative impact on personnel in this agency:

**Worksheet B5: ESSENTIAL FUNCTIONS QUESTIONNAIRE**

7. The loss of this function would keep us from supplying the following services to the public and other entities:

8. Specify any other factors that are to be considered when evaluating the impact of the loss of the function:

9. Are there ANY other supportive resources upon which this function depends (partner, vendor, software, unique resources, etc.) not already identified above?

10. Does an analysis of the responses to the above questions indicate that this function is still to be considered "essential" to the agency? If yes, indicate below when such label is appropriate:

Always:

During the following period of the year:

During the following time of the month:

During the following time of the week:

Other time period. Specify: \_\_\_\_\_

## Worksheet B6: PRIORITY OF CRITICAL PROCESSES AND SERVICES SUPPORTING ESSENTIAL FUNCTIONS

Complete a separate worksheet for each essential function. First, list critical essential activities tasks that support that function in the left-hand column. Next, determine the personnel needed to perform that service (not specific names, but number and abilities can be considered), and in the last columns list all records, equipment and resources, and systems needed to make that critical function operable. In all categories, ask yourself a variety of questions, including such things as: vendor and partner agency agreements or relationships; software and supplies/equipment issues; workstation needs; vital records and documents required; and communications with agency personnel and system customers.

**Area of Responsibility:** Example: Highway maintenance

**Essential Function:** Example: Field verification of detour signage in place when a little-used route is needed due to some emergency or emergency repair/replacement

Activity/Task	Personnel	Records	Equipment/Resources	Systems
<i>Example: Drive detour route ASAP to ascertain if signage in place is acceptable and clear</i>	<i>Team of 2 preferred.</i>	<i>Map/drawing of sign placement that is in place or that should be put in place.</i>	<i>Sign repair, replacement, or sign erection materials. (Be sure to consider if a vendor or partner maintains sign inventory that could</i>	<i>No special systems would be required beyond dependable field communications (radio, cell</i>





**Worksheet D2: DELEGATION OF AUTHORITY - RULES, PROCEDURES AND LIMITATIONS**

Complete this worksheet for each position identified in the second column of Worksheet #D1. Indicate the position on the line below and then list any rules for the delegation that may exist, outline procedures for the delegation including notification of relevant staff of the transfer of power, and limitations on the duration, extent and scope of the delegation.

**Position Holding Authority: Example: General Manager**

Rules	Procedures	Limitations
<i>Example: If GM is physically absent from the facility AND can't be reached by pager or cell phone within 30 minutes</i>	<i>Example: Assistant GM is contacted for decision; in his absence, Operations Manager is contacted; in her absence, etc.</i>	<i>Example: No service schedule changes may be announced without prior consultation with emergency management agency, and subsequent to change, normal media</i>
If General Manager is physically absent from the facility AND can't be reached by pager or cell phone within 30 minutes	Assistant GM is contacted for decision; In her absence, Operations Manager is contacted; In his absence, etc.	No service schedule changes may be announced without prior consultation with emergency management agency, and subsequent to the change, normal



**Worksheet E1: IDENTIFY KEY POSITIONS**

With the information gathered in Form D and Worksheets D1 and D2, identify key positions for each essential function in the organization/department.

Essential Function	Key Position



**Worksheet F2: ORGANIZATION CONTINUITY FACILITIES**

Alternate Location	Type of Arrangement	Unmet Space Needs
<i>Example: Expo Complex</i>	<i>Example: MOU</i>	<i>Example: N/A</i>







**Worksheet M1 - COOP PLANNING CHECKLIST**

Local jurisdictions may want to use the COOP planning checklist here to guide the COOP plan development process from the beginning, using the left-hand column to track actions and considerations, and/or using the right column to list the page or pages within your plan that refer to that item.

Does our agency have this item in our plan?	Item/Description	Page #s in our plan
<b>OVERARCHING ITEMS</b>		
Y N	Plan objectives are clearly stated in the opening of the plan	
Y N	Provisions for the protection of critical equipment, records, and other assets are included in the overall planning process.	
Y N	Provisions are included which maintain efforts to minimize human loss, damage and losses of resources.	
Y N	Considerations for an orderly response and recovery from any emergency are incorporated into the planning process.	
<b>IDENTIFYING ESSENTIAL FUNCTIONS</b>		
Y N	Essential functions required by law are identified	
Y N	Essential functions that support public safety are identified	
Y N	Essential functions that support emergency responders are identified	
Y N	Essential functions that are required by contract are identified	
Y N	Essential functions that are time specific are identified	
Y N	Essential functions that are day-of-the-week specific are identified	
Y N	Essential functions that are monthly/seasonally specific are identified	
Y N	Essential functions are prioritized based on above criteria	
<b>COOP PLAN DEVELOPMENT, REVIEW &amp; APPROVAL/ SUPPORTING PROCEDURES</b>		
Y N	Decision making conditions are clearly outlined for activation	
Y N	The plan can be activated during non-working hours	
Y N	The plan can be activated if no person can access or use the facility	
Y N	The plan can be activated if no person can access the surrounding area	
Y N	Communication process in times of advance threat warning established	
Y N	Communication process to notify all agency personnel is established	
Y N	Communication process is coordinated for all affected decision makers	
Y N	Communication is coordinated with other agency offices/facilities	
Y N	Communication is coordinated with external emergency personnel	
Y N	Communication process is coordinated with key customers/users	
Y N	Communication process is coordinated with suppliers/partners	
Y N	Time-phased procedures facilitate response, relocation, restoration	
Y N	Personnel are assigned to functions based on skills and knowledge.	
Y N	Authorities are identified which can and may be delegated	
Y N	Positions to which the authorities are delegated are listed	
Y N	The limitations of the delegations of authority are identified	
Y N	Plans are made for succession to key leadership positions	
Y N	Time or geographical limitations to succession are identified, addressed	
Y N	Succession order is described by position or titles rather than by person.	
Y N	Orders of succession are revised and distributed as necessary.	
Y N	Alternate facilities and the resources available at each facility identified	

Y N	Pre-positioning of assets and resources at alternate facilities considered	
Y N	Reliable support services, infrastructure at alternate facility identified	
Y N	Alternate facilities will be available within 12 hours, up to 30 days	
Y N	Physical security and access at alternate facility considered	
Y N	Data/communications systems identified to support essential functions.	
Y N	Interoperable communications plans for internal and external use	
Y N	Provisions for redundant communications are included in the COOP plan.	
Y N	Planning includes potential off-site storage of duplicate records	
Y N	Regular and timely maintenance of alternate facility is scheduled	
Y N	Plan ensures back-up for legal and financial records	
Y N	Transportation, lodging, meals at alternate facility all addressed	
Y N	Relocation of personnel, receiving plan at alternate site addressed	
Y N	After-action review process identified for use after COOP activation	
Y N	Staff roster for each essential function by position, with contact info	
Y N	Reliable processes are in place to acquire additional resources to sustain operations for 30 days	
Y N	Documentation of all supporting procedures and/or checklists	
Y N	Procedures in place to notify customers, of new work location, phone numbers, re-route US mail, etc.	
Y N	The COOP plan contains updated appendices with detailed information on specific procedures, contact names, numbers always up to date	
Y N	Provisions are included for the preparation and pre-positioning off-site of drive-away kits.	
Y N	Measures are included in the planning which address pay status, administrative leave, and layoffs.	
Y N	Information has been included which provide guidance to personnel on medical, special needs, and travel issues.	
Y N	The physical security of the primary facility during the COOP activation and operations has been addressed within the COOP plan or procedures.	
<b>TRAINING PERSONNEL, TESTING THE PLAN, KEEPING PLAN UP TO DATE</b>		
Y N	Training and orientation curriculum has been developed which creates awareness and enhances the skills of the agency's personnel.	
Y N	Training is developed which ensures that the key leadership are prepared to perform their emergency duties.	
Y N	Training plan addresses knowledge and skills sets	
Y N	The COOP plan contains a comprehensive test, drill, and exercise program.	
Y N	Provisions are included for periodic test of the alert and notification procedures.	
Y N	Periodic exercises of operational plans, alternate facilities, and interoperable communications are incorporated into the COOP plan.	
Y N	Periodic validation and test are included for equipment at the alternate facility in the COOP plan.	
Y N	A remedial action plan/process has been established which incorporates lessons from the test, training, and exercise program.	
Y N	Procedures are included which ensure that this plan will be maintained at a high level of readiness.	