CONTINUITY OF OPERATIONS PLANNING HANDBOOK

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UASI Regional Catastrophic Planning Team

TABLE OF CONTENTS

I. FOREWORD

This **COOP Planning Handbook** is offers both procedural and operational guidance for the preparation and implementation of a Continuity of Operations (COOP) plan, which is the federally recognized nomenclature for business continuity planning. The accompanying **COOP Sample Plan Template** is designed to aid local governments in the development and maintenance of COOP plans.

Start your COOP planning with this **COOP Planning Handbook** intended as a resource guide for COOP Planning Coordinators and presented in the form of a "COOP Planning 101" manual that is suitable for new practitioners. If your County/City has participated fully in COOP/COG plan development in the past, and your COOP Planning Team is experienced with plan development, you may be able to proceed directly through the **COOP Sample Plan Template** referring to the forms and worksheets in the Handbook as necessary. However, that is a decision best left to the COOP Planning Team assembled for your organization, and the complete **COOP Planning Handbook** remains a resource tool for your organization.

This **COOP Planning Handbook** guides the user through a five - phase COOP planning process as presented in Section VIII. It reflects guidelines provided by US Department of Homeland Security/FEMA, as well as best practices developed by Cal OES Continuity Planning, the City of San Diego and the Commonwealth of Pennsylvania. Following the planning phases and completing the worksheets included in the **COOP Planning Handbook** will assist in assembling the information necessary to develop the ten essential elements of a COOP plan. Because every organization has a different mission, your COOP plan will be unique. Merely filling in blanks on the worksheets is not a substitute for a plan that allows for the continuance of the organization in the event of a disruption.

Additional instructions in utilizing these tools to create your COOP Plan may be found on the Bay Area UASI website (www.bayareauasi.org). For a refresher or additional information on the concepts of continuity planning, IS-546.A Continuity of Operations Awareness Course is readily available from FEMA at:
http://www.training.fema.gov/EMIWeb/IS/courseOverview.aspx?code=IS-546.a

Why create a COOP Plan?
An organization's resiliency is directly related to the effectiveness of its continuity capability. An organization's continuity capability—its ability to perform its essential functions continuously—rests upon key components or pillars, which are in turn built on the foundation of continuity planning and program management.

 "Continuity of Operations (COOP) is a United States federal government initiative, required by U.S. Presidential directive, to ensure that agencies are able to continue performance of essential functions under a broad range of circumstances.

National Security Presidential Directive-51 (NSPD-51)/Homeland Security Presidential Directive-20 (HSPD-20), National Continuity Policy (2007), specifies certain requirements for continuity plan development, including the requirement that all Federal executive branch departments and agencies develop an integrated, overlapping continuity capability. FCD 1 also serves as guidance to State, local, and tribal governments."
The Governor, through Executive Order S-04-06 (2006), expressed his commitment to ensuring that the Executive Branch agencies and departments are ready to respond and recover from natural and man-made

incidents. Based on the Executive Order's reference to "update COOP/COG Plans," the ongoing expectation is that State agencies/departments will continue to maintain their plans. As a result, Cal OES offers guidance and tools to enable executive branch agencies/departments to enhance and maintain their continuity plans.

There is no legal requirement for counties or cities to adopt a COOP, but it is a best business practice, and in some cases, if the essential service being provided is a state mandate (social service, health officer, etc. and they receive funding to provide the service) they can be required to provide a plan on how they will maintain continuity of operations. In some instances, insurance companies may require some form of plan to reduce the liability of law suits/claims in the event of disruption of services resulting in great harm. Even without a legal requirement, local jurisdictions across the state and nation are following the federal and state government's lead and developing COOPS to develop the capability to deliver essential services during any type of interruption to normal service delivery.

II. INTRODUCTION TO CONTINUITY OF OPERATIONS

Threats to [insert name of jurisdiction] government operations exist in all varieties with a single common denominator: the interruption of one or more critical government functions that are vital to the health, safety or welfare of the public. The County/City is susceptible to a variety of other natural and human-caused incidents, including flooding, severe storms, fire, medical pandemic and terrorism. Today's changing threat environment and recent emergencies illustrate the need for COOP capabilities and plans.

The fundamental mission of every governmental organization engaged in developing a COOP is reliability of service, particularly in times of emergency. The public cannot be expected to overlook lapses in the delivery of vital government services, especially in the wake of a disaster when the protection of public health, safety and general welfare remains a matter of the public trust.

III. COOP PLANNING OBJECTIVES

General objectives that apply to COOP planning are as follows:
- Ensure the safety of [insert name of jurisdiction] employees;
- Maintain command, control and direction during emergencies;
- Reduce disruptions to operations;
- Protect critical facilities, equipment, records, and other assets;
- Maintain internal and external essential communications;
- Assess and minimize damages and losses;
- Provide organizational and operational stability;
- Facilitate decision-making during an emergency;
- Achieve an orderly recovery from emergency operations;
- Assist affected employees and their families;
- Provide for the line of succession to critical management and technical positions;
- Provide resources and capabilities to develop plans for restoring or reconstituting regular activities, depending upon the scope, severity, and nature of the incident; and
- Fulfill the organization's responsibilities in local, regional and state emergency operations plans and agreements.

IV. COOP PLANNING CONSIDERATIONS

Federal Preparedness Circular (FPC) 65 describes the planning consideration and requirements for COOPs among Federal Executive Branch agencies, and serves as a valuable planning resource to all state departments and agencies. It recommends that government agencies:

- Be capable of implementing their COOP plans with or without warning
- Be operational not later than 12 hours after activation of the Continuity Plan
- Be capable of maintaining sustained operations for up to 30 days or until normal operations can be resumed
- Include regularly schedule testing, training and exercising of personnel, equipment, systems, processes and procedures used to support the organization during a COOP event
- Provide for a regular risk analysis of current alternate operating facilities
- Locate alternate facilities in areas where the ability to initiate, maintain and terminate COOP is optimal
- Take advantage of existing organization field infrastructures and give consideration to other options, such as telecommuting, work-at-home and shared facilities
- Consider the distance of the alternate facility from the primary facility
- Include development, maintenance and review of COOP capabilities using a Multi-Year Strategy and Program Management Plan (MYSPMP) ensuring that funding is available in future budgets

> The essential business functions your County/City is planning for are those that must:
> - Be operational not later than 12 hours after activation
> - Be capable of maintaining sustained operations for up to 30 days

Figure 4-1. Essential business function considerations

V. WHO IS INVOLVED IN COOP PLANNING?

COOP Planning is a team effort. Responsibility belongs not to a single division, but to personnel at every level of the organization, including:

Senior Management: responsible for ensuring that the County/City is capable of carrying out each respective function related to COOP, including planning, activation and reconstitution. While organization/county leaders may delegate many of their responsibilities, the overall accountability remains within their leadership.

The COOP Planning Coordinator/POC: serves as the County/City Manager for all COOP activities. The Coordinator has overall responsibility for developing, coordinating and managing all activities required for the County/City to perform its essential functions during an emergency or other situation that would disrupt normal operations.

An effective COOP Planning Team: members from all levels of management and staff. It also consists of members from various divisions of the organization, including those not directly related to the mission, such as human resources. Team members should act as COOP Planning Coordinators for their respective functions, elements or divisions. If the COOP incorporates *whole community* partners, such as the private sector, NGOs or volunteer organizations, their representation on the COOP Planning Team is essential for an effective and cohesive COOP Plan.

VI. ELEMENTS OF A COOP PLAN

A viable COOP Plan consists of ten essential elements as identified by FEMA and Cal OES:

Essential Functions pg. 18	Orders of Succession pg. 26	Delegations of Authority pg. 24	Continuity Facilities pg. 28
Continuity Communications pg. 36	Human Capital Management pg. 15	Vital Records pg. 33	Tests, Training & Exercises pg. 46
	Devolution pg. 38	Reconstitution pg. 40	

Figure 6-1. Ten essential elements

1. Essential Functions
- Those functions that enable an organization to:
  - Provide vital services
  - Exercise civil authority
  - Maintain the safety of the general public
  - Sustain the industrial or economic base during an emergency

2. Delegations of Authority
- Specify who is authorized to act on behalf of the organization head or other officials for specified purposes

3. Orders of Succession
- Provide for the orderly and pre-defined assumption of senior organization offices, during an emergency, in the event that any officials are unavailable to execute their legal duties
- Should be at least "three deep" and include at least one person whose day-to-day job is physically located at a different site from the primary facility

4. Continuity Facilities
- Locations where leadership and staff may operate during a continuity event

5. Continuity Communications

- Capability to perform essential functions in conjunction with other agencies, until normal operations can be resumed
- Communications must be:
  - Redundant
  - Available within 12 hours or sooner
  - Sustainable for up to 30 days, or until normal operations can be resumed

6. Vital Records

- Information systems and applications, electronic and hardcopy documents, references and records necessary to sustain essential functions during a continuity situation
- Essential records are characterized as:
  - Emergency operating records required for organization essential functions during and after a continuity event
  - Rights and interest records critical to carrying out an organization's critical legal and financial functions

7. Human Capital Management

- Essential to have available the most appropriate, qualified, and reliable people in the COOP positions that best match their aptitude and skills

8. Tests, Training and Exercises

- Provides the framework for consistency and uniformity of mission readiness activities
- An effective program:
  - Provides training in areas appropriate to mission readiness
  - Provides opportunities to acquire the skills and knowledge needed for continuity operations
  - Builds team unity
  - Tests and exercises serve to assess and validate all the components of the COOP plans

9. Devolution

- The capability to transfer statutory authority and responsibility for mission essential functions from an organization's primary operating staff and facilities to other employees and facilities

10. Reconstitution

- The process by which surviving and/or replacement organization personnel resume normal operations from the original or replacement primary operating facility

To ensure your COOP addresses all ten essential elements, use the following checklist of forms and worksheets organized by essential element.

Essential Functions	
	Form B: Prioritized Listing of Essential Functions
	Worksheet B1: Areas of Responsibility
	Worksheet B2: Functions Performed by Area of Responsibility
	Worksheet B3: Criteria for Selecting Essential Functions
	Worksheet B4: Essential Functions by Timeframe
	Worksheet B5: Essential Functions Questionnaire
	Worksheet B6: Priority of Critical Processes and Services Supporting Essential Functions
	Worksheet B7: Management, Technical and Supporting Personnel
Delegation of Authority	
	Form D: Delegation of Authority
	Worksheet D1: Determination of Emergency Authority vs. Administrative Authority
	Worksheet D2: Delegation of Authority – Rules, Procedures and Limitations
Orders of Succession	
	Form E: Orders of Succession
	Worksheet E1: Identify Key Positions
Continuity Facilities	
	Form F1: Requirements for Continuity Work Site
	Form F2: Organization Continuity Facilities
	Form J: Organizational Go-Kits
Vital Records	
	Form G: Vital Records
	Worksheet G1: Vital Records Protection Methods
	Worksheet G2: Restoration and Recovery Resources
Continuity Communications	
	Form I: Continuity Communications
	Worksheet - There are no worksheets for this form
Human Capital Management	
	Form A: COOP Response Team
	Worksheet A2: COOP Planning Team Members
Tests, Training & Exercises	
	Form K: Training, Testing and Exercises
	Worksheet - There are no worksheets for this form
Devolution	
	No forms or worksheets
Reconstitution	
	No forms or worksheets

Table 6-1. Essential elements form and worksheet checklist

VII. DESIGN AND DEVELOPMENT

In the COOP plan design and development phase, the COOP Planning Team should decide whether the plan should consist of one large plan or of a series of smaller COOP Plans, one for each major department or division of the jurisdiction, etc. Discuss how an organization or department can use existing standard operating procedures (SOPs) and emergency operations plans (EOPs) as building blocks for development of a COOP plan.

There are several models on how a COOP is integrated into the organization's emergency planning structure. Although COOP plans are more commonly being added as an annex to the EOP, some jurisdictions have it as a stand-alone document with a separate review and approval process. While some jurisdictions have a COOP for every department, they may not have an agency-wide COOP and simply provide a reference to what it is in the EOP. The following graphics represent some samples the many different ways jurisdictions integrate COOP into their emergency planning.

*EOPs may have several of these, such as Care & Shelter, Mass Transportation & Evacuation, Mass Fatality, Volunteer Management, etc.

Figure 7-1. COOP as an annex to the EOP or as a stand-alone plan separate from the EOP

VIII. CREATING A COOP PLAN

The COOP planning process is broken down into five different phases:

I. **Initiate the COOP Planning Process**
II. **Determine Essential Business Functions**
III. **Design and Build the Plan**
IV. **Test, Train and Exercise the Plan**
V. **Maintain the Plan**

COOP Planning Phase	Phase Specific Tasks
I. Initiate the COOP Planning Process	1. Appointing a COOP Planning Coordinator 2. Organizing a COOP Planning Team 3. Conducting an initial project meeting 4. Identifying your COOP Response Team
II. Determine Essential Business Functions	1. Identifying Essential Functions 2. Communications with key personnel 3. Delegation of authority 4. Succession planning 5. Selecting an alternate facility 6. Identifying vital records, systems and equipment 7. Continuity Communications
III. Design and Build the Plan	1. Defining COOP document scope 2. Entering gathered data into COOP template 3. Assembling the Concept of Operations 4. Outlining an executive decision process 5. Creating checklists for use during COOP activation
IV. Training, Testing and Exercises	1. Assessing and validating COOPs, policies and procedures 2. Ensuring that County/City personnel are familiar with COOP procedures 3. Ensuring that COOP personnel are sufficiently trained to carry out essential functions during coop activation
V. Maintain the Plan	Instituting a multiyear process to ensure the plan continues to be updated as necessary

Table 8-1. Five COOP planning phases

I. Project Initiation

The Project Initiation Phase Consists of:

1. Appointing a COOP Planning Coordinator
2. Organization of a COOP Planning Team
3. Initial Project Meeting
4. Identify Response Team

Figure 8-1. Project Initiation phase components

This section will guide you to completion of Form A: COOP Response Team in your COOP plan. (Several worksheets must be completed to achieve results to be placed in Form A. The form is then included as Form A in the Appendix of the COOP Planning Template, which is used to develop the final COOP Plan.)

APPOINTING A COOP PLANNING COORDINATOR

>   *Use Worksheet A1 on page 88 to complete the following task.*

The first step in the COOP planning process is selecting a COOP Planning Coordinator, also known as the Point-of-Contact (POC). The COOP Planning Coordinator is a key individual in the COOP planning process. In general, the Coordinator needs to be familiar with each division within the organization, and organized and comfortable in a leadership position.

Responsibilities of the COOP Planning Coordinator (POC) include:
*   Developing short- and long-term goals and objectives
*   Assisting in the identification of planning team members
*   Creating a blueprint for developing the COOP program
*   Identifying and assisting in resolving issues related to COOP plan development, activation, implementation and reconstitution
*   Developing assessment criteria for measuring and evaluating COOP performance
*   Acting as a liaison between the planning team and County/City leaders
*   Serving as a liaison to the COOP Steering Committee

Figure 8-2. Responsibilities of the COOP Planning Coordinator

It is a COOP Planning best practice to assign at least one additional individual the tactical level responsibilities of COOP coordination. This position heads up the COOP Response Team when the COOP is activated, and is referred to as the COOP Response Team Leader. This is usually a County/City senior official who will have the authority to activate and implement the plan components.

ORGANIZATION OF A COOP PLANNING TEAM

Use Worksheet A2 on page 89 to complete this task.

Both the COOP Planning Coordinator and senior management need to be involved in the selection of a COOP Planning Team. Having the support of senior management will ensure that members of the team realize the importance involved with their selection. It also represents a level of support for the overall planning process.

The COOP Planning Team needs to consist of a wide range of individuals from all levels, divisions and/or departments of the County/City, as well as *whole community* representation.

Although the number of team members will depend on the size of the organization, ideally a team will consist of 8 to 10 members representing a mix of agencies, divisions or departments. This size team provides enough members for diversity without having too many to achieve consensus.

The COOP Planning Team should meet regularly throughout the planning process as well as once the COOP Plan is completed to revise and update it accordingly.

INITIAL PROJECT MEETING

Use Form AA, page 70 and Worksheets A3 - A7, pages 90-94, to complete this task.

Once a COOP Planning Team is selected, the COOP Planning Coordinator sets up the initial project meeting. The project meeting should include the COOP Planning Coordinator, members of the COOP Planning Team and senior management.

The following topics should be covered during the first COOP Planning Team meeting:

- ☐ Risks and Vulnerabilities
- ☐ COOP Project Team Organization: including the team's mission statement
- ☐ Roles and responsibilities of individual members and the team as a whole
- ☐ Definition of COOP Planning Team objectives and deliverables to ensure that work undertaken is relevant to the requirements of the project
- ☐ Project milestones to enable progress to be tracked against an approved schedule
- ☐ Reporting process to be issued by the COOP Planning Coordinator to senior management
- ☐ Review and approval process
- ☐ Coordination with external response agencies

Use Worksheet A8 on page 95 to complete this task.

A County/City may also choose to develop a cost-planning template (Worksheet A8) so that costs associated with the COOP plan are identified at the beginning of the planning process. This process is useful to assist with making decisions that may be based on financial burden versus benefits of investing in the critical systems, equipment, contracts for continuity facilities or services that support the critical mission of the County/City COOP. A jurisdiction can substitute organization specific cost planning templates if available. Descriptions should be sufficient to ensure that managers not involved with the project can understand the nature of the proposed expenditure.

Use Worksheet A9 on page 96 to complete this task.

The COOP Planning Team should consider preparing a list of documents and information they will require to be shared with them during the planning process. Information that may be especially useful, and not readily available to all COOP Planning Team members include but are not limited to:

- Information related to developing the COG duties
- Lines of succession and delegations of authority
- HR policies
- Plans and procedures relating to IT, first responder departments, DPW, health and social services departments

Any documents that contain sensitive information should be treated accordingly, with special care taken to ensure that the confidentiality is not compromised. Copies may be provided rather than originals.

IDENTIFYING YOUR COOP RESPONSE TEAM

The following components are the final products to complete Form A, COOP Response Team Leader Matrix

Key Executive: The County/City senior official with the authority to activate and implement the plan components. This may be the Chief Executive Officer of the County/City or someone to whom the authority has been delegated – lines of succession, going three deep. Include sufficient contact information to ensure communications with these individuals.

Team Members: Team members are appointed because of their role in providing an essential function, or support role (Advance Team) for the County/City as identified in the COOP. Team members should be identified according to the NIMS/ICS (Incident Command System) structure where appropriate, based on their COOP responsibility. COOP Response Teams include Policy Group, Command, Planning, Operations, Logistics and Finance/Administration.

Team Responsibilities: For each of the Response Teams listed, identify all of the team's responsibilities in the event the COOP Plan is activated. Anticipated support functions and services should also be listed, including pre-identified resources needed to maintain Team responsibilities.

II. Determining Essential Functions

The Determining Essential Functions phase consists of:

1. Identifying Essential Functions
2. Communications with Key Personnel
3. Delegation of Authority
4. Succession Planning
5. Selecting an Alternate Facility
6. Identifying Vital Records, Systems and Equipment

Figure 8-3. Determining Essential Functions

IDENTIFYING ESSENTIAL FUNCTIONS

The following will help you to complete Form B: Prioritized Listing of Essential Functions.

Essential functions are based on the County/City's customers and needs. Assigning a priority to the customers' needs helps COOP planners distinguish between essential and supportive functions.

Essential functions are the foundation for COOP programs and plans. For a County/City that is at the beginning stage of COOP planning, determining essential functions must be completed before moving to any other area.

Identifying essential functions requires an intimate understanding of all the organization's operations. Although many functions are important, not every activity the organization performs is an essential function that must be sustained in an emergency.

Essential functions are those functions that enable an organization to provide *vital services, exercise civil authority, maintain the safety of the general public and sustain the industrial and economic base.* In short, they are the organization's business functions that **must continue with no or minimal disruption.**

Figure 8-4. Definition of Essential Functions

To arrive at a list of prioritized essential functions, an organization or department must start with all organizational business functions and progress logically through to the most essential according to the following:

1. Identify all functions

2. Identify essential functions

3. Determine essential function resource requirements

4. Prioritize essential functions

5. Listing of Prioritized Essential Functions

1. ***Identify all functions***

    Use Worksheet B1 on page 97 to complete this task.

To begin the process of identifying functions within an organization or department, first identify the areas of responsibility. Use the organization or department's mission statement, values, goals and objectives, the organization chart, and a brief review of operating procedures, rulebooks and legal authorities.

    Use Worksheet B2 on page 98 to complete this task.

Next, for each area of responsibility identified, list the functions performed and provide a brief description of the activities typically completed in the identified function.

Current and former employees provide excellent sources of information on an organization's functions. COOP Planning Coordinators ought to collaborate with individuals from each division or branch of the organization or department and ask about the functions they and their coworkers perform on a day-to-day basis.

In addition, refer to County/City EOP, SOPs, budget justification reports, operational reports and job descriptions for information about functions performed by the organization. The mission statement and regulations promulgated by the organization will also contain information on functions performed by the organization.

2. ***Identify Essential Functions***

    Use Worksheet B3 on page 99 to complete this task.

The COOP Planning Team in collaboration with senior management should determine the criteria for selecting essential functions. For example, if other organizations are dependent on a particular function to continue their operations, then the function is probably a essential function. These criteria should be based on the review of emergency plans, emergency operating procedures, and brainstorming sessions.

    Use Worksheet B4 on page 100 to complete this task.

A County/City may wish to identify the day-to-day business functions according to the following, time- based chart. Each tier represents the operational timeframe within which a function must be brought back "on-line," and will help with establishing priorities when activation of the COOP plan is required.

OPERATIONAL TIMEFRAME

Tier I: 0-12 Hours
Tier I functions are the County/City's essential functions that must reach operational status no later than 12 hours after COOP activation.
Tier II: 13 Hours to One Week
Tier II 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 I functions.
Tier III: One Week to Two Weeks
Tier III 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 their service delivery.
Tier IV: Two Weeks to 30 Days
Tier IV represents the functions that could be postponed until all functions in Tiers I, II and III are fully operational.
Tier V: 30 + Days
Tier V represents the functions that can be suspended for 30 or more days.

Table 8-2. Operational Timeframe

Keep in mind that a function may be more essential at certain periods throughout the year. For example, if employees are paid on the 1st and 15th of each month and disaster strikes on the 16th, payroll would not be a Tier I or Tier II function. However, if an emergency occurs on the 14th of the month, payroll will need to be reestablished within twenty-four hours to ensure personnel are paid. It is recommended that if time-sensitive or date-specific functions be considered as if the disruptive event were to take place immediately before the function needs to be accomplished If an incident affects the County/City when the function is not time-critical, the implementation plan would be adjusted to keep that function at a lower priority for recovery.

By slicing the different tiers into smaller time phases, it can be easier to prioritize a large number of functions that all become essential within the same period.

Tier I: 0-12 Hours
   A.   0-6 Hours
   B.   6-12 Hours

Tier II: 13 Hours to One Week
   A.   12-18 Hours
   B.   18-24 Hours, etc.

This process will make recovery more manageable and will be easiest to complete after essential functions have been prioritized.

3. Determine Essential Function Resource Requirements

After the essential functions are determined, examine the processes and services that support them. Essential functions and their supporting processes and services are intricately connected. These chained processes rely on other processes in order to properly function. Each essential function has unique characteristics and resource requirements, without which the function could not be sustained. Those processes and services described for each function that are necessary to assure continuance of an essential function are considered critical.

Often, critical processes and services vary depending upon the emergency or if they have a time or calendar component. For example, a blizzard would make snow removal a critical service, while a heat wave would not. Likewise, snow removal is a critical service in the winter, but not in the summer.

> ### Use Worksheet B5 on pages 101-102 to complete this task.

Building on the results documented in *Worksheet B2, Worksheet B4* helps to further evaluate essential organization or department functions, by using *Worksheet B5*. If, at any point, the function is determined not to be essential, it is not necessary to complete the questionnaire for that function.

If the function under evaluation is determined to be essential, any supportive functions on which it depends must also be considered essential and should be analyzed separately using *Worksheet B5*. Essential functions may depend upon functions not previously identified as essential and upon functions both within and outside the County/City.

If supportive essential functions are identified they should be incorporated into the County/City Tier system and documented throughout the rest of the planning processes as critical to supporting the County/City mission.

> ### Use Worksheet B6 on page 103 to complete this task.

Next complete *Worksheet B6* for each essential function. This worksheet will help identify the essential processes or services, personnel, records, equipment and resources for each essential function, as well as the systems that support them. Be sure to include essential back room functions such as Payroll, Accounts Receivable and Accounts Payable. In addition, for IT systems, telecommunications and/or data that supports a primary essential function or supportive essential function, specify the effects if the IT systems or data are not available.

> ### Use Worksheet B7 on page 104 to complete this task

Finally, use *Worksheet B7* to identify, for each essential function, the senior management and technical positions needed to lead the essential functions and the support positions necessary to carry it out. Remember to specify the position, not an individual by name. For this exercise, assume that you have access to all personnel at the time you need all personnel.

4. *Prioritize Essential Functions*

Once all essential functions and their supporting critical processes and services have been identified, prioritize the functions according to those activities that are pivotal to resuming operations when a catastrophic event occurs.

Prioritization requires determination of the following:
- Time criticality of each essential function.
- Sequence for recovery of essential functions and their critical processes.
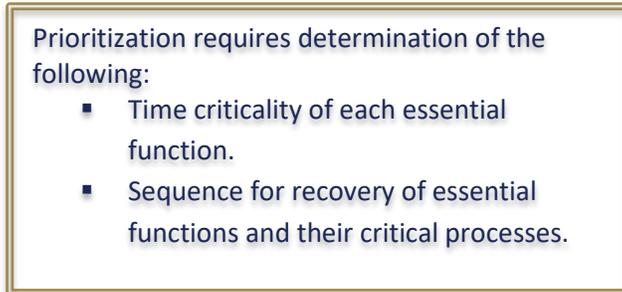
Figure 8-5. Prioritizing Essential Functions

An essential **function's time criticality** is related to the amount of time that function can be suspended before it adversely affects the organization's core mission. Time criticality can be measured by recovery time objectives. A **recovery time objective (RTO)** is the period of time within which systems, processes, services, or functions must be recovered after an outage.

Deciding which essential function should be restored first in a crisis would be impossible without also considering their related critical processes and services. **Critical processes or services are those that must be resumed soon after a disruption -- generally within 24 hours.** By contrast, secondary processes or services do not need to be resumed as quickly after a disruption.

To determine time criticality for each essential function, it is necessary to determine the RTO for the critical processes or services that support it. The questions on *Worksheet B5*, Essential Function Questionnaire, began this process. Use this information in combination with the suggestions below to determine the RTO for each essential function.

IT Disaster Recovery Plans (DRPs) usually have RTOs for vital systems that can be used in estimating the RTO for an associated critical process or service. Also, think about the operational dependence of other processes or services upon those under consideration. If a critical process or service is necessary to keep another operating, then it deserves a short RTO.

5. *Listing of Prioritized Listing of Essential Functions*

Use Form B: Prioritized Listing of Essential Functions to complete this task.

Once the RTOs have been determined for each essential function, list them according to the RTOs, putting those with the smaller figures first. In addition, those functions upon which others depend should also receive a high priority in the sequence of recovery. Functions with a RTO of zero are considered Mission Essential Functions.

After the prioritized list of essential functions is complete, the COOP Planning Coordinator needs to present

the list to senior management for their input and concurrence.

COMMUNICATIONS WITH KEY PERSONNEL

The following will help you to complete Form C: Personnel Contact List (Rapid Recall List). There are no worksheets for this form.

The Rapid Recall List (RRL) represents the process an organization or department employs to activate a COOP plan. The names and numbers listed on this form are those who are assigned a specific task involved with activating a COOP plan.

An emergency or disaster could strike at any time, not just during work hours or off hours during the workweek. A clear and organized plan for communication between key personnel, general staff and with family members is necessary to ensure efficient implementation of a COOP plan.

The centerpiece of a communications plan is a rapid recall list. In other words, the first person on the list, generally the County Executive/City Manager, is the first to be contacted by the organization or department's emergency liaison in the event of an emergency. That person in turn is responsible for contacting the next person below his or her name on the list. If the next person on the list is not available, the person should contact the next person, and so on until he or she is able to speak with someone. Calls made by a single individual need to be limited to no more than six (6).
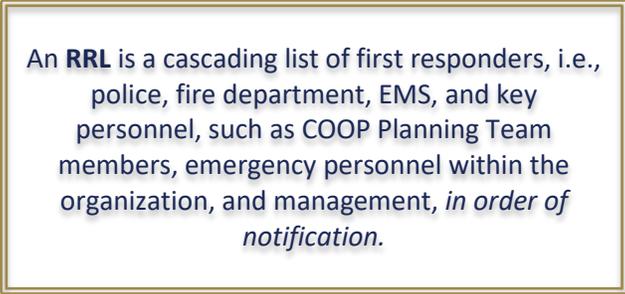
An **RRL** is a cascading list of first responders, i.e., police, fire department, EMS, and key personnel, such as COOP Planning Team members, emergency personnel within the organization, and management, *in order of notification.*

Figure 8-6. Definition of an (Rapid Recall List) RRL

The list should contain the business, home, pager, and cellular numbers for each individual, and any alternate means of communication, (*e.g.*, email or two-way radios) should the phone lines be incapacitated. Management members on the list will also be responsible for communicating to the staff in their department.

DELEGATION OF AUTHORITY

> **The following will help you to complete Form D: Delegation of Authority.**

Every employee is important to the achievement of the organization or department's mission. However, like critical processes and services, each essential function has associated key personnel and positions that are necessary to the continuity of operations. They represent strategically vital points in management and authority and underscore the essential functions that must be executed. If these positions are left unattended, the organization will not be able to meet customer needs or fulfill its essential functions. That is why a comprehensive COOP plan always includes a succession planning and management component in the event these key positions suddenly become vacant. Succession planning and management ensures the continued effective performance by making provisions for the replacement of people in key positions.

Naming key personnel consists of the following two components:

- Delegation of Authority (Form D)
- Orders of Succession (Form E)

Delegation of Authority

Delegations of authority specify who is authorized to make decisions or act on behalf of the organization or department head and other key individuals. In COOP planning, delegation of authority ensures rapid response to an emergency situation that requires COOP plan activation.

Delegation of authority planning involves the following tasks:

- Identify which authorities can and should be delegated.
- Describe the circumstances under which the delegation would be exercised, including when it would become effective and terminate.
- Identify limitations of the delegation.
- Document to whom authority should be delegated.
- Ensure officials are trained to perform their emergency duties.

Identify Authority to be Delegated

> **Use Worksheet D1 on page 105 to complete this task.**

There are two categories of authority that should be addressed in a delegation of authority plan:

- Emergency authority
- Administrative authority

Emergency authority refers to the ability to make decisions related to an emergency, such as deciding whether to activate a COOP plan, deciding whether to evacuate a building, or determining which personnel should report for their duties. In an emergency requiring COOP plan activation, COOP Planning Team members are often the natural choice for assuming emergency authority. However, COOP Planning Team members are not the only candidates for such authority.

Administrative authority refers to the ability to make decisions that have effects beyond the duration of the emergency. Unlike emergency authority, administrative authority does not have a built-in expiration date. Such decisions involve policy determinations and include hiring and dismissal of employees and allocation of fiscal and non-monetary resources. Statutory or constitutional law may limit the delegation of this kind of authority, and counsel may need to be consulted when determining this type of delegation of authority.

Specific authorities being delegated should be documented separately. The same individual may play multiple roles depending on the situation.

Establish Rules and Procedures for Delegation of Authority

> *Use Worksheet D2 on page 106 to complete this task.*

Vacancies in key positions can occur for a variety of reasons, and many times vacancies are the result of non-emergencies, such as illnesses, leave of absences and temporary assignments. Thus, the delegation of authority component to a COOP plan requires a list of conditions or events that will trigger the delegation of authority for that key position. Activation of any delegation of authority should be tied to the level of threat or category of emergency. The plan should also detail how the designee will assume authority and how staff will be notified of the delegation.

Identify Limitations on Authority to be Delegated

> *This section will help you to complete the final column (Limitations of Authority) on Form D.*

After identification of the authority to be delegated and establishment of rules and procedures, the next step is to identify limitations on the delegation. These limitations are often restrictions on the duration, extent or scope of the authority. The type of authority to be delegated will have inherent limitations. For example, emergency authority generally only lasts as long as the emergency exists. An individual with emergency authority may only make decisions regarding a single division or geographic area, or the designee may only make decisions necessitated by the emergency.

An organization or department needs to provide training to officials on performance of their emergency duties. When delegating administrative authority, an organization also needs to examine laws and regulations governing the organization. Delegation of administrative authority is generally limited to upper management, but may be extended to middle management and non-management as necessary and allowed by law. Consult counsel for advice on delegation of administrative authority.

> *Using the information gathered on Worksheets D1 and D2, complete Form D: Delegation of Authority.*

ORDERS OF SUCCESSION

The following will help you to complete Form E: Orders of Succession.

Orders of succession are provisions for the assumption of senior organization/department leadership positions during an emergency when the incumbents are unable or unavailable to execute their duties. They allow for an orderly and predefined transition of leadership. Developing orders of succession for key positions is intertwined with determining delegation of authority in an emergency.

A comprehensive COOP plan will include an order of succession for *each key position.* Although orders of succession for key leadership and management positions within the organization or department -- both at headquarters and in satellite facilities -- are necessary for a comprehensive COOP plan, orders of succession are not limited solely to management positions. All organizations have non-management personnel who, because of their function, are critical to accomplishing the organization or department's goals.

Identify key positions by the position title and not by the name of the person currently in the position, because different individuals may move through a single position while positions tend to stay the same. However, it is also useful to include the name and contact information underneath each key position title.

When identifying successors, COOP planners should consider the organizational and geographic proximity of the potential successor to the key position. A potential successor who is part of the same department or division (organizational proximity) is a good choice, because they already have an understanding of the key position. However, make sure that there is at least one successor in the order of succession, who is not located in the same office or facility in case the vacancy is due to a catastrophic event in a particular geographic location.

While the focus should be upon the skills, experience, knowledge, and training necessary for holding a specific key position, personality, such as a particular individual's ability to work under pressure, may also be considered. An order of succession also requires sufficient depth. In other words, there may very well need to be more than one or two named successors in most circumstances.

Essential functions and Key Positions

Use Worksheet E1 on page 107 to complete this task.

There are several methods that an organization should use to identify key positions.

One method for determining key positions is to question management and staff. Managers should have a strong grasp of their areas of responsibility. Ask them questions such as:

"What positions in your areas of responsibility are so important that if they suddenly became vacant, your part of the organization would face major problems in achieving your essential functions?"

Another approach would be to ask staff:

"In an emergency, would it be necessary for you to be present at the facility to perform your job?"

As with all delegations of authority questions, focus on position titles, as opposed to the names of persons in

these positions.

A second method is to identify key positions by historical evidence. When the organization is missing a person who is in a key position, it is obvious and possibly devastating to performing essential functions. Decisions cannot be made, needs cannot be satisfied, orders cannot be shipped, etc. If there is an absence in a key position, essential functions are not being fully met. By examining the organization in this manner, key positions are identified by the consequences of a vacancy or anticipated vacancy.

Third, an organization that has experienced a crisis in the past that resulted in an unexpected departure by key position incumbents can use evidence of this past event as an indication of where key positions are located. Contact those supervisors who were present during the vacancy to find out which departures posed the greatest problem and why.

Once key positions have been identified, an organization needs to maintain information about these positions. This documentation should be easily accessible via secured physical and remote network access mechanisms. It should also be captured in training materials. For example,

- Who occupies those key positions now?
- What are their qualifications/backgrounds?
- What are the work requirements for key positions? Where are the key positions located in the organization?

Determine Orders of Succession for each Key Position

After determining the authority that should be delegated, examining the consequences resulting from a current or past vacancy, questioning current and former employees and examining historical evidence, identify key positions for each essential function in *Worksheet E1*.

> ***Use Form E: Orders of Succession to complete this task.***

Once key positions and personnel have been identified by essential function, determine the order by which those functions and positions would be filled in the absence of the primary executive. Consider the qualifications necessary to perform in the key position and the qualifications of the successor positions, as well as organizational and geographical proximity. The same successors may be named for different key positions, but avoid designating the same successor as the first successor to several key positions. Adopting a wide geographic dispersion of successors, where appropriate, can be an effective control to ensure no disruption in the chain of command.

SELECTING A CONTINUITY FACILITY

> *This section will help you to complete Worksheets F1: Requirements for Continuity Worksite and F2: Organization Continuity Facilities.*

In the event that an emergency forces a work area, such as a mailroom, to be evacuated, key personnel should relocate to an alternate work site that allows the organization to carry out its essential functions and meet the needs of emergency personnel.

Because the need to relocate may occur without warning, organizations should make every effort to pre-position, maintain, or provide for minimum essential equipment for continued operations of essential functions at the alternate operating facilities for a minimum of 30 days.

There are several types of alternate work sites and all have different capacity levels.[1] The type of work sites chosen may depend on needs, budgetary concerns, or the level of the emergency. An organization should not limit itself to one alternate work site. Several can be chosen.

Hot Site	A hot site is an alternate facility that already has in place the computer, telecommunications, and environmental infrastructure necessary to recover the organization's essential functions.
Warm Site	A warm site is an alternate work site equipped with some hardware and communications interfaces, as well as electrical and environmental conditioning that are capable of providing backup after additional software or customization is performed and/or additional equipment is temporarily obtained.
Cold	A cold site is an alternate facility that has in place the environmental infrastructure necessary to recover essential functions or information systems, but does not have preinstalled computer hardware, telecommunications equipment, etc. Arrangements for computer and telecommunications support must be made at the time of the move to the cold site.

Table 8-3. Types of Alternate Work Sites

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[1] *The table above originated with the Maryland Emergency Management Agency (MEMA) Continuity of Operations Planning Manual.*

The following factors should be considered by each organization/department when selecting an alternate work site:

Location – If possible, select a site that provides a risk-free environment and is geographically dispersed from the primary work location. This will reduce the chance that the site will be affected by the same event that required COOP activation.

Construction – The alternate facility should be constructed so that it is relatively safe from the high-risk hazards in the area. It also must meet Federal ADA compliance standards, to ensure accessibility and use by all staff.

Space – The alternate facility must have enough space to house the personnel, equipment and systems required to support all of the organization's essential functions.

Lodging and Site Transportation – Lodging and site transportation should be available at or near the alternate facility. Sites that are accessible by public transportation and that provide lodging facilities or are near hotels offer important advantages.

Communications – The site will need to support the organization or department's COOP information technology and communication requirements. The organization/department will need to acquire any capabilities not already in place. In many cases redundant communications facilities should be considered to reduce the impact of communication line failures. If this type of configuration is needed, it is advisable to request route diversity to the facility from the communication carrier. This will reduce the impact of problems caused by remote network elements such as telephone company central office switching gear. Pre-provisioning and testing of interoperable communications capabilities is advisable.

Security – Security measures, such as controlled access, should be an inherent part of the alternate facility.

Life Support Measures – Access to life support measures, food, water, sanitation and assurance of accessibility by all personnel should be available onsite or nearby.

Site Preparation Requirements – The amount of time, effort and cost required to make the facility suitable for the organization or department's needs is critical.

Maintenance – Consider the degree of maintenance required to keep the facility ready for COOP operations. Lower-maintenance facilities offer a distinct advantage in case of no- warning COOP activation. Another option for a continuity work site is a pre-existing facility already in use by the organization. An earthquake may destroy one of the spaces, but leave another building or work area untouched. Those organizations with multiple facilities may find it easier to move into buildings or work areas not damaged.

In determining continuity facility locations, consider the geographic impact of the disruption. A continuity facility should be located in an area that has a different water source and power grid as the original building. Road access must also be determined when choosing an alternate location.

Some general guidelines include:

- Localized Event: Relocate 0-60 miles from the current location
- Widespread Event: Relocate 60-150 miles from current location

Often, due to fiscal constraint, operating and maintaining a separate alternate work site is not within the means of an organization. If this is the case, consider entering use of a Memorandum of Understanding/Memorandum of Agreement (MOU/MOA) as well as using virtual office technologies. With such an agreement, an organization can contract for use of another organization's facility in an emergency. Several organizations may also opt to contract together with an outside vendor for use of an emergency facility.

Identify Requirements for Continuity Work Sites

Use Worksheet F1 on page 108 to complete the following task.

Begin by identifying the work site needs by essential function. In the event that the organization has to move to an alternate facility, there are additional needs of staff operating at the facility that must be met. This includes provision for logistical support and lodging through arrangement with vendors for transportation, hotels, catering, etc. Be sure to address the needs of employees with disabilities as required by the federal Americans with Disabilities Act.

In addition to the physical needs of personnel, the COOP plan should also address their emotional needs. Regardless of their origin, disasters affect the motivation and morale of employees, which affects their productivity. Furthermore, employees will experience greater stress levels, even if the COOP plan is implemented flawlessly. A COOP plan may include provisions for counseling and plan for readjustments of work assignments for those who are incapacitated by the emotional impact of a disaster such as a terrorist attack (*e.g.*, death of a family member). These concerns should be tailored to the type and duration of the disruption.

Provide an overview of the staffing and space needs for each of the essential business functions identified and identify where staff will be relocated in the event of an emergency. The purpose of this information is to determine what gaps exist in an organization/department basis for alternate site planning.

For each essential business function, provide the following information in the columns specified on *Form F.1: Requirements for Alternate Worksite*:

Column B: Essential Functions

- Use the information gathered on Form B - Prioritized Listing of Essential Functions.

Column C: Resources Needed

- Identify all resource needs of this function. This may include, but is not limited to, computer, communication, or power requirements. Please be as specific as possible regarding quantities needed of each resource.

Column D: Space Needed

- Identify the amount of space (in square feet) needed to carry out the identified function. Consider space required for desks, equipment, number of staff, ADA requirements for accessibility and legal capacity limits.

Column E: # of Staff Needed

- Provide the total number of staff that is needed to perform the function.

Column F: Telework Possible (Y/N)

- Indicate whether this function can be carried out through the use of remote telework, most commonly through working from home. Please refer to the County/City management policy addressing "Working from Home" or telework, (include how to access the policy)

Column G: Interdependent Function (Y/N)

- Indicate whether the function is reliant upon another department, system, organization and/or vendor to be carried out.

Column H: Dependent Upon?

- If you marked "Y" in the previous column, indicate the department, system, organization and/or vendor the function is reliant upon.
- If you marked "N" in the previous column, type "N/A" in this column.

Identify Alternate Worksites

Use Worksheet F2: Organization Continuity Facilities to complete the task.

Column A: Alternate Location

- Please provide the name and address of the alternate location where this function will be performed, if it has already been identified. Column B: Type of Arrangement. For each alternate location identified, indicate the type of arrangement the County/City has with the owner of the alternate location. Examples may include a lease, contract, Memorandum of Agreement or Understanding (MOA/MOU), among others.

Column C: Unmet Space Needs

- Provide (in square feet) the amount of space the County/City needs to carry out the identified function that has not been secured in the event of an emergency.

Current facilities owned or used by the organization should be considered first as options for alternate work sites. These are good candidates for hot, warm, or at least cold sites. If the County/City does not have suitable additional facilities that are deemed appropriate as potential sites, the COOP Planning Team should consider recommending entering into a contract or MOA with another organization to use their facility or share an alternate work site. Contracts and MOAs can be made for hot, warm or cold sites.

When identifying possible alternate facilities, bear in mind that an alternate facility, at a minimum, should be capable of accommodating the following features:

1. Immediate capability to perform essential functions under various threat conditions

2. Sufficient space and equipment to sustain the relocating organization

3. Ability to communicate with all identified essential internal and external organizations, customers, and the public

4. Reliable logistical support; services; and infrastructure systems, including water, sanitation, electrical power, heating and air conditioning, etc.

5. Ability to sustain essential functions for 30 days

6. Appropriate physical security and access controls

7. Consideration for the health, safety, and emotional well being of relocated employees and customers, including compliance with Federal ADA standards, to ensure accessibility and use by all staff. (i.e., number of washrooms, parking, accessibility for the disabled, etc.)

Assess whether the potential alternate work site may be susceptible to some risk, such as flooding. If the potential alternate site is located in a flood zone or faces some elevated risk of physical damage, it may not be an ideal alternate work site.

Remember, the security and access to both the primary and the alternate facilities during emergency and non-emergency situations need to be arranged. The security procedures should be able to accommodate all hazards and include provisions for identifying access restrictions.

Be sure to include a map with clear driving directions, as well as special requirements regarding physical access to the alternate facility. You may have to coordinate transportation arrangements to the alternate facility.

VITAL RECORDS

The following will help you to complete Form G: Vital Records.

Vital Records are those records that regardless of media, if damaged or destroyed would disrupt organization operations and information flow, cause considerable inconvenience and require replacement or recreation at a substantial expense. In COOP planning, vital records are those records to which personnel must have access to in order to carry out essential functions. They are typically in one of three forms: paper, electronic, or microfilm.

A COOP plan should address not only a system for protection and recovery of vital records in an emergency, but also a vital records program for normal operations. Every organization should have a vital records program. COOP planning for vital records includes assessment of any vital records programs in place and the improvement or development of a program to provide for the optimal protection, duplication and preservation of records. This maintenance program, as well as procedures for the recovery and restoration of records, forms the basis of a vital records program.

There are five major tasks in COOP planning for vital records:

1. Write an assessment sub-plan.

- If a vital records program is in place, the plan should lay out the steps for reviewing the current status of the program.

- If there is no program in place, the plan should outline how the program will be developed and administered.

2. Develop forms for gathering information.

- Create a questionnaire to assist offices in identifying vital records.

- Use the information collected in Worksheet B6, column 3 – "Records", or create a form to list all essential functions and all records supporting those functions.

3. Identify vital records.

- Vital records may include part or all of a series or group of records.

4. Review protection needs for each vital record and compare with current program.

5. Develop a restoration and recovery sub-plan.

Identify Vital Records

Use Form G: Vital Records to complete the following task.

To begin identifying vital records look at the essential functions and their supporting critical processes and services. In Worksheet B6, the records needed to perform essential functions were already identified. With that worksheet, determine those records that are necessary for emergency operations and/or the recovery or the continuation of the essential functions for at least fourteen days and list them in *Form G: Vital Records*.

Many records are considered important, however not all are vital. Remember:

- Only a small percentage of the records are vital, that is, essential to emergency operations and to the organization's continuance, or that are difficult or impossible to replace.

- Although records designated as permanent are often vital, the length of time a record is retained does not necessarily mean that the record is vital, nor does a record once designated as such remain so forever.

- Vital records may be in any format or medium. Original records are not necessary. It is the information, not the medium that is most important.

- If the information is contained in a medium other than paper, consideration must be given to the technology required to access the information and the availability of that technology in the event of an emergency.

- Emergency Operating Records and Legal and Financial Records will almost always be considered vital

Identify, Select and Arrange for Protection Methods

Use Worksheet G1 on page 110 to complete the following task.

The next step after identification of vital records is determination and selection of protection methods. First look at the current methods of protection and preservation. The routine maintenance program for the records in question may be sufficient for the protection of information in the event of a disruption to critical processes and services. However, the effectiveness of the protection method should always be evaluated in light of COOP concerns.

The COOP Planning Team should look at the current backup and retention schedules for each vital record and ask if the files should be backed up more often or retained for greater periods. Another measure to consider is the replication of an organization's server in an alternate facility or scanning paper records. The team should also consider storing duplicate files off-site or upgrading the current storage facilities to provide greater protection from fire, water, thermal damage, theft or sabotage. Another form of protection is limiting access to records through various security systems and procedures.

Providing an off-site storage facility where duplicated vital records and documentation may be stored for use during disaster recovery is an important tool. Records that need to be duplicated and stored off-site should be identified along with the type of duplication. Further, those records that need to be stored in fire resistant equipment *on-site* along with those records requiring special consideration need to be identified. Facilities

immediately able to accommodate electronic records, including programs for running the systems and system documentation must also be identified, as well as sites that could be readied to accommodate these functions if an emergency arose.

Regular back up and transfer of files to an alternate location is a very effective form of protection for vital records. It eliminates the need for extensive recovery; however, it becomes more expensive the more often it is performed.

Identify Restoration and Recovery Resources

Use Worksheet G2: Restoration and Recovery Resources to complete the following task.

There may be situations where the protection methods employed to protect vital records fail. In such a circumstance, an organization needs to use its vital records recovery sub-plan. Because vital records are often part of vital systems and equipment, a single disaster recovery plan often addresses both records and systems/equipment. The information technology (IT) department should have a disaster recovery plan in place for IT systems and equipment. Accordingly, COOP Response Teams should consult with their respective IT staff for assistance in COOP planning for recovery of vital electronic records. COOP Response Teams should also identify restoration and recovery resources for non- electronic records. Contact potential contractors and assess their capabilities before an emergency so that the organization will not waste time during an emergency figuring out whom to call and vital records can be restored more quickly when the need arises.

VITAL EQUIPMENT AND SYSTEMS

Use Form H: Vital Equipment and Systems to complete the following task.

As with vital records, identify those systems and equipment that are essential to the functioning of the organization and the continuance of the organization's mission. Bear in mind that not every system or piece of equipment is vital, even if it is important. The timing of the use of a system or piece of equipment may help determine whether it is vital or not.

After identification of critical systems and equipment, prioritize how systems and equipment should be recovered in the event of a disruption. When prioritizing, consider the critical processes and services that these systems support. Also, review the IT disaster recovery plan that generally includes such information.

It is also important to consider if a system or piece of equipment is dependent upon another particular system or piece of equipment to be operable. For example, computer systems are dependent upon electrical supply. Therefore, resumption of power would have to occur before the computer system could be up and running. As with critical processes and services, there might also be a calendar component, such as a disruption to the electronic tax return filing system would be a greater problem in April than in August.

Select and Arrange Protection Methods for Critical Systems and Equipment

Use Worksheet H1 on page 112 to complete the following task.

Review the list of vital systems and equipment and assess the best method of protection. The assessment will depend on the nature of the system or equipment, but a protection plan for systems and equipment should include maintenance programs that regularly test these systems and equipment and the associated protective

measures for optimal performance. For instance, backup power generators should be checked regularly.

CONTINUITY COMMUNICATIONS

The following will help you to complete Form I. There are no worksheets for this form.

Because of the need to coordinate efforts with the federal, state, and local governments, (*i.e.* fire and police) organizations with first responder have special communications considerations. Continuity communications systems (*i.e.*, systems that can be used to communicate between departments of a single jurisdiction or different jurisdictions) are critical in allowing emergency personnel to communicate with each other. If your organization plays a "first responder" role as one of its essential functions, you should give serious consideration to interoperability issues.

Another consideration is communication between systems at the alternate work site(s) and the primary facility. There may be situations where the data systems at the primary facility are still functional, but the primary work site is inaccessible to humans, *e.g.*, contamination of building with a biological or chemical agent. The plan should try to ensure that systems at alternate facilities can communicate with systems at the primary facility.

When preventative controls fail, an organization should have an alternate provider and/or mode of communication in place to fill the gap. This can be handled by having a separate emergency communication system set up or by using communication systems already in place. For example, cellular phones could be an alternative mode of communication for voice lines. Consider establishing a contract with a reliable cell phone service provider for a predefined number of phone/charger resources with a dedicated bank of phone numbers assigned to your County/City for deploying during an emergency COOP activation. The phone numbers can be assigned to critical personnel and printed throughout COOP Contact and Notification documents.

The number of alternate modes of communication will be organization specific. In evaluating essential functions, agencies should conduct impact analyses about their dependencies on various types of communications. For agencies with first responder or emergency support function responsibilities, requirements may be more stringent or robust.

Check with your organization's service providers for information on any emergency communications services and with the County/City Emergency Management office for information on the (Government Emergency Telecommunications Service) GETS program. Consider also providing radios, satellite phones or other special communication devices to COOP Response Team members for use in an emergency.

III. Design and Build the Plan

The Design and Build the Plan phase consists of:

1. Defining COOP Document Scope*
2. Entering gathered data into COOP Template*
3. Assembling the Concept of Operations*
4. Outlining an executive decision process
5. Creating checklists for use during COOP activation

These tasks are addressed throughout the Handbook, and as such are not separately covered in this section.

Figure 8-7. Design and build phase

OUTLINING AN EXECUTIVE DECISION PROCESS

*The following section will further explain the responsibilities for those identified in Form C: Personnel Contact List (**Rapid Recall List**)*

Many threats can disrupt the operations of an organization. These threats will vary in magnitude and extent. The damage from an event could be reparable in a short time, e.g., matter of days or weeks, or it could be so extensive, it will take months to years to return to normal operations at the facility.

A COOP plan can be activated in part or in whole depending upon the disruption or threat. An event may demand that employees evacuate a single facility for a day or two, in which case execution of only the communications component of the COOP plan and the IT recovery of data and systems may be necessary. On the other hand, an organization's headquarters could be destroyed at the height of the business day, which necessitates full execution of a COOP plan, including the deliberate and pre-planned movement of key personnel to an alternate work site that is capable of sustaining essential functions for as many as 30 days.

An effective COOP plan will outline an executive decision process for the quick and accurate assessment of the situation and determination of the best course of action for response and recovery. It is helpful to develop a decision matrix or flow chart that ties the organization's reaction to the class or level of emergency. This will serve as the Decision Making & Implementation Checklist for each phase of the COOP plan.

Agencies should develop an executive decision making process that:

- Allows for a review of the situation

- Provides the best course of action for response and recovery

Following an established decision making process will help to preclude premature or inappropriate activation of a COOP plan. COOP implementation can be divided into three phases:

1. Activation, Relocation and/or Devolution Process
2. Continuity Facility Operations
3. Reconstitution Process

ACTIVATION, RELOCATION AND/OR DEVOLUTION PROCESS

COOP activation encompasses the initial 12-hour period following activation of the COOP plan and is referred to as Phase I Operations. During this phase the initial assessment of the business disruption will determine which essential functions are disrupted from their normal operations, and if a relocation of personnel, records, equipment/systems to the continuity facility is required, or if the impact is so catastrophic, that a partial or total devolution of services is necessary to an outside partner. Activities during Phase I include:

- Activate plans, procedures and schedules to transfer essential functions from normal operations to COOP Response Team operations.

- Notify appropriate key officials, officers, agencies and organizations of COOP activation. Include the intent of COOP activation to be implemented, if transfer to alternate facility(s) will occur or if devolution of any type is anticipated, and when initiation of call-out to COOP Response Teams is anticipated.

Agencies must be prepared to activate their COOP plans for all emergencies, regardless of warning. Agencies must also plan to activate their COOP plans during both duty and non-duty hours. Activation requires notification of:

- Continuity facilities if involved or anticipated

- Devolution agencies if involved or anticipated

- State/County Emergency Operations Center (SOC/EOC)

- COOP Advance Team

- COOP Response Team

- COOP Support Teams

- COOP Support Personnel

- Other points of contact as appropriate and as identified in the COOP

Relocation

Relocation involves the actual movement of essential functions, personnel, records and equipment to the alternate operating facility. Relocation may also involve:

- Transferring communications capability to the alternate facility

- Ordering supplies and equipment that are not already in place at the alternate facility

- Other planned activities, such as providing network access

Devolution

In some cases, it may be necessary to activate the COOP plan through devolution. Devolution is the capability to transfer statutory authority and responsibility for some or all of the essential functions from an organization's primary staff and facilities to other employees and facilities, including another organization, e.g. County/City, and to sustain that operational capability for an extended period. Devolution planning supports overall COOP planning and addresses catastrophic or other disasters that render an organization's leadership and staff unavailable or incapable of performing its essential functions from either its primary or alternate facilities. Agencies are required to complete devolution planning as part of their COOP planning processes.

Because devolution planning involves several special issues, developing specific procedures for devolution during the COOP planning process will facilitate devolution should it become necessary. Particular issues associated with devolution planning include:

- Personnel at the devolution site must be trained to perform the essential functions to the same level of proficiency as organization primary personnel.
- Vital records, documents and databases must be available and up to date at the devolution site.
- Communications and information management systems must be transferred to the devolution site.
- Delegations of authority must include senior personnel at the devolution site.

For California, State law designates all government employees as Disaster Service Workers (DSWs). Research for your jurisdiction policies and procedures regarding assigning salaried and hourly employees to disaster roles and any agreements made with your local unions regarding employee classifications and assignments for disaster response.

COOP Response Team Deployment

COOP implementation will generate stress for the essential personnel as they prepare to depart quickly to the reporting locations. Written procedures to guide the deployment process can reduce stress and ensure that no important concerns are overlooked during the transition. These procedures should specify:

- Whether the COOP Response Team activation involves an Advance Team deployment to establish

physical and network infrastructure in advance of full COOP Response Team deployment.

• What the COOP Response Team members should do, and the materials they should take to the reporting facility, including their COOP Go-Kit.

• Administrative requirements associated with travel and check-in at the reporting facility.

• Based on the threat level, safety and security procedures to follow, including procedures allowing for telework or partial cutback of critical functionality of a function essential to operations.

Continuity Facility Operations

This phase covers the period from 12 hours after activation up to 30 days. During phase II, agencies will conduct essential functions from the continuity facility.

Written procedures to guide essential personnel through the transition to the alternate facility will result in quicker COOP implementation. These procedures should address:

• Establishing minimum standards for communications and command and control will be established until the alternate facility is operational
• Activating plans, procedures and schedules to transfer activities, personnel, records and equipment
• Securing the primary facility and immovable equipment and records

Operations at alternate facilities vary widely depending on the organization and its essential functions. Despite this variability, there are some common issues that should be planned for to facilitate alternate facility operations. These include:

• Execution of essential functions
• Establishment of communications to all critical customers
• Assignment of responsibilities to key staff
• Augmentation of staff if it is determined that initial staffing is inadequate
• Accountability for staff, including supportive personnel
• Development of plans and schedules for reconstitution

Reconstitution

Reconstitution is the process by which organization personnel resume normal operations, and in some cases can result in a "new norm" for the County/City. Reconstitution can be phased, depending on the extent of the COOP activation. If there was no relocation to continuity facilities involved, the reconstitution process will not involve as much planning and coordination. However, if there was relocation, which is likely with COOP activation, or partial or full devolution in a catastrophic event, the reconstitution process will be extensive. The reconstitution process is essential to the overall recovery process and economic viability for the County/City, and should be given high priority. Early involvement of the Disaster Recovery Team is

essential in the reconstitution process and the implementation of the reconstitution plan.

Reconstitution is conducted after the emergency or disruption ceases and is unlikely to resume. Organizations must identify and outline a plan to return to normal operations once organization heads or their successors determine reconstitution operations can begin.

Reconstitution Process

Extensive coordination is necessary to refurbish the original facility or to procure a new facility once an organization suffers the loss of its originating facility due to an event directly affecting the facility or collateral damage from a disaster rendering the structure unsafe for reoccupation. Within 24 hours of an emergency relocation, the organization should initiate and coordinate operations to salvage, restore, and recover the building after receiving approval from the appropriate local and Federal law enforcement and emergency services.

The COOP plan should coordinate and pre-plan options for reconstitution of an organization regardless of the level of disruption. These options shall include movement from the COOP or devolution location to the originating facility or a new site when the originating facility is rendered unstable or uninhabitable. The orderly transition of all functions, personnel, equipment, and records from the relocation site to a new or restored facility must be planned.

Outline a procedure necessary to effect a smooth transition from a relocation site to a new or restored facility. If you are returning to the original facility, you will need to ensure the safety of the building.

Outline a process necessary to effect a smooth transition from devolution to an outside organization back to full normal County/City operations. This may take several steps, including nullifying delegations of authority, notifications of vendors, HR agreements and schedules etc. Preplanning for this process is essential, along with putting agreements with cooperating agencies/organizations into place.

Implementation of Reconstitution Plan

Once you have a plan for reconstitution, you will need to inform all personnel involved with the plan and the schedule for implementing it, including their roles, responsibilities and actions. Based on the nature and extent of the devolution involved with the implementation of the COOP, the implementation of the plan can mean a range of activities from a simple transition back to normal duties, or extreme, with actual transfer of personnel and or work duties, materials/supplies and the equipment to the original facility, a new permanent facility, or a temporary facility. In any case, the Reconstitution Plan should ensure the transfer is orderly. It is appropriate to appoint a Reconstitution Manager to oversee this process.

Once you begin the transfer back to normal operations, you will need to notify your organization's operations center. You will also need to notify customers and other contacts and ensure they know how to reach you.

No test, training, or exercise event will offer you insight into the strengths and weaknesses of your COOP program that actual operations will provide. You should capitalize on the lessons learned about the COOP

capability and activate your COOP as regularly as possible for any type of disruption. Conducting an after-action review is an effective means of identifying those areas that require corrective action and those that do not.

Reconstitution Manager

The reconstitution manager is the individual who will coordinate and oversee the reconstitution process and who will develop the reconstitution plan. This individual will not work in isolation. Coordination with a host of other individuals, groups and teams, including senior leadership, the Policy Group, Coop Response Teams, Advance Teams and their support personnel, the COOP Planning Team POC, and the Disaster Recovery Team will be required for a smooth transition. The Reconstitution Manager should create a Reconstitution Team consisting of individuals from these teams, and others whose expertise will be required for the reconstitution effort. This team will assist in carrying out many of the responsibilities identified below:

- Form a Reconstitution Team
- Develop a time-phased plan, listing functions and projects in order of priority for resuming normal operations
- Develop space allocation and facility need requirements
- Work to secure appropriate facility requirements for reconstitution
- Develop and secure policies, procedures and agreements for restructuring staff
- Ensure actual transition of personnel, equipment and systems back to normal operations is smooth, safe and secure, meeting all codes and regulations.
- Addresses internal and external communications to all stakeholders

COOP is designed to handle emergencies for a 30-day time period. When an incident occurs, it is likely that an organization will immediately know whether an emergency will extend beyond a 30- day period or whether reconstitution of normal operations will be able to occur within the COOP time frame. It is important for organizations to look into considerations that may need to be taken into account in the event that an emergency does extend beyond 30 days. Although the plan your organization is currently developing does not go into detail about extending an emergency situation beyond 30 days, your organization should know which aspects would be most affected and have a strong idea of how to handle an extended emergency. Coordination with and transition to the Disaster Recovery process overall within the County/City is critical.

Other Teams/Groups

The County/City should consider establishing additional teams/groups, as necessary, depending on the intensity of the reconstitution plan. It should be a consideration to augment the crisis management function and the disaster recovery function within the reconstitution phase.

Crisis Management

The COOP Policy Group acts to oversee the crisis management function throughout the entire COOP process. During the reconstitution phase, if the process is considered to be a difficult task on human capital and/or the community as a whole, this function may be reassigned to specific members of the Policy Group along with specialists in crisis management skills, and given the title of the Crisis Management Team (CMT). If the County/City chooses to establish a formal Crisis Management Team, that should be communicated throughout the organization, including the roles and responsibilities of the CMT, versus the role of the Policy Group. The primary functions of crisis management during reconstitution, in general include:

- Direction and control
- Implementing the COOP Plan
- Contacting additional Team members/support personnel
- Taking control of the recovery process
- Managing the various recovery teams as they rebuild
- Disbursing funds as needed
- Working with suppliers and shippers
- Making general management related business decisions
- Keeping the operations going and servicing constituencies

Disaster Recovery Team (DRT)

Disaster Recovery Teams (DRT) consist of a structured group ready to take control of the recovery operations under the direction of the Policy Group, or CMT as identified by the County/City COOP Plan. The DRT should be comprised of a diverse group of individuals from within County/City with *whole community* representation. Consideration should also be given to include liaisons from state and federal agencies that have access to recovery resources. DRT make up and responsibilities may also be identified and addressed in the County/City EOP. DRTs may consist of many groups, based on their specific function, i.e. damage assessment, infrastructure restoration, procurement and mass distribution, etc. The roles and responsibilities of the DRT will vary across agencies and the types of events that cause the COOP activations. Therefore, it is recommended to have DRTs pre-identified with team leaders and back-up team leaders for critical functions by type of emergency/disaster. Some DRT responsibilities include:

- Performing both preliminary and detailed damage assessment functions, coordinating data with County/City EOC
- Providing written recommendation to Policy Group/CMT on status of organization facilities,
- Coordination of restoration of critical infrastructure, or relocation to new or temporary locations
- Coordination of restoration of supply chain for critical logistical needs
- Coordination of construction/repair of organization facilities, working directly with building department ensuring permits, etc. are in place
- Coordination of contractors and subcontractors for all aspects of restoration, to ensure proper contracts and licenses are in place, and work is completed within established time frames
- Coordination of all maintenance providers

- Providing regular status reports to Policy Group on progress of recovery efforts

Family Support Planning

During COOP activation, employees will need to focus on maintaining critical functions. This focus will be disrupted if employees are also concerned about their family's safety and security. Employees and their families will appreciate knowing that the organization has placed priority for employee/family wellbeing, by providing family preparedness planning and training, as part of the COOP plan activities. Organization leaders should, on a regular basis encourage all personnel to plan for their family's well being before a disaster strikes, not just when testing, training or exercising the COOP plan.

It is important to ensure that human resource policies support the overall COOP program. Operating procedures addressing human resources issues are necessary to maintain the productivity and availability of personnel resources. These issues include the following:

- Leave policies
- Labor relations/union contracts
- Flexible work arrangements
- Employee communication (internal/external)
- Cross-training
- Contingency staffing plans (internal/external)
- Transportation
- Employee communication programs/accountability
- Counseling
- Family shelter/day care

Family Preparedness Checklist for County/City Employees

- Develop a childcare plan (day care alternatives, alternate after-school site, neighbor assistance, family member assistance).
- Develop an adult/elder care plan (adult day care alternatives, alternate care site, neighbor assistance, family member assistance).
- Develop a pet care plan (neighbor assistance, family member assistance, or kennel).
- Develop an alternate transportation plan for employee and other family members.
- Develop a family communications plan.
- Develop a family reunification plan.

ORGANIZATIONAL GO-KITS

Use Form J to complete the following task. There are no worksheets for this form.

The transition to the continuity facility will occur more quickly if all needed equipment and administrative supplies are located at the facility before the emergency occurs. This may or may not be the case, so continuity personnel will create and maintain Go-Kits, including items that are essential to supporting their operations at the alternate facility. The Go-Kit should be prepared in advance, kept up to date. Continuity personnel are responsible for carrying the kit to the alternate facility or for pre-positioning the kit at the facility. A typical Go-Kit should contain items listed in the table below:

SAMPLE: Go-Kit

The following table lists suggested items for continuity Go-Kit contents.

Identification and charge cards	Business and personal contact numbers
- Organization identification card	*- Emergency phone numbers and addresses*
- Drivers license	*(relatives, medical doctor, pharmacist)*
- Organization travel card	Toiletries
	Bottled water and non-perishable food (i.e. granola, dried fruit, etc.)
- Health insurance card	
- Personal charge card	Medical needs
Communication equipment	- Insurance information
- Pager/Blackberry	- List of allergies/blood type
- Organization cell phone	- Hearing aids and extra batteries
- Personal cell phone	- Glasses an contact lenses
Hand-Carried Essential Records	- Extra pair of eyeglasses/contact lenses
Continuity Plan	- Prescription drugs (30-day supply)
Directions to continuity facility	- Over-the-counter medications, dietary supplements
Maps of surrounding area	GETS Card
Business and leisure clothing	Chargers/extra batteries for phone, GPS and laptop
Flashlight	Family Emergency Communication Plan
Equipment to ensure accessibility	Emergency Transportation Pass
	[Insert additional recommended items]

Figure 8-8. Go-Kit contents

IV. Training, Testing and Exercises

The Training, Testing and Exercises phase consists of:

1. Assessing and validating COOP plans, policies and procedures
2. Ensuring that organization personnel are familiar with COOP procedures
3. Ensuring that COOP personnel are sufficiently trained to carry out essential functions during COOP activation

Figure 8-9. Training, Testing and Exercise Phase

The following will help you to complete Form K: Training, Testing, Exercise and Maintenance. There are no worksheets for this form.

For the County/City COOP Plan to be effective, each department must know how to execute its portion of the COOP plan and how it relates to the other department components of the plan. The Tests, Training and Exercises (TT&E) phase of the planning process is extremely important in regards to employee awareness and readiness. It ensures that the organization's COOP program and all personnel are capable of supporting the continued execution of its essential functions throughout the duration of an emergency situation. To achieve this, TT&E programs must be a blend of testing, training and exercise events.

The objectives of the COOP TT&E program include:

- Access and validate COOP Plans, policies and procedures
- Ensure that organization personnel are familiar with COOP Plan and procedures. This also extends to public officials and other external members included as part of COOP teams and groups
- Ensure that COOP personnel are sufficiently trained and outfitted to carry out critical functions in all COOP scenarios
- Test and validate critical communications equipment to ensure both internal and external interoperability
- Test and validate critical infrastructure and backup systems at critical facilities including alternate facilities

Testing

A test is an evaluation of a capability against an established and measurable standard. Tests are conducted to evaluate capabilities, not personnel. By testing, organization personnel can tell if the policies and procedures work as they should, when they should. There should be thorough documentation of all tests maintained by the organization, these should be made available to all active members of the COOP Planning Team and others, and gaps identified through tests should be actively tracked and managed. Standard testing templates that are appropriate for the organization's operations should be developed, and a test schedule developed, implemented and monitored to ensure the proper strengthening of core plan components. Testing is critical for:

- Alert, notification and activation procedures
- Communications systems
- Vital records and databases

- Information technology systems
- Major infrastructure systems and backup systems at the alternate facility
- Reconstitution procedures

The organization test schedule **must** include:

- Quarterly testing of alert, notification and activation procedures
- Semiannual testing of plans for the recovery of vital classified and unclassified records and critical information systems, services and data
- Quarterly testing of communications capabilities
- Annual testing of primary and backup infrastructure systems and services at alternate operating facilities

Training

Training is instruction in core competencies and skills and is the principal means by which individuals achieve a level of proficiency. It provides the tools needed to accomplish a goal, meet program requirements or acquire a specified capability. Training encompasses a range of activities, each intended to provide information and refine skills. It is recommended that training histories and ongoing training plans be documented. This helps maintain skill currency and the ability to close any noted skill gaps. Training results should be published and identified gaps should be actively tracked and managed. A documented schedule should be published and kept current. Standard training templates should be developed.

Before the COOP plan is exercised, personnel must be trained so that they know what their responsibilities are and have the skills and knowledge necessary to carry out their responsibilities. There are two main methods of training: orientation briefings and hands-on training.

Orientations

Orientations are usually the first type of training conducted. They are typically presented as briefings. Orientations are a good way to:

- Introduce the general concepts of the COOP plan
- Announce staff assignments, roles and responsibilities
- Present general procedures
- Describe how the COOP plan will be tested and exercised within specific timeframes

Hands-On Training

Hands-on training provides an opportunity to practice skills using actual equipment, tools, procedures, processes, etc. and is taught with demonstrations, followed by opportunities for employees to practice under supervision, then without supervision, as proficiency is reached. Hands-on training should be incorporated after personnel have received basic familiarization with basic policies and procedures through an orientation briefing. Hands-on trainings can:

- Provide practice in newly acquired skills
- Provide of newly acquired skills
- Maintain proficiency of infrequently used skills
- Provide familiarity of alternate sites and workspaces

Exercises

Exercises are events that allow participants to apply their skills and knowledge to improve operational readiness. Exercises allow planners to evaluate the effectiveness of previously conducted tests and training activities. The primary purpose of an exercise is to identify areas that require additional training, planning or other resources. It is recommended that exercise histories and ongoing exercise plans be documented. This helps maintain skill currency and the ability to close any noted skill gaps. Exercise results should be published and identified gaps should be actively tracked and managed. A documented schedule should be published and kept current. Standard exercise templates should be developed.

The goal of exercising an organization COOP plan is to prepare for a real incident involving COOP activation, and to provide team building opportunities for COOP plan members at all levels of involvement. The broad goals are to identify COOP plan strengths as well as identify areas for involvement in:

- Planning process
- Resource gaps
- Internal and external organizational Coordination
- Internal and external Communications
- Readiness of continuity personnel
- Performance of critical functions
- Readiness for a real incident

After personnel have received training, the plan can be tested through a series of three types of exercises; Tabletop, Functional and Full-scale. These exercise types build off each other and start with a low stress environment opportunity, building to a realistic, high stress exercise event.

Tabletop Exercises

A table top exercise is a simulation activity in which a scenario is presented and participants in the exercise respond as if the scenario was really happening. A tabletop is discussion-based, and is considered a low-stress method for stimulating a progressive review of your plan capability. New information is presented as the situation unfolds, making the participants reconsider their previous decisions and plan their next actions based on the new information. The scenario can be presented orally by the exercise controller, in written text or by audio or video methods. Typically, a tabletop exercise takes about 2 hours, including the post exercise debriefing.

Tabletop exercises are particularly useful to:

- Enable decision makers to walk through an incident and make decisions similar to those in an actual incident
- Provide a forum for discussion of plans, policies and procedures in a low-stress, low-risk environment
- Resolve questions of coordination, lines of communication and roles and responsibilities
- It is recommended to conduct a tabletop exercise prior to conducting a functional or full-scale exercise

Functional Exercises

Functional exercises are designed to simulate the activation of a function during a real incident, e.g. communications. Functional exercises test a part of the COOP activation, are generally more closely aligned with real-time events, and take place in a higher-stress environment that tests the operational capability and adaptability of your team, but without real-life consequences.

Full-Scale Exercises

Full-scale exercises test the organization's total response capability for COOP situations in real-time settings and in a highly stressful environment. These exercises are as close to reality as possible, with personnel being deployed and systems and equipment being implemented.

Training Requirements

Training familiarizes organization personnel with the essential functions that they may have to perform in a COOP situation. A minimal, baseline training program should include:

- COOP awareness briefings for senior executive staff to ensure organization-wide knowledge and buy-in
- COOP awareness briefings for the entire workforce, who may be asked to serve in support roles as DSWs
- Team/Group trainings for COOP Plan personnel, including all internal and external members included in COOP Plan teams/groups

- Team trainings for all personnel assigned to activate, support, sustain and COOP recovery operations

When determining training needs, consider the policies and procedures that require implementation and the tasks to be performed as part of continuing essential functions.

Training and Exercises as a Part of Your Plan Review and Update Strategy

An organization should review and update its plans regularly. The work of the POC and COOP Planning Team does not end with the development and implementation of a COOP program. Development and implementation are just the beginning. An effective COOP plan will not remain viable without regular review and revision.   To maintain COOP readiness, the following tasks should be undertaken:

- Provide COOP orientation briefings to all new organization personnel according to their COOP Plan role and responsibilities
- Provide periodic hands-on training opportunities to continuity personnel
- Adopt and adhere to a multiyear COOP Exercise Schedule that includes table-top, functional and full-scale exercises bringing together all internal and external members
- Adopt and adhere to a multiyear update schedule that incorporates information learned and documented from exercises into plan updates, including both strengths and areas for improvements.

Training Personnel

After the COOP plan is developed, all personnel who will be involved in COOP activities should be trained and equipped to perform their emergency duties. Consideration should be given to cross- training team members. Cross training will ensure that the team is prepared to deal with the unusual demands that may arise when essential functions must be continued with a reduced staff.

Effective COOP training plans will provide for:

- Individual and team training to ensure currency of knowledge and integration of skills necessary to carry out essential functions
- Refresher training for personnel as they arrive at the alternate facility
- Training courses and materials designed to improve knowledge and skills related to carrying out COOP responsibilities

Sample COOP Training Plan

Program	Method	Audience	Frequency
Orientation	Briefing Job Aids	New Hires	Monthly
Orientation	Briefing Job Aids	Senior Management	Annually
Refresher	Intranet	All employees	Annually
Orientation	Workshop	Essential Personnel	Monthly
Orientation	Workshop	Successors Selected Essential Personnel	1st Quarter FY 20XX
Orientation	Classroom	Executive Leadership Senior Management Supervisors	2nd Quarter FY 20XX
Orientation	Intranet Meetings	All employees	2nd Quarter FY 20XX
Orientation	Workshop	Special Teams	1st Quarter FY 20XX

Table 8-4. Sample COOP Training Plan

Conducting Periodic COOP Exercises

COOP plan maintenance should include a plan of progressive exercises. Exercises should test and improve COOP:

- Plans and procedures
- Systems
- Equipment

An effective exercise plan should include a variety of hazards and exercise types. Full-scale exercises should simulate actual emergency conditions. Exercises should include the phase-down of alternate facility operations and the return to normal operations.

A comprehensive after-action report should be completed following each exercise. Lessons learned should be incorporated into revisions to the COOP plan, training plan and exercise plan.

Exercises should include the full spectrum of COOP operations:

- Alert, notification and activation
- Relocation to the alternate facility
- Operations
- Logistical support, services and infrastructure at the alternate facility
- Devolution and Reconstitution

Exercise Design Resources

Web-based and classroom courses in exercise design, COOP awareness and the National Incident Management System (NIMS)/Incident Command System (ICS) are available through FEMA and Cal-OES. Contact the County/City's Emergency Management Agency information on how to access these resources, or other local training resources that may be available.

Sample COOP Exercise Plan[1]

Type	Participants	Frequency	Location
Drill	Successors	Quarterly	Alternate Facility
Tabletop	Senior Management	Annually	TBD
Full- scale	Key Personnel	Annually	Alternate Facility
Tabletop	Key Personnel Successors	Annually	Training Room Alternate Facility
Tabletop	Executive Leadership Senior Management Supervisors	Annually	Training Room

Table 8-5. Sample COOP Exercise Plan

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[1] *The table above is an example from the Federal Emergency Management Agency (FEMA).*

V. Maintaining the Plan

The Maintaining the Plan phase consists of:

Instituting a multiyear process to ensure the plan continues to be updated as necessary

Figure 8-10. Maintaining the Plan Phase

COOP Plan Maintenance - Developing a Multiyear Strategy and Program Management Plan

The following will help you to understand the elements of Form L: COOP Plan Maintenance

To ensure that COOP plans always reflect current conditions, they should be reviewed as part of the training and exercise program. Changes to the organization's structure, essential functions or mission should be made to the plan as they occur. Long-term plan maintenance should be undertaken carefully, planned for in advance and completed according to an established schedule.

The Multiyear Strategy and Program Management Plan is critical to developing and managing a viable organization COOP capability. It will assist COOP planners in defining short and long-term COOP goals and objectives. The plan should develop requirements, identify tasks and milestones, and outline a plan of action to accomplish the tasks within an established schedule. Additionally, it will provide a common basis and informational format for developing and defending COOP budget submissions. A comprehensive strategy for plan maintenance includes:

- A reference to the general COOP planning requirements
- A description of the elements that ensure a viable COOP capability
- Identification of the resources required to establish each COOP Plan element
- Inclusion of Organization specific management policies supporting COOP
- The endorsement sheet signed by organization leaders

Major issues to be considered in COOP plan maintenance include:

- Designation of a Review Team
- Process to identify issues that will impact the frequency of changes to the COOP Plan
- Budget support required to accomplish the strategy

Designation of a Review Team

A team designated to oversee plan review and revision should undertake plan maintenance formally. Personnel should be selected for the review team for the same reasons as for the original planning team:

- Their knowledge of overall organization operations.
- Their expertise in specific essential functions.

- Their expertise in specific advisory areas.

Members of the review team can be the same personnel that were part of the original COOP Planning Team. The review team should meet after each exercise and on a regular basis throughout the year. Each meeting should be structured to review specific aspects of the plan and should include action items for review and revision as necessary.

Identifying Issues that Affect the COOP Plan

Most major issues affecting the COOP plan will surface during lessons learned exercises. Additional major issues may come from:

- Presidential Directive and/or State and local ordinances or directives, as appropriate
- Direction from organization leadership
- Policy or mission changes
- Changes in technology or office systems
- Changing customer needs

Develop a strategy to methodically review and identify issues that could affect COOP planning or operations. Involve organization management, as necessary, for resolution of the identified issues.

Establish a Review Cycle

COOP plans, policies and procedures should be reviewed at least annually. Additional reviews should be undertaken following each exercise and testing of major systems. Issues raised in trainings may also trigger a plan review.

Developing the COOP Maintenance Budget

Develop the COOP budget according to organization policies and procedures. When developing the budget be sure to consider costs related to:

- Planning team time (if required by organization)
- Plan and procedure development
- Hazard identification and risk assessment
- Alternate facility
- Interoperable communications
- TT&E
- Logistics and administration
- Security

- MOUs/MOAs
- Contracts
- Mitigation strategies

Sample Multiyear Strategy and Program Management Plan[1]

Activity	Tasks	Frequency
Plan update and certification	• Review entire plan for accuracy • Incorporate lessons learned and changes in policy and/or philosophy • Manage distribution of plan updates	Annually (November of each year) or as needed
Maintain and update Orders of Succession	• Obtain names of current incumbents and designated successors • Update delegations of authorities	Annually (November of each year) or as needed
Update checklists	• Update and revise checklists • Ensure annual update/validation	Annually (November of each year) or as needed
Appoint new COOP Planning Team members	• Review qualification requirements • Issue appointment letters • Schedule new member orientation	As needed
Maintain alternate worksite readiness	• Test all systems • Verify access codes and systems • Cycle supplies and equipment as needed	Quarterly
Review/update supporting MOUs/MOAs and contracts	• Review MOUs/MOAs and contracts for currency and new needs • Incorporate revisions, as required • Obtain signatures of reviewing authorities to confirm validity	Annually
Monitor and maintain equipment at alternate sites	• Train users and provide technical assistance as needed • Monitor volume/age of materials and assist users with	Ongoing

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[1] *The above table is an example from the Federal Emergency Management Agency (FEMA).*

	cycling/updating/removing files	
Train new key personnel	• Provide orientation • Schedule participation in training and exercises	Within 30 days of appointment
Orient new policy officials and senior management	• Brief officials on COOP philosophy • Brief each official on his/her COOP responsibilities	Within 30 days of appointment
Plan and conduct exercises	• Conduct internal exercises • Conduct joint exercises with agencies • Support and participate in interagency exercises	• Semiannually • Annually • Annually or as needed
Maintain security clearances	• Obtain, maintain and update appropriate security clearances	Ongoing

Table 8-6. Sample Multiyear Strategy and Program Management Plan

Distributing the COOP Plan

Initial distribution of the COOP plan is usually accomplished in one of two ways:

• Providing personnel with a hardcopy.
• Distribution via the organization's intranet.

Because tracking changes to a hardcopy plan may be difficult or impossible, it is preferable to distribute the plan via the organization's intranet. If the intranet is used, be sure to alert organization personnel via email or other notification method when revisions are posted to the plan. In certain scenarios, neither the local office nor the organization's internet/intranet resources will be accessible. In these cases, there must be clearly documented and available procedures to instruct the response team as to the location of the COOP plan.

Because of the sensitive nature of the material located in the plan, not everyone needs a copy of the COOP plan. The County/City may decide to distribute a limited number of full plans to specific individuals within the organization and provide all other personnel with relevant portions or simply an overview.

Worksheet M1 is a COOP Planning Checklist. Agencies may want to use the checklist to guide the COOP plan development process from the beginning.

Form M is a COOP Planning Crosswalk. After an organization completes a working draft of a COOP plan, a thorough review of the plan using this crosswalk will enable COOP certification. Include a completed copy of Form M as an appendix to the Plan.

IX. GLOSSARY

CONTINUITY PLANNING PROGRAM GLOSSARY

*The terms with an asterisk in front are those used in both the Disaster Recovery and Continuity Planning Programs. These definitions are aligned to create a standard, common usage for recovery and continuity planning efforts.

*Activation – The implementation of capabilities, procedures, activities, and plans in response to an emergency or disaster declaration; the execution of the emergency response plan and or/business recovery plan.

*Activation Team – An identified group of trained personnel who will be convened upon the occurrence of a situation that affects the continuation of organization or department's essential and/or mission critical business functions. The team will assess the situational information and make a determination or recommendation regarding the continuation of essential or mission critical business functions. This type of team may operate under several different names such as Crisis Management Team, Activation Team, Executive Team, or Continuity Team.

ADA – Americans With Disabilities Act**.** Legislation passed in 1990 that prohibits discrimination against people with disabilities.

Agencies – State Executive Branch agencies, departments, and independent organizations.

Agency Head – The highest-ranking official of the primary occupant agency or a successor or designee selected by the official.

*Alternate Facility – Also referred to as a continuity facility, it can have any one of the following meanings: (1) A location, other than the normal facility, designated to be used to carry out essential or mission critical business functions. (2) An alternate operating location to be used by business functions when the primary facilities are inaccessible. (3) Another location, computer center or work area designated for recovery. (4) Location, other than the main facility, that can be used to conduct business/essential functions. (5) A location, other than the normal facility, used to process data and/or conduct essential business functions in the event of a disaster. (6) Alternate or continuity facilities refer to not only other locations, but also nontraditional options such as working at home ("Teleworking"), telecommuting, and mobile-office concepts.

Automated Data Processing (ADP) Equipment – Equipment that performs data processing largely by automatic means.

Cal OES – California Governor's Office of Emergency Services.

Collateral Damage – Injury to personnel or damage to facilities that are in unaffected parts of a facility, including damage to equipment or contents as a result of fire or flood.

*Command and Control – Commands the local Emergency Operations Center (EOC) reporting up to senior management on the recovery process. Has the authority to invoke the local recovery plan.

Consumable Office Supplies – General supplies that are consumed in office use.

Continuity – An uninterrupted ability to provide services and support, while maintaining viability, before, during and after an event.

Continuity Guidance Circular (CGC) – The CGC 1 is a guidance document that provides direction to non-federal entities for developing continuity plans and programs.

*Continuity of Government (COG) – The preservation, maintenance, or reconstitution of the institution of government. It is the ability to carry out an organization's constitutional responsibilities. This is accomplished through succession of leadership, the pre-delegation of emergency authority, and active command and control.

*Continuity of Operations (COOP) – The activities of individual departments and agencies and their sub-components to ensure that their essential functions are continued under all circumstances. This includes plans and procedures that delineate essential functions; specify succession to office and the emergency delegation of authority; provide for the safekeeping of vital records and databases; identify alternate operating facilities; provide for interoperable communications; and validate the capability through tests, training, and exercises.

Continuity of Operations Plan – A plan to ensure the safety of employees and the resumption of time-sensitive operations and services following an emergency.

Continuity Communications – Alternate communications both internal and external that provide the capability to perform essential functions, in conjunction with other agencies, until normal operations can be resumed.

Continuity Event – This refers to any event that requires an organization or department to relocate resources or operations to an alternate site to assure the continuation of its essential functions.

Continuity Planning – Historically, the federal government defined continuity efforts using the terms "COOP" and "COG." These were often separate and compartmentalized activities. This old organizational framework has changed and the new program uses instead the reference to "Continuity Planning" as an overlapping integration of continuity of operations and continuity of government concepts.

Critical Infrastructure Protection (CIP) – Risk management actions intended to prevent a threat from attempting to, or succeeding at, destroying or incapacitating critical infrastructures. Critical infrastructures are those systems and assets so vital to the Nation that their incapacity or destruction would have a debilitating impact on national security, national economic security, and/or national public health or safety.

*Data Recovery – The restoration of data from backup media to restore programs and production data to the state that existed at the time of the last safe backup.

Delegation of Authority – Specifies who is authorized to act on behalf of the organization or department head and other key officials for specific purposes.

*Dependency – The reliance, directly or indirectly, of one activity or process upon another, including internal/external dependencies and IT/Non-IT dependencies.

Devolution – The capability to transfer the authority and responsibility for essential functions from an organization's primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period.

Disaster Service Worker – Per the California Government Code, Section 3100, all public employees are declared to be disaster service workers subject to such disaster service activities as may be assigned to them by their superiors or by law.

Disaster Recovery Plan (formerly known as Operational Recovery Plan) -- Disaster Recovery is the technical recovery plan for networks, systems, applications, data, and communications, both voice and data.   Disaster Recovery Planning provides for the recovery and restoration of an organization's information technology and telecommunications infrastructure in support of essential business functions, to minimize decision-making during an event, thus producing the greatest benefit from the remaining limited resources, and achieves a systematic and orderly migration toward the resumption of all computing services within an organization following a business or governmental disruption.

Drive-Away Kit – A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. It contains items needed to minimally satisfy personal and professional needs during deployment. This is also referred to as "Go Kits."

*Emergency Operating Records – Records that support the execution of an organization's essential or mission essential business functions, such as plans and directives, lines of succession, delegations of authority, and references for performing essential or mission essential business functions.

Enduring Constitutional Government (ECG) – A cooperative effort among the Executive, Legislative, and Judicial branches of government, coordinated by the President, to preserve the capability to execute constitutional responsibilities in a catastrophic emergency.

Emergency Response Group (ERG) – An identified group of trained personnel assigned the responsibility of relocating to the designated alternate facility to continue essential functions upon a Continuity Plan Activation.

*Essential Functions – Functions that enable the organization or department, on behalf of the state, to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base in an emergency.

Essential Resources – Resources that support the organization or department's ability to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base in an emergency.

*Event – A sudden, unplanned catastrophic disruption causing unacceptable damage or loss, which may impact or interrupt services.

Executive Agent – A term used to indicate a delegation of authority by a superior to a subordinate to act on behalf of the superior. An executive agent may be limited to providing only administrative support or

coordinating common functions, or it may be delegated authority, direction, and control over specified resources for specified purposes.

Federal Continuity Directive (FCD) – A document developed and promulgated by DHS which directs the executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

Incident – An occurrence or event, either human-caused or by natural phenomena, that requires action by emergency response personnel to prevent or minimize loss of life or damage to property and/or natural resources.

Interagency Agreements – A written agreement entered into between agencies that require specific goods or services to be furnished or tasks to be accomplished by one organization in support of the other.

Interoperability – (1) The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies and to use the services so exchanged to enable them to operate effectively together. (2) The condition achieved among communications-electronic systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.

Legal and Financial Records – Records that are needed to protect the legal and financial rights of the government and of the persons affected by its actions.

*Lines of Succession – Provisions for the assumption of senior organization offices and other key positions during an emergency in the event that any of those officials are unavailable to execute their legal and/or essential duties.

Logistical Support Services – Personnel who have the skills and authority to coordinate the provision of resources and services.

*Mission Critical Data – Information essential to supporting the execution of an organization's essential or mission critical business functions.

*Mission Critical Resources –The minimum resource requirements needed to perform or restore an organization's essential or mission critical business functions. Critical resources could include facilities, communication systems, personnel, vital records and databases, vital systems and equipment, key vendors, and other government agencies.

*Mission Critical Systems – Information Technology equipment essential to supporting the execution of an organization's essential or mission critical business functions, including hardware, software, networking components, etc.

Multiyear Strategy and Program Management Plan – A multiple-year process to ensure the maintenance and continued viability of Continuity Plans.

Occupant Emergency Plan (OEP) – A short-term emergency response program that establishes procedures for safeguarding lives and property directly following an emergency. Also known as Facility Emergency Plans or Evacuation Plans.

Primary Operating Facility – The site of normal, day-to-day operations; the location where an employee usually goes to work.

*Priority Classifications – The act or process of classifying actions, operations, or tasks to specific groups or categories according to established criteria, such as precedence or merit of attention before competing alternatives.

Procedures – A document that outlines a series of action steps taken to accomplish a desired end result.

Processes – To put through the steps of a prescribed procedure: a series of actions, changes, or functions.

Provisions – The act of supplying or fitting out, or a stock of necessary supplies.

*Reconstitution – The process by which organization personnel resume (transition back to) normal organization operations from the alternate location back to the primary or replacement primary operating facility.

Risk Analysis – The identification and assessment of hazards and the frequency of occurrence.

Senior Activation Team – A pre-identified group of trained personnel who are convened following an event which affects the continuation of organization/departmental essential functions. The team will assess situational information and make a determination or recommendation regarding the continuation of essential functions. This type of team may operate under several different names such as Crisis Management Team, Activation Team, Executive Team, or Continuity Team.

Telecommuting – When an employee carries out their work duties at their residence or another convenient site rather than their official duty station.

Telecommuting locations – These locations may be set up with computers and telephones to enable employees to work at a location closer to their residence rather than their official duty station.

*Test, Training, and Exercises (TT&E) – Measures to ensure that an organization's continuity program is capable of supporting the continued execution of its essential or mission critical business functions throughout the duration of an event.

Virtual offices – A location or environment where an employee performs work through the use of portable information technology and communication packages.

Vital Databases – Information systems needed to perform and support essential functions during a continuity event.

*Vital Records – Electronic and hardcopy documents, references, and records needed to perform and support essential or mission-critical functions, including those records essential to protecting the legal and financial rights of that organization and of the individuals directly affected by its activities.

CONTINUITY PLANNING PROGRAM ACRONYMS

AAR	After Action Report
ADP	Automated Data Processing
AI	Avian Influenza
BCM	Business Continuity Management
BCP	Business Continuity Plan
BIA	Business Impact Assessment
BRP	Business Resumption Plan
CAL OES	California Governor's Office of Emergency Services
CIP	Critical Infrastructure Protection
CGC	Continuity Guidance Circular
COG	Continuity of Government
COGCON	Continuity of Government Readiness Conditions
COOP	Continuity of Operations
CSTI	California Specialized Training Institute
DGS	Department of General Services
DHS	Department of Homeland Security
DOC	Departmental Operations Center
DRP	Disaster Recovery Plans
DSW	Disaster Service Worker
EMAC	Emergency Management Assistance Compact
EMAP	Emergency Management Accreditation Program
EOC	Emergency Operations Center

EOP	Emergency Operations Plan
ERG	Emergency Relocation Group
FEMA	Federal Emergency Management Agency
FCD	Federal Continuity Directive
FOUO	For Official Use Only
FPC	Federal Preparedness Circular
GEOEC	Governor's Emergency Operations Executive Council
HR	Human Resources
HSPD	Homeland Security Presidential Directive
IC	Incident Commander
ICS	Incident Command System
IT	Information Technology
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MYSPMP	Multi-year Strategy and Program Management Plan
NEF	National Essential Functions
NIMS	National Incident Management System
NRP	National Response Plan
NSPD	National Security Presidential Directive
OA	Operational Area
OASIS	Operational Area Satellite Information System
ODP	Office of Domestic Preparedness
OEP	Occupant Emergency Plan

OES	Office of Emergency Services
OISPP	Office of Information Security and Privacy Protection
ORP	Operational Recovery Plans
OS	Operations Specialists
PI	Pandemic Influenza
POC	Point of Contact
REOC	Regional Emergency Operations Center
RFP	Request For Proposal
RIMS	Response Information Management System
RTO	Recovery Time Objectives
SAT	Senior Activation Team
SEF	State Essential Functions
SEMS	Standardized Emergency Management System
SEP	State Emergency Plan (California)
SIMM	Statewide Information Management Manual
SOC	State Operations Center
SOP	Standard Operating Procedure
SPF	Single point of failure
TA	Technical Assistance Program
TT&E	Test, Training, and Exercises
WMD	Weapons of Mass Destruction

APPENDIX: FORMS & WORKSHEETS FOR COMPLETION OF COOP PLAN

List of Forms & Worksheets

Form AA: FUNCTION RISK AND VULNERABIITY ASSESSMENT

Form A: COOP RESPONSE TEAM
WORKSHEETS:
1. COOP Planning Coordinator Selection
2. COOP Planning Team members
3. Initial COOP Planning Team Meeting
4. COOP Planning Team Mission Statement
5. COOP Planning Team Objectives and Deliverables
6. Project Milestones
7. Project Reporting Requirements and Frequency
8. Cost Planning Template
9. Required Documents and Information

Human Capital
Management

Form B: PRIORITY OF ESSENTIAL FUNCTIONS
WORKSHEETS:
1. Areas of Responsibility Worksheet
2. Functions Performed by Area of Responsibility
3. Criteria for Selecting Essential Functions
4. Essential Functions by Time Frame
5. Essential Functions Questionnaire
6. Priority of Critical Processes and Services Supporting Essential Functions Worksheet
7. Management, Technical and Supporting Personnel

Essential Functions

Form C: PERSONNEL CONTACT LIST (RAPID RECALL LIST)

Form D: DELEGATION OF AUTHORITY
WORKSHEETS:
1. Determination of Emergency Authority vs. Administrative Authority
2. Delegation of Authority – Rules, Procedures and Limitations

Delegations of
Authority

Form E: ORDERS OF SUCCESSION
WORKSHEET:
1. Identify key positions

Orders of
Succession

Form F: SELECTING A CONTINUITY FACILITY
WORKSHEETS:
1. Requirements for Continuity Worksite
2. Organization Continuity Facilities

Continuity Facilities

Form G: VITAL RECORDS
WORKSHEETS:
1. Vital Records Protection Methods
2. Restoration and Recovery Resources

Vital Records

Form H: VITAL EQUIPMENT AND SYSTEMS
WORKSHEET:
1. List of Vital Systems and Equipment

Form I: CONTINUITY COMMUNICATIONS

Continuity Communications
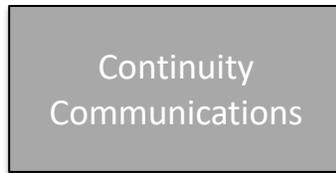
Form J: ORGANIZATIONAL GO-KITS

Form K: TRAINING, TESTING & EXERCISES

Tests, Training & Exercises

Form L: COOP PLAN MAINTENANCE

Form M: COOP PLANNING CROSSWALK
WORKSHEET:
1. COOP Planning Checklist

Form AA: FUNCTION RISK AND VULNERABILITY ASSESSMENT

Risk Overview	Risk Level	Vulnerability	Description or Comment
Earthquake	High	High	USGS predicts 63% probability of 6.7 or greater in the next 30 years (2008 study)
H5N1 Bird Flu	Medium	Medium	Work with airports immediately to identify flights from all impacted areas, even indirect flights
Flash Flood	Low	Low	Dependent on amount of rainfall

Form A: COOP RESPONSE TEAM

Authority to Implement COOP				
Key Executive	Title/Position	Office Phone #	Alternate Phone	Email

	Team Members	Team Responsibilities
Command	*Example: Ted Cahill, Chief Counsel*	*Example: Determine objectives and establish priorities based on nature of the incident*
Planning	*Example: Pam Jones, Planning*	*Example: Develop IAPs*
Operations	*Example: Kay Smith, Operations Chief*	*Example: Directs all resources*
Logistics	*Example: John Brown, Facility Support*	*Example: Assembles necessary documentation and records*
Finance/ Administration	*Example: Beth Robinson, HR*	*Example: Monitors costs*

Form B: PRIORITY OF ESSENTIAL FUNCTIONS

Essential Functions	Recovery Time Objective (RTO)	Priority
Example: Payroll	*72 hours*	*1*
Example: Maintain law and order	*0-12 hours*	*1*
Example: Perform health inspections	*0-12 hours*	*1*
Example: Issue drivers licenses	*30 days*	*3*

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/Pager #
Organization Head				
COOP Planning Team (Form A)				
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	
ID State Emergency Operations Center	
Alternate Facility Contacts	
Employee Emergency Hotline	

Form D: DELEGATION OF AUTHORITY

In developing this list, the organization can review its pre-delegated authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations as appropriate.

Authority	Position Title Holding Authority	Triggering Considerations	Limitations of Authority

Form E: ORDERS OF SUCCESSION

List orders of succession to key positions critical to the organization's COOP. Based on previous experience, whenever possible, agencies may choose to investigate options that enable key successors to be geographically dispersed to ensure that succession to office can occur during any type of emergency. Remember orders of succession should run at least **THREE DEEP.**

Key Executive	1st Successor Name/Position	2nd Successor Name/Position	3rd Successor Name/Position

Form F: SELECTING A CONTINUITY FACILITY

Division	Critical Essential Function	Resources Needed	Space Needed	# Staff Required	Telework Possible (Y/N)	Interdependent Function (Y/N)	Dependent Upon?

Form F2: ORGNIZATION CONTINUITY FACILITIES

Continuity Location	Type of Arrangement	Unmet Space Needs

Form G: VITAL RECORDS

List only those records that are necessary for the continued operation of essential processes or services. Records can be electronic or paper form. Do not include records that may be useful but are not essential to performing the service.

Process	Vital record	Description	Form of Record
Example: COOP Plan	*Example: Copy of Signed Contract*	*Example: Complete plan*	*Example: Electronic/Hard Copy*
Example: Security	*Example: Contracts for Security Services*	*Example: Designated contracts*	*Example: Electronic/Hard Copy*

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				
Pagers				
Cell Phones				
Email				
Internet Access				
Instant Messenger				
Blackberry/PDAs				
Radio Communications				
Other				

Form J: ORGANIZATIONAL GO-KITS

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

Form K: TRAINING, TESTING AND EXERCISES

	Training Components	Training Type	Targeted Staff	Whose Responsibility?	Frequency	Date Scheduled	Date Completed
Training	*Example: COOP Awareness*	*Online – FEMA IS 546*	*COOP Planning Team*	*Senior Leadership*	*Annually*	*NLT 2/28/09*	*2/15/09*

	Testing Components			Whose Responsibility?	Frequency	Date Scheduled	Date Completed
Testing	*Example: Table Top with Senior Leadership*			*COOP Program Manager*	*Annually*	*7/15/09*	*7/15/09*
	Example: Functional Exercise (Alt Site Relocation)			*COOP Program Manager*	*Bi-annually*	*11/25/09*	*11/25/09*

	Maintenance Components			Whose Responsibility?	Frequency	Date Scheduled	Date Completed
Maintenance	*Example: Update Call Trees*			*HR Office*	*Semi-Annually*	*6/15/09*	*6/30/09*
	Example: Update Vital records Schedule			*Records Coordinator*		*11/15/09*	*11/15/09*

Form L: COOP PLAN MAINTENANCE

Activity	Tasks	Frequency	Date required	Date Completed
Plan Update and Certification	1. Review entire plan 2. Incorporate lesson learned and changes in policy 3. Manage distribution of plan updates	Semi-annually		
Maintain and update Orders of Succession	1. Obtain names of current incumbents and designated successors 2. Update Delegations of Authority	As needed		
Checklists	1. Update and revise checklists 2. Ensure annual update	As needed Annually		
Update rosters of all positions	Confirm/update information on rostered members of COOP Planning Team	Quarterly		
Appoint new members of COOP Planning	1. Qualifications determined by COOP leaders 2. Issue appointment letter and schedule orientation	As needed		
Maintain alternate work site readiness	1. Check all systems 2. Verify access codes and systems 3. Cycle supplies and equipment as needed	Quarterly		
Review and update supporting MOU/MOA	1. Review for currency and new needs 2. Obtain signatures renewing agreement or confirming validity	Annually		
Monitor and maintain equipment at alternate site(s)	1. Train users and provide technical assistance 2. Monitor volume/age of materials and assist users with cycling/removing files	Ongoing		

CONTINUITY OF OPERATIONS PLANNING HANDBOOK

Train new members	1. Provide orientation and training class 2. Schedule participation in all training and exercise events	Within 30 days of appointment		
Orient new policy officials and senior management	1. Brief officials on COOP 2. Brief each official on his/her responsibilities under COOP	Within 30 days of appointment		
Plan and conduct exercises	1. Conduct internal exercises 2. Conduct external/joint exercises with local/regional/state agencies 3. Support and participate in interagency exercises	Semi-annually Annually As needed		
Maintain Security Clearances	Obtain, maintain and update appropriate security clearances	Ongoing		

Form M: COOP PLANNING CROSSWALK (1 of 4)

Criteria	YES	NO	N/A	Comments
PURPOSE				
Plan includes statement why COOP is important to the organization				
SCOPE				
Provides for capability to perform essential functions within 12 hours for up to 30 days				
Provides for three-scenario approach to COOP planning				
Addresses the three phases of COOP: Activation & relocation; alternate facility operation; return to normal operations				
OBJECTIVES				
Defines specific objectives to direct & guide appropriate continuity actions				
SITUATION and ASSUMPTIONS				
COOP specifically states planning assumptions				
HAZARD VULNERABILITY ANALYSIS				
Plan includes a documented Hazard Vulnerability analysis				
CONCEPT OF OPERATIONS				
Plan includes a concept of operations that provides an overview of how plan will be implemented				
Documents the use of systematic work task, functions & operations in development of essential functions				
Documents the prioritization of work task, functions & operations in development of essential functions				
Documents the consequences of lack of performance and time criticality to perform work tasks, functions & operations				
Documents resource requirements & provides for pre-positioned resources necessary to perform essential functions				
Encourages personal preparedness for essential and non-essential staff and their families				

Form M: COOP PLANNING CROSSWALK (2 of 4)

Criteria	YES	NO	N/A	Comments
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 and non-essential staff throughout the duration of the emergency				
Provides for continued support of 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 and alternate facility throughout the emergency				
Provides for specific actions to transfer operations back to primary facility				
IMPLEMENTATION				
Provides for an executive decision process to determine activation of COOP				
Provides for the development of an incident action plan based on the nature of the incident and assessment of the facility				
Plan utilizes Incident Command System (ICS) processes and procedures				
ACTIVATION AND RELOCATION				
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				

Form M: COOP PLANNING CROSSWALK (3 of 4)

Criteria	YES	NO	N/A	Comments
Plan provides for minimum standards of communication & direction/control during activation of alternate site				
Provides for complete site-support procedures (staff, records & equipment) for activating alternate facility				
Provides specific procedures for execution of essential functions				
Assigns responsibilities for key staff to perform essential functions				
TERMINATION/RETURN TO NORMAL OPERATIONS				
Provides for immediate preparations to transfer back to primary facility				
Contains termination procedures to ensure transfer of functions, vital records & databases to primary facility				
Provides for the creation of an after-action report to identify and correct deficiencies				
VITAL RECORDS AND DATA SYSTEMS				
Documents the identification of vital records and data systems necessary to perform essential functions				
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 the alternate facility				
INTEROPERABLE COMMUNICATIONS				
Provides for the identification, protection availability & redundancy of critical communications systems				
Provides for the reestablishment of communications to staff, appropriate agencies and customers				

Form M: COOP PLANNING CROSSWALK (4 of 4)

Criteria	YES	NO	N/A	Comments
CONTINUITY OF GOVERNMENT				
Plan provides for the pre-delegation of authority for making policy determinations & decisions at all organizational levels				
Defines limitations, accountability & termination of authorities				
Establishes and maintains orders of succession for all key positions to ensure ability to perform essential functions				
Delineates order of succession by position or title, not names				
ORGANIZATION AND RESPONSIBILITIES				
Identifies responsibilities of individuals, teams and organizations involved in the COOP				
Plan identifies emergency coordinating officer/response team chief for each continuity team				
ADMINISTRATION AND LOGISTICS				
Plan addresses pay status, leave, travel status & related personnel support issues				
MEMORANDUMS OF UNDERSTANDING AND/OR AGREEMENT				
Documents the establishment of written agreements with other agencies/jurisdictions to obtain facilities and resources				
AUTHORITIES AND REFERENCES				
Documents basic authorities for actions & delegations outlined in plan				
TRAINING AND EXERCISES				
Requires individual/team training of COOP staff to implement plan and carry out essential functions				
Provides for routine testing & exercises of various types and scopes to demonstrate viability & improve capability				
PLAN MAINTENANCE				
Provides for periodic update/revision of plan based on training/exercise program and changes to the organization				

Worksheet A1: COOP PLANNING COORDINATOR SELECTION

The COOP Planning Team is lead 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 information	
Completed by:	*Date:*
Reviewed by:	*Date:*

Worksheet A2: COOP PLANNING TEAM MEMBERS

COOP Planning Team Members		
Name	Job Title Within Organization	Date of Appointment
Individual responsibilities within Team:		
Name	Job Title Within Organization	Date of Appointment
Individual responsibilities within Team:		
Name	Job Title Within Organization	Date of Appointment
Individual responsibilities within Team:		
Name	Job Title Within Organization	Date of Appointment
Individual responsibilities within Team:		
Name	Job Within Organization	Date of Appointment
Individual responsibilities within Team:		

CONTINUITY OF OPERATIONS PLANNING HANDBOOK

Worksheet A3: INITIAL COOP PLANNING TEAM MEETING

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

Initial COOP Planning Team Meeting Topics	
TOPIC	CHECK OFF
COOP Planning Team Organization:	
Roles and Responsibilities:	
Project Deliverables:	
Project Deadlines:	
Reporting Process:	
Review and Approval Process:	
Coordination With External Response Agencies:	
Completed by:	Date:
Reviewed by:	Date:

Worksheet A4: COOP PLANNING TEAM MISSION STATEMENT

Mission Statement
This COOP Planning Team has been assigned by the [executive director/general manager] to direct the development of a comprehensive continuity of operations capability for [organization]. Because of the importance of this planning effort, members of this team have been assigned from all major divisions/branches of the organization. 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.

Completed by:	Date:
Reviewed by:	Date:

Worksheet A5: COOP PLANNING TEAM OBJECTIVES AND DELIVERABLES

To enable the COOP Planning Team to focus their efforts on 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 deliverables has been approved by senior management.

Objectives of the COOP Planning Team	
Main Objective of the Team:	
Sub-objectives of the 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 approved:

Project Milestones	
Milestone Description:	Scheduled Completion Date:
Completed by:	Date:
Reviewed by:	Date:

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 periodic progress report is as follows:	
Name:	Department/Organization:
Distribution for Executive Summary Only:	
Name:	Department/Organization:
Contents of the Report Include:	
Activities Accomplished during the previous reporting period:	

- 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:

Completed by:	Date:
Reviewed by:	Date:

Worksheet A8: COST PLANNING TEMPLATE

Cost can be identified for the COOP. Descriptions should be sufficient to ensure 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 (Hour/Dozen/Gallon, etc)	Cost
Total Estimated Cost			
Additional Comments:			
Completed by:		Date:	
Reviewed by:		Date:	

Worksheet A9: REQUIRED DOCUMENTS AND INFORMATION

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

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

Worksheet B1: AREAS OF RESPONSIBILITY

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

Areas of Responsibility	
Number	Area of Responsibility
1	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: Maintenance of Highway

Number	Functions Performed	Brief Description
1	Example: Visual inspection of roadways	Example: Personnel perform routine inspection of roadways in jurisdiction weekly, driving 275 miles
2		
3		
4		
5		

Worksheet B3: CRITERIA FOR SELECTING ESSENTIAL FUNCTIONS

Based on the review of emergency response plans, emergency operating procedures and brainstorming sessions among COOP Planning Team members, organization/department employees and supporting emergency responders, identify criteria for selecting essential functions.

Number	Criteria
1	Example: Function supports normal emergency response activities as planned by the County/City Response Coordination Center

Worksheet B4: ESSENTIAL FUNCTIONS BY TIMEFRAME

Tier	Division/Area	Function	Description
Tier 1: 0-12 Hours	**Tier 1 functions** are the organization/department's essential functions that must reach operational status no later than 12 hours after COOP Activation		
1.1			
1.2			
1.3			
Tier 2: 13 Hours to One Week	**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		
2.1			
2.2			
2.3			
Tier 3: One to Two Weeks	**Tier 3 functions** are important business functions that are nonetheless not needed until a full week following a disruption of service. Tier 3 functions may be dependent on the status of Tier 1 and 2 functions		
3.1			
3.2			
3.3			
Tier 4: Two Weeks to 30 Days	**Tier 4** functions represent those functions that **MAY** be postponed until all functions in Tiers 1,2 and 3 are fully operational		
4.1			
4.2			
4.3			
Tier 5: 30+ Days	**Tier 5** functions are those that can reasonably be suspended for 30 or more days, and may not be required to be performed for the duration of the emergency		
5.1			
5.2			
5.3			

Worksheet B5: ESSENTIAL FUNCTIONS QUESTIONNAIRE (1 of 2)

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

Area of Responsibility: _____

Function: _____

Services this function provides: (*Additionally identify any supportive functions upon which this function depends. Primary essential functions may depend upon functions not previously identified as essential or on functions both within and outside the organization/department. If the function under evaluation is in fact determined as essential, then supportive functions identified here are also essential and need to be evaluated separately using* **Worksheet B5**)

1. The loss of this function would have the following effect on the organization/department:	
Check	
	Catastrophic effect on the organization
	Catastrophic effect on one department
	Moderate effect on the organization
	Moderate effect on some department
	Minor effect on the organization or some departments

2. How long can this 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	Time Period	Check	Time Period	Check	Time Period
	Hours		Up to 3 Days		Up to 3 Weeks
	Up to 1 Day		Up to 1 Week		Up to 1 Month
	Up to 2 Days		Up to 2 Weeks		Other (specify)

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

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

(Day) Sun Mon Tue Wed Thu Fri Sat

| (Hour) AM: 1 2 3 4 5 6 7 8 9 10 11 12 PM: 1 2 3 4 5 6 7 8 9 10 11 12 |

Worksheet B5: ESSENTIAL FUNCTIONS QUESTIONNAIRE (2 of 2)

| **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 this function in the event that the associated applications are not available? Consider how much data you can afford to lose.** |
| |
| |
| |

| **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 organization:** |
| |
| |
| |

| **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 this function:** |
| |
| |
| |

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

| **10. Does an analysis of the responses to the above questions indicate that this function is still essential and/or critical to the organization? If yes, indicate below when such label is appropriate:** |
| |
| |
| **Always:** |

During the following period of the year:	
During the following period of the month:	
During the following day(s) 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 essential activities or 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 essential function operable. In all categories, as yourself a variety of questions, including such things as: vendor and partner agreements or relationships; software and supplies/equipment issues; workstation needs; vital records and documents required; and communications with organization 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
Example: Drive detour route ASAP to ascertain if signage in place is acceptable and clear	Example: Team of 2 preferred	Example: Map/drawing of sign placement that is in place or that should be put in place	Example: Sign repair, replacement or erection material (consider whether a vendor or partner maintains a sign inventory that could be borrowed or purchased)	Example: Dependable field communications (radio/cell phone)

Worksheet B7: MANAGEMENT, TECHNICAL AND SUPPORTING PERSONNEL

Complete a separate worksheet for each essential function. Complete this worksheet to identify, for each essential function, the senior management and technical positions (not persons by name) needed to lead the essential functions and the support positions necessary to carry it out. Assume that you have access to all personnel at the time you need all personnel.

Area of Responsibility: _____

Essential Function: _____

Senior Management Positions/Roles	Senior Technical Positions/Roles	Support Personnel Positions/Roles	Number Required

Worksheet D1: DETERMINATION OF EMERGENCY AUTHORITY VS. ADMINISTRATIVE AUTHORITY

In developing this list, the organization/department can review its pre-delegated authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations as appropriate.

Type of Authority	Position Title Holding Authority	Triggering Conditions
Example: Suspension of Regular Bus Service	Example: General Manager	Example: Physical absence AND inability to reach by pager and/or cell phone

CONTINUITY OF OPERATIONS PLANNING HANDBOOK

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 the 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: <u>Example General Manager</u>

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

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(s)

Worksheet F1: REQUIREMENTS FOR CONTINUITY WORK SITE

To complete this worksheet, identify the requirements for the alternate work site by essential function. Requirements include personnel, special needs, power, communications, and space.

Area of Responsibility: _____

Essential Function: Example: <u>Relocating a purchasing office from a central location to a field location, so that emergency purchasing can be accomplished</u>

Number of Personnel	Special Needs	Power	Communications	Space Requirements (Note 1)
Example: 3	Example: Desks & chairs for 3, secure storage capability	Required for 3 PCs and 1 networked printer	Land line phone, modem access to internet, remote access to wide area network	432 sq.ft

Note 1: Social distancing considerations for pandemic influenza require a minimum of 3 to 6 feet of personal separation in every direction

Worksheet F2: ORGANIZATION CONTINUITY FACILITIES

Continuity Location	Type of Arrangement	Unmet Space Needs
Expo Complex	MOU	N/A

Worksheet G1: VITAL RECORDS PROTECTION METHODS

For each vital record identified in FORM G, list where the record is kept; how often they are backed up or revised; and any particular methods of protection, including security measures. Those vital records that have no protection other than backup or duplicate copies may be candidates for additional protection measures. In those cases, consider and recommend additional protection methods in the last column.

Vital Record	Storage Location	Maintenance Frequency	Current Protection Method(s)	Recommendations for Additional Protection (If necessary)	Backup/ Revision Schedule (Static/Yearly /Biannual)

Worksheet G2: RESTORATION AND RECOVERY RESOURCES

Identify all record recovery and restoration resources, contact information and services available below. Include evening, holiday and emergency/alternate contact information, as well as contact information for regular business hours.

Company Name	Contact Name	Address/Phone	Services
Example: Data Recovery Systems, Ltd.	Example: Primary: Phil Jones Alternate: Mary Smith	Example: 123 N River St Anytown, CA (222) 123-1111 Pager: (222) 123-2222 Cell: (503) 123-3333 On-call person carries the pager – Phil or Mary always has it	Example: Copying of backup tapes for distribution to multiple alternate sites. Troubleshooting assistance in person promised w/in 2 hours

Worksheet H1: LIST OF VITAL SYSTEMS AND EQUIPMENT

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

Essential function: _____

Vital System or Process	Location	Responsible Staff Member(s)/Vendor	Recovery Time Objective	Priority

Worksheet M1: COOP PLANNING CHECKLIST

Date Completed	Item Description	On Page (#) in Plan
OVERARCHING ITEMS		
	Plan objectives are clearly stated in the opening of the plan	
	Provisions for the protection of critical equipment, records, and other assets are included in the overall planning process	
	Provisions are included which maintain efforts to minimize human loss, damage, and losses of resources	
	Consideration for an orderly response and recovery from any emergency are incorporated into the planning process	
CAPABILITY SURVEY		
	Vulnerability to natural and man-made emergencies is addressed	
IDENTIFYING ESSENTIAL FUNCTIONS		
	Essential functions required by law are identified	
	Essential functions that support public safety are identified	
	Essential functions that are required by contract are identified	
	Essential functions that are time specific are identified	
	Essential functions that are day-of-the-week specific are identified	
	Essential functions that are monthly/seasonally specific are identified	
	Essential functions that are prioritized based on above criteria	
COOP PLAN DEVELOPMENT, REVIEW AND APPROVAL/SUPPORTING PROCEDURES		
	Decision making conditions are clearly outlined for activation	
	The plan can be activated during non-working hours	
	The plan can be activated in no person can access or use the facility	
	The plan can be activated in no person can access the surrounding area	
	Communication process in times of advance threat warning well-established	
	Communication process to notify all agency personnel is established	

	Communication process is coordinated for all affected decision makers	
	Communication is coordinated with other agency offices/facilities	
	Communication is coordinated with external emergency personnel	
	Communication is coordinated with suppliers/partners	
	Time-phased procedures facilitate response, relocation, restoration	
	Personnel are assigned to functions based on skills and knowledge	
	Authorities are identified which can and may be delegated	
	Positions to which the authorities are delegated are listed	
	The limitations of the delegations of authority are identified	
	Plans are made for succession to key leadership positions	
	Time or geographical limitations to succession are identified, addressed	
	Succession order is described by position or titles rather than by person	
	Orders of succession are revised and distributed as necessary	
	Alternate facilities and the resources available at each facility are identified	
	Pre-positioning of assets and resources at alternate facilities considered	
	Reliable support services, infrastructure at alternate facility identified	
	Alternate facilities will be available within 12 hours, up to 30 days	
	Physical security and access at alternate facility considered	
	Data/communications systems identified to support essential functions	
	Interoperable communications plans for internal and external use	

	Provisions for redundant communications are included in the COOP plan	
	Planning includes potential off-site storage of duplicate records	
	Regular and timely maintenance of alternate facility is scheduled	
	Plan ensures back-up fr legal and financial records	
	Transportation, lodging, meals at alternate facility all addressed	
	Relocation of personnel receiving plan at alternate site addressed	
	After-action review process identified for use after COOP activation	
	Staff roster for each essential function by position with contact info	
	Reliable processes are in place to acquire additional resources to sustain operations for 30 days	
	Documentation of all supporting procedures and/or checklists	
	Procedures in place to notify customers of new work location, phone numbers, re-route US mail, etc.	
	The COOP plan contains updated appendices with detailed information on the specific procedures, contact names, numbers up to date	
	Provisions are included for the preparation and pre-positioning off-site of Go-Kits	
	Measures are included in the planning which address pay status, administrative leave and layoffs	
	Information has been included which provides guidance to personnel on medical, special needs and travel issues	
	The physical security of the primary facility during the COOP activation and operations has been addressed within the COOP plan	
TRAINING PERSONNEL, TESTING THE PLAN, KEEPING THE PLAN UP TO DATE		
	Training and orientation curriculum has been developed which creates awareness and enhances the skills of the County/City personnel	
	Training is developed which ensures that the key leadership are prepared to perform their emergency duties	

CONTINUITY OF OPERATIONS PLANNING HANDBOOK

	Training plan addresses knowledge and skill sets	
	The COOP plan contains a comprehensive test, drill and exercise program	
	Provisions are included for periodic test of the alert and notification procedures	
	Periodic exercises of operational plans, alternate facilities and interoperable communications are incorporated into the COOP plan	
	Periodic validation and test are included for equipment at the alternate facility in the COOP plan	
	A remedial action plan/process has been established which incorporates lessons from the test, training and exercise program	
	Procedures are included which ensure that this plan will be maintained at a high level of readiness	