

BUSINESS NAME

**CONTINUITY OF
OPERATIONS PLAN
TEMPLATE
2005**

"[Insert Document Classification]

In accordance with _____, dated _____, the [insert department or jurisdiction name] has deemed this document to be [insert document classification]. As a result, the document and information herein are restricted to authorized personnel and other personnel designated by the [insert department or jurisdiction name].

BUSINESS NAME
[INSERT DEPARTMENT OR JURISDICTION NAME]
CONTINUITY OF OPERATIONS PLAN

PROMULGATION

Since continuity of operations during emergencies is ultimately the responsibility of the highest authority of a government organization, it is important that this person endorses the completed plan. A plan that includes the signed endorsement of the head of the department or the chief elected official of a jurisdiction will be recognized as the organization's official policy for operations during emergencies. Before endorsing the plan, the head of the organization should have the plan certified. Certification of this plan is discussed in Section 9 of the Basic Plan (COOP Plan Certification) and is recommended as a condition to promulgation.

Signature:

Date:

[Insert your department head's or chief elected official's name and title]

RECEIPT FORM

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CONTINUITY OF OPERATIONS PLAN

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SUBJECT: [Insert department or jurisdiction name]
Continuity of Operations Plan, 2005

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CONTINUITY OF OPERATIONS PLAN

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[Insert department or jurisdiction name]
CONTINUITY OF OPERATIONS PLAN

1. INTRODUCTION

The introduction to the continuity of operations (COOP) plan should explain the importance of COOP planning to the organization. Based upon planning requirements, the Basic Plan can be limited to a discussion of goals and objectives with reference to implementation information and procedures contained in annexes. Many annexes in this template also contain worksheets that can be used to gather and/or organize information necessary to develop and maintain a COOP plan. Annex A (Definition & Acronyms) contains definitions and acronyms for reference.

A. Purpose

The purpose section should explain why the organization is developing the COOP plan, and identify its goals and objectives. The primary goal of this plan is to restore essential functions at an alternate site within 12 hours after activation and performing those functions for up to 30 days in accordance with applicable Federal and State guidance. This section should also clarify that the COOP plan is an all-hazard plan that addresses the full spectrum of threats from natural, manmade and technological sources, including national security emergencies.

B. Situation and Assumptions

In order to understand how a disaster can disrupt the operations of a department or jurisdiction and its organizational assets, a hazard vulnerability analysis or disaster impact analysis must be routinely conducted on the primary and alternate facility. A disaster impact analysis consists of five elements: asset identification, hazard identification, vulnerability assessment, impact analysis and risk assessment. The following section summarizes primary and secondary hazards that define your department or jurisdiction risks. Annex B (Hazard Vulnerability Analysis) can also be used as a location to document the vulnerability analysis which is a required element of a COOP plan.

1. Hazard Vulnerability Analysis

a. Primary Hazards and Risks

Hazard or threat identification and vulnerability assessments combine probabilities of event occurrence (earthquake, hurricane, terrorism, etc.) with factors relevant to the specific site (location, operational and structural characteristics) to determine the risk of a given threat to a site. These primary threats should be added to the Vulnerability Analysis Worksheet located in Annex B.

b. Secondary Hazards and Risks

Hazards or threats may be from a secondary source. Neighboring offices or facilities may house materials or perform operations that generate hazards or threats to your operations. Since there is little or no direct control over these types of risks, vulnerability may actually be higher than primary risks that impact the larger area around your facility. Where appropriate, these risks should be added to the Vulnerability Analysis Worksheet and rated with the primary hazards discussed in the previous section.

The following summarize and prioritize the primary and secondary hazards that [insert department or jurisdiction name] may be vulnerable to at [insert department or jurisdiction location]:

Priority	Hazards

A completed copy of the most recent [insert department or jurisdiction name] Hazard and Vulnerability Analysis of the primary and alternate facility is located in Annex B (Hazard Vulnerability Analysis).

3. Planning Assumptions

In order to plan for future emergency operations, planners must make assumptions about what the state of the environment will be at the time of the emergency. This section should be used to record assumptions that were used in the development of your department or jurisdiction COOP plan. These assumptions should be tested and periodically reviewed.

C. Applicability and Scope

This section describes the applicability of the plan to the organization as a whole, headquarters as well as subordinate activities, co-located and geographically dispersed, and to specific personnel groups of the organization. It should also include the scope of the plan. As discussed, the COOP plan addresses the full spectrum of potential threats, crises and emergencies by utilizing an all-hazard planning approach.

2. ESSENTIAL FUNCTIONS AND COOP PERSONNEL

This essential functions section should include a list of the organization’s essential functions and their recovery time objectives. Essential functions are those organizational functions and activities that must be continued under any and all circumstances. They can be driven by law, established by a department head or chief elected official, or be required to support another department, agency, jurisdiction or private organization.

A. Essential Functions and Critical Processes/Services

Since the basic goal of COOP is to continue performing essential functions following an emergency or disaster, a critical step in the planning effort is to decide what those functions are and which personnel are responsible for performing them.

It is recommended that essential functions also be classified according to the times which they must be performed (recovery time objective – RTO). This time-phased classification allows organizations to develop appropriate procedures and to schedule the availability of personnel and resources effectively through the duration of the COOP event.

The following table lists [insert department or jurisdiction name] essential functions and their RTOs.

Essential Functions	RTO

More detailed information regarding essential functions and supporting critical processes and services, and a methodology to identify that information is located in Annex F (Essential Functions). *Identification of supporting critical process and services is a critical step in distinguishing between a function and the specific activities necessary to support a function.*

The plan should clarify that information related to essential functions and critical processes and services should be reviewed and updated on an as-needed basis or, at minimum, on an annual basis if there are no major programmatic or customer-based changes within the organization.

B. Essential COOP Personnel

The COOP plan should include a roster of fully equipped and trained emergency personnel with the authority and ability to perform essential functions and activities. Staff requirements should be identified by position to avoid the necessity of frequent updates due to personnel changes. Alternate assignments for non-emergency staff should also be considered and contact requirements.

Annex G (Essential COOP Personnel) provides a listing of essential COOP personnel that are necessary to support essential functions and critical processes and services. Additionally, Annex G contains the Essential COOP Personnel Contact List that provides 24/7 contact information for COOP team members, essential COOP personnel, executive and management staff and other emergency personnel involved with COOP.

The personnel and contact lists maintained in Annex G should be organized to identify their respective roles, if any, in the COOP organization as described in Section 5 of the Basic Plan (COOP Responsibilities).

Personnel and contact information must be reviewed and updated on a quarterly basis.

3. AUTHORITIES AND REFERENCES

This section should outline all supporting authorities and references that have assisted in the development of this COOP plan and defines lines of succession. State and local law has to be reviewed to identify authorities.

A. Authorities

When a state or local organization undertakes the preparation of a COOP plan, it does so based on some authority granted to the organization. The COOP plan should acknowledge the documents that provide legal authority for the plan and should briefly summarize the scope and limitation of that authority.

B. References

In addition to documents that provide the legal authority for COOP planning, other publications will influence the planning effort and resulting plan. Such documents might include those relating to the mission of the department or jurisdiction as well as emergency response plans for the department or jurisdiction. Some references used to develop this template are listed below.

Continuity of Operations (COOP) Plan Template, Federal Emergency Management Agency (FEMA)

4. CONCEPT OF OPERATIONS

This section will state the organization’s mission for COOP and identify objectives to ensure essential functions are performed during emergency periods. The Emergency Response Plan (ERP) and COOP plan are jointly discussed since an ERP is a mitigation factor in a COOP plan and, if activated, its defining role in an organization responding to an emergency or disaster.

A. Emergency Response Plan

A department or jurisdiction should consider placing their ERP in the COOP plan. In this case, Annex P (Emergency Response Plan) has been reserved for that purpose. Even though the ERP and COOP plan have different purposes and focus and are supported by different personnel and documents, it is likely that both plans will be implemented simultaneously in certain situations to ensure the safety of all personnel. The possibility of joint activation requires coordination to ensure essential COOP personnel are available to deploy in a timely manner.

Emergency Contact Information

Emergency Personnel	Phone Number(s)
Fire Department	
Police Department	
Ambulance/Emergency Medical Service	
Others	

B. Continuity of Operations Plan

The following provide objectives for the activation of the alternate facility, staffing essential COOP positions, transporting personnel and resources to the alternate site, providing access to vital records, equipment and systems, establishing access to interoperable communication systems, alternate facility operations, and returning to normal operations. Concept of operations in a COOP plan should be discussed in three phases: activation and relocation, alternate facility operations, and reconstitution. COOP implementation and activation responsibilities are outlined in Section 5 of the Basic Plan (COOP Responsibilities) with procedural steps summarized in checklists located in Annex C (Operational Checklists).

1. Phase I – Activation and Relocation (0 – 12 HRS)

This section provides an overview of the executive decision process that will allow for a review of each emergency situation and the determination of the best course of action, notification of essential COOP staff, and the implementation of initial procedures to relocate or transport staff to the alternate facility.

a. **Activation**

Plans for COOP typically call for the resumption of essential functions within 12 hours of a disruption. The COOP plan should state its time goal for resuming each essential function and establish procedures to achieve these objectives.

(1) **Decision Process**

The executive decision process to implement a COOP plan should support activation with and without warning, during both duty and non-duty hours, and identify who has the authority to activate the plan.

The Incident Commander (normally the head of the organization or his delegate) determines objectives and establishes priorities based on the nature of the incident and develop an initial incident action plan (IAP). If appropriate, the ERP will need to be consulted to ensure proper steps are taken to protect the health and safety of staff located in the facility at time of the incident.

(2). **Alert and Notification**

This section should outline objectives necessary to communicate the decision to activate the COOP plan to all personnel. Utilizing call-down lists contained in the COOP plan; notifications should include, but may not be limited to, executive and management staff, COOP recovery and response teams, State and local governmental entities, essential COOP personnel, service or facility providers/vendors and critical customers, as required. Non-essential COOP personnel must be included in this process and advised of their on-going communication requirements. Notified staff should be prepared to execute deployment objectives outlined in Section 5 of the Basic Plan (COOP Responsibilities).

b. **Relocation**

This section should identify the immediate objectives that have to be met to result in the transition of operations to the alternate facility. These objectives include, but are not limited to:

- Notification and deployment of essential COOP personnel.
- Accessing and transporting drive-away kits.
- Transportation of staff and required resources.
- Continued maintenance of minimum communication, and direction and control standards.
- Providing staff with deployment instructions and maps.
- Orientation of personnel at the alternate facility.
- Ensuring that all deployment responsibilities outlined in Section 5 of the Basic Plan (COOP Responsibilities) are met.

Relocation planning should also address needs of non-essential staff especially in events that occur during normal, duty hours where the primary facility population is at its highest.

c. Leadership and Essential COOP Personnel

(1) Orders of Succession

This section should include the identification of at least three successors for each essential position tasked in the COOP plan, including each member of COOP response and recovery teams.

This section should further identify circumstances that will result in successions, method of notification, and any temporal, geographical, or organizational limitation of authority that need to be considered. This should not be confused with the transfer of authority which is discussed in the next section.

Annex H (Orders of Succession) provides a worksheet to identify positions responsible to act as successors to essential COOP personnel.

(2) Delegation of Authority

This section identifies, by position, the requirements and limitations to transfer authority for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as required and appropriate. Accountability provisions should be included with the delegation and circumstances described which

warrant termination of the authority. Additionally, this section should address development of a plan to train officials who may be expected to assume authorities.

Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels are resumed. However, it may be necessary for legal counsel to identify considerations and requirements associated with orders of succession.

All employees should be notified of the provisions of this section and documentation related to orders of succession should be treated as vital records.

Annex I (Delegation of Authorities) contains several worksheets that, when completed, will identify:

- Positions holding authorities
- Type of authority and responsibilities held by positions.
- Circumstances which trigger delegation.
- Procedures to transfer authorities.
- Rules, procedures and limitations related to delegations of authorities.

(3) Devolution of Command and Control

In the event, an organization is unable to resume all or part of their critical functions from either the primary or alternate facility, the devolution section should provide specific objectives that the department or jurisdiction must satisfy to transfer command and control of these essential functions to another organization that is prepared to accept these responsibilities.

A devolution plan should include:

- A roster of fully equipped and trained personnel at the devolution site with the authority to perform essential functions.
- Triggers which identify circumstances that initiate or activate the devolution option.
- Lists of necessary resources (people, equipment and material) required to perform essential functions at the devolution site.
- Established procedures to restore or reconstitute department or jurisdiction authorities to their pre-

event status.

A field office is best suited as a devolution site due to the availability of staff that are potentially more familiar with your department's or jurisdiction's essential business functions and may already possess some of the resource requirements.

2. Phase II – Alternate Facility Operations

This section identifies objectives necessary to support continued operations at the alternate facility. Objectives contained in this section should address how the department or jurisdiction will support:

- The continuation or re-establishment of communication capabilities.
- Notification requirements.
- Consideration of interdependencies.
- Access to vital records, equipment and systems.
- Satisfaction of deployment objectives outlined in Section 5 of the Basic Plan (COOP Responsibilities).
- The provision of administrative and logistical support at the alternate facility.
- Accounting for essential COOP personnel.
- Augmentation of COOP personnel with non-essential staff.
- Initial and continued access to resources necessary to ensure the health and safety of COOP staff and their families.
- The initiation and communication of status reports.
- Verifying the status of needed resources and requirements.
- Providing additional guidance to essential and non-essential COOP personnel on such issues and concerns as the duration of alternate operations, payroll, time, attendance, duty assignments, etc.
- Planning for the resumption of additional functions as resources become necessary and focusing on continued needs.

a. Vital Equipment and Systems

This section addresses the identification and recovery of vital equipment and systems necessary to support essential functions at the alternate site.

Information technology capabilities at the alternate site should include setting up/changing passwords, accessing network files, accessing the internet, accessing data stored on servers and back-up tapes, and accessing e-mail accounts.

Annex M (Vital Equipment & System) contains worksheets which can be used to identify:

- Systems and equipment necessary for the continued operation of critical processes or services.
- The location of vital equipment and systems, maintenance frequency and protection methods.
- The recovery priority of equipment/systems and dependant processes or systems.

Mitigation activities and responsibilities related to vital equipment and systems are discussed in Section 5.A of the Basic Plan (Mitigation)

b. Vital Records and Databases

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This section addresses the identification and recovery of vital records and databases, regardless of media, that are necessary to perform essential functions and activities at the alternate site. To the greatest extent possible, organizations should back-up electronic files, pre-position duplicate vital records at a separate facility preferably a hot or warm site acting as alternate facility.

There are two categories of vital records that need to be reviewed, prioritized and a methodology established to ensure up-to-date vital records are available at an alternate location within 12 hours of activation of the COOP plan: emergency operations and legal/financial records (See Annex A, Definitions & Acronyms for definition of record types).

The recovery of working records and documents is an additional consideration when the organization is in a position to return to the primary or replacement facility, or when additional business functions can be assumed by augmented staffing at the alternate facility.

Annex K (Vital Records) contains worksheets to aid in the identification of vital record. Annex L (Vital Record Protection & Recovery) provides additional worksheets to identify:

- Where vital records are kept, how often they are backed up, and current or additional protection measures.
- Record recovery and restoration resources necessary to support COOP operations at the alternate site and to recover vital records at the primary facility, if feasible.

Mitigation activities and responsibilities related to vital records are discussed in Section 5.A of the Basic Plan (Mitigation).

c. Interoperable Communications

This communications section discusses requirements necessary to sustain critical communication equipment and systems that are either located at or can be easily obtained for use at the alternate facility in a timely manner. Communication systems can include voice and data systems, and provide the capability to communicate with internal and external clients, critical customers and the public.

Annex N (Communication Systems) identifies worksheets that detail communication systems necessary to support essential functions, identifies communication service providers and services, optimal preventative and current controls, and alternative providers and/or modes of communications. These worksheets should be reviewed and updated on an annual basis or when a new critical function is identified.

3. Phase III – Reconstitution, Termination and Return to Normal Operations

Phase III should identify the necessary objectives for the return to normal operations at the primary or a new facility. It is recommended to have a reconstitution plan in place; however, in its absence, clarification of reconstitution planning objectives will guide the initial stages of the process.

Consideration should be given to appointing a reconstruction manager and team to lead this potentially complex initiative. The reconstitution manager and team will be responsible to:

- Develop space allocation and facility requirements.
- Secure space utilizing appropriate State or local procurement processes.
- Develop a time-phased plan to ensure an orderly return to normal operations.
- Ensure facility is structurally safe and it meets local occupancy requirements.
- Make necessary notifications.
- Transfer information and resources from the alternate facility with minimum disruption to essential business functions.

An After Action Report (AAR), to determine the effectiveness of COOP plans and procedures should be completed immediately after reconstitution and an Improvement Plan (IP) should be developed to track required plan and program modifications.

5. COOP RESPONSIBILITIES

In order for an organization or jurisdiction to safeguard its essential functions specific actions must be taken before, during and after a COOP event. This section defines mitigation, preparedness and response responsibilities necessary to prevent a COOP event, or to ensure in the event of a disaster that essential functions are resumed within 12 hours and the alternate facility is positioned to remain operational for up to 30 days. Checklists developed to assist in the implementation of these objectives are contained in Annex C (Operational Checklists).

A. Mitigation

Utilizing the hazard vulnerability analysis, opportunities should be identified to reduce or eliminate risks threatening personnel and/or critical facilities and assets. Mitigation objectives should be identified to minimize the vulnerabilities that could result in a COOP event. These mitigation measures should address the identification and protection of personnel, facilities, business assets, and vital records, equipment and systems. Mitigation plans and programs should include the development and maintenance of:

- Emergency Response Plan
- Vital Record Program
- Vital Equipment and System Program
- Employee and Family Preparedness Program
- Security and Access Control Plan

1. Emergency Response Plan

As discussed in Section 4.A of the Basic Plan (Emergency Response Plan), the development and maintenance of an ERP is an essential mitigation component of a COOP plan. This section should identify the components of an organization's ERP and identify organizational responsibilities to develop and/or maintain the department/jurisdiction plan.

2. Vital Record Protection Program

A vital record program must not only consider how to recover access to vital records at the alternate facility, but also how to manage vital records on a day-to-day basis. A good record management program is an essential back-drop to a protection and recovery strategy for vital records. Version control, archiving and periodic purging is necessary to keep the logistical requirements of these programs in check.

Establishment of a vital record protection and recovery program requires:

specifying the purpose and scope of the program, conducting an inventory of vital records with locations, conducting a risk assessment to identify record vulnerabilities, assigning program and planning roles and responsibilities, developing mitigation strategies and record protection methods, incorporating use of drive-away kits where necessary, securing off-site/alternate facility storage/access to vital records, ensuring access to vital records by providing resources to access media, providing staff training, and requiring periodic review and testing of the program

The determination of what constitutes a vital record is a management decision.

Annex L (Vital Record Protection & Recovery) can be used to document the departments or jurisdiction's vital record protection and recovery plan (Also review Section 4.B.2.b – Vital Records and Databases).

3. Vital Equipment and System Protection Program

A vital equipment and system protection program parallels the requirements of a vital record protection program except it concentrates on vital equipment and systems. The goal of these measures is to prevent an incident at your primary facility from impacting the ability of your organization to conduct essential functions. This section should outline mitigation measures taken by your department or jurisdiction to protect vital equipment and systems and who is responsible for these activities.

Annex M (Vital Equipment and Systems) can be used to record your department's or jurisdiction's vital equipment and system protection and recovery plan (See Section 4.B.2.a – Vital Equipment and Systems).

4. Employee and Family Preparedness Program

An Employee and Family Preparedness Program should provide information to all associates so they can develop their own family support plan and identify family support services that are near the alternate site. Depending on the severity of the incident, additional logistic consideration may have to be given to the needs of employee's families and pets such as liberal, short-term utilization of lodging resources available through employee travel benefits (See Employee Support, Section 6.C of the Basic Plan).

5. Physical and Cyber Security Program

This section should outline program objectives necessary to provide for the physical and cyber security of your primary and secondary site and identify organizational responsibilities.

B. Planning and Preparedness

Preparedness activities related to the COOP program include the development and maintenance of an all-hazards plan. Preparedness activities are broken down into three groups of responsibilities, department/jurisdictional executive and management staff, COOP program manager and essential COOP personnel (e.g. - supervisory leads of COOP response and recovery teams):

1. Executive and Management Staff

The heads of department or chief elected officials are generally considered to have the following responsibilities: identifying and prioritizing essential functions; appointing a COOP program manager; developing and approving a resourced, multi-year strategy and program management plan; developing, approving and maintaining COOP plans and supporting sub-processes; developing and approving mitigation strategies to protect vital records, equipment systems and other assets; conducting tests and training; participating in interdepartmental or inter-jurisdictional exercises; and coordinating activities related to terrorism and the protection of critical infrastructure.

A COOP program is destined to fail without this level of on-going leadership involvement and support.

2. COOP Program Manager/Coordinating Officer

The heads of department or chief elected officials should appoint a COOP Program Manager or COOP Coordinating Officer to be responsible for activities related to the strategic development, coordination and maintenance of a COOP program and plan. This position will additionally support the incident commander in a staff capacity to ensure proper activation of the COOP plan and effective utilization of response and recovery assets designed into the program. Additionally, this position should be responsible to submit a budget to executive staff to ensure the COOP multi-year strategy and program management plan is fully resourced.

3. Essential COOP Personnel

Department or jurisdictional managers, supervisory leads of COOP response and recovery teams and other essential COOP personnel have the following responsibilities: identification and prioritization of critical sub-processes and systems to support critical functions; identification, training and supervision of team members; identification of vital records, vital systems, and resources necessary to support essential functions; establishment of administrative and logistic procedures and checklists; establishment of communications, transportation and information

coordination plans; establishment of command and control strategies; establishment of financial management protocols; and coordination with management, staff and other COOP teams. The COOP program manager should take this information and develop or update the plan.

In the sections provide below, your organization's COOP response and recovery organization structure should be described and objectives listed. Preparedness activities include regular testing, training and exercises which are discussed in Section 7 of the Basic Plan (Training, Testing and Exercises).

C. Response Organization

In accordance with the Governor's December 20, 2004 proclamation implementing the National Incident Management System (NIMS), the recovery and response organization structure provided in this template conforms to components of the Incident Command Structure (ICS). Legal and regulatory requirements should be discussed with your solicitor.

Implementation procedures, organizational charts, personnel and resource requirements related to the response and recovery organization should be reserved for Annex J (COOP Response and Recovery Organization) and procedural checklists reserved for Annex C (Operational Checklists).

Below in parenthesis are some examples to the type of essential COOP personnel or response teams that may populate your response and recovery organization. Your department or jurisdiction's mission and essential functions will determine the characteristics of your response and recovery organization.

1. Incident Management

Responsible to determine objectives and establish priorities based on the nature of the incident.

(e.g. - Director/Incident Manager, Public Information Officer, Liaison Officer, Legal Counsel)

2. Operations Section

Develops tactical organization, directs all resources to carry out incident action plan and implements security and access controls.

(e.g. - Operation's Chief, COOP Coordinating Officer, Facility Advance Team/Coordinator, Operations Support Team/Coordinator)

3. Planning Section

Develop incident action plans to accomplish objectives, collect and evaluate information and maintain status of assigned resources.

(e.g. - Planning Chief, Situation Analysis Cell/Coordinator, Disaster Recovery Team/Coordinator)

4. **Logistics Section**

Provides resources, notifies the alternate facility manager to ready the site, assembles necessary documents and equipment, orders equipment and supplies not already in place, and coordinates all other services needed for support.

(e.g. - Logistics Chief, Vital Record Protection and Continuity Team/Coordinator, Communications Protection and Continuity Team/Coordinator, Information Technology Protection and Continuity Team/Coordinator, Facility Support Team/Coordinator)

4. **Finance/Administration Section**

Provide accounting, procurement and time recording. Monitor costs related to the incident; provide cost analysis and overall fiscal picture.

(Finance and Administration Chief, Human Resource Coordinator, Employee and Family Support Team/Coordinator, Financial Services Team/Coordinator)

D. **Recovery Organization**

In this section, describe components of your COOP recovery organization and outline their responsibilities. This organization is primarily responsible for the planning, development of procedures and activities which will result in the recovery and transition back to the Primary Facility. If that is not an available option, this organization can be tasked to prepare for occupancy a new primary facility.

6. LOGISTICS

This section discusses the satisfaction of logistical requirements related to the continued operation of alternate facility and the COOP program. The Logistics Section Chief, in conjunction with the COOP Program Manager, must ensure that deployment procedures developed by individual COOP Teams satisfy administrative and logical requirements and do not conflict with nor duplicate other COOP operations.

A. Alternate Facility

A critical element in COOP planning is the identification, preparation and on-going review of facilities that can be used to accomplish essential functions if the organization's primary facility becomes unusable. The initial and on-going use of an alternate facility should be based on the identification of requirements necessary to conduct essential functions taking maximum advantage of existing field infrastructure where possible. Additionally, a hazard vulnerability analysis should initially and routinely be conducted on this facility to ensure its appropriateness. This section should be used to describe the features of the alternate facility, available resources and points-of-contact. This information can be used by others to determine the continued appropriateness of the alternate facility.

Annex D (Alternate Facility) provides a worksheet to identify facility requirement by critical function to aid in the selection of an appropriate location and a table that can be used to record logistical requirements and contact information related to the alternate facility.

B. Resource Management

Following the identification and approval of Critical Business Functions and the COOP Recovery and Response Organization, essential COOP personnel identify the resource requirements necessary for them to relocate to the alternate facility and to continue operations. The satisfaction of resource requirements has to be coordinated between essential COOP personnel (e.g. – COOP team coordinators) and the Logistics Chief since logistics is responsible for providing facilities, services and material support for incident. The plan must document who is responsible for providing specific resources and the circumstance where this responsibility may shift, if any. Unspecified resource requests or procurements will be handled by the Logistic Chief or his designated personnel.

Resource management responsibilities include the pre-positioning of, preferably in an off-site or protected location of vital record and data bases; pre-positioning of resources at the alternate site; preparation and maintenance of emergency drive-away kits; travel of key personnel to the alternate facility as well as transfer of documents and needed communications, data processing and other equipment to the alternate site, and the availability of consumable supplies.

Procedures must additionally address specific actions personnel should take when they depart their work stations as well as resources they should take with them.

Annex O (Resource Management) can be used to record additional logistical or operational resource and contact information that may be needed to prepare for a COOP activation or continuation at an alternate site. In consultation with the Logistic Chief, satisfaction of resources requirements unique to operational

COOP activities can also be addressed in Annex J (COOP Response and Recovery Organization). Annex O also contains two tables that can be used to facilitate resource management requirements: vendor and contractor information, and record drive-away kits contents and maintenance.

1. Emergency Drive-Away Kits

The transition of operations to the alternate facility will occur more quickly and efficiently if all pertinent equipment, including communication equipment, vital records, plans and procedures, and administrative supplies are pre-located at the facility before a COOP event. Where this is not possible, departments and jurisdictions will find themselves considering the utilization of emergency drive-away kits.

Emergency drive-away kits are pre-packaged, up-to-date kits containing equipment, reference material and hard-to-find logistical support items needed to perform essential functions. Even with a well equipped alternate site, drive-away kits may still be required to transfer up-to-date data and other critical information and equipment.

The COOP plan must contain procedures which provide for the inventory and maintenance of drive-away kits and provisions that ensure on-going access to this vital information and/or equipment.

C. Employee Support

Employee support must address the provision of transportation, lodging and food for key staff working at the alternate site which may include short-term travel status when the facility is beyond commuting distance to their residences. Depending on the severity of the incident, additional consideration may have to be given to the needs of employee's families and pets (See Employee and Family Emergency Preparedness, Section 5.A.4 of the Basic Plan()).

Periodic communication with non-essential staff should also be considered in this section. This includes communications initiated by non-essential staff to permit activation or notification.

Annex Q (Employee and Family Support) identifies transportation, food and lodging requirements for personnel involved in supporting essential functions.

7. TRAINING, TESTING AND EXERCISES

This section should contain a strategy that provides your department or jurisdiction with a regularly scheduled, integrated testing, training and exercise program to ensure that an

organization's COOP program is capable of supporting the continued execution of its essential function throughout the duration of a COOP situation. Testing, training, and exercising familiarize department/jurisdiction staff members with their roles and responsibilities during an emergency, ensure that systems and equipment are maintained in a constant state of readiness, and validate aspects of the COOP plan.

A. Training

A COOP training program is driven by a multi-years strategy integrated into the department's or jurisdiction's training, testing and exercise program that provides staff with instructions in individual, team or department functions, procedures and responsibilities necessary to activate, sustain and terminate the COOP plan. The goal of a COOP training program is to maintain a roster of fully equipped and trained response personnel.

An effective COOP training program will provide for the following:

- Regularly scheduled training for all department personnel.
- COOP orientation training for new employees.
- Annual COOP awareness briefing for entire workforce.
- Annual individual and team training of COOP team members to develop knowledge and skills to implement the COOP plan and carry out essential functions.
- Refresher orientation for the COOP team when it arrives at the alternate site.
- Utilization of checklists to aid task-specific training of COOP teams.
- Support a progressive exercise program that concludes in a deliberate and preplanned movement of COOP personnel to the alternate site.

Training programs should be documented with an agenda, class roster, syllabus and utilize student evaluations to ensure on-going improvements.

B. Testing and Exercises

1. Testing

When alternate facilities have been identified and are made available, a COOP testing program will evaluate the logistical support, services and infrastructure (e.g. water, electrical, power, heating, air conditioning) of the alternate facility and validate that vital equipment and systems mentioned in the COOP plan conforms to specifications and operate in the required elements. COOP vital systems and equipment should be tested on an annual basis, and alert and notification procedures and systems on a quarterly basis.

2. Exercises

A COOP exercise is a focused practice activity that places the participant in a simulated situation requiring them to function in a capacity that would be expected of them in a real COOP event.

An effective COOP exercise program will have the following characteristics:

- Carefully planned exercises that will achieve identified goals.
- Exercises are made up of a series of increasingly complex exercise
- Each successive exercise builds upon the previous one.
- Incorporates 5 types of exercises: orientation seminar, drill, tabletop, functional exercise and full-scale exercise.
- After-action reports and corrective action plans are developed after each exercise. Identified deficiencies are corrected through program modification, plan changes and/or revised/updated training.

8. MULTI-YEAR STRATEGY AND PROGRAM MANAGEMENT PLAN

The organizational structures of state and local governments/jurisdictions change over time, as do the functions assigned to specific organizations. To ensure that COOP plans reflect current conditions, they should be reviewed as part of the training and exercise program and also when a change in organizational structures, function or mission and service to clients occur.

This section should discuss how the organization plans to develop their Multi-Year Program Strategy and Maintenance Plan (MYPSP). The MYPSP should address short and long term COOP goals, objectives, and timelines, budgetary requirements, planning and preparedness considerations, and planning milestones or tracking systems to monitor accomplishments.

An effective multi-year strategy and plan maintenance program will feature the following characteristics:

- Designation of a COOP review team that is organizationally positioned to identify items or issues that will impact the frequency of changes.
- Establishment of review cycles.
- Identification of resources requirements, including development of a COOP Multi-Year Budget Plan, to establish and maintain each element of a COOP plan for 5 years.
- Utilization of after-action reports and corrective action plans to address program and plan deficiencies.
- A schedule for completing establishment and maintaining a COOP capacity, including summary of key tasks and dates in chronological order, such as when management will review and approve COOP plans and procedures.

Following joint development of the initial COOP plan, the suggested responsibility of the COOP review team should include:

- Maintaining overall plan currency and readiness, to include procedures, equipment, system, personnel and rosters.
- Addressing and resolving COOP plan policy issues.
- Advising the head of the department or jurisdiction on COOP-related matters.
- Coordinating among related plans.
- Conducting training, testing and exercising
- Updating plans annually to incorporate lessons learned from testing and exercises as well as actual events or significant organizational changes that occur during the year. Key evacuation routes, roster and telephone information, as well as maps and room/building designations of alternate locations should be updated as changes occur.

Annex S (Multi-year Strategy and Program Management Plan) contains the following examples of the following tables that can be used to help organize and manage a multi-year strategy and program management plan:

- Multi-Year Program Development Strategy
- Multi-Year Program Budget
- Program Review Cycle and Plan Maintenance Schedule

9. COOP PLAN CERTIFICATION

To ensure that this plan is realistic and provides adequately for emergency performance of all essential function, this COOP plan should be cross-walked against Federal and State plan guidance provided in Annex U (COOP Plan Crosswalk). The completed cross-walk should be provided to the department head or chief elected official prior to the promulgation of the plan. Resolution of Identified deficiencies, if any, should be addressed in the Multi-year Strategy and Program Management Plan (See Section 8 of the Basic Plan).

A distribution strategy should be developed and added to Annex V (COOP Plan Distribution) to ensure that essential COOP personnel have on and off-site access to COOP planning and reference material. However, a distribution strategy will address the following:

- Consideration of other employee and the public “right-to-know”: against operational security.
- Limited distribution based on a “need to know”.
- Include distribution of a general summary of the plan distributed to other employees and the public.

9. COOP PLAN DISTRIBUTION

Development of a strategy is essential to control the distribution of a COOP plan. A well

designed distribution strategy will ensure that plan information is in the hands of personnel that may need the information following an event which warrants consideration of activation of the COOP plan. Many essential COOP personnel will not require access to the entire plan, but only the portions relevant to their duties and responsibilities. Non-essential personnel training requirements and the public's right-to-know may be satisfied by providing an overview of the department's or jurisdiction's COOP plan. Whatever your organization is advised by legal counsel, a distribution strategy should be discussed in this section and summarized in the table provided in Annex U.

ANNEX A

DEFINITIONS AND ACRONYMS

This annex should contain a list of key words, phrases, and acronyms used throughout the COOP plan and within the COOP community. Each key word, phrase and acronym should be clearly defined.

- A. **ACTIVATION:** When a COOP plan has been implemented whether in whole or in part.
- B. **ADVANCE TEAM:** Group of people assigned responsibility for preparing the alternate facility for operations once the activation decision has been made.
- C. **AFTER-ACTION REPORT (AAR):** A narrative report that presents issues found during an incident and recommendations on how those issues can be resolved.
- D. **ALTERNATE FACILITY:** An alternate work site that provides the capability to perform minimum essential functions until normal operations can be resumed.
- E. **CONTINGENCY STAFF/TEAM:** Personnel of a department or jurisdiction who are designated to report to the alternate facility during COOP implementation to ensure that the department or jurisdiction is able to perform its essential functions.
- F. **CONTINUITY OF GOVERNMENT (COG):** The term COG applies to the measures taken by a state or local government to continue to perform required functions during and after a severe emergency. COG is a coordinated effort within each branch of the government to continue its minimum essential responsibilities in a catastrophic emergency.
- G. **CONTINUITY OF OPERATIONS (COOP):** An internal effort within individual components (e.g. – executive, legislative, judicial branches) of a government to assure the capability exists to continue essential component functions across a wide range of potential emergencies, including localized acts of nature, accidents, and technological and/or attack-related emergencies.
- H. **COOP EVENT:** Any event that causes an department or jurisdiction to activate all or part of its COOP plan. It may or may not include relocation to an alternate site to assure continuance of essential functions.
- I. **COOP RESPONSE AND RECOVERY TEAM:** Individuals, identified by position, within a state department or local jurisdiction that are responsible for ensuring that essential functions are performed in an emergency and taking action to facilitate that performance, and to initiate planning necessary for the resumption of non-emergency operations at a primary facility.

- J. **CRITICAL CUSTOMERS:** Organizations or individuals for which a state department of local jurisdiction performs mission-essential functions.
- K. **DELEGATED AUTHORITY:** An official mandate calling on an individual holding a specific position to assume responsibilities and authorities not normally associated with that position when specified conditions are met.
- L. **DEVOLUTION:** The capability to transfer statutory authority and responsibility for essential functions from a department's or jurisdictions primary staff to other employees and facilities, and sustain that operational capability for an extended period of time.
- M. **DRIVE-AWAY KIT:** An easily transported set of materials, technology and vital records that will be required to establish and maintain minimum essential operations. Also referred to as a go-kit or fly-away kit.
- N. **EMERGENCY:** A sudden, usually unexpected event that does or could do harm to people, resources, property, or the environment. Emergencies can range from localized events that affect a single office in a building, to human, natural or technological events that damage, or threaten to damage, local operations. An emergency could cause the temporary evacuation of personnel or the permanent displacement of personnel and equipment from the site to a new operating location environment.
- O. **EMERGENCY OPERATIONS RECORDS:** Records that support the execution of the organization's essential functions.
- P. **ESSENTIAL FUNCTIONS:** Those functions, stated or implied, that state departments and local jurisdictions are required to be performed by statute, regulation or executive order or are otherwise necessary to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial and economical base in an emergency.
- Q. **ESSENTIAL OPERATIONS:** Those operations, stated or implied, that are required to be performed by statute or executive order or are otherwise deemed necessary.
- R. **ESSENTIAL COOP PERSONNEL:** Staff of an department or jurisdiction that are needed for the performance of the organization's essential functions.
- S. **INCIDENT ACTION PLAN (IAP):** An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods.

- T. **INCIDENT COMMAND SYSTEM (ICS):** A standardized on-scene emergency management construct specifically designed to provide for the adoption of integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is a combination of facilities, equipment, personnel, procedures, and communications operating with a common organizational structure, designed to aid in the management of resources during incidents.
- U. **INCIDENT COMMANDER (IC):** The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and releasing of resources. The IC have overall authority and responsibility for conducting incident operations and is responsible for the management of all incident management operations.
- V. **INTEROPERABLE COMMUNICATIONS:** Alternate communications that provides the capability to perform minimum essential functions, in conjunction with other agencies, until normal operations can be resumed.
- W. **LEGAL AND FINANCIAL RECORDS:** Records that are needed to protect the legal and financial rights of government and of the people affected by its actions.
- X. **LOGISTICS SECTION:** The section responsible for providing facilities, services and material support of an incident.
- Y. **MANAGEMENT PLAN:** An operational guide that ensures the implementation, maintenance and continued viability of the COOP plan.
- Z. **MISSION CRITICAL FUNCTIONS:** See Essential Functions.
- AA. **MITIGATION:** Any sustained action taken to reduce or eliminate the long-term risk to life and property from a hazard event.
- BB. **NATIONAL INCIDENT MANAGEMENT SYSTEM:** A system mandated by Homeland Security Presidential Directive #5 (HSPD-5) that provides for a consistent national approach for Federal, state, local and tribal governments; the private-sector, and non-governmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause size, or complexity.
- CC. **NON-ESSENTIAL PERSONNEL:** Staff of an department or jurisdiction who is not required for the performance of an organization's mission critical functions.
- DD. **OPERATIONS SECTION:** The section responsible for all tactical incident operations. In ICS, it normally includes subordinate branches, divisions and groups.

- EE. **ORDERS OF SUCCESSIONS:** Provisions for the assumption of senior department and jurisdictional offices and other positions held by essential COOP personnel when the original holder of those responsibilities and/or authorities is unable or unavailable to execute their duties.
- FF. **PLAN MAINTENANCE:** Steps taken to ensure the plan is reviewed annually and updated whenever major changes occur.
- GG. **PLANNING SECTION:** Responsible for the collection, evaluation and dissemination of operational information related to the incident, and for the preparation and documentation of the IAP. This section also maintains information on current and forecasted situation and on the status of resources assigned to an incident.
- HH. **PRIMARY FACILITY:** The site of normal, day-to-day operations; the location where the employee usually goes to work.
- II. **RECONSTITUTION:** The resumption of non-emergency operations at a primary facility following emergency operations at an alternate facility.
- JJ. **SITUATION REPORT (SITREP):** A written, formatted report that provides a picture of the response activities during a designated reporting period.
- KK. **VITAL RECORDS:** Electronic and hardcopy documents, references and records needed to support essential functions during a COOP event, to recover full operations following an emergency, and to protect the legal rights and interests of citizens and government. The two basis categories of vital records are emergency operating records (e.g.- plans and directives, orders of succession, delegations of authorities and staffing assignments) and rights and interests records.
- LL. **VITAL EQUIPMENT AND SYSTEMS:** Equipment and systems that are needed to support essential functions during a COOP event.

ANNEX B

HAZARD VULNERABILITY ANALYSIS

This annex should be used to document your department's or jurisdiction's hazard vulnerability analysis or disaster impact analysis.

COOP Planning Worksheets

The following worksheet and instructions will guide the user through a series of worksheet to aid in the development of a hazard vulnerability analysis. This analysis should be routinely conducted on the primary and alternate facilities. Mitigation measures should be reflected in the multi-year strategy and program management plan.

State Designation	Title	Purpose
None	Vulnerability Analysis Worksheet Instructions	Instructions to complete the Vulnerability Analysis Worksheet.
None	Vulnerability Analysis Worksheet	Assigns probabilities, estimates impact and assessing resources using a numerical system.
None	Security Analysis Checklist	Identifies strengths and weakness of your facility and security system
None	Mitigation/Prevention Worksheet	Identifies and organizes mitigation activities, time frame and costs related to correcting deficiencies.

Vulnerability Analysis

The key to preparedness lies in pre-emergency cooperation, evaluation, planning and coordination. Knowledge about the Agency's vulnerable areas is a fundamental requirement for emergency planning. In essence, the vulnerability analysis is an attempt, prior to an actual crisis to identify the types of risk and exposure an Agency faces, so that steps can be taken to reduce the risk and to improve the Agency's response should an event occur.

Planning/Preparation

Often the vulnerability analysis will focus on a department's or jurisdiction's services, structure and staffing while overlooking other vendors and organizations that are integral to the agency's mission. While not directly affecting the agency, a variety of circumstances (work stoppages, interruptions of transportation, natural disasters, severe snow and ice storms, etc.) could present a

requirement for an emergency management response if the agency relies solely on a single vendor for a specific service. The most valuable tool in determining what hazards present a risk to your facility is a completed and comprehensive Vulnerability Analysis.

Assess the vulnerability of your facility and agency within – the probability and potential impact of each possible emergency. Use the Vulnerability Analysis Worksheet Instructions to complete the Vulnerability Analysis Worksheet, which requires assigning probabilities, estimating impact and assessing resources, using a numerical system. The lower the score the better.

Facilities

You want to take a critical look at the structural and non-structural aspects of your facility to determine if corrective action can be taken that would reduce the likelihood of an incident or reduce the adverse impact should one occur. The Security Analysis Checklist will give you a better idea of the strengths and weaknesses of your facility and your security system. This analysis should also be reflected on the Vulnerability Analysis Worksheet and deficiencies addressed on the Mitigation/Prevention Worksheet, if feasible.

Mitigation

Based upon the Vulnerability Analysis Worksheet, the Mitigation/Prevention Worksheet should be used to identify and organize area of mitigation, time frame and costs related to correcting deficiencies.

VULNERABILITY ANALYSIS WORKSHEET

INSTRUCTIONS

TYPE OF EMERGENCY:

Utilizing the Vulnerability Analysis Worksheet (See below) list all potential emergencies that could affect your facility, including those identified by your State or local emergency management office. Consider both emergencies that could occur within your facility, and emergencies that could occur in your community and impact your facility

In all cases thoroughly analyze the potential impact of each of the types of situations on your agency, such as:

- Natural Hazards
- Fires
- Severe weather
- Earthquakes
- Hurricanes
- Tornadoes
- Technological
- Utility interruptions including electric, water, heat and communications
- Hazardous Materials (Nuclear, Biological, Chemical, Toxic)
- Transportation accidents
- Safety system failure
- Computer system failure
- Emergency notification system failure
- Criminal
- Break ins
- Civil disobedience
- Bomb threats/incidents
- Terrorist threats/incidents (Explosives, Nuclear, Biological, Chemical)
- Fire hazards
- Evacuation plan deficiencies
- Explosive materials

OTHER FACTORS TO CONSIDER:

Historical – Emergencies that have occurred in your community, general area, or at your facility (See Section 1.B.1 of the Basic Plan, Hazard Vulnerability Analysis)

Fires

Severe weather
Hazardous material incidents
Transportation accidents
Utility outages
Bomb/terrorist threats
Geographic – what can happen as a result of the facility’s location? Keep in mind:
Proximity to flood plains, seismic faults, and dams
Proximity to companies that produce, store, use, or transport hazardous materials
Proximity to major air, rail, highway, and waterway transportation routes
Proximity to nuclear power plants

Human Error: What emergencies can be caused by employee error? Are employees trained to work safely? Do they know what to do in an emergency? Human error is the single largest cause of workplace emergencies and can result from such things as poor training, poor maintenance, carelessness, misconduct, substance abuse, and/or fatigue.

Physical – What types of emergencies could result from the design or construction of the facility? Does the physical facility enhance safety? Consider:
Physical construction of the facility
Layout of equipment
Lighting
Proximity of shelter areas
Updated office designs/floor plans for use in an emergency

Regulatory – What emergencies or hazards are you regulated to deal with? What might your Agency be confronted with during the course of business?

PROBABILITY

In the probability column, rate the likelihood of each emergency’s occurrence. This is a subjective consideration, but useful nonetheless. Use a simple scale of 1 to 5 with 1 as the lowest possibility and 5 as the highest.

HUMAN IMPACT

Analyze the potential human impact of each emergency – the possibility of death or injury. Assign a rating in the Human Impact column of the Vulnerability Analysis Chart. Use a 1 to 5 scale with 1 as the lowest impact and 5 as the highest.

PROPERTY IMPACT

Consider the potential for losses and damages to property. Again, assign a rating in the Property Impact column, 1 being the lowest impact and 5 being the highest. Consider:

Cost to replace
Cost to set up temporary replacement

Cost to repair

BUSINESS IMPACT

Consider the potential loss of services and impact on the agency's mission. Assign a rating in the Business Impact column. Again, 1 being the lowest impact and 5 being the highest. Assess the impact of:

- Business Interruption
- Employees unable to report to work
- Customers unable to reach facility
- Violation of contractual/regulatory requirements
- Imposition of fines and penalties or legal costs
- Interruption of critical supplies

INTERNAL AND EXTERNAL RESOURCES

Next assess your resources and ability to respond. Assign a score to your Internal Resources and External Resources. The lower the score the better.

Internal/external resources are entities that an agency relies upon in order to perform a function, which if not available, could disrupt operations. For example, a common external resource to an agency is the provider of electric power. An agency may not be affected by an event but if the electric company were not operational, it would impact the agency's operations. In this example, if an agency's critical functions are an absolute mandate the agency may want to consider back up generators to ensure the continuation of operations.

When assessing your resources you need to decide whether the resource in the time of an emergency is a **STRONG** or **WEAK** resource on a scale of 1 to 5, with 5 being **WEAK**. Some possibilities for these terms follow:

Strong Resource: readily available, signed contract, available 24 hours a day, past experience was positive, ample supply of the resource, multiple suppliers from different geographical areas

Weak Resource: other priority in the event of any emergency, not sufficiently supplied in the case of a major disaster, does not have a 24-hour service number, single supplier

To help you decide, consider each potential emergency from beginning to end and each resource that would be needed to respond. For each emergency ask these questions:

Do we have the needed resources and capabilities to respond?

Will external resources be able to respond to us for this emergency as quickly as we may need them, or will they have other priority areas to serve? (If the answer is no, this would

be considered a WEAK resource.)

If the answers are yes (indication of STRONG resources), move on to the next assessment. If the answers are no, identify what can be done to correct the problem. For example, you may need to:

- Develop additional emergency procedures
- Conduct additional training
- Acquire additional equipment
- Establish mutual aid agreements
- Establish agreements with additional contractors/vendors

TOTAL

Add the scores for each emergency. The lower the score the better. While this is a subjective rating, the comparisons will help determine planning and resource priorities. Events with a higher score should be considered a priority in mitigation, prevention and planning.

SECURITY ANALYSIS CHECKLIST

Agency: _____

Building: _____

Person Inspecting the Building: _____

Date(s) Of Inspection: _____

Landscaping:

- If there are bushes or vines next to a building, keep them trimmed and cut back so the building and its windows can be seen.
- Remove items that create blind spots or hiding places.
- Remove unnecessary ornamental items such as window boxes or planters.
- Allow only those cars and trucks that are properly identified near the building. All other vehicles should park 300 feet away.
- Make sure that proper lighting illuminates walkways and doorways. Use lighting to eliminate shadows and dark hiding places.
- Keep dumpsters and other trash receptacles 100 feet away from the building.

Doors:

- Make sure that all exterior doors have hinges and pins that are on the inside of the building.
- Exterior doors should be solid wood or constructed of sheet metal. Hollow wooden doors should only be used on the building's interior. Also, exterior doors should be hung inside a steel doorframe for additional security.
- Overhead doors should be pad locked.
- Doors not routinely used, such as boiler room or elevator control rooms should be kept locked. Keep keys to these doors inventoried and if one is missing, replace the locks.

Windows:

- If a window opens, make sure it has a lock that works.
- Lock all windows when the building is not in use.
- Blocks of wood or heavy dowels can prevent a window from opening all the way.
- Air conditioners should be bolted into the wall to prevent someone from easily removing them.
- Glass breaks easily – consider using laminated, tempered, or wire backed glass, or even plastic.
- If your building has a security system, make sure it has glass break detectors near large windows.
- Secure basement windows with metal grates or grills.

Locks:

- Use quality locks.
- Exterior doors should have dead bolt locks.
- If any keys are unaccounted for, replace the locks.

- Storage sheds should be padlocked.

Structural Assessment:

- A building diagram should be kept off site as a vital record.
- An emergency generator and an alternate generation unit should be available which supports the power supply of the facility.
- There are back-ups for utilities (gas, water, sewer, etc...).
- There are procedures to locate and control the HVAC unit.
- Personnel know where there is a structurally sound and well ventilated area in the facility away from glass and heavy loose objects.
- It is known which equipment operates on the back-up power system and which become inoperable when the power is down.
- Rooms are left open if you do not have keys.

Miscellaneous:

- If possible, have security guards control each public access.
- If possible, have security guards roam the facility, or have a security guard visibly monitoring the grounds via Closed Circuit TV.
- Closed Circuit TV systems, access control, and burglar alarms all reduce a facility's vulnerability. Make them visible.
- Mail and packages are screened before being delivered
- Post signs that clearly state to all visitors and vendors that their actions are being monitored.
- Employees should wear their identification in a plainly visible manner.
- Visitors should wear "visitor" badges and be checked in by security personnel.
- Visitors are required to sign in.
- Identification badges are routinely checked.
- Surge protectors are used, or the building electrical system protected against surge.

- Finally, go back to the drawing board and sit down to figure out how and what can be done to minimize or even eliminate these security vulnerabilities. Ensure the Vulnerability Analysis Worksheet reflects your security analysis and define those issues that need to be resolved in the Mitigation/Prevention Spreadsheet.

**MITIGATION/PREVENTION
SPREADSHEET**

Based upon the vulnerability assessment, attention should be directed at taking steps to enhance the safety, security and continuity of operations.

Criteria for Estimates:

TIME FRAME:

Short Term < 3 months
Intermediate 3 months to 1 year
Long Term > 1 year

COST:

Low < \$10,000
Medium \$10K to \$25 K
High > \$25,000

Area of Mitigation	Time Frame	Cost	Comments
<i>Define issue</i>	<i>Long, Intermediate, short term</i>	<i>High, Medium, Low</i>	
Primary/Alternate Facility			
<i>Develop Standard Operating Procedure to deactivate/control building air handling systems during emergencies/disasters.</i>	<i>Intermediate</i>	<i>Low</i>	
Vital Records			
Vital Equipment & Systems			
Physical/Cyber Security			
Personnel/Safety			
Training, Testing, Exercises			
Program Strategy & Maintenance			
Resource Management			
Other			

ANNEX C

OPERATIONAL CHECKLISTS

This annex should contain operational checklists for use during a COOP event. This annex and specific title of operational checklist should be referenced in the plan to encourage utilization of checklists when plan is activated. A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at the alternate location.

Additionally, checklists are valuable training tools and simplify plan updates by potentially limiting the impact of changes on other parts of the plan.

Checklist can be used to list responsibilities of a specific individual, COOP team or the steps required to complete a specific task. The following table should be completed to summarize the operational checklists contained in this annex.

Operational Checklist	Page
<i>Activation Readiness Checklist</i>	<i>C -</i>
<i>Deployment Readiness Checklist</i>	<i>C -</i>
<i>Operational Readiness Checklist</i>	<i>C -</i>

Activation Readiness Checklist

The following checklist includes the activities you will need to complete to ensure your activation readiness. These are activities that should be completed as soon as possible, i.e., in advance of an activation of the COOP plan. Use the blank lines at the end of the checklist to add other activation readiness activities that you will need to complete.

Completed	Activity
	<p><i>Obtain and wear your ____-issued pager</i></p> <ul style="list-style-type: none"> ▪ <i>If you have problems receiving or responding to a page, promptly contact _____</i> ▪ <i>If your pager is broken or malfunctioning, promptly contact _____</i>
	<i>Respond to an alert notification using standard response procedures</i>

Deployment Readiness Checklist

The following checklist includes both activities you will need to complete and activities you may want to consider. You should use this checklist in two ways. First, you should use it now as a tool to help you identify the actions you can and should complete in advance. If any of the items in the checklist do not apply to you, you should determine that now and line through them. You should also add activities you will need to consider in the blank lines at the end of the checklist. The key is to tailor the checklist to your specific situation and requirements.

Upon activation and *prior* to deployment, you will use the checklist for readiness verification purposes. In other words, you will check off each entry to verify that you have completed all applicable activities/actions, including those you have added.

Completed	Not Required/ Applicable	Activity
		<i>Notify family and friends of your deployment</i>
		<i>Implement your existing plans for dependent care (i.e., notify childcare providers, schools, etc.)</i>
		<i>Obtain your organization's drive-away kit (You may not be able to complete this activity if the activation occurs during non-duty hours and the kit is in your office.)</i>
		<i>Record a new greeting on your office voicemail that indicates your new office number</i>
		<i>Pack these necessary items:</i>
		▪ <i>Identification badge</i>
		▪ <i>Driver's license</i>
		▪ <i>Government-issued travel charge card, if applicable</i>
		▪ <i>Health insurance card</i>
		▪ <i>Prescription card</i>
		▪ <i>GETS card, if applicable</i>
		<i>Pack map/directions to the alternate facility</i>
		<i>Obtain emergency contact numbers (business and personal)</i>
		<i>Obtain and pack required medications and medical equipment</i>
		<i>Pack special needs items you require during the day:</i>

Completed	Not Required/ Applicable	Activity
		<ul style="list-style-type: none"> ▪ Glasses
		<ul style="list-style-type: none"> ▪ Hearing aids and batteries
		<ul style="list-style-type: none"> ▪ Vitamins
		<ul style="list-style-type: none"> ▪ Extra medications
		<ul style="list-style-type: none"> ▪ Contact lens supplies
		Obtain adequate cash/credit cards
		Pack clothing (if you plan to use or are directed to use onsite housing at the alternate facility)
		Pack a jacket appropriate for the season regardless of your housing status
		Pack personal hygiene/toiletry items if you plan to use onsite housing
		<ul style="list-style-type: none"> ▪ Soap
		<ul style="list-style-type: none"> ▪ Shampoo
		<ul style="list-style-type: none"> ▪ Razor
		<ul style="list-style-type: none"> ▪ Blow dryer
		<ul style="list-style-type: none"> ▪ Toothbrush
		<ul style="list-style-type: none"> ▪ Toothpaste
		<ul style="list-style-type: none"> ▪ Contact lens supplies
		Pack a flashlight and extra batteries if you plan to use onsite housing
		Fill your personal vehicle with gas if you are driving to the alternate facility
		Deploy to the alternate facility in accordance with the instructions provided in notification message and in accordance with the COOP Plan

Operational Readiness Checklist

This checklist includes activities you can complete to ensure your operational readiness. This checklist should be completed as soon as possible and *prior* to an actual activation of the COOP Plan. Use the blank lines at the end of the checklist to add other operational readiness actions you will need to complete.

Completed	Not Required/ Applicable	Activity
		<i>Identify vital files, records, and databases needed for COOP operations and verify their accessibility at the alternate facility (e.g., pre-position them at the facility, place them in a drive-away kit)</i>
		<i>Prepare a drive-away kit (if applicable)</i>
		<i>Obtain building and office assignment from _____</i>
		<i>Visit assigned workspace at the alternate facility</i>
		<i>Identify software requirements and forward them to _____</i>
		<i>Identify hardware requirements and forward them to _____</i>
		<i>Identify office furniture and equipment requirements and forward them to _____</i>
		<i>Determine the essential functions you will perform</i>
		<i>Read COOP-related plans, policies, and procedures</i>

ANNEX D

ALTERNATE FACILITY

This annex provides a location to record general information about the alternate facility and resource requirements of the facility that must be met to prepare the site to support essential functions. Section 6.A of the Basic Plan (Alternate Facility) additionally provides a table to record required resources needed to activate the alternate site and contact information to secure critical services.

The form on the following page can be used to record critical alternate facility information and contact information to secure or maintain critical functions or services required at the alternate site upon activation.

ALTERNATE FACILITY INFORMATION

Facility Name: _____

Address: _____ **Telephone:** _____

Basic Facility Specifications

Number of Private Offices: _____ Number of Parking Stalls: _____

Number of cubicles: _____ Loading dock: Yes No

Number of conference rooms: _____ Handicapped accessible? Yes No

Communications

Number of commercial telephone lines available? _____

Number of secure telephone lines available? _____

Two-way radio support infrastructure? Yes No

Office Equipment Available

Number of desks: _____ Number of Computers: _____

Number of chairs: _____ Number with internet access: _____

Number of telephones: _____ Number of department e-mail access: _____

Number of copiers: _____ Office Supplies Yes No

Number of fax machines: _____ Loading dock: Yes No

Utilities

Contact Name

Telephone

Water _____

Electricity _____

Natural Gas _____

Telephone _____

Cable TV _____

Security _____

Maintenance _____

Housekeeping _____

Local Post Office _____

Relocation Support

Name

Telephone

Local Hotel _____

Local Dining _____

COOP Planning Worksheets

Worksheet #20, Requirement for Alternate Work Site, provides a planning mechanism to identify the requirements by essential function that must be considered in the selection of an alternate facility. This information should be maintained in the COOP plan to record facility requirements that will change over time. This worksheet(s) should be reviewed and updated on an annual basis or when a new critical function is identified.

State Designation	Title	Purpose
Worksheet #20	Requirements for Alternate Work Site	Used to identify requirements for the alternate work site by essential function.

ANNEX E

RELOCATION PLAN

This annex should also provide maps, driving directions, evacuation routes from the primary facility to the alternate facility, personnel and resource transportation requirements, and resources to address requirements during working and non-working hours.

ANNEX F

ESSENTIAL FUNCTIONS

During the initial stages of development of the COOP plan it is necessary to identify essential functions and critical processes/services. The following worksheets provide a systematic approach to ensure a complete listing of essential functions and critical processes/services that must be supported within the COOP plan. Essential functions are also summarized in Section 2 of the Basic Plan (Essential Functions and COOP Personnel).

For each critical function, it is necessary to identify any activity that can not be interrupted or become unavailable without risking the ability of the organization to perform that function. These are referred to as 'critical process and services' in the following worksheets.

Once essential functions, and critical processes and services are listed it is useful to prioritize them to ensure that staff focuses on key functions during an emergency and guide the proper allocation of scarce resources. Recovery Time Objectives (RTOs) will vary depending on the mission and structure of the organization.

COOP Planning Worksheets

The following worksheets should be used to identify essential COOP personnel for each essential function and record their 24-hour contact information. This worksheet(s) should be reviewed and updated on an annual basis or when a new critical function is identified. Once completed, the worksheets and resulting information should be reviewed and updated on an annual basis or when there is a major programmatic change within the organization

State Designation	Title	Purpose
Worksheet #1	Essential Functions	List all department functions & identify essential functions.
Worksheet #3	Resource Requirements for Critical Processes & Services Support Essential Functions	Initial identification of resource requirements to support essential functions by critical process/service.
Worksheet #4	Priority of Processes & Services Supporting Essential Functions	Rank the priority of critical processes and services.
Worksheet #5	Priority of Essential Functions	Rank the priority of essential functions.

**Resource Requirements for Critical Processes and Services
Supporting Essential Functions**

(PA CoG Worksheet #3)

Complete a separate worksheet for each essential function. First, list critical processes and services that support the function identified in the first column. Next, determine the personnel needed to perform that service, and in the last column list all records, equipment and systems needed to make that essential function operable.

Essential Function : _____

Critical Process or Service	Personnel	Records	Limitations

Priority of Critical Processes & Services Supporting Essential Functions

(PA CoG Worksheet #4)

Complete this worksheet for each essential function. In the first column, list the critical processes or services identified in Worksheet #3, Resource Requirements for Critical Processes and Services Support Essential Functions. In the second column, estimate the Recovery Time Objective (RTO) and/or Recovery Point Objective (RPO), if applicable, for that process or service.

Essential Function: _____

Critical Process or Service	RTO	RPO
<i>Client Communications</i>	<i>1 hour</i>	.

ANNEX G

ESSENTIAL COOP PERSONNEL

COOP Planning Worksheets

The following worksheets should be used to identify essential COOP personnel for each essential function and record their *24-hour contact information*. These worksheets should be reviewed and updated on a quarterly basis. This worksheet(s) should be reviewed and updated on an annual basis or when a new critical function is identified.

State Designation	Title	Purpose
Worksheet #12	Essential Functions and COOP Personnel	List all department essential functions & identify key personnel necessary to support these functions.
Worksheet #27	Personnel Contact List (Rapid Recall List)	Documents a call list for key personnel and other critical contact information.

Essential Functions and Essential COOP Positions

(PA CoG Worksheet #12)

Identify positions for each essential function in the department. The first row is an example.

Essential Function	Essential COOP Positions
<i>Women, Infants and Children Nutrition Program</i>	<i>1. Director 2. Database Manager 3. Regional Coordinator 4. WIC Center Manager</i>

Essential COOP Personnel Contact List

(PA CoG Worksheet 27 & Table B-2, FPC 65)

The Essential COOP Personnel Contact List is a cascade call list and critical contact information for all department or jurisdiction personnel (e.g. - COOP team members, key personnel, management personnel) that are needed for the performance of the organization's essential functions.

Employee Cascade List (Position)	Last Name, First Name	E-mail Addresses (Work & Home)	Phone #	Page #
<i>Department Head</i>		Office: Home:	Office: Home: Cell:	
<i>COOP Team</i>		Office: Home:	Office: Home: Cell:	
• <i>Employee A</i>		Office: Home:	Office: Home: Cell:	
• <i>Employee B</i>		Office: Home:	Office: Home: Cell:	
• <i>Employee C</i>		Office: Home:	Office: Home: Cell:	

Employee Cascade List	E-mail Addresses (Work & Home)	Phone #	Page #
<i>Essential COOP Personnel</i>	Office: Home:	Office: Home: Back-up: Cell:	
• <i>Employee F</i>	Office: Home:	Office: Home: Back-up: Cell:	
• <i>Employee G</i>	Office: Home:	Office: Home: Back-up: Cell:	
• <i>Employee H</i>	Office: Home:	Office: Home: Back-up: Cell:	
• <i>Employee I</i>	Office: Home:	Office: Home: Back-up: Cell:	

ANNEX H

ORDERS OF SUCCESSION

COOP Planning Worksheets

Utilizing Worksheet #12, Essential Functions and COOP Personnel (See Annex G), a list of positions should be developed to assume the authority of key positions should a vacancy (See Annex G, occur during the activation and/or operation of a COOP plan. The following worksheet should be used to identify successors to key positions by critical function. This worksheet(s) should be reviewed and updated on a quarterly basis. This worksheet(s) should be reviewed and updated on an annual basis or when a new critical function is identified.

State Designation	Title	Purpose
Worksheet #13	Order of Succession	Identify Successors to key positions.

ANNEX I

DELEGATION OF AUTHORITIES

COOP Planning Worksheets

The following worksheets can be used to identify authorities, positions holding authorities, conditions which trigger the delegation of authority and the procedure to implement the delegation of authority by position. These worksheets should be reviewed and updated on an annual basis. This worksheet(s) should be reviewed and updated on an annual basis or when a new critical function is identified.

State Designation	Title	Purpose
Worksheet #6	Authority to be Delegated	To identify positions holding authorities, conditions which trigger the delegation of authority and the procedure to activate the delegation.
Worksheet #7	Delegation of Authority: Rules, Procedures & Limitations.	To identify rules, procedures and limitations affecting delegation of authority by position.

Authority of be Delegated

(PA CoG Worksheet #6)

In this task, using the sample line as a model, identify and describe the authority, and list those conditions that will trigger delegation of authority.

Authority	Type of Authority	Position Holding Authority	Triggering Conditions
<i>Close the office</i>	<i>Emergency Authority</i>	<i>Office Manager</i>	<i>When conditions make coming to or remaining in the office unsafe</i>
<i>Make budgetary proposals or recommendations</i>	<i>Administrative authority</i>	<i>Department head: Comptroller</i>	<i>When the department head & comptroller are not available.</i>

Delegation of Authority: Rules, Procedures and Limitations

(PA CoG Worksheet #7)

Complete this worksheet for each position identified in the third column of Worksheet #6, Authority to be Delegated. Indicate the position on the line below and then list any rules for the delegation that may exist, outline procedures for the delegation including notification of relevant staff of the transfer of power, and limitations on the duration, extent and scope of the delegation.

Position: _____

Rules	Procedures	Limitations

ANNEX J

COOP RESPONSE AND RECOVERY ORGANIZATION

This section should contain organizational charts, implementation procedures, personnel and resource requirements and information utilized by essential COOP personnel and teams that make up your department's or jurisdiction's response and recovery organization following activation. Consideration should be given to referencing operational checklist in this annex but physically locating them in Annex C (Operational Checklists) for the sake of conformity.

The following table should be used to organize recovery and response information related to the activation of essential COOP personnel and teams that make up the response and recovery organization.

COOP Response and Recovery Organization	Page
<i>Incident Manager</i>	<i>J -</i>
<i>Public Information Officer</i>	
<i>Liaison Officer</i>	
<i>Operation Chief</i>	
<i>COOP Coordinating Officer</i>	
<i>Facility Advance Team</i>	
<i>Operations Support Team</i>	
<i>Planning Chief</i>	
<i>Situation Analysis Cell</i>	
<i>Disaster Recovery Team</i>	
<i>Logistic Chief</i>	
<i>Vital Record Protection & Continuity Team</i>	
<i>Communication Protection & Continuity Team</i>	
<i>Information Technology Protection & Continuity Team</i>	
<i>Facility Support Team</i>	
<i>Finance and Administration Chief</i>	
<i>Human Resource Coordinator</i>	
<i>Employee and Family Support Team</i>	
<i>Financial Services Team</i>	
<i>Other</i>	

ANNEX K

VITAL RECORDS

COOP Planning Worksheets

The following worksheet should be used to list those records that are absolutely necessary for the continued operation of essential functions, and critical processes and services. These vital records are listed by critical function. This worksheet(s) should be reviewed and updated on an annual basis or when a new critical function is identified. This worksheet(s) should be reviewed and updated on an annual basis or when a new critical function is identified.

Designation	Title	Purpose
FEMA Table G-1, FPC #65	Vital Files, Records & Databases	To identify those records that are absolutely necessary for the continued operation of essential functions

Vital Records, Files & Databases

(Table G-1, FPC 65)

List those records that are absolutely necessary for the continued operation of essential function.

Essential Function: _____

Vital Files, Record or Database	Form of Record (i.e. –hardcopy, electronic)	Pre- positioned at Alternate Facility	Hand Carried to Alternate Facility	Storage Location	Maintenance Frequency
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		
		<input type="checkbox"/>	<input type="checkbox"/>		

Record Series Inventory Form

Date:	Contact Name:		
Office/Bureau/Section/Jurisdiction:			
Series Title:	Record Location: (Be Specific)		
Series Description:			
Purpose (Legal Requirement and/or reason series was created):			
This series contains the following kinds of documents (Check all that apply)			
<input type="checkbox"/> Technical Reference	<input type="checkbox"/> Office Administrative	<input type="checkbox"/> Federal Grants	<input type="checkbox"/> Interdepartmental
<input type="checkbox"/> Program Management	<input type="checkbox"/> Program Development	<input type="checkbox"/> Budget/Fiscal Documents	<input type="checkbox"/> Communications
<input type="checkbox"/> Contract Deliverables	<input type="checkbox"/> Contract Information	<input type="checkbox"/> Regulations/Directives/Circulars	<input type="checkbox"/> Legal
<input type="checkbox"/> Emergency Plans	<input type="checkbox"/> Procedures	<input type="checkbox"/> Policies	<input type="checkbox"/> Investigation
<input type="checkbox"/> Correspondence	<input type="checkbox"/> Program Records	<input type="checkbox"/> Legislation	<input type="checkbox"/> Other:
<input type="checkbox"/> Training Material	<input type="checkbox"/> Interdepartmental Agreement	<input type="checkbox"/> Manuals/Checklists	
Are these convenience copies for your reference only? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If yes, who has the official copy?			
Estimated Volume (Cubic Ft) <u>Current</u> <u>Annual</u>	Date Range <u>Start</u> <u>End</u>		
How long is this material needed for administrative/programmatic use?			
For legal reasons (if known)?			
RECORD PROTECTION/RECOVERY METHOD <input type="checkbox"/> Fireproof Container <input type="checkbox"/> On-site Go-Kit <input type="checkbox"/> Off-site Go-Kit. <input type="checkbox"/> Record Storage Vendor <input type="checkbox"/> State Archive <input type="checkbox"/> Other:	FINDING AIDS <input type="checkbox"/> File index <input type="checkbox"/> File Plan <input type="checkbox"/> Shelf list <input type="checkbox"/> None <input type="checkbox"/> Other:	FILE CONTROLS Access <input type="checkbox"/> Open <input type="checkbox"/> Closed Locks <input type="checkbox"/> Yes <input type="checkbox"/> No Are written policies or procedures in place? <input type="checkbox"/> Yes <input type="checkbox"/> No	DUPLICATION <input type="checkbox"/> Original <input type="checkbox"/> Copy <input type="checkbox"/> Signed Copy <input type="checkbox"/> Official Copy Other Copy Locations: <input type="checkbox"/> At _____ <input type="checkbox"/> At _____ <input type="checkbox"/> At _____ <input type="checkbox"/> Other:
MEDIUM <input type="checkbox"/> Paper <input type="checkbox"/> Ltr <input type="checkbox"/> Lgl <input type="checkbox"/> Microform <input type="checkbox"/> Network File <input type="checkbox"/> Diskette/CD <input type="checkbox"/> Audiovisual <input type="checkbox"/> Maps/Drawings <input type="checkbox"/> Other:	ARRANGEMENTS <input type="checkbox"/> Subject <input type="checkbox"/> Chronological <input type="checkbox"/> Alpha/numeric <input type="checkbox"/> Alpha <input type="checkbox"/> Numeric by:	LEGAL STATUS <input type="checkbox"/> Official <input type="checkbox"/> Supporting files <input type="checkbox"/> Working papers <input type="checkbox"/> Reference material <input type="checkbox"/> Convenience copy	STORAGE CONTAINER <input type="checkbox"/> Lateral <input type="checkbox"/> Vertical <input type="checkbox"/> High density <input type="checkbox"/> Book shelf <input type="checkbox"/> Box <input type="checkbox"/> Desk drawer
PURGE FREQ.	RESTRICTIONS		

<input type="checkbox"/> End of year <input type="checkbox"/> On clean up days <input type="checkbox"/> Periodically <input type="checkbox"/> Never purged <input type="checkbox"/> Other:	<input type="checkbox"/> Vital <input type="checkbox"/> Subject to audit <input type="checkbox"/> Required for Operations	<input type="checkbox"/> Confidential <input type="checkbox"/> Archival <input type="checkbox"/> Other:
--	---	---

RECORD SERIES INVENTORY FORM INSTRUCTIONS

Complete an inventory form for each vital record series that support an identified department or jurisdiction critical business function.

A “record series” is defined as file units or other documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt or use, such as restrictions on access and use.

CONTACT NAME: First & last name & Title of person that is responsible to ensure record series is properly maintained and backed-up in a manner that would be available to the Department at an alternate site following an emergency or disaster.

SERIES TITLE: Each series should be given a title for brief reference (Examples: general correspondence, manual, plans, operating procedures, leave records, office administrative files, etc.)

RECORD LOCATION: The exact location in the facility where the document is located (i.e. – 2nd floor, NW corner near photocopier). Don’t use employee’s desk locations as references.

SERIES DESCRIPTION: Each series description should contain enough information to show the purpose, use and subject content of the records. Follow these guidelines:

1. Avoid emphasizing form numbers, especially when describing case files.
2. Consider combining into a single inventory item a number of very small series of temporary records if they serve the same function and/or are proposed for the same retention period.
3. Avoid terms, such as "miscellaneous" or "various," that add nothing to the description.
4. Give special attention to describing potentially permanent records, because the Department requires more detailed information on them.

ESTIMATED VOLUME: Indicate the volume of records in cubic feet:

- Letter-size draw or box = 1.5 cu. ft.
- Legal-size draw or box = 2.0 cu. ft.
- Letter-size, 36” shelf = 2.0 cu. ft.
- Legal-size, 36” shelf = 2.5 cu. ft.

ANNUAL GROWTH: Estimate annual growth for each record series, if the records are current and continuing, in cubic feet.

DATE RANGE: List the earliest and latest dates of the records in each series. If the series is still

being created at the time of the inventory, indicate the latest date by the designation "to date" or "to present."

RECORD PROTECTION/RECOVERY METHOD (Mandatory Field): All organizational components in PEMA that maintain vital records which support critical functions have processes in place to protect and recover vital records. Identify the method(s) proposed to protect/recover records for use in an alternate facility following a COOP emergency or disaster.

FINDING AIDS: Identify any document or system that records the file organization used to store vital records.

FILE CONTROLS: Identify if there are access restrictions to records, if records are secured and/or if there are written procedures in place that address record maintenance, protection and/or recovery.

ANNEX L

**VITAL RECORDS
PROTECTION AND RECOVERY**

This annex can be used to incorporate the department's or jurisdiction's record management and protection plan.

COOP Planning Worksheets

The following worksheets identify where vital records are kept, how often they are backed up, current or additional protection measures and resources available to recover records.

State Designation	Title	Purpose
Worksheet #15	Vital Records Protection Methods	To identify where vital records are kept, how often they are backed up and current or additional protection measures
Worksheet #16	Restoration and Recovery Resources	To list record recovery and restoration resources.

Vital Record Protection Methods
(PA CoG Worksheet #15)

For each vital record identified in Table G-1, FPC 65, Vital Records, Files & Databases, (See Annex K), list where the records are 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)	Additional Protection Method(s)
<i>Emergency Operation Plan</i>	<i>Microfilm copies at headquarters; hard copies in offices of management personnel.</i>	<i>Review and Revision Annually</i>		
<i>Payroll Records</i>	<i>Off-site storage facility in Annapolis area</i>	<i>Backed up weekly on Mondays</i>	<i>Second Database maintained in separate system at a secured site.</i>	

Restoration and Recovery Resources
(PA CoG Worksheet #16)

List 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
<i>Historical and Museum Commission</i>	<i>Bureau of Archives and History.</i>		<i>Consulting; Limited Damage Assessment and Restoration of paper records.</i>

ANNEX M

VITAL EQUIPMENT AND SYSTEMS

COOP Planning Worksheets

The following worksheets identifies those systems or equipment that are absolutely necessary for the continued operation of critical processes or services, lists location of equipment/systems, maintenance frequency, protection methods, rates the priority of equipment/systems and identifies other dependant processes or systems. This worksheet(s) should be reviewed and updated on an annual basis or when a new critical function is identified.

State Designation	Title	Purpose
Worksheet #17	Vital Systems and Equipment	To list by essential function those systems or equipment that are absolutely necessary for the continued operation of critical processes or services.
Worksheet #18	Vital System and Equipment Protection Methods	To list location of equipment/systems, maintenance frequency and protection methods.
Worksheet #19	Vital System and Equipment Priority	To rate priority of equipment/systems and to identify dependant processes or systems.

ANNEX N

COMMUNICATION SYSTEMS

COOP Planning Worksheets

The following worksheets detail communication systems that support critical processes and services and in turn associated essential functions, identifies communication service providers and services, optimal preventative and current controls, and alternative providers and/or modes of communications. These worksheets should be reviewed and updated on an annual basis or when a new critical function is identified.

State Designation	Title	Purpose
Worksheet #24	Communication Systems Supporting Essential Functions	Lists communication systems that support critical processes and services and associated essential functions.
Worksheet #25	Preventative Controls for Communication Systems	To identify optimal preventative controls for each communication systems and list those currently in place.
FEMA Guidance, Toolkit F.7	Alternative Modes of Communication	To identify alternative providers and/or modes of communication.

Communication Systems Supporting Essential Functions

(PA CoG Worksheet #24)

Complete a worksheet for each essential function. Review information already gathered on vital systems and equipment for clues on communication systems that support critical processes and services and in turn their associated essential functions. In this chart, list the current vendor and its contact information; services that the vendor is currently providing the department; and any special emergency services the vendor has to offer.

Essential Function: _____

Communication Mode	Current Provider	Services Provided	Special Services Available

Preventative Controls for Communication Systems

(PA CoG Worksheet #24)

Complete a worksheet for each facility and indicate whether the facility is a primary or alternative work site. Identify all optimal preventative controls for each communication system and then list the preventative controls currently in place for that mode of communication.

Work Site: _____ Primary or Alternate? _____

Communication System	Optimal Preventative Controls	Preventative Controls Currently in Place

Alternate Modes of Communication

(FEMA Guidance Toolkit F.7)

Copy the information gathered in Worksheet #24, Communication Systems Supporting Essential Functions, into this table and identify alternative providers and/or modes of communication. Communication systems already in place can be named as alternative modes for other modes of communication. For example, radios can be an alternative mode of communication for voice lines.

Communication System	Current Provider	Specification	Alternative Provider	Special Notes
<i>Non-Secure Phones</i>				
<i>Secure Phones</i>				
<i>Fax Lines</i>				
<i>Cellular Phones</i>				
<i>Satellite Phones</i>				
<i>Pagers</i>				
<i>E-mail</i>				
<i>Blackberry & Other Personal Digital Assistants (PDAs)</i>				
<i>Internet Access</i>				
<i>Data Lines</i>				
<i>Two-way Radios</i>				
<i>Other Options:</i>				
<i>GETS Cards</i>				

ANNEX O

RESOURCE MANAGEMENT

Annex can be used to record additional logistical or operational resources and contact information that may be needed to prepare for a COOP activation or continue at an alternate site. Resources unique to activation activities of individual essential COOP personnel and COOP response and recovery teams can also be recorded in Annex J (COOP Response and Recovery Organization).

The following two tables can be used to: record vendor and contractor information, and record drive-away kits contents and maintenance.

VENDOR/CONTRACTOR LISTING

(FEMA Guidance, Toolkit Item F.12)

Vendor/Contractor		Contract Number	Contract Name	Address	Telephone	Service/Material Supplied
Name	Number					

Drive-Away Kits Contents and Maintenance

(FEMA Guidance, Toolkit Item F.14)

Item	Organizational Unit	Location	Quantity	Maintenance Performed By	Maintenance Date
<i>COOP Plan</i>					
<i>COOP Checklists</i>					
<i>Map to Alternate Facility</i>					
<i>Computer Equipment</i>					
<i>Communications Equipment</i>					
<i>State/Local Statutes & Exec Orders</i>					
<i>Contact Lists</i>					
<i>Memorandum of Understanding</i>					
<i>Vendor Numbers/Contract Information</i>					
<i>Vital Records</i>					
<i>Office Supplies</i>					

ANNEX P

EMERGENCY RESPONSE PLAN

*Insert Department or Jurisdiction
Emergency Response Plan.*

ANNEX Q

EMPLOYEE AND FAMILY SUPPORT

Depending on the scope of your plan, this annex can be used to address employee and family support requirements or be limited to requirements for personnel involved in supporting essential functions.

COOP Planning Worksheets

The following worksheet identifies transportation, food and lodging requirements for personnel involved in supporting essential functions. This worksheet(s) should be reviewed and updated on an annual basis or when a new critical function is identified.

State Designation	Title	Purpose
Worksheet #22	Transportation, Lodging & Food	Lists personnel transportation, food and lodging requirements.

ANNEX R

TRAINING, TESTING AND EXERCISES

The following two tables can be used to organize your department's or jurisdiction's training and exercise plan, and to record related program costs for use in your roll-up under in the multi-year strategy and program management plan discussed in Section 8 of the Basic Plan and Annex S (Multi-year Strategy and Program Management Plan).

TRAINING PROGRAM PLAN

Program	Methods	Audience	Frequency	Cost
<i>Orientation</i>	<i>Classroom</i>	<i>Senior Management</i>	<i>Yearly</i>	<i>\$5000</i>

EXERCISE PROGRAM PLAN

Type	Participants	Frequency	Cost	Location
<i>Orientation Seminar</i>	<i>New hires</i>	<i>Monthly</i>	<i>\$2000</i>	<i>Training room</i>
<i>Drill</i>	<i>Successors</i>	<i>Quarterly</i>		<i>TBD</i>
<i>Tabletop</i>	<i>Senior management</i>	<i>Annual</i>		<i>TBD</i>
<i>Functional</i>	<i>COOP Teams</i>	<i>Annual</i>		<i>TBD</i>
<i>Full-Scale</i>	<i>Central office and regional COOP teams</i>	<i>Annual</i>		<i>TBD</i>

ANNEX S

**MULTI-YEAR STRATEGY AND
PROGRAM MANAGEMENT PLAN**

The following three tables can be used to organize your department's or jurisdiction's multi-year program development strategy, program management budget and program review cycle and plan maintenance schedule which are discussed in Section 8 of the Basic Plan (Multi-year Strategy and Program Management Plan).

Multi-year Program Development Strategy

Objective	Target Date
<i>Off-site electronic storage of vital records with third party provider.</i>	<i>October, 2005</i>
<i>Security enhancements to Primary and Regional Facilities</i>	<i>October, 2006</i>
<i>Tier II of Critical Function identified in 2004 business function analysis.</i>	<i>October, 2007</i>

Multi-year Program Budget

	Current FY	Current FY+1	Current FY+2	Current FY+3	Current FY+4
<i>Plan and Procedures</i>					
<i>Alternate Facilities</i>					
<i>Interoperable Communications</i>					
<i>Vital Records, Equipment & Systems</i>					
<i>Testing, Training & Exercises</i>					
<i>Logistics & Administration</i>					
<i>Security</i>					
<i>Other</i>					

Program Review Cycle and Plan Maintenance Schedule

Item or Activity	Tasks	Frequency of Change	Responsible Party
<i>Maintain and Update Orders of Succession</i>	<ul style="list-style-type: none"> • <i>Obtain names of current incumbents and successors</i> • <i>Update Delegations of Authorities</i> 	<i>Annual (November of each year or as needed)</i>	<i>COOP Coordinating Officer</i>
<i>Checklists</i>	<ul style="list-style-type: none"> • <i>Update & revise checklists</i> 	<i>Annual (November of each year or as needed)</i>	<i>COOP Team Leaders & Key COOP staff</i>
<i>Update all rosters</i>	<ul style="list-style-type: none"> • <i>Obtain names of current incumbents and successors</i> 	<i>Yearly</i>	<i>COOP Response & Recovery Teams</i>
<i>Section 1: Introduction</i>	<ul style="list-style-type: none"> • <i>Review section for change/updates</i> • <i>Circulate for internal concurrence</i> 	<i>Annual (November of each year or as needed)</i>	<i>COOP Review Team with delegations to essential COOP personnel.</i>
<i>Section 2: Essential Functions & COOP Personnel</i>	<ul style="list-style-type: none"> • <i>Review section for changes/update</i> • <i>Circulate for internal concurrence</i> • <i>Secure senior management approval</i> 	<i>Annual (November of each year or as needed)</i>	<i>COOP Review Team with delegations to essential COOP personnel.</i>

ANNEX T

COOP AGREEMENTS

Formal agreements such as Memorandums of Understanding, leases, occupancy agreements and contracts are part of the alternate facilities acquisition and COOP planning processes. The following table summarizes alternate facilities agreements that may be in place to support the acquisition of alternate facilities for subject agencies:

Alternate Facility Agreements

Facility	Agreement	Date executed	Annual Cost	Special notes
J Street	MOU with Financial Affairs for 500 sq ft, Phase I	7/30/99	0	They will provide desks and space

ANNEX U

COOP PLAN CROSSWALK

The following COOP crosswalk was developed utilizing guidance provided by [Interim Guidance on Continuity of Operations Planning for State and Local Governments, May 2004](#). As discussed in Section 9 of the Basic Plan (COOP Plan Certification), the crosswalk should be completed prior to promulgation to ensure it complies with Federal guidance.

Criteria	Yes	No	N/A	Comments
Purpose:				
Plan includes a statement why COOP is important to the organization				
Scope:				
Provides for capability to perform essential functions in 12 hours to 30+ days.				
Provides for all-hazard planning.				
Addresses the 3 phases of COOP: activation & relocation, alternate facility operations and return to normal operations.				
Objectives:				
Defines specific objectives to direct & guide appropriate continuity actions.				
Situation & Assumption:				
COOP plan explicitly 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 listing of work task, function & operations in development of essential functions.				
Documents the prioritization of work tasks, functions & operations in development of essential functions.				
Documents the consequences of lack of performance and time criticality to perform work tasks, functions &				

Criteria	Yes	No	N/A	Comments
operations.				
Documents resource requirements & provides for pre-positioned resources necessary to perform essential functions.				
Encourages personal preparedness for essential & non-essential staff and their families				
Plan includes a roster of fully equipped & trained personnel to perform essential functions.				
Contains procedures to contact and/or provide information to non-essential staff.				
Provides for personnel accountability of essential & non-essential staff throughout duration of emergency.				
Provides for continued support telecommunication and information technology requirements.				
Documents selection of an alternate site that satisfies identified requirements to perform essential functions.				
Documents that a site vulnerability analysis was conducted on the alternate facility.				
Provides for security and access control of primary & alternate facility throughout emergency				
Provides for specific actions to transfer operations back to primary facility.				
Implementation:				
Provide for an executive decision process to determine best activation of COOP plan.				
Provide for the development of an incident action plan based on nature of incident and assessment of facility.				
Plan utilizes incident command system (ICS) process & procedures.				
Activation & Relocation:				
Plan provides specific criteria & activation checklists to decide whether to activate the plan.				
Plan provides alert & notification procedures for key staff, contingency				

Criteria	Yes	No	N/A	Comments
teams, non-essential personnel & critical customers				
Deployment & departure procedures provide for partial pre-deployment of any critical function.				
Provides transportation procedures to address transfer of personnel, records & equipment				
Plan provides for minimum standards of communication & direction/control during activation of alternate site				
Provides for provision of complete site-support procedures (staff, records & equipment) for activating alternate facility.				
Provides specific procedures to provide for execution of essential functions.				
Assigns responsibilities for key staff to perform mission-essential functions.				
Provides for transportation, food and lodging needs of deployed staff & their families, if required.				
Termination/Return to Normal Operations:				
Provide 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 & Data Systems:				
Documents the identification of vital records and data systems necessary to conduct 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 alternate facility.				
Interoperable Communications:				
Provides for the identification, protection, availability & redundancy of critical communications systems.				

Criteria	Yes	No	N/A	Comments
Provides for the reestablishment of communication to staff, appropriate agencies and customers.				
Continuity of Government:				
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 of all key positions to ensure ability to perform essential functions.				
Delineate orders of succession by position or titles, not names.				
Organization & Responsibilities:				
Identifies responsibilities of individuals, teams and organizations involved in COOP plan.				
COOP plan identifies emergency coordinating officer/response team chief for each continuity team.				
Administration & Logistics:				
Plan addresses pay status, leave, travel status & related personnel support issues.				
Mutual Aid Agreement:				
Documents the establishment of written agreements with other department/jurisdictions to obtain facilities and resources.				
Authorities & References:				
Documents basic authority for authorities, delegations and action outlined in plan.				
Training & 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 overall capability.				
Plan Maintenance:				
Provides for a strategy to develop, maintain & enhance a viable capacity.				

Criteria	Yes	No	N/A	Comments
Provides for annual update of the plan driven by a training & exercise program.				
Provides for the on-going update of the COOP plan as warranted by changes within the organization.				

ANNEX V

COOP PLAN DISTRIBUTION

The following table can be used by your department or jurisdiction to develop and record a strategy to limit distribution of your COOP plan.

DISTRIBUTION OF COOP PLAN			
Plan Recipient	Portion of Plan Distributed	Date of Distribution	Method of Distribution
Primary Distribution List			
<i>Department Head or Chief Elected Official</i>	<i>Entire Plan</i>		
<i>Deputy Department Head or 1st Successor to Chief Elected Official</i>	<i>Entire Plan</i>		
<i>COOP Coordinator</i>	<i>Entire Plan</i>		
<i>All Designated Essential COOP personnel</i>	<i>Entire Plan</i>		
<i>Alternate Facility Managers</i>	<i>Entire Plan</i>		
Secondary Distribution List			
<i>Successors, Back-up Field Locations & Back-up Organizations</i>	<i>Entire Plan</i>		
<i>Other Agencies/Jurisdiction and Vendors</i>	<i>Relevant Portions of Plan</i>		
<i>Regional or field locations of the department or jurisdiction</i>	<i>Relevant Portions of Plan</i>		
General Distribution List			
<i>All Designated Non-essential Personnel</i>	<i>Plan Overview</i>		