

Insert Logo Here

Continuity of Operations Plan (COOP)

Insert Organization Here

Insert organization here

Insert address

Insert city, state, zip

January 2009

Version 1.0

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SECTION 1

COOP BACKGROUND INFORMATION

1.1 EXECUTIVE SUMMARY

Insert organization here provides vital services to its citizens. Should a crisis disrupt essential operations, the **insert organization here** would not be able to fulfill its fundamental mission in the absence of continuity of operations planning.

This COOP was developed for **insert organization here** and is designed to be a major component of a comprehensive and effective program to ensure the continuity of essential functions and governance under all circumstances.

The **insert organization here** has an Emergency Operations Plan (EOP) that is used to prepare for, respond to, and recover from major disasters. This COOP will serve as a supplemental tool designed to help **insert organization here** effectively resume day-to-day core services and functions following a disaster.

This COOP documents the basic information, procedures, and guidance which will enable **insert organization here** to resume its essential functions within 12 hours of an emergency, with or without advance warning, and to sustain continuous operations for the entire cycle of the incident. This plan addresses the emergencies from an all-hazards approach.

This COOP:

- Delineates Essential Functions and Activities;
- Delegates Authority;
- Establishes Orders of Succession;
- Identifies Vital Records, Files, Databases, Systems, and Equipment;
- Identifies Requirements for Interoperable Communications;
- Identifies Alternate Locations;
- Identifies COOP Maintenance Requirements and Responsibilities;
- Outlines Tests, Training, and Exercises for COOP Capabilities; and
- Contains Operational Checklists.

1.2 INTRODUCTION

Local businesses today face challenges unlike any that have been seen before. Disasters from many causes are on the rise, not only in frequency, but also in complexity and severity. In addition to natural disasters, man-made incidents such as terrorism, transportation accidents, and technology failures caused major disruption to both public and private operations throughout the nation in recent years.

businesses like **insert organization here** are vulnerable to a host of hazards, including earthquakes, tropic storms, flooding, radiation releases, hazardous material spills, winter storm events, dam failure, transportation disasters, and disease pandemics.

Continuity of operations planning is part of the fundamental mission of business. The changing threat environment and the severity of recent natural and man-made emergencies in the United States and in Maryland have highlighted the need for careful continuity of operations planning that enables businesses to continue their essential functions across a broad spectrum of emergencies disrupting normal operations.

1.3 PURPOSE

The purpose of this document is to ensure that the capability exists to continue the essential functions across a wide range of potential emergencies.

The objectives of this COOP include:

- Ensuring safety of employees and customers;
- Ensuring the continuous performance of essential functions/operations during an emergency;
- Protecting essential facilities, equipment, records, and other assets;
- Reducing or mitigating disruptions to operations;
- Achieving a timely and orderly recovery from an emergency and resumption of full service to customers;
- Providing foundation for the continued survival of leadership; and
- Complying with legal and statutory requirements.

Although when and how a disaster will occur is unknown, the fact that future disasters will happen is certain. How well a COOP is designed and implemented will determine the success of response, resumption, recovery, and restoration operations following an emergency.

1.4 APPLICABILITY AND SCOPE

In accordance with Federal, State, and local laws, executive orders, plans, and administrative guidance, all businesses must be prepared to respond to emergencies and disasters even when their personnel, facilities, and equipment are affected. **Insert organization here** has elected to use the Federal Emergency Management Agency's (FEMA) *Interim Guidance on Continuity of Operations Planning for State and Local Governments* as well as Federal Preparedness Circular 65 as the basis for the development of this COOP.

This plan applies to all employees of **insert organization here** for the full spectrum of man-made, natural, and technological emergencies and threats. This plan will be activated and implemented when an event impacts a significant number of employees or could force the relocation of a significant number of employees in **insert organization here**.

1.5 AUTHORITIES AND REFERENCES

Below is a list of authorities and references applicable to **insert organization here**:

- Harford County Emergency Operations Plan
- Department of Homeland Security (DHS) and FEMA Interim Guidance on Continuity of Operations Planning for State and Local Governments, May 2004
- FEMA Federal Preparedness Circular 65, Federal Executive Branch Business Continuity, June 15, 2004
- Health Insurance Portability and Accountability Act of 1996 (HIPAA), 45CFR Parts 160, 162, 164
- National Incident Management System, U.S. Department of Homeland Security, March 2004
- Harford County Hazard Mitigation Plan, Approved FEMA December 2004
- COMAR 10.07.02.24
- **[INSERT AUTHORITIES/REFERENCES, INCLUDING SOPS AND SOGS, SPECIFIC TO YOUR DEPARTMENT HERE.]**

1.6 COOP MAINTENANCE

[INSERT POSITION TITLE HERE] will oversee the organization’s maintenance of the COOP and record changes to the COOP in the Record of Changes table on page 1 of this document. Suggested maintenance activities are described in the table below.

COOP Maintenance Responsibilities

Activity	Tasks	Frequency
Plan update	<ul style="list-style-type: none"> ▪ Review entire plan for accuracy ▪ Incorporate lessons learned and changes in policy and philosophy ▪ Update Orders of Succession ▪ Manage distribution of plan updates 	Annually and as major changes occur
Checklists	<ul style="list-style-type: none"> ▪ Update and revise checklists 	Annually
Maintain alternate work site readiness	<ul style="list-style-type: none"> ▪ Check all systems ▪ Verify access codes and systems ▪ Cycle supplies and equipment as needed ▪ Ensure alternate facility/location availability ▪ Review and update supporting Memoranda of Understanding/Agreements 	Annually

1.7 COOP TEST, TRAINING, AND EXERCISES

Testing and exercising COOP capabilities are essential to demonstrating and improving the ability of organizations to execute their COOPs. They serve to validate or to identify improvements to the COOP's policies, procedures, systems, and locations. Periodic testing and exercising also help to ensure that equipment and procedures are maintained in a constant state of readiness.

After exercising a COOP, organizations will complete an After Action Report (AAR) to identify issues found during the exercise and identify recommendations as to how those issues can be resolved. The COOP will then be reviewed and modified to reflect any necessary changes.

The table below outlines a COOP Exercise Program Plan developed for **insert organization here**

INSTRUCTIONS:

The table below has suggested exercise requirements. Additional organization-specific exercises can be added as appropriate. Insert locations where exercises will occur.

COOP Training and Exercise Program

Exercise Type	Location	Frequency
All Employees COOP Orientation Seminar		Initial COOP Plan Orientation
COOP Refresher		Annually
Organization Tabletop		Annually
Drill		Annually
Notification Procedure Test		Quarterly
Organization Functional Exercise		Every 3 years
City-wide Tabletop		Every 3 years
Orientation for New Staff Members		Within 90 days of hire or transfer date

SECTION 2

COOP INFORMATION

2.1 PLANNING REQUIREMENTS

COOP planning is an effort to ensure the continued performance of minimum essential functions during a wide range of potential emergencies. This is accomplished through the development of plans, comprehensive procedures, and provisions for alternate facilities/locations, personnel, resources, and interoperable communications, and vital records/databases back-up and duplication.

Insert organization here, at a minimum:

- Must be able to implement COOP plan with and without warning;
- Must be operational within a minimal period of disruption for essential functions, but in all cases within 12 hours of COOP activation;
- Must be capable of maintaining sustained operations for up to 30 days;
- During a Pandemic must be capable of sustaining operations with staff reduction of up to 30 percent for up to 18 months.
- Must regularly test, train, and exercise organization's personnel, equipment, systems, processes, and procedures used to support the organization during a COOP event;
- Must conduct a risk analysis of current and alternate operating facilities/locations;
- Must locate alternate operating facilities/locations in areas where the ability to initiate, maintain, and terminate continuity of operations is maximized;
- Should consider locating alternate operating facilities/locations in areas where power, telecommunications, and internet grid would be distinct from those of the primary facility;
- Should take maximum advantage of existing organization infrastructures and give consideration to other options, such as telecommuting locations, work-at-home, virtual offices, and joint and shared facilities;
- Must consider the distance of alternate operating facilities/locations from the primary facility and from the threat of any other facilities/locations (e.g., nuclear power plants or areas subject to frequent natural disasters);
- Must include the development, maintenance, and annual review of organization's COOP capabilities using a multi-year strategy and program management plan.

- COOP Information

Insert organization here must be prepared to handle three types of emergencies: localized emergency requiring relocation to an alternate site; widespread emergency requiring relocation to an alternate site; and widespread emergency NOT requiring relocation to an alternate site.

These emergencies and corresponding COOP considerations are outlined below:

1. Localized Emergency Requiring Relocation to Alternate Site (e.g., structural, fire, water damage, localized flooding etc.)
 - Organization building sustained damage
 - COOP alternate sites are available
 - The building is currently closed for normal business activities, but the incident has not affected surrounding buildings, utilities, or transportation systems
 - Operations can shift to an alternate COOP location in the jurisdiction
 - Will require continuity of all Critical essential functions (defined in Section 2.2.1)

2. Widespread Emergency Requiring Relocation to Alternate Site (localized power outage, toxic chemical spill, widespread flooding, etc.)
 - Organization building sustained damage
 - Surrounding area is affected
 - COOP alternate sites may or may not be available
 - Parts of major infrastructures (power, sewage, transportation, etc.) may have sustained damage
 - Operations can shift to an alternate location within the jurisdiction or a neighboring jurisdiction
 - Will require continuity of all Critical essential functions (defined in Section 2.2.1)

3. Widespread Emergency NOT Requiring Relocation to Alternate Site (pandemic influenza outbreak)
 - Organization building did not sustain damage and remains open
 - **Insert organization here** experiences high levels of employee absenteeism
 - COOP operations will be conducted from the primary location
 - Will require continuity of all Critical essential functions as well as Long-term essential functions (defined in Section 2.2.1)



A organization can use existing Standard Operation Procedures (SOPs) and emergency response plans as building blocks for development of this COOP plan. Each organization must thoroughly examine its operations in light of COOP concerns and use these procedures and plans to assist in developing the COOP plan.

- COOP Information

2.2 ESSENTIAL FUNCTIONS

2.2.1 IDENTIFYING ESSENTIAL FUNCTIONS

The first step in developing a COOP plan is identifying the organization's essential functions.

Essential Functions are defined as those functions, stated or implied, that organizations are required to perform by statute, executive order, or by-laws **AND** are necessary to provide vital services of the general populace, and sustain the industrial/economic base in an emergency.

Essential functions are further delineated into Critical essential functions and Long-term essential functions.



Critical Essential Functions are those essential functions that **cannot** be interrupted or can be only minimally interrupted following an incident.

Long-term Essential Functions are those essential functions that **can** be interrupted for the first 30 days following an incident, but **must** be resumed thereafter. LONG-TERM ESSENTIAL FUNCTIONS ARE MOSTLY APPLICABLE FOR INCIDENTS RESULTING IN HIGH RATES OF EMPLOYEES ABSCENTEEISM OVER A LONG PERIOD OF TIME SUCH AS A DISEASE PANDEMIC.



Although all organizations are important, each organization activity may not qualify as an essential function that must be sustained in an emergency.

Essential functions encompass those critical areas of business functions that must continue even in the event of an emergency.

Table 1 below provides a comprehensive list of all functions performed by **insert organization here**.

INSTRUCTIONS:



The successful completion of your organization’s COOP Plan will depend on how well your organization identifies its essential functions. As you complete this document, additional essential functions, not documented in Table 1, may come to light. In such situations, take the time to go back and update ALL pertinent tables to ensure consistency.

In column 1 enter your organization’s divisions (if applicable).

In column 2, list ALL functions performed by your organization.

Next, evaluate each function listed in column 2 to establish whether the function is a Critical essential function (see definitions above). Enter “Y” in column 3 if the function is a Critical essential function, enter “N” if it is not.

Finally, evaluate whether each function listed in column 2 is a Long-term essential function (see definitions above). Enter “Y” into column 4, if the function is a Long-term essential function, enter “N” if it is not. If the function is identified as a Critical essential function (“Y” in column 3) it should also be identified as a Long-term essential function (“Y” in column 4).

Table 1: Functions Performed by organization

1. Division	2. Function	3. Critical Essential Function Y/N	4. Long-term Essential Function Y/N

1. Division	2. Function	3. Critical Essential Function Y/N	4. Long-term Essential Function Y/N

- COOP Information

2.2.2 PRIORITIZING ESSENTIAL FUNCTIONS

Prioritization of essential functions is an important step of COOP planning. A backup system and plan for every function would be prohibitively expensive; scarce resources must be allocated to the most important functions.

Each essential function has a critical time, or the amount of time a particular function can be suspended before its absence has an adverse effect on the organization's core mission. Essential functions with shorter critical times are generally ranked higher than essential functions with longer critical times. Priority ranking is used following an emergency to prioritize essential function continuity and resumption efforts.

Table 2 below outlines each essential function identified by **insert organization here** and its critical resumption time, and priority ranking.

INSTRUCTIONS:

Copy and paste every function identified as either Critical essential function or Long-term essential function (noted as ‘Y’ in column 3 or column 4) in Table 1 into column 1 of Table 2.

Next, determine the critical time for each of these essential functions. Critical Time refers to the amount of time an essential function can be suspended before its absence has an adverse effect on the organization’s core mission and enter it into column 2.

Assign a priority ranking to each essential function based on the critical time. Essential functions with shorter critical times should be ranked higher than essential functions with longer critical times.

Identify any divisions that are dependent on the essential function listed in Table 2, as well as divisions that the essential functions are dependent on and enter this information into columns 4 and 5.

Table 2: Essential Functions Priority Rankings and Departmental Dependencies

1. Essential Function	2. Critical Time to Resume the Function	3. Priority Ranking	4. Division(s) Dependent on This Essential Function	5. Division(s) This Essential Function Is Dependent on

2.3 ORDERS OF SUCCESSION AND DELEGATION OF AUTHORITY

One of the fundamental principles of continuity planning is to maintain leadership in the event of an emergency by establishing an order of succession.



The initial COOP delegation of authority will follow basic Incident Command System (ICS) principles with the highest ranking person present on the scene assuming the command and maintaining it until a designated alternate is able to assume the responsibility for COOP processes. For more information on ICS visit <http://www.osha.gov/SLTC/etools/ics/index.html>

Table 3 designates the order of succession in the event the Department Head is unavailable to ensure that the Department is capable of responding rapidly to emergency situations requiring COOP implementation. Unless otherwise stated, the persons listed in Table 3 are designated to accept and maintain full authority and responsibilities of the Department Head.

INSTRUCTIONS:

Use position titles rather than individuals' names to complete Table 3.

In column 3 enter the job titles of the Department Head and alternates who will replace the Department Head in case the primary individual is unavailable.

In column 4, enter limitations of designated alternates to exercise departmental and jurisdictional authority, if applicable.

Table 3: Order of Succession

1. Department	2. Order of Succession	3. Job Title	4. Authority Limitations
	Department Head		Full Authority
	First Alternate		
	Second Alternate		
	Third Alternate		

ALTERNATE FACILITIES/LOCATIONS

Emergencies or potential emergencies can affect the ability of organizations to perform essential functions from their primary facilities/locations. A critical element in COOP Planning is the identification and preparation of alternate facilities/locations. The purpose of an alternate facility/location is to provide each department with means of accomplishing its essential functions in the event if the organization’s primary location is unavailable due to an emergency.

Alternate facilities/locations should provide:



- Sufficient space and equipment;
- Capability to perform essential functions within 12 hours;
- Reliable logistical support, services, and infrastructure systems;
- Consideration for health, safety, and emotional well-being of personnel;
- Interoperable communications; and
- Computer equipment and software.



A thorough understanding of organization’s essential functions, communications connectivity and other essential equipment requirements, space and amenities needs, and the concept of deployment and operations at the alternate facility/location are crucial in selecting an alternate facility/location.

2.3.1 CURRENT (PRIMARY) FACILITIES/LOCATIONS

The first step in selecting alternate facilities/locations is identifying all facilities/locations a department currently utilizes. An in-depth knowledge about the current (primary) facilities will aid departments in formulating requirements for alternate facilities/locations. Each department has performed a thorough inventory of facilities currently in use by that department.

Table 4 below identifies the primary facilities/locations utilized by the **[Insert Organization Here]**.



Work with your City’s or the County’s GIS personnel to identify maps and/or GIS layers outlining natural hazards specific to your jurisdiction. These maps can be used to ascertain whether your organization’s building(s) are located within known potential hazard areas.

Information

INSTRUCTIONS:

Inventory all primary facilities/locations currently utilized by the organization in Table 4 below. Be specific in your identification of the primary location, i.e., building room, room number, floor, etc. Indicate whether any of the Critical or Long-term essential functions identified in Table 1 are performed at this location. Also identify the number of employees that currently work at this location. If known, identify natural hazards risk factors (e.g., “100-year flood plain,” “major fault,” “within tsunami inundation zone,” etc.) associated with your current facilities/locations.

Table 4: Current Departmental Facilities/Locations

1. Division	2. Section	3. Current Location Address	4. Essential Functions Performed at This Location Y/N	5. Number of Employees at This Location	6. Natural Hazards Risk Factors
					(Click Here and press Tab to extend Table)

2.3.2 SELECTING ALTERNATE FACILITIES/LOCATIONS

The term alternate facility/location can include anything from a borrowed conference room for a few key people on a temporary basis, to a complete facility used to house the entire Department. In most cases, it will probably be something in between depending on the circumstances of any given event and available resources. It is recommended that each department should select at least two alternate sites.

The following criteria were used to identify suitable alternate facilities/locations for continuity of operations for **Insert Organization Here:**

- Must not share the same natural hazard risk(s) as the primary location;
- Sufficient space and equipment to sustain the relocating department;
- Availability of interoperable communications with all identified essential internal and external organizations, other departments, critical customers, and the public;
- Reliable logistical support, services, and infrastructure systems, including water, electrical power, heating and air conditioning, etc.;
- Ability to sustain operations for up to 30 days;
- Consideration for the health, safety, and emotional well-being of relocated employees; and
- Appropriate physical security and access controls (e.g., fencing, 24/7 security personnel, cipher locks, key cards secured entrance, etc.).



Refer to Annex A: Selecting Alternate Facilities/Locations Checklist for further guidance on identifying Alternate Facilities/Locations.



Generally, there are **four common alternate facilities options** each organization must consider: existing organization-controlled space; co-location with another organization; shared alternate facility occupancy agreement; and acquiring space exclusively for an alternate facility.

Existing Organization-Controlled Space

A organization may have space that is currently utilized for other purposes (e.g., training facilities, conferencing facilities, etc.) which will be available for a reasonable length of time sufficient to designate it as their alternate facility. This space should be set up to accommodate the emergency operation to allow for fast implementation of COOP activities. This can be done by pre-wiring and staging of resources.

Co-location with Another Organization

Organization's may be able to make arrangements to move in with another organization temporarily or to share otherwise available space with other organizations. The organizations would need to establish a written agreement such as a Memorandum of Understanding/Memorandum of Agreement (MOU/MOA) (see Annex F for a sample MOU/MOA). Under this agreement, the relocated organization affected by the emergency could have a certain number of workstations or space within the unaffected organization. This space could be either open areas or it could be occupied space that could be made available during an emergency. Any special requirements for security or other services should be addressed before the MOU is signed, so that both departments understand the potential impact on their operations.

Participating in a Shared Alternate Facility Agreement

Several departments may select to participate in an agreement, where departments share the cost of occupying a rental facility on the premise that one (or some), but not all may need it at a particular time. Under this premise, if only one (or some) department needs to utilize the alternate facility, it would be able to get the necessary space. If all participants should need to use the facility at the same time, each would have a minimum guaranteed space based on the percentage of funding contributed by each department.

Acquiring Independent Space Exclusively for an Alternate Facility

Although this seems to be an expensive alternative, some departments may find it necessary due to their mission or other circumstances. The new space would likely be only a small percentage of the currently occupied space.

COOP Information

Tables 5 below lists the proposed alternate facilities/locations identified by **[Insert Organization Here]**.

INSTRUCTIONS:

Review Table 4 to identify the primary facilities/locations where essential functions are currently performed (noted as ‘Y’ in column 4 of Table 4). Identify alternate facilities/locations for these primary facilities/locations based on the selection criteria in Section 2.4.2. Be specific when listing your alternate facility/location’s address, i.e., building room, room number, floor, etc.

Identify a point of contact (POC) at each alternate facility/location who will authorize your Department’s relocation into that alternate facility/location. Include his/her position title and contact information into column 4.

Identify the specific security controls, if any, utilized at each alternate facility/location and enter them into column 5.

If any alternate facilities/locations identified by your Department are not owned or leased by your Department, but an MOU/MOA between your Department and the facility/location owner is in place, insert a current copy of the MOU/MOA into Annex D. If your Department does not have an MOU/MOA in place, an MOU/MOA will need to be developed with those facilities/locations. Refer to Annex D for a sample MOU/MOA.

In column 8, enter the minimum number of employees from your Department needed at the alternate facility/location to ensure continuity of essential functions.

Once alternate facilities/locations have been identified for all primary facilities/locations where essential functions are performed, complete Annex C for all alternate facilities/locations.



Complete two tables (Alternate Location 1 and Alternate Location 2) per each current (primary) facility/location. If necessary insert additional tables to accommodate all primary facilities.

Table 5.1.1: Alternate Facility/Location 1 for [INSERT PRIMARY LOCATION NAME HERE] at [INSERT PRIMARY LOCATION ADDRESS HERE]

1. Division	2. Section	3. Alternate Location 1 Address	4. POC	5. Security Controls	6. Owned/ Leased by Department Y/N	7. MOU/MOA in Place Y/N	8. Number of Employees

Table 5.1.2: Alternate Facility/Location 2 for [INSERT PRIMARY LOCATION NAME HERE] at [INSERT PRIMARY LOCATION ADDRESS HERE]

1. Division	2. Section	3. Alternate Location 2 Address	4. POC	5. Security Controls	6. Owned/ Leased by Department Y/N	7. MOU/MOA in Place Y/N	8. Number of Employees

Table 5.2.1: Alternate Facility/Location 1 for [INSERT PRIMARY LOCATION NAME HERE] at [INSERT PRIMARY LOCATION ADDRESS HERE]

1. Division	2. Section	3. Alternate Location 1 Address	4. POC	5. Security Controls	6. Owned/ Leased by Department Y/N	7. MOU/MOA in Place Y/N	8. Number of Employees

Table 5.2.2: Alternate Facility/Location 2 for [INSERT PRIMARY LOCATION NAME HERE] at [INSERT PRIMARY LOCATION ADDRESS HERE]

1. Division	2. Section	3. Alternate Location 2 Address	4. POC	5. Security Controls	6. Owned/ Leased by Department Y/N	7. MOU/MOA in Place Y/N	8. Number of Employees

Table 5.3.1: Alternate Facility/Location 1 for [INSERT PRIMARY LOCATION NAME HERE] at [INSERT PRIMARY LOCATION ADDRESS HERE]

1. Division	2. Section	3. Alternate Location 1 Address	4. POC	5. Security Controls	6. Owned/ Leased by Department Y/N	7. MOU/MOA in Place Y/N	8. Number of Employees

Table 5.3.2: Alternate Facility/Location 2 for [INSERT PRIMARY LOCATION NAME HERE] at [INSERT PRIMARY LOCATION ADDRESS HERE]

1. Division	2. Section	3. Alternate Location 2 Address	4. POC	5. Security Controls	6. Owned/ Leased by Department Y/N	7. MOU/MOA in Place Y/N	8. Number of Employees

2.4 VITAL RECORDS, FILES, DATABASES, SYSTEMS, AND EQUIPMENT

Identification and protection of vital records, files, databases necessary to perform essential functions and activities and to reconstitute normal department operations following an emergency are critical to successful continuity of operations.

The protection of vital records begins with the identification of those records that are “vital” – records that support the essential functions of a department.



While each department has a number of important records, files, and databases that should be protected, this COOP Plan will address only the protection of **vital records, files, and databases** that support essential functions.

Vital records, files, and databases represent a small fraction of the records most departments retain and they can be in any form, but are usually either paper or electronic.

To the greatest extent possible, departments should back-up electronic records, files, and databases and pre-position them at alternate facilities/locations. If these items are not available at the alternate facility/location, departments should develop a procedure to access these items from the alternate facility/location.



Extensive protective measures can sometimes be prohibitively expensive. Departments should consider the following options for protecting and backing up vital records, files, and databases:

- Replicate department server in an off-site facility/location;
- Scan paper records and files and store on a secure computer;
- Store duplicate records and files in fireproof filing cabinets, vaults, and safes at the primary facility;
- Identify specific individuals in your department responsible for maintenance, retrieval, and security of vital records, files, and databases;
- Back server up using tape or disk back-up systems; and
- **WORK WITH YOUR INFORMATION TECHNOLOGY (IT) PERSONNEL TO IDENTIFY BACK-UP AND REDUNDANCY PROCEDURES FOR VITAL FILES, RECORDS, AND DATABASES IN YOUR DEPARTMENT.**

INSTRUCTIONS:

Review Critical and Long-term essential functions identified in Table 1 and identify the records, files, and databases which support those essential functions.

In column 1 of Table 6 list the name of each vital record, file, and database.

In column 2, list the current location of each essential record, file, and database. Be specific in your descriptions of locations.

In column 3, indicate the primary format in which documents are stored (e.g., electronic, paper, microfiche, etc.). If a record is stored in more than one form, include information about both of these forms into column 3.

In column 4, enter a brief description of how the record, file, or database is backed-up (e.g., backed-up on a server at the end of each day or a duplicate paper copy is filed, etc.). You may need to work with your IT personnel to identify this information.

In column 5, indicate the position title of the individual responsible for the day-to-day maintenance and security of the vital record, file, or database, as well as for its emergency retrieval.

In column 6, indicate whether or not the record, file, or database can be accessed from an alternate location.

In column 7, indicate the security considerations, if any, these vital records, files, and databases require under your departmental policies and standard operating procedures. In general, these records, files, and databases will require the same level of security at the alternate facility/location as they do at the primary facility/location.



Refer to Annex A: Identification and Protection of Vital Records Checklist for additional guidance on identifying vital records.

Table 6: Vital Files, Records, and Database Inventory

1. Name of Vital File, Record, or Database	2. Current Location	3. Primary Format	4. Back-up/ Redundancy Information	5. Person(s) Responsible for Maintenance, Retrieval, and Security	6. Accessible from Alternate Location Y/N	7. Security Considerations
						(Click Here and press Tab to extend Table)

2.5 VITAL SYSTEMS, APPLICATIONS, AND EQUIPMENT

Just as records are vital to a department’s essential functions, the systems, computer applications, and equipment are essential for departments to maintain critical services. A system, application, or piece of equipment is vital if it is necessary to perform essential functions as identified in Table 1. Many critical systems, applications, and equipment support essential department functions. However, not every system, application, or piece of equipment is vital, even if it is important.



IT departments will usually have disaster recovery plans and protective measures already in place. These programs, however, may not be adequate to address the all-hazards planning associated with COOP. Each department must work with their IT personnel to identify vital systems and equipment and to develop system redundancies.

In addition to IT systems, each department may use other equipment unique to this department. For example, Telecommunications Device for the Deaf (TDD) equipment may be used by an employee in a department. If that employee is supporting an essential departmental function and is asked to relocate to an alternate facility/location, the TDD equipment will have to be available at an alternate facility/location in order for that employee to successfully complete his/her work assignments. Each department must take the time to evaluate and document its unique equipment needs and requirements.

Table 7 below outlines the vital systems and equipment identified by [Insert Organization Here].

INSTRUCTIONS: Review Critical and Long-term essential functions identified in Table 1. Identify vital systems and equipment which supports those essential functions. Enter this information into columns 1 and 2.

In column 3, denote current locations at which these systems and equipment are stored.

In column 4, enter a brief description of how this system or equipment is backed-up/made redundant at your primary location (e.g., “Additional TDD apparatus is available at local library”).

Table 7: Vital Systems and Equipment

1. Vital System/Application/Equipment	2. Essential Function Supported	3. Current Location	4. Back-Up/Redundancy
			(Click Here and press Tab to extend Table)

2.6 INTEROPERABLE COMMUNICATIONS

The success of operations at an alternate facility/location depends on the availability and redundancy of critical communications systems to support connectivity to internal and external organizations, other departments, and the public. Interoperable communications should provide the following:

- Capability to adequately support essential functions;
- Ability to communicate with Key COOP staff, Contingency staff, management, and other City departments;
- Ability to communicate with other organizations and emergency personnel;
- Access to data and systems necessary to conduct essential functions;
- Ability to operate in the alternate facility/location within 12 hours, and for up to 30 days.

Interoperable communications include a wide range of equipment and systems, including:

- Radio
- Phone
- Fax
- E-mail
- Intranet
- Internet
- Messaging systems
- Video conferencing
- Notification systems such as Emergency Alert System (EAS)
- Automated phone dialer



To determine the COOP communication requirement, each department must first evaluate and document the current communication capabilities at the primary facility/location. Next, the department should evaluate the availability of interoperable communications equipment and systems at alternate facilities/locations. Finally, a department must decide upon how to bridge the gap (if such gap exists) between the communication equipment and systems available at alternate location and the actual departmental requirements.



Generally, only those employees who support essential functions will be asked to report to an alternate location. These employees are responsible for essential functions and are often called “Contingency Staff.” Each Department should identify its Contingency Staff.

Table 8 below outlines interoperable communications available at each primary (current) location and at each proposed alternate facility/location selected by [Insert Organization Here].

INSTRUCTIONS:

WORK WITH YOUR IT DEPARTMENT/PERSONNEL TO IDENTIFY COMMUNICATION EQUIPMENT AND SYSTEMS CURRENTLY UTILIZED BY YOUR ORGANIZATION.

Review the alternate facilities/locations your organization identified (Table 5.1.1 through Table 5.3.2). COMPLETE A SEPARATE TABLE FOR EACH PRIMARY (CURRENT) LOCATION IDENTIFIED IN TABLE 4. If necessary, copy and paste additional table templates into the document and label accordingly.

Review communication equipment/systems listed in column 1. If necessary, insert additional equipment/systems unique to your department into column 1.

In column 2, identify the quantity of communication equipment currently available at the primary location.

In column 3, identify the name of current equipment/service provider. This information will be helpful if the primary building is not available and the service offered by these providers must be temporarily suspended or relocated.



Each department must establish and maintain a point of contact (POC) list of the Department’s major communication equipment and systems providers.

Because only Contingency Staff will be asked to report to an alternate facility/location and because financial and logistical constraints will limit the quantities of the communication equipment available at alternate facilities/locations, the numbers of communication equipment needed at an alternate facility/location may be smaller than the number of communication equipment currently available at a primary location. In column 4 enter your department’s “minimum acceptable” requirements for communication equipment.

In column 5 and 6 enter the actual number of equipment available at alternate facilities/locations. Information from columns 4, 5, and 6 will help your department determine the communication equipment needs, or possible surpluses.

Table 8.1: Interoperable Communications for [INSERT PRIMARY LOCATION ADDRESS AND NAME HERE]

[Insert Alternate 1 Location/Alternate 2 Location]					
1. Communication Equipment/System	2. Number Currently Available at Primary Location	3. Current Provider at Primary Location	4. Number Needed at Alternate Location	5. Number Available at Alternate Location 1	6. Number Available at Alternate Location 2
Landline Phones					
Faxes					
Cellular Phones					
Pagers					
Blackberries					
Videoconferencing Equipment					
Network Connectivity					
Data Lines/Jacks					
Computers (laptops, PCs, etc.)					
Printers					
E-mail					
Internet/Wireless/ Broadband					
Radio (i.e. 800MHz)					
Other [SPECIFY HERE]					

Table 8.2: Interoperable Communications for [INSERT PRIMARY LOCATION ADDRESS AND NAME HERE]

[Insert Alternate 1 Location/Alternate 2 Location]					
1. Communication Equipment/System	2. Number Currently Available at Primary Location	3. Current Provider at Primary Location	4. Number Needed at Alternate Location	5. Number Available at Alternate Location 1	6. Number Available at Alternate Location 2
Landline Phones					
Faxes					
Cellular Phones					
Pagers					
Blackberries					
Videoconferencing Equipment					
Network Connectivity					
Data Lines/Jacks					
Computers (laptops, PCs, etc.)					
Printers					
E-mail					
Internet/Wireless/ Broadband					
Radio (i.e. 800MHz)					
Other [SPECIFY HERE]					

Table 8.3: Interoperable Communications for [INSERT PRIMARY LOCATION ADDRESS AND NAME HERE]

[Insert Alternate 1 Location/Alternate 2 Location]					
1. Communication Equipment/System	2. Number Currently Available at Primary Location	3. Current Provider at Primary Location	4. Number Needed at Alternate Location	5. Number Available at Alternate Location 1	6. Number Available at Alternate Location 2
Landline Phones					
Faxes					
Cellular Phones					
Pagers					
Blackberries					
Videoconferencing Equipment					
Network Connectivity					
Data Lines/Jacks					
Computers (laptops, PCs, etc.)					
Printers					
E-mail					
Internet/Wireless/ Broadband					
Radio (i.e. 800MHz)					
Other [SPECIFY HERE]					

2.7 INITIAL COOP CONTINGENCY STAFF AND RESPONSIBILITIES

A number of critical tasks must be initiated and completed as part of the initial COOP activation and implementation process. Such critical tasks as employee notification and communication, retrieval of essential records and equipment, and prompt relocation will ultimately ensure the continuity of operations and minimal disruption of essential functions. Each department has identified the COOP contingency staff and the critical tasks these staff must complete as part of the initial COOP activation and implementation process.

Each department is unique and the contingency staff and the critical tasks will vary among departments. However, there is a number of basic steps which must be completed by each department as part of the initial COOP activation and implementation process, including:



- Notify organization's personnel of COOP activation;
- Make a reasonable attempt (without endangering human life) to back up, secure, and retrieve vital records, files, and databases from primary location; and
- Communicate with customers and general public about the status of services provided by the Department.

Table 9 below lists the COOP Contingency Staff and their responsibilities identified by **[Insert Organization Here]**. These responsibilities are not meant to be all-inclusive, but outline the basic actions which **MUST** be completed by contingency staff to ensure successful COOP activation and implementation.



Individuals assigned to complete critical tasks must be aware of their responsibilities and receive necessary training and tools prior to an emergency requiring COOP plan activation.

INSTRUCTIONS:

Review critical tasks listed in column 1. THESE TASKS ARE ONLY SUGGESTIONS AND MUST BE CUSTOMIZED FOR EACH DEPARTMENT. Use your knowledge of the internal workings of your Department to identify additional critical tasks which must be accomplished by your Department’s Contingency Staff in order to continuously perform your Department’s essential functions from another location and/or with reduced number of employees.

Assign individuals from your Department who will be responsible for completing these critical tasks. IN COLUMNS 2 and 3, LIST POSITION TITLE INSTEAD OF AN INDIVIDUAL’S NAME.

Table 9: Key COOP Staff and Assigned Responsibilities

1. Critical Tasks	2. Contingency Staff Assigned	3. Alternate Staff Assigned
Notify Department’s employees of COOP activation.		
Notify the point of contact at the alternate facility/location of impending activation and actual relocation requirements.		
Notify the appropriate internal and external organizations of relocation status.		
Back-up, secure, and retrieve vital records, files, and databases.		
Implement plans, procedures, and schedules to transfer essential functions, personnel, records, and equipment to alternate facilities/locations.		
Provide guidance to Contingency staff and other departmental staff.		
Assemble necessary documents and equipment required to continue performance of essential operations at alternate facilities/locations.		
Transport vital records and files, supporting communications, IT framework and other necessary equipment to the alternate facilities/locations.		
Arrange security for abandoned primary facility/location and non-moveable equipment and records, to the extent possible.		
[INSERT ADDITIONAL CRITICAL TASKS HERE]		(Click Here and press Tab to extend Table)

2.8 ESSENTIAL FUNCTIONS STAFF AND RESPONSIBILITIES

In addition to completing critical tasks associated with COOP notification and relocation, each department must continue to perform its essential functions. Departments have identified personnel responsible for each essential function and one alternate to ensure that each essential function is performed regardless of any one person's availability.



In an emergency requiring a COOP Plan activation, COOP Contingency Staff will be concentrating on critical tasks outlined in Table 9 of this document, and may not be available to oversee the essential functions' continuity in the initial stages of the incident. Therefore, it is important to ensure that Contingency Staff assigned to perform critical COOP tasks following an incident are not also responsible for direct oversight of essential functions.

Table 10 below lists the essential functions identified by **[Insert Organization Here]** and persons, including alternates, responsible for ensuring these functions' continuity.

Information

INSTRUCTIONS:

Copy and paste every function identified as either a Critical essential function or a Long-term essential function (noted as ‘Y’ in column 4 or column 5) in Table 1 into column 1 of Table 10.

Next, identify a department’s primary staff who will be responsible for this essential function following the COOP Plan activation. Enter that employee’s **position title** into column 2.

Finally, identify one alternate for each essential function who will be responsible for this function if the primary staff is not available. Enter that employee’s **position title** into column 3.

Table 10: Essential Functions and Assigned Personnel

1. Essential Function	2. Primary Staff Assigned	3. Alternate Staff Assigned
		(Click Here and press Tab to extend Table)

2.9 DEVOLUTION

In some cases, it may be necessary to implement the COOP through devolution. Devolution is the capability to transfer statutory authority and responsibility for essential functions from a department's primary operating staff and facilities to employees and facilities of other departments within the City and even from another jurisdiction.

Table 11 lists the devolution options for **[Insert Organization Here]**

Departments identified as those supporting your Department's devolution, must have personnel that are trained to perform the essential functions to the same or nearly the same level of proficiency as your Department's personnel.

INSTRUCTIONS:

Identify other departments in your City that can fill your Department's role and identify any additional training that personnel would require to perform/maintain essential functions. If none then indicate in column 1.

Table 11: Devolution

1. Division	2. Section	3. Other Department that Can Fill Your Department's Role	4. Additional Training Necessary
			(Click Here and press Tab to extend Table)

SECTION 3

PANDEMIC WORKBOOK

SUMMARY

A pandemic is a global outbreak of disease that occurs when an infectious agent emerges in the human population, causes serious illness, and then spreads easily from person to person worldwide. The most probable pandemic that could threaten San Diego County is an influenza pandemic that would occur when a new influenza A virus emerges in the human population. Widespread illness throughout the County poses not only severe health risks; it is a major threat to the human infrastructure staffing critical facilities and essential functions. It can also have severe economic and social consequences. The timeframe for a pandemic outbreak could range from several months to more than a year. The virus will come in “waves.” Each wave will last between six to eight weeks and will occur every 3 to 12 months following the peak of the previous wave.

Continuity of operations planning for a pandemic influenza is different than preparations for a time-specific event: there is no definitive beginning and end, it is somewhat predictable, more people will potentially be affected over a larger area, and there will be no damage to physical infrastructure.

Devolution, the capability to transfer authority and responsibility for essential functions from a department’s primary operating staff to other employees and to sustain that operational capability for an extended period, and may be particularly critical in the event of a pandemic.

This Section focuses on the following topics:

- Essential Functions;
- Assessment of telecommuting capabilities;
- Projected 30% reduction in staffing levels; and
- Social distancing techniques.

These are only four of several critical components to continuity of operations planning for an event like pandemic influenza. They were chosen because of their importance, the need for evaluation by individual departments, and their applicability to other events that would result in high levels of prolonged absenteeism.

The procurement of personal protective equipment (PPE), flexibility in leave policy, and recovery issues should be addressed in future planning efforts.

ASSUMPTIONS

This Section was developed based on the following assumptions about the influenza pandemic:

- Projected 30% reduction in staff across all levels and
- Duration of 18 months with 6 to 8 week “waves” of illness

ASSESSMENT OF TELECOMMUTING CAPABILITIES

During a pandemic, high rates of employee absenteeism are anticipated. Staff absences can be expected for many reasons:

- Illness/incapacity (suspected/actual/post-infectious);
- Taking care of the family members; or
- Voluntary social distancing.

In anticipation of the workforce shortages, the [Insert Organization Here] identified critical functions that can be performed via telecommuting using either personal or department-supplied equipment.

An assessment of telecommuting capabilities for [Insert Organization Here] is summarized in Table 12.

INSTRUCTIONS:

Copy and paste all Critical and Long-term essential functions from Table 1 columns 4 and 5 into column 1 of table below.

In column 2, evaluate whether the essential function is amenable to telecommuting.

In column 3, identify the number employees needed to telecommute to perform the essential function.

Next in column 4, identify the equipment/records/databases that would be necessary for an employee to have to perform this function via telecommuting.

Lastly, in column 5, identify the number of employees that currently have the proper equipment and access to vital records/databases to perform this function via telecommuting.

Table 12: Department Essential Functions - Telecommuting

1. Essential Function	2. Amenable to Telecommuting Y/N	3. Number of Telecommuting Employees Needed	4. Equipment/Records/Databases Necessary to Perform this Function via Telecommuting	5. Number of Employees Currently Equipped
				(Click Here and press Tab to extend Table)

EXTERNAL ORGANIZATIONS CONTINGENCY PLANNING

Employee absences during a pandemic will result from personal illness, illness of family members, school, daycare and public transportation closures, social distancing measures, etc. The pandemic is likely to affect multiple communities across the United States simultaneously. As a result, other departments, organizations, and businesses in the country are likely to experience high rates of employee absenteeism and may not be able to meet their business and leadership obligations.

Each department should evaluate each essential function it performs and determine what, if any, component of each essential function is dependent on EXTERNAL agencies, organizations, or businesses (internal department dependencies are identified in Table 2 Section 2.2.2). In the event that the main supplier, whom your essential function(s) depends on, ceases to operate or reduces their output capacity significantly, two potential alternate suppliers should be identified.



A list of contact information for major primary and alternate suppliers should be maintained by each department.

Main suppliers of essential function components should be notified of their role.

Information about primary and alternate suppliers is summarized in Table 13 below.

INSTRUCTIONS:

Review all of the Critical and Long-term essential functions identified in Table 1 and determine if any components of those functions are dependent on **external** agencies, organizations, or departments.

Next identify the main supplier as well as an alternate 1 and alternate 2 suppliers.

Table 13: Department Essential Functions – Reliance on External Organizations

1. Essential Function Component Dependent on External Organizations	2. Main Supplier	3. Alternate Supplier 1	4. Alternate Supplier 2
			(Click Here and press Tab to extend Table)

INFECTION CONTROL MEASURES

Infection control measures are critical for the protection of employees. The primary strategies for preventing the spread of pandemic influenza are the same as those for seasonal influenza: (1) vaccination; (2) early detection and treatment; and (3) the use of infection control measures to prevent transmission. However, when a pandemic begins, a vaccine will not be available and the supply of antiviral drugs may be very limited. The ability to limit transmission and delay the spread of the pandemic in the workplace will, therefore, rely primarily on the appropriate and thorough application of infection control measures.

The **[Insert Organization Here]** will modify its operation procedures to increase the use of infection control measures to prevent transmission. Infection control measures that will most likely be utilized include: increased employee education and awareness and social distancing.

1. Increased employee education and awareness will include such practices as teaching proper cough etiquette and hand hygiene. Proper cough etiquette and hand hygiene techniques include:
 - Covering nose and mouth when coughing or sneezing.
 - Using facial tissues to contain respiratory secretions and dispose of them in a waste container.
 - Washing hands (with soap and water, an alcohol-based hand rub, or antiseptic hand wash) after having contact with respiratory secretions and contaminated objects/materials.
 - Placing portable hand-sanitizers at entry ways and other locations where equipment and items are touched by many people (e.g. copy machines).

2. Social distancing is the practice of increasing the physical distance between co-workers and between employees and clients. Within the workplace social distancing will be promoted to the extent feasible by:
 - Staggering shifts to reduce the amount of time employees share common spaces.
 - Rearranging schedules to provide consecutive days off for the incubation time interval of the disease.
 - Rearranging furniture to maintain spatial separation of at least 3 feet between employees.
 - Considering clientele distancing by developing creative avenues (including barriers as appropriate) to reduce contact with clients while continuing the provision of essential functions.

FUTURE PLANNING ENDEAVORS

The procurement of PPE, flexibility in leave policy, and recovery issues are all critical components to continuity of operations planning. These issues should be addressed in future planning efforts at the City, Operational Area, State, and Federal levels and the Department will update this Section based on guidance from this future planning effort.

SECTION 4 CONCEPT OF OPERATIONS

4.1 ASSUMPTIONS

The procedures in this Section were developed based on the following key assumptions:

- Emergencies or threatened emergencies can adversely impact the Department’s ability to continue to support essential functions and to provide support to the City’s operations and citizens;
- Emergencies and threatened emergencies differ in priority and impact;
- The vulnerability of the Department depends on the probability of an event occurring and the impact that event could have on operations and performance of essential functions;
- Outside assistance may be interrupted or unavailable during an emergency;
- Organizations must be prepared to operate without help for at least 72 hours;
- When the COOP is activated, the Department will implement a predetermined plan using trained and equipped personnel; and
- The Department will provide essential functions within 12 hours of the event and be able to continue these for 30 days or until termination of the event, whichever comes first.



Information below is included as an example. Each department must carefully review and customize this information to reflect internal SOPs, existing emergency response plans, and an overall internal culture and conventions of the Department.

4.2 PHASE I – ACTIVATION AND RELOCATION (0-12 HOURS FOLLOWING AN INCIDENT)

COOP activation for [Insert Organization Here] within the City of [Insert City Here] will commence at the direction of [INSERT AUTHORIZING PERSON’S JOB TITLE HERE] or designee at a request of [INSERT THE JOB TITLE OF INDIVIDUAL IN THE DEPARTMENT HERE].

[INSERT ADDITIONAL COOP ACTIVATION PROCEDURES SPECIFIC TO YOUR ORGANIZATION HERE]

Upon activation of the COOP, [Insert Organization Here] shall:

1. Utilize checklists in Annex B – Implementation Checklists of this COOP Plan;
2. Notify COOP Contingency Staff and the rest of the Department’s employees of COOP activation and provide them with basic instructions. Refer to Table 9 Section 2.8;
3. Notify the point of contact at the alternate facility/location of impending activation and actual relocation requirements. Refer to Tables 5 Section 2.4.2;
4. Arrange security at the alternate facility/location for vital records at the same level as the primary facility/location, to the extent possible;
5. Notify the appropriate internal and external organizations listed in Table 14 below of relocation status;

Complete Table 14 with internal and external contacts.

Table 14: Internal and External Organizations Notification Contact Information

1. Organization Name	2. Contact Information
[INSERT ORGANIZATION NAME HERE]	[INSERT POSITION TITLE AND CONTACT INFORMATION HERE]
	(Click Here and press Tab to extend Table)

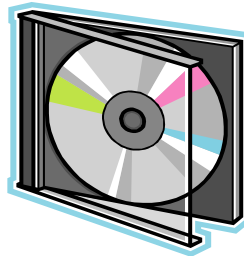
6. Implement plans, procedures, and schedules to transfer essential functions, personnel, records, and equipment to alternate facilities/locations;
7. Provide guidance to Contingency staff and other departmental staff;
8. Assemble necessary documents and equipment required to continue performance of essential operations at alternate facilities/locations, including communications equipment, computer equipment, contact lists, vendor numbers, and contract numbers. Refer to Table 6 & Table 7 Sections 2.5 & 2.6;
9. Order equipment or supplies, if not already in place;
10. Transport vital records and files, supporting communications, IT framework and other necessary equipment to the alternate facilities/locations, if applicable; and
11. Arrange security for abandoned primary facility/location and non-moveable equipment and records, to the extent possible.

A list of 24-hour contact information for Key COOP staff will be maintained by each department. In addition, one Key COOP staff will maintain a list 24 hour contact information, including phone numbers and addresses, for all department staff to be used in the event of an emergency.

A list of 24-hour contact information for other departments, key City officials, customers, and suppliers will be maintained by each department.



This information should not be included in the COOP, but instead be maintained as a separate document (paper, electronic, CD, flash drive) that is easily accessible during an emergency.



[INSERT ADDITIONAL DEPARTMENT-SPECIFIC ACTIVATION AND RELOCATION PROCEDURES HERE]

4.3 PHASE II – ALTERNATE FACILITY/LOCATION OPERATIONS (12 HOURS FOLLOWING AN INCIDENT THROUGH TERMINATION)

1. Provide further guidance to Contingency Staff and other departmental staff;
2. Identify replacements for missing personnel and request augmentation as necessary;
3. Begin full execution of essential functions at alternate facilities/locations;
4. Immediately notify [LIST INDIVIDUALS AND ORGANIZATIONS WHO WILL BE NOTIFIED HERE] of the alternate facility/location activation, operational and communications status, and anticipated duration of relocation, if known;
5. Develop plans and schedules to phase down alternate facility/location operations and return essential functions, personnel, records, and equipment to the primary facility/location or to other temporary or permanent facilities/locations, when appropriate; and
6. Develop a staffing plan and determine responsibilities to implement reconstitution.

[INSERT ADDITIONAL DEPARTMENT-SPECIFIC ALTERNATE FACILITY/LOCATION OPERATIONS PROCEDURES HERE]

4.4 PHASE III – RECONSTITUTION (TERMINATION OF COOP OPERATIONS AND RETURN TO NORMAL OPERATIONS)

1. When notified that the threat or actual emergency no longer exists, inform all staff and provide instructions for resumption of normal operations;
2. Supervise an orderly return to the primary facility/location, or movement to other temporary or permanent facility/location, using a phased approach if conditions necessitate;
3. Inform the point of contact at the alternate facility/location and other points of contact that your staff and functions will be leaving the alternative facility/location, if applicable; and
4. Conduct an after action review of COOP operations and effectiveness of plans and procedures as soon as possible; identify areas for correction; develop an improvement plan (Refer to Annex E for After Action Report Template).

[INSERT ADDITIONAL DEPARTMENT-SPECIFIC RECONSTITUTION PROCEDURES HERE]

ANNEX A: PLAN, ANALYSIS, AND REVIEW CHECKLISTS

Annex A forms are to be completed during the COOP completion process.

Review Checklist

IDENTIFICATION AND PROTECTION OF VITAL RECORDS CHECKLIST

- 1.) Have personnel been assigned responsibility for identifying and protecting vital records? Yes No
- 2.) Have vital records been evaluated on the basis of their necessity in carrying out emergency operations or in protecting the rights and interests of citizens and the government and not on their value as permanent records? Yes No
- 3.) Have measures been taken to ensure that emergency operating records vital to the continuity of essential functions during an emergency will be available at alternate facilities/locations in the event those facilities/locations are activated? Yes No
- 4.) Have measures been implemented to secure vital records and databases? Yes No
- 5.) Are vital records easily retrievable and maintained in proper condition? Yes No
- 6.) Is a current inventory of vital records easily accessible? Yes No
- 7.) Have priorities and procedures been outlined for the recovery of vital records during an emergency? Yes No
- 8.) Have measures been identified to minimize damage to vital records during an emergency? Yes No
- 9.) Has a capability been provided to recover vital records that are damaged during an emergency? Yes No

Review Checklist

SELECTING ALTERNATE FACILITIES/LOCATIONS CHECKLIST

<u>Alternate Facility/Location:</u>			<u>Additional Comments</u>
1.) Did you select a facility/location that does not share the same risk factors as your primary facility/location?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2.) Did you consider using existing infrastructures, telecommuting centers, virtual environments, or joint or shared space?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3.) Does the facility/location have the ability to be operational within 12 hours after activation?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
4.) Can the facility/location support sustained operations for 30 days or longer?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
5.) Do you have reliable logistical support, services and infrastructure system, including water, electric power, heating, and air conditioning, etc.?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
6.) Do you have access to essential resources, such as food, water, fuel, and medical facilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
7.) Have you identified backup power to the facility/location?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
8.) Do you have access to office and housekeeping supplies?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
9.) Have you thought about your transportation and parking requirements?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
10.) Does the facility/location meet your equipment and furniture requirements?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
11.) Do you have a requirement for secure storage containers?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
12.) Do you need security personnel to provide perimeter access control and internal security functions?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
13.) If you decide to co-locate with another agency did you establish a memorandum of agreement (MOA)/memorandum of understanding (MOU) with the owner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
14.) Do you have the authority to procure your own space?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

Review Checklist

- 15.) Will you require another agency to assist you in the selection and acquisition process? Yes No

ANNEX B: IMPLEMENTATION CHECKLISTS

Annex B forms are to be completed upon COOP activation and implementation.

COOP IMPLEMENTATION CHECKLIST

- 1.) Has the executive decision been made to activate the Department Continuity of Operations Plan (COOP)? Yes No
- 2.) Have you evaluated your operation and determined if you need to activate your alternate facility/location? Yes No
- 3.) Have you evaluated your operation and determined if you need to request additional staff from another department? Yes No
- 4.) Is the alternate facility/location prepared for your relocation, including security measures? Yes No
- 5.) Have you notified:
- Point of contact at the alternate facility/location? Yes No
 - Contingency Staff and Department's employees? Yes No
 - Other City departments as appropriate? Yes No
 - Other external organizations, as appropriate? Yes No
 - Public? Yes No
- 6.) Have you deployed Contingency Staff to the alternate facility/location? Yes No
- 7.) Have you transported the following to the alternate facility/location:
- Vital records and files Yes No
 - Supporting communications Yes No
 - Information Technology hardware and software, as appropriate? Yes No
 - Other necessary equipment? Yes No
- 8.) Have you transferred the performance of essential functions or activities to the alternate facility/location? Yes No
- 9.) Have you secured the primary facility/location, including any equipment or vital records left behind? Yes No

RECONSTITUTION CHECKLIST

- 1.) Has the executive decision been made to return to the primary facility/location? Yes No
- 2.) Is the primary facility/location, or other temporary or permanent facility/location, prepared for your return, including security measures, water, electric power, heating, and air conditioning, etc.? Yes No
- 3.) Have you notified:
- Alternate Facility/Location Point of Contact? Yes No
 - Contingency Staff and other Departmental staff? Yes No
 - Other City departments, as appropriate? Yes No
 - Other external organizations, as appropriate? Yes No
 - Public? Yes No
- 4.) Have you provided instructions for resumption of normal functions? Yes No
- 5.) Have you transported the following back to the primary facility/location:
- Vital records and databases Yes No
 - Supporting communications Yes No
 - Information Technology framework, as appropriate? Yes No
 - Other necessary equipment? Yes No
- 6.) Have you transferred the performance of essential functions or activities back to the primary facility/location? Yes No
- 7.) Have you secured the alternate facility/location or worked with the point of contact to secure the alternate facility/location? Yes No
- 8.) Have you conducted an after action review to assess the performance of the essential functions at the alternate facility/location and prepared a remedial action plan to correct any areas of concern? Yes No

**ANNEX C: ALTERNATE FACILITY/LOCATION TRANSPORTATION
INFORMATION**

ALTERNATE FACILITY/LOCATION #1

INSTRUCTIONS: Provide driving directions and a map to every alternate facility/location from the primary facility identified in Table 5: Alternate Facilities/Locations Section 2.4.2.

[INSERT ALTERNATE FACILITY/LOCATION ADDRESS HERE]

[INSERT POINT OF CONTACT HERE]

ANNEX D: SUPPORTING DEPARTMENTAL DOCUMENTS (INCLUDING MOA/MOU)

Include any/all additional supporting departmental documents (i.e., SOP/SOGs) that are applicable to this COOP.

MOU TEMPLATE¹

MEMORANDUM OF UNDERSTANDING

BETWEEN

INSERT ORGANIZATION HERE

AND

(_____) FACILITY

I PURPOSE

The purpose of this Memorandum of Understanding between **(Insert organization here)** and (_____) (Alternate Facility Owner) sets forth the responsibilities of each of the above department in case use of the alternate facility is needed in the event the departments Continuity of Operations (COOP) plan is activated.

II BACKGROUND

The changing threat environment and recent emergencies have focused awareness on the need for COOP capabilities that enable agencies to continue their essential functions during a broad spectrum of emergencies. Also, the potential for terrorist use of weapons of mass destruction has emphasized the need to provide the ability to ensure continuity of essential government functions across the City of **XXXX**.

In accordance with Presidential Decision Directive (PDD) 67 and Federal Preparedness Circular (FPC) 65 requires all agencies to designate alternate operating facilities as part of their COOP plans and prepare their personnel for the possibility of unannounced relocation of essential functions and/or Key COOP Personnel to these facilities should an emergency necessitate that action. FPC 65 advised that these facilities could be identified from existing agency local or field infrastructures or external sources, and should be capable of supporting emergency operations in a secure environment, as determined by the geographical location of the facility, a favorable assessment of the local threat, and/or the collective protection characteristics of the facility.

¹ This MOU Template is for example purpose only. Consult your Legal and Contract Departments for further guidance.

The MOU is used to create an agreement which will delineate responsibilities between the alternate facility and the **Insert Organization Here** during the use of the alternate facility. This agreement allows for each party to be review the MOU annually and makes changes as applicable.

III AUTHORITY

This agreement is under the authority of Presidential Decision Directive (PDD) 67, Enduring Constitutional Government and Continuity of Government Operations, dated October 21, 1998 and Federal Preparedness Circular (FPC) 65, Federal Executive Branch Continuity of Operations (COOP), dated July 26, 1999.

IV OBJECTIVES

Ensuring that **Insert Organization Here** have a facility from which to continue to perform their essential functions/operations during an emergency.

Reducing or mitigating disruptions to operations.

Achieve a timely and orderly recovery from and emergency and resuming full service to customers.

V RESPONSIBILITES

a. **Insert Organization Here**

1. Funding allocation (Identify source of funding, annotate items which the department will be responsible to pay and spending limitations for the department.):
2. Communication support (Identify what communication support equipment the department is responsible to provide at the alternate facility.):
3. Life support (i.e. food, medical) (Identify what life support material the department is responsible to provide at the alternate facility.):
4. Billeting (Identify if needed, any alternate billeting arrangements for city workers while working at the alternate facility.):
5. Transportation (If the department is responsible for providing transportation to the alternate facility, identify the means to which workers will be transported to and from the alternate facility.):

b. (_____) (Alternate Facility)

1. Space allocation: (Space and services to be provided)

2. Communication support: (Identify the communication equipment that the alternate facility is required to provide. Communications at the alternate facility is required to be consistent with your agency COOP staffing plan during any event).
3. Security: (Alternate facilities must provide physical security that meets all requirements established by annual threat assessments and physical security surveys conducted by the agency's security office, the Federal Protective Service, or a qualified contractor. Required physical security capabilities must be tested/exercised annually and be in place within 12 hours of COOP plan activation.)
4. Life support (i.e. water, sewage, sanitation, power): (Identify the life support functions that the alternate facility is responsible for while the alternate facility is activated.)

VI TERM

This MOU will take effect on the date of signature of both parties, and will remain in effect for one year, at which time it may be renewed by mutual agreement of (Insert Organization Here) and () (Alternate Facility).

VII AMENDMENT

This MOU may be amended in writing at any time by mutual agreement of Department Head () (Insert Organization Here) and () (Alternate Facility) designee.

VIII TERMINATION

Either () (Insert Organization Here) and () (Alternate Facility) may terminate this MOU upon 90 days advance written notice.

IX SCOPE

Nothing in this MOU shall be construed to limit or otherwise affect the independent powers and operations of () (Insert Organization Here). Similarly, nothing in this understanding shall be construed to interfere with the management, policies or operations established by () (Alternate Facility).

X POINTS OF CONTACT AND BINDING SIGNATURES

Points of contact for this MOU are as follows:

For **Insert Organization Here**:

For Alternate Facility:

Joe M. Smith

John Jones

Insert Organization Here

Alternate Facility

1111 Overhill St.

345 D St.

San Diego, CA 92134

San Diego, CA 92154

(858) 555-5555

(619) 555-5555

Signed on the _____ day of _____ (month) _____ (year)

ANNEX E: AFFTER ACTION REPORTING

INTRODUCTION

In order for a COOP plan to be effective, it is critical that the personnel, procedures, alternate facilities, and equipment be exercised and tested on a regular basis. In addition, many lessons can be learned following a real-life event where the COOP is activated. Yet no amount of exercising or real-life practice will be constructive unless each event is followed by an After Action Report (AAR). After Action Report is a structured evaluation designed to identify successes and shortfalls. Both exercises and real-life events can be evaluated using similar methods. This document uses exercises and real-life event interchangeably as far as evaluation methods and forms are concerned.

The participating local governments and jurisdictions should view the After Action Report not as a “report card” that grades weakness but rather as an opportunity to identify ways to build on strengths and improve COOP capacity. Because jurisdictions are testing new and emerging plans, skills, resources, and relationships, every exercise can be expected to result in multiple findings and recommendations for improvement.

FUNCTION OF COOP AFTER ACTION REPORTS

The goal of a COOP After Action Report and exercise evaluation is to validate strengths and identify improvement opportunities for the participating jurisdiction(s). This is accomplished by observing the exercise and collecting supporting data, analyzing the data to compare performance against expected outcomes, and determining what changes need to be made to the procedures, COOP plan, staffing, equipment, and communications to ensure expected outcomes. The focus of the evaluation for discussion-based exercises (e.g., tabletop exercises) is on the COOP plan, procedures, and policies, whereas the focus for operations-based exercises (e.g., drills and full-scale exercises) is on assessing performance in activating and implementing COOP plan in response to a simulated major event.

An After Action Report serves the following important functions:

- Identification of problems/successes during COOP training, or emergency COOP plan activation and implementation.
- Analysis of the effectiveness of COOP plan components.
- Needed improvements in the COOP procedures or guidelines.
- Additional equipment and supplies required.
- Training and staffing deficiencies and need for continued exercising of the COOP plan.
- Describes and defines a plan of action for implementing improvements.

RESPONSIBILITY FOR AFTER ACTION REPORTS

Following an exercise or a drill, individuals selected as observers prior to training, are responsible for completion of the After Action Report. In a real-life event, the head of the

Department will be responsible for ensuring that an After Action Report was completed. Employees and customers should be invited to provide input. The report should be distributed on an as needed basis.

AFTER ACTION REPORT OUTLINE

1. Executive Summary: The executive summary provides an overview of the exercise or actual event, major strengths demonstrated during the event and areas that require improvement.
2. Introduction and Background
3. Type/Location of Event / Drill / Exercise
4. Description of Event / Drill / Exercise
5. Chronological Summary of Event / Drill / Exercise
6. COOP Activation and Implementation Summary: Include information on what worked and what didn't, identify strengths to be maintained or built upon and potential areas for further improvement
7. Conclusions and Recommendations: As applicable, include a description of recommended event follow-up actions, assignments, associated costs or budget, timetable for completion or correction, and follow-up responsibilities
8. Training Needs

Below is the COOP Plan Exercise/Major Event After Action Report (AAR) Information Gathering Form. This form can be used to collect information for an After Action Report.

IMPLEMENTING CHANGE

Recommendations for the future are the major reason for compiling an After Action Report. The goals of an exercise are not achieved until the recommendations that come out of the evaluation are implemented. The purpose of the evaluation is to improve the COOP and the local government's performance in carrying out that plan. This is most likely to occur if objectives relate clearly to COOP functions and the focus of the evaluation is on performance, not people.

Specifically, the change effort centers on these issues:

- Are the procedures sound?
- Are resources sufficient to support the procedures?
- Are personnel adequately trained to follow the procedures and use resources?

**COOP PLAN EXERCISE/MAJOR EVENT AFTER ACTION REPORT (AAR) INFORMATION
GATHERING FORM**

PART I – GENERAL INFORMATION

1. LOCATION	2. EXERCISE HOST/AFFECTED DEPARTMENT(S)	3. SITE OF EVENT/AFFECTED BUILDING(S)
4. TYPE OF EVENT EXERCISE <input type="checkbox"/> <ul style="list-style-type: none"> <input type="checkbox"/> Seminar <input type="checkbox"/> Workshop <input type="checkbox"/> Tabletop <input type="checkbox"/> Game <input type="checkbox"/> Drill <input type="checkbox"/> Functional <input type="checkbox"/> Full-scale 		5. DATES OF EVENT (Month/Day/Year) Begin: ____/____/____ End: ____/____/____

6. HAZARD SCENARIO

Please enter only one (1) P for the Primary hazard and one (1) or more S's for Secondary type(s) of hazard(s)

Natural Hazards:

- Drought
- Flood
- Landslide
- Wild Fire
- Winter Storm
- Other (Describe)

Technological/Man-Made Hazards:

- Biological
- Chemical
- Civil Disorder
- Dam Failure
- Explosives
- Hazardous Materials
- Low Intensity Conflict
- Power Failure
- Radiological
- Structural Fires
- Terrorism
- Transportation Accidents Air/Rail/Highway/Water
- Other (Describe)

7. INDICATE NUMBER OF PARTICIPANTS/AFFECTED INDIVIDUALS FROM YOUR JURISDICTION IN EACH DEPARTMENT:

TOTAL #

___ Assessing Department

___ City Clerk Department

___ Emergency Management Department

___ Executive Department

___ Fire Department

___ HAZMAT

___ Human Resources Department

___ Police Department

___ Public Health Department

___ Public Works and Engineering Department

___ Purchasing Department

___ Utilities

___ Others (Describe) _____

PART II – GENERAL COMMENTS

WHAT WENT RIGHT? (Provide a general description of actions, procedures, and decisions that contributed positively to the exercise/event.)

Continuity of Operations Plan
Annex E – After Action Report Template

WHAT AREAS NEED IMPROVEMENT? (Provide a general description of actions, procedures, and decisions that could be improved to enhance the response in a future exercise/event.)

PART III – COOP FUNCTIONS TESTED

COOP FUNCTIONS	RESULTS (Circle) S-Satisfactory NI – Needs Improvement N/A – Not Applicable	CORRECTIVE ACTION REQUIREMENT(S) (Check to show that a corrective action is required)				
		Planning	Training	Personnel	Equipment	Facilities
1. COOP ALERT NOTIFICATION						
Internal Agency Notification	S NI N/A					
Other Agencies/Authorities Notification	S NI N/A					
Contingency Staff Notification	S NI N/A					

Continuity of Operations Plan
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COOP FUNCTIONS	RESULTS (Circle) S-Satisfactory NI – Needs Improvement N/A – Not Applicable	CORRECTIVE ACTION REQUIREMENT(S) (Check to show that a corrective action is required)				
		Planning	Training	Personnel	Equipment	Facilities
Employee Notification	S NI N/A					
Public Notification	S NI N/A					
[INSERT OTHER NOTIFICATION PROCEDURES HERE]	S NI N/A					
2. ALTERNATE COOP SITE OPERATIONS						
Delegation of Authority	S NI N/A					
Succession of Leadership	S NI N/A					
Accessibility	S NI N/A					
Physical Requirements (space, desks, chairs, lights, parking, etc.)	S NI N/A					
Essential Equipment	S NI N/A					
Essential Documents	S NI N/A					
Interoperable Communications	S NI N/A					
Interoperable Communications	S NI N/A					
Staffing	S NI N/A					
[INSERT OTHER ALTERNATE SITE OPERATIONS REQUIREMENTS HERE]	S NI N/A					

PART III. CORRECTIVE ACTION PLAN (CAP):

Recommendations & Comments: **Add additional pages as necessary. When commenting on areas of improvement, include the Block Number of the COOP Function you indicated needs improvement and the following codes for the corrective action checked: P = Planning; T = Training; PE = Personnel; E = Equipment; F = Facilities.**

Continuity of Operations Plan
Annex E – After Action Report Template

Timeline for Corrective Action: Briefly describe the action(s) that will be taken to address the recommendations discussed above and the time frame for completing these corrective measures:

PREPARED BY: (Signature)	Title	Date
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ANNEX F: COOP BEST PRACTICES

COOP BEST PRACTICES

This section provides suggested COOP best practices identified through the implementation of the County of San Diego departmental COOPs. These best practices are suggestions only and their utilization is not required for a functional COOP.

Emergency Communications

- Create an Emergency Phone List (phone tree) and keep it in Outlook as a Memo. This way it will always be available using Web Mail. Include external numbers for notification.
- Create a directory of **wireless, Internet, satellite upload/download** and **video teleconference** sites for the City.
- If possible, create standardized messages and deliver to the voicemail of all employees. Instruct employees to check voicemail daily.
- Create an emergency phone number with a voice mail greeting that can be changed. Use this number to update the staff during an emergency. Place this number on a business card and distribute to employees.

Vital Records

- Create a dossier of forms (hardcopy) and store at alternate locations. Include all essential documents/forms that would require immediate access following an emergency.
- Create a COOP folder on a shared drive and ensure all critical information and vital forms are stored within.

Other

- Pre-position this COOP Plan and all supporting documents at the alternate facility and ask Department Contingency Staff to pre-position a CD or a flash drive containing an electronic version of this plan in their car/home.
- Create a quick reference card including How-To checklists. For example:
 - How to create a remote voice mail greeting;
 - How to set-up a Virtual Private Network (VPN); and
 - How to forward phones remotely.
- High limit City credit card holders should not keep the cards locked at the office. The Department's office may not be available during COOP activation.
- Create a financial account (job number) for emergency use. Track all mileage and rentals – this is useful for FEMA reimbursement.

ANNEX G: DEFINITIONS AND ACRONYMS

After Action Report – a narrative report that presents issues found during an incident or exercise, along with recommendations on how those issues can be resolved.

Alternate Facility/Location – an alternate work site that provides the capability to perform minimum essential departmental functions until normal operations can be resumed.

Alternate Facility/Location Point(s) of Contact – the individual(s) responsible for the alternate facility/location during periods of normalcy and who, upon activation of the COOP, may be required to take action to ensure that the alternate facility/location is prepared for occupancy by the Key COOP staff.

Continuity of Operations Plan (COOP) – an internal effort within individual components of a government to ensure that the capability exists to continue essential component functions across a wide range of potential emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

COOP Activation – the executive decision by the Director of Emergency Services (CAO, Director of OES, or their designee) to initiate the Continuity of Operations process.

COOP Implementation – the process and procedures conducted by the Department(s) to ensure the continuance of essential functions.

Catastrophic Event – an emergency event that renders a department’s primary facility/location unusable for a sustained period of up to or exceeding 30 days.

Contingency Staff – the personnel of the Department designated to report to the alternate facility/location during COOP implementation to ensure that the Department is able to perform its essential functions.

Critical Customers – organizations or individuals for which the City or one of its departments performs mission-essential functions.

Critical Essential Functions – those essential functions that cannot be interrupted or can be only minimally interrupted following an incident.

Critical Time – the amount of time a particular function can be suspended before it adversely affects the Department’s core mission.

Delegated Authority – an official mandate calling on the individual holding a specific position to assume responsibilities and authorities not normally associated with that position when specified conditions are met.

Devolution – the capability to transfer statutory authority and responsibility for essential functions from a department’s primary operating staff and facilities to employees and facilities of other departments within the City or from another jurisdiction.

Emergency – a sudden, usually unexpected event that does or could do harm to people, resources, property, or the environment. Emergencies 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 can cause the temporary evacuation of personnel or the permanent displacement of personnel and equipment from the location to a new operating location environment.

Essential Functions – those functions, stated or implied, that City departments are required to perform by statute, executive order, or City policy and are necessary to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the industrial/economic base in an emergency.

Functional Exercise – a fully simulated interactive exercise performed in real time that tests the capability of an organization to respond to a simulated event without actually moving people and equipment to an actual site.

Interoperable Communications – alternate communications that provide the capability to perform minimum departmental essential functions, in conjunction with other agencies, until normal operations can be resumed.

Key COOP Staff – staff of the Department necessary for the performance of the Department’s essential functions.

Long-term Essential Functions – those essential functions that can be interrupted for the first 30 days following an incident, but must be resumed thereafter.

Mitigation – any sustained action taken to reduce or eliminate the Long-term risk to life and property from a hazard event.

Memorandum of Understanding and Memorandum of Agreement (MOU/MOA) - is a legal document describing a bilateral agreement between parties. It expresses a convergence of will between the parties, indicating an intended common line of action, rather than a legal commitment. It is a more formal alternative to a gentlemen's agreement, but generally lacks the binding power of a contract.

Order of Succession – the order in which and conditions under which the responsibilities and authorities of a public official are passed to another official when the original holder of the responsibilities and authorities is unable or unavailable to exercise them.

Plan Maintenance – steps taken to ensure the COOP is reviewed regularly and updated whenever major changes occur.

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

Reconstitution – the resumption of non-emergency operations at a primary facility/location following emergency operations at an alternate facility/location.

Tabletop Exercise – a round table, open forum type of discussion in which an emergency situation is presented to the participants. A series of questions is offered for consideration by the participants. Individual emergency response plans from communities and industrial operators are used in a discussion on how to best deal with the fictional emergency situation.

Termination – actions taken to end operations at an alternate facility/location and prepare for returning to non-emergency operations at a primary facility/location.

Vital Records and Databases – data information, in hard copy or electronic format, necessary to maintain the continuity of operations during an emergency, to recover full operations following an emergency, and to protect the legal rights and interests of citizens and the government.