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FROM: Michael D. Brown
Under Secretary
Emergency Preparedness and Response

SUBJECT: Interim Continuity of Operations Planning Guidance

Attached for your information and use is the "Interim Guidance on Continuity of Operations Planning for State and Local Governments." This interim guidance is provided to assist your State and local governments, jurisdictions and first responder organizations in the development and maintenance of Continuity of Operations Plans (COOP). COOP planning is designed to develop and maintain a plan that enables each level of government and jurisdiction to preserve, maintain, and/or reconstitute its capability to function effectively in the event of the threat or occurrence of any disaster or emergency that could potentially disrupt governmental and jurisdictional operations and services. Please disseminate copies of this interim COOP planning guidance to your State and local partners.

Current plans call for this guidance to be revised and updated, based on comments received during its use. Each Region will also be provided an electronic copy of the "Interim Guidance on Continuity of Operations Planning for State and Local Governments" via e-mail.

Should there be any questions, regarding the attached interim COOP planning guidance, please contact Kyle Blackman on (202) 646-4676 and/or Linda Grinnage on (202) 646-4000.

Attachment

CONCURRENCE SHEET

“INTERIM GUIDANCE ON CONTINUITY OF OPERATIONS PLANNING FOR STATE AND LOCAL GOVERNMENTS (COOP)” MAY 2004

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FEMA

INTERIM GUIDANCE ON CONTINUITY OF OPERATIONS PLANNING FOR STATE AND LOCAL GOVERNMENTS

Federal Emergency Management Agency
Department of Homeland Security



May 2004

TABLE OF CONTENTS

EXECUTIVE SUMMARY	1
INTRODUCTION	4
Purpose	5
Planning Goals and Objectives.	6
All-Hazards Planning Approach.	6
Planning Participants.	7
Planning Coordination.	7
Certification and Distribution of the COOP Plan.	9
STEP 1: INITIATING THE COOP PLANNING PROCESS	11
COOP Authorities.	11
COOP References.	12
COOP Planning Assumptions.	12
Concept of Operations.	14
Disaster Impact Analysis.	15
STEP 2: IDENTIFYING ESSENTIAL FUNCTIONS, OPERATIONS AND RESPONSIBILITIES.	16
Essential Functions and Operations.	16
Essential Responsibilities.	19
State and Local Governments/Jurisdictions and First Responder Organizations	19
Department and Agency Heads, Chief Elected Officials, and First Responders	20
Department/Agency/Jurisdiction COOP Emergency Response Team	21
STEP 3: DEVELOPING THE COOP PLAN.	22
Continuity of Government.	22
Delegation of Authority.	22

Order of Succession.	23
Key Staff for Performing Essential Functions and Operations.	24
Vital Records, Databases, Systems, and Equipment.	25
Alternate Facilities/Work Sites.	26
Basic Space and Equipment Requirements.	28
Interoperable Communications.	29
Security and Access.	30
Public Information and Media Relations.	31
 STEP 4. PREPARING FOR IMPLEMENTATION OF THE COOP PLAN . . .	 32
Activation and Relocation.	32
Activation.	32
Relocation Plan.	33
Personnel Notification.	34
COOP Team Deployment.	34
Transition to Alternate Facilities.	35
Administrative and Logistics Support.	36
COOP Drive-Away Kits.	36
Alternate Facility/Work Site Operations.	37
Termination and Return to Normal Operations.	38
Restoration and Recovery Resources.	39
 STEP 5. MAINTAINING COOP READINESS.	 41
Training.	41
Testing and Exercises.	42
Multi-Year Strategy and Program for Plan Maintenance.	43
 APPENDIX A LIST OF ACRONYMS	
 APPENDIX B GLOSSARY OF COOP TERMS	
APPENDIX C SITE VULNERABILITY ANALYSIS	
 APPENDIX D BASIC COOP REFERENCE AND RESOURCE DOCUMENTS	

APPENDIX E COOP PLANNING TEMPLATE

APPENDIX F COOP PLANNING GUIDANCE TOOLKIT

INTERIM GUIDANCE ON CONTINUITY OF OPERATIONS PLANNING FOR STATE AND LOCAL GOVERNMENTS

EXECUTIVE SUMMARY

Historically, State and local governments/jurisdictions have always prepared, to the greatest extent possible, to respond to all hazard disasters and emergencies within their jurisdictions to save lives; protect the public health, safety, and well being; protect property; maintain essential communications; provide for business/industrial continuity; and restore basic public services. However, over the past two decades, State and local governments and jurisdictions have become increasingly aware of the extent to which disasters and emergencies can interrupt, paralyze, disrupt, and/or destroy their capabilities to preserve civil government institutions and perform essential governmental and jurisdictional functions effectively under emergency conditions. Consequently, State and local governments/jurisdictions have determined that it is imperative that each level of government and jurisdiction develop and maintain a Continuity of Operations (COOP) plan. COOP planning is designed to develop and maintain a plan that enables each level of government and jurisdiction to preserve, maintain, and/or reconstitute its capability to function effectively in the event of the threat or occurrence of any disaster or emergency that could potentially disrupt government/jurisdiction operations and services.

All-hazard disasters and emergencies include a wide range of events ranging from natural, manmade/technological, and terrorist induced events involving weapons of mass destruction (WMD). Whether a particular hazard is the result of a natural event, something manmade or a technological incident, or a terrorist event involving WMD; an all hazards approach ensures emergency management officials and planners that regardless of the emergency, critical or essential functions and services will continue to operate and be provided.

Although preparations for major disasters or emergencies are important, equally important, but largely overlooked, have been disasters or emergencies with less severity, but greater frequency. For example, in an average year, governments and jurisdictions will be more adversely impacted

by floods and tornadoes than by earthquakes and nuclear power plant incidents. Even more frequent are relatively minor emergencies, which if not prepared for and dealt with, can wreak havoc on the capability of a government or jurisdiction to continue operations and provide services. While threats vary from jurisdiction to jurisdiction and governmental entity to entity, it is clear that the better prepared each level of government is the more effective its operational capability will be, regardless of the type of hazard that arises.

The changing nature of the disasters and emergencies that threaten governmental operations is also noteworthy. Before the mid-1990s, governments and the public were primarily concerned with the impacts of natural and accidental technological disasters. Since that time, our nation has been forced to acknowledge and plan for the devastating consequences of intentional acts of destruction, such as the June 1993 bombing of New York City's World Trade Center, the April 1995 bombing of the Murrah Federal Building in Oklahoma City, the September 2001 airline attacks on the World Trade Center and Pentagon, and the September/October 2001 mailings of anthrax to targets along the East Coast.

This planning guidance is designed to help state and local governments/jurisdictions develop COOP plans tailored to the characteristics of their individual organizations and the essential functions they perform. The guidance promotes a step-based approach to COOP planning.

In Step 1, COOP planners initiate the planning process by studying and documenting the background factors that will influence how the organization prepares for COOP. They examine documents that define the organization's legal authority to engage in COOP planning and those that provide information useful to the planning effort. They identify and analyze the assumptions that will underlie the plan. They establish basic concepts that will guide COOP planning for the organization and analyze the organization's vulnerability to disaster.

In Step 2, planners engage in the important task of identifying and documenting the organization's essential operations, functions, and responsibilities. A systematic approach is recommended for deciding which of the functions performed by the department or

jurisdiction are really essential. Next, the COOP responsibilities of principal organizations and officials are addressed, including the state or local government/jurisdiction, its head official, and its designated COOP Emergency Response Team.

In Step 3, planners develop the basic plan for COOP. They outline provisions to ensure continuity of governmental authority and the order of succession for key positions; identify the key personnel to perform essential functions in an emergency; develop strategies for protecting vital records, databases, systems, and equipment; and identify, evaluate, and select the alternate facilities to be used for the organization's emergency operations.

In Step 4, procedures are developed to ensure appropriate and timely execution of the COOP plan during an emergency. These procedures address activation of the plan and relocation of personnel, records, equipment, and supplies to the alternate facility; the performance of essential organizational functions at the alternate facility; and the process of terminating the emergency and returning to normal operations.

Finally, in Step 5, planners address measures to ensure that the organization maintains its readiness for COOP. They outline programs for training, testing and exercises, and develop a multi-year strategy for maintaining the COOP plan.

INTRODUCTION

This guidance document provides state and local governments with an aid for developing viable and executable Continuity of Operations (COOP) plans. This document is strictly a guide and establishes no requirements. State and local governments may use, modify, or disregard the recommendations contained herein as needed to establish a COOP capability that is appropriate for their circumstances.

COOP planning facilitates the performance of department/jurisdiction essential functions during an emergency situation that disrupts normal operations, and it provides for the resumption of normal operations once the emergency has ended. A strong COOP plan provides the organization with a vehicle to address the numerous issues involved in performing essential services during an emergency. In its plan the department or jurisdiction can

- State the organization's policy regarding continuity of operations, including the reasons for developing a COOP capability, the major components of an adequate capability, and the general standards for implementation;
- Define specific objectives for COOP as they relate to the organization's mission and the functions it performs;
- Describe the organization's overall approach for maintaining essential functions during an emergency;
- Identify the emergency roles and responsibilities of organizations and positions;
- Establish or clarify orders of succession to key positions and specify arrangements for pre-delegation of authority for making policy determinations and decisions;
- Identify and prioritize the organization's essential functions and denote staffing and resource requirements for each;
- Specify measures to ensure the protection of all vital records, databases, and information systems needed to support the organization's essential functions;

- Designate alternate operating facilities capable of immediately supporting the performance of essential functions under various threat conditions;
- Prepare for the emergency relocation of COOP contingency staffs to the alternate facilities;
- State interoperable communications requirements for the alternate facility to ensure the availability and redundancy of critical communications systems;
- Provide a basis for training COOP participants, testing equipment, and conducting exercises to evaluate specific aspects of COOP plans, policies, procedures, systems, and facilities; and
- Establish a multi-year strategy and program management plan for developing and maintaining COOP capabilities.

Purpose

The purpose of this guidance document is to provide state and local governments/jurisdictions with recommendations for the development of COOP plans that will enable them to provide vital services effectively and in a timely manner during emergency conditions.

Governmental operations can be disrupted at any time by natural disasters or through the accidental or intentional acts of humans. The threat environment in our nation is changing, and recent emergencies have made us more aware of the need for governments to be able to continue performing their essential functions across a broad spectrum of emergencies. COOP planning is simply a “good business practice”—part of the fundamental mission of departments and jurisdictions as responsible and reliable public institutions. Without good COOP planning, organizations risk leaving their citizens without vital services in what could be their time of greatest need.

Planning Goals and Objectives

The general goal of COOP planning is to ensure an organization's ability to continue performing essential functions and activities during emergencies, and to facilitate an orderly recovery from emergency situations

The specific objectives of a department's or jurisdiction's COOP plan will vary depending on the organization's mission and the functions it provides. In general, however, COOP planning aims to provide a program with the following characteristics:

- Capable of being maintained at a high level of readiness;
- Capable of implementation with or without warning;
- Able to achieve operational status no later than 12 hours after activation;
- Able to sustain operations for up to 30 days; and,
- Takes maximum advantage of existing department or jurisdiction field infrastructures

All-Hazards Planning Approach

Planning for COOP should prepare the organization to maintain essential services when experiencing any foreseeable hazard that could disrupt the functioning of the department or jurisdiction. COOP planning is applicable to a wide range of potential emergencies or threats, including natural disasters, accidents, technological failures, workplace violence, and emergencies related to foreign or domestic acts of aggression. Some of these hazards may produce emergencies that render a single facility unusable for a period of time, such as a local water main break or HazMat incident. Others may result in more severe and widespread emergencies such as a major national or regional disaster, including a Category 5 hurricane, a major earthquake, a massive terrorist attack, or an attack using a weapon of mass destruction (WMD).

Planning Participants

Responsibility for COOP planning resides with the highest level of management of the organization involved. The administrative head of a state department or agency or the chief elected official of a local jurisdiction is ultimately responsible for the continuation of essential services in an emergency and, consequently, for the related planning. The organizational head has several COOP planning responsibilities:

- Appointing a department or jurisdiction COOP coordinator;
- Developing a COOP Multi-Year Strategy and Program Management Plan;
- Developing, approving, and maintaining agency COOP plans for all components of the department or jurisdiction;
- Coordinating COOP planning efforts and initiatives with policies, plans, and activities related to critical infrastructure protection;
- Training the organization's staff for their COOP responsibilities;
- Participating in periodic COOP exercises; and
- Notifying appropriate outside parties (e.g., the governor) when COOP plans are activated.

The head of the organization may delegate these tasks but should continue to regularly monitor and be apprized of COOP team efforts. There should be close coordination between the organization's management and the team responsible for COOP planning.

Planning Coordination

The plans and procedures an organization develops for COOP will inevitably interact with other planning initiatives, such as those involving general emergency response planning and critical infrastructure protection. The COOP plan will be strengthened and made more implementable through coordination with other relevant planning efforts. It is also prudent to coordinate with the COOP planning efforts of related departments and jurisdictions. This is especially important if these outside organizations may be requested to provide resources or other assistance during an emergency.

It is particularly important to coordinate COOP planning with the general emergency response planning effort that covers the organization. Despite some differences in the orientation of these two types of planning, they share some characteristics and would be implemented simultaneously in an emergency. Some agencies and officials will likely play major roles under both plans, and resources will be required to implement both plans. Coordinated planning will help ensure that the combined resource requirements are reasonable and the assigned responsibilities are compatible.

COOP planning should also be coordinated with any critical infrastructure planning that relates to the department or jurisdiction. In order to maintain essential services and functions during a disaster, state and local governments/jurisdictions will often rely on critical infrastructure elements. Phone lines, the internet, and/or satellite systems, for example, are required for effective communications. Streets, highways, and vehicles are necessary for goods and services that must be physically delivered to customers. Coordination can help COOP planners understand which critical infrastructure elements are most likely to be available during an emergency.

Some emergencies that result in COOP activation could affect the organization's resources for providing essential services, thus making it necessary to request resources from other organizations. It is important to coordinate the COOP planning effort with any outside organizations that may be requested to provide resource assistance in emergency situations. Such organizations may include other departments in the state government, surrounding local jurisdictions, or other levels of government. In cases where a potential need for resource assistance is identified, it is often desirable to enter into pre-arranged agreements with other organizations for obtaining the needed resources during an emergency. An example mutual aid agreement is provided in Appendix F, Item F.15.

Certification and Distribution of the COOP Plan

Since continuity of operations during emergencies is ultimately the responsibility of the highest authority of a governmental organization, it is important that this person certifies the completed COOP plan. A plan that includes the signed endorsement of the administrative head of a state department/agency or the chief elected official of a local jurisdiction will be recognized as the organization's official policy for operations during emergencies. Before certifying the plan, the head of the organization should review it to ensure that it is realistic and provides adequately for the emergency performance of all essential functions. An example checklist that an organization head can use in evaluating a COOP plan for certification is included as Item F.21 in Appendix F.

In some cases it may be useful to certify the plan in stages, with individual elements of the plan (e.g., the identification of essential functions) certified as they are completed before proceeding with the development of other plan elements. In these cases, overall certification of the completed document is still recommended.

Once the full plan has been certified, it should be distributed to all relevant parties. Each state or local government/jurisdiction is responsible for deciding which individuals, within and outside the organization, will receive a full or summary version of the COOP plan. The distribution strategy should strike a balance between the right of all employees and the public to information about the organization's plan for emergency operations, on the one hand, and the need to keep some parts of the plan confidential in the interests of operational security, on the other. In general, it is advisable to limit distribution of the full plan to those with "a need-to-know," such as individuals who are assigned responsibilities under the plan. A general summary of the plan can then be distributed to other employees of the organization and made available to the public. An example form to help organize the distribution of the COOP plan is provided in Appendix F (Item F.22).

New York City's COOP Experience on September 11, 2001

The importance of COOP planning is illustrated by the City of New York's experience following the terrorist attack on the World Trade Center on September 11, 2001—an incident that severely tested the city's ability to continue providing essential services and respond to the disaster that had befallen it. At the time of the attack New York did not have a COOP plan.

The city's new Emergency Operating Center, located at No. 7 World Trade Center, was destroyed when the building collapsed on the afternoon of the attack. In addition, disruption of utilities and telecommunications capabilities rendered the City Hall and the city's Federal Center unusable. The city government and the local offices of the Federal Emergency Management Agency and Environmental Protection Agency had to find and equip alternate facilities to continue operations and contribute to the emergency response.

In the absence of a COOP plan, it took almost three days to procure, adapt, and equip a suitable alternate facility to support the performance of essential functions. The city identified an empty warehouse space at Pier 92 on the Hudson River, rushing to add interior partitions along with power and telecommunications wiring and bringing in equipment, furnishings, and supplies. On September 14, the Pier began functioning as the city's EOC, Joint Information Center, and alternate seat of government, providing a base for the Mayor and other key officials. Representatives of more than 150 city, state, federal, and private organizations operated in the EOC as the city's Office of Emergency Management worked to ensure continuity of operations and recovery in downtown Manhattan.

While no one would question the heroic efforts of New York City's personnel in responding to the World Trade Center disaster, the existence of a COOP plan and a pre-designated and prepared alternate facility could only have made those efforts even more effective.

Sources: (1) New York City Emergency Management, undated. "Emergency Operations at Pier 92," http://www.nyc.gov/html/oem/html/other/sub_news_pages/911/response_p2.html;

(2) Walton, Matt S., III, 2003. "Rebuilding an Emergency Operations Center for NYC following 9/11," *DSSResources.com*

(3) The George Washington University, Institute for Crisis, Disaster, and Risk Management 2002. Observing and Documenting the Inter-Organizational Response to the September 11th Attack on the Pentagon.

(4) Kendra, J. and T. Wachtendorf, Elements of Community Resilience in the World Trade Center Attack, *Disaster Research Center, Univ. of Delaware, Newark, DE*.



New York City's
Alternate EOC facility
at Pier 92.

STEP 1: INITIATING THE COOP PLANNING PROCESS

Before beginning detailed planning for COOP it is important to deal with the background issues that will provide a basis for the plan. In this step the planning team examines the organization's authority to engage in COOP planning; researches reference documents that will aid in the development of an optimum COOP capability; analyzes the assumptions that underlie and may affect the validity of the plan; establishes the organization's overall concept for COOP; and evaluates the organization's vulnerability to an emergency interruption of operations. Each of these activities is discussed in more detail in the sections that follow.

COOP Authorities

When a state or local government/jurisdiction 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 limitations of that authority. In cases where COOP planning has been explicitly mandated or authorized by legislative action or executive directive, the appropriate documents can be easily identified. However, in cases where elected officials have not explicitly addressed COOP planning, it will be necessary to research other legal documents that confer authority for this type of planning. Such documents may include legislation or policy statements regarding general emergency preparedness or planning.

Examples of documents that may provide authority for COOP planning include the following:

- State statutes requiring or authorizing the state government, state departments, or local governments to prepare COOP plans;
- State statutes requiring the state government or local governments to prepare plans for emergency management or disaster preparedness that imply authority for COOP planning;

- Documents that establish a state department or agency and which directly or indirectly call for the performance of the organization's mission during emergency periods;
- Charter documents that establish a local unit of government and may require or imply the responsibility to provide mandated services during emergencies;
- Executive orders from the governor that explicitly or implicitly call for the continuation of essential services during emergencies;
- Plans adopted by the state or local executive or legislative branches (such as emergency management plans or comprehensive development plans) that call for COOP planning; and
- Resolutions adopted by state or local legislative bodies requiring or authorizing the preparation of COOP plans.

COOP References

In addition to the documents that provide the legal authority for COOP planning, other publications will influence the planning effort and the resulting plan. Such documents might include those relating to the mission of the department or jurisdiction as well as general development plans and emergency response plans for the jurisdiction. Some publications containing information relevant to COOP planning are listed in Appendix D.

COOP Planning Assumptions

The environment in which government organizations operate is constantly evolving. In order to plan for future emergency operations, planners must make assumptions about what the state of that environment will be at the time of an emergency. Some of these assumptions concern the physical environment; others concern the operational environment of the government. In order to plan appropriately it is crucial that all planning assumptions be stated and tested.

Planning assumptions can be organized into operational categories such as those listed below. The specialized requirements of a specific department or jurisdiction may require additional assumptions. General categories of assumptions include the following:

- Business operations
 - funding constraints,
 - budget,
 - baseline costs and inflation,
 - facilities, both primary and alternate,
 - employees,
 - risk, safety, and health of employees,
 - security,
 - operating infrastructure (water, sewer, power, and communications),
 - legal issues, and
 - emergency public/media information;
- Hazards and threats (human-caused and natural)
 - public image or profile of organization,
 - government associates, contractors, and customers,
 - geographic location, and
 - critical infrastructure;
- Information systems
 - computer migration from mainframe (centralized) to local area network,
 - connectivity,
 - complexity of network environment,
 - dependence on software and reliability of systems, and
 - internet, intranet, extranet applications and agreements.

As they develop COOP plans, state and local governments/jurisdictions should think carefully about the assumptions that underlie their strategies for continuing to perform essential functions during emergencies. Decision makers should consider whether each assumption is true and reasonable. It is particularly important to consider whether the plan will fail if a particular assumption proves to be untrue. The evaluation of planning

assumptions may even allow the organization to make an initial assessment of its vulnerability.

EXAMPLE PLANNING ASSUMPTIONS

1. In an emergency, outside assistance could be interrupted or unavailable.
2. State and local governments, departments, agencies, and offices must be prepared to operate without help for at least 72 hours.
3. Centralized State Emergency Operations Center functions will continue to be available in a large-scale emergency.
4. State and local officials are aware of their responsibilities and respond as directed in State Emergency Operations Plan and Local Emergency Operations Plans.
5. State has committed resources to provide timely warning and assure protection of infrastructures that face an imminent threat.
6. Adequate planning for the most extreme example (nuclear weapon detonation) provides a range of protection applicable to all exigencies.

Concept of Operations

Before embarking on detailed COOP planning, it is recommended that departmental or jurisdictional leaders first agree on a statement of the organization's overall approach for maintaining essential functions during an emergency. This concept of operations will establish a policy-level framework to guide decisions made later during detailed planning for COOP implementation. The concept of operations should state the organization's mission for COOP and list its objectives for operations during emergency periods.

An effective concept of operations describes the three stages of COOP plan execution: activation, operation, and termination. The criteria the organization will use to decide whether to activate the COOP plan should be described, possibly using examples to illustrate various activation scenarios. The principles that will guide decisions on how long to continue COOP operations should also be spelled out, as should the organization's approach for transitioning from COOP operations back to normal activities. Organizations may find it helpful to define sub-divisions of the three main stages based on differences in objectives, resource requirements, etc.

Disaster Impact Analysis

In order to plan for continuity of operations, it is necessary to understand the ways in which disaster events can disrupt the operations of the department or jurisdiction.

Disaster Impact Analysis provides a systematic approach for evaluating such potential disruptions and the risks they pose. This type of analysis is similar to Business Continuity Planning, which is commonly used for COOP planning in the private sector. It examines the ways in which a disaster might disrupt the organization's operations, the impact such disruptions might have, and the ways they can be avoided or minimized.

Disaster Impact Analysis consists of five basic elements:

- Asset identification,
- Hazard identification,
- Vulnerability assessment,
- Impact analysis, and
- Risk assessment.

First, the department or jurisdiction identifies the organizational assets that enable it to perform its essential services and functions. In addition to obvious assets such as equipment, facilities, and databases, it is important to consider the value provided by the organization's personnel, expertise, and reputation. Next, the hazards that potentially pose threats to these assets are identified. Then the organization and its assets are evaluated to determine the extent to which they are susceptible to the threats posed by the hazards. The impact of the possible disruptions is also assessed, considering both the quantitative (e.g., economic) and qualitative (e.g., psychological) effects that disruptions could cause for the department or jurisdiction. Finally, a risk assessment is conducted for each type of hazard to estimate the probability that a hazard event will disrupt the organization's performance of key functions. The risk assessment concludes with a strategy for preventing such disruptions, where possible, and for minimizing the impact of any that do occur.

STEP 2: IDENTIFYING ESSENTIAL FUNCTIONS, OPERATIONS, AND RESPONSIBILITIES

Since the basic goal of COOP is to continue performing essential functions during an emergency, a crucial step in the planning effort is to decide what those functions are and which personnel are responsible for performing them. The following section presents a systematic approach for determining which of the functions performed by the organization are essential. The concluding section in this step provides guidance on assigning essential responsibilities to the key positions involved in COOP.

Essential Functions and Operations

Every complex organization provides a wide variety of services, and the task of separating those that are essential from those that are not may be surprisingly challenging. Listing all functions performed by the department or jurisdiction is a useful prelude to identifying the essential functions and operations. To ensure the listing is complete, a systematic approach is recommended, beginning with identification of all work tasks performed by the organization, followed by a specification of the functions of each of these tasks. An example compilation of tasks and functions is provided below.

Example Listing of Work Tasks and Functions	
Work Task	Functions
• Financial	1. Payroll 2. Accounts Receivable 3. Accounts Payable
• Building Operations	1. Maintenance 2. Protection of departmental buildings 3. Construction, alterations, repairs 4. Space acquisition 5. Public utility services
• Emergency Management	1. Administrative 2. Emergency planning and preparedness 3. Emergency response 4. Telecommunications 5. Training and exercises 6. Operational programs

For each function identified, the specific operations performed should then be listed. Below is an example of the operations performed for the Administrative function associated with the Emergency Management work task identified in the previous example.

Example Emergency Management Unit	
Function	Operations
Administrative	<ol style="list-style-type: none">1. Provide executive support for all emergency management related activities2. Submit the emergency planning budget and monitor its expenditures3. Seek legislative changes to enhance the emergency management program4. Coordinate emergency planning and implementation with personnel and document security offices

Once all functions have been listed, the next task is to identify those that are essential and will provide the basis for COOP planning. Essential functions are those that enable state and local governments/jurisdictions 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. Because of the variability in governmental organizational structures and the types of services offered, each organization must define its own set of essential functions. Some functions commonly provided by state and local governments that are likely to be considered essential include

- emergency management,
- law enforcement,
- fire protection,
- administration,
- public works,
- transportation,
- public health,
- building maintenance,
- medical services,
- social services,

- public affairs,
- financial management,
- legal system functions,
- engineering,
- education, and
- library service.

Once the essential functions have been listed, it is useful to prioritize them. The assignment of priorities will ensure that staff focuses on key functions during an emergency and will guide the allocation of scarce resources and those that must be brought in at the time of an event. The process used to assign priorities to essential functions will vary depending on the mission and organizational structure of the organization. Some criteria that might be used as the basis for prioritization include

- The importance of the function to the organizational mission—is the function defined by statute as part of the organization’s mission?
- Consequences of lack of performance—if the function is not performed will the organization or other organizations be unable to fulfill other critical functions, or will the health or safety of agency personnel or the public be jeopardized?
- Time-criticality—is it necessary for the function to be performed within a specific time frame?

It is recommended that the essential functions also be classified according to the times at which they must be performed. This time-phased classification will allow organizations to develop appropriate operational procedures and to schedule the availability of personnel and resources to perform the essential functions effectively throughout the duration of the emergency situation.

In summary, the process of identifying essential functions includes the following tasks:

- Identify all functions performed by the organization, then determine which must be continued under all circumstances;
- Prioritize these essential functions; and
- Define the time-phase requirements of the essential functions; that is, the time periods during the emergency when each function must be performed.

An example matrix for recording mission-essential functions and associated requirements is provided in Appendix F, Item F.2.

Essential Responsibilities

In order for an organization to continue providing essential functions in an emergency, certain management and administrative responsibilities must be met. For instance, the organization's administrative section must be able to provide key staff with appropriate equipment, information, and communications capabilities. In addition, managers with the appropriate authority must be in place to deal with unforeseen developments affecting organizational structure. An effective COOP capability requires that the following essential responsibilities be identified.

State and Local Governments/Jurisdictions and First Responder Organizations

State and local governments/jurisdictions are generally considered responsible for developing procedures to ensure the performance of the following COOP functions:

- Personnel coordination and staff preparedness (identification of key staff to support operations and development of communications procedures to contact and/or provide information to non-essential staff);
- Personnel accountability throughout the duration of the emergency through a process that is familiar to employees and covers both key staff identified in item 1 and all other employees;
- Pre-positioning, preferably in an off-site or protected location, of vital records and databases, including emergency operating records and legal or financial

documents essential to the continued functioning of the organization;

- Pre-positioning of resources necessary to perform essential functions at the alternate facility, if available;
- Preparation of emergency drive-away kits (pre-packaged, up-to-date kits containing equipment, reference material, and logistical support items needed for the performance of essential functions);
- Provision of continued telecommunications and information technology support;
- Provision of transportation, lodging, and food to key staff working at alternate facilities may require short-term travel status when the facility is beyond commuting distances to their residences;
- Institution of security and access controls, including policies for the security of primary and alternate facilities during emergency and non-emergency situations and for identifying access restrictions (the security provisions should be able to accommodate all hazards); and
- Establishment of site-support procedures to ensure essential functions can be performed efficiently during emergency relocation and to identify the initial requirements for receiving, supporting and relocating the key staff.

Department and Agency Heads, Chief Elected Officials, and First Responders

The heads of state departments and chief elected officials of local jurisdictions are generally considered to have the following responsibilities:

- Appointing a COOP program point of contact and designating or approving a COOP team;
- Developing a COOP Multi-Year Strategy and Program Management Plan;
- Developing, approving, and maintaining COOP plans and procedures for headquarters and all subordinate elements, which provide for:
 - identification of essential functions;
 - pre-determined delegations of authority and orders of succession;
 - contingency staffing to perform essential functions;

- alternate operating facilities;
- interoperable communications, information processing systems and equipment; and,
- protection of vital records and systems.
- Conducting tests and training of COOP plans, to include COOP contingency staffs, and essential systems and equipment, to ensure timely and reliable implementation of COOP plans and procedures;
- Participating in periodic interdepartmental or inter-jurisdictional COOP exercises to ensure effective interagency coordination and mutual support;
- Notifying the governor's office and other appropriate agencies upon implementation of COOP plans; and
- Coordinating among agencies and departments for activities related to terrorism and critical infrastructure.

Department/Agency/Jurisdiction COOP Emergency Response Team

Responsibilities and procedures of a state or local organization's COOP Emergency Response Team are generally considered to include the following:

- Identification of emergency coordinating officer/response team chief;
- Coordination with legal/general counsel;
- Establishment of financial management protocols;
- Development of emergency public/media information;
- Establishment of an emergency operation command and control strategy;
- Establishment of communications and information coordination plans;
- Establishment of administrative and logistical procedures; and
- Development and coordination of plans for recovery and transition to normal operations.

STEP 3: DEVELOPING THE COOP PLAN

Once the foundation for the plan has been established and the organization's essential responsibilities have been identified, the COOP planning team can begin the detailed development of the plan. Important activities to be performed in this step include documenting decisions that will ensure the continuity of government during an emergency; identifying key personnel required to perform essential functions; developing measures and procedures to protect vital records, databases, systems, and equipment; and identifying, evaluating, and preparing alternate facilities or work sites for the organization's use in emergency situations.

Continuity of Government

Delegation of Authority

State departments and agencies can help to ensure a rapid response to any emergency situation requiring COOP plan implementation by pre-delegating authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as appropriate. Similarly, local jurisdictions can pre-delegate policy and decision-making authority to the chief elected official, local departments, and other organizational locations as appropriate.

Plans for delegation of authority should contain the following information:

- Programs and administrative authorities needed for effective operations at all organizational levels having emergency responsibilities;
- The circumstances under which the authorities would be exercised;
- The necessary authorities at all points where emergency actions may be required, delineating the limits of authority and accountability;
- The authority of designated successors to exercise departmental or jurisdictional direction, including any exceptions, and the successor's authority to re-delegate functions and activities as appropriate;
- The circumstances under which delegated authorities would become effective

and when they would terminate. (Generally, pre-determined delegations of authority would take effect when normal channels of direction are disrupted and would terminate when these channels have resumed);

- A plan for training officials who may be expected to assume authorities in an emergency to carry out their emergency duties; and
- The responsibilities and authorities of individual representatives designated to participate as members of interdepartmental or inter-jurisdictional emergency response teams.

Order of Succession

Departments and jurisdictions can improve their ability to perform essential functions in an emergency by establishing, promulgating, and maintaining orders of succession to key positions. Such orders of succession are an essential part of a COOP plan. Orders should be of sufficient depth to ensure the organization's ability to perform essential functions through any emergency. Geographical dispersion is encouraged, consistent with the principle of providing succession to office in emergencies of all types.

It is recommended that each state department establish an order of succession to the position of department head and to other key leadership positions. A designated official would serve as acting head of the agency until appointed by the governor or relieved. Where a suitable field structure exists, appropriate personnel located outside the state capital area should be considered in the order of succession.

Similarly, each local jurisdiction should review state and/or local statutes prescribing the order of succession to the position of chief elected official of the jurisdiction. Local jurisdictions should also establish orders of succession to key administrative positions in the local government, especially including departments responsible for public safety and essential services.

Key elements in establishing orders of succession include the following:

- Identify any limitation of authority based on delegations of authority to others;
- Describe orders of succession by positions or titles, rather than names of individuals;
- Include the orders of succession in the vital records of the organization;
- Revise orders of succession as necessary, and distribute revised versions promptly as changes occur;
- Establish the rules and procedures designated officials are to follow when facing the issues of succession to office in emergency situations;
- Include in succession procedures the conditions under which succession will take place; the method of notification; and any temporal, geographical, or organizational limitations of authorities;
- To the extent possible, assign successors among the emergency teams established to perform essential functions, to ensure that each team has an equitable share of duly constituted leadership; and
- Conduct orientation programs to prepare successors for their emergency duties.

An example Order of Succession Plan is included in Appendix F, Item F.1.

Key Staff for Performing Essential Functions and Operations

Based on the department's or jurisdiction's list of essential operations and functions, decisions can be made regarding the staff that will be required to perform those functions during an emergency. Specific staffing requirements will vary widely among different organizations due to differences in their size, organizational structure, mission, and essential services. In general, key personnel will be needed for the positions listed below. For small organizations, some of these positions could possibly be combined, while larger and more complex organizations might require additional support staff for some positions. Examples of key COOP staff members include the following:

- Chief executive officer,
- Director of logistics and administrative support,

- Communications coordinator,
- Public information officer,
- Resource manager, and
- Employees for conducting essential operations and providing essential services.

The COOP plan should include a roster of fully equipped and trained emergency personnel with the ability to perform essential functions and activities. To avoid the necessity of updating the COOP staff list every time the organization experiences a personnel change, it is recommended that staff requirements be identified on the basis of positions rather than individuals. Consideration should be given to whether round-the-clock operations are necessary, entailing staffing for multiple shifts. An example COOP personnel roster is included in Appendix F (Item F.3).

Vital Records, Databases, Systems, and Equipment

COOP plans should account for identification and protection of vital records, systems, data management software, and equipment (including classified or sensitive data) that are needed to perform essential functions and activities and to reconstitute normal agency operations following an emergency. To the greatest extent possible, organizations should back-up electronic files, pre-position duplicate vital records at a separate facility, and update vital records on a regular basis.

Vital records may include emergency operating records or legal and financial records.

- Emergency operating records include vital records, regardless of media, that are essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives; orders of succession; delegations of authority; staffing assignments; and related records of a policy or procedural nature that provide the staff with necessary guidance and information.
- Legal and financial records include vital records, regardless of media, that are

critical to carrying out an organization's essential legal and financial functions and activities, and protecting the legal and financial rights of individuals. Included are records having such value that their loss/unavailability would significantly impair agency functions and the legal or financial rights or entitlements of the organization or of the affected individuals. Examples include accounts receivable records; contracting and acquisition files; official personnel files; Social Security, payroll, retirement, and insurance records; and property management and inventory records.

Because many vital records are maintained electronically, it behooves an organization to ensure that essential personnel will be able to access and use up-to-date records during an emergency. The specific procedures necessary to achieve this capability will depend on the nature of the information management system(s) used by the organization. Possible solutions include the following:

- Plan for maintaining vital data on redundant servers at different locations or frequently backing up key data to storage media that are kept at a remote location; and
- Implement procedures to ensure that all vital data on the secure system is current. For example, the procedures might require that records normally stored on a desktop computer be backed up to the secure system at least weekly.

Appendix F includes an example checklist for identifying and protecting vital records and databases (Item F.4) and a chart for documenting the vital records program (Item F.5).

Alternate Facilities/Work Sites

Emergencies or potential emergencies, whether anticipated or unanticipated, may affect the ability of organizations to perform their mission-essential functions from their primary locations. Emergencies might affect a department's or jurisdiction's work facilities in a variety of ways, including the following:

- The organization's headquarters facility may be rendered unusable for an extended period;
- A single facility of the organization may temporarily unavailable; or
- The organization may have to evacuate the area where local governmental services offices are located.

A critical element in COOP planning is the identification and preparation of facilities that can be used to accomplish essential functions if the organization's primary facilities become unusable. In selecting an alternate facility, it is essential to have a thorough understanding of the organization's mission, essential functions, concept for deployment and operations at an alternate facility, communications connectivity requirements, and resources allotted. These factors can vary widely from one organization to another. An acceptable facility for one department or jurisdiction might be provided in a borrowed conference room for use by a few key people on a temporary basis. A more complex department or jurisdiction might require a complete turn-key facility able to house the entire organization for an extended period.

The alternate facility should be capable of supporting operations in a threat-free environment, as determined by a vulnerability assessment that considers the significant hazards that might threaten the facility location and the facility's ability to withstand those hazards. Appendix C includes a methodology to help in performing a site vulnerability analysis.

The most cost-effective alternative facilities can usually be identified from the organization's local or field infrastructures. If that approach doesn't provide a suitable facility, departments and jurisdictions are encouraged to consider cooperative interdepartmental or inter-jurisdictional agreements and promote sharing of identified alternate facilities. Consideration should also be given to transportation of personnel to and from the alternate site and lodging arrangements if daily commuting is not reasonable. In some cases, concepts such as telecommuting, working from home, or using distributed computer resources to create a virtual alternate facility may be desirable.

A checklist to guide the acquisition and evaluation of an alternate facility is included in Appendix F (Item F.9).



A 48-foot trailer has been transformed by the South Florida Water Management District into an emergency command post on wheels. The unit is officially known as the Mutual Aid Response Unit (MARU). Such a unit can be used as an alternative EOC in the event that a land based EOC is out of service.

The vehicle contains computers, air conditioning, a 20KW quiet generator, short-wave radio and satellite-connecting phones and faxes.

Basic Space and Equipment Requirements

While space and capability requirements can vary widely depending on the organization, alternate facilities should generally provide the following:

- Immediate capability to perform essential functions under various threat conditions, including threats involving weapons of mass destruction;
- Sufficient space and equipment to sustain the relocating organization. Since the need to relocate may occur without warning, or access to normal operating

facilities may be denied, organizations are encouraged to pre-position and maintain minimum essential equipment for continued operations at the alternate operating facilities;

- Interoperable communications with all identified essential internal and external organizations, 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 a period of up to 30 days;
- Consideration for the health, safety, and emotional well-being of relocated employees; and
- Appropriate physical security and access controls.

Example checklists are provided in Appendix F for evaluating alternate facilities (Item F.9) and for recording key data about the facilities (Item F.6).

Interoperable Communications

The success of operations at an alternate facility depends on the availability and redundancy of critical communications systems to support connectivity to internal organizations, other departments or jurisdictions, critical customers, and the public. When identifying communications requirements, organizations should take maximum advantage of the entire spectrum of communications media likely to be available in any emergency situation. These services may include, but are not limited to secure and/or non-secure voice, fax, and data connectivity; internet access; and e-mail. Interoperable communications should provide the following:

- Communications capability that adequately supports the organization's essential functions and activities;
- Ability to communicate with COOP contingency staffs, management, and other organizational components;
- Ability to communicate with other organizations and with emergency personnel; and,

- Access to other data and systems necessary to conduct essential activities and functions.

An example Interoperable Communications Worksheet is included in Appendix F (Item F.7).

Security and Access

Organizational needs for security vary widely, and the needs may even vary from one essential function to another within the same organization. In almost all cases, some control of access to the alternate facility will be necessary so that COOP team members can perform their jobs without undue interference from outsiders. Some operations, such as those which involve private records or which might be logical targets for terrorist attack, will demand a higher level of security. COOP planning can identify the security needs associated with each of the organization's essential functions and incorporate these requirements into the selection and preparation of the alternate facilities. The COOP plan should identify any special measures, such as security personnel, barriers, or surveillance/alarm equipment, that need to be obtained either before or at the time of an emergency.

Consideration should also be given to the security needs of the primary facility during the emergency relocation. Private records and valuable equipment that is left behind should be protected to the extent feasible.

Public Information and Media Relations

An important consideration in COOP planning is working with the news media. The media play an important role in disseminating information to the public; however, great care must be taken in managing contacts with the media to avoid the spread of misinformation and unfounded rumors. Organizations might consider having a representative from media relations on the COOP team. At a minimum, the organization should designate a contact person for the media in its COOP plan. This person will be responsible for preparing press releases and regularly speaking with the media regarding the organization's response to the crisis. Information provided to the media or the public should reflect the consensus of the COOP team and all other entities involved. A checklist to guide the consideration of methods to distribute information to media and the public is included as item F.8 in Appendix F.

STEP 4. PREPARING FOR IMPLEMENTATION OF THE COOP PLAN

After the basic plan for COOP has been developed, it is important to address how it will be executed. By definition, the COOP plan will be implemented at a time of disruption, when agency personnel are dealing with a stressful, unfamiliar, and uncertain situation. It is crucial that plans and procedures be in place to guide their actions at this time. These plans and procedures should address three distinct phases of COOP operations: activation and relocation; alternate facility operations; and termination and return to normal operations. Each of these phases is described in more detail below. A checklist to assist organizations implement their COOP programs is in Appendix F (Item F.16).

Activation and Relocation

Plans for COOP typically call for resuming the performance of essential functions within 12 hours of a disruption. In its COOP plan, each organization should state its time goal for resuming essential functions and should establish procedures that will enable it to achieve this goal. The plan might include a checklist with a timeline that is tailored to the unique characteristics of the organization and indicates what actions need to be taken at what times to resume essential functions within its stated timeframe.

Activation

It is recommended that each organization develop an executive decision process and procedures that will allow for a review of each emergency situation and a determination of the best course of action for response and recovery. This will preclude premature or inappropriate activation of the COOP plan. The decision process should recognize that some emergency situations (such as an approaching hurricane) allow ample time for careful analysis, while other situations (such as an earthquake) will occur without warning and require immediate action based on pre-determined procedures. The decision process should also support activation of the COOP during both duty hours and non-duty hours.

Written procedures for COOP activation can ensure that the process is accomplished quickly and that no important considerations are overlooked during the stress of the emergency. When applied during duty hours, such procedures detail the specific actions that must be taken to ensure an efficient and complete transition of direction and control from the primary facility to the alternate facility, including measures for security at both sites. When applied during non-duty hours, they may detail protocols for notification of key staff who are not at the primary site. These procedures can help the organization meet its time frame for activation by clearly stating the definition of being operational and establishing activation checklists with timelines necessary for meeting the deadline.

The decision process and procedures for COOP activation should encompass the following functions:

- Command—determine objectives and establish priorities based on the nature of the incident;
- Planning—develop the incident action plan to accomplish these objectives; collect and evaluate information and maintain status of assigned resources,
- Operations—develop the tactical organization and direct all resources to carry out the incident action plan;
- Logistics—provide resources and all other services needed for support;
- Finance—monitor costs related to the incident, and provide cost analysis and overall fiscal guidance;
- Administration—provide accounting, procurement, and time recording; and
- Legal—provide guidance on the legal and liability implications of COOP activation.

Relocation Plan

Key issues to address in relocation planning include personnel notification, deployment of key personnel to the alternate facility(ies), transition of operations to the alternate facilities, and provision of administrative and logistic support. These issues are discussed in the following sections.

Personnel Notification

The first step in implementing a COOP relocation is to notify all pertinent parties that the COOP plan for the organization is being activated and that essential operations are being transferred to the alternate facility(ies). Pre-established notification procedures can help ensure that all parties are contacted and that they receive accurate and complete information about the relocation. The procedures should address notification of the following entities:

- Alternate facility manager(s) of impending activation and actual relocation requirements;
- The governor's office and other appropriate agencies of the decision to relocate and the anticipated time of arrival at the alternate facility;
- Advance and contingency personnel who have specific roles in establishing COOP capabilities, such as setting up computer and communications equipment;
- Initial COOP team staff of the need to relocate (for both normal duty hours and non-duty hours);
- All other emergency and non-emergency personnel of the organization regarding their duties in response in the emergency; and
- Critical customers who depend on the organization for essential services.

Example forms for managing the notification of key personnel and other parties are included as Items F.10, F.11, and F.12 in Appendix F.

COOP Team Deployment

The occurrence of an emergency and activation of the COOP plan will likely generate stress for the organization's designated key personnel as they quickly prepare to depart for the alternate facility(ies). Written procedures to guide the deployment process can reduce this stress and make sure that no important concerns are overlooked during the disruption of normal operations. These procedures should specify the actions key

personnel should take as they depart their primary work stations as well as the resources they should take with them to the alternate facility. Based on level of threat, the procedures may allow for partial pre-deployment of any essential functions which are critical to operations.

Deployment procedures should also address administrative requirements associated with the travel of key personnel to the alternate facility as well as the transfer of documents and needed communications, data processing, and other equipment to the alternate facility.

A variety of items will be necessary to support the COOP team's operations for an extended period, ranging from personal items to office supplies. Departmental or jurisdictional policy will determine which items are to be supplied by individual team members and which are to be procured by the organization. Regardless of the source, it is important that adequate supplies are assembled beforehand and ready for deployment to the alternate site. A checklist to assist with planning for COOP Team Deployment is provided in Appendix F (Item F.13).

Transition to Alternate Facilities

Written procedures to guide key personnel through the process of stopping operations at the primary facility and then resuming essential operations at an alternate facility will minimize organizational instability and result in quicker COOP implementation. Key issues that can be addressed by these procedures include the following:

- Minimum standards for communication and direction and control to be maintained until the alternate facility is operational.;
- Activation of plans, procedures, and schedules to transfer activities, personnel, records, and equipment to the alternate facility; and
- Securing the normal operating facility physical plant and non-moveable equipment and records, to the greatest extent possible.

The transition of operations to the alternate facility will occur more quickly and efficiently if all pertinent equipment, including communications equipment, vital records, plans and procedures, and administrative supplies are pre-located at the facility before an emergency occurs. It should be noted, however, that drive-away kits may still be needed for transferring up-to-date data and other critical information and equipment to the alternate facility.

Administrative and Logistics Support

Timely resumption of essential functions at an alternate facility depends partly on how quickly logistical and administrative support can be made available at that facility. As with other relocation concerns, the preparation of written procedures is a key to providing this type of support in a thorough and reliable manner. While site-support needs will vary depending on the essential functions to be performed and the physical attributes of the alternate facility, the procedures should generally address the following topics:

- Notifying the alternate facility manager to ready the site for operations;
- Assembling necessary documents and equipment required for essential operations at the alternate facility;
- Ordering equipment/supplies, if not already in place; and
- Continuing essential operations at the normal operating facility, if available, until the alternate facility is operational.

COOP Drive-Away Kits

Drive-away kits are packages of records, information, communication, and computer equipment and other items or material related to an emergency operation to be used by those deployed to alternate facilities. A drive-away kit should be prepared and maintained in up-to-date condition for each member of the COOP team for response to any incident. The kit should contain those items essential to supporting the team member's operations at the alternate site. Each kit may be unique, but most should include items such as COOP checklists, key contact lists, electronic storage media, files specific to the

member's position, specialized tools, and maps to the alternate facility. An example chart to assist in inventorying and maintaining drive-away kits is included as Item F.14 in Appendix F.

Consideration should be given to the possibility that an employee may not be able to access the drive-away kit at the time of an emergency. For example, an employee might be away from the office at the time an event rendered it unusable and, thus, unable to return to retrieve the drive-away kit. It is prudent to take action to address such situations before an emergency occurs, such as storing drive-away kits in the employee's home or car, or pre-positioning important resources at the alternate facility.

Alternate Facility/Work Site Operations

The way operations at an alternate facility are organized and the activities that are undertaken there will vary widely depending on the nature of the organization and the essential functions it performs. For example, the activities performed, resources required, and interactions among staff members of a transportation agency working to continue essential transit services during an emergency might bear little resemblance to those of a child welfare agency acting to continue caring for its clients. In both cases, well-designed operating procedures developed during COOP planning will enhance the organization's ability to function effectively in its alternate facility; however, the specific procedures needed will vary.

Despite this variability in the specifics of alternate facility operations, there are common issues that need to be addressed in the planning phase. It is recommended that each state or local government/jurisdiction develop alternate facility operating procedures addressing the following issues:

- Execution of mission-essential functions (i.e., functions determined to be critical to operations);
- Establishment of lines of communications to all critical customers and other parties, including notification of the governor's office and other appropriate agencies immediately of the alternate location, operational and communications status, and anticipated duration of relocation, if known;

- Assignment of responsibilities to key staff to perform mission-essential functions, including Advance Team and COOP Team roles;
- Augmentation of staff if it is determined that current staffing is inadequate to meet the workload involved in performing mission-essential functions;
- Accountability of staff including accounting for all personnel on a regular basis, including non-activated staff;
- Amplification of guidance to essential and non-essential personnel regarding such concerns as the duration of alternate operations, payroll, time and attendance, duty assignments, etc.
- Development of plans and schedules for reconstitution and termination including the preparation of procedures for transferring communication and vital records and databases back to the primary facility. (In some circumstances a new primary facility may have been designated).

Termination and Return to Normal Operations

Just as the specific procedures appropriate to guide alternate facilities operations vary from one organization to another, so to do procedures for returning to normal operations at the primary facility when the emergency is over. It is recommended that state departments and jurisdictions prepare procedures to guide the return to normalcy and that the procedures address the following topics:

- Concept of operations to provide general guidance and policy on ending alternate operations and returning to a non-emergency status at the primary facility. These procedures should provide for informing all personnel, including non-emergency personnel, that the threat of or actual emergency no longer exists, and for issuing instructions for resumption of normal operations;
- Termination procedures to establish the specific actions that will be taken to ensure a timely and efficient transfer of communications, direction and control, and vital records and databases to the primary facility. These procedures, which may be developed or adapted while at the alternate facility, should manage an orderly return to the normal operating facility or movement to another temporary or permanent facility using a phased approach if

- conditions necessitate. Departments and jurisdictions should report the status of their relocation to the governor's office or other appropriate agencies; and
- After-action review and remedial action plans to guide the assessment of all phases and elements of the alternate operations and provide specific recommendations to correct any areas of concern.

Restoration and Recovery Resources

In some situations the disaster that prompts activation of the COOP plan may significantly damage the organization's primary facility or other assets, thus delaying the return to normal operations. State and local governments/jurisdictions will be in a better position to deal with such an eventuality if, as a part of COOP planning, they identify potential sources for recovery resources. The most immediate assistance would likely come from local and state sources.

Federal assistance may be available from FEMA under the Public Assistance Program described in *A Guide to Federal Aid in Disasters* (see Appendix D for reference information). This program, which is available to public applicants within designated disaster areas, provides supplemental federal disaster grant assistance for the repair, replacement, or restoration of disaster-damaged, publicly owned facilities. Under the program, permanent restoration can be performed for a variety of publicly owned facilities including

- Roads, bridges, and associated features, such as shoulders, ditches, culverts, lighting, and signs;
- Water control facilities including drainage channels, pumping facilities, and the emergency repair of levees. (Permanent repair of flood control works is the responsibility of the U.S. Army Corps of Engineers and the Natural Resources Conservation Service);
- Buildings including their contents and systems;

- Utility distribution systems, such as water treatment and delivery systems, power generation facilities and distribution lines, and sewage collection and treatment facilities; and
- Public parks, recreational facilities, and other facilities, including playgrounds, swimming pools, and cemeteries.

STEP 5. MAINTAINING COOP READINESS

Finally, after the COOP plan has been prepared and procedures have been developed for its implementation, the planning team can establish a program to maintain the organization's COOP capability. Major components of this program are the training of all key personnel in the performance of their COOP responsibilities; the conducting of periodic exercises to test and improve COOP plans and procedures, systems, and equipment; and the institution of a multi-year process to ensure the plan continues to be updated in response to changing conditions.

Training

Once the COOP plan has been developed, all personnel who will be involved in COOP activities should be trained and equipped to perform their emergency duties.

Consideration should be given to “cross-training” team members to ensure the team is prepared to deal with the unusual demands that may arise when emergency conditions must be faced by a reduced staff. Effective COOP training plans will provide for the following:

- Individual and team training of COOP team members and emergency personnel to ensure currency of knowledge and integration of skills necessary to implement COOP plans and carry out essential functions. It is recommended that team training be conducted at least annually to ensure that COOP team members are current on their respective COOP responsibilities.
- Refresher orientation for the COOP team as it arrives at an alternate operating facility. The orientation should cover the support and services available at the facility, including communications and information systems; and administrative matters, including supervision, security, and personnel policies.
- Training courses and materials designed to improve knowledge and skills related to carrying out COOP responsibilities.

An example COOP Training Plan is included in Appendix F (Item F.17)

Testing and Exercises

Testing and exercising of COOP capabilities are essential to demonstrating and improving the ability of organizations to execute their COOP plans. They serve to validate, or identify for subsequent correction, specific aspects of COOP plans, policies, procedures, systems, and facilities. Periodic testing also helps ensure that equipment and procedures are maintained in a constant state of readiness.

Each government organization is encouraged to develop a comprehensive plan for training, testing, and exercises. The exercise program should include a variety of potential hazards and be scalable in the magnitude of the event. An effective program will include a variety of exercise types, including table-tops, drills, and full-scale exercises. Full-scale exercises should simulate actual emergency conditions, and exercises should include the phase-down of alternate facility operations and return to normal operations. Following an exercise, a comprehensive debriefing and after-action report should be completed.

When alternate facilities have been identified and are available, the testing program should evaluate the logistical support, services, and infrastructure (e.g., water, electrical power, heating, and air conditioning) of the alternative facilities and validate that the equipment and systems conform to specifications and operate in the required environments.

It is recommended that testing and exercise plans for COOP provide for the following elements:

- Internal testing/exercising of COOP plans and procedures at least annually to ensure the ability to perform essential functions and operate from designated alternate facility(ies);
- Testing of alert and notification procedures and systems for any type of emergency at least quarterly; and,

- Joint departmental or jurisdictional exercising of COOP plans, where applicable and feasible.

An example COOP Exercise Program Plan is included in Appendix F (Item F.18).

Multi-Year Strategy and Program for Plan Maintenance

The organizational structures of state and local governments/jurisdictions change over time, as do the functions assigned to specific agencies. To ensure that COOP plans always reflect current organizational conditions, they should be reviewed as part of the training and exercise program. Changes in an agency's organizational structure, functions or mission, and service to clients should be made to the plan as they occur.

Major issues to be considered include:

- Designation of a review team;
- Identification of items or issues that will impact the frequency of changes required to the COOP plan; and
- Establishment of a review cycle.

Suggested responsibilities of the COOP Review Team include:

- Maintaining overall plan currency and readiness, to include procedures, equipment, systems, 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 exercises; and
- Updating plans annually to incorporate lessons learned from testing and exercises as well as any actual events that occurred during the year.

An example COOP Plan Maintenance Schedule is located in Appendix F (Item F.19).

Government organizations may find it effective to maintain their COOP capabilities using a multi-year strategy and program management plan. Such a management plan can outline the process to be followed in designating essential functions and resources, define short and long-term COOP goals and objectives, forecast budgetary requirements, anticipate and address issues and potential obstacles, and establish planning milestones.

A comprehensive Strategy and Management Plan includes the following components:

- A reference to the general requirements related to COOP planning, including state statutes and any department- or jurisdiction-specific requirements, programs, or activities;
- A description of the elements of the organization's program to ensure a viable COOP capability, including plans and procedures; alternate facilities; interoperable communications; vital records and databases; testing, training, and exercises; logistics and administration; and security;
- Identification of the resources required to establish each of the elements of COOP capability. Funding requirements (including labor costs) should be stated for each capability element for the each of the following 5 years;
- Discussion addressing any organization-specific management and policy issues, such as resource requirements; internal policies, manuals, or directives; management responsibilities; and internal coordination of COOP planning with other activities, such as critical infrastructure protection or counter-terrorism preparedness efforts;
- A schedule for completing the establishment of a COOP capability, including summaries of the key tasks and dates in chronological order, such as when management will review and approve COOP plans and procedures; and
- An endorsement sheet signed by the appropriate official to indicate approval of the Multi-Year Strategy and Program Management Plan.

An example COOP Multi-Year Budget Plan is included in Appendix F, Item F.20.

APPENDIX A

LIST OF ACRONYMS

COG	Continuity of Government
COOP	Continuity of Operations
DHS	U.S. Department of Homeland Security
FEMA	Federal Emergency Management Agency
WMD	Weapon(s) of Mass Destruction

APPENDIX B

GLOSSARY OF COOP TERMS

advance team—a group of people assigned responsibility for preparing the alternate facility for operations once the activation decision has been made.

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—an alternate work site that provides the capability to perform minimum essential departmental or jurisdictional functions until normal operations can be resumed.

alternate facility manager(s)—the individual(s) responsible for the alternate facility during periods of normalcy and who, upon activation of the COOP, may be required to take actions to ensure that the alternate facility is prepared for occupancy by the COOP contingency staff.

catastrophic event—an emergency event that renders a department's or jurisdiction's primary facility unusable for a sustained period of up to or exceeding 30 days.

contingency staff/team—the personnel of the 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.

continuity of government (COG)—measures taken by a 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.

continuity of operations (COOP)—an internal effort within individual components of a government to ensure 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 emergency response team—the individuals, identified by position, within the state department or local jurisdiction who are responsible for ensuring that essential functions are performed in an emergency and for taking action to facilitate that performance.

critical customers—organizations or individuals for which a state department or local jurisdiction performs mission-essential functions.

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.

drive-away kit—an easily transportable package of materials, technology, and vital records that can be taken by personnel departing for the alternate facility to ensure their ability to establish and maintain essential operations.

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.

essential functions—those functions, stated or implied, that state departments and local jurisdictions are required to perform by statute 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/economic base in an emergency.

essential operations—those operations, stated or implied, that state departments and local jurisdictions are required to perform by statute or executive order or are otherwise deemed necessary.

essential personnel—staff of the department or jurisdiction that are needed for the performance of the organization's mission-essential functions.

interoperable communications—alternate communications that provide the capability to perform minimum essential departmental or jurisdictional functions, in conjunction with other agencies, until normal operations can be resumed.

management plan—an operational guide that ensures the implementation, maintenance, and continued viability of the COOP plan.

mitigation—any sustained action taken to reduce or eliminate the long-term risk to life and property from a hazard event.

non-essential personnel—staff of the department or jurisdiction who are not required for the performance of the organization's mission-essential functions.

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 plan is reviewed regularly and updated whenever major changes occur.

primary facility—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 following emergency operations at an alternate facility.

termination—actions taken to end operations at an alternate facility and prepare for returning to non-emergency operations at a primary facility.

vital records and databases—records necessary to maintain the continuity of operations during an emergency, to recover full operations following an emergency, and to protect the legal rights and interest of citizens and the government. Two basic categories of vital records are emergency operating records and rights and interests records.

weapon of mass destruction—(1) any explosive, incendiary, poison gas, bomb, grenade, or rocket having a propellant charge of more than four ounces, missile having an explosive or incendiary charge of more than one-quarter ounce, or mine or device similar to the above; (2) poison gas; (3) any weapon involving a disease organism; (4) any weapon designed to release radiation at a level dangerous to human life.

APPENDIX C

SITE VULNERABILITY ANALYSIS

Site vulnerability analysis is a method for systematically evaluating the ability of primary and alternate facilities to support continued operations when subjected to any hazard they might experience. The worksheets in this appendix are designed to assist state departments and local jurisdictions in assessing the hazards, vulnerabilities, and resultant risk to their facilities. These worksheets are based on those found in FEMA State and Local How-To Guides 386-2, entitled *Understanding your Risks: Identifying Hazards and Estimating Losses*, and 386-7, entitled *Integrating Manmade Hazards into Mitigation Planning*. More detailed information on vulnerability analysis can be found in those publications which are aimed at assessing risks to entire communities rather than individual facilities.

The first step in analyzing site vulnerability is to answer the question: *What kinds of hazards can affect the site?* In this step, you will simply identify all the natural and manmade hazards that might affect the department's or jurisdiction's primary and alternate facilities and then narrow the list to the hazards that present the most significant threats to operations at those sites. Worksheet #1 is designed to assist you in performing this initial assessment and includes a form for listing specific information about each significant hazard along with the sources of the information and the existence of relevant maps.

Once the list of potential significant hazards has been developed, the next step is to develop hazard event profiles, which answer the question: *How bad can it get?* Each type of hazard has unique characteristics that can impact operations at the primary and alternate facilities. For example, an earthquake causes ground shaking that will affect a facility much differently than the wind of a tornado. In addition, a given hazard type can produce different effects depending on its magnitude, duration, or intensity. For example, no two wildfires will impact a site in the same way because each wildfire is driven by distinct wind and fuel conditions. Finally, the same hazard event will affect different sites in different ways based on geography, type of land cover, age of buildings, etc. Worksheet #2 outlines a structured method for developing profiles that record relevant information about the significant hazards at each site. Some hazards, such as floods, coastal storms, wildfires, tsunamis, and landslides, will be profiled by mapping the geographic extent of identifiable hazard events and comparing these with the location of the department's or jurisdiction's primary and alternate facilities. Other hazards, such as tornadoes (which can occur anywhere), may be profiled by recording the maximum potential wind speed.

Finally, the vulnerability of the primary and alternate facilities can be assessed by comparing the hazard event profiles developed in the previous step with the characteristics of each facility and its site. Consideration should be given to every facility/site characteristic that could determine whether essential operations could be performed there during each significant hazard. Some site/facility characteristics may

have different effects on operations under different hazard conditions. For example, an underground facility would provide good protection from a tornado but might increase the likelihood that flooding would interrupt operations. Worksheet #3 presents a method of evaluating site vulnerability. It can also be used when selecting an alternate facility to compare the overall vulnerability of several candidate sites.

Worksheet #1

Identify the Hazards

What kinds of hazards can affect the site?

Task A. List the hazards that may affect the site.

1. Research newspapers and other historical records.
2. Review existing plans and reports.
3. Talk to experts in your community, state or region.
4. Gather information on Internet Websites.
5. Next to the hazard list below, put a check mark in the Task A boxes beside all hazards that may affect the site.

Task B. Focus on the most prevalent or significant hazards.

1. Go hazard Websites if available (see FEMA 386-2).
2. Locate the site, community, or state on the Website map.
3. Determine whether the site is in a high-risk area. Get more localized information if necessary.
4. Next to the hazard list below, put a check in the Task B boxes beside all hazards that pose a significant threat at the site.

	Task A	Task B
Natural Hazards		
Avalanche	<input type="checkbox"/>	<input type="checkbox"/>
Coastal Erosion	<input type="checkbox"/>	<input type="checkbox"/>
Coastal Storm	<input type="checkbox"/>	<input type="checkbox"/>
Dam Failure	<input type="checkbox"/>	<input type="checkbox"/>
Earthquake	<input type="checkbox"/>	<input type="checkbox"/>
Flood	<input type="checkbox"/>	<input type="checkbox"/>
Hurricane	<input type="checkbox"/>	<input type="checkbox"/>
Land Subsidence	<input type="checkbox"/>	<input type="checkbox"/>
Landslide	<input type="checkbox"/>	<input type="checkbox"/>
Severe Winter Storm	<input type="checkbox"/>	<input type="checkbox"/>
Tornado	<input type="checkbox"/>	<input type="checkbox"/>
Tsunami	<input type="checkbox"/>	<input type="checkbox"/>
Volcano	<input type="checkbox"/>	<input type="checkbox"/>
Wildfire	<input type="checkbox"/>	<input type="checkbox"/>
Windstorm	<input type="checkbox"/>	<input type="checkbox"/>
Other _____	<input type="checkbox"/>	<input type="checkbox"/>
Other _____	<input type="checkbox"/>	<input type="checkbox"/>
Manmade Hazards		
Biological Agent Release	<input type="checkbox"/>	<input type="checkbox"/>
Explosion	<input type="checkbox"/>	<input type="checkbox"/>
Hazardous Chemical Release	<input type="checkbox"/>	<input type="checkbox"/>
Nuclear power plant accident	<input type="checkbox"/>	<input type="checkbox"/>
Radiological Release	<input type="checkbox"/>	<input type="checkbox"/>
Workplace Violence	<input type="checkbox"/>	<input type="checkbox"/>
Other _____	<input type="checkbox"/>	<input type="checkbox"/>
Other _____	<input type="checkbox"/>	<input type="checkbox"/>

Use this space to record information you find for each of the hazards you will be researching. Attach additional pages as necessary.

Hazard or Event Description (type of hazard, date of event, number of injuries, cost and type of damage, etc.)	Source of Information	Map Available for this Hazard?	Scale of Map

Worksheet #2

Profile Hazard Events

How bad can it get?

Task A. Obtain or create a base map of the facility site and its surroundings.

You can use existing maps:

- Road maps
- USGS topographic maps or Digital Orthophoto Quarter Quads (DOQQ)
- Topographic and/or planimetric maps from other agencies
- Aerial topographic and/or planimetric maps

OR you can create a base map using:

- Field surveys
- GIS software
- CADD software
- Digitized paper maps

Title of Map	Scale	Date

Task B. Obtain a hazard event profile.

Check box when complete and fill in source of information.

Flood	<input type="checkbox"/> 1. Get a copy of your FIRM. _____ <input type="checkbox"/> 2. Verify the FIRM is up-to-date and complete. _____ _____
Earth-quake	<input type="checkbox"/> 1. Go to the http://geohazards.cr.usgs.gov Website. <input type="checkbox"/> 2. Locate your planning area on the map. <input type="checkbox"/> 3. Determine your PGA.
Tsunami	<input type="checkbox"/> 1. Get a copy of your tsunami inundation zone map. _____
Tornado	<input type="checkbox"/> 1. Find your design wind speed. _____ _____
Coastal Storm	<input type="checkbox"/> 1. Get a copy of your FIRM. _____ <input type="checkbox"/> 2. Verify that the FIRM is up-to-date and complete. _____ <input type="checkbox"/> 3. Determine the annual rate of coastal erosion. _____ <input type="checkbox"/> 4. Find your design wind speed. _____
Land-slide	<input type="checkbox"/> 1. Map location of previous landslides. _____ <input type="checkbox"/> 2. Map the topography. _____ <input type="checkbox"/> 3. Map the geology. _____ <input type="checkbox"/> 4. Identify high-hazard areas on your map. _____
Wildfire	<input type="checkbox"/> 1. Map the fuel models located within the urban-wildland interface areas. _____ <input type="checkbox"/> 2. Map the topography. _____

Task C. Record you hazard event profile information. Check box when complete.

<input type="checkbox"/> 1. Transfer the boundaries from your FIRM onto your base map (floodway, 100-yr flood, 500-yr flood). <input type="checkbox"/> 2. Transfer the BFEs onto your base map.
<input type="checkbox"/> 1. Record your PGA: _____ <input type="checkbox"/> 2. If you have more than one PGA print, download, or order your PGA map.
<input type="checkbox"/> 1. Copy the boundary of your tsunami inundation zone onto your base map.
<input type="checkbox"/> 1. Record your design wind speed: _____ <input type="checkbox"/> 2. If you have more than one design wind speed, print, download, or copy your design wind speed zones, copy the boundary of your design wind speed zones on your base map, then record the design wind speed zones on your base map.
<input type="checkbox"/> 1. Transfer the boundaries of your coastal storm hazard areas onto your base map. <input type="checkbox"/> 2. Transfer the BFEs onto your base map. <input type="checkbox"/> 3. Record the erosion rates on your base map: _____ <input type="checkbox"/> 4. Record the design wind speed here and on your base map: _____
<input type="checkbox"/> 1. Mark the areas susceptible to landslides onto your base map.
<input type="checkbox"/> 1. Draw the boundaries of your wildfire hazard areas onto your base map.

<input type="checkbox"/> 3. Determine your critical fire weather frequency. _____ <input type="checkbox"/> 4. Determine your fire hazard severity. _____		
Chemical Release	<input type="checkbox"/> 1. Map the hazard areas of any facilities producing or storing hazardous chemicals. <input type="checkbox"/> 2. Map the hazard areas of any transportation corridors frequently used for shipping hazardous chemicals.	<input type="checkbox"/> 1. Draw the boundaries of the chemical hazard areas onto your base map.
Nuclear Plant	<input type="checkbox"/> 1. Map the hazard areas for any nuclear power plants in the vicinity of the facility.	<input type="checkbox"/> 1. Draw the boundaries of the nuclear power plant emergency planning zone onto your base map.
Other	<input type="checkbox"/> 1. Map the hazard. _____	<input type="checkbox"/> 1. Record hazard event info on your base map.

Worksheet #3

Assess Facility Vulnerability

Can the facility sustain operations when subjected to the hazards?

Facility Characteristic	Relevant Hazards	Facility Vulnerability					
		0 (Not Vulnerable)	1	2	3	4	5 (Highly Vulnerable)
Location relative to ground level	Tornado	—	Under-ground	—	—	Ground level	Above first floor level
	Windstorm	—	—	—	Under-ground	—	At/above ground level
	Nuclear release	—	Above first floor level	—	Ground level	—	Under-ground
Special structural capabilities	Flood	—	—	Designed for specific hazard	—	Generally reinforced construction	Standard construction
Collective protective system for chemical, biological, radiological, or nuclear agents	Coastal storm Earthquake Expansive soils Flood Hurricane Tornado Windstorm Explosion	—	—	—	System is activated upon notification of release	—	No system exists
Facility Visibility	Chemical release Nuclear release Terrorist incident	—	System functions full time	—	Existence locally known	—	Existence widely known
Facility Accessibility	Terrorist incident	Remote location, secure perimeter, armed guards, tightly controlled access	Existence not well known	Fenced, guarded, controlled access	Controlled access, protected entry	Controlled access, unprotected entry	Open access, unrestricted parking
Presence of hazardous materials	Terrorist incident	No hazardous materials present	Limited quantities in secure location	Moderate quantities, strict control features	Large quantities, some control features	Large quantities, minimal control features	Large quantities, accessible to non-staff persons
Collateral damage potential	Terrorist incident	No risk	Low risk/limited to immed. area	Moderate risk/limited to immed. area	Moderate risk within 1-mile radius	High risk within 1-mile radius	High risk beyond 1-mile radius

APPENDIX D

BASIC COOP REFERENCE AND RESOURCE DOCUMENTS

Documents Oriented toward State and Local Governments (most recent documents listed first)

Maryland Emergency Management Agency, *Preparing for and Emergency: Continuity of Operations Planning for State Agencies, Planning Manual*, March 2004.

National Emergency Management Association and National Public Safety Organizations, *Model Intrastate Mutual Aid Legislation*, March 2004.

State and Local Mitigation Planning How-To Guides, FEMA, 2001-2003.

Getting Started: Building Support for Mitigation Planning, FEMA 386-1, September 2002.

Understanding Your Risks, Identifying Hazards and Estimating Losses, FEMA 386-2, August 2001.

Developing the Mitigation Plan: Identifying Mitigation Actions and Implementation Strategies, FEMA 386-3, April 2003.

Bringing the Plan to Life: Implementing the Hazard Mitigation Plan, FEMA 386-4, August 2003.

Integrating Human-Caused Hazards into Mitigation Planning, FEMA 386-7, September 2002.

Introduction to State and Local Emergency Operations Plan, Planning Guidance, FEMA, August 2002.

A Guide to Federal Aid in Disasters, FEMA 262, June 1997.

State and Local Guide (SLG) 101, *Guide to All Hazards Planning*, September, 1996.

Guide For the Development of a State and Local Continuity of Government Capability, CPG 1-10, July 27, 1987.

Documents Oriented toward the Federal Government (most recent documents listed first)

Continuity of Operations Programs and Continuity of Government Functions, Department of Homeland Security, Management Directive System, Management Directive 9300, undated.

Homeland Security Presidential Directive 3, *Homeland Security Advisory System*, March 5, 2004.

Homeland Security Presidential Directive 8, *National Preparedness*, December 17, 2003.

Homeland Security Presidential Directive 7, *Critical Infrastructure Identification, Prioritization, and Protection*, December 17, 2003.

National Fire Protection Association (NFPA) 1600, *Standard on Disaster/Emergency Management and Business Continuity Programs*, July 21, 2003.

Title 41 Code of Federal Regulations (CFR) 101-20 *Management of Buildings and Grounds*, as revised, July 1, 2003.

Title 29 Code of Federal Regulations (CFR) 1910.38, *Employee Emergency Plans and Fire Prevention Plans*, as revised, July 1, 2003.

Preserving Our Institutions (The First Report of the Continuity of Government Commission) May, 2003. www.continuityofgovernment.org.

Office of Management and Budget A-130, Revised, *Management of Federal Information Sources*, March 20, 2003.

Federal Response Plan (Interim), 9230.1-PL, January, 2003.

Federal Preparedness Circular (FPC) 66, *Test, Training and Exercise (TT & E) Program for Continuity of Operations (COOP)*, April 30, 2001.

Robert T. Stafford Disaster and Emergency Assistance Act, Pubic Law 93-288, as amended, October 30, 2000.

Federal Preparedness Circular (FPC) 65, *Federal Executive Branch Continuity of Operations (COOP)*, July 26, 1999.

Presidential Decision Directive (PDD) 67, *Enduring Constitutional Government and Continuity of Government Operations*, October 1998.

Title 41 Code of Federal Regulations (CFR) 101-2, *Occupant Emergency Program*, revised as of July 1, 1998.

Title 36 Code of Federal Regulations (CFR) 1236, *Management of Vital Records*, revised as of July 1, 1998.

Presidential Decision Directive (PDD) 62, *Protection Against Unconventional Threats to the Homeland and Americans Overseas*, May 22, 1998.

Presidential Decision Directive (PDD) 63, *Critical Infrastructure Protection CIP*), May 22, 1998.

Department of the Interior, Bureau of Reclamation, *Manual, Directives and Standards, FAC 05-01, Continuity of Operations*, March 11, 1998.

Office of Management and Budget Circular A-130, Appendix III, *Security of Federal Automated Information Resources*, February 1996.

Special Publication 800-12, *An Introduction to Computer Security: The NIST Handbook*, National Institute of Standards and Technology (NIST), October 1995.

Federal Preparedness Circular (FPC) 67, *Acquisition of Alternative Facilities for Continuity of Operations (COOP)*, April 30, 1991.

Federal Information Processing Standards (FIPS) Publication 87, *Guidelines for ADP Contingency Planning*, March 1981.

APPENDIX E

COOP PLANNING TEMPLATE

COOP PLAN OUTLINE

Executive Summary

I. INTRODUCTION

- A. Purpose
 - 1. Intent of COOP plan
 - 2. Expected outcome from implementation and performance of the plan
- B. Applicability and Scope
 - 1. List of the departments, agencies, jurisdictions, and other organizations to which the COOP plan applies
 - 2. List of the emergency conditions, events, and situations under which the plan would be implemented
- C. Authorities and References
 - 1. Documents that provide the organization with legal authority to engage in COOP planning
 - 2. Documents that address issues related to the organization's mission and functions as well as activities necessary for execution of the plan
 - 3. Documents that provide information supporting the COOP plan (e.g., the jurisdiction's hazard assessment or emergency operations plan)
- D. Planning Assumptions (list of assumptions that underlie the plan and which would affect the plan's validity if they proved not to be true in an emergency)
- E. Concept of Operations (overall statement of the organization's approach for COOP)

II. PLANNING BASIS

- A. Essential Functions
 - 1. Identification of functions performed by the organization that are mandated by law or that enable the organization to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, or sustain the industrial and economic base in an emergency
 - 2. Prioritization of essential functions
- B. Key Personnel and Resources
 - 1. Identification of personnel necessary to perform essential functions in an emergency with relevant contact information
 - 2. Orders of succession
 - 3. Delegation of authority
- C. Vital Records and Databases
 - 1. Identify records and databases necessary to support essential functions
 - 2. State plan for ensuring that such records and databases are protected from the effects of the emergency and are available to key personnel during the emergency (e.g., regular back up in remote location; pre-positioning of records at alternate facility)

- D. Alternate Facility(ies)
 - 1. Identification of one or more alternate facilities where the organization's key personnel can perform essential functions when an emergency renders the primary facility unusable
 - 2. Identification of layout of alternate facility(ies) for COOP (room assignments, equipment location, etc.)
 - 3. Listing of critical alternate facility information (e.g., address, telephone number, contact person)
- E. Drive-Away Kits (specification of contents to be included for all key personnel)

III. PROCEDURES FOR PLAN IMPLEMENTATION

- A. Phase 1—Activation and Relocation
 - 1. COOP implementation decision process (criteria for deciding when to implement COOP; may include partial activation or phased-activation)
 - 2. Procedures for notifying key personnel
 - 3. Procedures for contacting non-essential personnel
 - 4. Procedures for COOP Team deployment to alternate facility(ies)
- B. Phase 2—Alternate Facility Operations
 - 1. Assignment of staff responsibilities
 - 2. Procedures for executing essential functions
 - 3. Communications procedures
 - 4. Procedures for public information and media releases
- C. Phase 3—Termination and Return to Normal Operations
 - 1. Procedures for terminating COOP and deactivating the alternate facility(ies)
 - 2. Assign responsibility for after-action review and development of remedial action plan

IV. MAINTAINING COOP READINESS

- A. Training Plan (outlines COOP training requirements for key personnel)
 - B. Exercise Plan
 - 1. Scope of exercises
 - 2. Exercise schedule

APPENDICES

- A List of Acronyms
- B Glossary of Terms
- C Authorities and References
- D Layout of Alternate Location
- E Maps to Alternate Location

APPENDIX F

COOP PLANNING GUIDANCE TOOLKIT

TOOLKIT CONTENTS

Toolkit Item No.	Title	Page No.
F.1	Example: Order of Succession Plan	F-2
F.2	Matrix for Recording Mission-Essential Functions and Associated Requirements	F-3
F.3	Example Form: COOP Personnel Roster	F-4
F.4	Checklist for Identifying and Protecting Vital Records	F-5
F.5	Example: Chart for Documenting Vital Records Program	F-6
F.6	Example Form for Recording Critical Alternate Facility Information	F-7
F.7	Example: Interoperable Communications Worksheet	F-8
F.8	Checklist for Consideration of Methods to Distribute Information to Media and the Public	F-9
F.9	Acquisition of Alternate Facilities for Continuity of Operations (COOP) Checklist	F-10
F.10	Example Form: Call-Down Listing	F-14
F.11	Example Form: Vendor/Contractor Listing	F-15
F.12	Example Form: Point-of-Contact Listing	F-16
F.13	Checklist for COOP Team Deployment Planning	F-17
F.14	Example Chart: Drive-Away Kits Contents and Maintenance	F-19
F.15	Example: Model Mutual Aid Agreement for Law Enforcement and Fire Fighting Assistance	F-20
F.16	Checklist for COOP Implementation	F-23
F.17	Example: COOP Training Plan	F-26
F.18	Example: COOP Exercise Program Plan	F-27
F.19	Example: COOP Plan Maintenance Schedule	F-28
F.20	Example: COOP Multi- Year Budget Plan Format	F-29
F.21	Example: COOP Plan Certification Checklist	F-30
F.22	Example Form: Distribution of COOP Plan	F-31

Example Order of Succession Plan

Position	Successor	Program Responsibility	Condition
Administrator	Deputy Administrator	Full	All emergencies
Deputy Administrator	1. Chief of Staff 2. Commissioner, Public Buildings Service 3. Chief Financial Officer	Full	If requested by Deputy Administrator or condition exists

EXAMPLE**MATRIX FOR RECORDING MISSION-ESSENTIAL FUNCTIONS
AND ASSOCIATED REQUIREMENTS**

Critical Function			
Critical Service			
Critical Personnel			
Contact Numbers			
Emergency Coordinator			
Office Space Requirement			
Staffing Needs			
Communication Needs			
Computer Needs			
Client Notification			
Staff Notification			
Priority List of Back-up Materials			
Alternate Site(s) Location(s)			

[illegible]

Checklist for Identifying and Protecting Vital Records

- | | | |
|---|----------|---------|
| 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 activities during an emergency will be available at alternate facilities in the event those facilities are activated? | ____ YES | ____ NO |
| 4. Have measures been implemented to safeguard legal and financial records essential to the preservation of the legal rights and interests of individual citizens and the government? | ____ 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 |

Example Chart for Documenting Vital Records Program				
<i>Category</i>	<i>Description</i>	<i>Form of record</i>	<i>Off-site storage location</i>	<i>Maintenance Frequency</i>
<i>Emergency Operating Records</i>				
Emergency Plan	Directive	Paper	Alternate Facility	When updated
Delegations of authority	Directive	Paper & Electronic	Alternate Facility	Monthly
Building Plans	Blue print	Paper	Back-up Region	When modified
Systems manuals	Operating guides to computers	Paper	Field Office	At time of purchase
<i>Legal and Financial Rights Records</i>				
Accounts receivable	Near report	Electronic	State system backup	Weekly
Payroll	Payroll record of employees	Electronic	Alternate Facility	Bi-weekly
Accounts payable	Vendor bills	Paper & Electronic	Alternate Facility	Monthly
Social Security & retirement records	Survival benefits	Electronic	State system backup	Monthly
Official personnel records	Retirement benefits	Electronic	State system backup	Monthly

EXAMPLE
FORM FOR RECORDING CRITICAL
ALTERNATE FACILITY INFORMATION

Facility Name: _____

Address: _____ **Telephone:** _____

Basic Facility Specifications Number of private offices: _____ Number of parking stalls: _____ Number of cubicles: _____ Loading dock? <input type="checkbox"/> Yes <input type="checkbox"/> No Number of conference rooms: _____ Handicapped accessible? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Communications Number of commercial telephone lines available: _____ Number of secure telephone lines available: _____ Two-way radio support infrastructure? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Office Equipment Available Number of desks: _____ Computers— Number of chairs: _____ Number with internet access: _____ Number of telephones: _____ Number with agency e-mail access: _____ Number of copiers: _____ Office supplies? <input type="checkbox"/> Yes <input type="checkbox"/> No Number of fax machines: _____ TV/VCRs? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Utilities	<div style="background-color: #003366; color: white; text-align: center; padding: 2px;"><i>Contact Name</i></div>	<div style="background-color: #003366; color: white; text-align: center; padding: 2px;"><i>Telephone</i></div>
Water	_____	_____
Electricity	_____	_____
Natural Gas	_____	_____
Telephone	_____	_____
Cable TV	_____	_____
Security	_____	_____
Maintenance	_____	_____
Housekeeping	_____	_____
Local Post Office	_____	_____
Relocation Support	<i>Name</i>	<i>Telephone</i>
Local Hotel	_____	_____
Local Dining	_____	_____

**Example
Interoperable Communications Worksheet**

Service	Current Provider	Specifications	Alternative Provider	Special Notes
Voice lines				
Fax lines				
Data lines				
Cellular phones				
Page				
E-mail				
Internet				
Blackberry				
Instant Messenger				
PDA Wireless Communication				
Other				

CHECKLIST FOR CONSIDERATION OF METHODS TO DISTRIBUTE INFORMATION TO MEDIA AND THE PUBLIC

Electronic Media (radio and TV)

- _____ 1. News or public affairs programs
- _____ 2. Public service announcements
- _____ 3. Video news releases
- _____ 4. TV specials

Visual Media

- _____ 1. Films/videos
- _____ 2. Slide shows

Auditory Media

- _____ 1. Recordings
- _____ 2. Live broadcasts

Print Media

- _____ 1. Ads
- _____ 2. Feature stories

Special Publications

- _____ 1. Pamphlets
- _____ 2. Comic books
- _____ 3. Instructional books
- _____ 4. Flyers
- _____ 5. Phone book inserts
- _____ 6. Newsletters
- _____ 7. Coloring books

Specialized Media

- _____ 1. Signs and bulletin boards in
 - parks
 - highway rest areas
 - other public places
- _____ 2. Stickers
- _____ 3. Magnets
- _____ 4. Calendars
- _____ 5. Phone book covers
- _____ 6. Electronic message boards
- _____ 7. Key chains
- _____ 8. Pens/pencils

Community Outreach

- _____ 1. Presentations at civic meetings, business and professional group meetings, and other assemblies (including public and private school staff and students)
- _____ 2. Door-to-door canvassing
- _____ 3. Information center
- _____ 4. Displays in public buildings (e.g., city hall, hospitals, schools)
- _____ 5. Hotlines
- _____ 6. Agricultural Extension Service (USDA)

School Children Outreach

- _____ 1. Field trips and/or orientations
- _____ 2. Incorporation of educational materials or additions to science class syllabus for grades 6-12

Acquisition of Alternate Facilities for Continuity of Operations (COOP) Checklist

I. Can the organization's essential operations and functions be performed at the alternate facility under consideration?

Question	Yes	No	Comments
Did you select a facility where the ability to initiate, maintain, and terminate operations will not be disrupted under all significant threat conditions?			
Did you consider using existing field infrastructures, telecommuting centers, virtual environments, or joint or shared space?			
Have you thought about who needs to work at the facility, who can work from home and who should be on standby?			
Does the facility support an immediate capability to perform essential functions under various threat conditions (e.g. threats involving weapons of mass destruction)?			
Does the facility have the ability to be operational within 12 hours after activation?			
Can the facility support sustained operations for 30 days or longer?			

II. Are the facility requirements and risks associated with the alternate facility within acceptable limits?

Question	Yes	No	Comments
Did you perform a vulnerability analysis of current alternate facility?			
Did you consider all possible scenarios for COOP relocation, e.g. fire flooding potential threats of terrorism?			
Did you consider the distance from the threat area of any other facilities/locations such as hazardous materials/area subject to natural disasters or civil unrest?			
What are the minimum essential functions necessary to keep the agency operational for 30 days or until the emergency ends?			
How many associates per shift will be required to accomplish these functions for 30 days or until the event is terminated?			
What is the minimum amount of space these associates need to accomplish their functions under emergency conditions?			
Are you planning to time-phase the arrival of your Phase I & II associates?			
Do you have sufficient space for your Phase I personnel and Phase II personnel?			
Do you have reliable logistical support, services and infrastructure system, include water, electric power, heating and air conditioning etc?			
Do you have access to essential resources such as food, water, fuel, and medical facilities?			
Does the facility support the health, safety, and emotional well-being of relocated employees?			
If the alternate facility is located at a distance from the primary site, did you develop plans to address housing for emergency staff (billeting within facility or local motels)?			
How will you handle housekeeping requirements including supplies?			
Have you thought about your transportation and parking requirements?			
Question	Y	N	Comments

Do you need government vehicles at the facility?			
What about the availability of rental vehicles? Have you identified a source?			
What about the availability of surface and/or air transportation?			
What mode of transportation will your associates use?			
Does cellular phone coverage limit the facility from consideration?			
What are the equipment and furniture requirements for the facility?			
Have you determined the power requirements for the facility?			
Have you identified backup power to the facility?			
Have you identified your communications requirements?			
Does the facility support interoperable communications with all essential organizations, customers, and the public?			
Is the alternate facility outside the communications and data grid of the primary facility?			
Do you have sufficient telecommunication lines and data lines?			
Do you need a secure phone or fax machine?			
Do you have a requirement for secure storage containers?			
What type of computers and software do you need?			
Can the facility be secured quickly?			
Can security capabilities be increased commensurate with higher threat levels?			
Do you need security personnel to provide perimeter access control and internal security functions?			

III. Has your agency selected and acquired an alternate facility?

Question	Yes	No	Comments
Have you identified a facility?			
Did you consider using existing agency space (e.g. remote/offsite training facility; regional or field office; remote headquarters operations)			
Did you consider virtual offices such as work at home, telecommuting facilities, and mobile office concept?			
If you decide to co-locate with another agency did you establish a memorandum of agreement (MOA)/memorandum of understanding (MOU) with the owner?			
Do you have the authority to procure your own space?			
Will you require another agency to assist you in the selection and acquisition process?			

IV. Have you periodically reevaluated the alternate facility to assure that it satisfies the agency's operational and functional criteria and continues to meet the facility and risk requirements?

Question	Yes	No	Comments
Did you include the alternate facility reevaluation as a part of the annual COOP review and update process (Plan Maintenance)?			
Does your facility still meet the needs as determined by the agency's plan?			
Have you supplied appropriate agencies with the necessary data concerning the facility?			
Did you notify appropriate agencies when the facility was relinquished?			

**EXAMPLE FORM
CALL-DOWN LISTING**

Name	Organization	Position	Telephone Numbers				Pager Number	
			Duty Hours		Non-Duty Hours			
			Primary	Backup	Primary	Backup		

[illegible]

[illegible]

Checklist for COOP Team Deployment Planning

Has your department or jurisdiction procured or prepared, and stored the following items to support COOP team deployment:

1. Personal Items for Each Team Member

- | | | |
|--|-----------|----------|
| a. Hygiene | _____ YES | _____ NO |
| b. Medication, prescriptions | _____ YES | _____ NO |
| c. Immunization information | _____ YES | _____ NO |
| d. Clothing | _____ YES | _____ NO |
| e. Telephone contact list | _____ YES | _____ NO |
| f. Transportation | _____ YES | _____ NO |
| g. Cash/credit cards | _____ YES | _____ NO |
| h. Communications | _____ YES | _____ NO |
| i. ID (driver's license, organization, etc.) | _____ YES | _____ NO |
| j. Facility access information | _____ YES | _____ NO |
| k. Legal/power of attorney | _____ YES | _____ NO |

2. Personnel/Staff Items

- | | | |
|--------------------------------|-----------|----------|
| a. Bedding, sleeping bags | _____ YES | _____ NO |
| b. Telephones | _____ YES | _____ NO |
| c. Extra disks | _____ YES | _____ NO |
| d. Facility access information | _____ YES | _____ NO |
| e. Water | _____ YES | _____ NO |
| f. Soap | _____ YES | _____ NO |
| g. Hygiene supplies | _____ YES | _____ NO |
| h. First aid kit and book | _____ YES | _____ NO |
| i. Stamps | _____ YES | _____ NO |
| j. Light sticks | _____ YES | _____ NO |
| k. Gloves | _____ YES | _____ NO |

3. Organizational Items

- | | | |
|--|-----------|----------|
| a. Drive-away kit | _____ YES | _____ NO |
| b. COOP Plan | _____ YES | _____ NO |
| c. Telephone list | _____ YES | _____ NO |
| d. Directory for support organizations | _____ YES | _____ NO |
| e. Radio, extra batteries | _____ YES | _____ NO |
| f. Mail handling/distribution | _____ YES | _____ NO |

4. Operational Items

- | | | |
|----------------------------------|-----------|----------|
| a. Office Supplies | _____ YES | _____ NO |
| b. Personnel contact information | _____ YES | _____ NO |
| c. Extension cords | _____ YES | _____ NO |
| d. Cooking equipment | _____ YES | _____ NO |
| e. Tools | _____ YES | _____ NO |

Example Chart Drive-Away Kits Contents and Maintenance					
Item	For Organizational Unit	Location	Quantity	Maintenance Performed By	Maintenance Date
Communications Equipment					
Computer Equipment					
State/local Statutes and Executive Orders					
COOP Checklists					
Contact Lists					
Memoranda of Agreement					
Vendor Numbers/ Contract Numbers					
Maps to Alternate Facility					

EXAMPLE
MODEL MUTUAL AID AGREEMENT
FOR LAW ENFORCEMENT AND FIRE FIGHTING ASSISTANCE

THIS AGREEMENT entered as of the _____ day of _____, 19____,
 by and among: (list political entities).

Pursuant to (*list relevant state and/or local laws*), and in consideration of
 the mutual covenants contained herein, the parties agree as follows:

1. The parties will respond to calls for (*law enforcement*) (*fire fighting*) assistance
 only upon request for such assistance made by the senior (*law enforcement*)
 (*fire fighting*) official on duty of the (*police*) (*fire*) department of respective city
 or county. All requests for emergency (*law enforcement*) (*fire*) assistance shall
 be made only to the _____ or the _____.

2. Upon request for aid received as provided for in paragraph (1), the senior (*law
 enforcement*) (*fire*) officer of the responding party will authorize a response as
 follows:

(a) Each of the parties to this agreement will attempt to provide at least the
 following personnel and equipment in response to the request:

Minimum response – one (1) _____ (*vehicle*) (*truck*) and
 one (1) person.

Maximum response – fifty (50) percent of personnel and resources.

Each party's response will be determined by the severity of the
 emergency in the requesting party's jurisdiction as determined by the
 senior (*law enforcement*) (*fire*) officer of the responding party after
 discussion with the senior (*law enforcement*) (*fire*) officer of the
 requesting party.

(b) If there is also an emergency in the jurisdiction of the responding party
 at the time a request is made, or one occurs in the course of responding
 to a request under this agreement, and the senior (*law enforcement*)
 (*fire*) officer of the responding party reasonably determines, after a
 consideration of the severity of the emergency in his jurisdiction, that
 the responding party cannot comply with the minimal requirements
 under this agreement without endangering life or incurring significant
 property damages in his jurisdiction, or both, he may choose to use all
 equipment and personnel in his own jurisdiction. In this case, the senior
 (*law enforcement*) (*fire*) officer of the responding party shall attempt to
 inform the senior (*law enforcement*) (*fire*) officer of the requesting party
 of his decision.

(c) In cases where two or more requests for mutual aid assistance are made
 at the same time, thereby making compliance with the minimum
 requirements of this agreement impossible for the responding party, the
 senior (*law enforcement*) (*fire*) officer of the responding party shall

determine, based upon a reasonable appraisal of the emergencies of the requesting jurisdiction, how best to respond to the requests. The senior (*law enforcement*) (*fire*) officer may determine to send all available resources under this agreement to the jurisdiction with the most dire emergency, or he may send some resources to each requesting jurisdiction. The senior (*law enforcement*) (*fire*) officer shall inform the requesting officer of the requesting parties of his decision.

In both situations outlined in this subsection (b) where compliance with the minimal duties of this agreement is impossible, the requesting party or parties will not expect full compliance with those minimal duties but will expect a fair appraisal of the emergencies involved and a commensurate response.

3. When (*law enforcement*) (*fire*) personnel are sent at another community pursuant to this agreement, the jurisdiction, authority, rights, privileges, and immunities, including coverage under the Workers' Compensation Laws, which they have in the sending (*law enforcement*) (*fire*) Department shall be extended to and include any geographic area necessary as a result of the request when these personnel are acting within the scope of the authority conferred by this agreement.

4. The party who requests mutual aid shall in no way be deemed liable or responsible for the personal property of the members of the (*law enforcement*) (*fire*) Department of the responding party that may be lost, stolen, or damaged while performing their duties in responding under the terms of this agreement.

5. The party responding to the request for mutual aid under the terms of this agreement assumes all liabilities and responsibility as between the parties for damage to its own apparatus and / or equipment. The party responding also assumes all liability and responsibility between the parties for any damage caused by its own apparatus and / or negligence of its personnel while en route to or returning from a specific location.

6. The party responding under the terms of this agreement assumes no responsibility for liability for property damages or destroyed or bodily injury at the actual scene of any emergency due to actions that are taken in responding under this agreement. This liability and responsibility as between the parties shall rest solely with the party requesting aid and within whose jurisdiction the property exists or the incident occurs.

7. No compensation will be paid by the parties under this agreement for mutual aid (*law enforcement*) (*fire*) assistance rendered.

8. The respective parties agree that no claim for compensation will be made by either against the other for loss, damage, or personal injury occurring in consequence of mutual aid (*law enforcement*) (*fire*) assistance rendered under this agreement, and all such rights or claims are hereby expressly waived.

The senior (*law enforcement*) (*fire*) officer whose community the emergency exists, and who places the request for assistance, shall in all instances be in command of the emergency as to strategy, tactics, and overall direction of the operations. All orders or directions regarding the operations of the responding party shall be relayed to the senior (*law enforcement*) (*fire*) officer in command

of the responding party.

9. This agreement shall continue from year to year from _____, 19____, through _____, 19, ____, unless written notice of termination is given by either party hereto at least sixty (60) days prior to July 1 of any year. No further obligation or liabilities shall be imposed upon the withdrawing party after termination.

10. This agreement shall be valid only when it is executed by the Mayor/County Executives (*and sheriffs for law enforcement agreement with counties*) of the respective political jurisdictions pursuant to the ordinance/ resolution of each jurisdiction authorizing the Mayors/ County Executives (*or sheriff for law enforcement agreements with counties*) to execute it.

Checklist for COOP Implementation

- | | | |
|---|-----------|----------|
| 1. Has your department/jurisdiction developed an executive decision process for reviewing emergency situations to determine the best course of action for response and recovery? | _____ YES | _____ NO |
| a. Does this decision process apply to emergency situations when the nature of the threat is unknown? | _____ YES | _____ NO |
| b. Does this process support activation of the COOP during both duty hours and non-duty hours? | _____ YES | _____ NO |
| 2. Does your department or jurisdiction have plans and procedures in place that address COOP activation and relocation, alternate facility operations, and termination and return to normal operations? | _____ YES | _____ NO |
| 3. Does your department's or jurisdiction's plans and procedures for activating COOP and relocating to the alternate facility provide adequate guidance for the following actions: | _____ YES | _____ NO |
| a. Activation of the COOP during duty hours, including transfer of direction and control to the alternate facility and security of both primary and alternate facilities? | _____ YES | _____ NO |
| b. Activation of the COOP during non-duty hours, including detailed procedures for notifying key staff who are not at the primary facility? | _____ YES | _____ NO |
| c. Alerting and notifying the following that the COOP is being implemented: | | |
| i. essential personnel | _____ YES | _____ NO |
| ii. non-essential personnel | _____ YES | _____ NO |
| iii. critical customers | _____ YES | _____ NO |
| iv. alternate facility manager(s) | _____ YES | _____ NO |
| v. Governor's office and other appropriate agencies | _____ YES | _____ NO |
| vi. advance/contingency teams | _____ YES | _____ NO |
| vii. initial COOP contingency staff | _____ YES | _____ NO |
| viii. all emergency and non-emergency personnel | _____ YES | _____ NO |
| d. Deployment of essential personnel to an alternate facility and their departure from the primary facility, | | |

including procedures allowing travel and transportation to the alternate facility?	_____ YES	_____ NO
e. Transporting mission-essential documents, vital records and databases, and supporting communications, automated data processing, and other equipment to the alternate facility?	_____ YES	_____ NO
f. Maintaining minimum standards for communication and direction and control until the alternate facility is operational?	_____ YES	_____ NO
g. Transferring agency or jurisdiction activities, personnel, records, and equipment to the alternate facility?	_____ YES	_____ NO
h. securing the normal operating facility physical plant and non-moveable equipment and records?	_____ YES	_____ NO
i. Notifying the alternate facility manager to ready the site for operations including the following:	_____ YES	_____ NO
i. assembling necessary documents and equipment for alternate facility operations	_____ YES	_____ NO
ii. ordering equipment and supplies not already in place	_____ YES	_____ NO
j. Continuing essential operations at the normal operating facility, if available, until the alternate facility is operational?	_____ YES	_____ NO
4. Does your department's or jurisdiction's plans and procedures for alternate facility operations provide adequate guidance for the following actions:		
a. Execution of mission-essential functions?	_____ YES	_____ NO
b. Establishment of communications, including:	_____ YES	_____ NO
i. re-establishing normal lines of communication with critical customers	_____ YES	_____ NO
ii. notifying Governor's office and appropriate agencies of alternate facility operations, operational and communication status, and expected duration of relocation	_____ YES	_____ NO
c. Assignment of responsibilities to key staff for performance of mission-essential functions, including Advance Team and COOP Team roles and responsibilities?	_____ YES	_____ NO
d. Determination of whether current staffing is adequate for performing mission-essential functions and activation of additional staff as necessary?	_____ YES	_____ NO

e.	Provision of additional guidance to both essential and non-essential personnel regarding the duration of alternate operations and information on payroll, time and attendance, duty assignments, etc.?	_____ YES	_____ NO
f.	Immediate initiation of plans and schedules for transferring operations, communications, and vital records and databases back to the primary facility when circumstances allow?	_____ YES	_____ NO
5.	Does your department's or jurisdiction's plans and procedures for termination and return to normal operations provide adequate guidance for the following actions:		
a.	Ending alternate operations and returning to a non-emergency status at the designated primary facility, including:	_____ YES	_____ NO
i.	Informing all essential and non-essential personnel of the return to normal operations	_____ YES	_____ NO
ii.	Providing instructions for resumption of normal operations	_____ YES	_____ NO
b.	Establishment, while at the alternate facility, of specific actions to ensure a timely and efficient transfer of communications, direction and control, and vital records and databases to the primary facility?	_____ YES	_____ NO
c.	Notification of the Governor's office and other appropriate agencies of the resumption of operations at the primary facility?	_____ YES	_____ NO
d.	Identification of task force to perform an after-action review assessing all phases and elements of alternate operations and to prepare a remedial action plan to correct any areas of concern?	_____ YES	_____ NO

Example COOP Training Plan				
Program	Method	Audience	Frequency	Cost
Orientation	Classroom, Study material	Senior mgmt.	Yearly	\$5,000
Refresher	Intranet	All employees	Yearly	\$2,000
Orientation	Workshop	COOP team	Monthly	\$12,000
Orientation	Workshop	Successors, selected Alternate Facility staff	1 st qtr FY200X	\$10,000
Orientation	Classroom, Study material	Executive leadership, Sr. mgt., Supervisors	2 nd qtr FY200X	\$5,000
Orientation	Intranet, Face-to- face meetings	All employees	2 nd qtr FY200X	\$7,000
Orientation	Workshop	Special teams	1 st qtr FY200X	\$5,000

Example COOP Exercise Program Plan				
Type	Participants	Frequency	Cost	Location
Orientation Seminar	New hires	Monthly	\$1,000	Training room
Drill	Successors	Quarterly	\$15,000	Alternate Facility
Tabletop	Senior Mgt.	Annual	\$25,000	TBD
Full-scale	COOP teams	Annual	\$100,000	TBD
Tabletop	COOP teams, Successors	Annual	\$3,000	Training room and alternate facility
Tabletop	Exec. leadership, Sr. mgt., Supervisors	Annual	\$1,000	Training room

Example COOP Plan Maintenance Schedule

Activity	Tasks	Frequency
Plan update and certification	<ul style="list-style-type: none"> Review entire plan for accuracy Incorporate lessons learned and changes in policy and philosophy Manage distribution of plan updates 	Annually (November of each calendar year or as needed)
Maintain and update Orders of Succession	<ul style="list-style-type: none"> Obtain names of current incumbents and designated successors Update Delegation of authorities 	Annually
Checklists	<ul style="list-style-type: none"> Update and revise checklists Ensure annual update/validation 	As needed Annually
Update rostering all positions	<ul style="list-style-type: none"> Confirm/update information on rostered members of Emergency teams 	Quarterly
Appoint new members of the COOP Team	<ul style="list-style-type: none"> Qualifications determined by A/RAs COOP Leaders Issue appointment letter and schedule member for orientation 	As needed
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 	Quarterly
Review and update supporting Memoranda of Understanding/Agreements	<ul style="list-style-type: none"> Review for currency and new needs Incorporate changes, if required Obtain signature renewing agreement or confirming validity 	Annually
Monitor and maintain equipment at alternate sites	<ul style="list-style-type: none"> Train users and provide technical assistance Monitor volume/age of materials and assist users with cycling/ removing files 	Ongoing
Train new members	<ul style="list-style-type: none"> Provide an orientation and training class Schedule participation in all training and exercise events 	Within 30 days of appointment
Orient new policy officials and senior management	<ul style="list-style-type: none"> Brief officials on COOP Brief each official on his/her responsibilities under the COOP 	Within 30 days of appointment
Plan and conduct exercises	<ul style="list-style-type: none"> Conduct internal exercises Conduct joint exercises with Regions Support and participate in interagency exercises 	Semi-annually Annually Annually or as needed
Maintain security clearances	<ul style="list-style-type: none"> Obtain, maintain and update appropriate security clearances 	Ongoing

Example COOP Multi-Year Budget Plan Format					
	Current FY	Current FY+1	Current FY+2	Current FY+3	Current FY+4
Plans and Procedures					
Alternate Facilities					
Interoperable Communications					
Vital Records and Databases					
Testing, Training, Exercising					
Logistics and Administration					
Security					
Other					

EXAMPLE COOP PLAN CERTIFICATION CHECKLIST

- | | | |
|------------------------------|-----------------------------|--|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is there a COOP program point of contact and COOP team designated? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Have all key elements of the organization been involved in the planning process? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Have the organization's official functions been clearly identified? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is the delegation of authority outlined sufficient to ensure continuity of essential operations? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is there a clear and documented order of succession for key management positions and appropriate authority for key officials to provide adequate command and control in an emergency? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Have all personnel named as successors or holders of emergency responsibilities been briefed or trained on their responsibilities? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is there sufficient capability to conduct procurement actions, keep financial records, record time and attendance, and perform other essential administrative support functions? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is there a vital records program? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is there a plan for protection and recovery of vital systems and equipment? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Have alternative facilities been identified? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Are there sufficient facilities at alternate facilities to ensure that essential functions can be performed? If not, have arrangements been made to obtain the necessary resources? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Does the relocation plan provide for security, transportation, food, and lodging of all personnel who may need to operate out of that facility? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Does the plan ensure support for employees and their families in the event of an emergency? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is there a detailed communication plan that identifies preventative controls for communications equipment and alternative modes of communication, addresses interoperability issues as necessary, and lays out a chain of communication? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is there sufficient detailed information in the plan to ensure that it can be implemented (e.g., phone numbers, addresses, names, locations, equipment). |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is there a program for training agency personnel on COOP plan implementation? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is there a program to test the plan with exercises or drills? |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Is there a schedule for regular review and revision of the COOP plan? |

EXAMPLE FORM DISTRIBUTION OF COOP PLAN			
Plan Recipient	Portion of Plan Distributed	Date of Distribution	Method of Distribution
<i>PRIMARY DISTRIBUTION LIST</i>			
Department Head or Chief Elected Official of Jurisdiction	Entire Plan		
Assistant Department Head or 1 st Successor to Chief Elected Official	Entire Plan		
Coordinator of Emergency Services	Entire Plan		
All Designated Essential Personnel	Entire Plan		
Alternate Facility Manager	Entire Plan		
<i>SECONDARY DISTRIBUTION LIST</i>			
Successors, Back-up Field Locations, and Back-up Organizations	Entire Plan		
Other Agencies and Vendors	Relevant portions of plan		
Regional or field locations of the department or jurisdiction	Relevant portions of plan		
<i>GENERAL DISTRIBUTION LIST</i>			
All Designated Non-Essential Personnel	Plan Overview		