

# Continuity of Operations Planning

Plan Template



**FEMA**





## **COOP/COG SAMPLE PLAN**

This document is to be used as a TEMPLATE ONLY and should be tailored to meet the needs of COOP/COG planning for your local jurisdiction or agency.

### **FOR OFFICIAL USE ONLY**

**WARNING:** This document is **FOR OFFICIAL USE ONLY (FOUO)**. It contains information that is sensitive, but unclassified, and may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with local government policies relating to FOUO information and is not to be released to the public or other personnel who do not have a valid “need-to-know” without prior approval of an authorized government official.

This document is to be used to implement the [*insert name of jurisdiction, department, or agency*] Continuity of Operations Plan and contact government personnel in response to an emergency affecting the [*insert name of jurisdiction, department, or agency*]. Unauthorized use of this information may constitute an invasion of privacy.

## Promulgation Statement

Transmitted herewith is the Continuity of Operations/Continuity of Government (COOP/COG) Plan for the [*insert name of jurisdiction, department, or agency*]. It provides a framework in which the local government, along with its officials, departments, agencies, and other governmental entities, can plan and perform their respective functions during a disaster or national emergency.

This Continuity of Operations/Continuity of Government Plan was prepared in accordance with direction from Homeland Security Presidential Directive 20, National Security Presidential Directive 51, Federal Continuity Directives 1 and 2, and subsequent implementing guidance in Continuity Guidance Circular 1, dated January, 2009. It is in accordance with other existing Federal, State, and local statutes and understanding of the various departments involved. This Plan supersedes any previous COOP/COG Plans and has been concurred by the [*insert name of chief elected official or senior management of department or agency*] of the [*insert name of local jurisdiction, department, or agency*]. It will be reviewed and re-certified annually. Recipients are requested to advise the [*insert name of emergency management agency*] of any changes which might result in its improvement or increase in its usefulness.

Approved: \_\_\_\_\_ Date: \_\_\_\_\_

[*Insert name of Chief elected official or senior management of department or agency*]

Approved: \_\_\_\_\_ Date: \_\_\_\_\_

Approved: \_\_\_\_\_ Date: \_\_\_\_\_

Approved: \_\_\_\_\_ Date: \_\_\_\_\_

Approved: \_\_\_\_\_ Date: \_\_\_\_\_

[*Add or delete signature lines as needed*]

[*Insert name of other signature, as necessary*]

## **Foreword**

---

The [*insert name of jurisdiction, department, or agency*] has essential operations and functions that must be performed, or rapidly and efficiently resumed, in a disaster or national emergency. Emergency events can quickly interrupt, paralyze, and/or destroy the ability of the [*insert name of jurisdiction, department, or agency*] to perform these essential operations. While the impact of these emergencies cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency on our people, our facilities, our services, and our mission.

The [*insert name of jurisdiction, department, or agency*], along with its officials, departments, agencies, and other governmental entities, have prepared a comprehensive and effective Continuity of Operations/Continuity of Government Plan to ensure that essential operations can be performed during an emergency situation that may disrupt normal operations. This plan was developed to establish policy and guidance to ensure the execution of mission-essential functions and to direct the relocation of personnel and resources to an alternate facility capable of supporting operations. The plan outlines procedures for alerting, notifying, activating, and deploying personnel; identifying the mission-critical functions; establishing an alternate facility; and identifying personnel with authority and knowledge of these functions. This document includes references to worksheets to assist with collecting the information needed for plan completion. The worksheets are identified by worksheet number after each applicable document section.

## Record of Changes

## Distribution List

The purpose of this section is to determine who needs copies of your COOP/COG Plan, both internally and externally at your site, departments, agencies, jurisdictions, and other governmental entities. Distribution of the full version of the plan, which may contain classified or sensitive information, should be restricted to essential personnel governed by a need-to-know basis. General distribution of selected sections of the COOP/COG Plan should be issued to all employees so that everyone is familiar with the plan.

**NOTE:** Individuals that are provided a full version of the COOP/COG Plan may require a special security clearance. In addition, a classified COOP/COG Plan will require a secure storage location. Based on an organization's decision, individuals on the Primary Distribution List might receive a classified or confidential version of the Plan while those identified on the Secondary List receive an unclassified version of the plan.

### Primary (P) Distribution List (Sample)

- County President
- Mayor/City Administrator
- City Council President
- Deputy Administrator
- Secretary
- Director of Emergency Management
- All Designated Essential Personnel
- Alternate Facilities

### Secondary (S) Distribution List (Sample)

- Successors, Backup Regions or Field locations, and Backup Organizations (for backup purposes in the event the Region COOP/COG team is inoperable)
- Other agencies and vendors
- Region field locations

### General (G) Distribution

To assure a high level of readiness by all employees, a digested or unclassified version of the COOP/COG should be made available. Distribution methods may be a combination of the local jurisdiction/agency's intranet, instructional letters, employee bulletins, or other internal memoranda.

All COOP/COG Plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. statutes. Additionally, due to the inclusion of personal information about the *[insert name of jurisdiction, department, or agency]* employees, COOP/COG Plans shall be protected by the Freedom of Information Act, Exemption 3, 4, and 6.

## Distribution List

## **Executive Summary**

---

Historically, the *[insert name of jurisdiction, department, or agency]* has always prepared, to the greatest extent possible, to respond to all hazard disasters and emergencies within its jurisdiction 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, the *[insert name of jurisdiction, department, or agency]* has become increasingly aware of the extent to which disasters and emergencies can interrupt, paralyze, disrupt, and/or destroy its capabilities to preserve civil government institutions and perform essential governmental and jurisdictional functions effectively under emergency conditions.

Consequently, the *[insert name of jurisdiction, department, or agency]* has determined that it is imperative that each department, agency, and other governmental entities develop and maintain a Continuity of Operations/Continuity of Government (COOP/COG) Plan. COOP/COG planning is designed to develop and maintain a plan that enables each department, agency, and other governmental agencies to preserve, maintain, and/or resume its capability to function effectively in the event of the threat or occurrence of any disaster or emergency that could potentially disrupt governmental operations and services.

# Table of Contents

<b>Introduction .....</b>	<b>1</b>
<b>Purpose.....</b>	<b>1</b>
Intent of COOP/COG Planning .....	2
Expected Outcome from Implementation and Performance of the Plan .....	2
<b>Applicability and Scope.....</b>	<b>2</b>
<b>Authorities and References .....</b>	<b>2</b>
<b>Planning Assumptions .....</b>	<b>4</b>
<b>Concept of Operations.....</b>	<b>4</b>
<b>COOP/COG Planning Responsibilities.....</b>	<b>5</b>
 <b>Planning Basis .....</b>	<b>5</b>
<b>    Essential Functions .....</b>	<b>6</b>
Identify ALL Functions Performed by the Organization.....	7
Identify Essential and Non-Essential Functions .....	7
Prioritize Essential Functions .....	8
Identify Critical Processes and Services.....	8
<b>    Site Vulnerability Analysis.....</b>	<b>9</b>
Secondary Hazards and Threats .....	9
Physical Security .....	9
<b>    Key Personnel and Continuity of Government .....</b>	<b>9</b>
Identify Personnel and/or Teams Necessary to Perform Essential Functions in an Emergency with Relevant Contact Information.....	10
Orders of Succession .....	10
Delegation of Authority.....	13
Devolution of Direction and Control.....	14
<b>    Human Capital Management.....</b>	<b>15</b>
Identify Emergency Employees.....	15
Identify and/or Institute Dismissal and/or Closure Procedures for Employees .....	15
Determine Procedures for Making Media Announcements.....	15
Identify Established Methods of Employee Communications.....	15
Communicate Changes in Building Operations.....	15
Define Pay Flexibilities, If Necessary, for COOP Event.....	15
Define and Address Pay and Benefit Issues for COOP Event.....	16
Prepare a “Call Tree” List or “Call Down” List .....	16
<b>    Vital Records, Databases, Systems, and Equipment .....</b>	<b>16</b>
Identify Records and Databases Necessary to Support Essential Functions.....	16
Identify Vital Systems and Equipment Necessary to Support Essential Functions .....	16
Identify Plan for Ensuring That Records and Databases Are Protected .....	17
<b>    Continuity Facilities/Work Sites.....</b>	<b>17</b>
Identify One or More Continuity Facilities/Work Sites .....	17
Identify the Layouts of Continuity Facilities/Work Sites for COOP .....	18

Identify List of Critical Continuity Facility Information.....	18
Logistics .....	18
<b>Continuity Communications .....</b>	<b>18</b>
<b>COOP/COG Drive-Away Kits.....</b>	<b>19</b>
 <b>Procedures for Plan Implementation.....</b>	 <b>21</b>
<b>Phase 1: Readiness and Preparedness.....</b>	<b>21</b>
<b>Phase 2: Relocation and Activation (0-12 hours).....</b>	<b>21</b>
<b>Phase 3: Continuity of Operations .....</b>	<b>22</b>
<b>Phase 4: Reconstitution .....</b>	<b>23</b>
 <b>Maintaining COOP/COG Readiness.....</b>	 <b>24</b>
<b>Training Plan.....</b>	<b>24</b>
<b>Testing and Exercising the Plan .....</b>	<b>24</b>
Scope of Exercises.....	24
Exercise Schedule.....	25
 <b>Maintenance .....</b>	 <b>25</b>
<b>Multi-Year Strategy and Program Management Plan.....</b>	<b>25</b>
<b>COOP/COG Plan Maintenance.....</b>	<b>25</b>
 <b>Suggested Appendices.....</b>	 <b>26</b>
 <b>Additional Suggested Appendices .....</b>	 <b>26</b>

# Introduction

## Purpose

The key purpose of Continuity of Operations/Continuity of Government (COOP/COG) planning is to reduce the consequences of a disaster to acceptable levels. Although when and how a disaster will occur is not known, the fact that future disasters will happen is certain. How well (or poorly) a COOP/COG plan is designed and implemented will determine *response, recovery, resumption, and restoration.*

This COOP/COG Plan for the *[insert name of jurisdiction, department, or agency]* presents a management framework, establishes operational procedures to sustain essential activities if normal operations are not feasible, and guides the restoration of the government's full functions. The plan provides for attaining operational capability within 12 hours and sustaining operations for 30 days or longer in the event of a catastrophic event or an emergency affecting the *[insert name of jurisdiction, department, or agency]*.

This COOP/COG Plan was prepared in accordance with direction from Homeland Security Presidential Directive 20, National Security Presidential Directive 51 and subsequent implementing guidance in Federal Continuity Directives 1 and 2, dated February 2008. It is in accordance with other existing Federal, State, and local statutes and understanding of the various departments involved.

The basic elements of a viable COOP/COG Plan include the following (guide only):

- Lines of Succession
- Delegation of Authorities
- Devolution
- Essential Functions
- Human Capital Management
- Vital Records
- Continuity Facilities
- Continuity Communications
- Resumption and Recovery

**Continuity of Operations:** "is an effort within individual organizations to ensure that MEFs and PMEFs continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies"

**Essential Functions:** "...those functions that enable agencies to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic based in an emergency."

—*Federal Continuity Directive 1, Federal Executive Branch Continuity of Operations, dated February 2008*

- Testing, Training, and Exercising

### **Intent of COOP/COG Planning**

COG/COOP planning is an effort to assure that the capability exists to continue essential agency functions throughout any potential emergency.

The primary objectives of this plan include the following: *[List additional primary objectives as needed.]*

- Ensure the continuous performance of a department or agency's essential functions/operations during an emergency
- Protect essential facilities, equipment, vital records, and other assets
- Reduce or mitigate disruptions to operations
- Assess and minimize damage and losses
- Facilitate decision-making during an emergency
- Achieve a timely and orderly recovery from an emergency and resumption of full service to customers

### **Expected Outcome from Implementation and Performance of the Plan**

The specific objectives of a department or jurisdiction's COOP/COG 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: *[List additional expected outcomes as necessary.]*

- 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
- Takes maximum advantage of existing department or jurisdiction field infrastructures

### **Applicability and Scope**

1. List the jurisdictions departments, agencies, and other organizations to which the COOP/COG Plan applies.
2. List the emergency conditions, events, and situations under which the plan would be implemented.

### **Authorities and References**

When a local government or jurisdiction undertakes the preparation of a COOP/COG plan, it does so based on some authority granted to the organization. The COOP/COG 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/COG 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/COG 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/COG planning include, but are not limited to, the following:

- State statutes requiring or authorizing the state government, state departments, or local governments to prepare COOP/COG plans
- State statutes requiring the state government or local governments to prepare plans for emergency management or disaster preparedness that imply authority for COOP/COG planning
- Local statutes requiring or authorizing the local government to prepare COOP/COG plans
- Local statutes requiring the local government to prepare plans for emergency management or disaster preparedness that imply authority for COOP/COG planning
- Documents that establish a local department or agency and which directly or indirectly calls 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 senior elected official 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/COG planning
- Resolutions adopted by state or local legislative bodies requiring or authorizing the preparation of COOP/COG plans

In addition to the documents that provide the legal authority for COOP/COG 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.

**NOTE:** Include documents in this section that provide the organization with legal authority to engage in COOP/COG planning, address issues related to the jurisdiction, department, agency or other governmental entities' mission and functions as well as activities necessary for execution of the plan, and provide information supporting the COOP/COG Plan (e.g., the jurisdiction's hazard assessment or emergency operations plan).

## *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.

As COOP/COG plans are developed, state, county, and city governments and jurisdictions should think carefully about the assumptions that underline 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 may include, but are not limited to the following:

- The vulnerability of the city depends on the probability of an event occurring and the impact that event could have on operations.
- City and non-city personnel and resources located outside the area affected by the emergency or threat will be available as necessary to continue essential functions.
- When a COOP event is declared, the city will implement a predetermined plan using trained and equipped personnel.
- The city will provide operational capability within 12 hours of the event and be able to continue essential operations for at least 30 days or until termination of the event, whichever is earlier.
- In an emergency, outside assistance could be interrupted or unavailable.
- State, county, and city governments, departments, agencies, and offices must be prepared to operate without help for at least 72 hours.
- State, county, and city officials are aware of their responsibilities and respond as directed in the State, County, and City Emergency Operations Plans.

## *Concept of Operations*

List the overall statement of the organization's approach to COOP/COG.

The concept of operations should state the organization's mission for COOP/COG and list its objectives for operations during emergency periods. An effective concept of operations describes the four phases of COOP/COG plan execution: (1) readiness and preparation activation and relocation, (2) activation and relocation, (3) continuity of operations, and (4) reconstitution.

The criteria the organization will use to decide whether to activate the COOP/COG plan should be described, possibly using examples to illustrate various activation scenarios. The principles that will guide decisions on how long to continue COOP/COG operations should also be spelled out, as should the organization's approach for transitioning from COOP/COG operations back to normal activities. Organizations may find it helpful to define subdivisions of the three main phases based on differences in objectives, resource requirements, etc.

## ***COOP/COG Planning Responsibilities***

*[Use Worksheet 1 for completion of this task]*

Responsibility for COOP/COG planning resides with the highest level of management of the organization involved. The chief elected official of a local government or 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/COG planning responsibilities including, but not limited to, the following:

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

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

## ***Planning Basis***

The plans and procedures an organization develops for COOP/COG will inevitably interact with other planning initiatives, such as those involving general emergency response planning and critical infrastructure protection. The COOP/COG plan will be strengthened and will be easier to implement through coordination with other relevant planning efforts. It is also prudent to coordinate with the COOP/COG planning efforts of related departments, agencies, and other governmental entities. 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/COG planning with the general emergency response planning effort that covers the department, agency, and jurisdiction. 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 departments, 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/COG planning should also be coordinated with any critical infrastructure planning that relates to the department, agency, jurisdiction, and other governmental entities. In order to maintain essential services and functions during a disaster, state and local governments/jurisdictions will often rely on critical infrastructure elements. Telephone 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/COG planners understand which critical infrastructure elements are most likely to be available during an emergency.

Some emergencies that result in COOP/COG 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/COG planning effort with any outside organizations that may be requested to provide resource assistance in emergencies. Such organizations may include other departments in the city, surrounding local jurisdictions, county, 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.

## ***Essential Functions***

*[Use Worksheets 2a, 2b, and 2c for completion of this task]*

After organizing the COOP team and identifying resources for COOP/COG planning, the first step in developing a COOP/COG Plan is identifying the organization's essential functions; their associated key personnel; and supporting critical systems/processes that must be sustained for at least fourteen days following a disruption. Essential functions encompass those critical areas of business that must continue even in the event of an emergency. In other words, they are those functions that must be performed to achieve the agency's mission. Each essential function, in turn, is supported by critical processes or services that are provided to the public, other divisions within the agency, or other state and federal agencies.

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.

### Identify ALL Functions Performed by the Organization

The organization's mission clearly outlines the basic purpose and is the first place to look to determine the organization's functions. Statements of an organization's mission are often in the legislation that created the organization. However, other sources, such as regulations promulgated by the organization, may also contain information on the organization's functions. Existing Standard Operating Procedures, Emergency Operations Plans, and reports on agency operations usually offer a good starting point for identifying various agency functions.

### Identify Essential and Non-Essential Functions

Once all functions have been listed, the next task is to identify those that are essential and will provide the basis for COOP planning.

**NOTE:** 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.

Some functions commonly provided by state and local governments that are likely to be considered essential include the following:

- 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
- Library Services

## Prioritize Essential Functions

Once all essential functions have been identified, prioritize them according to those activities that are pivotal to resuming operations when a catastrophic event occurs. Prioritization requires determination of the following:

- Time criticality of each essential function
- Sequence for recovery of essential functions and their critical processes

An essential function's time criticality is related to the amount of time that function can be suspended before it adversely affects the agency's core mission. Time criticality can be measured by either recovery time or recovery point objectives. These are terms of art borrowed from Information Technology (IT) disaster recovery planning, but they can be used in the broader context of COOP planning. A recovery time objective (RTO) is the period within which systems, processes, services, or functions must be recovered after an outage. A recovery point objective (RPO) is more specific to information systems. It is the amount of data that can be lost measured by a time index. Not all processes have RPOs, and some processes can have both a RPO and a RTO.

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

## Identify Critical Processes and Services

After the essential functions are determined, examine the processes and services that support them. Essential functions and their supporting processes and services are intricately connected. Each essential function has unique characteristics and resource requirements, without which the function could not be sustained. Those processes and services that are necessary to assure continuance of an essential function are considered critical. Often, critical processes and services vary depending upon the emergency or if they have a time or calendar component. For example, a blizzard would make snow removal a critical service, while a hurricane would not. Likewise, snow removal is a critical service in the winter, but not in the summer.

**Example:** The mission of the City Police Department is "to achieve public safety by improving the quality of life for the citizens of the city." An essential function of the City Police Department is to work with other law enforcement authorities in the investigation of crime and apprehension of offenders. A critical system that supports this function is its radio dispatch system. In the event of an emergency, the RTO for this system would be very short—on the scale of minutes. It would also need to be recovered first, if it were to be disrupted. Given this high time criticality, the City Police Department's essential function of crime investigation and apprehension would have a short RTO and, thus, a high priority in the City Police Department's COOP/COG Plan.

## Site Vulnerability Analysis

[Use Worksheets 5 and 6 to complete this task]

**Note:** Hazard & Threat Vulnerability Assessments should consider primary and secondary risks that may occur at any given site.

A designated agency or service has the responsibility for conducting Site Vulnerability Analysis on all government owned or leased facilities under the control of **[insert name of jurisdiction, department, or agency]**. In other cases, agencies have designated or authorize an outside organization to conduct their Site Vulnerability Assessment.

Hazard or threat identification and vulnerability assessment combine probabilities of event occurrence (e.g., earthquake, hurricane, terrorism) with factors relevant to the specific site (e.g., location, operational, and structural characteristics) to determine the risk of a given threat at a site. Consider emergencies that could occur within your facility and emergencies that could occur in your community.

### Secondary Hazards and Threats

Hazards and threats may be from a secondary source. Neighboring offices or facilities may house materials or perform operations that generate hazards or threats for your operation. While you have no direct control over that type of hazard or threat, your site vulnerability may be higher.

### Physical Security

A Site Vulnerability Analysis typically considers problems relating to the location of the facility in question. The Vulnerability Analysis may reference the risk of demonstrations, acts of terrorism, and crime rates in the immediate area. In addition, the analysis may discuss the current protection methods used such as camera systems, guards, and access control systems.

Physical security design and assessment should consider mechanical, electronic, and computer issues in addition to the building, and the local jurisdiction's function or location-related threats and hazards. Topics ranging from locking systems and updated standards to sensors, screening and detection equipment and digital technology should be included in the Vulnerability Analysis.

## Key Personnel and Continuity of Government

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

effective performance of the organization by making provisions for the replacement of people in key positions.

### **Identify Personnel and/or Teams Necessary to Perform Essential Functions in an Emergency with Relevant Contact Information**

*[Use Worksheet 4 to complete this task]*

Based on the department, agency, 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. 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/COG staff members include, but are not limited to, the following:

- Chief Executive Officer
- Director of Logistics and Administrative Support
- Communications Coordinator
- Public Information Officer
- Resource Manager
- Employees for conducting essential operations and providing essential services

The COOP/COG 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/COG 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.

### **Orders of Succession**

*[Use Worksheet 7 to complete this task]*

Jurisdictions, departments, or agencies 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/COG plan. Orders should be of sufficient depth to ensure the organization's ability to manage, direct, and perform essential functions and operations through any emergency. Geographical dispersion is encouraged, consistent with the principle of providing succession to office in emergencies of all types.

Local jurisdictions 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 and agencies 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.
- Conduct orientation programs to prepare successors for their emergency duties.

Developing orders of succession for key positions is intertwined with determining delegation of authority in an emergency. In fact, one of the steps in delegation of authority planning outlined previously, “document to whom authorities should be delegated,” is essentially development of orders of succession.

**Table 1: Sample Order of Succession**

Position	Successor	Program Responsibility	Condition
Mayor	City Administrator	Full	All emergencies
City 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

#### ***Prepare a Current Organizational Chart***

The first step in devising an order of succession is assessing the current organizational structure. This necessitates preparing a current organization chart by position and function (i.e., administrator, deputy administrator, consumer affairs division). The chart should focus on the position, not the individual in the position at the current time. Under each function, the chart should list the key positions. When assessing the functions and key positions for each function, ask these questions:

- What does this function uniquely contribute to the agency's mission?
- Could this function operate effectively if this position were vacant?

The first question should be answered in terms of the inputs and outputs of that function relative to the agency's mission. The answer to the second question yields information on key positions. If the answer to this second question is "no," then ask, "Why is that position so important?" Is it because that person possesses specialized knowledge or carries out specialized duties? If so, then it is a key position. When assessing a leadership position for a function, ask, "Does the staff working on that function lack the ability to perform without a leader?" If the answer is "no," then ask, "Why is the function able to operate without a leader?" If other personnel are critical to this function, then the leader is not in a key position for this function. Tying key positions to essential functions in this manner makes evident any gaps between a function and a person performing part or all of that function.

#### ***Examine the Consequences Resulting from a Vacancy***

When the organization is missing a person who is in a key position, it is obvious. Decisions cannot be made, needs cannot be satisfied, orders cannot be shipped, etc. Basically, if there is an absence in a key position, essential functions are not being fully met. By examining the organization in this manner, key positions are recognized by the consequences of a vacancy or anticipated vacancy.

#### ***Determine Orders of Succession for Each Key Position***

After determining the authority that should be delegated; studying the agency's organizational chart; examining the consequences resulting from a current or past vacancy; questioning current and former agency employees; and examining historical evidence; identify key positions for each essential function. Once key positions and personnel have been identified by essential function, determine the positions which would assume the authority of the key position if it became vacant unexpectedly. Consider the qualifications necessary to perform in the key position and the qualifications of the successor positions, as well as organizational and geographical proximity. The same successors may be named for different key positions, but avoid designating the same successor as the first successor to several key positions.

#### ***Emergency Powers***

Department/Office Managers should act in the best interest of the city constituents during an emergency. To facilitate these essential actions, city senior management should approve the following emergency changes to normal policies while the COOP/COG Plan is active. These emergency powers are rescinded upon return to normal operations.

Policy	Variation Approval
Purchase Authority	Restrictions over which purchases must be made by department/office purchasing divisions are temporarily removed. The Department Manager can authorize essential purchases of (specify equipment). This should be covered by an established emergency purchase policy included in the jurisdiction's approved purchasing policy prior to any event. This will outline the process, dollar limit, and authority within established legal authority.
Cash, personal credit or check capability	The department will guarantee and indemnify employees for all emergency purchases made by approved credit or employee personal check or credit capability.
Contractual authority	In emergency conditions, normal bid process is not required; however, the manager must exercise caution. Contracts can be established for most essential supplies prior to event (i.e., fuel, food, sanitation, debris clean-up etc.)
Other	
Other	

## Delegation of Authority

[Use Worksheet 8 to complete this task]

Delegation of authority in COOP/COG planning ensures rapid response to an emergency that requires COOP/COG Plan activation. Local jurisdictions should pre-delegate policy and decision-making authority to the chief elected official, local departments, and other organizational locations as appropriate.

Delegation of authority planning involves the following tasks:

### ***Identify Which Authorities Can and Should be Delegated***

There are two categories of authority that should be addressed in a delegation of authority plan: emergency authority and administrative authority.

- **Emergency Authority**

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

- **Administrative Authority**

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

***Establish Rules and Procedures for Delegation of Authority***

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

***Describe the Circumstances under Which the Authority Would be Exercised***

Include when the 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.)

***Identify Limitations of Authority and Accountability of the Delegation***

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

When delegating emergency authority, an agency ought to consider delegating authority among the key personnel in such a way to ensure that each has equitable shares of the duly established leadership. An agency should also provide training to officials on performance of their emergency duties. When delegating administrative authority, an agency also needs to examine laws and regulations governing the agency. Delegation of administrative authority is generally limited to upper management, but may be extended to middle management and non-management as necessary and allowed by law. Consult agency counsel for advice on delegation of administrative authority.

***Document the Authority of Designated Successors to Exercise Departmental or Jurisdictional Direction***

Include any exceptions and the successor's authority to re-delegate functions and activities as appropriate.

***Ensure Officials Who May be Expected to Assume Authorities in an Emergency Are Trained to Perform Their Emergency Duties***

***Devolution of Direction and Control***

*[Use Worksheet 9 to complete this task]*

Devolution planning supports overall COOP planning and addresses catastrophic and other disasters and events that render an agency's leadership and staff unavailable to or incapable of supporting the execution of its essential functions from either its primary or alternate location(s). The devolution option of COOP shall be developed to address how the organization will identify and conduct its essential functions in the aftermath of a catastrophic emergency.

A Devolution plan will address the following:

- Be capable of supporting all of its COOP essential functions and activities with designated personnel at a designated devolution site.
- Identify essential functions and determine the resources needed to facilitate the immediate and seamless transfer to a devolution site.
- List necessary resources to facilitate the ability to perform essential functions at the devolution site (i.e., roster of trained personnel and equipment).
- Identify the triggers that will likely initiate or activate the devolution option. Specifically, the devolution plan must specify how and when direction and control of agency operations will be transferred.
- Establish capabilities to restore/reconstitute organizational authorities to the pre-event status upon termination of devolution.

## ***Human Capital Management***

### **Identify Emergency Employees**

Designate “emergency” employees and other special categories of employees, along with defined roles and responsibilities.

\*\* Do not forget about to consider employees who are not needed to support essential functions. How will you account for them?

### **Identify and/or Institute Dismissal and/or Closure Procedures for Employees**

### **Determine Procedures for Making Media Announcements**

Identify procedures for carrying out public relations and media announcements on governmental operating status.

### **Identify Established Methods of Employee Communications**

Employee hotline (1-800 number) hosted with offsite vendor.

Secure offsite vendor to host local intranet during an emergency event.

### **Communicate Changes in Building Operations**

### **Define Pay Flexibilities, If Necessary, for COOP Event**

## **Define and Address Pay and Benefit Issues for COOP Event**

### **Prepare a “Call Tree” List or “Call Down” List**

This list of all employees should include, at a minimum, work phone numbers, home phone numbers, cell phone numbers, and an alternate contact phone number.

## ***Vital Records, Databases, Systems, and Equipment***

COOP/COG 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.

### **Identify Records and Databases Necessary to Support Essential Functions**

*[Use Worksheets 3 and 10 to complete this task]*

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.

### **Identify Vital Systems and Equipment Necessary to Support Essential Functions**

*[Use Worksheets 3 and 10 to complete this task]*

A system or piece of equipment is vital if it is essential to emergency operations and/or to the organization’s continuance of critical processes and services during a crisis for a minimum of fourteen days. COOP/COG planning for vital systems and equipment should proceed in the same way as planning for vital records. The first step is to identify vital systems and equipment and the second step is to select and arrange protection methods for vital systems and equipment.

As with vital records, identify those systems and equipment that are essential to the functioning of the organization and the continuance of the organization's mission. Bear in mind that not every system or piece of equipment is vital, even if it is important. The timing of a system's or piece of equipment's use may also bear on whether it is vital or not. For example, the DOT's snowplows are vital during and immediately after a blizzard, but are not vital during the summer.

### **Identify Plan for Ensuring That Records and Databases Are Protected**

These records and databases should be protected from the effects of the emergency and be available to key personnel during the emergency. Protection measures may include regular backup in remote location, pre-positioning of records at an alternate facility, etc.).

*[Use Worksheet 10 to complete this task]*

### **Continuity Facilities/Work Sites**

*[Use Worksheet 11 to complete this task]*

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 or jurisdiction's work facilities in a variety of ways.

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 a continuity facility, it is essential to have a thorough understanding of the organization's mission, essential functions, concept for deployment and operations at a continuity 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.

### **Identify One or More Continuity Facilities/Work Sites**

This continuity facility/work site should allow the organization's key personnel to perform essential functions when an emergency renders the primary facility unusable. The continuity 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.

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

alternate site available for lower-level and short-term emergency operations and a larger and more equipped site set up for use in higher-level emergencies.

### **Identify the Layouts of Continuity Facilities/Work Sites for COOP**

These layouts include room assignments, equipment location, etc.

### **Identify List of Critical Continuity Facility Information**

This list should include the facility's address, telephone number, and a contact person.

## **Logistics**

### ***Transportation, Lodging, and Food***

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

### ***Security and Access***

Not only does the continuity work site need to be identified and the care of staff arranged, but the security and access to both the primary and alternate facilities during emergency and non-emergency situations also need to be arranged. The security procedures should be able to accommodate all hazards and include provisions for identifying access restrictions.

## **Continuity Communications**

*[Use Worksheet 12 to complete this task]*

The communications component of a COOP plan requires well-defined chains of communication with alternative means of communicating should the primary radio communications and/or telecommunications systems (i.e., telephones, faxes, Internet) not be functioning.

Organizations should strive to maintain communications capabilities commensurate with the organization's essential functions at all times. The COOP/COG Plan should facilitate communication between the organization's Point of Contact/COOP team, management, and agency staff and should provide for communication with other organizations, as well as emergency personnel. The plan should also provide a means for notifying customers of the organizations relocation and procedures for contacting the organization and conduction business in an emergency.

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

### *COOP/COG 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, and files specific to the member's position, specialized tools, and maps to the alternate facility.

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.

The following are examples of items that may be included in Drive-Away kit:

- COOP Emergency Reference Guide
- Identification and Charge Cards
  - DHS ID Card
  - FEMA ID Card
  - Driver's License
  - Government Travel Card
  - Health Insurance Card
  - Personal Charge Card
- Communication Equipment
  - Pager/BlackBerry
  - Government Cell Phone
  - Personal Cell Phone
  - Government Phone Card
  - GETS Card
  - Personal Long-Distance Phone Card

- Medical Needs
  - Insurance Information
  - List of Allergies/Blood Type
  - Hearing Aids and Extra Batteries
  - Glasses and Contact Lenses
  - Extra Pair of Glasses/Contact Lenses
  - Prescription Drugs
  - Over-the-Counter Medications; Dietary Supplements, etc.
- Postage Stamps and Personal Stationary
- Cash for Miscellaneous Expenses (including coins for vending machines)
- Toiletries
  - Toothbrush, Toothpaste, Dental Floss
  - Bath Soap
  - Shampoo
  - Hair Dryer, Curling Iron
  - Electric Razor or Razor and Shaving Cream
  - Nail Clippers and File
  - Deodorant or Antiperspirant
  - Personal Hygiene Products
- Personal Contact Numbers
- Emergency Phone Numbers and Addresses (for relatives, medical doctor, and pharmacist)
- Clothing (consider potential for extreme weather conditions at the ERS)
  - Business Casual Work Attire (4–5 days worth)
  - Leisure Clothes (workout clothing, etc.)
  - Underwear and Socks, Sleepwear, Robe, Slippers
  - Light-Weight and Medium-Weight Sweater or Jacket
  - Seasonal Outerwear
  - Comfortable Shoes
- Recreation/Entertainment (reading materials, playing cards, puzzles, games)
- Small Portable Battery-Operated Radio/CD Player/Alarm Clock
- Flashlight and Extra Batteries
- Bottled Water and Non-Perishable Food (e.g., granola, dried fruit, etc.)

## Procedures for Plan Implementation

After the basic plan for COOP/COG has been developed, it is important to address how it will be executed. By definition, the COOP/COG Plan will be implemented at a time of disruption when an organization's 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 four distinct phases of COOP/COG operations: readiness and preparedness; activation and relocation; continuity facility operations; and reconstitution (termination and return to normal operations).

### *Phase 1: Readiness and Preparedness*

Readiness is the ability of an organization to respond to a continuity incident or event. Although readiness is a function of planning and training, it is ultimately the responsibility of an organization's leadership to ensure that an organization—through normal procedures or with a continuity plan—can perform its mission essential functions before, during, and after all-hazards emergencies or disasters.

The implementation of a continuity plan and its associated procedures may require the use of primary and/or alternate or other facilities, depending upon the emergency and its effect on normal operations. Examples of scenarios that may require continuity of operations activation include, but are not limited to, the following:

1. An organization receives notification of a credible threat, which leads the organization to enhance its readiness posture and prepare to take actions if necessary.
2. An organization experiences an emergency or a disruption that does not require movement of all continuity personnel to an alternate site. Some disruptions may require that key personnel remain onsite to conduct essential functions; other disruptions may prevent some or all personnel from getting to the organization's primary location; and yet others may require implementing a social distancing strategy, which would require the use of primary, alternate, and other relocations, such as telework.
3. An organization's continuity staff or facilities are unavailable, necessitating a shift of operations to a regional, field, or other location (devolution).
4. A single organization's facility is temporarily unavailable, and the organization either accommodates that facility's operations and personnel at another of its own facilities or transfers those operations and personnel to a facility of another organization.
5. Many, if not all, may be required to evacuate the immediate or larger geographically affected area.

### *Phase 2: Relocation and Activation (0-12 hours)*

The organization should provide a process or methodology for attaining operational capability at the continuity of operations site(s) as soon as possible and with minimal disruption to operations, but in all cases within 12 hours of activation. Organizations should also identify those essential functions that should be continued without disruption and ensure these can be conducted under all conditions. The process should include the

activation of plans, procedures, and schedules for the continuation of essential functions, as well as for the personnel, vital records and databases, and equipment involved with these functions, with minimal disruption. The activation and relocation phase includes the following activities:

1. The occurrence of an event or the threat of an event.
2. Review, analysis, and decision to activate the continuity plan.
3. Alert and notification of continuity personnel.
4. Relocation, if necessary, to alternate or other continuity facilities.
5. An accountability analysis of continuity of operations personnel.
6. Identification of available leadership.
7. Determination of and reporting of operational capabilities.

Activation and relocation plans or procedures should include the following:

1. A decision matrix for continuity of operations:
  - a. With warning during duty hours and non-duty hours.
  - b. Without warning during duty hours and non-duty hours.
2. Notification of:
  - a. Continuity facilities team/site.
  - b. Other POCs, as appropriate.
  - c. Employees (continuity of operations essential personnel and non-deployed personnel).
3. Instructions on moving to a continuity facility, including directions to that site(s) and maps of routes from the primary location to the alternate or other continuity facility or location.
4. Identification of what drive-away kits should contain and how those kits will be maintained.
5. Instructions on moving vital records (those that have not been pre-positioned) from the primary to the continuity facility.
6. Instructions on procuring necessary equipment/supplies that are not already in place.

### *Phase 3: Continuity of Operations*

This phase includes the following activities to continue essential functions:

1. Accounting for all organization personnel.
2. Conducting essential functions (which depend on the situation).
3. Establishing communications with supporting and supported organizations, customers, and stakeholders.
4. Conducting recovery activities as needed.

Plans or procedures should include the following:

1. Reception in-processing and accounting for continuity of operations personnel.
2. Transition of responsibilities to the deployed continuity of operations personnel.
3. Guidance for non-deployed personnel.
4. Identification of replacement personnel and augmentees, as necessary.
5. Execution of all essential functions at the continuity facility.
6. Activation of processes and procedures to acquire the resources necessary to continue essential functions and to sustain operations.
7. Notification of the adjacent organizations, customers, and stakeholders of continuity of operations activation and status.
8. Redeployment plans for phasing down continuity facility operations and returning operations, personnel, records, and equipment to the primary or other operating facility when appropriate.

#### *Phase 4: Reconstitution*

*[Use Worksheets 13a, 13b, 13c to complete this task]*

Reconstitution is normally conducted using a priority-based phased approach, in which most essential functions are transferred last. Those functions that were discontinued because of the emergency should be reconstituted first. All personnel should be informed that the necessity for continuity of operations no longer exists. Instructions for resumption of normal operations are provided, including supervising an orderly return to the normal operating facility, moving to another temporary facility, or moving to a new permanent facility. All organizations should report their location status to a higher authority. The process of reconstitution will generally start immediately after an event concludes, and can run concurrently with the recovery process. Some of the activities involved with reconstitution include the following:

1. Assessing the status of affected facilities.
2. Determining how much time is needed to repair the affected facility and/or to acquire a new facility.
3. Supervising facility repairs.
4. Notifying decision makers of the status of repairs, including estimates of when the repairs will be completed.
5. Implementing a priority-based phased approach to reconstitution.

There should be an after-action review of the effectiveness of continuity of operations plans and procedures as soon as possible, including an identification of aspects of the plans and procedures that need to be corrected, followed by development of a CAP.

## Maintaining COOP/COG 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/COG 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/COG 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 Plan*

The training plan should outline COOP training requirements for key personnel.

*[Use Worksheet 14 to complete this task]*

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.

### *Testing and Exercising the Plan*

*[Use Worksheet 14 to complete this task]*

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.

### **Scope of Exercises**

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 tabletops, 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.

### **Exercise Schedule**

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 facilities/work sites
- Testing of alert and notification procedures and systems for any type of emergency at least quarterly
- Joint departmental or jurisdictional exercising of COOP plans, where applicable and feasible

## **Maintenance**

The organizational structures of local governments and jurisdictions change over time, as do the functions assigned to specific organizations. To ensure that COOP/COG 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.

### ***Multi-Year Strategy and Program Management Plan***

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.

### ***COOP/COG Plan Maintenance***

Major issues to be considered include the following:

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

Suggested responsibilities of the COOP Review Team include the following:

- Maintaining overall plan currency and readiness, to include procedures, equipment, systems, personnel, and rosters

- Addressing and resolving COOP/COG plan policy issues
- Advising the head of the department or jurisdiction on COOP-related matters
- Coordinating among related plans
- Conducting training, testing, and exercises
- Updating plans annually to incorporate lessons learned from testing and exercises as well as any actual events that occurred during the year

## **Suggested Appendices**

---

Acronyms  
Glossary of Terms  
Operational Checklists  
Primary and Secondary Contact Lists  
Authorities and References  
Vital Records Program Guidance  
Evacuation Routes  
Layout of Continuity Facility(s)  
Maps to Continuity Location(s)  
Mutual Aid Agreements  
Memorandums of Agreement/Memorandums of Understanding

## **Additional Suggested Appendices**

---

Successor Contact Information  
Telephone Directories  
Rapid Recall Emergency Telephone Listing  
Phase I, II, III Personnel (Localized and Widespread)  
Site Vulnerability Analysis Charts  
Continuity Facility Operations  
Continuity Facility(s), Listing, and Contact Names (Localized and Widespread)  
Transportation and Continuity Facility Activities  
Report on Primary and Secondary Sites  
Estimated Budget  
COOP Maintenance Team  
Other Support Elements  
Communications/Media Plan  
Maps and Evacuation Routes  
Family Plan  
Vendor Lists

## Notes

## Notes