



## INSTRUCTIONS

This guidance document was prepared for Fairfax County at the request of the County's Office of Emergency Management and revised by the COOP Oversight Committee. *Federal Preparedness Circular 65, dated June 15, 2004* as well as guidance available from the Office of National Security Coordination, Federal Emergency Management Agency was used in preparing this guidance. Although general guidance is provided here for reference, agencies are encouraged to tailor COOP Plan development to meet their own needs and requirements. This guidance supports a generic COOP Plan template.

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**I. EXECUTIVE SUMMARY**

The executive summary briefly outlines the organization and content of the COOP Plan and describes what it is, who it affects, and the circumstances under which it might be executed. Further, it discusses the key elements of COOP planning and explains the organization's implementation strategies.

In the accompanying plan template, please insert your department/agency name in the appropriate blanks.

**II. INTRODUCTION**

The introduction to the COOP Plan explains the importance of COOP planning to the organization. It may also discuss the background for planning, referencing recent events that have led to increased emphasis on the importance of a COOP capability for the organization. Each department or agency should also emphasize unique aspects and circumstances that characterize its COOP response.

The objectives of COOP planning are to direct and guide appropriate actions to assure the capability exists to continue core business functions and activities and to achieve an orderly recovery from emergency situations. A wide range of potential emergencies or threats, including acts of nature, terrorism, accidents, technological emergencies, and pandemic flu are considered.

In the accompanying plan template, please insert your department/agency name in the appropriate blanks.

**III. PURPOSE**

The purpose section explains why the organization is developing a COOP Plan. It briefly discusses applicable Federal guidance and explains the overall purpose of COOP planning, which is to ensure the continuity of mission-essential functions. Because of today's changing threat environment, this section should state that the COOP Plan is designed to address all hazards, including terrorism.

In the accompanying plan template, please insert your department/agency name in the appropriate blanks.

**IV. APPLICABILITY AND SCOPE**

This section describes the applicability of the plan to the organization as a whole, headquarters as well as subordinate activities, co-located and geographically dispersed, and to specific personnel groups of the organization. It should also include the scope of the plan, to include key elements of the COOP plan such as essential functions, delegations of authority, lines of succession, and so forth. Again, plans should address

the full spectrum of potential threats, crises and emergencies (natural, health and as well as man-made).

In the accompanying plan template, please enter the pertinent information in the blanks.

## V. ESSENTIAL FUNCTIONS

Not every function performed by a government organization is mission critical in the short term. In case of a disaster, whether manmade or natural, certain key functions and services – such as 911 dispatch, police/fire/EMS response, utility services, and emergency management operations – must continue to be delivered.

The essential functions section should include a list of the organization's prioritized essential functions. Essential functions are those organizational functions and activities that must be continued under any and all circumstances.

Organizations should:

1. Identify all functions, then determine which must be continued under all circumstances
2. Prioritize these essential functions
3. Establish staffing and resource requirements
4. Integrate supporting activities
5. Develop a plan to perform additional functions

Several worksheets have been developed to help you complete the necessary tasks to determine your essential functions, resource requirements to support them, and their order of priority.

Worksheet #1, Agency Functions asks you to list your agency functions and to classify them as follows:

- Category 1: Mission Critical – services that must remain operational at all times
- Category 2: Immediate Post-Incident – services that must be brought back online as soon as possible after an incident
- Category 3: Normal Services – services that need not be restored in full until the incident has passed and category 1 and 2 services are operational.

Worksheet #2, Functions Impact Analysis builds on your identification of agency functions and helps you to further examine essential functions and

to develop measures to minimize loss in the event of a disaster. Essential functions include both Categories 1 and 2.

Worksheet #3, Resource Requirements helps you to identify critical processes and services that support essential functions. You will identify personnel needs to perform the function, as well as any records, equipment, and systems needed to make the essential function operable.

Finally, Worksheet #4, Priority of Critical Processes and Services and Worksheet #5, Priority of Essential Functions helps you to prioritize essential functions.

When you have determined your essential functions, and identified critical processes and services that support them, you can then assign priority to the functions according to those activities that are key to resuming operations when a catastrophic event occurs. In order to assign priority, you need to determine the following:

- Time criticality
- Sequence for recovery.

By time criticality, we mean the amount of time the essential function can be suspended before it adversely affects the agency's core mission. Borrowing from the Information Technology disaster recovery planning terminology, time criticality can be measured in two ways:

1. Recovery Time Objective (RTO) – the *amount of time* that a system is allowed to be down before it is brought back online.
2. Recovery Point Objective (RPO) – the *amount of data* that can be lost measured by a time index (e.g., an RPO of one hour means that the last hour of data before the failure will not be recovered).

Note that some processes will have both an RTO and an RPO (but not all processes have an RPO). For example, a land line telephone system will have a RTO but not a RPO because data is not lost when a telephone system goes out. An example of a system that has both a RTO and a RPO is a network server.

IT Disaster Recovery Plans will typically have RTOs and RPOs for vital systems. The IT Disaster Recovery Plan may be a useful resource for estimating the RTO for your agency's/department's essential functions that are supported by IT systems; your essential function's RTO should be approximately the same as the RTO for the IT system upon which is it dependent.

When determining RTOs for your agency's/department's essential functions that are not necessarily dependent on IT systems, it is still useful to consider dependencies. For example, a process or service would have a short RTO if other processes or services are needed in order to keep

operating. When the RTOs and RPOs, if applicable, have been determined for each critical process/service, they can be prioritized using the estimated/desired recovery times.

The lowest recovery times (smallest numbers in the far right column of Worksheet #4) should be assigned the highest priority. Once you have determined the time criticality of each essential function, you can then prioritize them (Worksheet #5) according to those that need to be recovered first.

For those services other than IT an RPO may not be applicable. However, it may be useful to evaluate how long the service can be lost before there are adverse consequences.

The final step in this process is to take the information from Worksheet #5 and complete Annex A, Essential Functions of your COOP plan. Here is a sample:

**SAMPLE**

The following table shows an example of prioritized essential functions for a typical Department of Public Works.

Priority	Essential Functions
1	Providing emergency power.
2	Providing potable water.
3	Providing wastewater treatment.
4	Debris clearance.
5	Providing sanitation services (trash and recyclables collection).
6	Maintaining government vehicles.

**VI. AUTHORITIES AND REFERENCES**

This section should reference an annex that outlines all supporting authorities and references that have assisted in the development of this COOP Plan. It should include Federal, State, and local laws, ordinances, guidance documents, and other applicable documents.

Annex B of the accompanying template includes many relevant authorities and references. If your department/agency has additional relevant plans, please add them to Annex B.

## VII. CONCEPT OF OPERATIONS

This section should explain how the organization will implement its COOP Plan, and specifically, how it plans to address each critical COOP element. This section should be separated into three phases: activation and relocation, alternate facility operations, and reconstitution.

### A. Phase I: Activation and Relocation

The Phase I section should explain COOP Plan activation procedures and relocation procedures from the primary facility to the alternate facility. This section should also address procedures and guidance for non-relocating personnel.

#### 1. Decision Process

A decision to activate an agency's COOP plan, or the COOP plan for the entire County, will depend on the circumstances of a potential or actual event. Threat information could become available to the County Executive that would cause him/her to deem it prudent to activate the COOP for a specific agency or for the County Government as a whole. In a no-notice event, an agency head may be the first to become aware of a circumstance that would suggest COOP activation. If the agency head has time to consult with the County Executive or designee regarding agency COOP plan activation, this should occur. There should be no impediments to immediate implementation if a situation so requires, which may mean that the County Executive is notified after COOP plan activation if a situation occurs without warning.

This section should explain the logical steps associated with implementing a COOP Plan, the circumstances under which a plan may be activated (both with and without warning), and should identify who has the authority to activate the COOP Plan. This process can be described in writing or depicted in a graphical representation.

In the accompanying plan template, please fill in the blanks with the appropriate information.

## 2. Alert, Notification and Implementation Process

This section should present a detailed picture of what essential employees and other staff can expect once there is a decision to activate the COOP plan:

- How this decision is to be communicated, and by whom;
- Which employees should report to the alternate location and when they are expected to report there;
- How essential employees are expected to get to the alternate location under conditions of warning or no warning (e.g., private vehicles, County-provided transportation);
- What non-essential employees are expected to do during the COOP emergency;
- What essential employees are expected to take with them; and
- What they can expect to have available to them at the alternate location.

The last two bullet items may differ among agencies depending on their alternate locations. Some locations may require more time and effort to be brought on line than others. For sites that require significant time to become operational, consideration should be given to applying a phased approach to COOP plan implementation by assigning a few of the essential employees to ready the facility (advance team) for the arrival of the full cadre of essential employees.

For employees who are not designated as essential, this section should provide information on how they will be contacted as decisions are made about agency operations in the longer term.

If a phased approach is used for deployment to the alternate facility, the Advance Team should include IT and Logistics personnel, who will have a key role in transferring and making ready essential equipment, data, and communications systems. These individuals should be identified as Category 1 employees on the Employee Roster in Annex I of the COOP Plan Template. The agency's IT personnel will be responsible for coordinating with the County's IT Department as well as internally within their own agency.

In summary, this section should explain the events following a decision to activate the COOP Plan. This includes employee alert and notification procedures and the COOP Plan implementation process. The Department of Information Technology should be included in notification procedures.

### 3. Leadership

#### a. Orders of Succession

This section should identify orders of succession to key positions in the organization. At least three successors to each position designated as essential should be identified, preferably by position rather than by name. The designation of a position as essential should be a formal part of the position description. Worksheet #6 can help to identify replacement requirements for key personnel so that appropriate successors can be identified. Information collected includes:

- Position: Titles or role names should be used.
- Unique Skill Requirements: What skills must a replacement have to perform this role?
- Replacement Source: Indicate how this role will be filled, whether via a staffing agreement or agreement with other agencies. If replacement is not through a vendor, then a Memorandum of Understanding or similar instrument should be in place.
- Authority to Fill: Who has the authority to authorize replacement of the specific key personnel?

Using the information generated from completing the worksheet, lines of succession for each key agency position and for key positions within each division of the agency should be listed in Annex F of the Plan Template.

#### b. Delegations of Authority

Delegations of authority specify who is authorized to act on behalf of the agency head or other officials for specified purposes. This section of the plan should document the legal authority for making key decisions, and identify the program and administrative authorities needed for effective performance of the designated essential functions. Individuals should be identified by title or position, not by name. Any limitations on the ability to re-delegate should be specified.

This section should identify, by position, the authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as appropriate. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed. Such delegations also may be used to address specific competency

requirements related to one or more essential functions that are not otherwise satisfied by the order of succession. Delegations of authority should document the legal authority for making key decisions, identify the programs and administrative authorities needed for effective operations, and establish capabilities to restore authorities upon termination of the event. Pre-determined delegations of authority may be particularly important in a devolution scenario. Proposed delegations should be cleared with the County Attorney's Office.

### **c. Devolution**

The devolution section should address how an organization will identify and conduct its essential functions in the aftermath of a worst-case scenario, one in which the leadership is incapacitated. The organization should be prepared to transfer all of their essential functions and responsibilities to personnel at a different office or location.

## **B. Phase II: Alternate Facility Operations**

This section should identify initial arrival procedures as well as operational procedures for the continuation of essential functions. It should identify manual processes and procedures that can be followed by essential employees until mission critical systems and vital records and databases are brought online at the alternate facility.

### **1. Mission Critical Systems**

This section should address the organization's mission critical systems necessary to perform essential functions and activities. Organizations must define these systems and address the method of transferring or replicating them at an alternate site. In most instances, systems are hosted by the Department of Information Technology (DIT) and DIT will address these requirements in coordination with the system owner. In the case of systems hosted and maintained by other departments, that department is responsible for planning how the system will be transferred to an alternate facility.

Disaster Recovery Plans should address issues such as:

- Implementation of a routine backup procedure, including offsite storage
- Identification of data restoration procedures, including scenarios such as damaged equipment
- Periodic review and testing

If a department maintains multiple servers, system location information should identify the computer hardware the system is located on, as well as that hardware's physical location.

A system or piece of equipment is considered to be mission critical if it is essential to emergency operations and/or to your continuance of critical processes and services during a crisis for a minimum of fourteen days. Planning for vital systems and equipment involves identification of systems and appropriate protection methods.

Since many of the critical processes supporting essential agency functions include IT systems and applications, the IT component of any agency plays a vital role in COOP planning as previously mentioned. However, there may be other systems and equipment that may not be computer-based, so exclusive reliance on IT staff to provide for backup, protection, and recovery of all vital systems and equipment is not a good plan.

For vital systems to remain operational in the event of an emergency, you should aim to generate a COOP plan sufficiently detailed so that even a non-technical employee could recover the basic systems in an emergency. Worksheet #7, Vital Systems and Equipment will help you to identify those systems and equipment that are essential to the functioning of the agency and Worksheet #8 will help you to examine appropriate protection methods. This information should then be transferred to Annex H, Mission Critical Systems of your COOP plan.

The following table shows an example of mission critical systems for a typical Department of Public Works:

System Name	Current Location	Other Locations
Portable emergency power generation	Warehouse	Storage Unit B, Storage Unit C
Mobile water testing laboratory	Primary Facility	Alternate Facility

## 2. Vital Files, Records, and Databases

Vital records are those records to which agency personnel must have access to be able to carry out essential functions. Records are typically in one of three forms: paper, electronic, or microfilm.

A COOP plan should address a system for protection of vital records in an emergency as well as for normal operations. Every agency needs to have a vital records program that addresses the optimal protection, duplication, and preservation of records (maintenance) as well as procedures for the recovery and restoration of records.

Worksheet #9, Vital Records will help you to identify vital records, linked to essential functions and their supporting critical processes and services.

Vital records protection can be accomplished in a number of ways. Current backup and retention schedules for each vital record should be examined. Other measures might be to replicate the agency's server in an alternate facility or to store duplicate files off-site. Finally, another form of protection might be to limit access to records through security procedures or systems. Worksheet #10, Vital Records Protection Methods helps you to identify appropriate protection methods for your vital records. Once you have completed these worksheets, you can transfer the information to Annex E, Vital Records/Databases.

The following tables are an example of vital records/databases for a typical Department of Public Works:



Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Backed up at Third Location
Vehicle Inventory	Electronic	X		X
List of Debris Contractors	Hardcopy		X	
Emergency Generator Inventory	Electronic	X		
List of Alternate Debris Disposal Sites	Electronic	X		X
Public and Private Sewage System Records	Electronic	X		X
Water Treatment Regulations	Hardcopy		X	

Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Backed up at Third Location
COOP Plan	Electronic	X		X
Phone Roster	Hardcopy		X	
Devolution Contact List	Hardcopy		X	
Legal Authority List	Electronic	X		X
County Emergency Operations Plan	Hardcopy		X	

**C. Phase III: Reconstitution**

This section should explain the procedures for returning to normal operations – a time phased approach may be most appropriate. This section may include procedures for returning to the primary facility, if available, or procedures for acquiring a new facility. Notification procedures for all employees returning to work must also be addressed. Vital records and databases brought to the alternate facility from other locations should be returned to their usual storage sites. The conduct of an After Action Report (AAR), to determine the effectiveness of COOP plans and procedures should be considered.



## VIII. COOP PLANNING RESPONSIBILITIES

This section should include additional delineation of COOP responsibilities of each key staff position, to include individual Advance Team and Emergency Relocation Group (ERG) members, those identified in the orders of succession and delegations of authority, and others, as appropriate.

You will need to identify which of your essential personnel will be given responsibility for COOP plan maintenance and various aspects of COOP plan implementation. These positions and duties should be detailed in Annex J of the plan template.

## IX. LOGISTICS

### A. Alternate Location

Another important aspect of COOP planning is the identification of alternate work sites and related relocation planning. In some emergency situations, you will not need to relocate to an alternate facility. However, if you should need to leave, you will need to consider what is involved in transitioning to the alternate facility, alternate facility operations, and reconstitution, or termination and return to normal operations.

There are three types of alternate work sites, each with different capacity levels. The type of work site chosen may depend on need, budgetary concerns, or the level of the emergency. You should not limit yourself to one alternate work site. For example, consider one type of site for lower level, short-term operations and a larger, more-equipped site for use in higher-level emergencies.

The three types of sites include:

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

You may choose to set up an independent facility for emergency use only. In selecting an alternate work site, you might consider the following criteria:

- Size of potential alternate facility and space requirements for agency essential functions
- Design of facility and its adaptability for agency operations
- Security
- Communications requirements
- Location relative to primary facility
- Availability of mass transit
- Existing contractual obligations
- Budget constraints
- Level of emergency.

Often due to budget constraints, operating and maintaining a separate alternate facility is not feasible. Another possibility for an alternate work site is a pre-existing facility already in use by the agency. Agencies with multiple facilities may find it easier to move into unaffected buildings. Lastly, if your organization cannot afford to maintain an independent site and does not have multiple locations, consider developing mutual aid agreements with other agencies/departments and/or implementing virtual office technologies.

Alternate facilities must be identified in advance. Ideally, alternate locations will be easily accessible to employees. Lack of adequate parking and minimal access to mass transit can affect the availability or punctuality of on-site personnel. A phased approach may be used when identifying essential personnel who are to report for duty under COOP circumstances wherein essential personnel who live closest to the alternate site are requested to report first, then essential personnel who live within a certain radius are asked to report within a given time period of COOP plan activation.

If there is no on-site access to food services, nearby locations that are easily accessible should be identified in advance. If no such accommodations exist, procedures for having food brought to the location should be established. Also, sufficient restroom facilities, provisions for standard office amenities (coffee pots, refrigerators) are essential to maintaining a high level of employee performance during situations that may be extremely stressful.

Worksheet #11 will help you to consider your requirements for alternate work sites and Worksheet #12 will help you to examine your options.

When considering the suitability of alternate locations, senior managers also should take into consideration the operational risk associated with each facility. Performance of a risk assessment is vital in determining which alternate location will best satisfy an organization's requirements. See Worksheet #13, Site Vulnerability Assessment for assistance in completing this task.

Ideally, these facilities shall be capable of supporting operations in a threat-free environment, as determined by the geographical location of the facility and/or the collective protection characteristics of the facility in relation to the emergency.

In identifying and equipping such a facility, the following issues should be considered:

- Capability of sustained use – The facility must be able to support performance of essential functions for up to 30 days and must include essential equipment and sufficient space for relocated personnel.
- Interoperable communications – The facility must be able to sustain communications with internal and external organizations, critical customers, and the public.
- Security – The facility must have the appropriate physical security and access controls.
- Infrastructure – The facility must have systems to support operations, including water, power, heating and air conditioning, etc.
- Flexibility – The facility must be able to sustain 8-hour and 12-hour operations shifts for 24 hours per day, 7 days per week.
- Sufficient accommodations for:
  - Personnel - Accommodations must be sufficient for all staff identified as necessary for the performance of the [department/agency's] critical functions, the nature of whose duties make telecommuting or other arrangements impractical on a long term basis. If multiple shifts are necessary, it may be possible to implement 'hot bunking', where personnel from different shifts are co-located in the same work area.

- Equipment: Of particular concern are IT functions that are dependent on centralized resources (PC-based servers, minicomputers, mainframes) require specialized accommodations.
- Power requirements: Electrical requirements should be identified in advance, as standard office wiring is in many cases insufficient. Many higher-end devices may also require 220 volt outlets.
- Wiring: Internal wiring for PC LAN connections and dumb terminals should be in pre-installed. Identify the types of network and terminal connections currently in use (e.g. 10BaseT Ethernet, Token Ring, serial).
- Server room: Identify where in the alternate facility servers can be located. The ideal location will be central to personnel workspaces to minimize cabling requirements, isolated to prevent unauthorized access or accidental damage, and provide sufficient environmental control so that the equipment can operate within manufacturer-specified parameters.
- Data Communications: Sufficient bandwidth should be allocated in advance. Locations hosting publicly available resources (web sites, databases) can expect heavier-than-normal loads and should plan accordingly. If it becomes necessary to split normally co-located functions among multiple sites, bandwidth requirements can also increase dramatically as systems used to functioning on high-speed local links may consume more bandwidth than WAN links can provide. Also, extensive use of telecommuting will place an additional strain that is not experienced during regular operations.
- Computer Equipment and Software – The acquisition and pre-positioning of critical IT systems is essential. Because of the rapid pace of change in the computer industry, it may not be possible to obtain replacement hardware or programs when the COOP plan is activated. Additionally, building a system from scratch is time consuming and prone to configuration changes and errors that may delay bringing the replacements online.

If the alternate location is in a secure area, ensure that a list of all personnel required to work on site has been provided to security personnel. Additionally, obtain the necessary identification badges, key cards, or other material necessary to assure access.

Given the scope of the operations, and the amount of IT infrastructure involved, it is likely that a single facility may not be available to satisfy all requirements. In the event that multiple facilities are required, additional procedures must be established regarding communications and chain of command.

The special services provided by an IT department and the special equipment required make it virtually impossible to establish an alternate location on short notice. Therefore, the emergency equipment and supplies necessary to implement the COOP plan that are identified in Annex D should be pre-positioned whenever possible.

In summary, alternate facilities should provide:

1. Sufficient space and equipment
2. Capability to perform essential functions within 12 hours, up to 30 days
3. Reliable logistical support, services, and infrastructure systems
4. Consideration for health, safety, and emotional well-being of personnel
5. Interoperable communications
6. Computer equipment and software

## B. Interoperable Communications

Communications planning is an essential component of continuity of operations, as normal lines of communication are likely to be disrupted during an emergency. This planning component requires well-defined chains of communication with alternate means of communicating should the primary telecommunications systems, i.e., telephones, faxes, internet, fail.

You should strive to maintain communications capabilities commensurate with the essential functions you need to perform. The first step in COOP communications planning is to assess those communications systems that support each essential function. Worksheet #14, Communications Systems Supporting Essential Functions can help you with this task. Worksheet #15, Alternative Modes of Communication helps you to examine what to do when preventive controls in place for communication systems fail.

The interoperable communications section should also identify available and redundant critical communication systems that are located at the alternate facility. These systems should provide the ability to communicate within the organization and outside the organization.

Interoperable communications should provide:

1. Capability commensurate with an agency's essential functions
2. Ability to communicate with essential personnel
3. Ability to communicate with other agencies, organizations, and customers
4. Access to data and systems
5. Communications systems for use in situations with and without warning
6. Ability to support COOP operational requirements
7. Ability to operate at the alternate facility within 12 hours for up to 30 days
8. Interoperability with existing field infrastructures

If a COOP emergency requires you to move operations to a warm or cold site, relocation to an alternate facility will require new phone systems. Propagation of new contact information will have to occur at a rapid pace. Communication needs should be captured in Annex K, Alternate Communication Methods of your COOP plan.

- Office phone systems: If the alternate facility is sufficiently large, it may be necessary to replicate existing PBX and voice-mail systems. These systems should allow calls to be transferred between offices, allow callers to be placed on hold, and ensure that outbound calls can be made regardless of inbound call volume.
- Fax machines: Acquire two fax machines. Assign one to be used for inbound faxes and determine if it will be possible to re-direct the phone number usually used for fax communications to the new site during an emergency. Assign the other fax machine to be used for inbound and outbound communications using any available analog line.
- Telecomm infrastructure: Sufficient trunk lines should be installed in advance. This can typically be done at the same time that new data communications links are installed. Determine ahead of time if

existing phone numbers can be re-directed to the alternate facility, and identify the procedure for doing so.

- Alternatives: Cell phones, two-way radios, CB, GETS cards, satellite phones and other means of communicating should be identified in advance. Use of local amateur radio resources should be considered when developing the plan.
- Redundancy: Whenever possible, multiple means of communication should be established. Damage to the local phone service may make it unreliable. As well, contacting personnel that have been forced to relocate may be impossible. The strain on the cell phone network typical during emergencies may make it unreliable as well.
- Contact information:
  - Disseminate contact information for the alternate locations to all departments in writing.
  - Maintain copies of other departments' contact information at the alternate locations.
  - Establish a schedule for updating the information on at least a quarterly basis.
  - Maintain a hardcopy list of emergency contact information for all personnel, including, if possible, personal email addresses, cell phone numbers, and phone numbers for probable evacuation locations.
  - Do not rely on intranets or other on-line directories for contact information, as it may not be available during the initial hours of an emergency.

## **X. TEST, TRAINING, AND EXERCISES**

This section should address the organization's Test, Training, and Exercise (TT&E) Plan. Tests, training, and exercises familiarize staff members with their roles and responsibilities during an emergency, ensure that systems and equipment are maintained in a constant state of readiness, and validate certain aspects of the COOP plan. Managers may be creative when it comes to COOP readiness and include snow days, power outages, server crashes, and other ad-hoc opportunities to assess preparedness.

COOP TT&E plans should provide:

1. Individual and team training of agency personnel
2. Internal agency testing and exercising of COOP plans and procedures
3. Testing of alert and notifications procedures
4. Refresher orientation for COOP personnel
5. Joint interagency exercising of COOP plans, if appropriate

## **XI. MULTI-YEAR STRATEGY AND PROGRAM MANAGEMENT PLAN**

This section should discuss how the organization plans to develop its Multi-Year Strategy and Program Management Plan (MYSPMP). The MYSPMP should address short and long term COOP goals, objectives, timelines, budgetary requirements, planning and preparedness considerations, and planning milestones or tracking systems to monitor accomplishments. It should be developed as a separate document.

## **XII. COOP PLAN MAINTENANCE**

This section should address how the organization plans to ensure that the COOP plan contains the most current information. Federal guidance states that organizations should review the entire COOP plan at least annually. Key evacuation routes, roster and telephone information, as well as maps and room/building designations of alternate locations should be updated as changes occur. The annual review should also include an updated risk assessment for the following plan components: alternate facilities, vital record implementation plans, and mission critical systems. Distribution of updated departmental COOP plans should include the DIT, so that impacts on the DIT COOP plan may be assessed.



**APPENDIX I**  
**TEMPLATE ANNEXES**





### ANNEX A - ESSENTIAL FUNCTIONS

The following charts identify the responsible position titles for Categories 1 and 2 functions, **in order of priority**.

Category 1 Functions		Title of Responsible Position
1		
2		
3		
4		

Category 2 Functions		Title of Responsible Position
1		
2		
3		
4		

Insert Department/Agency Name is comprised of Insert Number business units. These business units work together to support the department's essential functions. Each business unit and its responsibilities for supporting the aforementioned essential functions are described in the following table.

Business Unit	Essential Function Support Duties





## ANNEX B - AUTHORITIES AND REFERENCES

Robert T. Stafford Disaster Relief and Emergency Relief Act, PL 93-288,  
as amended

Code of Federal Regulations, Title 44

Code of Federal Regulations, Title 41, Part 101-20.103-4

Code of Federal Regulations, Title 36, Part 1236

Federal Preparedness Circular 65

Federal Response Plan

National Fire Protection Association 1600

National Response Plan

Code of Virginia, Title 44-146

Code of Virginia, Title 15.2-1413

Commonwealth of Virginia Emergency Operations Plan, Volumes I-VIII

Fairfax County Code, Chapter 14

Fairfax County Emergency Operations Plan

Insert Title of Relevant Departmental/Agency Plans





**ANNEX C - ALTERNATE FACILITIES**

Facility Name	Facility Address	Agreement Type and Date	Annual Cost	Comments

Risk assessments have been performed for each of the aforementioned facilities and are attached to this Annex.

The process for invoking use of the alternate facilities is:

- 1.
- 2.

Maps and driving directions from the primary operating facility to the alternate facilities are attached.

The Advance Team that will be deployed to the alternate facility to make it ready for use consists of the following personnel:

Name	Position Title	E-mail Address	Office Phone	Home Phone	Cell Phone	Advance Team Responsibilities



## ANNEX D - GO-KITS

A departmental go-kit will include copies of the Fairfax County Emergency Operations Plan (EOP), the department EOP, the department COOP, call-down lists, other vital records (described in Annex E) and alternate department operating locations with maps to these locations. The go-kit will also contain a laptop computer loaded with department facility locations, essential human resources and payroll information, and department-specific software. Copies of forms needed to continue providing essential services as well as forms that can be used to perform work manually should computer systems not be working properly will be included in the go-kit.

Essential personnel may want to also have a personal go-kit that includes personal care items. Some recommended items include:

- A change of clothing
- Personal hygiene items (soap, shampoo, etc.)
- Drinking water
- Non-perishable food/snacks
- Eating utensils
- Flashlight
- Batteries
- Portable radio
- Blanket
- First aid kit/first aid items
- Prescription medicines
- Contact lenses and solution



**ANNEX E - VITAL RECORDS/DATABASES**

Vital Record	Type of Record	Description	Format of Record	Location

Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Backed up at Third Location

Copies of Memoranda of Understanding and Memoranda of Agreement are attached.

Insert position title is responsible for ensuring that vital records are available at the alternate facility during COOP operations, and that these records are returned to their correct locations when COOP operations cease. In the case of storage with outside vendors, Insert position title will also maintain the roster individuals authorized to access these records. The following procedures are necessary to retrieve records from the aforementioned storage locations:

- 1.
- 2.

The following staff members are authorized to access off-site records:

- 1.
- 2.





The agency's vital records are maintained and backed up on a regular basis. The following table summarizes the maintenance and backup schedule and individuals responsible for overseeing this process.

Vital Record/Database	Maintenance Frequency	Protection Methods	Responsible Staff Member





**ANNEX F - LINES OF SUCCESSION**

<b>Key Department Position</b>	<b>Lines of Succession</b>
	1.
	1.
	1.
	1.

<b>Departmental Division</b>	<b>Lines of Succession</b>
	1.
	1.
	1.
	1.





**ANNEX G - DELEGATIONS OF AUTHORITY**

<b>Authority</b>	<b>Position Holding Authority</b>	<b>Triggering Conditions</b>	<b>Limitations to Delegated Authority</b>	<b>Delegated Purchasing Authority</b>





### ANNEX H - MISSION CRITICAL SYSTEMS

The following table prioritizes mission critical systems and IT systems:

System Name	Priority	Current Location	Other Locations	Dependencies

The following table indicates system requirements and activation procedures:

Insert System Name Minimum Requirements and Activation		
Minimum Requirements		
Activation Procedures		
Server Hardware		
End User Hardware		
Software		
Communications		
Dependencies		
Special Considerations		
Activation Procedures		

*Note: A separate table should be completed for each mission critical system.*





### ANNEX I - LOGISTICS

Agency employees will be notified of the intent to activate and de-activate the COOP using standard protocols whenever possible. Employees will be notified by telephone, pager, two-way radio, and/or e-mail of a change in COOP status. This information also will be available on the agency's employee information line and intranet site. Employees will be notified of a change in COOP status based on the category of the essential function that they perform. Employees who perform Category 1 work will be notified first, then employees who perform Category 2 work, etc.

#### Employee Roster

Category	Employee Name	Position	Email Address	Work Phone Number	Home Phone Number	Cell Phone/Pager Number
1		Director				
1						
2						
2						
3						
3						





Key vendors and customers also will be notified of the intent to activate and deactivate the COOP plan. Notification will occur using usual methods such as land line telephone, cellular telephone, or e-mail.

**Vendor Roster**

Service	Vendor	Point of Contact	Contact Information	Main Number

**Customer Roster**

Customer	Services Provided to Customer	Point of Contact	Telephone Number	E-mail Address





The following equipment and supplies, including software and desktop and laptop computers, will be required by Insert Department/Agency to be able to continue its essential functions from the alternate facility.

Equipment	Quantity	Pre-Positioned	Hand-Carried	To Be Ordered

Supplies/Consumables	Quantity	Pre-Positioned	Hand-Carried	To Be Ordered

Replacement personnel may be required to implement the COOP. Insert position title has the authority to fill vacant positions. The following skills or knowledge is required to carry out essential functions:

Postion	Skills





**ANNEX J - COOP PLANNING ASSIGNMENTS**

<b>Responsibility</b>	<b>Position</b>
Update COOP plan annually.	
Update telephone rosters monthly.	
Review status of vital files, records, and databases.	
Conduct alert and notification tests.	
Develop and lead COOP training.	
Plan COOP exercises.	





**ANNEX K - ALTERNATE COMMUNICATION METHODS**

<b>Communication Method/System</b>	<b>Providers</b>	<b>Alternate Method #1</b>	<b>Alternate Method #2</b>



## **ANNEX L – TESTING, TRAINING, AND EXERCISE SCHEDULE**

### Quarterly:

- Test COOP alert, notification, and activation procedures
- Test COOP communications equipment
- Test COOP communications protocols

### Semi-Annually:

- Test vital records implementation and recovery plan
- Test data recovery plan

### Annually:

- Test infrastructure at alternate facility, to include power, backup power, heating, cooling, water, and sewer
- Conduct COOP training for essential personnel
- Conduct COOP training of Advance Team
- Conduct exercise that involves the pre-planned movement of essential personnel to an alternate facility
- Conduct after-action review of COOP exercise



### ANNEX M - COOP PLAN MAINTENANCE TIMELINE

Start Date: \_\_\_\_\_

Three months from Start Date:

- Update Annex A, Essential Functions
- Update Annex C, Alternate Facilities (include risk assessments from guidance document or other source, addresses, costs, and maps)
- Update Annex E, Vital Records/Databases
- Update Annex F, Lines of Succession
- Update Annex G, Delegations of Authority
- Update Annex H, Mission Critical Systems
- Update Annex I, Logistics

Six months from Start Date:

- Update Annex D, Go-Kits
- Update Annex K, Alternate Communications Methods

Twelve months from Start Date:

- Update Annex B, Authorities and References
- Update Annex J, COOP Planning Assignments
- Update department's Business Impact Analysis
- Perform comprehensive review of COOP Plan

If a situation occurs that causes activation of this COOP Plan, the timeline for updating the plan will be modified. The new start date should coincide with the date of the after-action review.





## ANNEX N - COOP CHECKLIST OF PLAN ELEMENTS

1.  Identify Agency/Department Critical Functions
  - Mission Critical functions
  - Immediate Post-Incident functions
  - Normal Services, non-critical
  
2.  Identify Appropriate Authorities/References  
(legal, financial, contracting, human resources, delegations, etc.)
  
3.  COOP Activation Process
  - Known threats, w/warning
  - Unanticipated threats, no warning, non-duty hours
  - Unanticipated threats, no warning, duty hours
  - Who activates?
  - How?
  - At what stage?
  
4.  Alert/Notification
  - Primary and back-up system for notifying
    - o Employees
      - Advance Team
      - Essential employees
      - All other employees
    - o County executive
    - o Other departments
    - o The public
  - Duty hour vs. non-duty hour notification
  - Standard notification messages
  
5.  Relocation Plans
  - Functions to be relocated
  - Alternate locations (telework, departmental facility, facility of another department, stand-alone new facility)
  - Contents of, owners of go-kits
  - Match all staff with relocation option
  - Transportation to alternate facility
  - Emergency relocation SOP's, instructions for staff
  - On-going communication with employees (information line, post to county/department web-site)
  - Logistics (site acquisition agreements, services, personnel, resources, equipment)
  - Mission critical systems
    - o Which systems are mission critical
    - o Plan to recover/replicate mission critical systems





6.  Succession Plan

- Written Line of succession for key leaders, managers and essential employees
- Delegations of authority
- Devolution strategy

7.  Files/Records/Data Bases

- Identify vital files, records, databases needed to support essential functions
- Back-up system (minimum monthly) for vital records
- Secure location for backed-up records
- Business unit or person responsible for maintenance
- RTO established

8.  Planning responsibilities

- Assign COOP planning responsibilities
- Assign COOP training responsibilities
- Training Curriculum, exercise schedule, system tests
- Multi-year strategy, budgeting, program management plan, COOP maintenance.





### COOP CHECKLIST OF PLAN ELEMENTS

This checklist is intended to be used as a tool by the COOP Oversight Committee for review of each phase and to ensure that each agency’s COOP plan contains all elements. The agency coordinator should indicate in the “Section” and “Page” columns the location in the plan where the required element is addressed/included. A reviewer from the Fairfax County COOP Oversight Committee and/or The Office of Emergency Management will initial in the appropriate box after they have confirmed that the required plan element is included in the section/page indicated by the agency coordinator. This document will be included in the COOP Committee feedback discussions.

Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<b>I. Executive Summary</b>				
▪ Introduces concept of COOP planning				
▪ Establishes reason for completing COOP plan				
<b>II. Introduction</b>				
▪ Lists objectives of developing a COOP plan				
<b>III. Purpose</b>				
▪ Discusses why the plan was formulated				
▪ Explains the overall purpose for COOP planning				
<b>IV. Applicability and Scope</b>				
▪ Describes applicability of plan to the organization				
▪ Applies to wide range of disaster causes (natural and man-made)				
▪ Applies to wide scope of disasters (localized or widespread)				
▪ Plan is intended to reduce/mitigate disruptions to operations				





Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<b>V. Essential Functions</b>				
▪ Identifies which functions must be continued under all circumstances				
▪ Considers functions that cannot be disrupted for more than 12 hours				
▪ Prioritizes the essential functions				
▪ Establishes staffing requirements to perform these functions				
▪ Identifies mission critical data required to perform these functions				
▪ Identifies consumable office supplies needed to support essential functions				
▪ Includes a roster of essential personnel who perform these functions				
▪ Identifies any special skills required to perform essential functions				
▪ Identifies other critical resources needed to perform essential functions				
<b>VI. Authorities and References</b>				
▪ Identifies relevant Federal laws and authorities				
▪ Identifies relevant State laws and authorities				
▪ Identifies relevant local laws and authorities				





Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<ul style="list-style-type: none"> <li>Identifies local and/or agency emergency plans and other relevant references</li> </ul>				
<b>VII. Concept of Operations</b>				
<ul style="list-style-type: none"> <li>Establishes that essential functions must resume within 12 hours of an emergency and be sustainable for 30 days</li> </ul>				
<b>VII.A. Phase I: Activation and Relocation</b>				
<ul style="list-style-type: none"> <li>Describes conditions under which COOP plan may be activated</li> </ul>				
<ul style="list-style-type: none"> <li>Discusses COOP plan activation with warning</li> </ul>				
<ul style="list-style-type: none"> <li>Discusses COOP plan activation without warning during duty hours</li> </ul>				
<ul style="list-style-type: none"> <li>Discusses COOP plan activation without warning during non-duty hours</li> </ul>				
<b>VII.A.1. Decision Process</b>				
<ul style="list-style-type: none"> <li>Identifies who has authority to activate the COOP plan</li> </ul>				
<ul style="list-style-type: none"> <li>Identifies a process for decision-making</li> </ul>				
<b>VII.A.2. Alert, Notification, and Implementation Process</b>				
<ul style="list-style-type: none"> <li>Provides for notification of alternate facility</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for notification of essential employees</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for notification of non-essential employees</li> </ul>				





Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<ul style="list-style-type: none"> <li>Provides for notification of County officials</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for movement of employees to alternate facilities</li> </ul>				
<ul style="list-style-type: none"> <li>Includes maps and directions to alternate facility from primary facility</li> </ul>				
<b>VII.A.3.a. Orders of Succession</b>				
<ul style="list-style-type: none"> <li>Establishes an order of succession to the position of agency head</li> </ul>				
<ul style="list-style-type: none"> <li>Establishes orders of succession to other key leadership positions</li> </ul>				
<ul style="list-style-type: none"> <li>Describes orders of succession by position titles rather than names of individuals</li> </ul>				
<ul style="list-style-type: none"> <li>Establishes rules and procedures to be followed when facing succession to office</li> </ul>				
<ul style="list-style-type: none"> <li>Describes conditions under which succession will take place</li> </ul>				
<b>VII.A.3.b. Delegations of Authority</b>				
<ul style="list-style-type: none"> <li>Documents the legal authority for officials to make key policy decisions during a COOP emergency</li> </ul>				
<ul style="list-style-type: none"> <li>Identifies the program authorities needed to continue essential operations at all agency levels</li> </ul>				
<ul style="list-style-type: none"> <li>Delineates the limits of authority</li> </ul>				





Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<ul style="list-style-type: none"> <li>Describes the authority of an official to whom authority has been delegated</li> </ul>				
<ul style="list-style-type: none"> <li>Describes the circumstances under which authorities would be delegated and when they would cease</li> </ul>				
<b>VII.A.3.c. Devolution</b>				
<ul style="list-style-type: none"> <li>Identifies resources needed to transfer essential functions to a devolution site</li> </ul>				
<ul style="list-style-type: none"> <li>Identifies the likely triggers that would trigger the devolution option</li> </ul>				
<ul style="list-style-type: none"> <li>Specifies when and how control of agency operations will be transferred to the devolution site</li> </ul>				
<ul style="list-style-type: none"> <li>Lists necessary resources to continue operations at the devolution site</li> </ul>				
<b>VII.B. Alternate Facility Operations</b>				
<ul style="list-style-type: none"> <li>Describes arrival procedures at the alternate facility</li> </ul>				
<b>VII.B.1. Mission Critical Systems</b>				
<ul style="list-style-type: none"> <li>Identifies hardware needed at the alternate facility</li> </ul>				
<ul style="list-style-type: none"> <li>Identifies software needed at the alternate facility</li> </ul>				





Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<ul style="list-style-type: none"> <li>Identifies number of workstations needed for personnel working at alternate facility</li> </ul>				
<ul style="list-style-type: none"> <li>Identifies procedures for restoring data at alternate facility</li> </ul>				
<ul style="list-style-type: none"> <li>Identifies networking/communications needs at alternate facility</li> </ul>				
<ul style="list-style-type: none"> <li>Identifies other special needs for systems at alternate facility</li> </ul>				
<ul style="list-style-type: none"> <li>Includes procedures for bringing mission critical systems online at alternate facility</li> </ul>				
<b>VII.B.2. Vital Records and Databases</b>				
<ul style="list-style-type: none"> <li>Documents that a vital records program exists</li> </ul>				
<ul style="list-style-type: none"> <li>Assigns roles and responsibilities for maintaining the vital records program</li> </ul>				
<ul style="list-style-type: none"> <li>Addresses access to the following: local area network (LAN), vital electronic records, critical information systems, internal and external email and archives, and vital hard copy records</li> </ul>				
<ul style="list-style-type: none"> <li>Inventories emergency operating records, legal records, and financial records</li> </ul>				





Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<ul style="list-style-type: none"> <li>Provides information about accessing vital records from storage</li> </ul>				
<ul style="list-style-type: none"> <li>Determines if offsite storage, alternative storage media, and duplicate records are warranted</li> </ul>				
<ul style="list-style-type: none"> <li>Selects appropriate media for storing vital records (microfiche, disk, tape, etc.)</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for routinely updating vital records</li> </ul>				
<ul style="list-style-type: none"> <li>Vital records information is included in the go-kit (hard copies, roster of personnel overseeing plan, locations of storage facilities, access procedures, etc.)</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for training and exercising of the plan</li> </ul>				
<b>VII.C. Reconstitution</b>				
<ul style="list-style-type: none"> <li>Provides for transitioning from COOP operations to normal operations</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for notifying personnel of a return to normal operations</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for verifying that all mission critical systems and communications at the restored at the operating facility</li> </ul>				
<ul style="list-style-type: none"> <li>Requires an after-action review to be conducted</li> </ul>				





Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<b>VIII. COOP Planning Responsibilities</b>				
<ul style="list-style-type: none"> <li>Identifies position titles that are responsible for maintaining and updating the COOP plan</li> </ul>				
<ul style="list-style-type: none"> <li>Assigns specific responsibilities to those individuals</li> </ul>				
<b>IX. Logistics</b>				
<ul style="list-style-type: none"> <li>Identifies MOUs/MOAs established to support COOP plan</li> </ul>				
<b>IX.A. Alternate Facilities</b>				
<ul style="list-style-type: none"> <li>Identifies alternate facilities to be used during a COOP situation</li> </ul>				
<ul style="list-style-type: none"> <li>Includes a risk assessment for alternate facilities</li> </ul>				
<ul style="list-style-type: none"> <li>Alternate facility is able to be operational within 12 hours and sustainable for up to 30 days</li> </ul>				
<ul style="list-style-type: none"> <li>Addresses emergency power to support essential functions</li> </ul>				
<ul style="list-style-type: none"> <li>Addresses need for sufficient space to support personnel performing essential functions</li> </ul>				
<ul style="list-style-type: none"> <li>Considers needs of personnel for food, personal hygiene, and possibly housing</li> </ul>				





Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<ul style="list-style-type: none"> <li>Addresses transportation requirements at the alternate facility (if needed)</li> </ul>				
<ul style="list-style-type: none"> <li>Addresses security at the alternate facility</li> </ul>				
<ul style="list-style-type: none"> <li>Addresses maintenance of the alternate facility</li> </ul>				
<b>IX.B. Interoperable Communications</b>				
<ul style="list-style-type: none"> <li>Addresses a range of communication methods</li> </ul>				
<ul style="list-style-type: none"> <li>Addresses the ability to communicate with agency personnel, other agencies, and County leadership</li> </ul>				
<ul style="list-style-type: none"> <li>Addresses ability to communicate with customers</li> </ul>				
<ul style="list-style-type: none"> <li>Includes access to data and voice systems</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for redundant communications systems</li> </ul>				
<ul style="list-style-type: none"> <li>Addresses communications systems must be up and running within 12 hours and for up to 30 days</li> </ul>				
<b>X. Test, Training, and Exercises</b>				
<ul style="list-style-type: none"> <li>Establishes a COOP test, training, and exercise program</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for quarterly testing of COOP alert, notification, and activation procedures</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for quarterly testing of COOP communications abilities</li> </ul>				





Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<ul style="list-style-type: none"> <li>Provides for semi-annual testing of vital records implementation and recovery plans</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for semi-annual testing of data systems and recovery</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for annual testing of primary and backup systems at alternate facilities (e.g., power, fuel, water)</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for annual training of essential personnel</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for annual training of Advance Team personnel</li> </ul>				
<ul style="list-style-type: none"> <li>Includes an annual exercise that incorporates pre-planned movement of essential personnel to an alternate facility</li> </ul>				
<ul style="list-style-type: none"> <li>Provides for an after-action review of COOP exercises</li> </ul>				
<b>XI. Multi-Year Strategy and Program Management Plan</b>				
<ul style="list-style-type: none"> <li>Identifies short-term COOP program goals and objectives</li> </ul>				
<ul style="list-style-type: none"> <li>Identifies long-term COOP program goals and objectives</li> </ul>				
<ul style="list-style-type: none"> <li>Establishes timelines to achieve COOP program objectives</li> </ul>				
<ul style="list-style-type: none"> <li>Establishes budgetary requirements needed to support COOP program</li> </ul>				





Required Element	Section	Page	Fairfax County Reviewer	Reviewer
<ul style="list-style-type: none"> <li>Addresses additional program planning and preparedness needs for personnel and resources</li> </ul>				
<ul style="list-style-type: none"> <li>Identifies planning and implementation milestones</li> </ul>				
<ul style="list-style-type: none"> <li>Creates a tracking system to monitor program progress and identify achievements</li> </ul>				
<b>XII. Plan Maintenance</b>				
<ul style="list-style-type: none"> <li>Establishes a schedule for COOP testing and revision</li> </ul>				
<ul style="list-style-type: none"> <li>Requires review of COOP plan at least annually</li> </ul>				
<ul style="list-style-type: none"> <li>Requires update of risk assessments for alternate facilities</li> </ul>				
<ul style="list-style-type: none"> <li>Requires update of department's Business Impact Analysis</li> </ul>				
<ul style="list-style-type: none"> <li>Requires update of personnel contact information</li> </ul>				
<ul style="list-style-type: none"> <li>Requires update of maps and driving directions</li> </ul>				



## ANNEX O – GLOSSARY OF COOP RELATED TERMS

---

<b>Advance Team</b>	A working group responsible for coordinating the activities associated with relocation planning and deployment of essential operations and positions during a COOP event.
<b>After-Action Report (AAR)</b>	A narrative report that presents issues found during an exercise or an incident and recommendations on how those issues can be resolved.
<b>Alternate Database/Records Access</b>	The duplication and/or backup of vital resources and records, and the ability to access such resources and records in the event that the COOP plan is put into effect.
<b>Alternate Facilities/Work Site</b>	A location, other than the normal facility, used to conduct critical functions and/or process data in the event that the primary facility is inaccessible or damaged. The alternate site provides the capability to perform minimum essential department or office functions until normal operations can be resumed.
<b>Alternate Communications</b>	Communication methods that provide the capability to perform minimum essential department or office functions until normal operations can be resumed.
<b>Application Recovery</b>	The component of IT Disaster Recovery which deals specifically with the restoration of business system software and data, after the processing platform has been restored or replaced.
<b>Assessment</b>	The act of assessing; appraisal.



**Backup**

The practice of copying information, regardless of the media (paper, microfilm, audio or video tape, computer disks, etc.) to provide a duplicate copy.

**Business Continuity Plan**

Process of developing advance arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions continue with planned levels of interruption or essential change.

**Business Impact Analysis (BIA)**

An evaluation of the strengths and weaknesses of an agency's disaster preparedness and the impact an interruption would have on agency business. This is a management level analysis by which an organization assesses the quantitative (financial) and qualitative (non-financial) impact and loss.

**Business IT Recovery Process**

The common critical path that all companies follow during a recovery effort. There are major nodes along the path, which are followed regardless of the organization. The process has seven stages: 1) Immediate response, 2) Environmental restoration, 3) Functional restoration, 4) Data synchronization, 5) Restore business functions, 6) Interim site, and 7) Return home.

**Call-Down List**

Cascading list of key agency personnel and outside emergency personnel in order of notification.

**Chain of Communication**

A list of names of agency personnel in the order that they will be notified in the event of an emergency; persons on the list may be responsible for communicating information to their subordinates in the agency and to those lower on the list.



<b>Cold Site</b>	A relocation site that is reserved for emergency use, but which requires the installation of equipment, etc., before it can support operation.
<b>Continuity of Government</b>	The effort to ensure continued leadership, authorities, direction and control, and preservation of records, thereby maintaining a viable system of government.
<b>Continuity of Operations</b>	An internal effort within individual components of the government to assure that capability exists to continue essential component function across a wide range of potential emergencies through a planning document.
<b>Continuity of Operations Plan (COOP)</b>	<p>A COOP provides guidance on the system restoration for emergencies, disasters, mobilization, and for maintaining a state of readiness to provide the necessary level of information processing support commensurate with the mission requirements/priorities identified by the respective functional proponent.</p> <p>Planning document which outlines <i>how</i> essential agency functions will continue across a wide range of potential emergencies.</p>
<b>COOP Plan Maintenance</b>	Steps taken to ensure the COOP plan is reviewed annually and updated whenever major changes occur.
<b>Cooperative Agreement</b>	Any formal, legally binding contract between two or more parties whereby the parties to that agreement agree to either share an alternate facility.
<b>Coordinate</b>	To advance systematically an exchange of information among principals who have or may have a need to know certain information in order to carry out their role in a response.

<b>Critical Processes &amp; Services</b>	Activities, which could not be interrupted or unavailable without significantly jeopardizing operations of the organization.
<b>Delegation of Authority</b>	Pre-delegated authorities for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as appropriate.
<b>Devolution</b>	The transfer of authority for decision-making, finance, management, and operations from one government agency or division to another.
<b>Disaster Recovery</b>	Activities and programs designed to return the entity to an acceptable condition. The ability to respond to an interruption in services by implementing a disaster recovery plan to restore an organization's critical business functions.
<b>Emergency</b>	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 and equipment from the site to a new operating location environment.
<b>Emergency Operations Plan</b>	A plan that provides facility-wide procedures for emergency situations that generally includes personnel safety and evacuation procedures.
<b>Emergency Operations Center (EOC)</b>	The site from which government officials (municipal, county, State and Federal) exercise direction and control in an emergency.



<b>Emergency Operating Records</b>	Records (plans and directives, orders of succession and delegation of authority) essential to the continued functioning of an agency during and after an emergency to ensure continuity of operations.
<b>Essential Functions</b>	Those functions that enable County agencies to provide vital services, exercise civil authority, maintain the safety and well being of the citizens, sustain the industrial/economic base in an emergency.
<b>Essential Positions or Personnel</b>	Those positions required to be filled by the local government or deemed essential by the State or individuals whose absence would jeopardize the continuation of an organization's essential functions.
<b>Evacuation</b>	Organized, phased, and supervised dispersal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.
<b>First Responder</b>	Police, fire and rescue, and emergency medical personnel who first arrive on the scene of an incident and take action to save lives, protect property, and meet basic human needs.
<b>Hot Site</b>	A fully equipped facility, which includes stand-by computer equipment, environmental systems, communications capabilities, and other equipment necessary to fully support an organization's immediate work and data processing requirements in the event of an emergency or a disaster.
<b>Interoperability</b>	The ability of a system or a product to work with other systems or products without special effort on the part of the user.



**IT Disaster Recovery Plan**

Plan that provides recovery and restoration procedures for mission-critical information technology (IT) components/systems that are necessary to perform mission-critical business functions. This plan does not provide contingency planning guidance for business processes. Business processes should be addressed in a business resumption or business continuity plan that is typically developed by non-IT staff.

**Legal and Financial Records**

Records (personnel records, social security records, payroll records, insurance records, contracts, etc.) essential to the protection of the legal and financial rights of an agency and of the individuals directly affected by the agency's activities.

**Mission Critical Functions**

Activities, which could not be interrupted or unavailable without significantly jeopardizing operations of the organization.

**Mutual Aid Agreement**

As between two or more entities, public and/or private, the pre-arranged rendering of services in terms of human and material resources when essential resources of one party are not adequate to meet the needs of a disaster or other emergency. Financial aspects for post-disaster or post-emergency reimbursements may be incorporated into the agreement.

**Non-critical Processes**

Business processes or supporting information which could be interrupted or unavailable for a significant period of time (generally several weeks) without significantly jeopardizing the critical functions of an organization.



<b>Non-vital Records</b>	Records or documents which are important but if irretrievably lost or damaged will not materially impair the organization's ability to conduct business.
<b>Occupant Evacuation Plan (OEP)</b>	provides facility-level procedures for occupants of a facility in the event of a situation posing a potential threat to the health and safety of personnel, the environment, or property. This plan includes planning for personnel safety and evacuation. This plan is not an IT system functionality based plan and can therefore be implemented separately.
<b>Order of Succession</b>	A list that specifies by position who will automatically fill a position once it is vacated during an emergency.
<b>Point of Contact</b>	The coordinator of the COOP program and leader of the COOP team, who will implement COOP plan during an emergency.
<b>Preventative Controls</b>	Measures in place to prevent loss of function of systems and of data critical to an agency's essential functions.
<b>Primary Facility</b>	The site of normal, day-to-day operations.
<b>Rapid Recall List</b>	Cascading list of key agency personnel and outside emergency personnel in order of notification.
<b>Reconstitution</b>	The process by which surviving and/or replacement personnel resume normal operations from the original or replacement primary operation facility.
<b>Recovery Point Objective (RPO)</b>	The point in time to which data must be restored in order to resume processing transactions. In an IT context, the amount of data that can be lost measured by a time index.





<b>Recovery Time Objective (RTO)</b>	The period of time within which systems, applications, or functions must be recovered after an outage.
<b>Relocation Site (Alternate Facility)</b>	The site where all or designated employees will report for work if required to move from the primary facility.
<b>Risk Assessment/Analysis</b>	An evaluation of the probability that certain disruptions will occur and the controls to reduce organization exposure to such risk.
<b>Staging Area</b>	Temporary location for personnel, supplies, and/or equipment to enable positioning of, and accounting for, resources not immediately assigned.
<b>Standard Operating Procedures</b>	Protocol for the conduct of regular operations.
<b>Vital Records and Systems</b>	Records or documents, regardless of media (paper, microfilm, audio or video tape, computer disks, etc.) which, if damaged or destroyed, would disrupt business operations and information flows and cause considerable inconvenience and require placement or re-creation at considerable expense.
<b>Warm Site</b>	An alternate processing site which is equipped with some hardware, and communications interfaces, electrical and environmental conditioning which is only capable of providing backup after additional provisioning, software or customization is performed.



## ANNEX P - PANDEMIC INFLUENZA PLANNING CHECKLIST

### ADDITIONAL CONSIDERATIONS FOR PANDEMIC INFLUENZA (OR OTHER SIGNIFICANT HEALTH EMERGENCIES)

Using the following checklist as a tool, agencies should use this to capture any additional continuity of operations response information specific to the conditions of a pandemic. The intention of this annex is **not to duplicate information** but for agencies to capture information that is either an exception to or in addition to what is contained in their agency COOP. For example, in assessing essential functions, your agency may do so differently in a pandemic than in another type of emergency. In your COOP, you have been asked to plan for the continuation of operations under emergency conditions for a period of up to 30 days. In a pandemic, staffing could be reduced to almost half of normal capacity and the emergency could continue in waves of 6-8 weeks for an unknown period of time.

In such extreme conditions, an agency's essential functions may be scaled down even further compared to another type of emergency. In some cases an agency may even determine that their normal lines of business would not be considered essential in a pandemic and instead their critical function might be to redeploy staff to support other critical county functions/services.

As agencies work through the checklist they will either determine that the pandemic response is the same as indicated in their COOP or they will have additional information to put into the annex. In the first example, the agency should simply reference "*same as response identified in COOP.*" In the latter instance, agencies should capture the relevant information and provide it in a narrative form in this annex. For additional resource information, agencies should refer to the Fairfax County Influenza Response Plan at <http://www.fairfaxcounty.gov/emergency/pandemicflu/countyplan.pdf>

## **Pandemic Influenza Planning Checklist for Fairfax County Agencies**

The following checklist is intended to assist agencies in generating discussion and addressing continuity of operations concerns associated with Pandemic Influenza planning. It is assumed that agencies will facilitate discussions and conduct planning exercises that will focus upon scenarios in which the entire globe would be faced with a pandemic event that places extreme demands upon the Country's standard operational norms. This checklist is merely a planning tool and is intended to help agencies address related topics of preparedness.

While we may or may not face a pandemic near term, experts seem to agree that when we do face a Pandemic such as one that could stem from H5N1, as much as 25-40% of our workforce might be absent caring for loved ones, or from illness themselves.

We have all dealt with localized incidents that paralyze our daily functions for a few days during a snow storm. But, it is wise to plan beyond those instances, and be prepared to address challenges that have sustained global impact outside of our control. You know your business, but when planning, consider how reduction of your service affects others, and how the reduction of those who serve you impacts your ability to do business. In this instance when considering critical services it is asked that you think in terms well outside of your traditional planning and consider that systems will be taxed and technology will be overwhelmed if, or when we face such a challenge.

RESPONSIBILITY & STATUS			CORE ISSUES
CRITICAL FUNCTIONS & POSITIONS	STARTED	COMPLETED	<p>When addressing critical services keep in mind that we are planning for an escalating loss of personnel with longer durations than our standard emergency. Value might be derived from looking at this similar to budget planning when identifying/prioritizing lines of business and identifying vulnerabilities.</p> <p>Inventory &amp; prioritize the following:</p> <ul style="list-style-type: none"> <li><u>Critical Services</u> [Without these services, critical components of the County would not function. Example, DVS must provide fuel to ensure ambulance service. ] What impact will occur without the service?</li> <li><u>Non-Critical Services</u> [Important, but are not deemed critical to sustain County services. Example, Police crime prevention services.] What impact will occur without the service?</li> </ul>
	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
APPROPRIATE AUTHORITIES	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <li>Assign key staff with the authority to develop, maintain and act upon influenza pandemic preparedness and response plan.</li> <li>Determine who will serve as your Agency Pan-Flu Liaison (should be critical thinker, facilitator and have an overall knowledge of Agency).</li> <li>Appropriate authorities will determine the potential impact of a pandemic on your Department/Division's usual activities and services. Plan for situations likely to result in an increase, decrease or alteration of services you deliver.</li> <li>Determine the potential impact of a pandemic on outside resources or services that your Department/Division depends on to deliver service.</li> </ul>
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	

RESPONSIBILITY & STATUS			CORE ISSUES
<b>COMMUNICATION STRATEGY</b>	<input type="checkbox"/>	<input type="checkbox"/>	<p>You should begin involving and educating your employees at all levels about influenza pandemic preparedness. The County has and will continue to provide additional resources (see web page) to assist with educating your employees.</p>
	<input type="checkbox"/>	<input type="checkbox"/>	<p>Determine how you will communicate with your employees and critical staff on a scheduled basis during a pandemic.</p>
	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Who needs to be notified or included in communications?</li> </ul>
	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• How will communications occur?</li> </ul>
	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• What will be the frequency of communication (pre-scheduled to minimize capacity demands)?</li> </ul>
	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• How will you carry out pulse checks regarding: staffing, service demands, morale, etc?</li> </ul> <p>Determine the number of critical staff that would need access to teleconference or video conference equipment. This will assist DIT in their efforts to address systems capacity.</p> <p>Some agencies already have scheduled communications or briefings. To assist DIT with systems load management identify existing or desired communications options and schedule. For example, police and fire roll calls with field personnel occur at pre-scheduled re-occurring times.</p> <p>This information may assist if prioritization of technology usage is required. (For example off-hour teleconferences, rotational schedule such as Health Department every a.m. at 0900 hours, DVS every Wednesday at 0600 hours, etc).</p>



RESPONSIBILITY & STATUS			CORE ISSUES
<b>SERVICE AND OPERATIONS METHODS</b>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Consider that during a pandemic, systems will likely be taxed and prioritization must occur to sustain services.</p> <p><u>Service Methodology</u></p> <ul style="list-style-type: none"> <li>Determine how you will assess service demands. Examples: Projected number of on-line users at peak times, projected number of facility visitors during a pandemic.</li> <li>Consider how select services may be offered through non-traditional means. Example: Police expanding the types or incidents permitted to be reported by phone vs. in-person.</li> <li>Determine how you will take services off-line or reinstate them.</li> </ul> <p>Example: During an ice storm, police might modify their accident reporting policy to ensure the highest priority events are addressed. A designated commander then reinstates normal reporting procedures based on call volume and staffing.</p> <p><u>Identify telework options</u></p> <ul style="list-style-type: none"> <li>List who are critical users (remember this is trying to ensure critical services are sustained).</li> <li>Determine how you will manage usage to avoid system overload.</li> <li>Determine how many employees currently have on-line or remote access capacity.</li> <li>Determine how many employees truly need on-line or remote access capacity (mode of access?).</li> <li>What would occur if DIT only offers select services to prioritized groups at scheduled times.</li> </ul> <p><u>List what services can be supported by volunteers, retirees, private service providers</u></p> <ul style="list-style-type: none"> <li>How would this occur?</li> <li>What training is required?</li> </ul> <p><u>Identify what policies/laws would need to be modified to accommodate required change in service methodology</u> In some instances purchasing is required to hold public forums associated with bids. Would a business change require code amendments?</p>
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	





RESPONSIBILITY & STATUS			CORE ISSUES
	<input type="checkbox"/>	<input type="checkbox"/>	<p><u>Review the most critical functions that may value by implementing some type of quarantine at work in the most critical periods</u> Example: Are there some functions that are so critical that it may be wise to house the employee and or their family either at or near the workplace.</p>
LINES OF SUCCESSION	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <li>Establish a written line of succession for key leaders, managers and essential employees.</li> <li>Determine how authority will be delegated or transitioned.</li> <li>Identify and train essential staff (including full-time, part-time, retirees, and unpaid or other volunteer staff.)</li> <li>Outline what the organizational structure will be during an emergency. The outline should identify key contacts with multiple backups, roles and responsibilities, and who is to report to whom (NIMS model).</li> <li>Determine what skill sets or knowledge is needed to sustain critical services.</li> <li>Evaluate and list positions with skill sets that can be shared or cross-trained and what positions could be reallocated to like functions elsewhere in the Agency or County.</li> </ul>
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
CRITICAL FILES/RECORDS OR DATABASES	<input type="checkbox"/>	<input type="checkbox"/>	<p>Keep in mind that a pandemic is global and that system access must be prioritized to minimize systems overload:</p> <ul style="list-style-type: none"> <li>Determine what the critical systems are that need to be running to support critical services/functions.</li> <li>List and prioritize what systems could be taken off-line to maximize capacity.</li> <li>Determine how employees could access vital files, records, databases needed to support critical services/functions:</li> <li>Removable Drives, Citrix, Phone, Hard Copy Records, On-Line, etc</li> </ul>
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	
	<input type="checkbox"/>	<input type="checkbox"/>	



RESPONSIBILITY & STATUS			CORE ISSUES
AGENCY POLICY CONSIDERATIONS	<input type="checkbox"/>	<input type="checkbox"/>	<p>DHR is working on leave and compensation-related matters to assist in guiding policy in these areas (TBD).</p> <p>Assess Agency Policies for compatibility with circumstances unique to a pandemic.</p> <p>Many agencies have agency-specific policies that interpret County policy for specific work areas. In the event of a pandemic, flexibility to react to changing conditions is critical for continuation of critical functions. As a result, agencies must assess agency-specific policies to ensure that they are conducive to protocol introduced during a pandemic as well as compatible to any changes to County policy to respond to a pandemic.</p> <ul style="list-style-type: none"> <li>Evaluate and resolve policy conflict to ensure recommended responses are capable of implementation. (For example, BOS meetings via video conference from remote sites would require code change. What impact does postponement of performance evaluations have?</li> </ul>
PERSONAL PROTECTION AND BASIC SUPPLIES FOR YOUR EMPLOYEES	<input type="checkbox"/>	<input type="checkbox"/>	<p>Determine what number of employees will be performing under critical-service conditions that would have <u>unavoidable</u> face-to-face contact requiring Personal Protective Equipment (PPE) <u>sustaining critical services</u>.</p> <ul style="list-style-type: none"> <li>Face mask</li> <li>Eye protection</li> <li>Hand cleaner</li> <li>Surface cleaner</li> </ul> <p>The County is researching training options regarding Personal Protection and related equipment usage.</p> <p>You should evaluate what are the most critical supplies that might not be available from suppliers.</p>

RESPONSIBILITY & STATUS			CORE ISSUES
<b>FAMILY SUPPORT</b>	<input type="checkbox"/>	<input type="checkbox"/>	<p>While the County has services to offer to your employees for mental health etc it is wise to evaluate additional options of caring for one another to ensure morale and other family support during the most critical times.</p> <p>Evaluate the depth of services currently utilized.</p> <p>Consider what your Division or Department can do to assist family to either ensure sick family members do not come to work, and healthy members are able to feel confident their family is cared for so they are willing to come to work.</p>
	<input type="checkbox"/>	<input type="checkbox"/>	
<b>LOGISTICS</b>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Based on your outcome of the previous questions, your Agency's logistics needs can be better addressed. While it may not be feasible or necessary to stockpile supplies for all hazards, it is prudent to strategically obtain supplies needed do sustain critical services. This is an understandably difficult task. However if you are able to quantify these needs it may assist the County in possible submissions as large-scale orders (stock goals regarding: meals, protective equipment and office surface cleaning supplies.</p> <p>Some agencies may need to address lodging options as well.</p>
<b>TESTING</b>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Determine how your agency will test your Pan Flu plan (For example, can a tabletop exercise test the plan sufficiently?)</p> <p>Determine the frequency of testing.</p>
	<input type="checkbox"/>	<input type="checkbox"/>	



## Appendix II

# COOP Planning Worksheets







Agency Functions	Critical Processes/Services	Category





Worksheet #2

Functions Impact Analysis

Instructions: Complete this worksheet ONLY IF the function is considered to be essential (Categories 1 and 2).

Function: \_\_\_\_\_

Description: (State what services this function provides, and its relationship to other functions.) What other agencies depend on this function?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

1. The loss of this function would have the following effect on the agency (circle one):
  - a) Minor effect
  - b) Moderate effect
  - c) Catastrophic effect
  
2. This agency function can continue without its usual information systems support for the following length of time (assume that loss of support occurs during your busiest period) (check one):
 

_____ hours	_____ up to 2 days
_____ up to 1 day	_____ up to 1 week
_____ up to 3 days	_____ other (please specify)
_____ up to 1 month	_____

Specify the peak times of day, days of the week, and/or times of the year (circle all that apply):

<b>Hours</b>	1	2	3	4	5	6	7	8	9	10	11	12
	13	14	15	16	17	18	19	20	21	22	23	24

**Days** Sun Mon Tues Wed Thurs Fri Sat

**Month** Jan Feb Mar Apr May Jun Jul Aug Sept Oct Nov Dec





3. Describe other peak load or stress considerations.

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4. What backup procedures (manual or otherwise) are in place to continue agency functions in the event associated applications are unavailable? How often are procedures tested?

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5. Describe legal ramifications due to the loss of this function (specify the area of exposure).

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6. Describe potential negative impacts on personnel due to the loss of this function.

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7. Describe legal ramifications due to the loss of this function (specify the area of exposure).

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8. Describe potential negative impacts on personnel due to the loss of this function.

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9. List other dependencies (vendor, software, staff, partner, etc.) not already identified above.

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10. From your analysis, should this function be considered “essential” to the agency or department.  Yes  No





Worksheet #3

Resource Requirements

Instructions: Complete a separate worksheet for each essential function:

1. List critical processes and services that support the function (first column)
2. Determine the personnel needed to perform the service (second column)
3. List all records, equipment, and systems needed to make the function operable (third and fourth columns)

Essential Function: \_\_\_\_\_

Critical Process or Service	Personnel	Records	Equipment and Systems





<b>Critical Process or Service</b>	<b>Personnel</b>	<b>Records</b>	<b>Equipment and Systems</b>





Worksheet #4

Priority of Critical Processes/Services Supporting Essential Functions

Instructions: Complete a separate worksheet for each essential function.

- 1. List the critical processes or services identified in Worksheet #3 (column one).
2. Estimate the Recovery Time Objective (RTO) and/or the Recovery Point Objective (RPO), if applicable.

Essential Function: \_\_\_\_\_

Table with 3 columns: Critical Process or Service, RTO, RPO. The table contains 7 empty rows for data entry.





Critical Process or Service	RTO	RPO





**Worksheet #5**

**Priority of Essential Functions**

**Instructions:** Using information from previous worksheets:

1. List all essential functions (column one).
2. Consider the RTO/RPOs for the supporting processes/services, estimate the RTO or RPO for the essential function (column two).
3. Assign a priority number for each essential function, giving lower numbers to those functions with the shorter RTOs or RPOs and/or upon which other functions depend (column three).

Essential Function	RTO/RPO	Priority





Essential Function	RTO/RPO	Priority





**Worksheet #6**

**Key Personnel Replacement Requirements**

**Instructions:**

1. Indicate key personnel roles (column one) and unique skills that may be needed to carry out each role (column two).
2. Indicate how the role will be filled (column three)
3. Indicate the title of the position with authority to fill vacancies (column four)

<b>Position</b>	<b>Unique Skill Requirements</b>	<b>Replacement Source</b>	<b>Authority to Fill</b>





Position	Unique Skill Requirements	Replacement Source	Authority to Fill





Worksheet #7

Vital Systems and Equipment

Instructions: Using the information gathered in Worksheet #3, Resource Requirements:

1. List those systems and equipment that are absolutely necessary for the continued operation of critical processes or services for 14 days.
2. Do not include non-essential systems or equipment.
3. Indicate whether the records are time-critical, i.e., needed within 72 hours of an emergency.

Vital System	Description	Type of System	Associated Critical Process or Service	Time Critical?





<b>Vital System</b>	<b>Description</b>	<b>Type of System</b>	<b>Associated Critical Process or Service</b>	<b>Time Critical?</b>





Worksheet #8

Vital Systems and Equipment Protection Methods

Instructions: For each vital system or equipment identified in Worksheet #7:

1. List the system or equipment (column one)
2. List the location (column two)
3. List the maintenance frequency (column three)
4. List current methods of protection, including security measures (column four)
5. Identify additional protection methods, if necessary (column five)

Vital System or Equipment	Location	Maintenance Frequency	Current Protection Methods	Additional Protection Methods





Vital System or Equipment	Location	Maintenance Frequency	Current Protection Methods	Additional Protection Methods





Worksheet #9

Vital Records

Instructions: Using the information gathered in Worksheet #3, Resource Requirements:

1. List those records that are absolutely necessary for the continued operation of critical processes or services for 14 days.
2. Do not include non-essential records.
3. Indicate whether the records are time-critical, i.e., needed within 72 hours of an emergency.

Vital Record	Description	Associated Critical Service/Process	Form of Record	Type of Record	Time Critical?





<b>Vital Record</b>	<b>Description</b>	<b>Associated Critical Service/Process</b>	<b>Form of Record</b>	<b>Type of Record</b>	<b>Time Critical?</b>



**Worksheet #10**

**Vital Records Protection Methods**

**Instructions:** For each vital record identified in Worksheet #9, Vital Records:

1. List the record (column one)
2. List where the records are kept (column two)
3. List how often they are backed up or revised (column three)
4. Identify the format of the backup copy (column four)
5. List current methods of protection, including security measures (column five)
6. Identify additional protection methods, if necessary (column six)

Vital Record	Storage Location	Maintenance Frequency	Format of Backup	Current Protection Method(s)	Additional Protection Method(s)



<b>Vital Record</b>	<b>Storage Location</b>	<b>Maintenance Frequency</b>	<b>Format of Backup</b>	<b>Current Protection Method(s)</b>	<b>Additional Protection Method(s)</b>





Worksheet #11

Requirements for Alternate Work Sites

Instructions: Identify the requirements for alternate work site by essential function.

Essential Function	Number of Personnel	Human Needs	Power	Communication	Space Requirements





<b>Essential Function</b>	<b>Number of Personnel</b>	<b>Human Needs</b>	<b>Power</b>	<b>Communication</b>	<b>Space Requirements</b>





**Worksheet #12**

**Alternate Work Site Options**

**Instructions:** This worksheet asks you to identify a variety of alternate work sites, but can also be used to track MOUs, leases, cooperative agreements, and contracts with other entities for facility use.

Facility	Agreement	Date Executed	Annual Cost	Special Notes





Facility	Agreement	Date Executed	Annual Cost	Special Notes



**Worksheet #13**

**Site Vulnerability Assessment**

Effective COOP planning begins with an analysis of the hazards and vulnerabilities specific to an operating site. Threats may originate from natural disasters and accidents, technological emergencies, or acts of terrorism.

Please complete the following questions:

1. What other tenants occupy the building?
  
2. Is the building leased or County-owned?

**Structural Assessment** (You may want to consult with the Department of Public Works to help you complete this section.)

	YES	NO
Are the doors and windows secure?		
Are there security guards at each entrance to the building?		
Are ID badges checked?		
Do visitors sign in? If so, where does this take place?		
Is there appropriate perimeter lighting around the building?		
Is the mail screened appropriately?		
Is there restricted parking around the building?		
Is there a backup generator in case of power failure?		
Do you have backup for utilities (gas, water, sewer, etc.)?		
Do you have the current floor plan of the building on file?		
Are stairwells and exits easily accessible?		
Do you know the location of the HVAC air ventilation system?		
<ul style="list-style-type: none"> <li>• Is the actual system/location vulnerable (i.e., is it in a locked room on the first floor, on the roof, etc.)?</li> </ul>		
<ul style="list-style-type: none"> <li>• Can the system be turned off immediately?</li> </ul>		
<ul style="list-style-type: none"> <li>• Do you know who has access to the system to do this?</li> </ul>		
<ul style="list-style-type: none"> <li>• Do you know how to close the vents that access the offices?</li> </ul>		



• Do you know where the most structurally sound and most ventilated area is for people to gather?		
• Is this area away from glass and heavy loose items?		
• Do you know which equipment operates on the backup power system and which will become inoperable if power is down?		

**Non-Structural Assessment** (You may want to consult with the Risk Management Division to help you complete this section.)

	YES	NO
Will non-structural items (file cabinets, bookcases, computers, ceiling tiles, etc.) in each room cause injury?		
Are large pieces of equipment and furniture anchored?		
Are occupants safe from shattered glass in the event of breakage?		
Are you compliant with county safety policies?		
Are rooms locked for which you do not have keys?		
Are surge protectors being used?		

**Identify and Inventory Dangerous Materials in the Building**

1.	
2.	
3.	
4.	





Worksheet #14

Communication Systems Supporting Essential Functions

Instructions: Complete a separate worksheet for each essential function. Review vital systems and equipment information for clues on communication systems that support critical processes and services, and in turn, their associated essential function. List the current provider, services provided, and available special services.

Essential Function: \_\_\_\_\_

Table with 4 columns: Communication Mode, Current Provider, Services Provided, Special Services Provided. Rows include Voice Lines, Fax Lines, Data Lines, Cellular Phones, Pagers, E-mail, Internet Access, Instant Messenger Services, and Blackberry and Other Personal Digital Assistants (PDAs).





<b>Communication Mode</b>	<b>Current Provider</b>	<b>Services Provided</b>	<b>Special Services Provided</b>
Radio Communication Systems			
Other			





Worksheet #15

Alternative Modes of Communication

**Instructions:** Copy the information gathered in Worksheet #14, Communication Systems Supporting Essential Functions, into this table. Identify alternative providers and/or modes of communication.

Communication System	Current Provider	Alternative Provider	Alternative Mode #1	Alternative Mode #2
Voice Lines				
Fax Lines				
Data Lines				
Cellular Phones				
Pagers				
E-mail				
Internet Access				
Instant Messenger Service				
Blackberry and Other Personal Digital Assistants				
Radio Communication Systems				





<b>Communication System</b>	<b>Current Provider</b>	<b>Alternative Provider</b>	<b>Alternative Mode #1</b>	<b>Alternative Mode #2</b>
Other				

