



**COMMONWEALTH  
OF  
PENNSYLVANIA**

**CONTINUITY OF OPERATIONS  
(COOP)**

**PLANNING MANUAL**

The Commonwealth of Pennsylvania’s COOP Manual is an adaptation of the Virginia Department of Emergency Management (VDEM) COOP Planning Manual, which itself was guided by earlier work done by the Maryland Emergency Management Agency (MEMA). This document combines the structure of VDEM’s Manual with modified Worksheets and COOP Template that were last updated in Pennsylvania by the Pennsylvania Emergency Management Agency (PEMA) in 2005. This work was further enhanced through reliance on COOP best practices as well as information and guidance issued by the U.S. Department of Homeland Security/FEMA.

The ability to take advantage of COOP planning practices from other States has undoubtedly augmented the collection of tools and materials available for Pennsylvania’s continuity planning. Perhaps more importantly, this effort also represents an important stride towards the interstate cooperation and interoperability that is anticipated in the National Continuity Policy established through National Security Presidential Directive (NSPD-51) of May 9, 2007. As such, the Governor’s Office of Administration for the Commonwealth of Pennsylvania would like to give special recognition and thanks to the:

Virginia Department of Emergency Management (VDEM)



as well as the

Pennsylvania Emergency Management Agency (PEMA)



## Table of Contents

<b>Foreword</b>	<b>1</b>
<b>Introduction to Continuity of Operations</b>	<b>3</b>
<b>COOP Planning Objectives</b>	<b>4</b>
<b>COOP Planning Considerations</b>	<b>5</b>
<b>Who is Involved in COOP Planning</b>	<b>6</b>
<b>Elements of a COOP Plan</b>	<b>8</b>
<b>Design and Development</b>	<b>8</b>
<b>Creating a COOP Plan</b>	<b>10</b>
<b>I. Project Initiation</b>	<b>12</b>
<b>Appointing a COOP Coordinator</b>	<b>13</b>
<b>Organization of a COOP Team</b>	<b>14</b>
<b>Initial Project Meeting</b>	<b>14</b>
<b>Identifying your COOP Response Team (Form A)</b>	<b>15</b>
<b>II. Determining Critical Functions</b>	<b>17</b>
<b>Identifying Critical Functions (Form B)</b>	<b>18</b>
<b>Communications with Key Personnel (Form C)</b>	<b>25</b>
<b>Delegation of Authority (Form D)</b>	<b>26</b>
<b>Orders of Succession (Form E)</b>	<b>28</b>
<b>Selecting an Alternate Facility (Form F)</b>	<b>31</b>
<b>Vital Records (Form G)</b>	<b>39</b>
<b>Vital Equipment and Systems (Form H)</b>	<b>43</b>
<b>Interoperable Communications (Form I)</b>	<b>44</b>
<b>III. Design and Build the Plan</b>	<b>46</b>
<b>Outlining an Executive Decision Process</b>	<b>47</b>
<b>Activation and Relocation</b>	<b>48</b>
<b>Alternate Facility Operations</b>	<b>50</b>

<b>Reconstitution</b>	<b>50</b>
<b>Other Teams</b>	<b>53</b>
<b>Family Support Planning</b>	<b>54</b>
<b>Organizational Go-Kits (Form J)</b>	<b>55</b>
<b>IV. Training, Testing and Exercises (Form K)</b>	<b>57</b>
<b>Testing</b>	<b>58</b>
<b>Training</b>	<b>59</b>
<b>Exercises</b>	<b>60</b>
<b>Training Requirements</b>	<b>63</b>
<b>Sample COOP Training Plan</b>	<b>65</b>
<b>Exercise Design Resources</b>	<b>66</b>
<b>Sample COOP Exercise Plan</b>	<b>67</b>
<b>V. Maintaining the Plan</b>	<b>68</b>
<b>COOP Plan Maintenance – Developing a Multi-year Strategy and Program Management Plan (Form L)</b>	<b>69</b>
<b>Designation of a Review Team</b>	<b>70</b>
<b>Identifying Issues that Affect the COOP Plan</b>	<b>70</b>
<b>Establish a Review Cycle</b>	<b>71</b>
<b>Developing the COOP Maintenance Budget</b>	<b>71</b>
<b>Sample Multi-year Strategy and Program Management Plan</b>	<b>72</b>
<b>Distributing the COOP Plan</b>	<b>73</b>
<b>COOP Planning Checklist and Crosswalk (Form M)</b>	<b>74</b>
<b>Pandemic COOP Preparedness (Form N)</b>	<b>75</b>
<b>Glossary</b>	<b>76</b>

## Foreword

Title 4, Section 6.53 of the Commonwealth of Pennsylvania Code mandates the Governor's Office of Administration as responsible for ensuring that comprehensive emergency preparedness/business continuity plans exist in all agencies to minimize any disruption of services and to support the continued mission of all Commonwealth agencies.

This manual is provided as an aid in the development and maintenance of Continuity of Operations (COOP) plans for the Commonwealth of Pennsylvania. It is intended to offer both procedural and operational guidance for the preparation and implementation of a COOP plan, which is the federally recognized nomenclature for business continuity planning. This manual reflects guidelines provided by the US Department of Homeland Security/FEMA, as well as best practices developed since 2003 in Pennsylvania and other states.

This **COOP Planning Manual** is provided in support of two main development tools for COOP planning, the **COOP Plan Template** and the **COOP Workbook**, and is structured according to the five phases of the COOP planning process.

- Start your COOP Planning with this **COOP Planning Manual**. The Manual is intended as a resource guide for agency COOP coordinators to aid with the completion of their continuity plans, and is presented in the form of a "COOP Planning 101" manual that is suitable for new practitioners.
- The **COOP Workbook** contains worksheets and forms that will assist with data-collection for the finished product. The worksheets are tools to gather data and make decisions. Information from multiple worksheets is captured on forms. The forms will be added as appendices to the COOP Plan Template. Following the planning phases of this Guide and completing the worksheets included in the Workbook will assist in assembling the information necessary to develop the ten critical elements of a COOP plan. Because every organization has a different mission, however, each COOP plan will be unique. Merely filling in blanks on the worksheets is not a substitute for a plan that allows for the continuance of the organization in the event of a disruption.
- The **COOP Plan Template** provides a common framework for your agency COOP Plan after you work through the Manual and Workbook. The Template provides organization for the plan itself, and is the Commonwealth of Pennsylvania standard for the development of

agency COOP plans. This, in conjunction with the information gathered through use of the worksheets will assist in completing a cohesive and comprehensive COOP plan specific to each individual organization's mission and needs. The forms are placed as appendices in the Template. The completion of the Template and the attachment of the forms yield your Agency COOP Plan.

- If your agency has participated fully in Commonwealth of Pennsylvania COOP/COG plan development in the past, and your COOP team is experienced with plan development, you may be able to proceed directly to the **COOP Plan Template** and Forms for preparation of your COOP plan without requiring this **COOP Planning Manual** or the complete **COOP Workbook**. However, that is a decision best left to the COOP team assembled for your agency, and this Manual as well as the Workbook will remain as resource tools for your agency.

If you have any questions please contact the Governor's Office of Administration, Office for Continuity of Government for assistance.

# Introduction to Continuity of Operations

Threats to the Commonwealth of Pennsylvania's government operations exist in all varieties, with a single common denominator: the interruption of one or more critical government functions that are vital to the health, safety or welfare of the public. Threats both natural and man-made are easily imagined based on historic events all too recent: the terrorist attacks of September 11, 2001, the April 1995 bombing of the Murrah Federal Building in Oklahoma City and the August 2003 power outage that affected 40 million people in the US and Canada. More common and local, consider the seasonal winter storms and rains that routinely affect portions of the Commonwealth: Hurricane Isabel brought rains to the Commonwealth in September 2003 that left many roads impassible for emergency response personnel and over 1 million residents without power. Today's changing threat environment and recent emergencies illustrate the need for COOP capabilities and plans.

**Continuity of Operations (COOP)** is an effort to ensure the stability of critical government business functions during a wide range of potential emergencies and events.

Preparation for major disaster is important; however, it remains equally important to ensure preparedness for emergencies with less severity but a higher level of frequency. In fact, 90% of emergencies are considered "quiet catastrophes." These relatively minor emergencies can wreak havoc on an agency's ability to continue operations.

The fundamental mission of every agency of the Commonwealth is reliability of service, particularly in times of emergency. The public cannot be expected to overlook lapses in the delivery of vital government services, especially in the wake of a disaster when the protection of public health, safety and general welfare remains a matter of the public trust.

In the absence of a COOP plan, an organization cannot fulfill its mission should a crisis of any scale disrupt critical functions. COOP planning is "good business practice," ensuring as it does an efficient and uninterrupted delivery of critical services to our customer base – the general public.

Your agency's COOP plan will address the following three impact scenarios:

- **Class 1: Single Building or Agency.** An incident affects agency-specific infrastructure and/or personnel **only**, with only limited displacement of agency personnel. This scenario can be for a short, medium or long-term period of time.
- **Class 2: Catastrophic Event (Capitol Complex)** impact: An incident affects multiple or all agencies within the Capitol Complex area, with massive displacement of the workforce and disruption of multiple interdependencies.
- **Class 3: Pandemic Influenza:** an incident affects a significant percentage of agency personnel but not infrastructure, and creates elevated hazard risks for work locations due to influenza. *Critical business infrastructure* is at greater risk if sufficient workforce is unavailable to operate and maintain. The hazard extends across a lengthened timeline (12-18 months); and critical business functions will constantly be revised as the incident becomes prolonged.

## ***COOP Planning Objectives***

The seven specific objectives of COOP are:

- Ensure the safety of employees
- Ensure the continuous performance of a department or agency's critical functions during an emergency
- Protect essential equipment, records and other assets
- Reduce disruptions to operations
- Minimize damage and losses
- Achieve an orderly recovery from emergency operations
- Identify relocation sites and ensure operational and managerial requirements are met before an emergency occurs



## ***COOP Planning Considerations***

Federal Preparedness Circular (FPC) - 65 describes the planning considerations and requirements for COOP Plans among Federal Executive Branch agencies, and serves as a valuable planning resource to all state departments and agencies. It requires that government agencies:

- Be capable of implementing their COOP plans with or without warning
- Be operational not later than 12 hours after activation
- Be capable of maintaining sustained operations for up to 30 days
- Include regularly schedule testing, training and exercising of personnel, equipment, systems, processes and procedures used to support the agency during a COOP event
- Provide for a regular risk analysis of current alternate operating facilities
- Locate alternate facilities in areas where the ability to initiate, maintain and terminate COOP is optimal
- Take advantage of existing agency field infrastructures and give consideration to other options, such as telecommuting, work-at-home and shared facilities
- Consider the distance of the alternate facility from the primary facility
- Include development, maintenance and review of COOP capabilities using a Multi-Year Strategy and Program Management Plan (MYSPMP) ensuring that funding is available in future budgets

The critical business functions your agency is planning for are those which must be:

- ✓ Be operational not later than 12 hours after activation.
- ✓ Be capable of maintaining sustained operations for up to 30 days.

## ***Who Is Involved in COOP Planning?***

COOP Planning is a team effort. Responsibility belongs not to a single division, but to personnel at every level of the organization, including:

- Senior Management
- COOP Coordinator/Point-of-Contact (POC)
- COOP Planning Team
- Governor's Office of Administration (OA)
- Department of General Services
- Pennsylvania Department of Health

**Senior Management** is responsible for ensuring that the agency is capable of carrying out each respective function related to COOP, including planning, activation and reconstitution. While agency leaders may delegate many of their responsibilities, the overall accountability remains within their leadership.

**The COOP Coordinator/POC** serves as the agency's manager for all COOP activities. The Coordinator has overall responsibility for developing, coordinating and managing all activities required for the agency to perform its critical functions during an emergency or other situation that would disrupt normal operations.

**An effective COOP Planning team** requires a good mix of organization professionals and includes members from all levels of management and staff. It also consists of members from various divisions of the organization, including those not directly related to the mission, such as human resources. Team members should act as COOP coordinators for their respective functions, elements or divisions.

**While the Governor's Office of Administration** is not responsible for developing individual agency COOP plans, it does play an important role as a coordinator of COOP policy and activities across the Commonwealth and as a provider of guidance to all organizations of state government.

OA's duties include:

- Drafting policies, procedures and projects necessary for the implementation of COOP plans

- Publishing policy guidance including performance measures
- Facilitating policy training across agencies
- Providing COOP subject matter expertise to agencies as needed
- Monitoring and reporting the current state of COOP capability across state agencies
- Coordinating with external organizations
- Managing COOP integration with the overall emergency management program
- Serving as the Program Management Office for the Commonwealth COOP Program

**The Department of General Services (DGS)** is not responsible for developing any component of an agency's COOP plan, but instead is an important ally in the identification of and planning for alternate site operations. Similarly, in any event that leads to the disruption of operations for an agency located in Commonwealth managed facilities, DGS assumes command authority for building evacuation and reoccupation. DGS also will exert command authority for evacuation of the Capitol Complex in the event of a catastrophic event in the capitol region.

**The Pennsylvania Department of Health (PaDOH)** is responsible for the health of the Commonwealth's entire population, including the Commonwealth government workforce. PaDOH is not responsible for developing any component of an agency's COOP plan, but is a vital ally in the identification of pandemic influenza and other health threats and planning for mitigation and response that could affect COOP capabilities of an agency. The Secretary of Health has the authority to determine and employ the most efficient and practical means for the prevention and control of the spread of disease, and remains an important resource for pandemic COOP planning.

## ***Elements of a COOP Plan***

A viable COOP Plan consists of ten critical elements:

- Critical functions
- Delegations of Authority
- Orders of Succession
- Alternate Facilities
- Interoperable Communications
- Vital Records
- Human Capital Management
- Tests, Training and Exercises
- Devolution
- Reconstitution

The ten critical elements of a COOP plan are intertwined and dependent upon one another. They enable a plan to be smoothly and effectively implemented during an emergency. Additionally, the COOP components, when properly identified, will provide an easy transition back to normal operations at the primary facility.

## **Design and Development**

In the COOP plan design and development phase, the COOP team should decide whether the plan should consist of one large plan or of a series of smaller COOP plans, one for each major bureau or division of the agency. Whether the overall COOP plan consists of one comprehensive plan covering all levels or components of an agency or of separate COOP plans for each bureau or division will depend on the structure of the organization, the complexity of its mission and its available resources for planning. For example, an organization with few bureaus and a narrow mission may opt for a single comprehensive COOP plan; while an agency with many bureaus organized according to critical functions may develop a plan that links individual COOP plans for each division.

An organization or division can use existing standard operating procedures (SOPs) and emergency operations plans (EOPs) as building blocks for development of a COOP plan. It is important to note, however, that SOPs and EOPs are not substitutes for COOP plans at any level. Each planning unit must thoroughly examine its operations in light of COOP concerns and use these procedures and plans only to assist in developing the COOP plan.

When an organization is ready to place the collected data into a COOP plan draft, the Governor's Office of Administration provides a template that agencies should use in the final development of their COOP plans. The Template document is attached as an annex to the Manual, and will be available on the OA COG collaboration portal as well.

## **Creating a COOP Plan**

The COOP planning process is broken down into five different phases:

- I. Initiate the COOP Planning Process
- II. Determine Critical Business Functions
- III. Design and Build the Plan
- IV. Test, Train and Exercise the Plan
- V. Maintain the Plan

The tasks that need to be accomplished in each phase are documented in the table below.

### **COOP Planning Phase Specific Tasks**

<b>COOP Planning Phase</b>	<b>Phase Specific Tasks</b>
I. Project Initiation	<ul style="list-style-type: none"> <li>• Appointing a COOP Coordinator</li> <li>• Organizing a COOP Team</li> <li>• Conducting an Initial Project Meeting</li> </ul>
II. Determine Critical Business Functions	<ul style="list-style-type: none"> <li>• Identifying Critical Functions</li> <li>• Communications with Key Personnel</li> <li>• Delegation of Authority</li> <li>• Succession Planning</li> <li>• Selecting an Alternate Facility</li> <li>• Identifying Vital Records, Systems and Equipment</li> <li>• Interoperable Communications</li> </ul>
III. Design and Build the Plan	<ul style="list-style-type: none"> <li>• Defining COOP Document Scope</li> <li>• Entering gathered data into COOP Template</li> <li>• Assembling the Concept of Operations</li> <li>• Outlining an executive decision process</li> </ul>

	<ul style="list-style-type: none"> <li>• Creating checklists for use during COOP activation</li> </ul>
IV. Training, Testing and Exercises	<ul style="list-style-type: none"> <li>• Assessing and validating COOP plans, polices and procedures</li> <li>• Ensuring that agency personnel are familiar with COOP procedures</li> <li>• Ensuring that COOP personnel are sufficiently trained to carry out critical functions during COOP activation</li> </ul>
V. Maintain the Plan	<ul style="list-style-type: none"> <li>• Instituting a multiyear process to ensure the plan continues to be updated as necessary</li> </ul>

## ***I. Project Initiation***

The project initiation phase consists of:

- Appointing a COOP Coordinator
- Organization of a COOP Team
- Initial Project Meeting



*This section will guide you to completion of Form A: COOP Response Team in your COOP plan. (Several worksheets must be completed to achieve results to be placed in Form A. The form is then included as Appendix A in the COOP Planning Template, which is used to develop the final COOP Plan.)*

## **Appointing a COOP Coordinator**

*Use Worksheet # A1 to complete this task.*

The first step in the COOP planning process is selecting a COOP coordinator, also known as the Point-of-Contact (POC). The Deputy Secretary for Administration of the agency has been delegated the responsibilities to coordinate COOP readiness for his or her agency. It is a COOP Planning best practice to assign one other individual the tactical level responsibilities of COOP coordination.

The COOP Coordinator is a key individual in the COOP planning process. In general, the Coordinator needs to be familiar with each division within the organization, organized and comfortable in a leadership position. The Coordinator remains in constant communication with both the Governor's Office of Administration – Officer for Continuity of Government and Pennsylvania Emergency Management Agency (PEMA).

### **Responsibilities of the COOP Coordinator include:**

- Developing short- and long-term goals and objectives.
- Assisting in the identification of planning team members.
- Creating a blueprint for developing the COOP program.
- Identifying and assisting in resolving issues related to COOP plan development, activation, implementation and reconstitution.
- Developing assessment criteria for measuring and evaluating COOP performance.
- Acting as a liaison between the planning team and agency leaders.
- Serving as a liaison to the COOP Steering Committee

## **Organization of a COOP Team**

*Use Worksheet # A2 to complete this task.*

Both the COOP Coordinator and senior management need to be involved in the selection of a COOP Team. Having the support of senior management will ensure that members of the team realize the importance involved with their selection. It also represents a level of support for the overall planning process.

As mentioned above, the COOP Team needs to consist of a wide range of individuals from all levels and divisions or departments of an agency. The number of team members will depend on the size of the organization.

Ideally a team will consist of 8 to 10 members representing a mix of bureaus, divisions or departments. This size team provides enough members for diversity without having too many to achieve consensus.

The COOP team should meet regularly throughout the planning process as well as once the COOP plan is completed to revise and update it accordingly.

## **Initial Project Meeting**

*Use Worksheets # A3, - A7 to complete this task.*

Once a COOP Team is selected, the COOP Coordinator needs to set up the initial project meeting. The project meeting should include the COOP Coordinator, members of the COOP Team and senior management, if available.

The following topics should be covered during the first COOP Team meeting:

- COOP Project Team Organization: including the team's mission statement
- Roles and responsibilities of individual members and the team as a whole
- Definition of COOP Team objectives and deliverables to ensure that work undertaken is relevant to the requirements of the project
- Project Milestones to enable progress to be tracked against an approved schedule

- Reporting process to be issued by the COOP Coordinator to senior management
- Review and approval process
- Coordination with external response agencies

*Use Worksheet A8 to complete this task.*

An agency may also choose to develop a cost-planning template (Worksheet # A8) so that costs associated with the COOP plan are identified at the beginning of the planning process. Descriptions should be sufficient to ensure that managers not involved with the project can understand the nature of the proposed expenditure.

*Use Worksheet A9 to complete this task.*

It may also be necessary for the COOP Team to prepare a list of documents and information that are required to be shared with them during the planning process. Any documents that contain sensitive information should be treated accordingly with special care taken to ensure that the confidentiality is not compromised. Copies may be provided rather than originals.

#### **A. Identifying your COOP Response Team**

*The following gives you the final product to complete Form A, COOP Response Team for the Plan*

**Key Executive:** The Agency official with the authority to implement the COOP plan. This may be the chief executive officer of the Agency or someone to whom the authority has been delegated. Include sufficient contact information to ensure communications with this individual.

**Team Members:** The Governor's Proclamation of December 2004 mandates the use of the National Incident Management System (NIMS) for all incident management in the Commonwealth of Pennsylvania. In consequence, Team Members should be identified according to the NIMS/ICS (Incident Command Structure) structure, including Command, Planning, Operations, Logistics and Finance/Administration where appropriate.

**Team Responsibilities:** For each of the Response Teams listed, identify all of the team's responsibilities in the event the COOP Plan is activated. The common responsibilities of the Command and General Staff structures of NIMS/ICS are included in Form A as a guide.

## ***II. Determining Critical Functions***

The Determining Critical Functions phase consists of:

- Identifying Critical Functions
- Communications with Key Personnel
- Delegation of Authority
- Succession Planning
- Selecting an Alternate Facility
- Identifying Vital Records, Systems and Equipment

## **B. Identifying Critical Functions**

*The following will help you to complete Form B: Prioritized Listing of Critical Functions.*

Critical functions are based on the agency's customers and needs. Assigning a priority to the customers' needs helps COOP planners distinguish between critical and supportive functions.

Critical functions are those functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the general public and sustain the industrial and economic base. In short they are the agency's business functions that **must continue with no or minimal disruption.**

Critical functions are the foundation for COOP programs and plans. For an agency that is at the beginning stage of COOP planning, determining Critical functions must be completed before moving to any other area.

Identifying critical functions requires an intimate understanding of all the organization's operations. Although many functions are important, not every activity the organization performs is a critical function that must be sustained in an emergency.

To arrive at a list of prioritized critical functions, an agency must start with all organizational business functions and progress logically through to the most critical according to the following:

1. Identify all functions
2. Identify critical functions
3. Determine critical function resource requirements
4. Prioritize critical functions

## **1. Identify all functions**

*Use Worksheet B1 to complete this task.*

To begin the process of identifying functions within an agency, first identify the areas of responsibility. Use the agency's mission statement, values, goals and objectives, the organization chart, and a brief review of agency operating procedures, rulebooks and legal authorities.

*Use Worksheet # B2 to complete this task.*

Next, for each area of responsibility identified, list the functions performed and provide a brief description of the activities typically completed in the identified function.

Current and former employees provide excellent sources of information on an organization's functions. COOP planners ought to collaborate with individuals from each division or branch of the agency and ask about the functions they and their coworkers perform on a day-to-day basis.

In addition, refer to existing Standard Operating Procedures, the State Emergency Operations Plan and reports on operations for information about various functions performed by the organization. The agency mission statement or regulations promulgated by the organization may also contain information on functions.

## **2. Identify Critical Functions**

*Use Worksheet #B3 to complete this task.*

The COOP Team in collaboration with senior management should determine the criteria for selecting critical functions. For example, if other organizations are dependent on a particular

function to continue their operations, then the function is probably a critical function. These criteria should be based on the review of emergency response plans, emergency operating procedures, and brainstorming sessions.

Make sure to review the Commonwealth of Pennsylvania’s Emergency Operations Plan to identify the responsibilities of the Agency to lead or otherwise support individual Emergency Support Functions (ESFs). Primary or secondary responsibilities for one or more ESF must be considered critical.

***Use Worksheet #B4 to complete this task.***

An agency may wish to identify the day-to-day business functions according to the following, time-based chart. Each tier represents the operational timeframe within which a function must be brought back “on-line,” and will help with establishing priorities when activation of the COOP plan is required.

<b>Tier I: 0-12 Hours</b>
Tier I functions are the agency’s critical functions that must reach operational status no later than 12 hours after COOP activation.
<b>Tier II: 13 Hours to One Week</b>
Tier II functions are those that must reach operational status within 13 hours to one week and be able to sustain operations for a minimum of 30 days. These functions may be dependent on the operational status of Tier 1 functions.
<b>Tier III: One Week to Two Weeks</b>
Tier III are important business functions that nonetheless are not needed until a full week following a disruption of service. Tier III functions may be dependent on the status of Tier I or II functions, or may simply have less criticality in terms of their service delivery.
<b>Tier IV: Two Weeks to 30 Days</b>
Tier IV represents the functions that could be postponed until all functions in Tiers I, II and



III are fully operational.
<b>Tier V: 30+ Days</b>
Tier V represents the functions that can be suspended for 30 or more days.

Keep in mind that a function may be more critical at certain periods throughout the year. For example, if employees are paid on the 1<sup>st</sup> and 15<sup>th</sup> of each month and disaster strikes on the 16<sup>th</sup>, payroll would not be a Tier I or Tier II function. However, if an emergency occurs on the 14<sup>th</sup> of the month, payroll will need to be reestablished within twenty-four hours to ensure personnel are paid. The Governor’s Office of Administration recommends that time-sensitive or date-specific functions be considered as if the disruptive event were to take place immediately before the function needs to be accomplished. If an incident affects the Agency when the function is not time-critical, the implementation plan would be adjusted to keep that function at a lower priority for recovery.

By slicing the different tiers into smaller time phases, it can be easier to prioritize a large number of functions that all become critical within the same period.

Tier I: 0-12 Hours

- A. 0-6 Hours
- B. 6-12 Hours

Tier II: 13 Hours to One Week

- A. 12-18 Hours
- B. 18-24 Hours, etc.

This process will make recovery more manageable and will be easiest to complete after critical functions have been prioritized.

### **3. Determine Critical Function Resource Requirements**

After the critical functions are determined, examine the processes and services that support them. Critical functions and their supporting processes and services are intricately connected. These chained processes rely on other processes in order to properly function. Each critical function has unique characteristics and resource requirements, without which the function could not be sustained. Those processes and services described for each function that are necessary to assure continuance of a critical function are considered critical.

Often, critical processes and services vary depending upon the emergency or if they have a time or calendar component. For example, a blizzard would make snow removal a critical service, while a hurricane would not. Likewise, snow removal is a critical service in the winter, but not in the summer.

*Use Worksheet #B5 to complete this task.*

Building on the results documented in *Worksheet # B2, Worksheet # B4* helps to further evaluate critical agency functions, by using *Worksheet #B5*. If, at any point, the function is determined not to be critical, it is not necessary to complete the questionnaire for that function.

If the function under evaluation is determined to be critical, any supportive functions on which it depends must also be considered critical and should be analyzed separately using *Worksheet #B5*. Critical functions may depend upon functions not previously identified as critical and upon functions both within and outside the agency.

If supportive critical functions are identified they should be incorporated into the agency's Tier system and documented throughout the rest of the planning processes as critical to supporting the agency mission.

*Use Worksheet #B6 to complete this task.*

Next complete *Worksheet #B6* for each critical function. This worksheet will help identify the critical processes or services, personnel, records, equipment and resources for each critical function, as well as the systems that support them. Be sure to include critical back room functions such as Payroll, Accounts Receivable and Accounts Payable. In addition, for IT systems,

telecommunications and/or data that supports a primary critical function or a supportive critical function, specify the effects if the IT systems or data are not available.

*Use Worksheet #B7 to complete this task*

Finally, use *Worksheet #B7* to identify, for each critical function, the senior management and technical positions needed to lead the critical functions and the support positions necessary to carry it out. Remember to specify the position, not an individual by name. For this exercise assume that you have access to all personnel at the time you need all personnel.

## 5. Prioritize Critical Functions

Once all critical functions and their supporting critical processes and services have been identified, prioritize the functions according to those activities that are pivotal to resuming operations when a catastrophic event occurs.

Prioritization requires determination of the following:

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

A **critical function's time criticality** is related to the amount of time that function can be suspended before it adversely affects the organization's core mission. Time criticality can be measured by recovery time objectives. A **recovery time objective (RTO)** is the period of time within which systems, processes, services, or functions must be recovered after an outage.

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

To determine time criticality for each critical function, it is necessary to determine the RTO for the critical processes or services that support it. The questions on *Worksheet # B5*, Critical Function Questionnaire, began this process. Use this information in combination with the suggestions below to determine the RTO for each critical function.

IT Disaster Recovery Plans (DRPs) usually have RTOs for vital systems that can be used in estimating the RTO for an associated critical process or service. Also, think about the operational dependence of other processes or services upon those under consideration. If a critical process or service is necessary to keep another operating, then it deserves a short RTO.

## **6. Prioritized Listing of Critical Functions**

*Use Form B: Prioritized Listing of Critical Functions to complete this task.*

Once the RTOs have been determined for each critical function, list them according to the RTOs, putting those with the smaller figures first. In addition, those functions upon which others depend should also receive a high priority in the sequence of recovery. Functions with a RTO of zero are considered Mission Critical Functions.

After the prioritized list of critical functions is complete, the COOP Planner needs to present the list to senior management for their input and concurrence.

### **C. Communications with Key Personnel**

*The following will help you to complete Form C: Personnel Contact List (Rapid Recall List). There are no worksheets for this form.*

The Rapid Recall List represents the process an agency employs to activate a COOP plan. The names and numbers listed on this form are those who are assigned a specific task involved with activating a COOP plan.

An emergency or disaster could strike at any time, not just during work hours or off hours during the workweek. A clear and organized plan for communication between key personnel, general staff and with family members is necessary to ensure efficient implementation of a COOP plan.

The centerpiece of a communications plan is a rapid recall list (RRL). In other words, the first person on the list, generally the executive director, is the first to be contacted by the agency's emergency liaison in the event of an emergency. That person in turn is responsible for contacting the next person below his or her name on the list. If the next person on the list is not available, the person should contact the person below that person on the list and so on until he or she is able to speak with someone. Calls made by a single individual need to be limited to no more than six (6).

**An RRL** is a cascading list of first responders, i.e., police, fire department, EMS, and key personnel, such as agency Emergency Preparedness Liaison Officer (EPLO), COOP team members, emergency personnel within the organization, and management, *in order of notification*.

The list should contain the business, home, pager, and cellular numbers for each individual, and any alternate means of communication, (*e.g.*, email or two-way radios) should the phone lines be incapacitated. Management members on the list will also be responsible for communicating to the staff in their department.

Further details about responsibilities of key personnel during COOP activation can be found in Section III, *Design and Build a Plan*.

## **D. Delegation of Authority**

*The following will help you to complete Form D: Delegation of Authority.*

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

Naming key personnel consists of the following two components:

- Delegation of authority (Form D)
- Orders of succession (Form E)

### **Delegation of Authority**

Delegations of authority specify who is authorized to make decisions or act on behalf of the department or agency head and other key individuals. In COOP planning, delegation of authority ensures rapid response to an emergency situation that requires COOP plan activation.

Delegation of authority planning involves the following tasks:

- Identify which authorities can and should be delegated.
- Describe the circumstances under which the delegation would be exercised, including when it would become effective and terminate.
- Identify limitations of the delegation.
- Document to whom authority should be delegated.
- Ensure officials are trained to perform their emergency duties.

## **Identify Authority to be Delegated**

*Use Worksheet #D1 to complete this task.*

There are two categories of authority that should be addressed in a delegation of authority plan:

- Emergency authority
- Administrative authority

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

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

Specific authorities being delegated should be documented separately. The same individual may play multiple roles depending on the situation.

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

*Use Worksheet #D2 to complete this task.*

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

## **Identify Limitations on Authority to be Delegated**

*This section will help you to complete the final column (Limitations of Authority) on Form D.*

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

An agency needs to provide training to officials on performance of their emergency duties. When delegating administrative authority, an organization also needs to examine laws and regulations governing the organization. Delegation of administrative authority is generally limited to upper management, but may be extended to middle management and non-management as necessary and allowed by law. Consult counsel for advice on delegation of administrative authority.

*Using the information gathered on Worksheets #D1 and #D2, complete Form D: Delegation of Authority.*

## **E. Orders of Succession**

*The following will help you to complete Form E: Orders of Succession.*

Orders of succession are provisions for the assumption of senior agency leadership positions during an emergency when the incumbents are unable or unavailable to execute their duties. They allow for an orderly and predefined transition of leadership. Developing orders of succession for key positions is intertwined with determining delegation of authority in an emergency.

A comprehensive COOP plan will include an order of succession for *each key position*. Although orders of succession for key leadership and management positions within the agency -- both at headquarters and in satellite facilities -- are necessary for a comprehensive COOP plan, orders of succession are not limited solely to management positions. All organizations have non-



management personnel who, because of their function, are critical to accomplishing the agency's goals.

Identify key positions by the position title and not by the name of the person currently in the position, because different individuals may move through a single position while positions tend to stay the same. However, it is also useful to include the name and contact information underneath each key position title.

When identifying successors, COOP planners should consider the organizational and geographic proximity of the potential successor to the key position. A potential successor who is part of the same department or division (organizational proximity) is a good choice, because they already have an understanding of the key position. However, make sure that there is at least one successor in the order of succession, who is not located in the same office or facility in case the vacancy is due to a catastrophic event in a particular geographic location.

While the focus should be upon the skills, experience, knowledge, and training necessary for holding a specific key position, personality, such as a particular individual's ability to work under pressure, may also be considered. An order of succession also requires sufficient depth. In other words, there may very well need to be more than one or two named successors in most circumstances.

### **Critical functions and Key Positions**

*Use Worksheet #E1 to complete this task.*

There are several methods that an organization should use to identify key positions.

One method for determining key positions is to question management and staff. Managers should have a strong grasp of their areas of responsibility. Ask them questions such as:

*“What positions in your areas of responsibility are so important that if they suddenly became vacant, your part of the organization would face major problems in achieving your critical functions?”*

Another approach would be to ask staff:

*“In an emergency, would it be necessary for you to be present at the facility to perform your job?”*

As with all delegations of authority questions, focus on position titles, as opposed to the names of persons in these positions.

A second method is to identify key positions by historical evidence. When the organization is missing a person who is in a key position, it is obvious and possibly devastating to performing critical functions. Decisions cannot be made, needs cannot be satisfied, orders cannot be shipped, etc. If there is an absence in a key position, critical functions are not being fully met. By examining the organization in this manner, key positions are identified by the consequences of a vacancy or anticipated vacancy.

Third, an organization that has experienced a crisis in the past that resulted in an unexpected departure by key position incumbents can use evidence of this past event as an indication of where key positions are located. Contact those supervisors who were present during the vacancy to find out which departures posed the greatest problem and why.

Once key positions have been identified, an organization needs to maintain information about these positions. This documentation should be easily accessible via secured physical and remote network access mechanisms. It should also be captured in training materials. For example,

- Who occupies those key positions now? What are their qualifications/backgrounds?
- What are the work requirements for key positions?
- Where are the key positions located in the organization?

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

After determining the authority that should be delegated, examining the consequences resulting from a current or past vacancy, questioning current and former employees and examining historical evidence, identify key positions for each essential function in *Worksheet #E1*.

*Use Form E: Orders of Succession to complete this task.*

Once key positions and personnel have been identified by essential function, determine the order by which those functions and positions would be filled in the absence of the primary executive. Consider the qualifications necessary to perform in the key position and the qualifications of the successor positions, as well as organizational and geographical proximity. The same successors may be named for different key positions, but avoid designating the same successor as the first successor to several key positions. Adopting a wide geographic dispersion of successors, where appropriate, can be an effective control to ensure no disruption in the chain of command.

#### ***F. Selecting an Alternate Facility***

*This section will help you to complete Forms F1: Requirements for Alternate Worksite and F2: Agency Alternate Facilities.*

In the event that an emergency forces a work area, such as a mailroom, to be evacuated, key personnel should relocate to an alternate work site that allows the organization to carry out its critical functions and meet the needs of emergency personnel.

Because the need to relocate may occur without warning, organizations should make every effort to pre-position, maintain, or provide for minimum essential equipment for continued operations of critical functions at the alternate operating facilities for a minimum of fourteen days.

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

<p><b>Hot Site</b></p>	<p>A hot site is an alternate facility that already has in place the computer, telecommunications, and environmental infrastructure necessary to recover the organization's critical functions.</p>
<p><b>Warm Site</b></p>	<p>A warm site is 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.</p>
<p><b>Cold Site</b></p>	<p>A cold site is an alternate facility that has in place the environmental infrastructure necessary to recover critical functions or 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.</p>

*The above table originated with the Maryland Emergency Management Agency (MEMA) Continuity of Operations Planning Manual.*

The following factors should be considered by each agency when selecting an alternate work site:

- **Location** – If possible, select a site that provides a risk-free environment and is geographically dispersed from the primary work location. This will reduce the chance that the site will be affected by the same event that required COOP activation.
- **Construction** – The alternate facility should be constructed so that it is relatively safe from the high-risk hazards in the area.
- **Space** – The alternate facility must have enough space to house the personnel, equipment and systems required to support all of the organization’s critical functions.
- **Lodging and Site Transportation** – Lodging and site transportation should be available at or near the alternate facility. Sites that are accessible by public transportation and that provide lodging facilities or are near hotels offer important advantages.
- **Communications** – The site will need to support the agency’s COOP information technology and communication requirements. The agency will need to acquire any capabilities not already in place. In many cases redundant communications facilities should be considered to reduce the impact of communication line failures. If this type of configuration is needed, it is advisable to request route diversity to the facility from the communication carrier. This will reduce the impact of problems caused by remote network elements such as telephone company central office switching gear. Pre-provisioning and testing of interoperable communications capabilities is advisable.
- **Security** – Security measures, such as controlled access, should be an inherent part of the alternate facility.
- **Life Support Measures** – Access to life support measures, food, water and other necessities should be available onsite or nearby.
- **Site Preparation Requirements** – The amount of time, effort and cost required to make the facility suitable for the agency’s needs is critical.
- **Maintenance** – Consider the degree of maintenance required to keep the facility ready for COOP operations. Lower-maintenance facilities offer a distinct advantage in case of no-warning COOP activation.

Another option for an alternate work site is a pre-existing facility already in use by the organization. A tornado may destroy one of the spaces, but leave another building or work area untouched. Those

organizations with multiple facilities may find it easier to move into buildings or work areas not damaged.

In determining alternate facility locations, consider the geographic impact of the disruption. An alternate facility should be located in a facility that has a different water source and power grid as the original building. Road access must also be determined when choosing an alternate location.

Some general guidelines include:

- Localized Event: Relocate 0-60 miles from the current location
- Widespread Event: Relocate 60-150 miles from current location

Often, due to fiscal constraint, operating and maintaining a separate alternate work site is not within the means of an organization. If this is the case, consider entering into cooperative or mutual aid agreements as well as using virtual office technologies. With a cooperative agreement, an organization can contract for use of another organization's facility in an emergency. The arrangement can also be less formal as in a mutual aid agreement. A mutual aid agreement involves two organizations agreeing to help each other in the event of an emergency. Several organizations may also opt to contract together with an outside vendor for use of an emergency facility. A word of caution when making these agreements: **Be sure to assess whether the potential cooperative/mutual aid partner has similar agreements with other organizations in place and if these might conflict with the agreement at hand.** A large-scale disaster could affect many organizations that have contracted with each other or for use of the same space in an emergency.

### **Identify Requirements for Alternate Work Sites**

*Use Worksheet #F1a and Form F1 to complete this task.*

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

In addition to the physical needs of personnel, the COOP plan should also address their emotional needs. Regardless of their origin, disasters affect the motivation and morale of employees, which affects their productivity. Furthermore, employees will experience greater stress levels, even if the COOP plan is implemented flawlessly. A COOP plan may include provisions for counseling and plan for readjustments of work assignments for those who are incapacitated by the emotional impact of a disaster such as a terrorist attack (*e.g.*, death of a family member). These concerns should be tailored to the type and duration of the disruption.

Provide an overview of the staffing and space needs for each of the critical business functions identified and identify where staff will be relocated in the event of an emergency. The purpose of this information is to determine what gaps exist on an agency and enterprise basis for alternate site planning.

For each critical business function, provide the following information in the columns specified on *Form F.1: Requirements for Alternate Worksite*:

**Column C: Critical Functions**

Use the information gathered on Form B - Prioritized Listing of Critical Functions.

**Column D: Resources Needed**

- Identify all resource needs of this function. This may include, but is not limited to, computer, communication, or power requirements. Please be as specific as possible regarding quantities needed of each resource.

**Column E: Space Needed**

- Identify the amount of space (in square feet) needed to carry out the identified function. Consider space required for desks, equipment, number of staff and legal capacity limits.

**Column F: # of Staff Needed**

- Provide the total number of staff that is needed to perform the function.

**Column G: Telework Possible (Y/N)**

- Indicate whether this function can be carried out through the use of remote telework, most commonly through working from home. *Please refer to the Management Directive 505.33, “Working from Home” located on the Office of Administration website.*

**Column H: Interdependent Function (Y/N)**

- Indicate whether the function is reliant upon another agency, system and/or vendor to be carried out.

**Column I: Dependent Upon?**

- If you marked “Y” in the previous column, indicate the agency, system, and/or vendor the function is reliant upon.
- If you marked “N” in the previous column, type “N/A” in this column.

**2. Identify Alternate Worksites**

*Use Form F.2: Agency Alternate Facilities to complete the task.*

**Column A: Alternate Location**

- Please provide the name and address of the alternate location where this function will be performed, if it has already been identified.

**Column B: Type of Arrangement**

- For each alternate location identified, indicate the type of arrangement the Deputate/Bureau/Division has with the owner of the alternate location. Examples may include a lease, Memorandum of Agreement (MOU), among others.



## Column C: Unmet Space Needs

- Provide (in square feet) the amount of space the Deputate/Bureau/Division needs to carry out the identified function that has not been secured in the event of an emergency.

Current facilities owned or used by the organization should be considered first as options for alternate work sites. These are good candidates for hot, warm, or at least cold sites. If an organization does not have suitable additional facilities or none of those are deemed appropriate as potential sites, the COOP team should consider entering into a mutual aid agreement with another organization to use their facilities or an agreement to share an alternate work site. Mutual aid agreements can be made for hot, warm or cold sites.

When identifying possible alternate facilities, bear in mind that an alternate facility, at a minimum, should be capable of accommodating the following features:

1. Immediate capability to perform critical functions under various threat conditions
2. Sufficient space and equipment to sustain the relocating organization
3. Ability to communicate with all identified essential internal and external organizations, customers, and the public
4. Reliable logistical support; services; and infrastructure systems, including water, electrical power, heating and air conditioning, etc.
5. Ability to sustain critical functions for fourteen days
6. Appropriate physical security and access controls
7. Consideration for the health, safety, and emotional well being of relocated employees and customers (*i.e.*, number of washrooms, parking, accessibility for the disabled, etc.)

Assess whether the potential alternate work site may be susceptible to some risk, such as flooding. If the potential alternate site is located in a flood zone or faces some elevated risk of physical damage, it may not be an ideal alternate work site.

Remember, the security and access to both the primary and the alternate facilities during emergency and non-emergency situations need to be arranged. The security procedures should be able to accommodate all hazards and include provisions for identifying access restrictions.

**Be sure to include a map with clear driving directions, as well as special requirements regarding physical access to the alternate facility. You may have to coordinate transportation arrangements to the alternate facility.**

## **G. Vital Records**

*The following will help you to complete Form G: Vital Records.*

Vital Records are those records that regardless of media, if damaged or destroyed would disrupt organization operations and information flow, cause considerable inconvenience and require replacement or recreation at a substantial expense. In COOP planning, vital records are those records to which personnel must have access to in order to carry out critical functions. They are typically in one of three forms: paper, electronic, or microfilm.

A COOP plan should address not only a system for protection and recovery of vital records in an emergency, but also a vital records program for normal operations. Every organization should have a vital records program. COOP planning for vital records includes assessment of any vital records programs in place and the improvement or development of a program to provide for the optimal protection, duplication and preservation of records. This maintenance program, as well as procedures for the recovery and restoration of records, forms the basis of a vital records program.

There are five major tasks in COOP planning for vital records:

### **1. Write an assessment sub-plan.**

- If a vital records program is in place, the plan should lay out the steps for reviewing the current status of the program.
- If there is no program in place, the plan should outline how the program will be developed and administered.

### **2. Develop forms for gathering information.**

- Create a questionnaire to assist offices in identifying vital records.
- Use the information collected in *Worksheet # B6*, or create a form listing critical functions and all records supporting those functions.

### **3. Identify vital records.**

- Vital records may include part or all of a series or group of records.
- These records usually include personnel records and system documentation.

4. Review protection needs for each vital record and compare with current program.
5. Develop a restoration and recovery sub-plan.

### Identify Vital Records

*Use Form G: Vital Records to complete the following task.*

To begin identifying vital records look at the critical functions and their supporting critical processes and services. In Worksheet # B6, the records needed to perform critical functions were already identified. With that worksheet, determine those records that are necessary for emergency operations and/or the recovery or the continuation of the critical functions for at least fourteen days and list them in *Form G: Vital Records*.

Many records are considered important, however not all are vital. Remember:

- Only a small percentage of the records are vital, that is, essential to emergency operations and to the organization's continuance, or that are difficult or impossible to replace.
- Although records designated as permanent are often vital, the length of time a record is retained does not necessarily mean that the record is vital, nor does a record once designated as such remain so forever.
- Vital records may be in any format or medium. Original records are not necessary. It is the information, not the medium that is most important.
- If the information is contained in a medium other than paper, consideration must be given to the technology required to access the information and the availability of that technology in the event of an emergency.
- Emergency Operating Records and Legal and Financial Records will almost always be considered vital

## Identify, Select and Arrange for Protection Methods

*Use Worksheet #G1 to complete this task.*

The next step after identification of vital records is determination and selection of protection methods. First look at the current methods of protection and preservation. The routine maintenance program for the records in question may be sufficient for the protection of information in the event of a disruption to critical processes and services. However, the effectiveness of the protection method should always be evaluated in light of COOP concerns.

The COOP team should look at the current backup and retention schedules for each vital record and ask if the files should be backed up more often or retained for greater periods. Another measure to consider is the replication of an organization's server in an alternate facility or scanning paper records. The team should also consider storing duplicate files off-site or upgrading the current storage facilities to provide greater protection from fire, water, thermal damage, theft or sabotage. Another form of protection is limiting access to records through various security systems and procedures.

Providing an off-site storage facility where duplicated vital records and documentation may be stored for use during disaster recovery is an important tool. Records that need to be duplicated and stored off-site should be identified along with the type of duplication. Further, those records that need to be stored in fire resistant equipment *on-site* along with those records requiring special consideration need to be identified. Facilities immediately able to accommodate electronic records, including programs for running the systems and system documentation must also be identified, as well as sites that could be readied to accommodate these functions if an emergency arose.

Regular back up and transfer of files to an alternate location is a very effective form of protection for vital records. It eliminates the need for extensive recovery; however, it becomes more expensive the more often it is performed.

## **Identify Restoration and Recovery Resources**

*Use Worksheet #G2: Restoration and Recovery Resources to complete this task.*

There may be situations where the protection methods employed to protect vital records fail. In such a circumstance, an agency needs to use its vital records recovery sub-plan. Because vital records are often part of vital systems and equipment, a single disaster recovery plan often addresses both records and systems/equipment. The information technology (IT) department should have a disaster recovery plan in place for IT systems and equipment. Accordingly, COOP teams should consult with their respective IT staff for assistance in COOP planning for recovery of vital electronic records. COOP teams should also identify restoration and recovery resources for non-electronic records. Contact potential contractors and assess their capabilities before an emergency so that the agency will not waste time during an emergency figuring out who to call and vital records can be restored more quickly when the need arises.

## **H. Vital Equipment and Systems**

*The following help you to complete Form H: Vital Equipment and Systems.*

*Use Form H: Vital Equipment and Systems to complete this task.*

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

After identification of critical systems and equipment, prioritize how systems and equipment should be recovered in the event of a disruption. When prioritizing, consider the critical processes and services that these systems support. Also, review the IT disaster recovery plan that generally includes such information.

It is also important to consider if a system or piece of equipment is dependant upon another particular system or piece of equipment to be operable. For example, computer systems are dependant upon electrical supply. Therefore, resumption of power would have to occur before the computer system could be up and running. As with critical processes and services, there might also be a calendar component, such as a disruption to the electronic tax return filing system would be a greater problem in April than in August.

### **Select and Arrange Protection Methods for Critical Systems and Equipment**

*Use Worksheet #H1 to complete this task.*

Review the list of vital systems and equipment and assess the best method of protection. The assessment will depend on the nature of the system or equipment, but a protection plan for systems and equipment should include maintenance programs that regularly test these systems and equipment and the associated protective measures for optimal performance. For instance, backup power generators should be checked regularly.

## ***I. Interoperable Communications***

*The following will help you to complete Form I. There are no worksheets for this form.*

**Interoperability** is the ability of a system or a product to work with other systems or products without special effort on the part of the user.

Because of the need to coordinate efforts with the federal, state, and local governments, (*i.e.* fire and police) organizations with first responder roles, such as the State Police, PEMA, PennDOT and the Department of General Services, have special communications considerations. Interoperable communications systems (*i.e.*, systems that can be used to communicate between departments of a single jurisdiction or different jurisdictions) are critical in allowing emergency personnel to communicate with each other. If your organization plays a “first responder” role as one of its critical functions, you should give serious consideration to interoperability issues.

Another consideration is communication between systems at the alternate work site(s) and the primary facility. There may be situations where the data systems at the primary facility are still functional, but the primary work site is inaccessible to humans, *e.g.*, contamination of building with a biological or chemical agent. The plan should try to ensure that systems at alternate facilities can communicate with systems at the primary facility.

When preventative controls fail, an organization should have an alternate provider and/or modes of communication in place to fill the gap. This can be handled by having a separate emergency communication system set up or by using communication systems already in place. For example, cellular phones could be an alternative mode of communication for voice lines.

The number of alternate modes of communication will be agency specific. In evaluating critical functions, agencies should conduct impact analyses about their dependencies on various types of communications. For agencies with first responder or emergency support function responsibilities, requirements may be more stringent or robust.

Service providers offer special services for emergencies, such as telecommunications services priority (TSP). The Office of Administration administers the Commonwealth’s association with the *Government Emergency Telecommunications Service* (GETS) of the National Communications



System (NCS). This service gives an enrolled agency the ability to get access to priority telecommunications circuits when all circuits are busy. Check with your organization's service providers for information on any emergency communications services and with the Office of Administration for information on the GETS program. Consider also providing radios, satellite phones or other special communication devices to COOP team members for use in an emergency.

### ***III. Design and Build the Plan***

**The Design and Build the Plan phase consists of:**

- Defining COOP Document Scope\*
- Entering gathered data into COOP Template\*
- Assembling the Concept of Operations\*
- Outlining an executive decision process
- Creating checklists for use during COOP activation

*\*These tasks are addressed throughout the Manual, and as such are not separately covered in this section.*

## Outlining an Executive Decision Process

*The following section will further explain the responsibilities for those identified in Form C: Personnel Contact List (Rapid Recall List)*

Many threats can disrupt the operations of an agency. These threats will vary in magnitude and extent. The damage from an event could be repairable in a short time, e.g., matter of days or weeks, or it could be so extensive, it will take months to years to return to normal operations at the facility.

A COOP plan can be activated in part or in whole depending upon the disruption or threat. An event may demand that employees evacuate a single facility for a day or two, in which case execution of only the communications component of the COOP plan and the IT recovery of data and systems may be necessary. On the other hand, an organization's headquarters could be destroyed at the height of the business day, which necessitates full execution of a COOP plan, including the deliberate and pre-planned movement of key personnel to an alternate work site that is capable of sustaining critical functions for as many as 30 days.

An effective COOP plan will outline an executive decision process for the quick and accurate assessment of the situation and determination of the best course of action for response and recovery. It is helpful to develop a decision matrix or flow chart that ties the organization's reaction to the class or level of emergency.

Agencies should develop an executive decision making process that:

- Allows for a review of the situation
- Provides the best course of action for response and recovery

Following an established decision making process will help to preclude premature or inappropriate activation of a COOP plan. COOP implementation can be divided into three phases:

1. Activation and Relocation
2. Alternate Operating Facility Operations
3. Reconstitution

## **Activation and Relocation**

Activation and relocation encompasses the initial 12-hour period following activation of the COOP plan. During Phase I operations, agencies:

- Activate plans, procedures and schedules to transfer critical functions, personnel, records and equipment to alternate operating facilities
- Notify appropriate offices and agencies of COOP activation, regardless of agency location and the time of activation of call-down procedures

Agencies must be prepared to activate their COOP plans for all emergencies, regardless of warning. Agencies must also plan to activate their COOP plans during both duty and non-duty hours. Activation requires notification of:

- Alternate Facilities
- The State Emergency Operations Center (EOC)
- Other points of contact, as appropriate
- COOP essential and supportive personnel

### ***COOP Team Deployment***

COOP implementation will generate stress for the essential personnel as they prepare to depart quickly to the alternate facilities. Written procedures to guide the deployment process can reduce stress and ensure that no important concerns are overlooked during the transition. These procedures should specify:

- Whether the COOP team activation involves an Advance, or Strike Team deployment to establish physical and network infrastructure in advance of full COOP team deployment
- What the essential personnel should do and the materials that they should take to the alternate facility.
- Administrative requirements associated with travel and check-in at the alternate facility
- Based on the threat level, procedures may allow for partial deployment of critical functions that are critical to operations

## ***Relocation***

Relocation involves the actual movement of critical functions, personnel, records and equipment to the alternate operating facility. Relocation may also involve:

- Transferring communications capability to the alternate facility
- Ordering supplies and equipment that are not already in place at the alternate facility
- Other planned activities, such as providing network access

## ***Devolution***

In some cases, it may be necessary to activate the COOP plan through devolution. Devolution is the capability to transfer statutory authority and responsibility for critical functions from an agency's primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period. Devolution planning supports overall COOP planning and addresses catastrophic or other disasters that render an agency's leadership and staff unavailable or incapable of performing its critical functions from either its primary or alternate facilities. Agencies are required to complete devolution planning as part of their COOP planning processes.

Because devolution planning involves several special issues, developing specific procedures for devolution during the COOP planning process will facilitate devolution should it become necessary. Particular issues associated with devolution planning include:

- Personnel at the devolution site must be trained to perform the critical functions to the same level of proficiency as agency primary personnel.
- Vital records, documents and databases must be available and up to date at the devolution site.
- Communications and information management systems must be transferred to the devolution site.
- Delegations of authority must include senior personnel at the devolution site

## Alternate Facility Operations

This phase covers the period from 12 hours after activation up to 30 days. During phase II, agencies will conduct critical functions from the alternate facility.

Written procedures to guide essential personnel through the transition to the alternate facility will result in quicker COOP implementation. These procedures should address:

- Establishing minimum standards for communications and command and control will be established until the alternate facility is operational
- Activating plans, procedures and schedules to transfer activities, personnel, records and equipment
- Securing the primary facility and immovable equipment and records

Operations at alternate facilities vary widely depending on the agency and its critical functions. Despite this variability, there are some common issues that should be planned for to facilitate alternate facility operations. These include:

- Execution of critical functions
- Establishment of communications to all critical customers
- Assignment of responsibilities to key staff
- Augmentation of staff if it is determined that initial staffing is inadequate
- Accountability for staff, including supportive personnel
- Development of plans and schedules for reconstitution

## Reconstitution

Basic planning for reconstitution should take place concurrently with COOP planning. Emergency specific reconstitution planning should begin as soon as the COOP is implemented. Because reconstitution can be very complex, many agencies will designate a Reconstitution Coordinator whose job it will be to focus solely on reconstitution issues.

**Reconstitution** is the process by which agency personnel resume normal agency operations from the original or a replacement primary facility.

Reconstitution is conducted after the emergency or disruption ceases and is unlikely to resume. Organizations must identify and outline a plan to return to normal operations once organization heads or their successors determine reconstitution operations can begin.

### ***Reconstitution Process***

Extensive coordination is necessary to refurbish the original facility or to procure a new facility once an organization suffers the loss of its originating facility due to an event directly affecting the facility or collateral damage from a disaster rendering the structure unsafe for reoccupation. Within 24 hours of an emergency relocation, the organization should initiate and coordinate operations to salvage, restore, and recover the building after receiving approval from the appropriate local and Federal law enforcement and emergency services.

The COOP plan should coordinate and pre-plan options for reconstitution of an organization regardless of the level of disruption. These options shall include movement from the COOP or devolution location to the originating facility or a new site when the originating facility is rendered unstable or uninhabitable. The orderly transition of all functions, personnel, equipment, and records from the relocation site to a new or restored facility must be planned.

Outline a procedure necessary to effect a smooth transition from a relocation site to a new or restored facility. If you are returning to the original facility, you will need to ensure the safety of the building.

### ***Implementation of Reconstitution Plan***

Once you have a plan for reconstitution, you will need to inform all employees of the plan and the schedule for implementing it and the actions they should take. The implementation of the plan will mean the actual transfer of materials, personnel, supplies, and equipment to the original facility, a new permanent facility, or a temporary facility. The plan should ensure that this transfer is orderly.

Once you begin the transfer back to normal operations, you will need to notify your organization's operations center. You will also need to notify customers and other contacts and ensure they know how to reach you.

No test, training, or exercise event will offer you insight into the strengths and weaknesses of your COOP program that actual operations will provide. You should capitalize on the lessons learned about the COOP capability. Conducting an after-action review is an effective means of identifying those areas that require corrective action and those that do not.

### ***Reconstitution Manager***

The reconstitution manager is the individual who will coordinate and oversee the reconstitution process and who will develop the reconstitution plan. This individual will not work in isolation. Coordination with a host of other individuals and groups, including senior leadership, will be required. The reconstitution manager should create a reconstitution team consisting of individuals whose expertise will be required for the reconstitution effort. This team will assist in carrying out many of the responsibilities identified below:

- Develop space allocation and facility requirements
- Coordinate with appropriate organization to obtain office space for reconstitution if the building is not habitable
- Form a reconstitution team
- Develop a time-phased plan, listing functions and projects in order of priority for resuming normal operations
- Develop procedures, as necessary, for restructuring the staff
- Ensure the building is structurally safe and that it meets all local occupancy regulations

COOP is designed to handle emergencies for a 30-day time period. When an incident occurs, it is likely that an organization will immediately know whether an emergency will extend beyond a 30-day period or whether reconstitution of normal operations will be able to occur within the COOP time frame. It is important for organizations to look into considerations that may need to be taken into account in the event that an emergency does extend beyond 30 days. Although the plan your organization is currently developing does not go into detail about extending an emergency situation beyond 30 days, your organization should know which aspects would be most affected and have a strong idea of how to handle an extended emergency.



## **Other Teams**

Each agency should also create a Crisis Management Team and Disaster Recovery Teams.

A **Crisis Management Team (CMT)** is composed of senior management. The Team is identified ahead of time. All team members know who the team leader and back-up leader are. It is the team that controls and directs the COOP recovery process. The primary functions of the CMT, in general include:

- Direction and control
- Implementing the COOP Plan
  
- Contacting additional Team members
- Taking control of the recovery process
- Managing the various recovery teams as they rebuild
- Disbursing funds as needed
- Working with suppliers and shippers
- Making general management related business decisions
- Keeping the operations going and servicing constituencies

A **Disaster Recovery Team (DRT)** consists of a structured group of teams ready to take control of the recovery operations if a disaster should occur. DRTs should be comprised of a diverse group of individuals from within the agency. Depending on the roles and responsibilities of the team, team members will need a variety of skills and knowledge. For example one of the DRTs could be responsible for damage assessment; therefore team members would need to be knowledgeable about facilities and hardware.

The roles and responsibilities of DRTs will vary across agencies and the type of event that causes the COOP plan to be implemented. Therefore, Disaster Recovery Teams should be identified ahead of time, with the team leader, backup and team members known. Responsibilities of a DRT could include:

- Performing both the preliminary and detailed damage assessment function

- Providing a written recommendation to the CMT on the condition of the building in the event of a disaster
- Working directly with the general contractor, sub-contractor and building department
- Coordinating the rebuilding or relocation of the facility
- Ensuring any equipment supportive of the business is ordered and installed
- Ensuring that all environmental support systems are available prior to move back
- Working with maintenance providers
- Reporting damage to the State Emergency Operations Center (EOC)

### **Family Support Planning**

During a COOP situation, employees will need to focus on maintaining critical functions. This focus will be disrupted if the employees are also concerned about their family's safety and security. Employees and their families will appreciate knowing that the agency is concerned for their safety; therefore agency leaders should encourage all personnel to plan for their family's well being before a disaster strikes.

The COOP program should include:

- Processes for activating an emergency information call-in number for employees to get information about agency operations, pay and benefits and other items of interest
- A process for accounting for and tracking all employees. As the COOP situation progresses, it may be possible to expand operations. It is important to be able to account for and track employees so they can be reached if needed
- Provisions for providing guidance and assistance to employees and their families. Anticipating questions and providing guidance will help employees focus on their work, while being assured that their families are taken care of

In addition, the agency should provide information to employees they can share with their families about preparing for an emergency in advance.

## **J. Organizational Go-Kits**

*Use Form J to complete this task. There are no worksheets for this form.*

The transition to the alternate facility will occur more quickly if all needed equipment and administrative supplies are located at the facility before an emergency occurs. Another way to ensure a rapid recovery is for key personnel to create Go-Kits. Similar to the kits that personnel encourage their families to prepare, organizational Go-Kits are packages of records, information, communication and computer equipment and other items related to emergency operations. They should contain items that are essential to supporting the team member's operations at the alternate facility. Each key employee should prepare a kit in advance and keep it up to date and available should deployment be necessary.

### **Personnel Go-Kits:**

All personnel should ensure that their families have a Go-Kit that is readily accessible in case of an emergency. When preparing for emergency situations, it's best to think first about the basics of survival: **fresh water, food, clean air and warmth**. At a minimum each kit should contain:

- NOAA Weather Radio with a tone-alert feature, if possible, that automatically alerts you when a watch or warning is issued in the surrounding area
- Copies of important records such as, insurance policies, bank account records, emergency or law enforcement contact information and other priority documents that cannot be replaced easily in a waterproof, fireproof portable container
- Name and phone number of an out of area contact (It may be easier to call someone outside the area than to make local calls during an emergency. An out of area contact can relay messages about the location and safety of family members.)
- Water, amounts for portable kits will vary. (Individuals should determine what amount they are able to store comfortably and transport to other locations. If it is feasible, store one gallon of water per person per day, for drinking and sanitation.)
- Food, at least a three-day supply of non-perishable food per person
- Battery-powered radio and extra batteries
- Flashlight and extra batteries

- First Aid kit
- Whistle to signal for help
- Dust or filter masks, readily available in hardware stores, which are rated based on how small a particle they filter
- Moist towelettes for sanitation
- Wrench or pliers to turn off utilities
- Can opener for food (if Go-Kit contains canned food)
- Plastic sheeting and duct tape to “seal the room”
- Garbage bags and plastic ties for personal sanitation

For more information on creating a Go-Kit visit:

- [www.redcross.org](http://www.redcross.org)
- <http://www.pema.state.pa.us/>
- <http://www.ready.gov/>

## ***IV. Training, Testing and Exercises***

### **The Training, Testing and Exercises phase consists of:**

- Assessing and validating COOP plans, policies and procedures
- Ensuring that agency personnel are familiar with COOP procedures
- Ensuring that COOP personnel are sufficiently trained to carry out critical functions during COOP activation

## ***K. Training, Testing and Exercises***

*The following will help you to complete Form K: Training, Testing, Exercise and Maintenance. There are no worksheets for this form.*

For the agency COOP plan to be effective, each division must know how to execute its portion of the COOP plan and how it relates to the other divisions of the COOP plan. The Tests, Training and Exercises (TT&E) phase of the planning process is extremely important in regards to employee awareness and readiness. It ensures that the agency's COOP program and all personnel are capable of supporting the continued execution of its critical functions throughout the duration of an emergency situation. To achieve this, TT&E programs must be a blend of testing, training and exercise events.

The objectives of the COOP TT&E program include:

- Assess and validate COOP plans, policies and procedures.
- Ensure that agency personnel are familiar with COOP procedures. In some cases, this also extends to public officials or other external individuals included as part of the COOP Team.
- Ensure that COOP personnel are sufficiently trained to carry out critical functions in a COOP situation.
- Test and validate equipment to ensure both internal and external interoperability.

### **Testing**

A test is an evaluation of a capability against an established and measurable standard. Tests are conducted to evaluate *capabilities*, not personnel. By testing, agency personnel can tell if the policies and procedures work as they should, when they should. There should be thorough documentation of all tests maintained by the agency, these should be made available to all active members of the COOP team and others, and gaps identified through tests should be actively tracked and managed. Standard testing templates that are appropriate for the agency's operations should be developed, and a test schedule developed, implemented and monitored to ensure the proper strengthening of core plan components. Testing is critical for:

- Alert, notification and activation procedures

- Communications systems
- Vital records and databases
- Information technology systems
- Major systems at the alternate facility
- Reconstitution procedures

The agency test schedule **must** include:

- Quarterly testing of alert, notification and activation procedures.
- Semiannual testing of plans for the recovery of vital classified and unclassified records and critical information systems, services and data.
- Quarterly testing of communications capabilities.
- Annual testing of primary and backup infrastructure systems and services at alternate operating facilities.

## **Training**

Training is instruction in core competencies and skills and is the principal means by which individuals achieve a level of proficiency. It provides the tools needed to accomplish a goal, meet program requirements or acquire a specified capability. Training encompasses a range of activities, each intended to provide information and refine skills. It is recommended that training histories and ongoing training plans be documented. This helps maintain skill currency and the ability to close any noted skill gaps. Training results should be published and identified gaps should be actively tracked and managed. A documented schedule should be published and kept current. Standard training templates should be developed.

Before the COOP plan is exercised, personnel must be trained so that they know what their responsibilities are and have the skills and knowledge necessary to carry out their responsibilities. There are two main methods of training.

## **Orientations**

Orientations are usually the first type of training conducted. They are typically presented as briefings. Orientations are a good way to:

- Introduce the general concepts of the COOP plan
- Announce staff assignments, roles and responsibilities
- Present general procedures
- Describe how the COOP plan will be tested and exercised and within what timeframes

## **Hands-On Training**

After familiarizing personnel with basic policies and procedures, hands-on training can:

- Provide practice in specialized skills
- Allow for practice of newly acquired skills
- Help maintain proficiency at infrequently used skills

## **Exercises**

Exercises are events that allow participants to apply their skills and knowledge to improve operational readiness. Exercises allow planners to evaluate the effectiveness of previously conducted tests and training activities. The primary purpose of an exercise is to identify areas that require additional training, planning or other resources. It is recommended that exercise histories and ongoing exercise plans be documented. This helps maintain skill currency and the ability to close any noted skill gaps. Exercise results should be published and identified gaps should be actively tracked and managed. A documented schedule should be published and kept current. Standard exercise templates should be developed.

The goal of exercising an agency COOP plan is to prepare for a real incident involving COOP activation. The broad goals are to:

- Discover planning weaknesses
- Reveal resource gaps
- Improve coordination
- Practice using the communication network
- Clarify roles and responsibilities
- Improve individual performance
- Improve readiness for a real incident



After personnel are trained, the plan can be tested through one of three types of exercises: Tabletop, Functional or Full-scale.

### **Tabletop Exercises**

A table top exercise is a simulation activity in which a scenario is presented and participants in the exercise respond as if the scenario was really happening. A tabletop is discussion-based, and is considered a low-stress method for stimulating a progressive review of your plan capability. New information is presented as the situation unfolds, making the participants reconsider their previous decisions and plan their next actions based on the new information. The scenario can be presented orally by the exercise controller, in written text or by audio or video means. Typically, a tabletop exercise takes about 2 hours, including the post exercise debriefing.

Tabletop exercises are particularly useful to:

- Enable decision makers to walk through an incident and make decisions similar to those in an actual incident
- Provide a forum for discussion of plans, policies and procedures in a low-stress, low-risk environment
- Resolve questions of coordination and responsibility

It is particularly helpful to conduct tabletop exercises on new or newly revised plans before more wide scale, higher-risk exercises are conducted.

### **Functional Exercises**

Functional exercises are designed to simulate the activation of a function during a real incident, e.g. communications. Functional exercises test a part of the COOP activation, are generally more closely aligned with real-time events, and take place in a higher-stress environment that tests the operational capability and adaptability of your team, but without real-life consequences.

## **Full-Scale Exercises**

Full-scale exercises test the agency's total response capability for COOP situations in real-time settings and in a highly stressful environment. These exercises are as close to reality as possible, with personnel being deployed and systems and equipment being implemented.

## **Training Requirements**

Training familiarizes agency personnel with the critical functions that they may have to perform in a COOP situation.

A minimal, baseline training program should include:

- COOP awareness briefings for senior executive staff, to ensure agency ‘buy-in’
- COOP awareness briefings for the entire workforce
- Team training for COOP personnel (In some cases, this also extends to public officials or other external individuals included as part of the COOP Team.)
- Team training for agency personnel assigned to activate, support and sustain COOP operations

When determining training needs, consider the policies and procedures that require implementation and the tasks to be performed as part of continuing critical functions. Develop and conduct training based on the actual training needs.

## **Training and Exercises as a part of your review and updating plan strategy**

An organization should review and update its plans regularly. The work of the POC and COOP team does not end with the development and implementation of a COOP program. Development and implementation are just the beginning. An effective COOP plan will not remain viable without regular review and revision.

To maintain COOP readiness, the following tasks should be undertaken:

- Training personnel
- Conducting periodic COOP exercises
- Institution of a multiyear process to ensure the plan continues to be updated as necessary

## **Training Personnel**

After the COOP plan is developed, all personnel who will be involved in COOP activities should be trained and equipped to perform their emergency duties. Consideration should be given to cross-

training team members. Cross training will ensure that the team is prepared to deal with the unusual demands that may arise when critical functions must be continued with a reduced staff.

Effective COOP training plans will provide for:

- Individual and team training to ensure currency of knowledge and integration of skills necessary to carry out critical functions
- Refresher training for personnel as they arrive at the alternate facility
- Training courses and materials designed to improve knowledge and skills related to carrying out COOP responsibilities

## Sample COOP Training Plan

The table below is an example from the Federal Emergency Management Agency (FEMA).

Program			Frequency	Cost
	Method	Audience		
Orientation	Briefing	New Hires	Monthly	\$1,000
	Job Aids			
Orientation	Briefing	Senior Management	Annually	\$5,000
	Job Aids			
Refresher	Intranet	All employees	Annually	\$2,000
Orientation	Workshop	Essential Personnel	Monthly	\$12,000
Orientation	Workshop	Successors	1 <sup>st</sup> Quarter FY 200X	\$10,000
		Selected Essential Personnel		
Orientation	Classroom	Executive Leadership	2 <sup>nd</sup> Quarter FY 200X	\$5,000
		Senior Management		
		Supervisors		
Orientation	Intranet	All employees	2 <sup>nd</sup> Quarter FY 200X	\$7,000
	Meetings			
Orientation	Workshop	Special Teams	1 <sup>st</sup> Quarter FY 200X	\$5,000
<b>Total Cost</b>				<b>\$47,000</b>

### Conducting periodic COOP exercises

COOP plan maintenance should include a plan of progressive exercises. Exercises should test and improve COOP:

- Plans and procedures
- Systems

- Equipment

An effective exercise plan should include a variety of hazards and exercise types. Full-scale exercises should simulate actual emergency conditions. Exercises should include the phase-down of alternate facility operations and the return to normal operations.

A comprehensive after-action report should be completed following each exercise. Lessons learned should be incorporated into revisions to the COOP plan, training plan and exercise plan.

Exercises should include the full spectrum of COOP operations:

- Alert, notification and activation
- Relocation to the alternate facility
- Operations
- Logistical support, services and infrastructure at the alternate facility
- Devolution and Reconstitution

### **Exercise Design Resources**

The Pennsylvania Emergency Management Agency (PEMA) is the primary contact for Commonwealth agency personnel seeking training and assistance in exercise design and implementation. The training link on PEMA's [web site](#) provides scheduling for the Homeland Security Exercise Evaluation Program (HSEEP) residential course, as well as other training options in locations throughout the Commonwealth.

FEMA's Emergency Management Institute (EMI) offers residential courses in exercise design, development, evaluation, and simulation control management that can be scheduled via their website at <http://training.fema.gov/EMICourses/EMICourse.asp>. EMI also offers independent study through on-line training in COOP Awareness and COOP Train the Trainer, in addition to all of the relevant modules associated with the National Incident Management System (NIMS)/Incident Command System (ICS) at <http://www.learningservices.us/FEMA/LMS/>.

Contact with your local or county EMA or the Regional Counter Terrorism Task Force for your region is also recommended to find out about local resources available for designing and conducting COOP and other emergency response exercises.

## Sample COOP Exercise Plan

Type	Participants	Frequency	Cost	Location
Drill	Successors	Quarterly	\$15,000	Alternate Facility
Tabletop	Senior Management	Annually	\$25,000	TBD
Full-scale	Key Personnel	Annually	\$100,000	Alternate Facility
Tabletop	Key Personnel	Annually	\$3,000	Training Room
	Successors			Alternate Facility
Tabletop	Executive Leadership	Annually	\$1,000	Training Room
	Senior Management			
	Supervisors			
<b>Total Cost</b>			<b>\$144,000</b>	

*The above table is an example from the Federal Emergency Management Agency.*

## ***V. Maintaining the Plan***

The Maintaining the Plan phase consists of:

- Instituting a multiyear process to ensure the plan continues to be updated as necessary



## **L. COOP Plan Maintenance - Developing a Multiyear Strategy and Program Management Plan**

*The following will help you to understand the elements of Form L: COOP Plan Maintenance*

To ensure that COOP plans always reflect current conditions, they should be reviewed as part of the training and exercise program. Changes to the agency's structure, critical functions or mission should be made to the plan as they occur. Long-term plan maintenance should be undertaken carefully, planned for in advance and completed according to an established schedule.

The Multiyear Strategy and Program Management Plan is critical to developing and managing a viable agency COOP capability. It will assist COOP planners in defining short and long-term COOP goals and objectives. The plan should develop requirements, identify tasks and milestones, and outline a plan of action to accomplish the tasks within an established schedule. Additionally, it will provide a common basis and informational format for developing and defending COOP budget submissions.

Major issues to be considered in COOP plan maintenance include:

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

A comprehensive strategy for plan maintenance includes:

- A reference to the general COOP planning requirements.
- A description of the elements that ensure a viable COOP capability.
- Identification of the resources required to establish each element.
- Discussion of organization-specific management and policy issues.
- A schedule for establishing COOP capability and plan approval.
- An endorsement sheet signed by the agency leader.
- The budget required to accomplish the strategy.

## **Designation of a Review Team**

A team designated to oversee plan review and revision should undertake plan maintenance formally. Personnel should be selected for the review team for the same reasons as for the original planning team:

- Their knowledge of overall agency operations.
- Their expertise in specific critical functions.
- Their expertise in specific advisory areas.

Members of the review team can be the same personnel that were part of the original COOP Planning Team.

The review team should meet after each exercise and on a regular basis throughout the year. Each meeting should be structured to review specific aspects of the plan and should include action items for review and revision as necessary.

## **Identifying Issues that Affect the COOP Plan**

Most major issues affecting the COOP plan will surface during lessons learned exercises. Additional major issues may come from:

- Presidential Directive and/or State and local ordinances or directives, as appropriate.
- Direction from agency leadership.
- Policy or mission changes.
- Changes in technology or office systems.
- Changing customer needs.

Develop a strategy to methodically review and identify issues that could affect COOP planning or operations. Involve agency management, as necessary, for resolution of the identified issues.

## **Establish a Review Cycle**

COOP plans, policies and procedures should be reviewed at least annually. Additional reviews should be undertaken following each exercise and testing of major systems. Issues raised in trainings may also trigger a plan review.

## **Developing the COOP Maintenance Budget**

Develop the COOP budget according to agency policies and procedures. When developing the budget be sure to consider costs related to:

- Planning team time (if required by agency)
- Plan and procedure development
- Hazard identification and risk assessment
- Alternate facility
- Interoperable communications
- TT&E
- Logistics and administration
- Security
- MOUs/MOAs
- Mitigation strategies

## Sample Multiyear Strategy and Program Management Plan

Activity	Tasks	Frequency
Plan update and certification	<ul style="list-style-type: none"> <li>• Review entire plan for accuracy</li> <li>• Incorporate lessons learned and changes in policy and/or philosophy</li> <li>• Manage distribution of plan updates</li> </ul>	Annually (November of each year) or as needed
Maintain and update Orders of Succession	<ul style="list-style-type: none"> <li>• Obtain names of current incumbents and designated successors</li> <li>• Update delegations of authorities</li> </ul>	Annually (November of each year) or as needed
Update checklists	<ul style="list-style-type: none"> <li>• Update and revise checklists</li> <li>• Ensure annual update/validation</li> </ul>	Annually (November of each year) or as needed
Appoint new COOP team members	<ul style="list-style-type: none"> <li>• Review qualification requirements</li> <li>• Issue appointment letters</li> <li>• Schedule new member orientation</li> </ul>	As needed
Maintain alternate worksite readiness	<ul style="list-style-type: none"> <li>• Test all systems</li> <li>• Verify access codes and systems</li> <li>• Cycle supplies and equipment as needed</li> </ul>	Quarterly
Review/update supporting MOUs/MOAs	<ul style="list-style-type: none"> <li>• Review MOUs/MOAs for currency and new needs</li> <li>• Incorporate revisions, as required</li> <li>• Obtain signatures of reviewing authorities to confirm validity</li> </ul>	Annually
Monitor and maintain equipment at alternate sites	<ul style="list-style-type: none"> <li>• Train users and provide technical assistance as needed</li> </ul>	Ongoing

	<ul style="list-style-type: none"> <li>• Monitor volume/age of materials and assist users with cycling/updating/removing files</li> </ul>	
Train new key personnel	<ul style="list-style-type: none"> <li>• Provide orientation</li> <li>• Schedule participation in training and exercises</li> </ul>	Within 30 days of appointment
Orient new policy officials and senior management	<ul style="list-style-type: none"> <li>• Brief officials on COOP philosophy</li> <li>• Brief each official on his/her COOP responsibilities</li> </ul>	Within 30 days of appointment
Plan and conduct exercises	<ul style="list-style-type: none"> <li>• Conduct internal exercises</li> <li>• Conduct joint exercises with agencies</li> <li>• Support and participate in interagency exercises</li> </ul>	<ul style="list-style-type: none"> <li>• Semiannually</li> <li>• Annually</li> <li>• Annually or as needed</li> </ul>
Maintain security clearances	<ul style="list-style-type: none"> <li>• Obtain, maintain and update appropriate security clearances</li> </ul>	Ongoing

*The above table is an example from the Federal Emergency Management Agency (FEMA).*

### ***Distributing the COOP Plan***

Initial distribution of the COOP plan is usually accomplished in one of two ways:

- Providing personnel with a hardcopy.
- Distribution via the agency's intranet.

Because tracking changes to a hardcopy plan may be difficult or impossible, it is preferable to distribute the plan via the agency's intranet. If the intranet is used, be sure to alert agency personnel via email or other notification method when revisions are posted to the plan.

In certain scenarios, neither the local office nor the agency's internet/intranet resources will be accessible. In these cases, there must be clearly documented and available procedures to instruct the response team as to the location of the COOP plan.

Because of the sensitive nature of the material located in the plan, not everyone needs a copy of the COOP plan. Agencies may decide to distribute a limited number of full plans to specific

individuals within the agency and provide all other personnel with relevant portions or simply an overview.

*Worksheet #M1 is a COOP Planning Checklist. Agencies may want to use the checklist to guide the COOP plan development process from the beginning.*

*Form M is a COOP Planning Crosswalk. After an agency completes a working draft of a COOP plan, a thorough review of the plan using this crosswalk will enable COOP certification. Include a completed copy of Form M as an appendix to the Plan.*

## **Pandemic COOP Preparedness**

The agency should address pandemic COOP capability through a separate annex to the **COOP Template**. The US Department of Homeland Security (DHS)/FEMA has developed a Pandemic COOP template that addresses how to consider each of the essential COOP capabilities from the perspective of the pandemic influenza threat. This template can be found at [http://www.fema.gov/pdf/government/coop/influenza\\_coop\\_annex.pdf](http://www.fema.gov/pdf/government/coop/influenza_coop_annex.pdf).

The pandemic COOP capability of the agency may then be cross-walked according to the Agency COOP Pandemic Planning Crosswalk, using Form N.

## **GLOSSARY**

The glossary on the following pages was created from a variety of public sources to provide stakeholders with differing backgrounds a set of standard definitions for significant terms used throughout the COOP Planning process.



## COOP DEFINITIONS

**ABC Fire Extinguisher:** Chemically based devices used to eliminate ordinary combustible, flammable liquid and electrical fires.

**Activity:** A function performed by an organizational unit.

**Activation:** When all or a portion of the recovery plan has been put into motion.

**After-Action Report (AAR):** A narrative report that presents issues found during an incident and recommendations on how those issues can be resolved.

**Alert:** Advanced notification that an emergency or disaster situation may occur.

**Alternate Database/Records Access:** The safekeeping of vital resources, facilities and records, and the ability to access such resources in the event the COOP plan is activated.

**Alternate Facility/Work Site:** A location, other than the normal facility, used to conduct critical functions and/or process data in the event that access to the primary facility is denied or the primary facility is damaged. The alternate site provides the capability to perform critical functions until normal operations can be resumed.

**Alternative Communications:** A communication method that provides the capability to perform minimum essential

department or office functions until normal operations can be resumed.

**Applicability:** Capable of, or suitable for, being applied.

**Assessment:** The evaluation and interpretation of measurements and other information to provide a basis for decision-making.

**Assumptions:** A basic understanding about unknown disaster situations that the disaster recovery plan is based upon.

**Authority:** A citation used in defense or support, or the source from which the citation is drawn. A conclusive statement or set of statements.

**Back Office Location:** An office or building used by the organization to conduct support activities that is not located within an organization's headquarters or main location.

**Backup:** The practice of copying information, regardless of the media, to provide a duplicate copy.

**Backup Position:** A list of alternative personnel who can fill a recovery team position when the primary person is not available.

**Backup Strategies (Recovery Strategies):** Alternative operating method (i.e., platform, location, etc.) for facilities and system operations in the event of a disaster.

**Baseline:** A reviewed and approved release of artifacts that constitutes an agreed-on basis for further evolution or development and that can be changed only through a formal procedure such as configuration and change management.

**Biological Weapons:** Weapons using organic (plant or animal) material designed to injure or kill by use of illness producing bacteria, virus, rickettsia or toxin.

**Business Continuity:** The ability of an organization to ensure continuity of service and support for its customers, and to maintain its viability before, after and during an event.

**Business Impact Analysis (BIA):** The process of analyzing all business functions and the effect that a specific disaster may have upon them. In addition, a BIA identifies the resources required to support these functions.

**Business Interruption:** Any event, whether anticipated (i.e., public service strike) or unanticipated (i.e., blackout) which disrupts the normal course of business operations.

**Business Interruption Cost:** The costs or lost revenue associated with an interruption in normal business operations.

**Business Process:** A business process defines a set of business functions, during which each function is a sequence of actions that a business performs that yields an observable result that produces value to a particular business resource. A business process can include manual and

automated processes as well as physical entities such as physical forms and software.

**Building Alert System:** A system that alerts employees there is an emergency that requires them to leave the building. Examples of alert systems include fire alarms and building PA systems.

**Certified Business Continuity Planner (CBCP):** CBCP's are certified by the Disaster Recovery Institute, a not-for-profit corporation, which promotes the credibility and professionalism in the Disaster Recovery industry.

**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.

**Chained Processes:** Chained processes are Business Processes that rely on other Business Process in order for them to properly function.

**Checklist Test:** A method used to test a completed disaster recovery plan. This test is used to determine if the information such as phone numbers, manuals, equipment, etc. in the plan are accurate and current.

**Citizen Emergency Response Team (CERT):** The program helps train people to be better prepared to respond to emergency situations in their communities. When emergencies occur, CERT members can give critical support to first

responders, provide immediate assistance to victims, and organize spontaneous volunteers at a disaster site. CERT members can also help with non-emergency projects that help improve the safety of the community.

**Class/Level of Emergency:** A decision matrix or flowchart that ties the organization's reaction to the type or intensity of an emergency.

**Cold Site:** An alternate site that is reserved for emergency use, but which requires the installation of equipment before it can support operations. Equipment and resources must be installed in such a facility to duplicate the essential business functions of an organization. Cold-sites have many variations depending on their communication facilities, UPS systems, or mobility.

**Command and/or Control Center:** A centrally located facility having adequate phone lines to begin recovery operations. Typically it is a temporary facility used by management to begin coordinating the recovery process and used until the alternate sites are functional.

**Communications Failure:** An unplanned interruption in electronic communication between a terminal and a computer processor, or between processors, as a result of a failure of any of the hardware, software, or telecommunications components comprising the link.

**Communications Recovery:** The component of Disaster Recovery which deals with the

restoration or rerouting of an organization's telecommunication network, or its components, in the event of loss.

**Communications Systems:** Those telecommunications systems generally supporting the business of the entire organization and are not specific to a particular function. Nevertheless, some functions have communication methods that are peculiar to that function. Intra-organization communication systems link various divisions and functions within an organization. There may also be inter-organization systems — integrated systems tying the communication systems of two or more organizations together.

**Concept of Operations:** Explains how the organization will implement its COOP Plan, and specifically, how it plans to address each critical COOP element.

**Continuity of Government (COG):** The effort to ensure continued leadership, authorities, direction and control, and preservation of records, thereby maintaining a viable system of government.

**Continuity of Operations (COOP):** An internal effort within individual components of the government to assure that capability exists to continue critical functions across a wide range of potential emergencies through a planning document.

**Continuity of Operations Plan:** A set of documented procedures to resume or restore

critical business processes following a disruption. This plan must be coordinated with the IT Disaster Recovery Plan to ensure the recovery time objective (RTO) is addressed and is consistent in each document, and that recovery strategies and supporting resources neither negate each other nor duplicate efforts. The program or business owners typically develop this plan, as they are most familiar with their business processes.

**COOP Coordinator/Point of Contact (POC):**

The agency's manager for all COOP activities. The Coordinator has overall responsibility for developing, coordinating and managing all activities required for the agency to perform its critical functions during an emergency or other situation that would disrupt normal operations. The first step in the COOP planning process is selecting a COOP coordinator, also known as the Point-of-Contact (POC).

**COOP Plan Maintenance:** Steps taken to ensure the COOP plan is reviewed and updated at some predetermined time period and whenever major changes occur.

**COOP Planning Team:** A team responsible for COOP planning for an agency. This team requires a good mix of organization professionals and includes members from all levels of management and staff. It also consists of members from various divisions of the organization, including those not directly related to the mission, such as human resources. Team

members should act as COOP coordinators for their respective functions, elements or divisions.

**Cooperative Hot Sites:** A hot site owned by a group of organizations available to a group member should a disaster strike.

**Coordinate:** 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.

**Core:** The heart, or central part, of something.

**Counterterrorism:** The full range of activities directed against terrorism, including preventive, deterrent, and response and crisis management efforts.

**Crisis:** A critical event, which, if not handled in an appropriate manner, may dramatically impact an organization's profitability, reputation, or ability to operate.

**Crisis Management:** The overall coordination of an organization's response to a crisis, in an effective, timely manner, with the goal of avoiding or minimizing damage to the organization's profitability, reputation, or ability to operate.

**Crisis Management Team:** Composed of senior management, this team controls and directs the COOP recovery process.

**Damage Assessment:** The process of assessing damage following a disaster to computer hardware, vital records, office facilities, etc., and determining what can be salvaged or restored and what must be replaced.

**Declaration Fee:** A one-time fee, charged by an Alternate Facility provider, to a customer who declares a disaster. Some recovery vendors apply the declaration fee against the first few days of recovery.

**Dedicated Line:** A reestablished point-to-point communication link between computer terminals and a computer processor, or between distributed processors that does not require dial-up access.

**Delegation of Authority:** Pre-delegated authorities for making policy determinations and decisions at headquarters, field levels and other organizational locations, as appropriate.

**Deliverable:** An output from a process that has a value, material or otherwise, to a customer.

**Designated Assembly Area:** A predetermined area for employees to report in the event the building needs to be evacuated as a result of an emergency or disaster.

**Devolution:** Transfer of rights, powers, property, or responsibility to another.

**Dial Backup:** The use of dial-up communication lines as a backup to dedicated lines.

**Dial-Up Line:** A communication link between computer terminals and a computer processor, which is established on demand by dialing a specific telephone number.

**Disaster:** Any event that creates an inability on an organization's part to provide essential business functions for some predetermined period of time.

**Disaster Recovery:** The methodical restoration and reconstitution of facilities, data, records, systems and equipment after a disruption to operations that has caused damage and/or destruction of these resources. The process used once a disaster has occurred to quickly regain business continuity.

**Disaster Recovery Plan:** The advance planning and preparations, which are necessary to minimize loss and ensure continuity of the essential business functions of an organization in the event of disaster. The document defines the resources, actions, tasks and data required to manage the business recovery process in the event of a business interruption.

**Disaster Recovery Team:** A structured group of teams ready to take control of the recovery operations if a disaster should occur.

**Downloading:** Connecting to another computer and copying a program or file from that system.

**Electronic Vaulting:** Transfer of data to an offsite storage facility via a communication link rather than via portable media. Typically used for batch/journal

updates to critical files to supplement full backups taken periodically.

**Emergency:** A sudden, unexpected event requiring immediate action due to potential threat to health and safety, the environment, or property.

**Emergency Operating Records:** Records (plans and directives, orders of succession and delegation of authority) essential to the continued functioning of an agency during and after an emergency.

**Emergency Operations Center (EOC):** The site from which civil government officials (municipal, county, State and Federal) exercise direction and control in an emergency.

**Emergency Operations Plan (EOP):** A plan that provides facility-wide procedures for emergency situations that generally includes personnel safety and evacuation procedures.

**Emergency Preparedness:** The discipline, which ensures an organization, or community's readiness to respond to an emergency in a coordinated, timely, and effective manner.

**Emergency Procedures:** A plan of action to commence immediately to prevent the loss of life and minimize injury and property damage.

**Emergency Public Information:** Information, which is disseminated primarily in anticipation of an emergency or at the actual time of an emergency and in addition to providing

information, frequently directs actions, instructs, and transmits direct orders.

**Emergency Response Team (ERT):** Employees who have been selected to ensure that building evacuation is carried out as planned, evacuated building occupants are directed to assigned assembly points where they will be accounted for, and persons needing assistance to evacuate are attended to.

**Employee Relief Center:** A predetermined location for employees and their families to obtain food, supplies, financial assistance, etc., in the event of a catastrophic disaster.

**Evacuation:** Organized, phased, and supervised dispersal of civilians from dangerous or potentially dangerous areas and their reception and care in safe areas.

**Evacuation Route/Exit:** The means by which employees can depart the building during an emergency or disaster.

**Event:** The specification of a significant occurrence that has a location in time and space.

**Execution:** The act or mode or result of performance.

**Executive Summary:** Briefly outlines the organization and content of the COOP plan and describes what it is, whom it affects and the circumstances under which it should be executed.

**Exercise:** An event that allows participants to apply their skills and knowledge to improve operational readiness. Exercises allow planners to evaluate the effectiveness of previously conducted tests and training activities.

**Extended Outage:** A lengthy, unplanned interruption in system availability due to computer hardware or software problems, or communication failures.

**Facilities:** A location containing the equipment, supplies, voice and data communication lines, to conduct transactions required to conduct business under normal conditions.

**Family Support Planning:** Information an agency should provide to employees that they could share with their families about preparing for an emergency in advance.

**File Backup:** The practice of dumping (copying) a file stored on disk or tape to another disk or tape. This is done for protection in the event the active file gets damaged.

**File Recovery:** The restoration of computer files using backup copies.

**File Server:** The central repository of shared files and applications in a computer network (LAN).

**First Responder:** Local police, fire, 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.

**Full Scale Exercise:** Tests the agency's total response capability for COOP situations. These exercises are as close to reality as possible, with personnel being deployed and systems and equipment being implemented.

**Functional Exercise:** Simulate a function within a real incident. Functional exercises test a part of COOP activation to be tested independently of other responders.

**Generator:** An independent source of power usually fueled by diesel or natural gas.

**Glossary:** A collection of specialized terms with their meanings. Contains a listing of all the terms and acronyms that are contained in the various project deliverables and in conjunction with continuity of operations/disaster readiness planning.

**Go-Kits: Organizational -** Packages of records, information, communication and computer equipment and other items related to emergency operations. They should contain items that are essential to supporting the team member's operations at the alternate facility.

**Family** – A container that contains the basic necessities for survival, such as food and water.

**Halon:** A gas used to extinguish fires effective only in closed areas.

**Hands-On Training:** Provides practice in specialized skills, allows for practice of newly

acquired skills and helps maintain proficiency at infrequently used skills.

**Hazard:** A source of danger.

**Hot Site:** An alternate facility that has the equipment and resources to recover the business functions affected by the occurrence of a disaster. Hot-sites may vary in type of facilities offered (such as data processing, communication, or any other essential business functions needing duplication). Location and size of the hot-site will be proportional to the equipment and resources needed. 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.

**Human Capital Management:** The process of acquiring, optimizing and retaining the best talent by implementing processes and systems matched to the organization's underlying mission.

**Human Threats:** Possible disruptions in operations resulting from human actions (i.e., disgruntled employee, terrorism, etc.).

**Implementation:** To give practical effect to and ensure actual fulfillment by concrete measures.

**Internal Call List:** Standard format for an emergency-call tree for employees.

**Internal Hot Sites:** A fully equipped alternate processing site owned and operated by the organization.

**Interoperability:** The ability of a system or a product to work with other systems or products without special effort on the part of the user.

**Interoperable Communication:** Communication that provides the capability to perform critical functions, in conjunction with other agencies and organizations, until normal operations can resume.

**Interruption:** An outage caused by the failure of one or more communications links with entities outside of the local facility.

**Introduction:** Explains the importance of COOP planning to the organization. It may also discuss the background for planning, referencing recent events that have led to the increased emphasis on the importance of a COOP capability for the organization.

**IT Recovery Plan:** A plan developed in support of the COOP Plan. This plan provides the steps required to recover the IT infrastructure that supports critical functions and applications.

**IT Recovery Process:** Defines a specific set of actions that a business must take to recover IT functions that support business processes.

**Key Personnel:** 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 critical functions.

**Legal and Financial Records:** Records essential to the protection of the legal and financial rights of an agency and of the individuals directly affected by the agency's activities.

**Liaison:** An agency official sent to another agency to facilitate interagency communications and coordination.

**Line Rerouting:** A service offered by many regional telephone companies allowing the computer center to quickly reroute the network of dedicated lines to a backup site.

**Line Voltage Regulators:** Also known as surge protectors. These protectors/regulators distribute electricity evenly.

**Local Area Network (LAN):** A short distance data communications network used to link computers and peripheral devices (such as printers) under some form of standard control. A LAN can be extended with point-to-point wireless access points, thereby extending the coverage area inside large buildings or to nearby buildings within the campus.

**Loss:** The unrecoverable business resources that are redirected or removed as a result of a disaster. Such losses may be loss of life, revenue, market share, competitive stature, public image, facilities, or operational capability.

### **Magnetic Ink Character Reader (Mier)**

**Equipment:** Equipment used to imprint machine-readable code. Generally, financial institutions use this equipment to prepare paper data for processing, encoding (imprinting) items such as routing and transit numbers, account numbers and dollar amounts.

**Mainframe Computer:** A high-end computer processor, with related peripheral devices, capable of supporting large volumes of batch processing, high performance on-line transaction processing systems, and extensive data storage and retrieval.

**Media Relations:** Cultivating and maintaining two-way communications with the public through various media outlets.

### **Memorandum of Agreement/Understanding**

**(MOA/MOU):** A contract to provide a service, which includes the method of performance, the fees, the duration, the services provided and the extent of security and confidentiality maintained. An agreement made by a group of organizations to share processing facilities and/or office facilities, if one member of the group suffers a disaster.

**Method:** A regular and systematic way of accomplishing something; the detailed, logically ordered plans or procedures followed to accomplish a task or attain a goal. The implementation of an operation, the algorithm or procedure that affects the results of an operation.

**Milestone:** The point at which iteration formally ends; corresponds to a release point.

**Mission Critical Function:** An essential function with a RTO of zero.

**Mitigation:** Long-term, proactive projects and strategies to help reduce the loss of life and property resulting from natural hazards. Measures employed to prevent, detect or contain incidents, which if unchecked, could result in disaster. The technique of instituting mechanisms to lessen the exposure to a particular risk.

**Mobile Hot Site:** Large trailer containing backup equipment and peripheral devices delivered to the scene of the disaster. It is then hooked up to existing communication lines.

### **Multiyear Strategy and Program Management**

**Plan:** This plan is critical to developing and managing a viable agency COOP capability. It will assist COOP planners in defining short and long-term COOP goals and objectives. The plan should develop requirements, identify tasks and milestones, and outline a plan of action to accomplish the tasks within an established schedule. Additionally, it will provide a common basis and informational format for developing and defending COOP budget submissions.

**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.

**Natural Threats:** Events caused by nature causing disruptions to an organization.

**Network Outage:** An interruption in system availability as a result of a communication failure affecting a network of computer terminals, processors, or workstations.

**Node:** The name used to designate a part of a network. This may be used to describe one of the links in the network, or a type of link in the network (for example, Host Node or Intercept Node).

**Non-Vital Records:** Records or documents, which, if irretrievably lost or damaged, will not materially impair the organization's ability to conduct business.

**Off-Line Processing:** A backup mode of operation in which processing can continue manually or in batch mode if the on-line systems are unavailable.

**Off-Site Processing:** A backup mode of operation in which processing can continue throughout a network despite loss of communication with the mainframe computer.

**Off-Site Storage Facility:** A secure location, remote from the primary location, at which backup hardware, software, data files, documents, equipment, or supplies are stored.

**On-Line Systems:** An interactive computer system supporting users over a network of computer terminals.

**Operating Software:** A type of system software supervising and directing all of the other software components plus the computer hardware.

**Orders of Succession:** A formula that specifies by position who will automatically fill a position once it is vacated.

**Orientation Training:** Usually the first type of training conducted, it is typically presented as a briefing.

**Organization Chart:** A diagram representative of the hierarchy of an organization's personnel.

**Organization-Wide:** A policy or function applicable to the entire organization and not just one single department.

**Outsourcing:** The transfer of data processing functions to an independent third party.

**Parallel Test:** A test of recovery procedures in which the objective is to parallel an actual business cycle.

**Peripheral Equipment:** Devices connected to a computer processor, which perform such auxiliary functions as communications, data storage, printing, etc.

**Personnel Accountability:** Ensures that all personnel are safe, essential employees have arrived at the site and replacement personnel and

augmentees can be identified quickly, when necessary.

**Plan:** A systematic arrangement of elements or important parts.

**Platform:** Hardware or software architecture of a particular model or family of computers (i.e., IBM, Tandem, HP, etc.)

**Preventive Controls:** Measures in place to prevent loss of function of systems and of data critical to an agency's critical functions.

**Primary Critical functions:** Those functions that enable State agencies to provide vital services, exercise civil authority, maintain the safety and well being of the citizens and sustain the industrial/economic base in an emergency. Business activities or information, which could not be interrupted or unavailable for several business days without significantly jeopardizing operation of the organization.

**Primary Facility:** The site of normal, day-to-day operations.

**Project Initiation:** The first phase of the COOP Planning Process. This phase serves as the foundation for the entire project and should focus on creating a single point from which to start.

**Public Communication:** Communication with various sectors of the public to influence their attitudes and opinions in the interest of promoting a person, product, or idea.

**Public Information Officer (PIO):** Official at headquarters or in the field responsible for preparing and coordinating the dissemination of public information in cooperation with other responding Federal, State, and local agencies.

**Purpose:** The project purpose outlines the goals for the COOP Planning Process as detailed during the Project Initiation Phase.

**Rapid Recall List:** Cascading list of key agency personnel and outside emergency personnel in order of notification.

**Record Retention:** Storage of historical documentation for a set period of time, usually mandated by state and federal law or the Internal Revenue Service.

**Reconstitution:** The process by which surviving and/or replacement personnel resume normal operations from the original or replacement primary operation facility.

**Reconstitution Manager:** The individual who will coordinate and oversee the reconstitution process and who will develop the reconstitution plan.

**Reconstitution Plan:** Plan outlining the process by which agency personnel resume normal agency operations from the original or a replacement primary facility.

**Recovery:** Recovery, in this document, includes all types of emergency actions dedicated to the continued protection of the public or to promoting

the resumption of normal activities in the affected area.

**Recovery Action Plan:** The comprehensive set of documented tasks to be carried out during recovery operations.

**Recovery and Restoration Resources:** Contractors with the ability to restore damaged records, systems and/or equipment.

**Recovery Time Objective (RTO):** The period of time in which systems, applications or functions must be recovered after an outage.

**References:** A sign or indication that refers a reader or consulter to another source of information.

**Relocation:** Establish in a new place.

**Repository:** A storage place for object models, interfaces, documents, files, and implementations.

**Response:** Those activities and programs designed to address the immediate and short-term effects of the onset of an emergency or disaster.

**Risk:** An ongoing or impending concern that has a significant probability of adversely affecting business continuity.

**Risk Assessment/Analysis:** An evaluation of the probability that certain disruptions will occur and the controls to reduce organizational exposure to such risk.

**Salvage and Restoration:** The process of reclaiming or refurbishing computer hardware, vital records, office facilities, etc., following a disaster.

**Satellite Communication:** Data communications via satellite. For geographically dispersed organizations, may be viable alternative to ground-based communications in the event of a disaster.

**Scope:** Predefined areas of operation for which a disaster recovery plan is developed.

**Scribe:** An individual who is responsible for documenting information discussed during COOP Planning Team Meetings.

**Senior Management:** A team of individuals at the highest level of organizational management who have the day-to-day responsibilities of managing an agency.

**Server:** An information resource or a set of processes on an information resource providing services to clients across a network.

**Shelter-In Place:** This is a precaution aimed to keep you safe while remaining indoors. Shelter-in-place means selecting a small, interior room, with no or few windows, and taking refuge there.

**Simulation Test:** A test of recovery procedures under conditions approximating a specific disaster scenario. This may involve designated units of the organization actually ceasing normal operations while exercising their procedures.

**Stakeholder:** Any person or representative of an organization who has a stake – a vested interest – in the outcome of a project or whose opinion must be accommodated. A stakeholder can be an end user, a purchaser, a contractor, a developer, or a project manager.

**Standard Operation Procedures (SOP):** Protocol for the conduct of regular operations.

**Structured Walk-Through Test:** Team members walk through the plan to identify and correct weaknesses.

**Supportive Essential Function:** Any secondary functions on which a primary essential function depends. These functions can operate both within and outside the agency.

**Supportive Function:** Business activities or information, which could be interrupted or unavailable indefinitely without significantly jeopardizing critical functions of an organization.

**System Outage:** An unplanned interruption in system availability as a result of computer hardware or software problems, or operational problems.

**Tabletop Exercise:** A simulation activity in which a scenario is presented and participants in the exercise respond as if the scenario was really happening.

**Technical Threats:** A disaster-causing event that may occur regardless of any human elements.

**Terrorism:** Terrorism includes the unlawful use of force or violence against persons or property to intimidate or coerce a government, the civilian population, or any segment thereof, in furtherance of political or social objectives.

**Test:** An evaluation of a capability against an established and measurable standard. Tests are conducted to evaluate capabilities, not personnel.

**Tier:** a rank of articles; *especially*, one of two or more ranks arranged one above another.

**Training:** Instruction in core competencies and skills and is the principal means by which individuals achieve a level of proficiency.

**Uninterruptible Power Supply:** A backup power supply with enough power to allow a safe and orderly shutdown of the central processing unit should there be a disruption or shutdown of electricity.

**Uploading:** Connecting to another computer and sending a copy of program or file to that computer.

**Usability:** The practice of taking the physical and psychological requirements of human beings into account when designing programs and writing documents.

**User Contingency Procedures:** Manual procedures to be implemented during a computer system outage.

**Vital Records, Systems and Equipment:** A document, regardless of media, system or piece of equipment, which, if damaged or destroyed, would disrupt business operations and information flows and result in considerable inconvenience and expense in order to recreate the record.

**Voice Recovery:** The restoration of an organization's voice communications system.

**Warm Site:** An alternate processing site which is only partially equipped.

**Weapon of Mass Destruction (WMD):** A WMD is any device, material, or substance used in a manner, in a quantity or type, or under circumstances evidencing intent to cause death or serious injury to persons or significant damage to property.

**Wide Area Network (WAN):** A data telecommunications network typically extending a LAN outside a building, over common carrier lines, to link to other LANs that are geographically dispersed. In some situations, point-to-point wireless access points can be used to replace the common carrier lines.

**Workaround:** A temporary solution when dealing with a bug or other unresolved problem that enables users to “work around” it until it’s fixed.

**Workflow:** The sequence of activities performed in a business that produces a result of observable value to an individual actor of the business.