



Continuity of Operations (COOP) Planning Template and Worksheets

2014

Continuity of Operations Planning

You have invested significant time and resources into making your agency a success. Your agency is important to you; your family, your employees, and the people you serve. It is important to take the time and effort necessary to plan to protect your investment. This Continuity of Operations (COOP) Planning template has been developed to serve as a road map in building your agency's plan to prepare for, and respond to any event that disrupts your operation. Throughout the template, worksheets¹ are referenced. These fillable documents are located at the back of the template and can assist in the creation of your agency's COOP.

Developing the Plan

COOP planning must be reasonable, practical, and achievable. You are not planning for every possibility that could cause an interruption. Instead your agency is planning for the effects of any interruption. For example, your building may be unavailable for many reasons (fire, flood, tornado, etc.), but the effect is still the same: you cannot work in that location. Or your building is accessible, but electricity or internet access may be unavailable for several days, or half of your workforce is ill due to an influenza outbreak, all of which could interrupt your agency's ability to perform essential functions.

The first step in developing your agency's COOP is to create an employee planning team using staff from all areas of your agency. By involving employees in your planning efforts, you will keep them engaged in the planning process, they will know and understand your plan, and they will be able to share your planning message with other employees. When an incident occurs, you will have pre-trained employees ready to put your plan into action.

Use the following pages as a template to create a basic, functional COOP plan. The template may be expanded to meet your agency's needs, but it is important to address these primary areas:

- Record of Changes
- Signature of Administrator
- Orders of Succession
- Delegation of Authority
- Determination of Essential Functions
- Prioritize Essential Functions
- Identify Staff Performing Essential Functions
- Create Drive Away Kits
- Inventory of Vital Records
- Notification of Staff and Business Partners
- Alternate Worksites
- Training and Exercises

For additional guidance, please contact the Missouri State Emergency Management Agency (SEMA) 573-526-4678

¹ The worksheets use 'tables' in Microsoft Word. You may add as many rows as needed to your worksheet by highlighting a row and inserting extra rows (right click on the highlit area and choose 'insert').

Continuity of Operations (COOP)

Plan

For

Agency

Date

COOP Plan Record of Changes

Publication Change History: All components of the COOP Plan should be reviewed, at a minimum, on an annual basis and any revisions should be made to all maintained copies and disseminated as necessary. Changes made to the COOP Plan should be documented in the following Record of Changes.

Description of Changes	Page # Revised	Revision Date	Created by/ Changed by	Requested by

Table of Contents

Page:

Executive Summary	1
Purpose of COOP	2
Leadership	3
Mission Essential Functions	3
Go Kits	5
Vendor Information and Restocking Plan	5
Vital Records, Files, and Databases	6
Activation, Notification, and Relocation	6
Notification and Communication	7
Alternate Work Sites	9
Return to Normal Operations	10
Training, Exercise, and Evaluation	10
Definitions	12

Worksheets

A: Orders of Succession and Delegation of Authorities	14
B: Determine Essential Functions	15
C: Prioritize Essential Functions	16
D: Essential Functions Staff	17
E: Go Kits	18
F: Vendor Information and Restocking Plan	19
G: Inventory of Vital Records	20
H: Staff Calling Tree (Table Style)	21
I: Staff Calling Tree (Organizational Chart Style)	22
J: Communication Plan with Partners	23
K: Alternate Work Site Requirements	24
L: Alternate Work Site Options	25
M: COOP Plan Training Program	26
N: COOP Plan Exercise Program	27

Executive Summary

The mission of the *agency* in Continuity of Operations (COOP) planning is to utilize all available resources to maximize contribution to the overall continuity of operations response effort while assuring essential functions.

Insert a brief statement of what the agency is responsible for.

Following emergencies, disasters, or other events—deliberate, accidental, or resulting from natural events—*agency* is responsible to provide specific essential functions recognized in this plan.

Signature of Administrator/Director

Date

Purpose of COOP

The purpose of the Continuity of Operations (COOP) plan is to establish policy and guidance to ensure that essential functions for an agency are continued in the event that manmade, natural, or technological emergencies disrupt or threaten to disrupt normal operations. The COOP plan enables the agency to operate with a significantly reduced workforce and diminished availability of resources, and to operate from an alternate work site should the primary facility become uninhabitable.

COOP plans should be activated when:

1. An incident occurs requiring relocation of any essential functions (building compromised)
2. Essential functions are significantly compromised
3. Staffing levels are significantly compromised (i.e. influenza pandemic)
4. Key partners are not available for normal operations
5. Essential systems are unavailable (power, water, information technology).

The COOP plan does not apply to temporary disruptions of service during which services are anticipated to be restored within a short period of time.

Individual and Family Preparedness

It is very important for staff to be prepared and know what to do in times of emergency, and equally important that their families are cared for and prepared. Information for how to plan for an emergency can be accessed through:

<http://health.mo.gov/emergencies/readyin3/>

Ready in 3 includes three steps:

1. Create a plan for you, your family, and your business
2. Prepare a kit for home, car, and work
3. Listen for information about what to do and where to go during an actual emergency

Creating and exercising an individual and/or family plan will provide peace of mind for your employee's entire family. Utilizing the "Ready in 3" program to prepare their family for emergencies will give staff greater peace of mind if they need to report to work during a COOP activation. A staff member is more likely to report to work if their family is able to care for themselves during an emergency.

Leadership

Orders of Succession

List authorized successors for leadership in [Worksheet A](#). Lines of succession should be reviewed and updated routinely to ensure continuity of essential functions. Desk manuals, Job Action sheets, and cross trained staff are recommended for all essential functions.

Delegations of Authority

Delegations of authority will follow the orders of succession. If the Director is unavailable for a sustained period of time, the second individual will be delegated the authority to act on behalf of the Director. If first and second individuals are unavailable for a prolonged period, the third individual will assume the primary authority, and so on.

Worksheet A Instructions: In the first column, list key decision-makers (by position) responsible for the agency's essential functions (see [Worksheet B](#) to determine essential functions). In the second column, list the designated successors for each decision-maker. It is important to list two to three backup successors. In the third column, specify whether the key decision-maker's authorities to perform all functions are transferred to the successor or whether there are some limitations (e.g., authority to spend up to X\$ without authorization). In the fourth column, identify the circumstances under which the successor's authority is activated and terminated. In the last column, note where the authority, including when it is activated and terminated, is recorded.

[Complete Worksheet A](#)

Mission Essential Functions

The agency must identify and prioritize its essential functions so the mission may be carried out during an emergency or COOP incident. Any task not deemed as an essential function will be deferred until additional personnel and resources become available.

Prioritization and Staffing

Determine your agency's essential functions with [Worksheet B](#).

Worksheet B Instructions: List all of the agency's functions and indicate whether each function is essential to continue or could be deferred during an incident/emergency resulting in irreparable damage and widespread systems disruption. To determine whether a function is essential, consider whether it is statutorily mandated, vital to the agency's mission, critical to maintain safety (e.g., food service inspections), and/or necessary to the performance of other agency functions (e.g., maintaining/accessing databases to process payroll). If a function is considered essential, list the reason(s) why in the last column.

[Complete Worksheet B](#)

The essential functions are prioritized using the following definitions:

1. **Immediate:** Mission-essential functions that must be performed immediately after a disruption.
2. **Day:** Mission-essential functions that must be performed, given a one day disruption. Not considered immediate, but must be performed within 24 hours. (Ranked from highest to lowest priority.)
 - a. After one day of emergency operations, either normal operations must be reinstated or emergency operations must ensure the functions listed in #3 below are performed.
3. **Week:** Mission-essential functions that must be performed, given a disruption of greater than one day but less than one week. (Ranked from highest to lowest priority.)
 - a. After one week of emergency operations, either normal operations must be reinstated or emergency operations must ensure the functions listed in #4 below are performed.
4. **Month:** Mission-essential functions that must be performed, given a disruption of greater than 1 week but less than 1 month (ranked from highest to lowest priority).
 - a. After 30 days of emergency operations, all functions should be resumed at normal operations level.
 - b. If normal operations cannot be resumed in 30 days, the agency may consider entering devolution agreements with other agencies/organizations.

Determine the essential function's recovery time and prioritization on [Worksheet C](#).

Worksheet C Instructions: List *essential functions* from Worksheet B in column 1. In column 2, specify the time period within which the function must be back online during an incident/emergency using these categories: Immediate; Day (<= 24 hours); Week (>1 day, <=1 week); or Month (> 1 week, <= 1 month). The time period should be consistent with statutory requirements and or agency policy, if available. For functions not specified in statute, rules, or policies, the time period should be based on a combination of (a) how critical the function is to the agency's mission during an incident/emergency, (b) how long the agency can operate without performance of the function, and (c) how important the function is to the performance of other essential functions (see the third column in Worksheet B for reasons why specific functions are considered critical). Consider what functions must occur over extended holiday weekends and what can wait. A function probably shouldn't be in the Immediate or Day category if it can wait until after a holiday. For column 3, rank the priority of each essential function within their recovery time. (e.g., Day=prioritize 1, 2, 3....; Week=prioritize 1, 2, 3... and so forth).

[Complete Worksheet C](#)

Essential functions cannot be performed without staff. Associate the necessary positions and/or employees with each essential function on [Worksheet D](#).

Worksheet D Instructions: Using Worksheet C, list the agency's essential functions, generally in order of recovery time and priority in the left column. In the middle column, list the position titles of all staff needed to perform the essential function. In the right column, list any additional staff that don't routinely perform the essential function but can be used if necessary because they have received appropriate training. The contingency staff should be considered carefully if their primary duties are dedicated to another essential function. (Names of staff are optional, but if used, the plan must be kept up to date.)

[Complete Worksheet D](#)

Go Kits

Each essential function should have a Go Kit (a.k.a. Drive Away Kits) in the event the function must relocate quickly. These kits contain only items that are vital to the performance of the function. A kit may be as simple as a portable electronic storage device (flash drive) with all the manuals, forms, contacts, and links necessary to perform the function, even if this data is on a duplicate server or cloud service. The kit may also be a physical box or bag with manuals, supplies, equipment, etc. that are necessary to perform the function. One should not rely on the presence of technology and should consider a manual work around. One should consider keeping the kit at an alternative location to assure access if your building becomes compromised. It is very important to keep the information contained in the kit up to date. [Worksheet E](#) can be used to document the contents of each kit.

Instructions for Worksheet E: Go-Kits include only items vital to the performance of the essential function. (The items that are not pre-positioned and maintained at an alternate site.) The first column provides the types of items that could be included, the second column identifies the specific items necessary to the essential function's duties, and the third column records the last time the contents were reviewed and/or updated. Portable storage media, such as flash drives, are great tools for Go Kits, especially if stored offsite, it is critical to keep them updated. Create a worksheet for each essential function.

[Complete Worksheet E](#)

Vendor Information and Restocking Plan

During a COOP incident, it is important to have a plan of how to obtain or maintain the equipment and supplies necessary to perform essential functions. Use [Worksheet F](#) to document the vendor's contact information, the types of services, equipment, or supplies provided, and other relevant information.

Instructions for Worksheet F: Enter information about the vendors supplying the items listed on Worksheet E. It is important to know how to restock your supplies, how to obtain additional equipment, and who to contact for emergency repairs during an incident. Examples are in italics.

[Complete Worksheet F](#)

Vital Records, Files, and Databases

As used in COOP planning, the term “vital records” refers to documents and databases that must be available to support an agency’s essential functions. (Not to be confused with Birth and Death records administered by the health department.) Vital records include the databases that support the records. Use [Worksheet G](#) to document the necessary files, records, or databases with a description, location, supporting applications (what software is necessary to open the file,) how it is maintained, and any back up or protections in place.

Instructions for Worksheet G: In the first column, list the *essential functions* by priority as identified in Worksheet C. In the second column, list any vital record necessary for performing the essential function, and briefly describe each record in the third column. In the fourth column, list each form of the record and its location (e.g., paper files in personnel office, electronic version on network, backup of electronic files on flash drive in drive-away kit). List any supporting software or hardware needed to access each record in the fifth column. If some vital records are not backed up and stored in more than one location, stored in risky areas (e.g., a basement likely to flood), or stored on media inaccessible at the alternate facilities; the team should identify additional measures to protect the files and ensure accessibility to essential functions staff in the last column of the Worksheet.

[Complete Worksheet G](#)

Activation, Notification, and Relocation

The Director or successor/designee is responsible for activating the COOP and for providing guidance and direction during COOP activation and potential relocation.

The extent of actions required once the COOP plan is activated will depend on how severely the event impacts the physical facilities; whether personnel are present in the occupied work spaces; and which functions were impacted by the incident. When activating your agency’s COOP, the following priorities are useful to remember:

- Protecting Personnel
- Internal and External Communications
- Maintaining Essential Functions
- Timely Recovery and Resumption/Restoration of Services.

Execution with Warning, during Business Hours

Upon receipt of an alert from the [Director, or designated representative](#), other managers begin preparations to provide essential function services within the context of the COOP incident. This may include relocating all, or part of staff assigned to essential functions to alternate facilities. Staff may be reassigned to assist in other positions or locations, or they may be directed to go home.

Upon receipt of COOP activation alert notification, personnel perform the following:

- Assemble supporting elements required for re-establishing and performing essential functions such as vital records, software and hardware, Go-Kits, and other documents and equipment;
- Back up essential automated databases not backed up since the last update;
- Prepare designated communications and other essential equipment for relocation; and
- Take appropriate preventive measures to protect all communications and equipment not designated for relocation.

Execution without Warning, during Business Hours

If the decision occurs during business hours that a building housing staff is not usable, specific actions depend on the extent of damage to the building. Employees shall take steps to contact their supervisor, who will direct employees in the actions they should perform. Employees should not just leave work without checking with their supervisor, or their supervisor's supervisor (employees should follow the chain of command). Employee safety should always be the priority.

After a reasonable time to organize the COOP response, the Director or designee will communicate the plan to resume essential functions. Depending on the specifics of the incident, personnel may be directed to implement parts or all of their COOP plan to resume essential functions from an alternate facility until offices can be reoccupied.

Execution without Warning, during Non-Business Hours

Upon the decision, during non-business hours, that a building housing staff is not usable, the Director or designee notifies employees via [Staff Calling Tree](#) or if available, an automated notification system.

Notification and Communication

Notification of Staff

Communication with internal staff will occur utilizing the agency's normal method of notifying staff of emergencies. One potential method to use includes the calling tree method. A common practice is to follow the agency's organizational chart. Supervisors contact those they supervise. If contact is not made with a supervisor, proceed to contact the staff that report to him/her. Include multiple numbers in the call list. Email addresses could also be added. This can be done manually or with an automated system, if available. Consider other notification methods if phones are not functioning such as:

- E-mail;
- Agency Website
- Radio and television
- Runners able to convey written and verbal communications
- Couriers deployed between facilities, other locations
- Twitter, Facebook, other social networking sites (if appropriate).

Use either [Worksheets H or I](#) to develop your Staff Calling Tree. *If an automated emergency notification system is used, include a reference to the instructions and/or policy here.*

Instructions for Worksheet H: The individual who initiates the calling tree is listed in column one, row one, generally the agency administrator or their designee. List all of the staff the caller calls including all of their contact information. (Add additional columns if necessary.) If any of the staff the initial caller contacts is responsible for calling others, list them again under the Caller column and add who they contact, and so on.

[Complete Worksheet H](#)

Instructions for Worksheet I: This worksheet is created with text boxes and arrows within Microsoft Word and serves more as an example than functioning template. You are encouraged to use the software routinely used to create your agency's organizational chart or take the existing organizational chart and add contact information. Note, in this example, the double lined boxes indicate supervisors and the lines and arrows point to who is called by that supervisor. The individual who initiates the call is generally at the top.

[Complete Worksheet I](#)

Communications Plan with Partners

Upon activation of the COOP plan, it is important to notify and communicate with other agencies, business partners, Emergency Management, Board of Directors or County Commission, as well as the people you serve. Use [Worksheet J](#) to document who your partners are, who should notify them, and the methods that could be used to communicate the activation of the COOP. [Worksheet H](#) could be used if a Calling Tree method is used to contact partners.

Instructions for Worksheet J: Identify the position responsible for coordinating communications during an emergency. In the first column, list all the parties (other than staff) to contact if it is necessary to activate the COOP plan. In the second column, list several alternative methods for notifying each party. In the third column, identify who notifies each party. In the case of a phone tree, list who initiates the contacts. In the final column, identify additional information to facilitate communications (e.g., location of contact information). Don't forget to notify the people you serve and the general public. Examples are in italics.

[Complete Worksheet J](#)

Alternate Work Sites

It is best to identify potential “Alternate Work Sites or AWS” before an emergency/disaster occurs. The Director or designee should be assigned to find potential AWS.

Potential alternate work sites should minimally include:

- Restrooms
- Lighting
- Phones
- Table/Chairs
- IT connectivity and support
- Cost
- Liability issues

It is best to enter into either a written agreement or Memorandum of Understanding with the facility owner to use their facility as an AWS in the event you need to activate your COOP and relocate to an alternate site. As a part of local governmental operations, some Local Public Health Agencies (LPHA) may already be included in the local government COOP plan with AWS pre-designated by the county. The LPHA simply needs to know whom to contact in county government to establish the AWS. Use [Worksheet L](#) to assist in completing this task.

Alternate Work Site Requirements

Use [Worksheet K](#) to document the requirements of each essential function in order to operate from an alternative location. Consider whether the function can be accomplished by telecommuting staff and/or can connect to the agency’s network via Virtual Private Network (VPN) or other means. **If applicable, include a reference to remote access instructions/protocol here.**

Instructions for Worksheet K: In the first column, list all the essential functions recorded on Worksheet D. In the second column, record the number of essential staff for each function (also on Worksheet D). In the third column, note whether each function can be done manually or requires a power source(s); in the fourth column, list the types of furniture and office equipment (e.g., desks, chairs, computers, copy and fax machines) needed; and in the fifth column, identify communications needs such as land lines, cell phones, satellite, two-way radios, network access, and internet access. Give an estimate of the floor space needed to accommodate the staff for each function and note in the last column whether telecommuting is an option for accomplishing the function.

[Complete Worksheet K](#)

Alternate Work Site Options

Use [Worksheet L](#) to document pre-determined potential alternative work sites. Include the name and location of the site, along with any known specifications such as size, power, connectivity, parking, etc. Also include what type of financial or other agreements necessary to secure the facility.

Instructions for Worksheet L: In the first column, list each potential alternate site identified. When visiting the facility, record the following specifications and considerations: (a) the number of staff it can accommodate; (b) what type of power supply it has and the number of accessible

outlets; (c) the number of desks, chairs, computers and other types of office equipment and whether there are any private offices available; (d) the types of phone and data lines available; (e) Wi-Fi available; (f) the floor space available and whether it is contiguous or on different floors or in separate wings; (g) how accessible the facility is for staff and public—whether parking is available at the facility; and (h) whether it is vulnerable (e.g., in a flood zone or near hazard materials storage). In the last column, list what type of financial or other agreements would be necessary to secure the facility as an alternate site.

[Complete Worksheet L](#)

Return to Normal Operations

Reconstitution – Is the process by which surviving and or replacement organization personnel resume normal agency operations from the original or replacement operating facility.

Reconstitution procedures begin when the [Director or designee](#) determines that the situation has ended and is unlikely to recur, and then implements one of the following options:

- Continue to operate from the current alternate facility site, AWS, (perhaps because the building normally housing the agency remains unusable or functions cannot be interrupted to relocate to another location);
- Move some (or all) relocated personnel from the Alternate Work Site to a more permanent location (perhaps because the building normally housing the agency remains unusable, and apparently the agency must operate from a secondary location for a prolonged period of time); or
- The agency office has been inspected and is safe to return to. Begin an orderly return to agency office, minimizing disruption of normal activities.

Devolution – The transference of rights, powers, property, or responsibility to another; *especially*: the surrender of powers to local authorities by a central government. If it is determined that the agency cannot perform certain functions as required, it may be necessary to transfer or outsource those responsibilities to another agency or partner.

Training, Exercise, and Evaluation

Training

Important components of any COOP includes; training, exercise, and evaluation. It is not enough to develop your agency's COOP, your staff needs to be trained in how to utilize and activate the COOP. Consider a training program that will include: (1) on-site visits to AWS to ensure that all personnel are familiar with the location and contents of the COOP plan; (2) training necessary to ensure that all personnel (including contingency staff) are able to perform their essential functions from the alternate facility site or other remote locations such as home/telework; and (3) individual training to ensure proficiency in specialized subject areas.

All newly employed staff should receive training on the contents and execution of the COOP plan within 30 days of employment start date.

Use [Worksheet M](#) to document the agency's Training Program.

Instructions for Worksheet M: List the kinds of training (e.g., orientation, refresher course, subject-specific information for different audiences) needed in the first column, the recipients of the training in the second column, the method (e.g., face-to-face meeting, in-person training session, broadcast session, Web-based program) for delivering the training in the third column, and the frequency with which the training will occur in the last column. Examples in italics.

[Complete Worksheet M](#)

Exercise/Testing

After staff has been trained to utilize and activate the COOP, it is important to exercise the agency's COOP. Exercising or testing is to ensure correct operation of all equipment, procedures, functions, and systems that support the organizational infrastructure.

Regularly scheduled testing of agency equipment, systems, functions, and procedures used to support the agency during a COOP event will:

- Evaluate ability to access and use vital records, data systems and management software/hardware, communication systems, and other equipment necessary to perform essential functions;
- Test backup data and records required for supporting essential functions at alternate facilities or locations to assure they are sufficient, complete, and current;
- Evaluate workspace, logistical support and services, and infrastructure systems, e.g., water; electricity; heating; ventilation; air conditioning at alternate facilities;
- Test the completeness and usability of drive away kits (Go-Kits) and add any mission components;
- Evaluate the ability to assign and perform essential functions in an efficient manner

It is important that contingency staff participate in exercises in their COOP role of "primary staff."

Use [Worksheet N](#) to document the agency's Exercise/Testing Program.

[Complete Worksheet N](#)

Evaluation

Each activity should be evaluated and the results incorporated into an evaluation and corrective action process. The results are intended to improve the overall effectiveness of the COOP plan and implementation process. Check your local or grant requirements to determine if the evaluation must meet the Homeland Security Exercise and Evaluation Program.

Definitions

Definitions

Activation - Once a COOP plan has been implemented, whether in whole or in part, it is considered “activated.”

Alternate Work Site – A location, other than the normal facility, used to process data and/or conduct essential functions in the event of a disaster.

Business Continuity - encompasses a loosely-defined set of planning, preparatory and related activities which are intended to ensure that an organization's critical or essential business functions will either continue to operate despite serious incidents or disasters that might otherwise have interrupted them, or will be recovered to an operational state within a reasonably short period.

Continuity of Operations (COOP) Planning– The effort to assure that the capability exists to continue essential functions across a wide range of potential emergencies.

Delegations of Authority – Pre-delegated authorities for making policy determinations and decisions in crisis conditions, at alternate locations, etc., as appropriate.

Devolution - transference (as of rights, powers, property, or responsibility) to another agency; *especially*: the surrender of powers to local authorities by a central government.

Essential Functions – Activities, processes or functions that could not be interrupted or unavailable without significantly jeopardizing the operation of an organization. Functions could be deemed essential through statutes, rules, policy, or vital to the agency’s mission.

Essential Staff/Personnel – Personnel designated by their agency as critical to the continuity and/or resumption of essential functions and services.

Facility – A location or work space containing the equipment, supplies, and voice and data communication lines to conduct transactions required to perform functions and business under normal conditions.

Homeland Security Exercise and Evaluation Program (HSEEP)—A capabilities-based and performance-based program that furnishes standardized policies, doctrines, and terminologies for the design, development, performance, and evaluation of homeland security exercises. The National Education Program (NEP) uses the HSEEP as a common methodology for exercises. The HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs.

Reconstitution - The process by which surviving and or replacement organization personnel resume normal agency operations from the original or replacement primary operating facility.

Recovery - The implementation of prioritized actions required to return an organization's processes and support functions to operational stability following an interruption or disaster.

Recovery Time – The period of time in which systems, applications or functions must be recovered after an outage to prevent significant impact on business or service responsibilities.

Vital Records, Systems and Equipment – Records, files, documents or databases, which, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or re-creation at considerable expense. For legal, regulatory or operational reasons these records cannot be irretrievably lost or damaged without materially impairing the organization's ability to conduct business. Should not be confused with Birth and Death Certificates which Health Departments refer to as Vital Records.

Vulnerability – The susceptibility of an agency or building to a hazard. The degree of vulnerability to a hazard depends upon its risk and consequences.

Funding for this document provided through the Centers for Disease Control and Prevention's Public Health Emergency Preparedness federal grant.

Worksheet A: Orders of Succession and Delegation of Authorities

Instructions: In the first column, list key decision-makers (by position) responsible for the agency’s essential functions (see Worksheet B to determine essential functions). In the second column, list the designated successors for each decision-maker. It is important to list two to three backup successors. In the third column, specify whether the key decision-maker’s authorities to perform all functions are transferred to the successor or whether there are some limitations (e.g., authority to spend up to \$X without authorization). In the fourth column, identify the circumstances under which the successor’s authority is activated and terminated. In the last column, note where the authority, including when it is activated and terminated, is recorded. The first two rows serve as examples; add as many rows as necessary.

Key Position	Successor	Delegated Authority(s)	Activation/Termination of Delegated Authority(s)	Documentation of Authority(s)
<i>LPHA Administrator</i>	<i>LPHA Deputy Administrator</i>	<i>All</i>	<i><u>Activated:</u> Administrator is not available during COOP plan activation</i> <i><u>Terminated:</u> Administrator is available or emergency is over</i>	<i>LPHA Policy X.x</i>
<i>Nursing Supervisor</i>	<i>Nurse A</i> <i>If unavailable:</i> <i>Nurse B</i>	<i>Administrative authority only. No prescribing medications</i>	<i><u>Activated:</u> Nurse Supervisor is not available during COOP plan activation</i> <i><u>Terminated:</u> Nurse Supervisor is available or emergency is over</i>	<i>LPHA Policy X.x</i> <i>Physician Standing Orders (1-1-2014)</i>

Worksheet B: Determine Essential Functions

Instructions: List all of the agency’s functions and indicate whether each function is essential to continue or could be deferred during an incident/emergency resulting in irreparable damage and widespread systems disruption. To determine whether a function is essential, consider whether it is statutorily mandated, vital to the agency’s mission, critical to maintain safety (e.g., food service inspections), and/or necessary to the performance of other agency functions (e.g., maintaining/accessing databases to process payroll). If a function is considered essential, list the reason(s) why in the last column.

Functions Performed	Essential? (Y/N)	If Yes, Why?	Staff Person Responsible
<i>Food Service Inspections</i>	Y	<i>Statutory Requirement</i>	<i>Environmental Specialist</i>
<i>Health Education</i>	N		

Worksheet C: Prioritize Essential Functions

Instructions: List essential functions from Worksheet B in column 1. In column 2, specify the time period within which the function must be back online during an incident/emergency using these four categories: Immediate; Day (< 24 hours); Week and; Month. The time period should be consistent with statutory requirements/agency policy, and may be adjusted as necessary. For functions not specified in statute, rules, or policies, the time period should be based on a combination of (a) how critical the function is to the agency’s mission during an incident/emergency, (b) how long the agency can operate without performance of the function, and (c) how important the function is to the performance of other essential functions (see the third column in Worksheet B for reasons why specific functions are considered critical). Consider what functions must occur over extended holiday weekends and what can wait. A function probably shouldn’t be in the Immediate or Day category if it can wait until after a holiday. For column 3, rank the priority of each essential function within their recovery time. (e.g., Day=prioritize 1, 2, 3....; Week=prioritize 1, 2, 3... and so forth).

Essential Function	Recovery Time	Priority
<i>Food Service Inspections</i>	<i>Day</i>	<i>1</i>
<i>WIC Clinic</i>	<i>Day</i>	<i>2</i>
<i>Women’s Health Clinic</i>	<i>Week</i>	<i>1</i>

Worksheet D: Essential Functions Staff

Instructions: Using Worksheet C, list the agency's essential functions, generally in order of recovery time and priority in the left column. In the middle column, list the position titles of all staff needed to perform the essential function. In the right column, list any additional staff that do not routinely perform the essential function but could, if necessary because they have received appropriate training. The contingency staff should be considered carefully if their primary duties are dedicated to another essential function. (Names of staff are optional, but if used, the plan must be kept up to date.)

Essential Function	Essential Staff	Contingency Staff
<i>Food Service Inspections</i>	<i>Environmental Specialist (2)</i>	<i>Jill Smith, Deputy Administrator (Ms. Smith used to be an ES and maintains knowledge and skill to back up current ES staff)</i>

Worksheet E: Go Kits

Instructions: Go-Kits include only items vital to the performance of the essential function. (The items that are not pre-positioned and maintained at an alternate site.) The first column provides the types of items that could be included, the second column identifies the specific items necessary to the essential function’s duties, and the third column records the last time the contents were reviewed and/or updated. Portable storage media, such as flash drives, are great tools for Go Kits, especially if stored offsite, but very critical to keep them updated. Create a worksheet for each essential function.

Go Kit for: Food Service Inspections

Location of Kit Environmental Home Office

Types of Content	Specific Item(s) and Brief Description	Last Review/Update
<i>Flash Drive</i>	<i>Inspection forms, food service provider list, EHOG, policy manual, statutes, rules,</i>	January 2014
<i>Inspection Tools</i>	<i>Thermometer, gloves, towels,</i>	

Worksheet F : Vendor Information and Restocking Plan

Instructions: Enter information about the vendors supplying the items listed on Worksheet E. It is important to know how to restock you supplies, how to obtain additional equipment, and who to contact for emergency repairs during an incident. Examples are in italics.

Vendor Information Name, Address Phone & Fax Email, Website Name of Contact Account Number	Services Vendor Provides to Agency	Additional Information
<i>ABC Office Supplies 123 Main, JC, MO 555-5555 ABCOS@fakemail.com Michael Johnson Acct# 33-4523</i>	<i>Provides misc office supplies</i>	<i>Closed on Tuesdays</i>
<i>Joe's Information Technology 555-5555 Computerjoe@fakemail.com Sally Jones Acct# XM202</i>	<i>Provides setup and maintenance to the servers and computers</i>	<i>Don't ask for Joe</i>

Worksheet G: Inventory of Vital Records

Instructions: In the first column, list the essential functions by priority as identified in Worksheet C. In the second column, list any vital record necessary for performing the essential function, and briefly describe each record in the third column. In the fourth column, list each form of the record and its location (e.g., paper files in personnel office, electronic version on network, backup of electronic files on flash drive in go kit). List any supporting software or hardware needed to access each record in the fifth column. If some vital records are not backed up and stored in more than one location, stored in risky areas (e.g., a basement likely to flood), or stored on media inaccessible at the alternate facilities; the team should identify additional measures to protect the files and ensure accessibility to essential functions staff in the last column of the Worksheet.

Essential Function	Vital File, Record, or Database	Description	Form(s) and Location(s) of Record	Supporting Applications and/or MIS	Maintenance Frequency	Additional Back-ups / Protections
<i>Food Service Inspections</i>	<i>Inspection Records</i>	<i>Documentation of the outcome of the inspections and certificates.</i>	<i>Electronic Record on LPHA server</i>	<i>Microsoft Access</i>		<i>Data backed up weekly on external hard drive.</i>

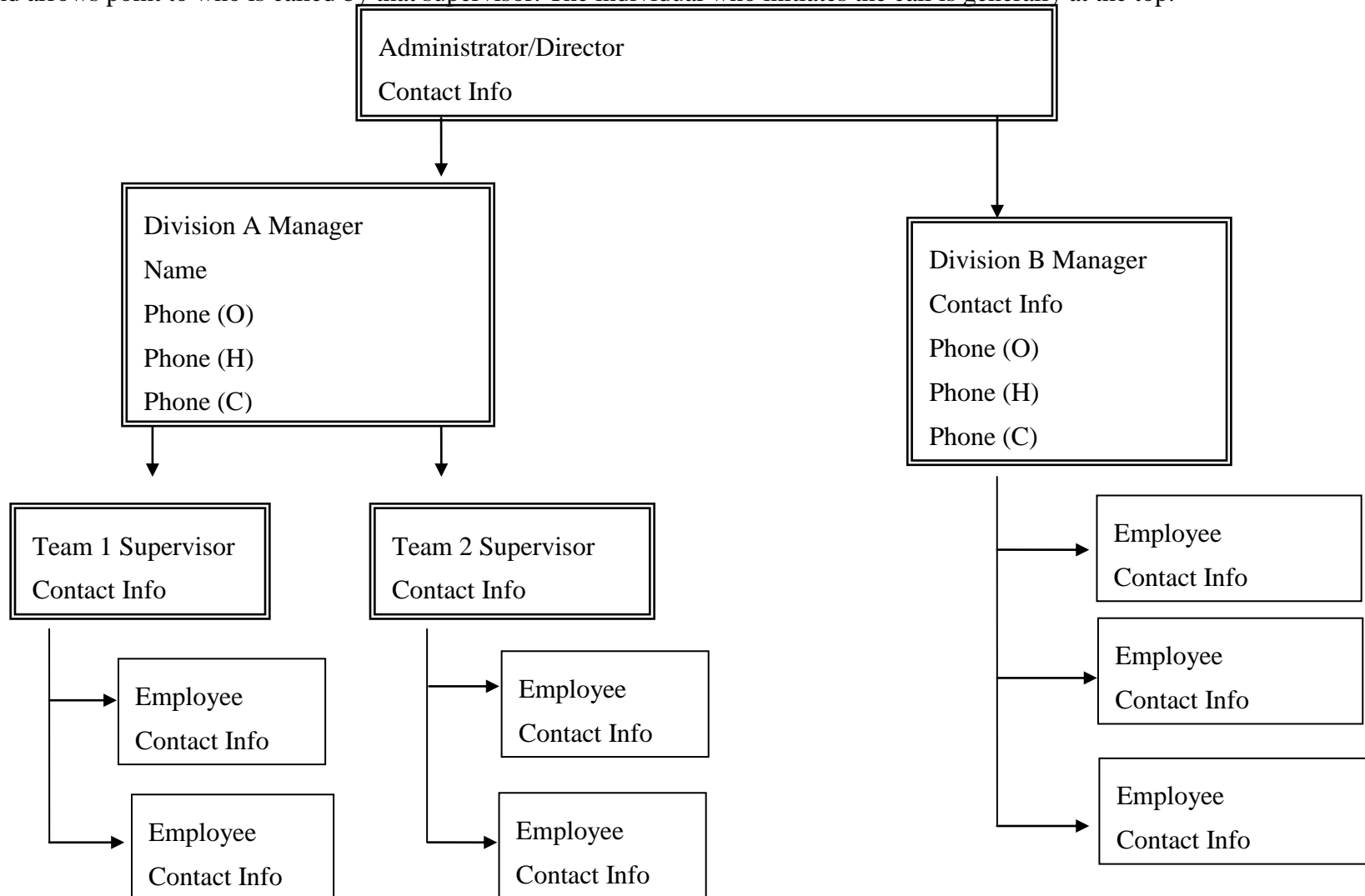
Worksheet H: Staff Calling Tree (Table Style)

Instructions: The individual who initiates the calling tree is listed in column one, row one, generally the agency administrator. List all of the staff the caller calls including all of their contact information. (Add additional columns if necessary.) If any of the staff the initial caller contacts is responsible for calling others, list them again under the Caller column and add who they contact, and so on.

CALLER	STAFF TO CALL	HOME PHONE #	CELL PHONE #	ALTERNATE PHONE #	OFFICE PHONE #

Worksheet I: Staff Calling Tree (Organizational Chart Style)

Instructions: This worksheet is created with text boxes and arrows within MS Word and serves more as an example than functioning template. You are encouraged to use the software routinely used to create your agency's organizational chart or take the existing organizational chart and add contact information. Note, in this example, the double lined boxes indicate supervisors and the lines and arrows point to who is called by that supervisor. The individual who initiates the call is generally at the top.



Worksheet J: Communications Plan with Partners

Instructions: Identify the position responsible for coordinating communications during an emergency. In the first column, list all the parties (other than staff) to contact if it is necessary to activate the COOP plan. In the second column, list several alternative methods for notifying each party. In the third column, identify who notifies each party. In the case of a phone tree, list who initiates the contacts. In the final column, identify additional information to facilitate communications (e.g., location of contact information). Do not forget to notify the people you serve and the general public. Examples are in italics.

Position designated as information coordinator: _____

Party to Notify	Methods of Notification	Notifier	Comments/Notes
<i>Alternate facility manager</i>	<i>Landline phone Cell phone Email Face-to-face meeting</i>	<i>Agency Director</i>	
<i>DHSS, Vendors, Etc</i>			
<i>General Public</i>	<i>Facebook, Radio, Newspaper, Sign outside of bldg, etc.</i>	<i>Agency Director</i>	
<i>WIC Clients</i>	<i>Automated calling system</i>	<i>WIC Program Manager</i>	<i>Modify message accordingly</i>

Worksheet K: Alternate Work Site Requirements

Instructions: In the first column, list all the essential functions recorded on Worksheet D. In the second column, record the number of essential staff for each function (also on Worksheet D). In the third column, note whether each function can be done manually or requires a power source(s); in the fourth column, list what types of furniture and office equipment (e.g., desks, chairs, computers, copy and fax machines) are needed; and in the fifth column, identify communications needs such as land lines, cell phones, satellite, two-way radios, network access, and internet access. Give an estimate of the floor space needed to accommodate the staff for each function and note in the last column whether telecommuting is an option for accomplishing the function.

Essential Function	# of Staff	Power	Furniture Equipment	Comms	Floor Space	Telecommute?
<i>Food Service Inspections</i>	2	<i>No</i>	<i>Small workspace</i>	<i>Cell phone</i>	<i>Minimal</i>	<i>Yes</i>

Worksheet L: Alternate Work Site Options

Instructions: In the first column, list each potential alternate site identified. When visiting the facility, record the following specifications and considerations: (a) the number of staff it can accommodate; (b) what type of power supply it has and the number of accessible outlets; (c) the number of desks, chairs, computers and other types of office equipment and whether there are any private offices available; (d) the types of phone and data lines available; (e) Wi-Fi available; (f) the floor space available and whether it is contiguous or on different floors or in separate wings; (g) how accessible the facility is for staff and public—whether parking is available at the facility; and (h) whether it is vulnerable (e.g., in a flood zone or near hazard materials storage). In the last column, list what type of financial or other agreements would be necessary to secure the facility as an alternate site.

Facility Name, Address, and Contact	Specifications and Considerations	Agreements
<i>Community Center 123 Main Street City Manager 555-1234</i>	<i>The community center has two meeting rooms that would be a viable solution for some staff. Plenty of electrical outlets and Wi-Fi is currently available. 12 chairs and 2 large tables in each room, could accommodate up to 12 staff comfortably. No privacy.</i>	<i>Submit request to the Emergency Management Director when space is required.</i>

Worksheet M: COOP Plan Training Program

Instructions: List the kinds of training (e.g., orientation, refresher course, subject-specific information for different audiences) needed in the first column, the recipients of the training in the second column, the method (e.g., face-to-face meeting, in-person training session, broadcast session, Web-based program) for delivering the training in the third column, and the frequency with which the training will occur in the last column. Examples in italics.

Type of Training	Recipients	Method(s)	Frequency
<i>Orientation</i>	<i>All staff initially, then new employees</i>	<i>In-person training program</i>	<i>Once</i>
<i>Annual Update</i>	<i>All staff</i>	<i>PowerPoint Review</i>	<i>Once per year</i>

Worksheet N: COOP Plan Exercise Program

Instructions: List the types of exercises (e.g., verbal walk-through, tabletop, physical relocation) that will be conducted in the first column and the individuals or groups (e.g., all staff, essential functions staff) required to participate in the exercise in the second column. In the third and fourth column, note the frequency (e.g., biannual, annual, semiannual, quarterly) with which the exercise will be conducted and the location of the exercise (e.g., health department, alternate facility).

Type	Participants	Frequency	Location
<i>Verbal walk-through</i>	<i>Entire staff</i>	<i>Biannual</i>	<i>Health Dept.</i>