

CONTINUITY OF OPERATIONS (COOP) WORKSHEETS



Martin O'Malley, Governor

Richard Muth, Director Maryland Emergency Management Agency

June 2009 – Version 2.0

COOP WORKSHEETS

These worksheets are tools to help you gather the raw data needed to develop the COOP plan. You may modify them to fit the needs of the agency.

- Worksheet #1: Essential Functions Description and Priority
- Worksheet #2: Vital Records, Systems and Equipment
- Worksheet #3: Vital Records, Systems and Equipment Protection Methods
- Worksheet #4: Orders of Succession
- Worksheet #5: Delegations of Authority
- Worksheet #6: Summary of Resource Requirements for Essential Functions
- Worksheet #7: Requirements for Alternate Facilities
- Worksheet #8: Alternate Facilities Options
- Worksheet #9: Modes of Communication
- Worksheet #10: Personnel Contact List (Rapid Recall List)
- Worksheet #11: Sample COOP Plan Implementation Procedures Checklist
- Worksheet #12: Personnel with NIMS Training
- Worksheet #13: Agency Function Risk and Vulnerability Assessment
- Worksheet #14: Facility Risk and Vulnerability Assessment

Worksheet #1: Essential Functions Description and Priority

List the functions identified by the COOP Team or the department. Briefly describe the function and why it is essential. Next, assign a priority number in column 3, giving higher numbers to those functions that can be inoperable for longer periods of time. Additionally, more than one function may have comparable priority. Therefore, a department can assign the same priority number to multiple functions. The goal is to determine which functions would need to be operating first in case resources are not available for all functions to be operating immediately. Finally, designate its recovery time objective (RTO) or the period of time in which the essential function must be recovered after an interruption.

Function	Description of Function	Priority	RTO

Worksheet #2: Vital Records, Systems and Equipment

List the records, systems and equipment that are necessary for essential functions for up to thirty days. Include the networks or servers that must be operational as well to support the equipment and systems. Records can be in electronic or paper form. If it is electronic, list the software used. Also, identify the type of vital record – active, static or court.

Do not include records, systems or equipment that may be useful but are not essential to performing the service.

Essential Function	Vital Record	Equipment or Systems	Networks or Servers that must be Operational to Support the Critical System or Equipment	Description	Form and Type of Record or System	RTO
<i>Paying personnel</i>	<i>Payroll Records</i>	<i>Computer; Pay-All software systems</i>	<i>Intel Network</i>	<i>Records are needed to pay personnel</i>	<i>Electronic; Active</i>	<i>Less than 72 hours</i>
<i>Cash Flow Management</i>	<i>Cash Balances</i>	<i>Computer</i>	<i>Direct Website</i>	<i>Monitoring of cash balances and transfers</i>	<i>Electronic, Active</i>	<i>0 to 12 hours</i>

Worksheet #3: Vital Records, Systems and Equipment Protection Methods

For each vital record, system or equipment identified in Worksheet #2, list where the records are kept or where the equipment or systems reside; how often they are backed up, revised or maintained; and any particular methods of protection including security measures. Those vital records, systems or equipment that have no protection, other than back-up or duplicate copies might be candidates for additional protection measures. In those cases, consider and recommend additional protection methods in the last column.

Vital Record, Systems, Equipment	Storage Location	Maintenance Frequency	Current Protection Method(s)	Recommendations for Additional Protection Method(s) (if necessary)	Vendor Contacts

Worksheet #4: Orders of Succession

Using this worksheet, designate the appropriate orders of succession for each essential function. In the first column, list the essential functions located in Worksheet #1, Priority of Essential Functions. In the second column, list the key position or person who is essential to performing the function. Then in the remaining columns, list the positions that would serve as successors if the key position or person is unavailable unexpectedly i.e., illness, injury, vacation or termination of employment, among others. The same successors might be named for different key positions, but avoid designating the same position or person as the first successor to several key positions. Be sure to include both the title of the position and the individual who fills the position in each box.

Essential Function	Key Personnel	Successor 1	Successor 2	Successor 3

Worksheet #5: Delegations of Authority

Identify the function and the type of authority to be delegated. List the position currently holding the authority and who the authority will be delegated to. Then list the triggering conditions under which the authority would be delegated, the procedures to operate under and the limitations of the authority. The first row provides an example.

Authority (Function)	Type of Authority	Position Holding Authority	Delegation to Position	Triggering Conditions	Procedures	Limitations
<i>Contracts</i>	<i>Signature Authority</i>	<i>Attorney</i>	<i>Assistant Attorney</i>	<i>Incapacitated or unavailable</i>	<i>Internal policy</i>	<i>Upon return of the incumbent</i>

Worksheet #6: Summary of Resource Requirements for Essential Functions

Worksheet #6 summarizes the resource requirements for essential functions into a single worksheet. Using information gathered in Worksheets 1, 2, 3 and 4, transfer the relevant information to the appropriate column in Worksheet #6.

Essential Function	Essential Personnel and Back-up	Vendors and External Contacts	Vital Records	Equipment	Systems	RTO

Worksheet #7: Requirements for Alternate Facilities

Identify the requirements for the alternate location by department or division. An alternate facility is a location, other than the normal facility, used to carry out essential functions in a COOP plan activation. Requirements include personnel, back-up power, communications and space requirements.

Essential Function	Number of Personnel	Back - up Power	Communications	Space Requirements

Worksheet #8: Alternate Facilities Options

Agencies should identify at least two to three alternate facilities. One location can be close to the current operations – not right next door, but within a short distance. The second alternate facility should be further away – at least five miles from the primary facility. A third alternate facility should be located within 30 miles to 60 miles away.

Facility	Address	Agreement	Date Executed	Security	Secure Storage Available?	Special Notes

Worksheet #9: Modes of Communication

Identify communication modes that support essential functions, including any alternative providers and modes of communication. Communication systems already in place can be named as alternative modes for other modes of communication. For example, radios could be an alternative mode of communication for voice lines.

Communication System	Current Provider	Restoration Contacts	Alternative Mode #1	Alternative Mode #2
Voice Lines				
Fax Lines				
Data Lines				
Cellular telephones				
Pagers				
E-mail				
Internet Access				
Instant Messenger Services				
Blackberry and Other Personal Digital Assistants (PDAs)				
Radio Communication Systems				
Satellite Telephones				
Other				

Worksheet #10: Personnel Contact List (Rapid Recall List)

The Personnel Contact List is a short document with a cascade call list and other critical telephone numbers. The cascade list should include the COOP Team, key personnel and emergency personnel, both inside and outside the local jurisdiction. If this information is available in another document reference the information here or in the plan.

Employee Cascade List	E-mail Address	Work #	Home #	Cellular or Pager #
Agency Director				
COOP Team				
▪ Employee A				
▪ Employee B				
▪ Employee C				
▪ Employee D				
▪ Employee E				
Key Personnel and Management				
▪ Employee I				
▪ Employee J				
▪ Employee K				

Emergency Personnel	Telephone Number(s)
Fire Department	
Police Department	
Ambulance and Emergency Medical Services	
State and Local Emergency Operations Center	
Employee Emergency Hotline	
Alternate Facility	

Contacts	
IT Contacts	
Phone Contacts	
Vendor 1	
Vendor 2	
Vendor 3	

Worksheet #11: Sample COOP Plan Implementation Procedures Checklist

Item	Task	Task Assigned To	Date and Time Completed
Activation and Relocation			
1	Receive notification of event		
2	If necessary, conduct evacuation		
3	Conduct a headcount of personnel		
4	If necessary, contact Emergency Responders (fire, police, EMS)		
5	Ensure that safety measures are put into effect		
6	Contact the Building Maintenance Department for shutting down utilities to limit further damage		
7	Direct and assist emergency personnel, as required		
8	If needed, invoke succession of leadership		
9	Initiate personnel notification using Rapid Recall List		
10	Activate the department's Continuity of Operations Plan		
11	Hold department's response meeting at predetermined site		
12	Assemble supporting elements required for re-establishing and performing essential functions at alternate location: <ul style="list-style-type: none"> ■ Vital files, records and databases ■ Critical software 		

Item	Task	Task Assigned To	Date and Time Completed
	■ Critical equipment		
13	Assemble remaining documents required for performance of all other essential functions to be performed at the alternate location		
14	Initiate external communication for applicable external contacts		
15	Prepare designated communications and other equipment for relocation		
16	Take appropriate preventive measures to protect other communications and equipment that will not be relocated		
17	Make computer connectivity and telephone line transfers to designated alternate location		
18	Ensure drive-away kits are complete and ready for transfer		
19	Begin movement of key personnel to alternate location		
20	Provide support to local Emergency Operations Center, if required		
21	Develop detailed status of situation for senior leadership		
22	Notify remaining personnel and appropriate departments for movement to alternate location		
Alternate Facility Operations			
23	Notify other local departments, customers, state and surrounding jurisdictions that operations have shifted to alternate location		
24	Organize personnel and account for supportive personnel		
25	Develop shift rotations		
26	Determine which essential functions have been affected		
27	Develop status report		
28	Prioritize essential functions for restoration		
29	Track status and restoration efforts of all		

Item	Task	Task Assigned To	Date and Time Completed
	essential functions		
30	Administrative actions to assemble such as: <ul style="list-style-type: none"> ■ On-site telephone ■ E-mail and telephone directory ■ Workforce office plan ■ Lodging and dining plan as appropriate 		
31	Occupy workspace: <ul style="list-style-type: none"> ■ Stow gear and equipment ■ Store vital files, records and databases ■ Test telephone, fax, e-mail, radio and other communications ■ Establish communications with essential support elements and office elements 		
32	Ensure all critical equipment, critical software and vital files, records and databases are available at alternate location		
33	Coordinate procurement of additional equipment, as required		
Reconstitution			
34	Resume operations		
35	Appoint logistics manager		
36	Inventory and salvage useable equipment, materials, records and supplies from destroyed facility		
37	Survey condition of office building and determine feasibility of salvaging, restoring or returning to original offices when emergency subsides or is terminated		
38	Develop long-term reconstitution and recovery plans		
39	Track status and restoration efforts of all essential functions		

Item	Task	Task Assigned To	Date and Time Completed
40	Conduct transition of all functions, personnel and equipment from alternate location back to designated facility		
41	Determine loss of the department's inventory for insurance report		
42	Schedule initial review meeting with clients, public and vendors to hold a briefing		
43	Develop and communicate a press release		

Worksheet #12: Personnel with NIMS Training

	Entry-level First Responders (Unit/Task Force Leader)	First Line Supervisors (Division/ Group Supervisor)	Emergency Management and Response Personnel in Middle Management (Section Chiefs and Branch Director)	Emergency Management and Response Personnel in Command and General Staff (Incident Command & Command Staff)	Executive Level Management for Institutions
IS-700	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IS-800			<input type="checkbox"/>	<input type="checkbox"/>	
ICS-100	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ICS-200	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ICS-300			<input type="checkbox"/>	<input type="checkbox"/>	
ICS-400			<input type="checkbox"/>	<input type="checkbox"/>	

*Gray boxes are not applicable

Worksheet #13: Risk and Vulnerability Assessment

Various Risk and Vulnerability Assessment formats exist, however the ultimate aim is to identify and reduce an organization's level of risk at an acceptable cost. Two examples are provided.

Risk: Probability of how likely is an event to occur to expose this risk? (H - within 5 years; M - within 25 years; L - within 50 years)

Vulnerability: How severe is the potential impact if this risk is not addressed?

(H - More than 25 percent of essential functions impacted; M - 5 percent to 25 percent of essential functions impacted; L - <5 percent of essential functions impacted)

If a risk assessment has not previously been completed, use the following worksheet to identify current risk and vulnerabilities faced by local governments.

Function Risk Overview

Risk Overview	Risk Level	Vulnerability	Description or Comment
Organization's succession plans not in place	H	H	Currently there are no succession plans in place for Agency leadership
Inadequate alternate site recovery procedures			
Inadequate building and physical security			
Inadequate fire suppression equipment	L	L	All facilities are equipped with fire suppression equipment
Inadequate off-site storage of documents and files			
Inadequate record and file back-up procedures and record keeping			
Insufficient staffing or training			
Insufficient virus and hacker protection			
Key employee back-ups either not designated or not			

Risk Overview	Risk Level	Vulnerability	Description or Comment
sufficiently cross-trained			
Lack of alternate voice and emergency communications networks			
Lack of interoperability of emergency communications networks			
No adequate alternate site designated			
No alternate power sources for department location			
No secure fire protected onsite storage of documents and files			
Single point of failure for equipment and or networks			
Unsafe physical condition of department office or building			
Lack of procedures and testing for record and file recovery			

Worksheet #14: Facility Risk and Vulnerability Assessment

A facility Risk and Vulnerability Assessment is an evaluation of the facility risks and vulnerabilities that have the potential for consequences of property damage, business interruption or human injury.

Note: This worksheet should be completed for each key facility and by the person responsible for facility maintenance either within the local jurisdiction or building. Agencies can refer to their existing locality's Hazard Mitigation Plan for additional facility risk and vulnerabilities that may have been identified.

Risk Level: H - applies at all times; M - applies only some of the time; L - rarely applies

Vulnerability: H - impact to the operations will be great if the event did occur; M - impacts some of the operations, but not all of the operations; L - minimal impact to critical operations

Facility Risk Overview – Air Conditioning

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are air conditioning system and power supply separate from the rest of the facility?				
Is there back-up air conditioning available?				
Are switches easily accessible?				
Are air conditioning and emergency shutoff switches linked?				

Facility Risk Overview – Electricity and Telecommunications

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are generators and transformers located in hazard prone areas, i.e. a basement that floods?				
Is there an emergency lighting system for facility?				

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Is the facility protected against power surges?				
Are there back-up power sources available to facility? Please specify.				
Do alternate voice and data transmission services exist?				
Is there a shutdown checklist provided in case of emergency?				

Facility Risk Overview – Facility Access Control

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are there procedures to guard against vandalism, sabotage and unauthorized intrusion?				
Are there windows that can be broken to gain access to the facility?				
Are there procedures for personnel to handle unauthorized intruders?				
Are there procedures for personnel to handle bomb threats?				
Are there procedures for personnel to handle notification of local law enforcement?				
Are security devices checked and tested on a regular basis?				

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are there access controls during regular hours to facility?				
Are there access controls during off-hours to facility?				

Facility Risk Overview – Fire Exposure

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are the areas surrounding the facility protected from fire? Please specify.				
Are the flooring and ceiling materials non-combustible?				
Can the walls in the facility resist the spread of fire?				
Can the doors in the facility resist the spread of fire?				
Can the partitions in the facility resist the spread of fire?				
Can the floors in the facility resist the spread of fire?				
Can the furniture in the facility resist the spread of fire?				
Can the window coverings in the facility resist the spread of fire?				
Does the facility have adequate automatic fire extinguishing				

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
systems?				
Are flammable or otherwise dangerous materials and activities prohibited from the facility and surrounding areas?				
Are paper and other supplies stored in open areas in the facility?				
Is there fire and smoke detection equipment in facility?				
Are portable fire extinguishers in suitable locations?				
Are clear and adequate fire instructions clearly posted?				
Are the fire alarm switches clearly visible, unobstructed and easily accessible at points of exit?				
Can the fire alarm be activated manually?				
Is there an emergency evacuation exit, different from the main entrance or exit?				
Is there an evacuation plan posted?				
Does emergency power shut down the air conditioning?				
Is fire and smoke detection equipment checked and tested on a regular basis? How				

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
often?				
Can emergency crews easily gain access to the facility?				
Are fire drills held on a regular basis? How often?				

Facility Risk Overview – General Housekeeping

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Is the facility kept clean and orderly?				
Are food and beverages confined to a designated area?				
Is smoking banned in the facility?				
Is there adequate lighting for all areas?				

Facility Risk Overview – Organization and Personnel or Other

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are personnel responsible for facility security?				
Have recovery teams for the facility been selected in the event of a disaster?				
Are there mail or package handling procedures posted? (e.g. chemical or biological or explosives)				

Facility Risk Overview – Other Natural Disaster Exposures

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are you aware of the wind tolerance of the facility? Please specify.				
Is the facility in or near a flood plain?				
Are flood mitigation procedures in place?				
Is all of the electrical equipment grounded for protection against lightning?				

Facility Risk Overview – Water Damage

Risk Overview	Risk Y/N	Risk Level	Vulnerability	Description or Comment
Are documents, records and equipment stored above ground and protected from flooding?				
Are lower facility rooms protected from leaks in overhead water pipes?				
Is there protection against accumulated rainwater or leaks in the rooftop?				
Are floor level electrical junction boxes protected?				