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CONTINUITY OF OPERATIONS PLAN (COOP)

CONTINUITY OF OPERATIONS (COOP) EMERGENCY PLAN TEMPLATE INSTRUCTIONS

The purpose of this template is to provide any jurisdiction, department, agency, business, or organization in Warren County, Ohio the tools and guidance required for developing a Continuity of Operations Plan (COOP) for a single entity. The information required to supplement this plan can be taken from the _Warren County Continuity of Operations Worksheet._

In each section of this template, there are <INSTRUCTIONS WRITTEN IN RED UPPERCASE LETTERS INSIDE BRACKETS>, *general information and tips are bolded in green italics,* and sample verbiage is written in black. This is to distinguish them from other parts of the plan and **no red, green, or highlighted text should be present in the final draft**. Modify any language or sections to fit the needs of the applicable organization.

The term "organization" is used throughout this template and encompasses all agencies, departments, organizations, businesses, and jurisdictions. If not considered an organization, any use of "organization" within the sample language in black should be replaced with the correct verbiage (e.g., jurisdiction, agency, department, business, etc.).

In the development of this plan, consider adding supplemental materials such as Memorandums of Understandings / Agreements (MOUs / MOAs), evacuation maps, alternative facilities' information, etc.

This page should be removed before the completion of the final draft of the plan.

RECORD OF CHANGES

Date	Page Number	Description of Changes Made	Person(s) Making Change

TABLE OF CONTENTS

==Update Table of Contents (titles, order, page numbers) once plan development has finished.==

1. INTRODUCTION

This Continuity of Operations (COOP) plan addresses the <INSERT ORGANIZATION NAME>'s planning preparation to sustain assets and people while providing an effective mechanism for determining how to resume service following a disaster. Whether the hazard is the result of a natural, mechanical, or man-made event an "all hazards" approach assures that, regardless of the emergency, essential functions will continue. Low-profile disasters, (e.g., fires, power outages), have a great potential to disrupt government operations and cause irrevocable damage. This plan provides for attaining operational capability as soon as possible, no later than twelve (12) hours following an event that dictates the activation of this plan and ensuring sustainment of operations for thirty (30) days or longer.

2. PURPOSE

The purpose of this document is to ensure that the capability exists to continue essential functions across a wide range of potential emergencies within <INSERT ORGANIZATION NAME>. This plan provides a framework that establishes operating procedures to sustain essential functions when normal procedures are not possible and provides a guide to the restoration of normal operations.

The objectives of this COOP Plan include:
- Ensuring the safety of personnel and the public.
- Ensuring the continuous performance of essential functions / operations during an emergency.
- Protecting essential facilities, equipment, records, and other assets.
- Reducing or mitigating disruptions and damage to operations.
- Achieving a timely and orderly recovery from an emergency and resumption of full service to the public.
- Complying with legal and statutory requirements.
- Facilitate decision-making during an emergency.

*See *Attachment A – Plan Implementation Checklist*
***This attachment may be used as a quick reference to track the steps to implementing the COOP Plan**.

3. SITUATION

Warren County is at risk from a multitude of natural or man-made disasters. These events have the potential to cause destruction, displacement, and dangerous hazards to <INSERT ORGANIZATION NAME>'s primary operating sites, essential employees, and vital equipment. To effectively plan for emergencies and identify essential functions, it is vital to gain an understanding of <INSERT ORGANIZATION NAME > itself.

<INSERT DESCRIPTION OF ORGANIZATION>
If the organization is a city, village, or township: the description of the organization should include the type of jurisdiction it is, the population of people living in the area, a brief description of the geographical location, the governing body, facilities of importance, essential functions, etc.

If the organization is a department or business: the description of the organization should include the nature of work done, the number of employees, visitors and / or guests, a brief description of geographical location surrounding it, areas served, facilities of importance, essential functions, etc.

3.1. Assumptions

The environment in which <INSERT ORGANIZATION NAME> operates is constantly evolving. In order to plan for future emergency events, assumptions are made about what the state of that environment will be at the time of an emergency. Some assumptions concern the physical or operational environment of the affected agency. To plan appropriately, it is crucial that all planning assumptions be stated and tested. The vulnerability of <INSERT ORGANIZATION NAME> depends on the probability of an event occurring and the impact that event could have on operations.

The following assumptions were made for this COOP Plan:
- Emergencies or threatened emergencies can adversely impact the <INSERT ORGANIZATION NAME>'s ability to continue to perform its essential functions and provide support to the operations of other outside agencies and jurisdictions.
- Emergencies or threatened emergencies differ in priority and impact.
- A hazard may occur with little or no warning and may escalate quickly.
- The vulnerability of <INSERT ORGANIZATION NAME> depends on the probability of an event occurring and the impact that event could have on its ability to operate.
- Hazards may adversely impact the organization's ability to continue performing its essential functions and provide support to external organizations and jurisdictions.
- Current employees, outside personnel, and resources located beyond the area affected by the emergency or threat will be available as necessary to continue essential functions.
- When the COOP is activated, the jurisdiction will implement a predetermined plan using trained and equipped personnel.
- The organization will provide operational capability within twelve (12) hours of the event and be able to continue essential operations for thirty (30) days or until the termination of the event.
- The organization may be required to sustain operations without outside assistance and resources for up to seventy-two (72) hours.
- In an emergency, outside assistance could be interrupted or unavailable.
- An emergency event may require relocation to alternate site(s).

- Hazards may have cascading effects that require their own unique approaches for continuity operations.
- <INSERT ANY ADDITIONAL ASSUMPTIONS SPECIFIC TO THE ORGANIZATION>

Assumptions should be based on statistics, history, behavior patterns, and likely future trends and be specific to the organization.

4. ESSENTIAL FUNCTIONS

Essential Functions (EFs) are those activities, tasks, and processes that must be continued and recovered under all circumstances. A function is not considered essential if it can be deferred until after a crisis is over. EFs enable an organization to provide vital services, exercise civil authority, maintain the safety of the community, and / or sustain the industrial and economic base during an emergency.

4.1. Identifying Essential Functions

All functions of the organization are important; however, some activities may not be an essential function that must be sustained in an emergency situation. When determining EFs, the following is taken into consideration:
- Functions that are directly tied to ensuring life safety.
- Functions that support emergency / disaster response and recovery activities.
- Functions that support the legal responsibilities of the organization.
- Functions that support the essential functions of other organizations, departments and / or agencies.
- Functions deemed critical from Standard Operating Procedures (SOPs), Emergency Operations Procedures (EOPs), After Action Reports (AARs), annual reports, training manuals, organization charts, and other agency-specific documents.

*See *Attachment B – <INSERT ORGANIZATION NAME> Essential Functions*
Attachment to be utilized to list essential functions.
Steps 2 & 3 in the Warren County COOP Worksheet can be used to assist in the identification process.

4.2. Prioritize Essential Functions

Each essential function has been given a priority using a Recovery Time Objective (RTO). The RTO is the maximum time period that a function or service can be interrupted before it must be restored to an acceptable level of operation. Considering the RTO for each essential function, the functions are classified into tiers. The tiers represent blocks of time available to recover operations during an event. See the chart below for RTO and Tier explanations.

Tier	Ratings	RTO
I	**Immediate** Essential functions involve those with a direct and immediate effect on the organization to preserve life, safety, and property.	**0 to 12 hours**
II	**Necessary** Essential functions must be resumed within twelve (12) to seventy-two (72) hours of the incident occurring.	**12 to 72 hours**
III	**Important** Essential functions can be delayed until Tier I and Tier II functions are restored but must be operational within one (1) week.	**72+ hours to 1 week**
IV	**Postponed** Essential functions that can be delayed until Tiers I, II, and III functions are resumed.	**1 week to 30 days**
V	**Extended** Essential functions that can be delayed for thirty (30) days or more.	**30+ days**

4.3. Resource Requirements for Essential Functions

Broad resource categories that support essential functions include the following:
- **Human Resources (Staffing)**: The number of personnel with specialized knowledge, skills, and abilities that each essential function will require.
- **Information Technology**: Workstations, personal computers, and software that may be required to perform an essential function.
- **Vital Records and Data**: Vital records and data must be on hand for personnel to perform certain essential functions, e.g., contact lists, and personnel records.
- **Communications**: Both voice and data communications will be needed to support essential functions.
- **Supplies**: Basic resources such as equipment and office supplies will be required at the alternate facility.
- **Physical Infrastructure**: The space requirements needed to staff and perform essential functions.

*See *Attachment C – Essential Function Requirements*
***Attachment to serve as a table to list priority restoration times, essential functions, and required personnel.**

5. CONCEPT OF OPERATIONS

The <INSERT ORGANIZATION NAME> COOP Plan is designed to be fully implemented no later than twelve (12) hours after activation and provides guidance to sustain operations for up to thirty (30) days. <INSERT ORGANIZATION NAME>'s resiliency is directly related to the effectiveness of its continuity capability. The following sections outline the continuity capability for <INSERT ORGANIZATION NAME> and are designed to be an operational framework for all hazards that initiate continuity operations.

This section is divided into four (4) parts:
- Phase I – Readiness and Preparedness
- Phase II – Activation & Relocation
- Phase III – Continuity Operations
- Phase IV – Reconstitution Operations

Phase I – Readiness and Preparedness *(Prior to an Incident)* includes all activities including development, review, revision of plans, and risk management. Readiness and preparedness activities are conducted before an incident has occurred. <INSERT ORGANIZATION NAME> will participate in a comprehensive set of readiness and preparedness activities to ensure the organization can continue EFs in an all-hazards environment.

5.1. Risk Analysis

<INSERT ORGANIZATION NAME>'s vulnerability depends on the probability of an event occurring and the impact the event could have on personnel, facilities, infrastructure, operations, and the performance of EFs. <INSERT ORGANIZATION NAME> relies upon the Warren County Hazard Mitigation Plan, to determine which hazards could potentially impact personnel and / or facilities. These hazards were then considered when developing this COOP Plan.

Below are top fourteen (14) risks for Warren County, as identified in the *2020 Warren County Hazard Mitigation Plan*:

- Wind / Severe Storms
- Floods
- Tornadoes
- Hazmat Incidents
- Winter Storms
- Man-Made / Terrorism Events
- Invasive Species
- Dam Failures
- Extreme Temperatures
- Earthquakes
- Landslides
- Drought
- Infectious Disease Outbreaks
- Wildfires

*Always ensure that the most current document update year is included in revisions.

In addition, <INSERT ORGANIZATION NAME> is at risk of <INSERT SPECIFIC HAZARDS TO THE ORGANIZATION>.
Organization specific hazards may include proximity to hazardous materials facilities, railroads / yard, airports, flood plains, below a dam, etc.

Any of these events could lead to the following scenarios:
- Local facility disruptions, typically single buildings.
- Region-wide disruptions affecting all or many government buildings in the region.
- Disruption of access to vital records or databases.
- Disruption of availability of specialized equipment or systems, including computing systems.
- Loss of services from a vendor or another government agency.
- Personnel availability issues.

5.2. Current Inventory

Emergencies or potential emergencies will affect the ability of <INSERT ORGANIZATION NAME> to perform essential functions from the primary facility / location. Alternate facilities / locations have been identified to provide the organization with means of accomplishing its essential functions if the primary location is unavailable due to an emergency.

See Attachment D – Inventory of Current Facilities / Locations
Attachment to record the organization's current inventory of facilities and backup facilities.

5.3. Training & Exercises

A COOP Training and Exercise Program includes the following objectives:
- Assessing and validating the COOP Plan, policies, and procedures.
- Ensuring that staff personnel are familiar with COOP procedures.
- Ensuring that key personnel are sufficiently trained to carry out essential functions during plan implementation.
- When agencies overlap, conducting joint interagency COOP exercises.

This training and exercise program will ensure that staff personnel are aware of their roles and responsibilities in the execution of the COOP Plan. Regularly scheduled exercises will discover and document necessary modifications to the plan and will also help personnel gain confidence in their ability to implement the plan.

Training

All <INSERT ORGANIZATION NAME> staff members will be trained and equipped to perform their emergency duties. COOP training will include:

- Individual and team training to make sure staff members have the knowledge and skills necessary to carry out essential functions.
- Just-in-time training / orientation for relocated personnel as they arrive at the alternate facility.
- Training courses and materials designed to improve knowledge and skills related to carrying out COOP responsibilities.

Exercises

Exercises serve to validate or identify improvements to COOP policies, procedures, systems, and locations. Periodic exercises also help to ensure that equipment and procedures are maintained in a constant state of readiness.

After exercising the plan, <INSERT ORGANIZATION NAME> will complete an After-Action Report (AAR) to identify issues found during the exercise and identify recommendations as to how those issues can be resolved. The COOP Plan will then be reviewed and modified to reflect any necessary changes.

See the below table for a schedule of training and exercises.

Exercise / Training	Frequency
All Employees COOP Orientation	Initial COOP Plan Orientation
COOP Refresher	Annually
Cross Training for Essential Functions	On-Going
Tabletop Exercise	Annually
Drill	Annually
Alert and Notification Procedure Test	Quarterly
Functional Exercise	Every Three (3) Years
Orientation for New Staff Members	Within Ninety (90) Days of Hire

*Training and exercises as well as the schedule should be tailored to meet the needs of the organization.

5.4. DEVOLUTION & MUTUAL AID

Devolution is the transfer of legal and statutory obligations from one entity to another entity at an alternate or devolution site. The devolution option may be used when the organization's primary operating site(s), alternate site(s), and / or staff are not available. Devolution requires the transition of roles and responsibilities for the performance of EFs through pre-authorized delegations of authority. The authorities are delegated from an organization's primary operating staff to other employees, either internal or external to the organization, to sustain EFs for an extended period. Organizations may choose to devolve some functions to alleviate an overwhelming

workload upon their personnel during a resource-scarce environment after an incident.

<INSERT INFORMATION ABOUT DEVOLUTION PROCESS, IF APPLICABLE, OR SUMMARIZE MUTUAL AID AGREEMENTS IF THEY INCLUDE AGREEMENTS TO ASSIST WITH MAINTAINING ESSENTIAL FUNCTIONS>

Relevant MOUs / MOAs should be attached to this plan.

The table below identifies departments / partners that could fill roles should devolution become necessary.

Role	Partner / Other Department that Can Fill Role	Additional Training Necessary
<INSERT EF>	<INSERT PARTNER ORGANIZATION OR SPECIFIC ORGANIZATION DEPARTMENT THAT COULD FULFILL THE ROLE>	<INSERT INFORMATION IF PARTNER / DEPARTMENT NEEDS TRAINING>

Phase II – Activation and Relocation *(Zero (0) to Twelve (12) Hours Following an Incident)* includes the activation of organizational continuity plans and all associated procedures necessary to support the continued performance of essential functions.

5.5. Decision Process

COOP activation for <INSERT ORGANIZATION NAME> will commence at the direction of the <INSERT TITLE OF ORGANIZATION HEAD>, their assigned designee, or <INSERT ADDITIONAL ACTIVATION AUTHORITIES>.

Step 4 in the Warren County COOP Worksheet can be used to help complete this section.

The COOP Plan will be activated:
- When there is a loss of access to the site(s) (in part or whole).
- When there is a reduction in the workforce.
- When there is a loss of the ability to provide EFs due to equipment or systems failure.
- When the authorities previously listed, deem it appropriate and necessary.

Below is a decision matrix that may be utilized to support the decision-making process for continuity activation.

Decision Matrix for Continuity of Operations Plan Implementation		
	During Work Hours	**During Non-Work Hours**
Event with Warning	- Is the threat aimed at the facility or its surrounding area? - Is the threat aimed at organization personnel? - Are employees unsafe remaining in the facility and / or area?	- Is the threat aimed at the facility or its surrounding area? - Is the threat aimed at organization personnel? - Who should be notified of the threat? - Is it safe for employees to return to work the next day?
Event without Warning	- Is the facility affected? - Are personnel affected? - Have personnel safely evacuated, or are they sheltering in place? - What are instructions from first responders? - How soon must the organization be operational?	- Is the facility affected? - What are instructions from first responders? - How soon must the organization be operational?

5.6. Alert & Notification

Upon the decision to activate the COOP Plan, <INSERT ORGANIZATION NAME> will notify all organization personnel, as well as affected and supporting entities with information regarding COOP activation and relocation status, operational and communication status, and the anticipated duration of relocation. Contact information for all organization personnel will be managed using the already established system(s).

*See *Attachment E – COOP Activation Alerting & Notification*
Attachment to be utilized for more guidance on pre-scripted messages when contacting these different audiences.

If the emergency occurs during work hours:

- <INSERT NOTIFICATION STEPS HERE>

If the emergency occurs during non-work hours:

- <INSERT NOTIFICATION STEPS HERE>

In these steps, include methods of notification, title of the individual or group that begins the notification process, and required responses of all organization personnel upon notification.
Step 4 in the Warren County COOP Worksheet can be used to help complete this section.

5.7. COOP Activation

Upon activation of the COOP, the <INSERT ORGANIZATION NAME> shall:

- Notify COOP Contingency Staff and the rest of the <INSERT ORGANIZATION NAME>'s employees of COOP activation and provide them with basic instructions.
- Notify the point of contact at the alternate facility / location of impending activation and actual relocation requirements.
- Arrange security at the alternate facility for vital records at the same level as the primary facility / location to the extent possible.
- Notify the appropriate internal and external organizations of relocation status.
- Implement plans, procedures, and schedules to transfer essential functions, personnel, records, and equipment to alternate facilities / locations.
- Provide guidance to contingency staff and other departmental staff.
- Assemble necessary documents and equipment required to continue the performance of essential operations at alternate facilities / locations, including communications equipment, computer equipment, contact lists, and vendor numbers.
- Order equipment or supplies, if not already in place.
- Transport vital records and files, supporting communications, IT framework and other necessary equipment to the alternate facilities / locations, if applicable.
- Arrange security for the abandoned primary facility / location and non-moveable equipment and records, to the extent possible.
- Provide instructions to personnel not relocating to the COOP site.

*See *Attachment F – Staff Organizational Chart*
Attachment to be utilized to record the lines of authority and organization of assigned staff.

*See *Attachment G – Staff Contact List*
Attachment to be utilized to record pertinent contact information of each staff member.

5.8. Alternate Site(s)

Relocation to the alternate site(s) occurs when the primary site(s) is / are damaged and rendered inoperable or unsafe and staff must evacuate. "Alternate site(s)" is a comprehensive term that refers to both alternate operating capabilities and physical relocation facilities. An alternate operating capability refers to work arrangements such as telework and mobile work concepts. A physical relocation facility is an operating site with sufficient space, equipment, infrastructure systems, and logistical support to maintain operations for up to thirty (30) days.

Step 5 in the Warren County COOP Worksheet can be used to help complete this section.

Alternate sites should provide:
- Sufficient space and equipment, including computer equipment and software, if necessary.
- The capability to perform EFs within twelve (12) hours of plan activation, for up to thirty (30) days.
- Reliable logistical support, services, and infrastructure systems.
- Interoperable communications with essential personnel, and external entities.
- Secure areas with badge / restricted access, if needed.
- Accessibility for individuals with disabilities and those with other access and functional needs.
- Emergency / backup power capability.
- Residential accommodations and transportation, if necessary.
- Bathrooms and break areas.

*See *Attachment H – Inventory of Alternate Facilities / Locations*
Attachment to be utilized to record information of potential backup facilities and responsible departments for alternate facilities.

*See *Attachment I – Alternate Work Location Information*
Attachment to be utilized to record details about the alternate facility and what information will need to be communicated to continuity staff.

Coordinate with pre-identified alternate sites on what will be provided. Include that information in the MOU / MOA.

In addition, <INSERT ORGANIZATION NAME> also has the alternate operating capability referred to as telework or telecommuting. This capability allows for personnel fulfilling essential positions to do so remotely. This "alternate site" will allow employees to complete essential functions, while also being able to remain with their families, reduce reliance on transportation infrastructure, as well as provide social distancing (if the emergency requires it). In addition, telework may also be particularly effective for disabled employees.

Personnel completing essential functions remotely will need a variety of equipment and infrastructure needs. <INSERT ORGANIZATION NAME> will identify needs and provide the needed tools to perform the essential functions effectively and successfully.

*See *Attachment J – Telecommuting Capabilities*
Attachment to be utilized to record employees' capabilities of working remotely and what requirements need to be met.

Phase III – Continuity Operations *(Twelve (12) Hours Following an Incident through Termination)* includes activities to continue essential functions, including communicating with supporting and supported organizations, customers, and stakeholders. During continuity operations <INSERT ORGANIZATION NAME> may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to thirty (30) days or until normal operations can be resumed. The assigned personnel maintain the authority for emergency acquisition.

5.9. Roles & Responsibilities

*Add or remove any roles and responsibilities to adapt this section to the organization's needs.

All <INSERT ORGANIZATION NAME> staff have a role in the organization's COOP effort. This section identifies the positions that have a functional role in the continuity program and outlines their responsibilities.

All <INSERT ORGANIZATION NAME> personnel will:

- Stay informed about the incident.
- Provide current contact information to the Continuity Manager.
- Follow the directions and guidance of the COOP Plan.
- Integrate COOP elements into day-to-day activities.

<INSERT TITLE OF ORGANIZATION HEAD> or their assigned designee will:

- Activate the COOP program and provide overall policy direction, guidance, and objectives for continuity operations.
- Appoint a Continuity Manager.
- Ensure all human resource matters are addressed including employee communications.
- Maintain a notification system to communicate with organization personnel, leadership, stakeholders, partners, and suppliers.
- Coordinate with leadership on the movement of essential personnel and equipment to continuity site(s) when COOP is activated.
- Provide necessary resources to support the implementation of the COOP Plan and supporting activities.
- Ensure adequate funding is available for emergency operations.
- Initiate recovery of the organization as part of reconstitution.
- Update and promulgate orders of succession and delegations of authority.

Continuity Manager will:

- Identify EFs.
- Be familiar with the organization's continuity capabilities.
- Provide direction to the organization, as needed, if COOP is implemented.
- Serve as the principal representative to internal and external stakeholders and groups during implementation of the COOP Plan.
- Coordinate and oversee all continuity activities within the organization.
- Maintain orders of succession and delegations of authority.
- Address telephone inquiries from continuity and non-continuity staff.
- Update telephone rosters <INSERT FREQUENCY>.

Continuity Personnel will:

- Be prepared to deploy and support EFs in the event of a continuity activation.
- Be familiar with the COOP Plan and individual roles and responsibilities in the event of continuity activation.
- Have a telework agreement for this position, if applicable.
- Conduct EFs from the alternate site(s).
- Be cross trained to proficiently conduct the EFs that are outside of normal duties.
- Assemble necessary documents and equipment to continue essential functions at alternate location.

Information Technology Manager will:

- Maintain and support personnel with remotely accessing the organization's drives.
- Provide technology troubleshooting.
- Assist in recovering lost or damaged essential records.
- Verify that all systems, communication methods and technology requirements are operational, both at alternate site(s) and restored or new primary site(s).
- Back-up, secure, and retrieve vital records, files, and databases.
- Transport vital records, files, communications, IT framework, & other equipment to alternate site.

5.10. Continuity Communications

Step 7 in the Warren County COOP Worksheet can be used to help complete this section.
After the initial notification is made to <INSERT ORGANIZATION NAME> personnel and leadership, regular communication will need to be maintained with all internal and external partners / stakeholders, organization personnel, and leadership. Communications equipment for use by employees with disabilities and other access and functional needs will also be maintained by the organization. Critical communications include the systems and equipment that will be used to keep all employees informed of continuity activities, carry out the EFs, and remain in contact with all stakeholders and suppliers.

If operating at an alternate facility, interoperable communications at the identified alternate facility will provide the following:

- Capability to adequately support essential functions and COOP operational requirements.
- Ability to communicate with key COOP staff, contingency staff, management and other jurisdiction personnel.
- Ability to communicate with other agencies, the public, and emergency personnel.
- Access to data and systems necessary to conduct essential functions.
- Ability to operate in the alternate facility/location within twelve (12) hours, and for up to thirty (30) days in a situation with and without warning.
- Ability to communicate with existing field infrastructure.

Interoperable communications include a wide range of equipment and systems, including radio, phone, fax, email, internet, intranet, messaging systems, video conference, notification systems such as Emergency Alert Systems (EAS), and Telephone notification systems.

*See *Attachment K – Interoperable Communications*
Attachment outlines communications equipment available at the primary and proposed alternate locations.

*See *Attachment L – Vendors / Suppliers Contact Roster*
Attachment to be utilized to record the contact information of vendors and suppliers.

*See *Attachment M – Stakeholder Contact Roster*
Attachment to be utilized to record the contact information of stakeholders and partners when further communication is needed.

The table on the next page depicts the communication methods available for communicating with important individuals and groups, identifies who is responsible for maintaining communications, and lists applicable communication methods. Continuity personnel, non-continuity personnel, leadership, stakeholders, and suppliers will need different information about the event.

What to Communicate to Which Partners							
Information	**Audience**					**Responsible Party**	**Communication Method**
	Leadership	**Employees (Continuity)**	**Employees (Noncontinuity)**	**Suppliers**	**Stakeholders / Media**		
Nature of incident / what happened	X	X	X	X	X	\<INSERT PERSONNEL RESPONSIBLE NAME>	\<INSERT COMMUNICATION METHODS>
Status of the organization	X	X	X	X	X		
If continuity capability was activated	X	X					
How communication will take place to inform of work status	X	X	X				
Employee communication of work capabilities	X	X	X				
Alternate site details (when & where to report, what's needed, access details, etc.)	X	X	X	X			
Remote work summaries and troubleshooting contacts	X	X	X				
How compensation may be affected	X	X	X				
Whether their job is affected / when to return to work			X	X			
Impacts & disruptions to the community	X	X	X		X		
Steps that are being taken	X	X	X		X		
Number of those affected	X				X		
Timeframe for being up and running	X	X	X	X	X		
How they will be affected	X	X	X	X	X		
Estimated cost	X						
Cause of incident	X	X	X	X	X		

Adjust the table to the specific needs of the organization. Also, include alternate / back up personnel and communication methods in case someone is unavailable, or communication method fails.

5.11. Records & Resources

Essential Records & Digital Systems
While <INSERT ORGANIZATION NAME> has a number of important records, files, and databases that should be protected, this COOP will address only the protection of vital records, files and databases that support essential functions. Vital records, files, and databases represent only a small fraction of the records maintained by <INSERT ORGANIZATION NAME>.

To the greatest extent possible, back-ups of electronic records, files, and databases will be performed and positioned at alternate facilities / locations. If these back-ups are not available at the alternate facility / location, <INSERT ORGANIZATION NAME> will develop a procedure to access these from the alternate facility / location.

The three (3) types of files that are the primary focus of the back-up process include: anything used during emergency operations of any kind, legal and financial records, and any records of national significance.

Measures are taken to ensure vital records are maintained:
- Replicate the department server at an off-site facility / location.
- Scan paper records / files and store them on a secure computer.
- Store duplicate records and files in fireproof filing cabinets, vaults, and safes at the primary location.
- Identify specific individuals responsible for the maintenance, retrieval, and security of vital records, files, and databases.
- Back up the server using USB drives or disk storage systems.

*See *Attachment N – Records: Vital Files and Database Inventory*
*Attachment to be utilized to record the inventory of vital records, either physical or digital.

Hardware: Systems, & Equipment
Interoperable communications at the identified alternate facility will provide the following:
- Capability to adequately support essential functions and COOP operational requirements.
- Ability to communicate with key COOP staff, contingency staff, management, and other jurisdiction personnel.
- Ability to communicate with other agencies, the public, and emergency personnel.
- Access to equipment and systems necessary to conduct essential functions.
- Ability to operate in the alternate facility / location within twelve (12) hours, and for up to thirty (30) days in a situation with and without warning.
- Ability to communicate with existing field infrastructure.

Necessary hardware includes a wide range of equipment and systems that may be listed in the following attachment:

*See *Attachment O – Hardware: Systems & Equipment Inventory*
Attachment to be utilized to record the inventory of vital physical hardware systems and equipment.

Software: Programs & Applications

Just as records are vital to <INSERT ORGANIZATION NAME>'s essential functions, the systems, applications, and software programs used are also essential for <INSERT ORGANIZATION NAME> to maintain critical services. Systems, applications, or software programs are vital if it is necessary to perform essential functions. Many critical systems, applications, and software programs support essential department functions, however, not all are vital, even if it is important.

*See *Attachment P – Software: Programs & Applications Inventory*
Attachment to be utilized to record the inventory of vital digital software programs and applications.

5.12.   Orders of Succession

Steps 9 & 10 in the Warren County COOP Worksheet can be used to help complete this section.
Orders (or lines) of succession are formal and sequential listings of positions that identify who is authorized, to the extent not otherwise limited by the law, to assume the role of an essential position under specific circumstances. This is often done when current leadership is unavailable to perform their responsibilities or is incapacitated.

All involved will be made aware of the changes in leadership and the order of succession prior to the event and kept aware during the event.

*See *Attachment Q – Orders of Succession*
Attachment to be utilized to list the succession of authority in the event the Department Head is unavailable to ensure that the department can respond rapidly to emergency situations requiring COOP implementation.

5.13. Delegations of Authority

Initial COOP delegation of authority will follow basic Incident Command System (ICS) principles with the highest-ranking person present on the scene assuming command and maintaining it until the <INSERT TITLE OF ORGANIZATION HEAD> or a designated alternate is able to assume the responsibility for the continuity of operations processes. Delegations of authority will generally specify a particular function that an individual is authorized to perform and include restrictions and

limitations associated with the authority if senior leadership is unavailable to perform their responsibilities or is incapacitated.

*See *Attachment R – Delegations of Authority*
Attachment to be utilized as a table listing the assigned personnel given the authority and details of the situation's circumstances.

Phase IV – *Reconstitution Operations (Termination of COOP Operations and Return to Normal Operations)* are implemented when the emergency, or threat of emergency, is over, and organizations initiate operations for resuming normal business operations. <INSERT ORGANIZATION NAME> can plan for reconstitution prior to activation of their continuity plan and concurrently with continuity operations. Reconstitution simultaneously sustains EFs while coordinating the resumption of normal operations from the primary site(s). In some cases, extensive coordination may be necessary to procure a new primary operating site(s), backfill staff, reestablish communications and IT infrastructure, restore essential records, and take other actions to return the organization to normal operations.

Reconstitution actions are listed below:
- When notified that the threat or actual emergency no longer exists, inform all staff, and provide instructions for the resumption of normal operations.
- Supervise an orderly return to the primary facility, or movement to another temporary or permanent facility using a phased approach if conditions necessitate.
- Inform the point of contact at the alternate facility and other points of contact that your staff and functions will be leaving the alternate facility, if applicable.
- Conduct an after-action review of COOP operations and the effectiveness of plans and procedures as soon as possible; identify areas for correction.
- Develop an improvement plan utilizing lessons learned from the COOP activation.

5.14. After Action Reports

An After-Action Report is a narrative report that presents issues found during an incident or exercise, along with recommendations on how those issues can be resolved. These reports have a threefold purpose. They provide an opportunity for everyone involved to:
- Identify areas in the current emergency response plan in need of improvement.
- Make recommendations to improve it.
- Capture key lessons learned.

*See *Attachment S – After Action Report Template*
Attachment to be utilized to record after-action items for better performance in the future.

6. PLAN MAINTENANCE

The COOP Plan will be updated and maintained according to an established schedule. Whenever the plan is updated, it will be reissued with the update recorded on the Record of Changes Page.

Plan revisions due to changes in department structure, essential functions, or mission will be made promptly. Long-term plan maintenance will be undertaken carefully, planned for in advance, and completed according to the schedule.

Activity	Tasks	Frequency	Personnel Responsible
Plan Update	• Review entire plan for accuracy. • Incorporate lessons learned and policy changes. • Distribute updated plan.	Annually or as major changes warrant	\<INSERT PERSONNEL OR DEPARTMENT RESPONSIBLE>
Maintain Orders of Succession and Delegations of Authority	• Identify current incumbents. • Update rosters and contact information.	Semiannually	
Maintain Alternate Location Readiness	• Ensure alternate location availability. • Review and update supporting MOUs and agreements. • Check all systems. • Verify accessibility. • Cycle supplies and equipment as needed. • Plan evacuation route from primary facility.	Semiannually	
Monitor and Maintain Vital Records Program	• Monitor volume of materials. • Update or remove files.	Ongoing	
Checklists	• Update and revise Operational Checklists.	Annually	
Contact Information	• Confirm and / or update key personnel information. • Confirm and / or update key vendor information.	Quarterly	

Adjust frequency of maintenance and personnel responsible to what best fits the organization.

7. Attachments

- Attachment A: Plan Implementation Checklist
- Attachment B: <INSERT ORGANIZATION NAME> Essential Functions
- Attachment C: Essential Function Requirements
- Attachment D: Inventory of Current Facilities / Locations
- Attachment E: COOP Activation Alerting & Notification
- Attachment F: Staff Organizational Chart
- Attachment G: Staff Contact List
- Attachment H: Inventory of Alternate Facilities / Locations
- Attachment I: Alternate Work Location Information
- Attachment J: Telecommuting Capabilities
- Attachment K: Interoperable Communications
- Attachment L: Vendors / Suppliers Contact Roster
- Attachment M: Stakeholder Contact Roster
- Attachment N: Records: Vital Files & Database Inventory
- Attachment O: Hardware: Equipment & Systems Inventory
- Attachment P: Software: Programs & Applications Inventory
- Attachment Q: Orders of Succession
- Attachment R: Delegations of Authority
- Attachment S: After Action Report Template

*Update Attachments (order, remove / add, etc.) once the plan development has finished.

Plan Implementation 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 at assembly point		
4	If necessary, contact Emergency Responders (fire, police, EMS)		
5	Ensure that safety measures are put into effect		
6	Shut down utilities to limit further damage		
7	If needed invoke succession of leadership		
8	Initiate personnel notification using Contact List		
9	Activate COOP Plan		
10	Hold response meeting at a predetermined site		
11	Notify alternate facility POC and ensure the facility is prepared and secured for relocation		
12	Assemble supporting elements required for re-establishing and performing essential functions at alternate facility location: • Vital Files, records and databases • Supporting communications • Critical Software • 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		

Item	Task	Task Assigned to	Date and Time Completed
15	Prepare designated communications and other equipment for relocation		
16	Secure primary facility, including any equipment or vital records left behind		
17	Make computer connectivity and telephone line transfers to designated alternate location		
18	Ensure Go-Kits are complete and ready for transfer		
19	Key personnel begin movement to alternate facility location		
20	Develop detailed status of situation for senior leadership		
21	Notify remaining personnel for movement to alternate facility location		
Alternate Facility Operations			
22	Notify surrounding jurisdictions that operations have shifted to alternate facility location		
23	Organize staff		
24	Develop shift rotations		
25	Determine which essential functions have been affected		
26	Develop status report		
27	Prioritize essential functions for restoration		
28	Track status and restoration efforts of all essential functions		
29	Administrative actions to assemble: • Onsite telephone • E-mail and telephone directory • Workforce office plan • Lodging and dining plan as appropriate and needed		

Item	Task	Task Assigned to	Date and Time Completed
30	Occupy workspace: • Stow gear and equipment • Store and secure vital files, records and databases • Test telephone, fax, e-mail, radio and other communications • Establish communications with outside support contacts		
31	Ensure all critical equipment, critical software and vital files, records and databases are available at alternate facility location		
32	Coordinate procurement of additional equipment as required		
Reconstitution			
33	Resume operations – essential functions		
34	Inventory and salvage useable equipment, materials, records, and supplies from damaged facility		
35	Survey condition of affected facility and determine feasibility of salvaging, restoring or returning to original offices when emergency subsides or is terminated		
36	Develop long-term reconstitution and recovery plans		
37	Track status and restoration efforts of all essential functions		
38	Conduct transition of all functions, personnel and equipment from alternate location back to primary facility		
39	Determine loss of department's inventory for insurance report		
40	Schedule briefing meeting with affected jurisdictions, the public and vendors		
41	Develop and communicate a press release		

<INSERT ORGANIZATION NAME> Essential Functions

Essential Function	Managing Division, Office, or Program (Enter Contact Info)	Description of Function (What depends on or supports this function?)	Records, Equipment, and Supplies Needed	Limitations
<INSERT FUNCTION HERE>				

*When determining the organization's essential functions, start by listing out all functions. From there select the ones that are essential to maintain operational during times of a disaster. Functions may be marked essential based on life safety, legal requirements, lessons learned from previous events, Standard Operating Guides (SOGs), etc.

Essential Function Requirements

Recovery Priority	Essential Function	Resource Requirements	Personnel Required
Immediate > 12 hours			
Necessary 12-72 hours			
Important > 1 week			
Postponed > 30 days			
Extended < 30 days			

Inventory of Current Facilities / Locations

Facility	Address	Department(s) Housed	Number of Employees at this Location

Include backup facilities.

COOP Activation Alerting and Notification

This attachment is intended to provide guidance on what information to include when notifying different individuals and groups. Please see below for the different issues or topics to address when notifying personnel, leadership, suppliers, partners, and stakeholders. Having pre-scripted messages will aid in communicating this information for all stakeholders. A sample pre-scripted message is below:

"Attention _____ staff located at _____. This message is to inform you that the <u>state the nature of the emergency / disaster and any status of the organization.]</u> *Management is currently gathering details of the event and status of the _____ site(s). Please report to* <u>[describe how the employee will report their status to the organization]</u> *for accountability purposes. Please remain at home on standby or in your current location (if you are on leave or standby) and await further instructions as the situation unfolds.* <u>[insert alerting authority, such as your supervisor]</u> *will contact you by* <u>[insert time, if known]</u> *with more information."*

Organization Name	Function or Role	Personnel Name	Contact Information	Notified?
Leadership				
Employees – Continuity Personnel				
Employees – Non-Continuity Personnel				
Suppliers				
Stakeholders				

*Per-scripted messages help quickly communicate clearly and effectively. It is recommended to draft pre-scripted messages for a variety of incidents / scenarios to aid in response and recovery operations.

Staff Organizational Chart
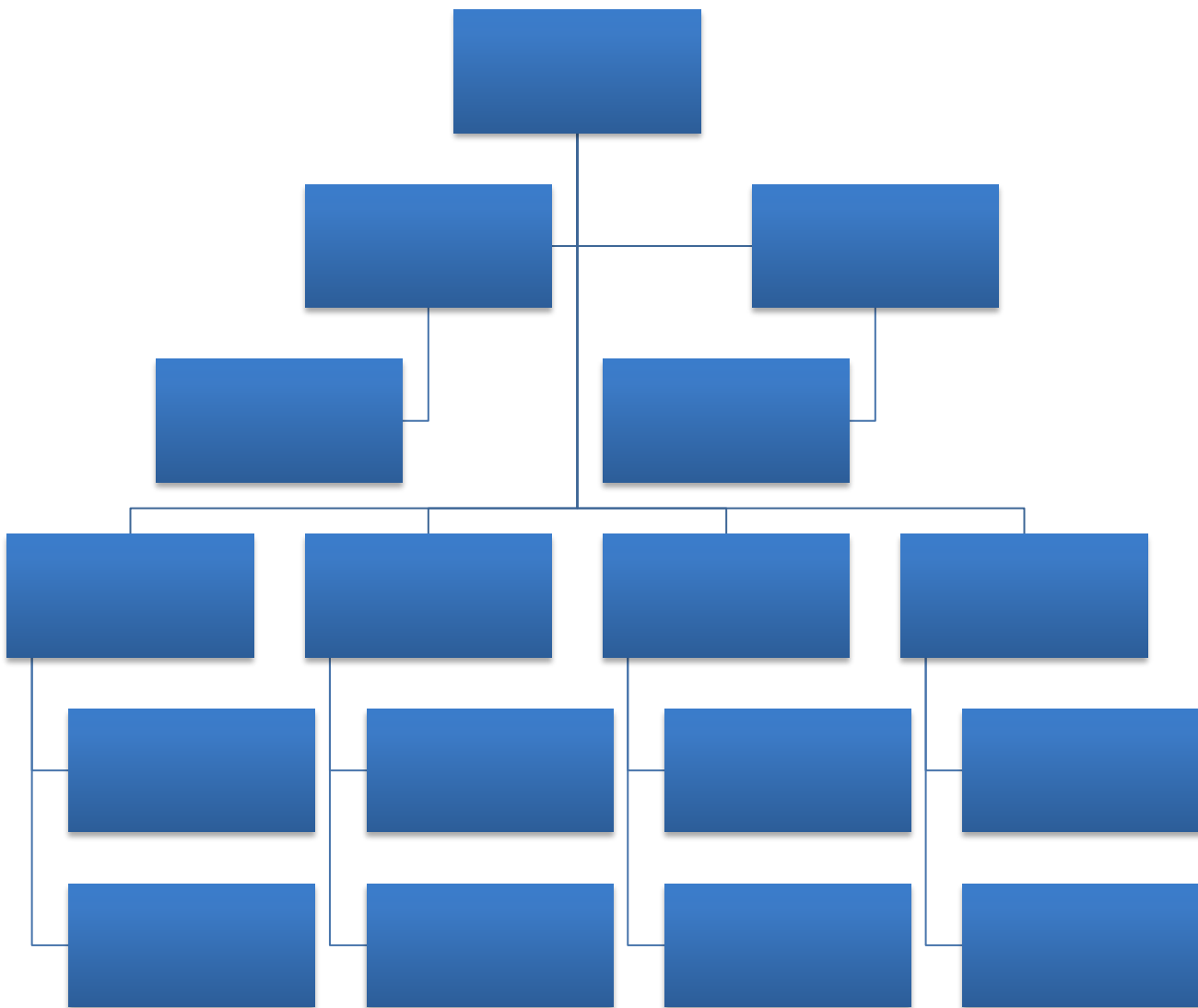
Staff Contact List

Employee Name	Work Phone	Cell Phone	Personal Phone	Work Email

Including multiple contacts options for each employee serves as a redundancy in case one option is not available.

Inventory of Alternate Facilities / Locations

Alternate Site #1	
Name of Alternate Facility	
Point of Contact Name	
Phone Number	
Complete Address of Site	
Security & Access Requirements	
Equipment on Site	
Support Staff Contact Information	(Audiovisual, IT, telecommunications, facilities, security, medical, etc.)
Additional Information	• This site is <RENTED OR OWNED> by <INSERT NAME> • Map of the sites can be found <INSERT LOCATION> and copies can be found <INSERT LOCATION> • <INSERT ANY ADDITIONAL INFORMATION>

*If additional alternate sites are used / available, copy and paste this table on a new page below.

Alternate Work Location Information

Facility Name _____ **Address** _____

Contact Name _____ **Telephone** _____

Basic Facility Specifications

Number of private offices:_____ Number of parking spaces_____

Number of cubicles: _____ Loading dock? Yes _____ No _____

Number of conference rooms: _____ Handicapped accessible? Yes _____ No _____

Communications

Number of commercial telephone lines available: _____

Number of secure telephone lines available: _____

Office Equipment Available

Number of desks: _____ Computers: _____

Number of chairs: _____ Number with internet access: _____

Number of copiers: _____ Office supplies? Yes _____ No _____

Number of Fax machines _____ TVs/HDMI? Yes _____ No _____

Other: _____

Utilities	Contact Name	Telephone
Water	_____	_____
Electricity	_____	_____
Natural Gas	_____	_____
Telephone	_____	_____
Cable TV	_____	_____
Security	_____	_____
Maintenance	_____	_____
Other:	_____	_____

Relocation Support	Name	Telephone
Local Hotel	_____	_____
Local Dining	_____	_____

Telecommuting Capabilities

Essential Function	Amenable to Remote Work?	# of Remote Employees Needed	Equipment and Accesses Needed	# of Remote Employees Currently Prepared
	Yes / No			
	Yes / No			
	Yes / No			
	Yes / No			
	Yes / No			
	Yes / No			
	Yes / No			
	Yes / No			
	Yes / No			
	Yes / No			
	Yes / No			

When determining if an essential function / employee can work remotely remember the following equipment and systems that will be needed to perform, such as: access to the server using the Virtual Private Network (VPN) remote access. an organization-provided laptop or personal computer / device, a mobile phone or pre-identified landline, internet access, login credentials.

Interoperable Communications

Communications Equipment/ System	Number at Primary Location	Current Provider at Primary Location	Number Needed at Alternate Location	Number at Alternate Location 1	Number at Alternate Location 2
Landline Phones					
Fax Machines					
Chargers					
Printers / Copiers					
Mobile Phones					
Videoconferencing					
Network Connect					
Data Lines/Jacks					
Computers					
Memory Cards					
E-mail					
Internet / WIFI					
Radios					

Vendors / Suppliers Contact Roster

Vendor	Contact Name	Contact Number	Services / Materials Supplied

Stakeholder Contact Roster

Partner / Stakeholder	Contact Name	Contact Number	Role
Government Entities			
Funding Entities			
Non-Governmental Agencies / Volunteers			
Companies & Other Partners (Energy, Weather Service, HazMat, Transportation, Hospitals, Etc.)			
Media			

Records: Vital Files & Database Inventory

Record Name	Current Location	Security Measures	Back-Up Location	Person Responsible
Physical Records				
Digital Records				

Hardware: Equipment & Systems Inventory

Vital Equipment or System	Essential Function Supported	Current Location	Backup / Redundancy	Person Responsible
Radios				
Battery Backups				
Power Supply				
Solid State Drive (SSD)				
Projection Systems				
External Hard Drive				
Monitor				
Mouse				
Keyboard				
CPU / Computer				

Software: Programs & Applications Inventory

Vital Programs or Applications	Essential Function Supported	Current Location	Backup / Redundancy	Person Responsible
Productivity Software				
Media Player				
Operating System				
Security Systems				
Device Drivers				
Employee Database				
Time Clock Software				
Address Book				
Restricted Information				

Order of Succession

Department Head	First Alternate	Second Alternate	Third Alternate

Delegations of Authority

Delegations of Authority	
Authority (Function)	
Authority Type (statutory or signatory)	
Position Currently Holding Authority	
Individuals Delegated to Perform the Above Authority	
Under What Circumstances	
Method of Notifying Affected Entities	
Limitations of Authority	
Termination Takes Effect	
Delegations of Authority	
Authority (Function)	
Authority Type (statutory or signatory)	
Position Currently Holding Authority	
Individuals Delegated to Perform the Above Authority	
Under What Circumstances	
Method of Notifying Affected Entities	
Limitations of Authority	
Termination Takes Effect	

After-Action Report Template

Part I – General Information		
1. Location (city, village)	2. Exercise Host / Affected Department(s)	3.Site of Event / affected Buildings

4. Type of Event

☐ Exercise   ☐ Actual Occurrence
         Briefly describe event below

_____ Seminar
_____ Workshop
_____ Tabletop
_____ Drill
_____ Functional
_____ Full Scale

5. Date of Event

Began:_____/_____/_____

Ended:_____/_____/_____

6. Hazard Scenario
Describe the primary hazard (flood, HazMat, etc.) and any secondary hazards (power outages, fire, etc.)

7. Number of Participants / Affected Individuals by department / agency

_____ Law Enforcement	_____ Fire	_____ HAZMAT	_____ EMS
_____ ARC	_____ Co. Health	_____ City Health	_____ EPA
_____ Auditor	_____ Utilities	_____ Engineer	_____ Purchasing
_____ Ch. Executive	_____ Trustees		
_____ Others _____			

Part II – General Comments
What went right? (Provide a general description of actions, procedures, and decisions that contributed positively to the exercise/event.
What areas need improvement? (Provide a general description of actions, procedures, and decisions that could be improved to enhance the response in a future exercise/event.)

Part III – COOP Functions Tested						
	Results (circle)	**Corrective Action Requirements** (check to show that a corrective action is required)				
COOP Functions	S – Satisfactory NI – Needs Improvement N/A – Not Applicable	Planning	Training	Personnel	Equipment	Facilities
1. COOP Alert Notification						
Internal Agency Notification	S NI N/A					
Other Agencies / Authorities Notification	S NI N/A					
Public Notification	S NI N/A					
Other notification procedures	S NI N/A					
2. Alternate Site Operations						
Delegation of Authority	S NI N/A					
Succession of Leadership	S NI N/A					
Accessibility	S NI N/A					
Physical Requirements (space furniture, lights, parking, etc.)	S NI N/A					
Essential Equipment	S NI N/A					
Essential Documents	S NI N/A					
Interoperable Communications	S NI N/A					
Staffing	S NI N/A					
Other alternate site operations requirements	S NI N/A					
Recommendations and Comments						
(Use additional pages as needed)						