

Agency Name

CONTINUITY OF OPERATIONS PLAN



Replace Logo with
Agency Logo



Date:
Version:



This template is provided by the U.S. Election Assistance Commission (EAC). This template and supporting guidance document are intended to support Election Agencies with Continuity of Operations (COOP) Planning.

The EAC maintains a webpage with additional information on COOP Planning at:
<https://www.eac.gov/election-officials/contingency-planning>

How to Complete this Template

This document is meant to provide a template for an agency to guide development of their Continuity of Operations (COOP) Plan. By completing and customizing this template, this document can serve as the agency's COOP Plan.

Format of template includes highlighted areas:

- Gray highlight – instructions to user.
- Green highlight – text to be entered/changed by user. Remove green highlight after data has been entered.
- Blue textboxes – sidebars provide additional information.

In addition, a separate *EAC COOP Template Guidance* document is available with more examples and instructions/guidance.

Disclaimer: This information is provided for general information purposes only. Jurisdictions are reminded to use this template only after reviewing state and local laws and regulations. Local election officials should contact their state election officials with questions about the legality of a specific policy or procedure in their state.

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Promulgation Statement

The promulgation statement gives authority to the agency to perform continuity tasks in response to an incident or disaster. It is approved and signed by the agency head. The promulgation statement makes the COOP Plan in force.

[Sample Text]

The [agency name] mission is to [mission statement]. To accomplish this mission, [agency name] must ensure its operations are performed efficiently with minimal disruption, especially during an incident or disaster. This plan provides guidance for implementing the Continuity of Operations (COOP) Plan in response to an incident or disaster to ensure agency capability to conduct essential functions under all threats and conditions.

[Agency Head signature]

[Agency Head's name]

[Agency Head's title]

[Agency Name]

[Signature Date]

Administrative Handling Instruction

1. This document is for internal use only and should be safeguarded, handled, transmitted, and stored in accordance with appropriate security directives. It should be released to individuals on a strictly need-to-know basis.
2. For information on this document, please contact the following points of contact (POCs):

[Insert point of contact information here]

Name

Title

Contact info

Version Information, Changes, & Tests/Exercises

Any changes, edits, updates, and tests/exercises made to this Continuity of Operations Plan (COOP) will be recorded here. It is the responsibility of the COOP Coordinator to ensure that all existing copies of the COOP are up to date. Whenever there is an update to the COOP, the version number should also be updated.

Add rows as required as the COOP is amended.

Name of Person Making Change or Facilitating Test/Exercise	Type (Change or Test/Exercise)	Date of Change or Test/Exercise	Plan Version Number	Notes

Introduction

This Continuity of Operations (COOP) Plan captures, in a single repository, all of the information that describes the Agency's ability to withstand an incident/disaster as well as the processes that must be followed to recover from such incident/disaster. It is the responsibility of the Agency (plan owner) to keep the plan information current and complete. The plan owner will follow processes outlined under the Plan Maintenance and Test, Training, & Exercises Chapter in the document to keep this plan current.

Agency Mission

The Agency's mission is:

[define the Agency's mission here – this could be the agency's mission statement]

Definition of an Incident/Disaster

An incident/disaster is an occurrence, natural or manmade, that requires a response to protect life or property and can result in the Agency not being able to perform all or some of their regular roles and responsibilities for a period of time. They can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, civil unrest, wildland and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, tsunamis, public health and medical emergencies, and other occurrences requiring an emergency and continuity response.

Purpose

The purpose of the Agency Continuity of Operations Plan is to document the steps that the Agency will follow if an incident/disaster occurs that impacts essential functions. The Continuity of Operations Plan also details how this document is to be maintained and tested.

Scope

The Agency's Continuity Plan takes all of the following areas into consideration:

- [Edit this list to reflect the areas that are covered under this continuity plan]
- [Example: Location – facilities located at 123 Main St., Any City, USA]
- [Example: Voting Services]

This Continuity Plan does not take into consideration any of the following:

- [Edit this list to reflect the areas and/or functions that are not covered under this continuity plan]
- [Example: Human Resources Services]
- [Example: Accounts Payable]

Scope:

The scope for this COOP Plan should be centered around election specific functions.

Planning Assumptions

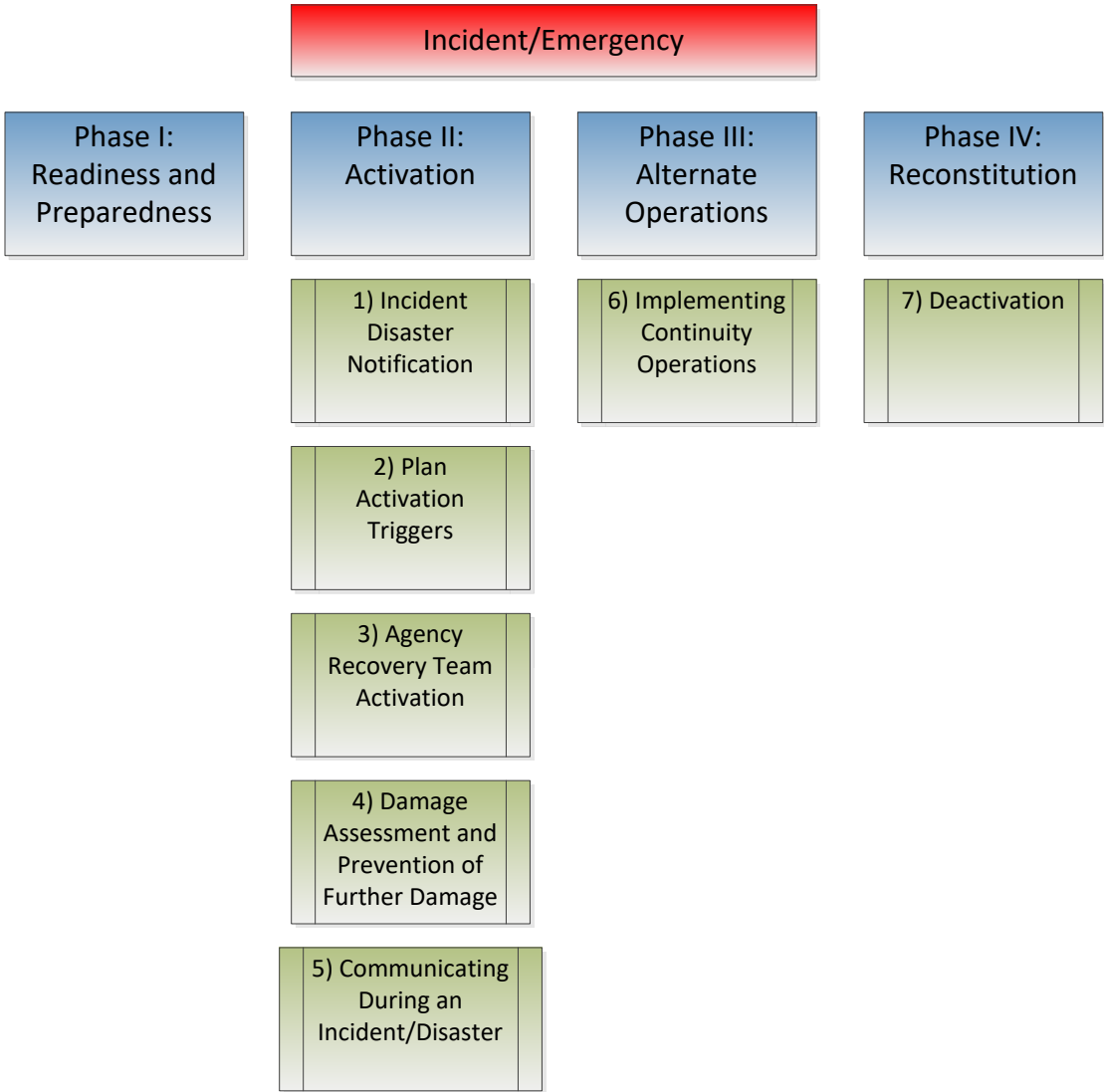
[This section outlines assumptions made during the planning process]

[Example: The following assumptions were made during the planning process:

- Other agencies providing services to [agency name] will be able to continue to provide these services.
- Additional assumptions]

Concept of Operations

The concept of operations outlined below identifies key activities in the COOP process. These activities cover before, during, and after a COOP event throughout a phased approach.



Phase I: Readiness and Preparedness

Readiness is the ability of an agency to respond to an incident or disaster. It includes the steps to develop the COOP Plan and to train personnel on the implementation of the COOP Plan. Continued readiness and preparedness actions can be found in *Plan Maintenance and Test, Training, & Exercises* chapter of this document.

Phase II: Activation

Actions under this phase are the first actions to be taken in response to an incident or disaster. These actions include:

- 1) Incident Disaster Notification
- 2) Plan Activation Triggers
- 3) Agency Recovery Team Activation
- 4) Damage Assessment and Prevention of Further Damage
- 5) Communicating During an Incident/Disaster

Phase III: Alternate Operations

Actions under this phase are where an agency implements and executes the strategies in the COOP Plan to ensure essential functions are accomplished.

- 6) Implementing Continuity Operations

Phase IV: Reconstitution

Reconstitution is the process of returning to normal operations.

- 7) Deactivation

COOP and Incident Command System

The Incident Command System (ICS) is a standardized approach to incident management that is used for all kinds of incidents by all types of organizations and at all levels of government; ICS is applicable to small incidents as well as large and complex ones. ICS is a component of the National Incident Management System (NIMS) which is a systematic, proactive approach to guide all levels of government, nongovernmental organizations (NGOs), and the private sector to work together to prevent, protect against, mitigate, respond to, and recover from the effects of incidents.

ICS is most likely to be activated on a city, county, state, or federal level and incorporate agencies under those levels. In ICS, COOP falls under the Operations Section. If ICS has been activated and your agency has been incorporated within ICS, then the Agency Continuity Coordinator will serve as the direct interface within ICS to the Operations Section.

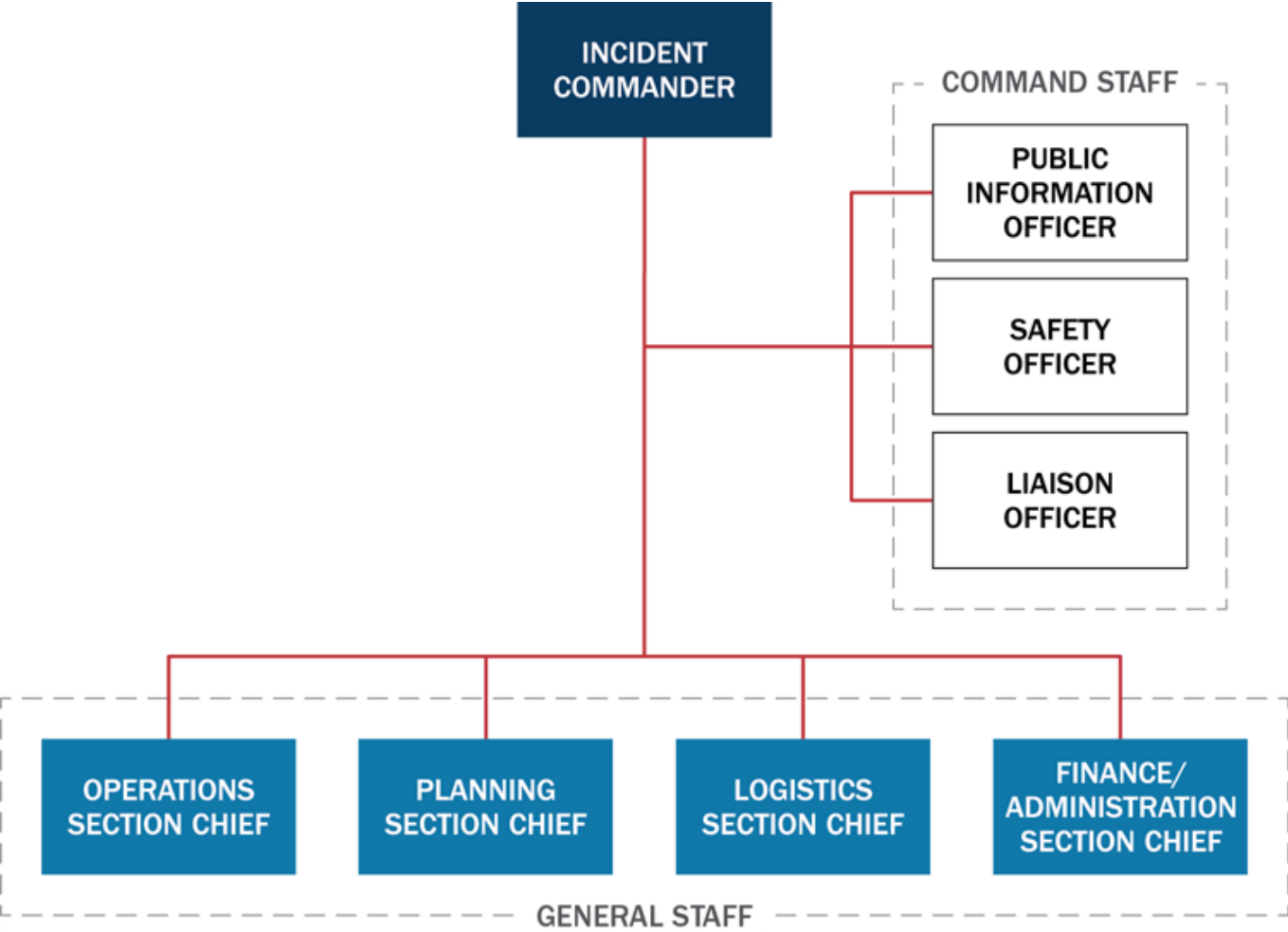


Figure 1: Example of an ICS Organization (National Incident Management System, Third Edition, October 2017, FEMA)

Agency COOP Team

The Agency Continuity Team consists of the Agency Head responsible for the overall COOP efforts and the Agency Continuity Coordinator responsible for the overall Agency COOP Plan. Each essential function in the Agency will have a Continuity Team Lead assigned to manage the recovery of that essential function. Based on the Agency's size, structure, and other factors, some team members may be assigned to multiple positions.

Detailed roles and responsibilities of the team members of the Agency Continuity Team are described in this section.

Agency COOP Team Composition:

For larger agencies different staff members maybe assigned to the various positions on the COOP Team. But smaller agencies may not have the staff to assigned different staff members to the various positions on the COOP Team. If this is the case an agency may assign the same staff member to the various positions on the COOP Team. But it is important to note that even with one staff member assigned to the various positions on the COOP Team, that person is responsible to carry out all the responsibilities of each COOP Team position.

Agency Head

The Agency Head is responsible for the Agency's overall COOP efforts and decisions related to this effort. This person's primary role will be to oversee the COOP process.

Role and Responsibilities

- Approves Agency's COOP Plan.
- Makes the determination that an incident/disaster has occurred and trigger the COOP Plan and related processes.
- Initiates the Continuity Team Call Tree.
- Works with the Agency Continuity Coordinator to ensure continuity plans are implemented.
- Provides guidance in response efforts.

Contact Information

Add or delete rows as needed.

Name	Role/Title	Work Phone Number	Home Phone Number	Mobile Phone Number
[name]				
Alternate: [name]				

Continuity Coordinator

The Agency's Continuity Coordinator is responsible for the overall Agency COOP Plan (including development, activation, maintenance, and testing/exercising). This person's primary role during an incident/disaster is to provide guidance and leadership for the Agency's continuity processes.

Role and Responsibilities

- Oversee the development and maintenance of the Agency's COOP Plan.
- Be the single point of contact for and oversee all of the Continuity Team Leads within the Agency.
- Organize and chair regular meetings of the Agency Continuity Team Leads throughout the incident/disaster.
- Keep the Agency Head updated on the effect of the incident/disaster within the Agency, current recovery level, and the decisions that need to be made.

Contact Information

Add or delete rows as needed.

Name	Title	Work Phone Number	Home Phone Number	Mobile Phone Number
[name]				
Alternate: [name]				

Continuity Team

Each essential function in the Agency will have a Continuity Team Lead assigned to manage the recovery of that essential function. Based on the Agency's size, structure, and other factors, some of the team members may be assigned to multiple positions.

Role & Responsibilities

- Development and maintenance of an Essential Function Continuity Plan.
- Assess impact of incident/disaster on the essential function.
- Assess the Recovery Time Objective (RTO) listed and adjust as need based on the current situation.
- Evaluate current recovery capabilities and the ability to meet RTO of the essential function.
- Implement the essential function continuity plans and procedures.

Contact Information

See each Essential Function.

How to Use This Plan

Note that in the event of an incident/disaster the first priority is to life safety before any secondary measures are undertaken.

The next goal will be to enact the steps outlined in this plan.

- The degree of implementation of the COOP depends upon the magnitude and nature of the incident/disaster that caused the disruption.
- Use common sense and good business practices to adjust the planned recovery activities as appropriate.
- Coordinate the recovery effort through the Continuity Coordinator.
- Write notes in this document as you go through the recovery process. This will provide a central place to record information that can be referenced as needed.
- The “Action Item” box provides guidance on specific action items to be addressed in that section of the plan (see example below)

Example:

Action Item

Does the incident/disaster meet the criteria to activate your Agency's COOP Plan?

Incident/Disaster Response

If you are experiencing an Incident/Disaster start at this section

If an incident/disaster occurs, the first priority is to ensure that all employees, voters, and visitors are safe and accounted for. After this, steps must be taken to mitigate any further damage to facilities, reduce the impact of the disaster to the agency, and recover essential functions.

Regardless of the type of the incident/disaster, dealing with an incident/disaster can be broken down into the following steps:

- 1) Incident Disaster Notification
- 2) Plan Activation Triggers
- 3) Agency Recovery Team Activation
- 4) Damage Assessment and Prevention of Further Damage
- 5) Communicating During an Incident/Disaster
- 6) Implementing Business Continuity Operations
- 7) Deactivation

Agency Essential Functions Recovery Priorities

The information below lists recovery priorities for the Agency's essential functions. Use the Agency's Essential Functions Recovery Priorities chart in Step 6) *Implementing Business Continuity Operations* as the working version. This version is provided to give a general overview of the Agency's essential functions and priorities.

Priority	Time
1	12 Hours
2	24 Hours
3	24 Hours – 1 Week
4	1 Week – 30 Days or More

Sample Election Essential Function:

- Collection of ballots from Ballot Drop Box locations.

Priority vs MTPD:

- **Priority:** The order of recovery of essential functions after an incident/disaster and time frame to bring these functions back to operational status, based on MTPD.
- **MTPD (Maximum Tolerable Period of Disruption):** The maximum tolerable downtime for an essential function before intolerable qualitative and quantitative impacts occur.

Priority (Tier Level)	Function	Maximum Tolerable Period of Disruption (MTPD)
1		
1		
1		
2		
2		
3		
3		
4		
4		

1) Incident/Disaster Notification

Since it is almost impossible to predict when and how an incident/disaster might occur, you must be prepared to find out about incidents/disasters from a variety of possible avenues. These can include:

Edit this list to reflect your Agency's situation

- Firsthand observation
- Security Alarms
- Staff
- Members of the Public
- System Alarms and Network Monitors
- Media reports
- Federal, State, or Local Government Officials

Once someone within the Agency is notified of the incident/disaster, contact the Agency Head and the Agency Continuity Coordinator.

Note that in the event of an incident/disaster the first priority is to life safety before any secondary measures are undertaken.

Orders of Succession

Orders of succession provide for the orderly and predefined assumption of senior agency officials during an emergency in the event that any officials are unavailable to execute their legal duties. The successor will normally take on all of the duties of the person they are replacing.

Position	Designated Successors
	1)
	2)
	3)

Orders of Succession vs. Delegation of Authority:

Orders of Succession, provide for the succession of a senior agency official's position and their duties should the official be unavailable. Delegations of Authority provides the assignment of specific authorities to a position if the designated successor is not available or not specified under order of succession.

Delegation of Authority

Delegations of Authority provides the assignment of specific authorities to a position during a COOP situation if the designated successor is not available or not specified under order of succession. These authorities will terminate when the COOP situation has been resolved.

Authority	Position Holding Authority	Triggering Condition	Delegated
Example: Represent agency when engaging with government official	Agency Director	When the pre-identified senior leadership is not available	1) Orders of succession 2) Public Information Officer
Example: Close facility	Facility Manager	When conditions make the facility unsafe to occupy	1) Warehouse Manager 2) Lead Operations Clerk

2) Plan Activation Triggers

Action Item

Does the incident/disaster meet the criteria to activate your Agency's COOP Plan?

This section defines the triggers that would prompt your Agency to activate your Continuity of Operations (COOP) Plan. COOP activation is triggered when an incident/disaster is determined to **threaten** essential functions. The triggers for activating the plan may be obvious— earthquake (because of the high potential that essential functions may be affected), loss of power, or an IT network failure. Activation triggers may also be less obvious— local transit strike (keeping many workers at home) or supply chain distribution (unable to obtain critical supplies).

The plan can be activated by the Agency Head or their alternate. The COOP is activated to initiate damage assessments, emergency communications, and resumption and recovery plans. COOP activation puts into action contingency procedures to sustain essential functions.

Triggers

Describe the criteria that would be used to identify the need to activate your Agency's COOP. Edit this list to reflect these criteria

- General
 - Incident/disaster is determined to **threaten** essential functions
- Specific
 - List any specific triggers
 - Example – Hurricane warning
 - Example – Earthquake
 - Example – Voting system failure

3) Agency Continuity Team Activation

Action Item

Initiate the Call Tree steps below to activate the Agency Continuity Team if the incident/disaster meets the plan activation triggers criteria in step 2.

Once the Agency Head or the Agency Continuity Coordinator is informed that an incident/disaster has occurred and it has been determined that the incident/disaster could threaten your Agency's essential functions, your Agency's Recovery Team should be activated to assist in damage assessments, prevention of further damage, and implementing your Agency's business continuity strategies.

Follow the Agency Recovery Team Call Tree (see next page).

You can use the following form as a guide to document information that can be provided to members of your Agency's Continuity Team.

- *Notifications and information about incident/disaster*

- *Gather and document employee status and availability (See Appendix: Form - Employee Status)*
- *Overall impact of the incident/disaster on Agency functions/processes*

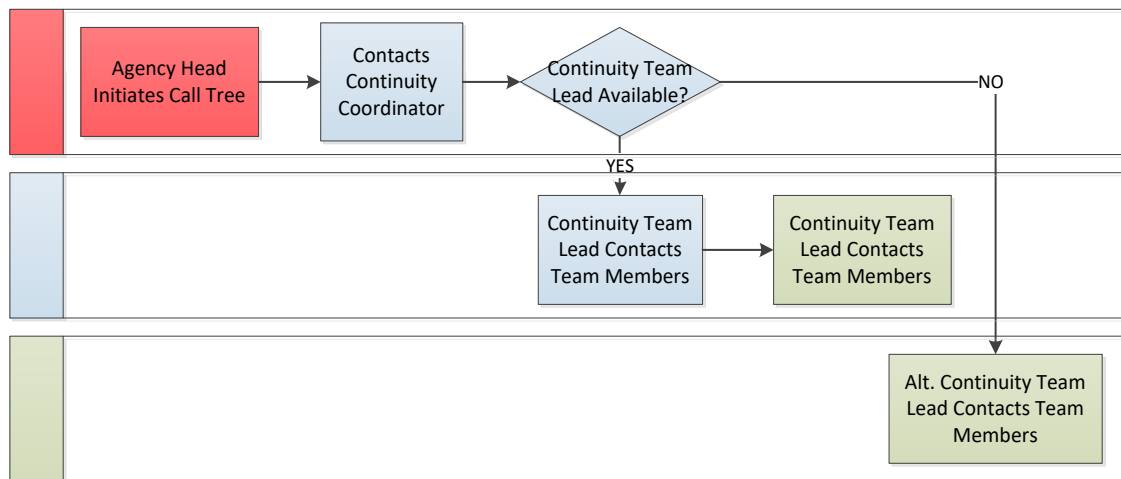
- *If employee needs to report into work – provide when, where, and reporting information. Also provide any special instructions (work shift, special dress: i.e. work boots, bring ID, what they will be required to do, bring extra equipment, etc.)*

- *Any other pertinent information*

Agency Continuity Team Call Tree

Use the call tree below to contact your Agency's Continuity Team to ensure that appropriate individuals are contacted in a timely manner. The Agency Continuity Team Call Tree Process Flow diagram below helps to clarify the call process in the event of an emergency.

Agency Continuity Team Call Tree Process Flow



Call Tree Steps

- The Agency Head calls all Level 1 Members (Blue cells)
- Level 1 Members call their Team Members – Level 2 over whom they are responsible (Green cells)
- In the event a Team Member is unavailable, the initial caller assumes responsibility for subsequent calls (i.e. if a Level 1 Team Member is inaccessible, the Agency Head directly contacts Level 2 Team Members - Green cells).

Add or reduce to as many levels as you need for your Agency. You may replace this table with a call tree that your agency has already developed.

Contact		Office	Mobile	Home
Agency Head [Name]				
	Agency Continuity Coordinator [Name]			
	[Essential Function] Continuity Team Lead [Name]			
	[Essential Function] Continuity Team Member [Name]			
	[Essential Function] Continuity Team Member [Name]			

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4) Damage Assessment and Prevention of Further Damage

Action Item

Complete and forward Damage Assessment Report to the Continuity Coordinator.

Before any employees can enter a facility after an incident/disaster, appropriate authorities must first ensure that the premises are safe to enter. The Continuity Coordinator will manage who and when personnel can enter a facility (See *Step 5 Communicating During an Incident/Disaster*, for contact information for the Continuity Coordinator).

Once it is deemed safe to do so, each of the Agency's Essential Function Continuity Teams will enter their relevant areas and conduct an initial damage assessment using the Damage Assessment Report Form (See *Appendix A - Damage Assessment Report Form*). These reports will be submitted to the Continuity Coordinator.

In addition to documenting the initial damage assessment, each team will note any areas where further damage can be prevented and take the necessary means to protect assets (as long as it is safe to do so). Any necessary repairs or preventative measures should be taken to protect the facilities; these costs must first be approved by the Agency Head or the Agency Continuity Coordinator in consultation with the Agency Head.

5) Communicating During an Incident/Disaster

In the event of an incident/disaster your Agency will need to communicate with various parties to inform them of the current situation, request assistance, and coordinate response/recovery actions. This section documents these contacts.

Agency Contacts

Add rows as needed to reflect contacts your Agency must contact.

Agency Position	Point of Contact	Phone Number	E-mail
Agency Head			
Alternate Agency Head			
Agency Continuity Coordinator			
Alternate Agency Continuity Coordinator			

Communicating with the Regulatory and/or Government Agency Partners

Your Agency may have direct regulatory and/or government agency partner contacts that may be needed during an incident/disaster. List these contacts here.

Direct Regulatory and/or Government Agency Partner Contacts

Add rows as needed to reflect contacts your Agency must contact.

Regulatory and/or Government Agency Partner	Point of Contact	Phone Number	E-mail
Example - Secretary of State			
Example - County Administrator			
Example – Emergency Management Office			
Example - County Information Technology Department			

Communicating with Stakeholders

Crucial stakeholders impacted by the loss of your Agency's essential functions will need to be made aware of the situation. List these contacts here.

Crucial Stakeholders

Add rows as needed to reflect contacts your Agency must contact.

Stakeholder Name	Point of Contact	Phone Number	E-mail
Example – Local political parties			

Communicating with Vendors/Supporting Departments

Your Agency may have crucial vendors and other departments that provide services, products, or other support that is important in conducting essential functions of your Agency. These may include voting system vendor, printing vendor, IT support, etc. List these contacts here.

Crucial Vendors

Add rows as needed to reflect contacts your Agency must contact.

Company/Department Name	Point of Contact	Phone Number	E-mail
Example – Ballot Printer			
Example – Voting System Vendor			
Example – Elections Management System Vendor			
Example – USPS			

Situational Reporting

Action Item

Complete and forward SITREP to the Agency Continuity Coordinator on a regular frequency.

Situational reporting (SITREP) gathers information and provides the situational awareness needed to effectively manage the response and recovery process. By providing this information the Agency Continuity Coordinator will be able to adjust response and recovery priorities, understand which essential functions are functioning, how long non-functioning essential functions will take to recover, and shift limited resources where they are most needed.

Each Continuity Team will need to complete SITREPs throughout the course of the incident/disaster. The SITREPs are to be forwarded to the Agency Continuity Coordinator.

See *Appendix A – SITREP form* for the report template.

6) Implementing Business Continuity Operations

This section includes information needed to ensure continuity of the Agency's essential functions. This includes:

- Listing of the Agency's essential functions and their Maximum Tolerable Period of Disruption
- Under each essential function
 - Function Description
 - Function Continuity Team Information
 - Function Critical Time Periods
 - Recovery Strategies
 - Resource Requirements
 - Continuity Procedures

Note that in the event of an incident/disaster the first priority is to life safety before any secondary measures are undertaken.

Agency Essential Functions Recovery Priorities

The information below lists recovery priorities for the Agency's essential functions.

Action Item

During an incident/disaster, review these priorities as they may have changed based on the current situation. Document these priority changes in the column on the right.

Priority	Time
1	12 Hours
2	24 Hours
3	24 Hours – 1 Week
4	1 Week – 30 Days or More

Priority vs MTPD:

- **Priority:** The order of recovery of essential functions after an incident/disaster and time frame to bring these functions back to operational status, based on MTPD.
- **MTPD (Maximum Tolerable Period of Disruption):** The maximum tolerable downtime for an essential function before intolerable qualitative and quantitative impacts occur.

Add or delete rows to include all essential functions.

Priority (Tier Level)	Function	Maximum Tolerable Period of Disruption (MTPD)	Updated Priority (Tier Level): Based on current conditions and critical time periods
1			
1			
1			
2			
2			
3			
3			
4			
4			

[Name of Essential Function] Continuity Operations

This section provides an overview of an essential function of your Agency and its Continuity Team.

Function Description

[Include process description]

Contact Information

The staff listed below are also included on the Agency Continuity Team Call Tree.

Add or delete rows to reflect the size of the team.

Name	Role/Title	Work Phone Number	Home Phone Number	Mobile Phone Number
Continuity Team Lead: [name]				
Alternate Continuity Team Lead: [name]				

Critical Time Periods

Critical Time Period	Notes

[Name of Essential Function/Process] - Recovery Strategies

Resource Requirements

This section summarizes the resources required to support the Essential Function within the Maximum Tolerable Period of Disruption (MTPD):

- Alternate Facilities
- Interoperable Communications
- Vital Records (Documents/Files/Databases Supporting Essential Function)
- Human Capital (Personnel)
- Equipment
- Dependencies

Alternate Locations

The following locations have been identified as alternate locations to perform the Agency’s essential function.

Alternate Location (Name, Address, POC, Contact Info)	Operational Capability <input type="checkbox"/> Full Operational Capability <input type="checkbox"/> Limited Operational Capability

Interoperable Communications

Communications can be an integral part of an essential function. This includes communications between personnel, internal elements, other agencies, and the public. In addition, Information Technology assets and systems fall under interoperable communications. The table below lists communication and technology assets that are needed to support the Essential Function.

[Add or delete rows as needed to the table below]

Communication/Technology Asset	Agency Controlling Asset

Vital Records (Documents/Files/Databases Supporting Essential Function)

This section lists vital records - Documents/Files/Databases and other materials (these can include voting databases, election documents, etc.) that have been identified necessary to support the essential function.

[Add or delete rows as needed to the table below]

Vital Record	Essential Function Record Supports	Record Type [Paper/ Electronic]	Backup/Alternative Location(s)

Human Capital (Personnel)

The table below lists minimum staffing requirements by position needed to support the Essential Function during an incident/disaster.

[Add or delete rows as needed to the table below]

Position	Skills Required	Minimum FTEs Required to Operate During an Incident/Disaster

Equipment

The table below lists equipment that are needed to support the Essential Function.

[Add or delete rows as needed to the table below]

Item	Equipment Specs and/or Requirements

Dependencies

Dependencies are other services/processes that are needed to effectively perform the Essential Function. The Essential Function relies on the following internal and external services and processes.

[Add or delete rows as needed to the table below]

Dependency Service/Process	Dependency Owner (Agency and contact info)	Actions if Services/Process is Unavailable (List actions or attached any documented actions/procedure/plans)

Continuity Procedures

The following are detailed steps associated with continuity procedures of the Essential Function after an incident/disaster.

[Add or delete rows as needed to the table below]

Step	Action	Responsibility
1	[Step 1 Action]	[Person/group responsible]
2		
3		
4		
5		
6		

Related Documents

The following documents support business continuity efforts for the Essential Function.

[Add or delete rows as needed to the table below]

Document Name	Document Description	Document Location
Example SOP xxxx	Standard Operation Procedure for securing voting systems	On file server – folder xxxx

[Add additional Essential Function Continuity Sections as needed.
Complete pages 26-34 for each of the Agency's essential functions.]

7) Deactivation

This section contains steps to be taken to return to normal operations following an incident/disaster.

Action Item

Follow the steps below to return to normal operations following an incident/disaster.

Step	Action	Responsibility
1	<input type="checkbox"/> Verify that Agency has returned to normal operations <ul style="list-style-type: none"> Is status business as usual? Has the event passed? Does Agency Continuity Coordinator concur? 	[Person/group responsible]
2	<input type="checkbox"/> Resolve personnel/staffing issues <ul style="list-style-type: none"> Have all temporary and 'borrowed' staff returned to normal duties? Are regular staff resources ready to handle operations? Have staffing expenses been properly documented? 	[Person/group responsible]
3	<input type="checkbox"/> Resolve equipment issues <ul style="list-style-type: none"> Has all borrowed, purchased, or leased equipment been accounted for? Has borrowed equipment not being used been properly returned? If rented or leased, how long is it needed? For purchased or leased equipment, has paperwork been completed and processed? (Purchase orders, lease agreements, invoices) Any need to order permanent replacement equipment? 	[Person/group responsible]
4	<input type="checkbox"/> Report Expenses <ul style="list-style-type: none"> Obtain all receipts and documentation for expenses incurred during the incident. Capture/document all hours worked by employees (including overtime). 	[Person/group responsible]
5	<input type="checkbox"/> Capture lessons learned <ul style="list-style-type: none"> What worked well? What areas need improvement? What prevention/mitigation issues exist? How can communications flow be improved? (Content and frequency) How can communication methods be improved? (POTS, two-way, satellite, pager, etc.) Other issues that can be improved? What equipment issues/spare inventory exist? How can external support be improved? What vendor availability, support and responsiveness issues exist? 	[Person/group responsible]

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6	<input type="checkbox"/> Complete/capture all incident/disaster documentation, as needed <ul style="list-style-type: none"> • Logs • Forms • Reports 	[Person/group responsible]
7	<input type="checkbox"/> Replenish supplies <ul style="list-style-type: none"> • Have supplies been inventoried? • Have inventory deficiencies been replenished (including spares)? • What additional items should be added to prepare for future disasters? 	[Person/group responsible]
8	<input type="checkbox"/> Update Agency COOP Plan.	[Person/group responsible]
9	<input type="checkbox"/> Recognize efforts of personnel and outstanding performers.	[Person/group responsible]

Plan Maintenance and Test, Training, & Exercises

In order to ensure that the COOP Plan can effectively be used to respond to an incident/disaster, the COOP Plan needs to be kept current, tested on a regular basis, and used to train personnel to be able to perform their continuity responsibilities. The information below outlines the plan's maintenance, testing/exercising, and training strategy.

Plan Maintenance

The plan needs to be kept current to be effective. The plan will be fully updated annually at a minimum (during the month listed below) and after each recovery exercise.

Action Item

Update plan annually during the month of **[enter month for annual plan update]**.

The triggers listed in the Plan Update Triggers list below would trigger an interim plan update outside of the annual update.

Plan Update Triggers:

- Management or personnel changes impacting key roles or team assignments as identified within the plan
- Changes to personnel contact data
- Changes to essential functions
- Changes to facility, equipment, or other resource requirements
- Changes to recovery procedures
- Changes to other contact info (i.e., vendor)

Maintenance of the plan will include (but is not limited to) the following:

- Ensuring that all data and information in the plan are up to date, including
 - a. Activation triggers
 - b. Team lists and call trees
 - c. Contact info
 - d. Recovery priorities
 - e. Recovery strategies, including
 - i. Resource requirements
 - ii. Continuity procedures
 - iii. Support documents (continuity documents)

Action Item

Document plan updates on the chart under the *Version Information, Changes, & Tests/Exercises* section.

Tests, Training & Exercises

Organizations that test/exercise their continuity plans are substantially more successful at recovery than those that do not. Testing/Exercising is also the most effective method of training on response procedures and creating a culture of preparedness.

Testing/Exercising

- Familiarize staff with their Agency's continuity procedures, tasks, roles, and responsibilities
- Reveal areas of the plan that can be improved
- Determine the state of readiness of the Agency to respond to and recover from an incident/disaster
- Determine whether the required resources are in place
- Demonstrate compliance with applicable regulatory requirements and good industry practices
- Discover errors and omissions and what will need to be maintained to address them

Action Item

Conduct a test/exercise annually. Complete an After-Action Report documenting the test/exercise. Record the test/exercise on the chart under the *Version Information, Changes, & Tests/Exercises* section.

It is a good idea to conduct tests/exercises prior to the required annual update in order to incorporate lessons learned from the test/exercise in the annual update. An After-Action Report (AAR) should be completed after every test/exercise. The Homeland Security Exercise and Evaluation Program (HSEEP) provides guidance on the testing/exercising process as well as completing an AAR.

Types of Exercises

Exercises are classified based on the extent of the actual resources being employed and the manner in which they are tested. The following are examples of exercise types that can be used:

Discussion-Based Exercises

Discussion-based exercises are normally used as a starting point in the building-block approach of escalating exercise complexity. Discussion-based exercises include seminars, workshops, tabletop exercises (TTXs), and games. These types of exercises typically highlight existing plans, policies, interagency/inter-jurisdictional agreements, and procedures. Discussion-based exercises are valuable tools for familiarizing agencies and personnel with current or expected capabilities of an entity. Discussion based exercises typically focus on strategic, policy-oriented issues. Facilitators and/or presenters usually lead the discussion, keeping participants on track toward meeting exercise objectives.

Operations-Based Exercises

Operations-based exercises are used to validate the plans, policies, agreements, and procedures solidified in discussion-based exercises. Operations-based exercises include drills, functional exercises (FEs), and full-scale exercises (FSEs). They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures, and improve individual and team performance. Operations-based exercises are characterized by actual reaction to simulated intelligence; response to emergency conditions; mobilization of apparatus, resources, and/or networks; and commitment of personnel, usually over an extended period of time.

Appendix A – Forms

Forms used to support plan:

- Damage Assessment Form
- Employee Status Form
- Situational Report (SITREP)

Damage Assessment Form

This checklist is intended to serve as a guideline in conducting a damage assessment. One checklist for each essential function. Once it is deemed safe to do so, each of the agency's Essential Function Recovery Teams will enter their relevant areas and conduct an initial damage assessment using this Damage Assessment Form. This report will be submitted to the Agency Head or the Agency Continuity Coordinator. Copies of this form may be used for subsequent damage assessments. *(Use additional pages as needed)*

Essential Function: _____ **Date/Time:** _____

Completed By: _____ **Phone:** _____

Essential Function Operational Status		
Essential Function Components		
Item/Description	Comments	% Functional
Building/Work Area (structural, non- structural, work area, utilities, etc.)		
Equipment		
Technology		
Dependencies		

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(Use additional pages as needed)

Date/Time: _____

Completed by: _____

[illegible]

Situational Report (SITREP)

The SITREPs are to be forwarded to the Agency Continuity Coordinator.

Agency:

Date/Time Prepared:

Operational Period:

Prepared By:

Phone:

Current Capabilities:

Life/Safety/Heath Issues:

Planned Objectives for Next Operational Period:

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Critical Resources Needed for Next Operational Period:

Additional Comments:

Appendix B – Pandemic Annex

This Annex provides additional guidance to address a pandemic incident. It does not replace the COOP Plan in this main document but rather addressed additional considerations and elements specific to a pandemic.

Concept of Operations

Ongoing guidance on operational procedures will be provided by County/State/National Health Agencies specific to an approaching/evolving pandemic or health issue.

The following chart show the progression and intervals of a pandemic. The organization should use the pandemic intervals as trigger points to implement the steps below:

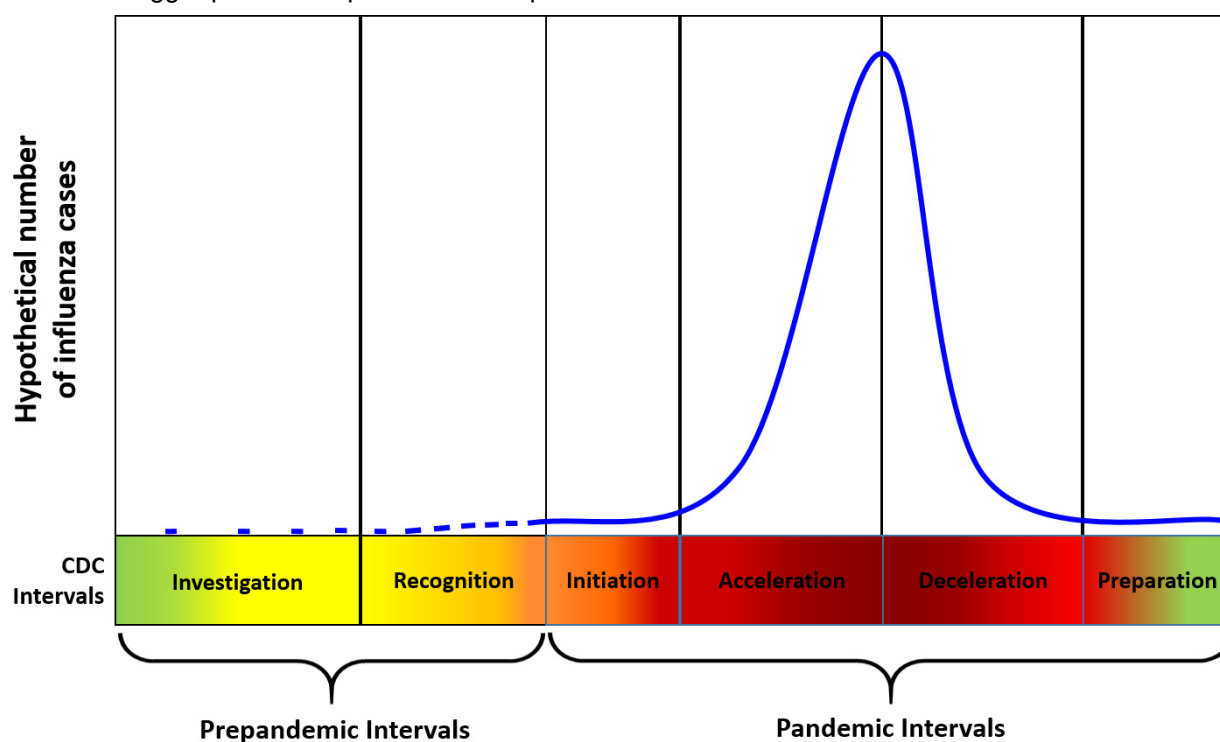


Figure 2: Preparedness and response framework for novel influenza A virus pandemics: CDC intervals (<https://www.cdc.gov/flu/pandemic-resources/national-strategy/intervals-framework.html>)

Preparedness

Step	Action	Responsibility
1	Ensure supply of adequate Personal Protective Equipment (PPE) and supplies: <ul style="list-style-type: none"> • Masks • Sanitizer 	[Person/group responsible]
2		
3		

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4		
5		
6		

[Add additional procedures as needed]

Monitoring/Recognition & Initiation Stage

Step	Action	Responsibility
1	Establish a Pandemic Response Team	[Person/group responsible]
2	Implement process to monitor - Monitor County/State/National Health Agencies daily for any changes to the guidance in dealing with the current situation: <ul style="list-style-type: none"> Cdc.gov xxx.xxx 	[Person/group responsible]
3	Reduce/stop business travel to affected areas	[Person/group responsible]
4	Update Tele-work procedures. See Tele-Work SOP xxxxx	[Person/group responsible]
5	Evaluate and review HR policies including: <ul style="list-style-type: none"> Heath/safety Tele-work Sick Leave Leave of Absence Return after sickness 	[Person/group responsible]
6	Encourage staff to practice healthy behaviors (such as staying home when they're sick, covering their coughs and sneezes, and washing their hands often)	[Person/group responsible]
7		
8		

[Add additional procedures as needed]

Operational/Acceleration & Deceleration Stage

Step	Action	Responsibility
1	Setup a screen system for staff, contractors, and visitors and restrict workplace entry of people with symptoms	[Person/group responsible]

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2	Implement Tele-work procedures. See Tele-Work SOP xxxxx	[Person/group responsible]
3	Implement social distancing measures	[Person/group responsible]
4	Cancel events (i.e. in-person conferences) and business travel	[Person/group responsible]
5	Increase cleaning and disinfecting service for offices and common areas	[Person/group responsible]
6	Reference COOP Plan	[Person/group responsible]
7		
8		

[Add additional procedures as needed]

Glossary of Continuity of Operation Terms

Abbreviated

Activation - The implementation of business continuity capabilities, procedures, activities, and plans in response to an emergency or disaster declaration, the execution of the recovery plan.

Alert - Notification that a disaster may occur (a standby for possible activation of the continuity plan).

All-Hazards – A classification encompassing all conditions, environmental or human-caused, that have the potential to cause injury, illness, or death; damage to or loss of equipment, infrastructure services, or property; or alternatively causing functional degradation to social, economic, or environmental aspects. These include accidents, technological events, natural disasters, space weather, domestic and foreign-sponsored terrorist attacks, acts of war, weapons of mass destruction, and chemical, biological (including pandemic), radiological, nuclear, or explosive events.

Alternate Site/Location - A location other than the normal facility that is used to process data and/or conduct essential functions in the event that access to the primary facility is denied or the facility is damaged.

Business Impact Analysis (BIA) - The process of identifying the potential impact of uncontrolled, non-specific events on an organization's business processes; measurements are derived from analyzing impact types over time for a particular business unit.

Call List - A document that identifies who is responsible for contacting management, employees, customers, vendors, and other key contacts in the event of an emergency, disaster, or severe outage situation.

Continuity Capability – The ability of an organization to continue to perform its essential functions, using COOP and COG programs and continuity requirements that have been integrated into the organization's daily operations. The primary goal is preserving our form of government under the U.S. Constitution and the continued performance of NEFs and organizational essential functions under all conditions.

Continuity Coordinator – The senior accountable official, designated by leadership or elected officials, who is responsible for oversight of the continuity program. Continuity coordinators are supported by a continuity manager and other continuity planners within subcomponent levels throughout the organization or government.

Continuity Manager – The senior continuity planner responsible for coordinating overall continuity activities within the organization or jurisdiction. This individual managing day-to-day continuity programs, coordinating continuity planners within the organization, representing his/her organization's program externally, as appropriate, and reporting to the continuity coordinator on continuity program activities.

Continuity of Operations (COOP) – An effort within individual organizations to ensure that essential functions continue to be performed during disruption of normal operations.

Continuity of Government (COG) – The principle of government entities establishing a plan to continue the key elements of public governance in emergency situations.

Continuity Personnel – Continuity personnel, often called the Emergency Relocation Group, are those individuals identified and assigned to perform essential functions in the event of a continuity plan activation.

Continuity Planner – The continuity planner responsible for developing and maintaining an organization or subcomponent continuity plan and integrating and coordinating the continuity plan with broader organizational or governmental guidance, requirements, and initiatives.

Crisis Management Team – A team of senior leadership and/or subject matter experts to review the situation and determine if the continuity plan should be activated.

Criticality Levels - Rankings used to determine process restoration (e.g., essential functions).

Dependency - Any resource needed to perform a process (may include applications, vendors, skills, locations, other processes, etc.).

Disaster - An unanticipated event or interruption that impacts an organization's essential functions and/or technology environment.

Disaster Declaration - The formal notification process that takes place after determining that it is not feasible to recover normal operations at a primary business site within an acceptable time period.

Essential Functions – A subset of organizational functions that are determined to be critical activities. These essential functions are then used to identify supporting tasks and resources that must be included in the organization's continuity planning process.

Essential Records – Those records an organization needs to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the government and those affected by government activities (legal and financial rights records).

Hazard – A natural, technological, or human-caused source or cause of harm or difficulty.

Homeland Security Exercise and Evaluation Program (HSEEP) – A program that provides a set of guiding principles for exercise programs, as well as a common approach to exercise program management, design, development, conduct, evaluation, and improvement planning.

Hot Site – A readily available recovery facility and associated resources; typically staffed and maintained 24 hours a day, seven days a week.

Incident Command System (ICS) – Is a management system designed to enable effective and efficient domestic incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.

Impact – The effect of a risk.

Incident – Any unplanned event with the potential to disrupt essential functions.

Manual Workaround – An alternate method for completing a process without the resource in question.

Mitigation Actions – The necessary steps, or action items, to reduce the likelihood and/or impact of a potential risk.

National Incident Management System (NIMS) – A set of principles that provides a systematic, proactive approach guiding government agencies at all levels, nongovernmental organizations, and the private sector to work seamlessly to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life or property and harm to the environment.

Preparedness – Actions taken to plan, organize, equip, train, and exercise to build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from threats and hazards.

Prevention – The capabilities necessary to avoid, prevent, or stop a threatened or actual act of terrorism. For the purposes of the prevention framework, the term "prevention" refers to preventing imminent threats.

Primary Operating Facility – The facility where an organization's leadership and staff operate on a day-to-day basis.

Reconstitution – The process by which surviving and/or replacement organization personnel resume normal operations.

Recovery – The implementation of prioritized actions required to return an organization's processes and support functions to operational stability following a change in normal operations.

Recovery Point Objective (RPO) - The acceptable level of data loss exposure following an unplanned event; the maximum amount of data you can afford to lose or recreate.

Recovery Time Objective (RTO) - The acceptable duration of time following an unplanned event until an essential function has been restored; the maximum allowable time a service or technology can be unavailable.

Resource - A person, place, or thing that provides service to your business or Agency.

Risk - A potential event or action that would have an adverse effect on the organization.

Risk Assessment - A product or process which collects information and assigns values to risks for the purpose of informing priorities, developing or comparing courses of action, and informing decision making.

Telework – A work flexibility arrangement under which an employee performs the duties and responsibilities of his/her position, and other authorized activities, from an approved worksite other than the location from which the employee would otherwise work.

Test, Training, and Exercises (TT&E) – Activities designed to familiarize, impart skills, and ensure viability of continuity plans. TT&E aids in verifying that an organization's continuity plan is capable of supporting the continued execution of the organization's essential functions throughout the duration of a continuity plan activation.

Threat – Natural or manmade occurrence, individual, entity, or action that has or indicates the potential to harm life, information, operations, the environment, and/or property.

Vital Records - Any information resources (e.g., paperwork, computer files) essential to the conduct of business.