

Arizona Continuity of Operations Program

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The Arizona Continuity of Operations Program is led by the Arizona Department of Emergency and Military Affairs. For more information on this document, contact:

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Department of Emergency and Military Affairs (DEMA-EM) maintains the Continuity of Operations Program document as a living document intended to be continuously reviewed and revised, with input from all stakeholders, to guarantee the most current program possible.

DOCUMENT REVIEW, EVALUATION, AND CHANGES			
Date	Summary of Activity	Plan Section	Recommendation By Entry Made By
1/4/2018	Added annexes and tools	Annexes and Tools	H. Smith
9/3/2017	Changed mislabeled footers	Base	S. Austin H. Smith

DEMA-EM is committed to ongoing training, exercise, and engagement of the Continuity of Operations Program to validate the state continuity capabilities.

TRAINING, EXERCISE, AND ENGAGEMENT ACTIVITY			
Date	Summary of Activity	Partners Involved	Entry Made By

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INTRODUCTION

Continuity of Operations (COOP) is not a new concept. However, not every government organization outside of the federal agencies has embraced COOP. This document emphasizes the need for, and benefits of, having a COOP program and is intended to assist organizations in building resiliency through a robust COOP program. This document explains the concepts of continuity and provides guidance for organizations in developing their own plans and programs.

This document specifically describes the components of a COOP program, the reasons to have a COOP program, what a COOP plan consists of, and what the COOP Program looks like at DEMA. Tools are also included to assist organizations through the planning process. Understanding continuity concepts and utilizing the necessary tools will help organizations ensure that they can continue to perform their essential functions during any type of disruption.

PURPOSE, SCOPE, SITUATION OVERVIEW, AND ASSUMPTIONS

Purpose

This document describes COOP and acts as a guide for organizations as they build a COOP program. Although this document is written based on the State of Arizona perspective, the overarching principles and tools can be used by any non-federal entity.

Scope

The provisions of this program document are applicable to all state agencies, boards, commissions, and authorities; local, county, and tribal government jurisdictions; and non-profit and private sector (hereafter referred to as organization(s)). There may be local, county, or tribal authorities or other regulatory entities that supplement or supersede the authorities referenced in this document.

Situation Overview and Assumptions

Hazards can affect all aspects of life. With a robust COOP program, the impacts of those hazards can be greatly reduced or, in some cases, eliminated. There will always be risk, but some risk is tolerable. The Arizona State Emergency Response and Recovery Plan and the Arizona State Hazard Mitigation Plan provide direct linkage between this document and the situation in Arizona.

This Program document will not make any assumptions that by following this Program and resulting plans, an organization will remove all risk from its people, infrastructure, and systems.

CONCEPT OF OPERATIONS

This document is to be used under the notion that an organization must continue to function no matter what happens to its people, facilities, or infrastructure. While continuity events do not happen daily, when they do happen, it is imperative that an organization has planned for these unforeseen situations and can successfully assess the situation, allow for proper decision making, and provide timely solutions to problems. This is accomplished by using the steps discussed throughout this document.

If any questions arise during the planning process, the DEMA-EM Planning Branch staff is available to support and offer technical assistance.

PROGRAM STRUCTURE

The COOP Program is comprised of foundational concepts within the Base Document and details in the Annexes and Tools.

Base Document

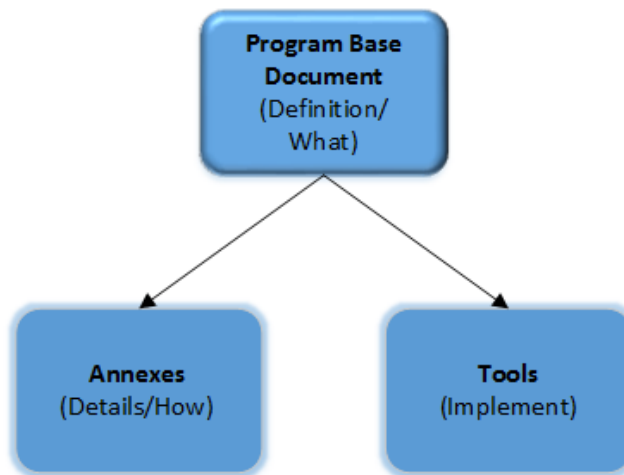
The Base Document serves as the foundation for all Annexes. It describes the “what” of the Program and COOP planning process to include roles and responsibilities.

Annexes

The Annexes provide the details of the foundational concepts and the “how” of the COOP Program. Within Annexes are samples of letters and memos that can be used by an organization for their Continuity Program.

Tools

The Tools include items such as the Essential Function Identification, Process Analysis, Impact Analysis, and COOP Plan Template.



WHAT IS CONTINUITY OF OPERATIONS (COOP)?

COOP, and the related concept of Continuity of Government (COG), was first required for federal agencies during the Cold War as the Federal Government considered the possibility of a nuclear attack disrupting constitutional government and local, state, and federal government operations. COOP and COG have received renewed attention today given the threats posed by terrorism and workplace violence.

COOP can be defined as “...the degree or state of being continuous in the conduct of functions, tasks, or duties necessary to accomplish [an] action or mission in carrying out the national strategy. It includes the functions and duties of the [leadership], as well as the supporting functions and duties performed by the staff and others acting under the authority and direction of

the [leadership]” (Farlex, Inc, 2017). There are other terms for continuity used in different industries and countries such as Business Continuity, Crisis Management, and Disaster Recovery; however, they have essentially the same meaning. Business Continuity is used in the private and non-profit sectors. Crisis Management is used in countries outside the United States. Disaster Recovery is used in the IT sector. COOP is designated for government entities.

No matter the term, the question that should be asked is, “How is an organization going to continue to do business/operate no matter what happens?” Based on Presidential Directive; National Fire Protection Association, 2016; International Organization for Standardization, 2017; and Emergency Management Accreditation Program (EMAP) 2016 Standards COOP ensures that organizations are able to continue performing essential functions under a broad range of adverse circumstances. In the State of Arizona, all state agencies are required to have a COOP plan per Governor’s Executive Order 2013-06.

WHY HAVE A COOP PROGRAM?

An organization may ask, “Why would anyone have a COOP program if it is not required?” There are several reasons for having a COOP program:

1. Threats are present everywhere (floods, fires, snowstorms, disgruntled employee, pandemic, computer server malfunction, corrupt software, water main break, hazardous materials, etc). All organizations should have a system in place to combat these threats and stay operational.
2. A viable COOP program documents and ensures the capability of continuing the organization’s essential functions during a wide range of potential emergencies. The goals of a COOP program are to:
 - Reduce loss of life and minimize damage and loss to critical processes and information.
 - Ensure viable succession of authority in the event a disruption renders the organization leadership unable or unavailable to perform their responsibilities.
 - Anticipate what may occur to proactively reduce or mitigate disruptions to operations.
 - Ensure that organizations have alternate facilities to perform their essential functions during a continuity situation.
 - Protect essential functions, equipment, essential records, and other assets.
 - Achieve a timely and orderly recovery from a continuity situation, and resume full service to both internal and external customers.
 - Develop and maintain a test, training, and exercise program to support the implementation and validation of continuity plans.



3. As a public entity, state organizations must continue to provide services to the public no matter what happens. The citizens of Arizona depend on it, and many state organizations provide services that no other organization can or will provide.
4. In the State of Arizona, Governor's Executive Order 2013-06 requires that each state agency have a COOP plan to enable agencies to restore their essential functions and services to the public.

There are several consequences of not having a viable and effective COOP program. These could include a tarnished reputation, loss of productivity, or even injury or death. For example, a state organization that deals with customer benefits (i.e. food, shelter, safety, etc) has a continuity event causing them to shut down their main facility for more than 2 weeks. This shut down could lead to customers going without benefits, leading to angry customers. A comprehensive COOP program ensures continued operations, employee engagement, and public confidence and respect.

WHAT DOES A COOP PROGRAM CONSIST OF?

What is in a COOP program? The nine principles or foundations of a COOP program are discussed below with additional details in the annexes.

Principle 1: Ensure Continued Performance of Essential Functions

Essential functions are defined as, "...those activities an [organization] determines cannot be deferred during an emergency; these activities must be performed continuously or resumed quickly following a disruption." (Federal Emergency Management Agency, 2011)

How does an organization identify their essential functions? An organization can perform an analysis of the services they provide internal and external customers. It is recommended that an organization's staff take a course on determining essential functions.

Principle 2: Minimize Damage and Loss to Critical Processes

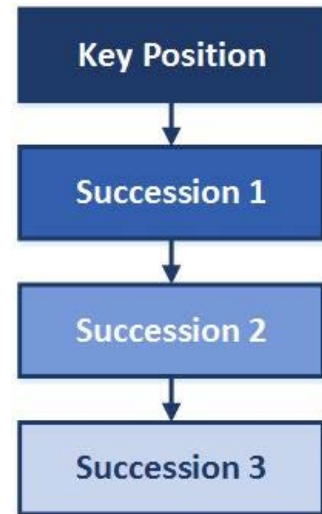
A critical process is a, "business process that must be restored immediately after a disruption to ensure the affected firm's ability to protect its assets, meet its critical needs, and satisfy mandatory regulations and requirements." (WebFinance Inc, 2017)

How does an essential function and a critical process differ? An essential function is what the organization does, and a critical process is a functional process, workflow, activity, personnel expertise, system, data, or facility inherent to the execution of the function.

To determine what processes are critical, an organization can use the program tools in the Essential Function and the Risk Management Annexes. These tools can also help an organization determine the impacts to those processes if something happens to their leadership, staff, facilities, or communications systems. Once the critical processes are determined, an organization should then decide what measures to take to mitigate or minimize the damage and/or loss to these functions and processes. This can be accomplished through developing, training, and exercising a COOP plan; mitigating against threats and hazards; safeguarding essential records; and maintaining a culture of continuity day-to-day.

Principle 3: Succession of Leadership and Key Positions

Orders of succession establish an organized order of personnel to assume leadership roles and key positions. These are critical to have established in the event an organization's leadership or persons in key positions become debilitated or incapable of performing their legal and authorized duties, roles, and responsibilities. The designation as a successor enables that individual to serve in the same position as an absent principal. Leadership is responsible for establishing, promulgating, and maintaining orders of succession to key positions and those positions that are required to perform essential functions. These key positions are considered Continuity Personnel.



Principle 4: Delegations of Authority

A delegation of authority provides successors with the legal authorization to act on behalf of the organization head or other officials for specified purposes and to carry out specific duties. Delegations of authority specify a function, including limitations, conditions, and restrictions, that an individual is qualified to perform. Delegations of authority ensure orderly and predefined transition of responsibilities during continuity activation and are closely tied to succession. This pre-designation ensures a rapid response to any emergency and minimizes disruptions.

Principle 5: Reduce or Mitigate Disruptions to Operations

Mitigation is the effort to reduce or eliminate loss of life, property, and disruption caused by the impacts of hazards. The most effective mitigation actions happen now, before the next emergency. This requires understanding of local risks and the organization's long-term well-being. Without mitigation, safety, financial security, and self-reliance may be jeopardized.

To determine essential functions, a risk assessment should be done that focuses on identifying and understanding what hazards may impact operations. There are many natural, technological, and human-caused hazards that may require COOP plan activation. For this reasons, it is vital to conduct an organization specific risk identification and assessment. Using a Process Analysis tool is one way of conducting this assessment/analysis. Local hazard mitigation plans may be helpful for gathering information for the assessment. The Risk Management Annex provides a mitigation strategy tool to help close the gaps in COOP related risks. These strategies should be part of an organization's COOP program to inform the COOP Program Manager/Planner and leadership on gaps that exist and to prioritize closing those gaps.

Principle 6: Ensure Facilities for Performance of Essential Functions

To prepare for a situation that renders an organization's primary facility unusable, it is important to identify, secure, and setup alternate facilities before a disaster happens to ensure a facility is available to perform essential functions. Alternate facilities may include other facilities occupied by the same organization. Telework is also an option that may support essential functions.¹

¹ If a state agency identifies telework as a viable option to ensure the safety of their staff, it is recommended they review Arizona Department of Administration's (ADOA) telework website at <http://teleworkarizona.com/Overview.htm> for more information and requirements.

Principle 7: Protect Facilities and Resources

An organization should consider mitigation strategies to harden their primary and alternate facilities, and other resources needed to perform essential functions. These efforts can reduce or eliminate the risk to an organization's resources, such as the following:

IT and Communication Equipment

Once an organization determines their essential functions, it is vital that they determine what equipment is needed to perform those functions. This can include computers, networks, printers, internet, phones or other vocal devices, and televisions. Information from the Impact Analysis and Mitigation Strategies tools can guide efforts to protect this equipment. Having back-ups in place that do not require use of electronic equipment can also ensure performance of essential functions. For example, an organization that normally utilizes computer software to communicate may need to rely on paper forms, pens, and runners during an event.

Organizations should develop redundant processes to communicate with their staff, customers, and the public. These processes should consider the ability to reach the intended audience(s) via any route, including different systems. With voice or other electronic communication, there is a potential for loss of power, loss of internet, or loss of means to use electronic devices. Therefore, it is important to plan for a non-electronic means of communicating and performing essential functions.

Facilities

It is important that all primary and alternate facilities are protected. Protecting facilities can be accomplished through a safety review and hardening efforts. Mitigation strategies to harden facilities can be as simple as key card access to all doors, to as extreme as having a building that can withstand a nuclear explosion. Protecting facilities includes protecting the people, documents, and equipment inside those facilities. Organizations should review their procedures for evacuation, shelter-in-place, terrorist threats, active shooter, etc. These procedures can help the COOP Program Manager/Planner determine any gaps in security.



Personnel

No organization can perform its essential functions without personnel. Personnel are vital to the organization's ability to restore full service capability. The organization should mitigate against risks that pose a threat to their personnel. Personnel also need to be prepared for their role in a continuity event. Through education, training, and exercising, employees become better prepared. The following are things to consider for personnel preparedness and protection:

Understanding Continuity Role

All personnel may not be needed or utilized during an emergency or continuity event. In Arizona, personnel needed to perform essential functions are called

Continuity Personnel. They may be required to relocate to an alternate facility, telework, or work in a different section of the primary facility for a specific amount of time. Those personnel that are not actively participating in the continuity event should receive notification via the communication system in the COOP Plan.

Individual and Family Preparation

Employees are more likely to respond or report to work during a disaster if they know their families are prepared.

Individuals can prepare by having ready emergency supply kits. DEMA-EM requires all employees to have personal and home/family emergency supply kits that will support them for up to 72 hours.

Employees and their families should also develop a family support plan that ensures family members and pets will be safe and secure during an emergency.

An organization can help with family preparedness by providing a culture of preparedness. This may include an emergency information call-in number for families, a support network of employees checking in on and supporting each other, and planning for the needs of their employees' families, to include housing, child/elder care, pet sheltering, etc.²

Essential Records

Essential records are those documents, media, databases, and other items that are vital for the organization to perform their essential functions. For example, an organization may have an essential function of staffing an emergency operations center (EOC) during times of disasters. To operate this facility, it needs specific documents that may include: SOPs, an emergency operations plan (EOP), Incident Command System (ICS) forms, and computer software to operate the facility. The organization can protect these records through redundancy by keeping records on a local network, printed (hard copy), or by utilizing "cloud" technology. These records can be documented using a table format as shown in the Essential Records Annex.

Principle 8: Achieve a Timely and Orderly Recovery

Reconstitution is about recovery and is automatically considered an essential function. The more timely and orderly an organization recovers from an emergency, the better they will continue to fulfill their obligations to customers and the public.

Recovery may involve returning to the primary facility, permanently relocating to an alternate site, or rebuilding. Recovery is complete when an organization can resume full service to customers.

² Family planning information can be found on the ready.gov/responder website.

Principle 9: Maintain a Test, Training, and Exercise (TT&E) Program

COOP is just words on paper if an organization fails to do anything with it. To maintain an executable and viable continuity culture, TT&E must be part of the organization's program.



There are potential continuity events that happen every day that organizations can use as examples and put lessons learned into action. DEMA follows the steps, "Plan, Train, Exercise, and Operationalize." TT&E helps organizations determine if their COOP plan is appropriate, and identify and close gaps within the program.

The Homeland Security Exercise and Evaluation Program (HSEEP) provides a set of guiding principles for exercise programs, and a common approach to exercise program management, design, development, conduct, evaluation, and improvement planning. HSEEP and FEMA's Continuity Exercise Design Course, gives an organization tools to help build and maintain their TT&E program.

ROLES AND RESPONSIBILITIES

The following roles and responsibilities are specifically for the COOP program and planning process and are not intended to rollover into the continuity event. During a continuity event, the situation is fluid and requires a different level of thinking. Those roles and responsibilities are detailed in the COOP plan.

Leadership

Effective implementation of COOP plans and programs requires the support of leadership with the authority to commit the organization and the necessary resources to support the programs. Leadership also breeds the organization's continuity culture while ensuring plans and programs are developed, coordinated, exercised, and capable of implementation and responsible for:

- Appointing a COOP Program Manager/Planner and supporting their work, including providing the necessary budgetary allocations and other resources to support the COOP program.
- Providing foundational information and clarifying issues.
- Monitoring the progress of the COOP planning effort.
- Approving the plan.

COOP Program Manager

The COOP Program Manager coordinates the overall activities of the COOP planning team and oversees overall development of the COOP plans including:

- Providing an annual summary of planning activities to leadership.
- Developing, coordinating, and managing activities required to enable the organization to perform essential functions during a continuity event.

COOP Planner

The COOP Planner manages the day-to-day plan development including:

- Coordinating with the planning team.
- Developing and managing plans and procedures for continuity events.
- Overseeing TT&E, corrective action planning, and long-term planning efforts.
- Assuming the responsibilities of the COOP Program Manager if the organization does not have one.

COOP Planning Team

The COOP planning team coordinates COOP planning and duties for the organization which include:

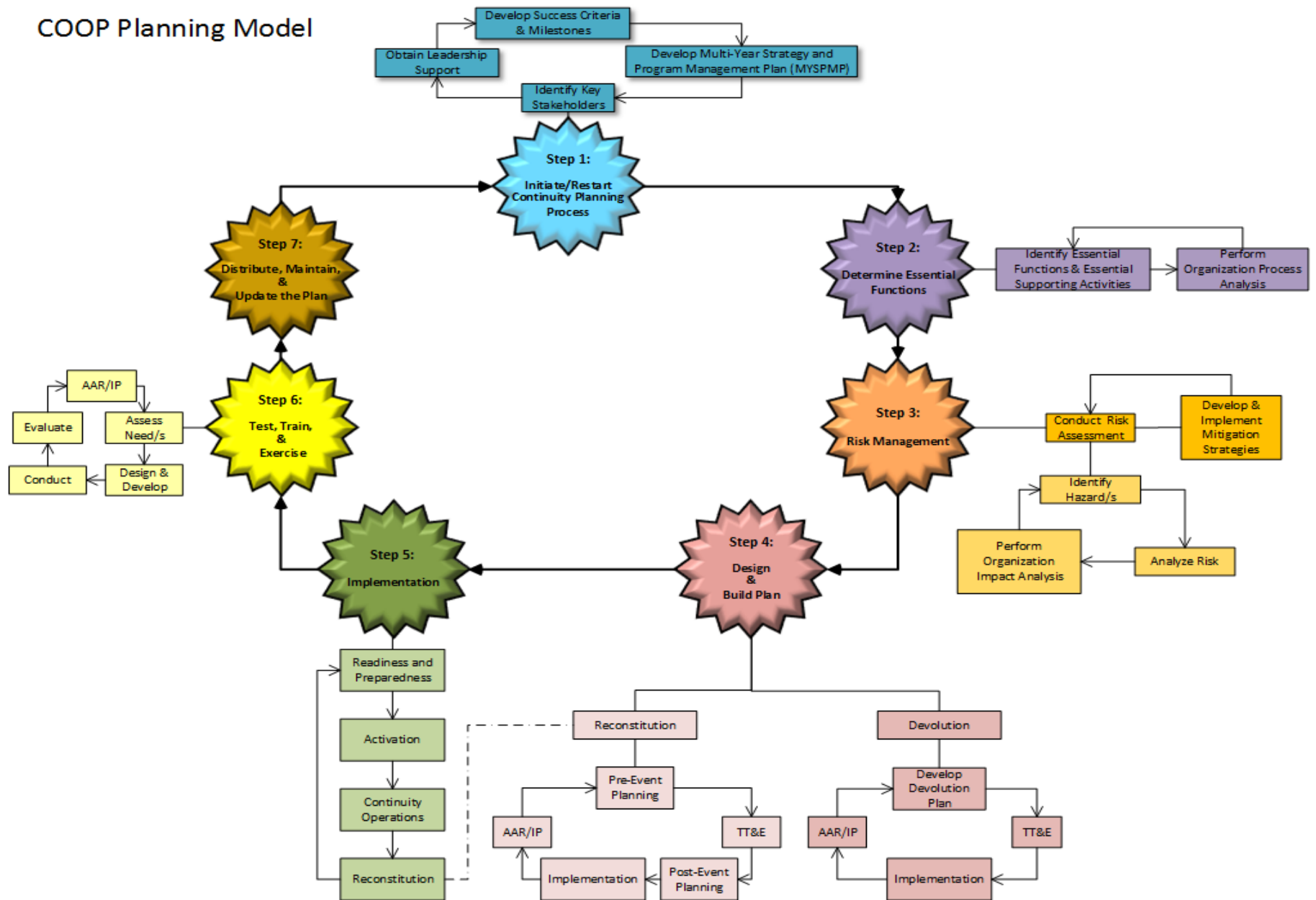
- Providing overall COOP coordination for the organization.
- Providing guidance and support for development of the COOP Plan.
- Coordinating continuity exercises, documenting post-exercise lessons learned, and conducting periodic evaluations of organizational continuity capabilities.
- Understanding the role that interdependencies and adjacent organizations may be expected to play in certain types of emergency conditions and what support they may provide.
- Understanding the limits of their continuity resources and support capabilities.



HOW DOES AN ORGANIZATION START THE PLANNING PROCESS?

The model below provides a step-by-step depiction of the COOP planning process. An estimated timeline is included in the description of each step as a guide. Organizations will determine their specific timelines based on operations, staff, and resources. These steps are discussed below:

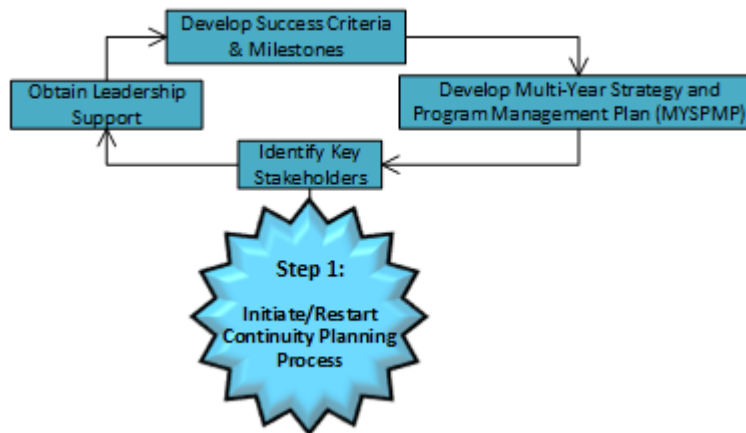
COOP Planning Model



THE PLAN

The Program principles lay the framework for the COOP plan. However, there are other components to consider. The planning process is a cycle that never ends. A plan can be finalized and signed by leadership, but then comes the TT&E, implementation, and maintenance. This leads to review and revision of the plan, then starting the cycle again.

Step 1: Initiating/Restarting the Continuity Planning Process



The organization leadership should initiate the COOP planning process by designating a COOP Program Manager or Planner, as appropriate.

Identify Key Stakeholders

It is recommended that the COOP Program Manager/Planner build a planning team of key stakeholders and representatives from critical sections of the organization. The following functional areas should be involved or consulted:

- Information Technology
- Human Resources
- Facilities Management
- Procurement and Acquisition
- Public Information
- Legal
- Security

**Timeline – No more than 1 week.*

Obtain Leadership Support

Obtaining leadership support may come as a letter from leadership identifying the importance of a continuity culture and asking for the support of the organization in COOP planning efforts. Briefing leadership and stakeholders is helpful to obtain commitment for the plan and program. Leaderships and key stakeholder can:

- Direct budgets and resources.
- Provide timelines and expected tasks.
- Provide foundation information, if it exists already, such as orders of succession.
- Clarify issues, and serve as a tie-breaker if disputes arise.
- Approve the COOP Plan.
- Provide public support, so the rest of the organization and stakeholders buy into and support the plan.

To obtain leadership support, the COOP Program Manager/Planner may consider the following:

- Find a champion, an individual who believes in, supports, and sees continuity as a priority. If such an individual can be found, bring them into the planning process, and use them to advocate on behalf of the COOP program.
- Discuss best practices, lessons learned, or projects other organizations are engaging. This may encourage similar projects or help to avoid similar mistakes. Consider using examples of reputable organizations and lessons learned from exercises or real world events.
- Use real world events or develop TT&E to identify shortcomings. Shortcomings may highlight the need for additional support or resources. In some cases, pre-exercise planning may help address the issue.
- Identify applicable laws and regulations. Being aware of and understanding regulations (and any consequences or enforcement actions) may encourage leadership to support the program.
- Provide information to leadership in small chunks. COOP is a large program which may lead to potential information overload. Provide information in small chunks that are relevant and actionable.
- Relate COOP to the mission and priorities of the organization. Linking COOP to the mission and priorities can enhance support and focus on the program.

**Timeline- This step could take the longest; however, ideally, this step should take 2 weeks.*

Develop Success Criteria and Milestones

The identification of criteria and milestones to determine what a successful completed plan may look like for the organization is helpful and may be used for the Multi-Year Strategy and Program Management Plan (MYSPMP).

**Timeline - No more than 1 week.*

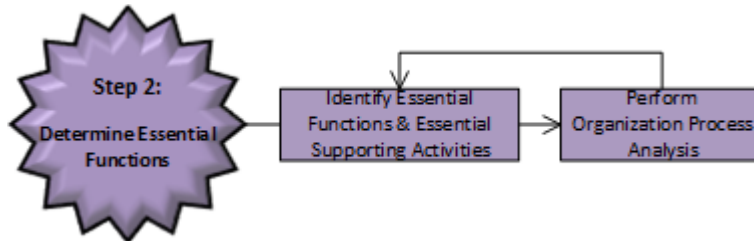
Develop Multi-Year Strategy and Program Management Plan (MYSPMP)

A MYSPMP provides for the overarching development, maintenance, and review of continuity capabilities to ensure the program remains viable and successful. It serves as a roadmap for an organization's COOP Program Manager/Planner to follow to ensure that planning critical activities can be implemented and resources obtained so the program

continues to improve. Completing a MYSPMP can also assist an organization with budgeting for continuity resources and promote COOP priorities on a strategic level. The goals and objectives in the MYSPMP can also be used as part of the organization's overall strategic plan.

**Timeline – No more than 2 weeks. Overall, Step 1 should take no more than 6 weeks.*

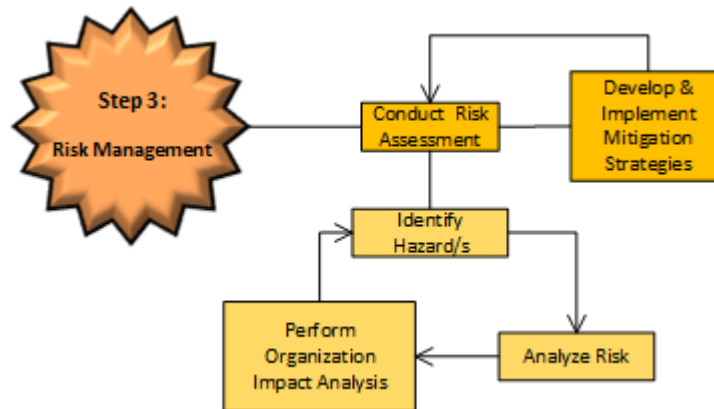
Step 2: Determining Essential Functions



As a reminder from Principle 1, essential functions are the foundation of a COOP plan. For more information on essential functions, reference the Training Annex for training opportunities and the Essential Function Annex for the Essential Function Identification and Process Analysis tools.

**Timeline – No more than 3 weeks.*

Step 3: Risk Management

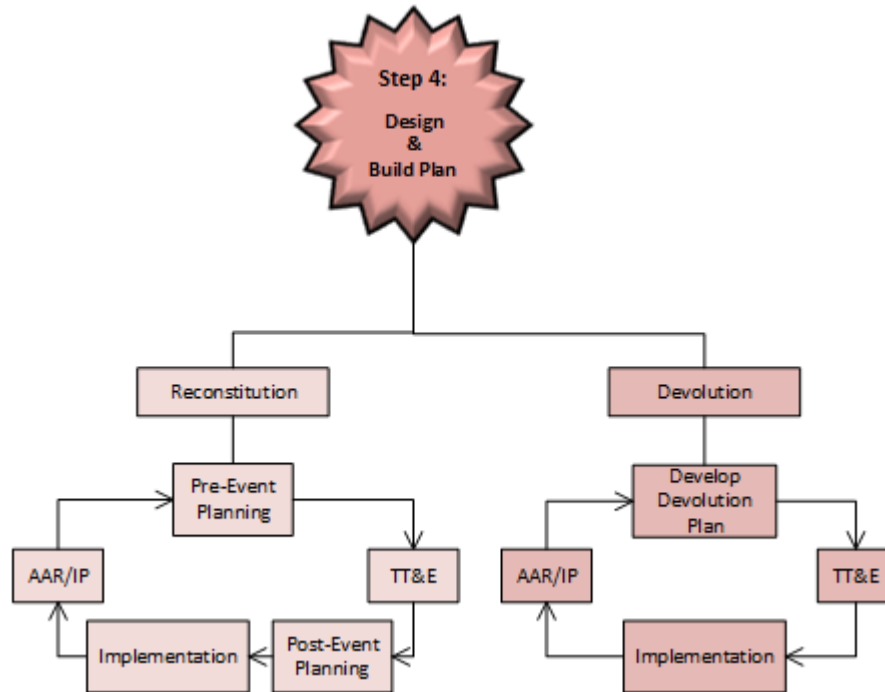


An organization can conduct a risk assessment to determine vulnerability to hazards that pose a threat to facilities, personnel, or infrastructure. Comparing the risks enables planners and leaders to prioritize hazards. Factors to consider include:

- Frequency of occurrence
- Potential magnitude and intensity
- Probable spatial extent and duration
- Speed of onset

**Timeline – No more than 3 weeks.*

Step 4: Designing and Building the Plan



This step brings the foundation information together and includes building devolution and reconstitution plans. Although most emergencies will not require COOP activation for an extended period, a 30-day usage period is recommended for certain types of emergencies, such as a biological attack or a pandemic, that may require extended activation.

An effective COOP plan should include, but is not limited to, the following sections:

- Letter of Promulgation - outlines the organization and content of the plan and officially announces or declares leadership approval.
- Introduction - stresses how the organization supports its mission and ensures that there will be minimal disruption of service during a continuity event.
- Purpose - explains why the organization is developing the plan and the expected results.
- Scope - describes the applicability of the plan to the organization.
- Situation Overview and Assumptions - characterizes the environment for which the plan is written and the assumptions the organization is making during the planning process.
- Concept of Operations - details plan implementation, requirements, and instructions for Continuity and non-Continuity Personnel.
- Functional Roles and Responsibilities - describes who performs what role and what that role is responsible for in a continuity event.
- Essential Functions and Processes - documents the functions that cannot be disrupted for a specific time and the processes that support the functions.
- Orders of Succession - specifies the conditions under which succession will take place, the method of notification, and any limitations of authority.

- Delegations of Authority - identifies the channels of authority for policy determinations and decisions when normal channels are disrupted.
- Essential Records- specifies what records and applications are needed to perform essential functions, their locations, and the methods for protecting them.
- Logistics and Resource Requirements - documents staff, equipment, supplies, and physical space.
- Devolution – identifies what essential functions may be transferred and how the devolution partner will perform those functions during and after the event and into recovery.
- Reconstitution - prioritizes the pre-planned strategies and resources to prepare for the recovery of all functions.
- TT&E - documents the TT&E activities for the training and preparedness of personnel needed to support the continued performance of the essential functions.
- Development and Maintenance - describes the processes and responsibilities of maintaining the currency of the plan.

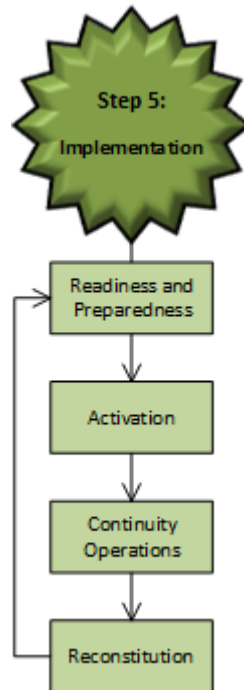
Compiling the COOP Plan is more efficient if the needed information is gathered and organized first. To assist state organizations, DEMA has created a COOP Plan Template, located in the Tools section.

The template includes a Base Plan, Annexes, and Supplemental Information. The Base Plan is about strategies (the what, not the how) and is the umbrella for the organization. The Annexes include devolution and reconstitution information. The Supplemental Information includes procedures, quick reference information, and material that changes frequently, such as contact lists. The plan template is intended to be flexible and scalable depending on the size and complexity of the organization.

**Timeline –As a best practice Step 4 should not take more than 6 months. The longer it takes to finish this step, the more outdated the information in the plan will be.*

The reconstitution and devolution plans, if applicable, may be completed later as part of the MYSPMP. If building these additional plans, expect another 8 to 10 weeks for coordination with external stakeholders and partners.

Step 5: Implementation



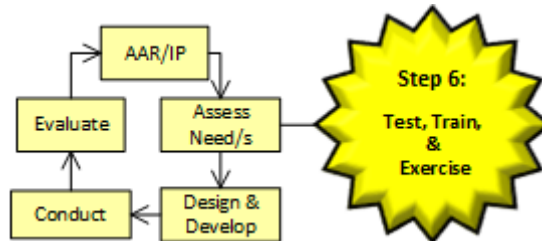
Implementation begins upon completion of the plan. The four phases of implementation are:

- Pre-Event Phase: Readiness and Preparedness (continuous)
 - Identification of essential functions.
 - Development of the plan.
 - Identification of resources needed for continuity operations.
 - Conduction of TT&E to verify resources are identified and operational, and personnel are trained for a continuity event.
- Phase 1: Activation and Potential Relocation (0 – 12 hours, as appropriate)
 - The primary and alternate facilities are inaccessible.
 - Key personnel are incapacitated or otherwise unable to perform their essential functions.
- Phase 2: Continuity Operations (12 hours – 30 days, or until resumption of normal operations)
 - Reception, in-processing, and accounting for personnel.
 - Transition of responsibilities to the Continuity Personnel.
 - Guidance for all other personnel.
 - Identification of replacement personnel.
 - Activation of processes to acquire the resources needed to continue essential functions and sustain operations.

- Continuation of essential functions at the alternate facility.
- Notification to customers and stakeholders of COOP activation and status.
- Reconstitution plans for return to the primary facility.
- Phase 3: Reconstitution (recovery, mitigation, and termination)
 - Following reconstitution, an After-Action Report/Improvement Plan (AAR/IP) within the Corrective Action Program is developed.

**Timeline – Dependent on the continuity event and the time needed to reconstitute.*

Step 6: Testing, Training, and Exercising the Plan



A TT&E Program should cover the following:

- Testing
 - Annual testing of systems and procedures included in the COOP Plan, including verifying that systems will be functional from the alternate facility.
 - Monthly testing of alert and notification procedures.
- Training
 - Continual individual and team training for Continuity Personnel.
 - Courses to improve continuity knowledge and skills.
- Exercising
 - Internal exercising of COOP plan and procedures.
 - Exercising with involved external partners.
 - Progressive exercises, developing from simple to complex scenarios, and covering a variety of potential hazards and operations.

**Timeline – Continual, but at least annually.*

Step 7: Distributing, Maintaining, and Updating the Plan



This step may require the efforts and coordination of a Continuity Manager/Planner. The responsibilities of this team may include, but are not limited to:

- Maintaining overall plan currency and readiness. Procedures, equipment, systems, personnel, and rosters should be considered.
- Addressing and resolving policy issues.
- Advising leadership on continuity concerns.
- Coordinating related plans, such as EOPs and COG plans.
- Updating the COOP Plan on at least an annual basis.

Revisions to the COOP Plan should incorporate lessons learned from TT&E or actual events as part of the Corrective Action Program.

**Timeline – No more than 1 week to distribute the plan. Plan maintenance and updating is continual.*

WHAT DOES COOP LOOK LIKE AT DEMA?

DEMA is comprised of five divisions: Administrative Services, Joint Task Force, Air Guard, Army Guard, and Emergency Management. DEMA has been designated by the Governor to lead state agency COOP and COG planning efforts and to develop a COOP program to guide state agencies in the development of their COOP plans.

DEMA-EM strives to be the leader in all things continuity, not just for state agencies, but also for all of Arizona and the Nation. DEMA-EM proactively researches, implements new methods and ideas, and stays current by reviewing best practices and lessons learned related to continuity. Implementation includes a continuity culture with both internal and external components.

Internal Component

The internal component of the DEMA COOP Program emphasizes “lead by example.” To meet this emphasis, DEMA-EM will implement the following items:

- Arizona COOP Program document.
 - COOP products to include templates, examples, etc.
 - A robust COOP Plan for the agency.
- Outreach, training, and education of DEMA staff.
- Implementation of actions to close gaps as part of the AAR/IP process.

A large part of the internal component of the DEMA COOP program moves toward the goal of all DEMA staff (not just DEMA-EM) striving to have a continuity mindset in alignment with leadership's vision.

The expectation of DEMA staff is to be champions of continuity throughout their professional and personal lives. This includes:

- Preparing self and family by creating, implementing, and maintaining individual, family, and office Go- Kits, including a communication plans.
- Having the ability and allowing for communication between staff and leadership as necessary.
- Being prepared to work at an alternate location, including telework, for up to 30 days.
- Actively participating in planning, education, training, and exercise activities to increase their knowledge and skills in continuity related issues.
- Spreading and encouraging the continuity culture among partners and stakeholders.

External Component

The external component of DEMA's COOP program includes implementing Executive Order 2013-06 by:

- Providing technical assistance to state agencies for COOP planning.
- Developing and maintaining products for distribution to include plan templates, examples, and best practices.
- Delivering continuity related courses, workshops, webinars, and seminars to state organizations and other partners when requested.
- Reviewing state agency COOP plans for interdependencies, effectiveness, readability, and EMAP compliance.
- Coordinating and maintaining the Governor's Scorecard for state agency COOP plans, and ensuring compliance with Governor's Executive Order 2013-06.

PROGRAM DOCUMENT DEVELOPMENT AND MAINTENANCE

This document, including the Annexes and Tools, was developed and will be maintained through the Planning Branch at DEMA-EM. This is a living document, and changes will be continuously incorporated as new information or guidance is released or through AAR/IP gap analysis.

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ANNEXES

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ESSENTIAL FUNCTION ANNEX

Essential functions are those activities an organization determines cannot be deferred during an emergency and are the foundation of continuity. These activities must be performed continuously or resumed quickly following a disruption. Essential functions serve as key continuity planning factors necessary to determine appropriate staffing, communications, essential records, facilities, training, and other requirements.

There are many functions that can be deferred until after a crisis, such as training, research, and development. Although these are important to an organization, they are not essential functions.

Identifying essential functions enables an organization to choose the right people, resources, and procedures and assists in the prioritization of resources and focus following an emergency or disaster. In a continuity event, an organization may not have full staffing or capabilities. Identifying and prioritizing essential functions ensures those key capabilities to continue essential functions.

IDENTIFYING ESSENTIAL FUNCTIONS

Not all essential functions have the same consequences if disrupted, nor do they have the same priority. Priority can also be situation dependent. Organizations should prioritize their essential functions and determine the allowable disruption time. For example, DEMA-EM has an essential function of staffing the State Emergency Operations Center (SEOC) during disasters. This function cannot be delayed for more than 12 hours during a disaster. However, their essential function of grants administration can be delayed up to 72 hours, and often does (holiday weekends) without having a significant impact on the customers. Due to the special nature of some organizations, their external emergency response essential functions may not be as high of a priority during a continuity event as the internal affects. For example, an emergency management organization is affected by a continuity event, but their emergency operations center (EOC) is not activated. Even though the EOC may be one of their higher priority essential functions when activated, it becomes a lower priority when not activated. Each organization will need to determine if any of their functions have any special circumstances such as those discussed above.

Determining essential functions should involve the entire organization to ensure nothing is missed. This may help develop buy-in among both leadership and staff, and help develop an understanding of why a COOP program is important. The following are steps to identifying essential functions, and this information can be recorded using the Essential Function Identification tool.

Step 1: Consider Organizational Functions

- Review statutes, regulations, legal authorities, mission statements, and strategic plans.
- Identify the important functions the organization performs.
- Focus on functions that support the organization's mission.
- Identify requirements for performing each function.

Arizona state organizations can refer to the Arizona Constitution, Arizona Revised Statute (ARS), Arizona Administrative Codes (AAC), other regulations and legal authorities, Executive Orders, and organizational charters for their essential functions. Other essential functions may be required by financial guidance (i.e. grants) or federal or industry requirements or regulations. For example, DEMA has the responsibility to prepare for and coordinate “those emergency management activities that may be required to reduce the impact of disaster on persons or property” (Arizona State Legislature, 2017). DEMA does this by having a Certified Response Team or Duty Officers on-call 24 hours a day, 7 days a week.

Step 2: Identify Essential Functions

Each of the essential function categories is important to an effective COOP program. While essential functions, essential support activities, and preserve/protect activities must be accomplished during the continuity event, reconstitution must be done to end the continuity operations. The following are categories of essential functions:

- Essential functions - activities performed that are directly related to accomplishing the mission of the organization. Something unique the organization does that most other organizations don't or will not. Those functions that are performed to provide vital services, exercise civil authority, maintain the safety of the general public, and sustain the economic/industrial base during a disruption of normal operations.
- Essential supporting activities - activities that must be accomplished to ensure the missions are performed and facilitating activities that enable organizations to perform their essential functions. Examples include feeding emergency responders, maintaining security, servicing vehicles, etc. These activities are not the organization's overall mission. They may be the mission of a specific office, but typically are functions that are performed at many different organizations (paying employees, arrange travel, respond to correspondence, etc).
- Protect/preserve activities - activities that protect or preserve people, records, equipment, and facilities so full operations can resume as part of reconstitution. The resources to resume full operations must be available (thus protected and preserved until they are needed).
- Reconstitution activities - activities performed to return to normal operations. If a significant disruption has occurred, there may be losses of staff, facilities, equipment, and records, and if lost, these will need to be replaced. People may need time to adjust to new conditions, new staff, and new processes and procedures. These activities are included in the reconstitution effort and include resources that may be required for implementation.

Step 3: Prioritize Essential Functions

Prioritizing the essential functions during the planning process (as opposed to during a continuity event) ensures everyone in the organization understands what the priorities are before the emergency.

Organizations can determine how to prioritize and may use a numbering system or categories. Categories could be as simple as high, medium, or low or on a timeframe (resume as quickly as possible, resume within the first day, resume within the first few days, or resume within the first week, etc). Caution should be taken when there are many essential functions that are being prioritized by a number system as this could lead to competing essential functions.

Step 4: Develop Essential Functions

The Essential Function Identification tool is a convenient way to gather and present relevant data. A well prepared Essential Function Identification tool will significantly help clarify each essential function and will become an important foundation for building a solid COOP plan.

Step 5: Obtain Approval of Essential Functions

Obtaining approval of the essential functions is an opportunity to get leadership engaged in the process of identifying, articulating, and prioritizing the organization's essential functions. This allows for a leadership perspective, helps to develop buy-in and support, and helps to move the process forward.

PROCESS ANALYSIS

Essential functions identify what needs to be accomplished, whereas a process analysis identifies “how” it is accomplished. A process analysis identifies and maps functional processes, workflows, activities, personnel, expertise, systems, data, and facilities inherent to the execution of the essential function. The Process Analysis tool can be thought of as an SOP in a non-standard situation. The information used in the Process Analysis tool will provide the SOPs and tools for Continuity Personnel and devolution partners as they may not perform these functions on a day-to-day basis. A good test of the finalized Process Analysis tool is whether the devolution team has enough information to perform the essential functions if the primary staff is not able to do so.

Planners should carefully consider all the supporting elements necessary to accomplish each of their essential functions when using the Process Analysis tool. It is expected that the process to accomplish one essential function will not be the same for all essential functions. However, there may be some duplication of resources among multiple essential functions. A separate Process Analysis tool should be performed for each essential function.

The Process Analysis tool:

- Identifies organizational functions and assists in determining which are essential.
- Identifies how each essential function is accomplished.
- Ensures that the right people, equipment, capabilities, records, and supplies are identified.
- Identifies function inputs and outputs, including internal and external interdependencies.
- Examines, identifies, and maps the functional processes, workflows, and activities.

Step 1: Outputs

It is helpful to consider who the intended recipient of each output is. Each essential function may have multiple outputs. This is an area where it may be possible to consolidate similar essential functions. As with the development of the essential functions, extraneous and flowery language should be avoided. Stick with the necessary details.

- What products or services does the essential function produce or deliver? For example, a transportation department maintains drainage to prevent flooding on roadways.

Step 2: Inputs

Inputs may come from within the organization, external partners, private industry, and the public. At this point in the tool, all inputs should be identified and included.

- What are the inputs your organization relies on to accomplish each essential function? For example, a water treatment inspector requires data to assess water quality and safety.

Step 3: Leadership

In the tool, leadership means the most senior leadership – this is not intended to include “middle management” and “branch chiefs.”

- What are the leadership requirements to perform the essential functions? For example, a formal declaration of policy requires direct leadership involvement.

Step 4: Staff

Staff should generally be identified by position or role (IT support, security, contracts) as opposed to individuals’ names. Also, supporting shift work should be identified, if applicable. The staff section of the tool may be best built as a staff roster.

- What are the staff/personnel requirements to perform the essential functions? In addition to the staff required to perform the actual deliverable output, support staff needs to be identified.
- Are there specific skills and qualifications required?
- Are there delegations of authorities required to ensure the individuals are authorized to do what is required of them?

Step 5: Communications and IT

The communications and IT section of the tool should identify the equipment and technologies that are required to accomplish the essential functions. This should include gathering information, generating reports, and communicating with partners.

- What communications and information technology is required to perform the essential functions?
- Who will operate, maintain, and repair communications and IT equipment if necessary?
- Are these individuals included in the staff section?

Continuity Personnel should identify what equipment they will need. IT and communications equipment should be interoperable and redundant (see Communications Annex for more information).

Step 6: Facilities

Organizations should consider the complete performance of the essential function, not just the headquarters requirements. Some essential functions may not require facilities at all, since the function may be performed “in the field”. Other essential functions may only require office space and an emergency response center.

- What facilities are required to perform each of the essential functions?

- Will any office with phones and computers work, or is there a need for special space requirements, such as secure location, production capability, or clean space for medical?

Step 7: Resources and Budgets

Funding, both before and during a continuity event, should be addressed. In addition to the financial resources, which must be accommodated, planners should assess what other resources may be required. This is intended to be a very open-ended question. The facility may need power, fuel, fresh water, food, office supplies, etc. It may be necessary to add to this list later.

- What resources and funding are required to ensure performance of essential functions?
- Will special funds be needed to make purchases?
- How are funds authorized?
- Does the organization need vehicles or supplies?
- Does your organization have a means to acquire additional resources if the disruption lasts longer than anticipated?
- Who will be responsible for getting additional supplies?
- What are the processes that will be used to acquire needed and additional resources?
- Are the individuals who do this part of the identified Continuity Personnel?
- Do they have the authority to make the purchases that may be needed?

Step 8: Partners and Interdependencies

The first part of this step involves identifying who the partners are; the second step is to identify the role they play (input, output, customer, or consultant). Partners may include other agencies, the private sector, internal organizations, the Federal Government, volunteer organizations, etc.

- Who are your essential function partners?
- Who provides inputs (see Step 2: Inputs) and who gets outputs from you (See Step 1: Outputs)?
- Who are your critical suppliers/vendors? What happens if they cannot support you?
- Do your suppliers have a COOP plan? Will they be able to continue to provide supplies/services to your alternate facility during a continuity event?

Step 9: Describe Process Flow

Using the information documented in the tool, and an understanding of the organization's processes, a comprehensive process flow should be developed. It may be helpful to start with an outline and break the process flow into sections. It may also be necessary to have different organizational elements (finance, legal, human resources, program management, IT) prepare portions related to their specific part of the process. The process flow should read like an SOP. As the procedure is developed, planners should look for weakness or single points of failure in the process. This may result in a review and adjustment of other parts of the Process Analysis tool.

RISK MANAGEMENT ANNEX

Risk management can be defined as the process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level. There are two parts of risk management in COOP: conducting a risk assessment, and developing and implementing mitigation strategies.

RISK ASSESSMENT

The purpose of a risk assessment is to determine the organization’s vulnerability. A risk assessment allows an organization to determine its vulnerability to the identified hazards and to then take steps to mitigate this vulnerability or accept the risk. There are a multitude of hazards that could affect an organization’s operations, posing various levels of risk.

As part of the risk assessment, an organization should identify the hazards most likely to impact them, analyze the risk, and perform an impact analysis.

Threat Identification

The identification of the threats/hazards that threaten assets helps planners understand the challenges that must be overcome in a COOP plan. The following is a list of some threats/hazards that could impact operations:

Natural	Human-Caused	Technological
<ul style="list-style-type: none"> • Epidemic/Disease • Flood • Earthquakes • Severe Wind • Snow Storm • Tropical Storm • Wildfire 	<ul style="list-style-type: none"> • Bomb Threat • Fire/Arson • Key Personnel Unavailability • Terrorist Threat • Theft • Transportation Infrastructure Loss 	<ul style="list-style-type: none"> • Cyber-Attack • Software/Hardware Malfunction • Telecommunications Malfunction • Power, Water, and Gas Outage

Risk Analysis

A risk analysis should be performed to determine the potential impact the threats/hazards will have on the key resources required for the organization to carry out its essential functions. This process may be performed in many ways and using many tools. Planners should also cross reference threats/hazards and resources and consider the impact of disruption or loss to a key asset. Concrete, realistic metrics should be developed to measure and report performance and results. Organizations can do this via TT&E events, real-world events, or security vulnerability testing. For example, if a wind event causes loss of power, what would the impact on the functions be?

Impact Analysis

An impact analysis is a method of identifying the effects of failing to perform a function. The Impact Analysis tool is used to prioritize which essential functions are most vulnerable to threats and hazards and where the consequences would be the most severe; this is where risk mitigation may be most beneficial. Organizations should work with other entities and the private sector to identify interdependencies and enhance resiliency. An organization cannot always control or mitigate their risk, but other entities may be able to assist.

The Impact Analysis tool may be used to record the effects of failing to perform a function. That information may help the organization build strategies to mitigate those impacts.

MITIGATION

By weighing and comparing the risks posed by each identified hazard, COOP Planners can focus their planning efforts on the hazards that present the highest risk first. Once risks are identified, weighed, and compared, an organization should develop strategies for managing these risks. Mitigation strategies could include items such as generators, backup communications systems, and fire retardant safes. When developing mitigation strategies, it is helpful to consider options in four categories:

- Avoid - removing risk by eliminating the situation or activity that presents the risk.
- Control - an option to reduce and control that risk to an acceptable level.
- Accept - some risk cannot be eliminated, and some risk may be worth assuming.
- Transfer - transferring the risk to another stakeholder.

Once you have identified strategies, it is time for leadership to determine which to implement based upon their feasibility and how they affect and reduce risk.

Upon completion of the mitigation strategies, they should be approved, prioritized, and implemented. The following variables may inform that process:

- Resources
- Capabilities
- Time to implement
- Political will
- Legal issues
- Potential impact on stakeholders

After implementation, the strategies should be monitored for achievement of the desired goals and objectives, and whether the risks are changing. The Mitigation Strategies tool is one example of how mitigation strategies can be captured and monitored.

CONTINUITY PERSONNEL ANNEX

Staff is critical to the operations of any organization. Choosing the right individuals for an organization's staff is vital, and this is especially true in a continuity event. Leaders are needed to set priorities and maintain focus and Continuity Personnel will be activated to perform assigned response duties.

In respect to these Continuity Personnel, leadership should:

- Identify, designate, and document those positions and individuals they deem critical to the operations in an emergency as Continuity Personnel. These personnel possess the skill sets necessary to perform essential functions and supporting tasks.
- Officially inform all Continuity Personnel of their roles or designations by providing documentation in the form of the designation letter or memo, orders of succession appointment, or other formal document to ensure that Continuity Personnel know and accept their roles and responsibilities.
- Ensure Continuity Personnel participate in the organization's continuity TT&E program, and reflect this participation in training records.
- Provide guidance to Continuity Personnel on individual preparedness measures they should take to ensure their response to a continuity event.

A roster of these positions and designation should be maintained by the COOP Program Manager/Planner or the Continuity Personnel supervisors. Training records should be maintained by the Continuity Personnel and their supervisor.

Sample designation documents are located at the end of this annex. Designation documents should identify the staff's day-to-day positions, continuity positions, any difference between the two, expectations of the designation, and an opportunity to withdraw from this designation.

It is important to keep all staff; especially those not identified as Continuity Personnel, informed and accounted for during a continuity event. This can be accomplished through established procedures for contacting and accounting for employees, including operating status. Examples are found in the Communications Annex.

Accountability

Accounting for all personnel during a continuity event is of utmost importance. To account for all staff, an organization can use the tools and procedures suggested in the Communications Annex or review the procedures associated with their SOPs. Included in these procedures is the accountability information, who reports to whom, at what interval, and which method should be used.

There is an expectation that each person designated as Continuity Personnel will be in contact with their organization within a certain timeframe. That timeframe for DEMA is two hours from the start of the shift or receipt of contact from the notification system. If an employee is not accounted for, it is the responsibility of their organization to attempt contact by any means necessary, even to include a supervisor or manager contacting local law enforcement for a welfare check.

Human Resource Issues

An event that requires the activation of the COOP Plan may personally affect staff. Therefore, the human resource department may have the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with special human resource concerns following a disaster. These provisions and procedures should be documented, communicated with managers, and located with the essential records.

The COOP Program Manager/Planner should work closely with the human resource department to resolve issues related to a continuity event.

Continuity programs, plans, and procedures should incorporate existing organization-specific guidance and direction for human resource management. Guidance should be integrated with human resource procedures for an organization's facility, geographic region, and the human resource department. An organization should issue continuity guidance for human resources on the following issues:

- Additional staffing
- Work schedules and leave
- Employee assistance program
- Access and functional needs employees
- Telework
- Benefits
- Premium and annual pay limitations

It may be necessary to include a statement regarding the willingness and ability to perform the duties of a Continuity Personnel in position descriptions. An organization can discuss with their human resources if this statement is needed or if a letter assigning specific staff to the position of Continuity Personnel will suffice.³

The Tools section includes two sample documents that can be used to designate Continuity Personnel.

³ Arizona state agencies may contact ADOA-HR for more specific information on state employees.

TRAINING ANNEX

The following are lists of recommended continuity training for non-continuity personnel to COOP Program Managers. The Independent Study (IS) courses can be found at training.fema.gov/is/. The E/L/G courses are in-classroom courses that are offered either at the Emergency Management Institute (EMI) in Emmitsburg, MD or through DEMA.

Non-Continuity Personnel

- IS 100.b: Introduction to Incident Command System (ICS)
- IS 200.b: Incident Command System (ICS) for Single Resources and Initial Action Incidents
- IS 700.A: National Incident Management System (NIMS), An Introduction
- IS 800.B: National Response Framework, An Introduction

Continuity Personnel

- All of the Non-Continuity Personnel courses listed above - PLUS
- IS 546.a: Continuity of Operations Awareness Course
- IS 547.a: Introduction to Continuity of Operations

COOP Planner

- All of the Non-Continuity and Continuity Personnel courses listed above - PLUS
- IS 520: Introduction to Continuity of Operations Planning for Pandemic Influenzas
- E/L 549: Reconstitution Planning Workshop
- E/L 553 or IS 523: Resilient Accord Cyber Incidents Planning Workshop
- E/L 554: Pandemic Influenza (PI) Determined Accord Workshop
- E/L 556 or IS 525: Guardian Accord Workshop
- E/L 557: Mission Essential Function (MEF) Workshop
- E/L/G 550: Continuity of Operations Planner's T-t-T Workshop
- E/L/G 551: Devolution Planning Workshop

COOP Program Manager

- All of the Non-Continuity Personnel, Continuity Personnel, and COOP Planner courses listed above - PLUS
- IS 522: Exercising Continuity Plans for Pandemics
- E/L 153: Building Design for Homeland Security for Continuity of Operations
- E/L/G 548: Continuity of Operations Program Managers T-t-T Course
- E/L/G 551: Devolution Planning Workshop
- NARA/CoSA Vital Records Training (optional, recommended) – www.nara.gov

EMERGENCY SUPPLY KIT ANNEX

Organizations should encourage all employees and their families to prepare for emergencies by following three simple steps:

1. Make an emergency supply kit.
2. Make a family emergency plan.
3. Be informed about the types of emergencies that you may be called upon to respond to, and know what to do when a disaster strikes.

Family Emergency Plan

Families may not be together when an emergency happens, and you may not have access to cell phones, gas stations, grocery stores, or some of the other things that you are used to having every day. A family emergency plan allows families to work together to develop a meeting place, establish an out-of-town contact, and other essential information to stay connected in the event of an emergency. This plan should also outline a support unit of friends and family, both nearby and out-of-state, which can serve as points of contact and check on the well-being of family members, pets, and property.⁴

Personal Emergency Supply Kit

Emergency supply kits enhance your ability to react to emergencies, whether at home or on the road. Personal kits allow for self-sufficiency, diminishing the reliance on emergency responders and resulting in a more focused response environment. Creating a personal kit is beneficial for shelter-in-place emergencies and general personal care.

Storage of a personal kit is as important as its contents. Ideally the kit should be stored in an area that is readily accessible where you spend the majority of your time, such as home, work, or personal vehicles. Since most emergencies are unpredictable in both location and timing, consider putting your kit in a bag/container that is portable. Your kit should be water-resistant and durable enough to withstand rough terrain. Since the majority of emergencies cause some degree of area evacuation, consider the “carry-ability” of the bag.

A personal emergency supply kit is tailored for the individuals’ specific needs, and considerations should be made to include adequate supplies for families and pets, if applicable. When planning your kit, keep in mind that it should be lightweight, but the contents should help you make it on your own for at least 72 hours. Consider the following items for a personal kit:

⁴ Ready.gov has downloadable sample plans and the American Red Cross’ or www.Listo.gov “Safe & Well” registry allows individuals impacted by a disaster to notify friends, family members, and others of their status.

Personal Emergency Supply Kit	
<ul style="list-style-type: none"> • Drinking water • Non-perishable food • Manual can opener and eating utensils • Cell phone and charger • Battery-powered or hand crank radio • Flashlight • Extra batteries • Contact list • Paper and pencil • Blanket/sleeping bag • Cash in small bills • Dust mask, plastic sheeting, and duct tape to shelter-in-place 	<ul style="list-style-type: none"> • First aid kit • Prescription medications • Personal hygiene items/toiletries • Fire extinguisher • Matches in a waterproof container • Whistle • Change of clothing • Sturdy shoes/work boots • Extreme weather gear • Baby/infant supplies • Pet supplies • Important documents (insurance, identification, banking) in a waterproof container

Office Emergency Supply Kit

Offices should also have an emergency supply kits which contains pertinent documentation or other office supplies for the continuation of essential functions. These kits should be stored in readily accessible areas, and all employees should be aware of the location. It is important to customize office kits for each essential function and the number of employees who will be performing the functions. Consider the following items for an office kit:

Office Emergency Supply Kit	
<ul style="list-style-type: none"> • Laptop/tablet computer with power cords • Printer with power cords, paper, ink • Flash drive, CD or hard copy essential records • Credit card or purchase card with purchasing policy and authorities • Stapler, staples, paperclips, thumb tacks, paper clips, scissors, tape, etc. 	<ul style="list-style-type: none"> • USB charger, extension cord, power strip • Wi-Fi hotspot • Paper, pens, pencils, permanent markers, dry erase markers • Inbox or container to put documents • Cell phones, radios, chargers

ORDERS OF SUCCESSION ANNEX

Establishing, promulgating, and maintaining orders of succession is an important part of COOP planning. It is critical to have a clear line of succession established in the event an organization's leadership or key personnel become unable to perform their legal and authorized duties, roles, and responsibilities. Orders of succession are a formal, sequential listing of positions (rather than specific names of individuals) that identify what position is authorized to assume a particular leadership, management, or key position role under specific circumstances. The designation as a successor enables that individual to serve in the designated position in the event of that principal's death, incapacity, or resignation.

Orders of succession enable an orderly and predefined transition of leadership and key positions within the organization. Orders of succession are an important part of an organization's COOP plan and should reach to a sufficient depth and have sufficient breadth to ensure the organization can perform its essential functions while remaining a viable part of the whole community during the course of any emergency.

In some cases, orders of succession are established by statute. In other cases, an organization may have the latitude to develop orders of succession for particular positions to ensure critical decisions can be made during temporary absences of leadership and key personnel.

The following should be considered for orders of succession:

- Establish and document orders of succession in advance, and in accordance with applicable laws, to ensure there is an orderly and predefined transition of leadership and key positions during any emergency.
- Establish the orders of succession for the organization head to ensure a designated official is available to serve as acting head until that official is appointed by an appropriate authority, replaced by the permanently appointed official, or otherwise relieved.
- Establish orders of succession for other key positions, including, but not limited to, administrators, regional or field directors, key managers, and support personnel.
- Include, within each order of succession, at least three positions permitted to succeed to each identified position, if possible.
- Include at least one individual in each order of succession who is geographically dispersed from the principal and other individuals identified in the succession, where feasible.
- Coordinate the development and revision of orders of succession with general counsel or chief counsel to ensure legal sufficiency.
- Include orders of succession in the essential records, and ensure they are available at all primary and alternate facilities.
- Revise orders of succession, as necessary, and distribute the revisions promptly as changes occur to higher authorities, potential successors, affected staff, and others, as appropriate.

Orders of Succession Template

The following are examples of orders of succession that may be placed in a COOP plan. Orders of succession should be based on how their key positions and essential functions relate.

Key Position Title	Successor 1 Title	Successor 2 Title	Successor 3 Title
Director	Deputy Director	Assistant Director – Operations	Assistant Director - Preparedness
Deputy Director	Assistant Director – Operations	Assistant Director - Preparedness	Assistant Director - Finance
Assistant Director - Operations	Assistant Director - Preparedness	Assistant Director - Finance	Business Function Manager - Operations
Business Function Manager - Operations	Business Function Manager - Preparedness	Business Function Manager - Finance	Business Function Manager - Exercise
Executive Admin Assistant	Admin Assistant - Operations	Admin Assistant - Preparedness	Admin Assistant - Finance

With each order of succession position, there should be documentation notifying the successors of their roles and responsibilities. The following is a sample of orders of succession documentation:

DELEGATIONS OF AUTHORITY ANNEX

Delegations of authority provide personnel the authority to make decisions during an emergency when the primary person or leadership is unavailable. Key decisions will be required during a continuity event, such as budget, evacuation of a primary or alternate facility, implementation of part or the entire COOP plan, and whether to suspend certain agency activities. The power to make these decisions should be delegated in the COOP plan to prepare for the event that the primary person is unavailable.

Organizations should identify the key authorities that will be crucial during a sustained continuity event. Authorities will directly support the maintenance of essential functions and emergency response. There are two kinds of authority to be delegated:

- Emergency authorities - decisions on emergency actions, such as evacuation, relocation, and personnel recall.
- Administrative authorities - decisions relating to the normal operation of the agency or department, such as hiring and firing, payroll, and similar decisions with long-lasting effects.

COOP plans should specify how authorities will be delegated, to include when they are activated, when they expire, and who will be notified. The plan should also describe what triggers and terminates each delegation of authority and the method for notifying involved personnel.

Triggers

The trigger for each delegation of authority should be clearly defined in the COOP plan. Emergency authorities will be delegated following a disruption to the normal chain of command. But the COOP plan itself should make clear what will trigger and terminate the delegation of authority. This is especially important when authorities have been delegated to someone other than the usual authority figure.

All COOP personnel should be notified of the activation of a delegation of authority. Organizations should develop communication mechanisms that can be used for all types of important notifications during an emergency. Communication systems should ensure that personnel receive all notifications in redundant formats. See the Communications Annex for more information.

Limitations

Authorities to be exercised in a COOP plan should have defined limitations to avoid confusion regarding who has what decision-making power in specific situations:

- Expiration - emergency authorities usually have built in limits. According to FEMA Continuity Guidance Circular, “pre-determined delegations of authority will take effect when normal channels of direction and control are disrupted and will lapse when those channels are reestablished” (2013). Administrative authorities, when delegated to a successor or emergency personnel, should have a clearly defined expiration.
- Branch/division - authorities should also be defined by their scope, such as the divisions and offices that they extend to. The authority to recall personnel in a division may not

give authority to recall personnel in other divisions and branches, even if those branches are co-located.

- Geography - the geographic limits on authority should be clearly defined. If the organization only has one office and one alternate location, then authority to evacuate the primary facility may be with the organization head, while authority to evacuate the alternate location rests with its highest ranking security officer.
- Successors - there may be legal restrictions on the delegation of authority to certain individuals who may be successors. For example, state or local statutes may require that certain decisions only be made by an elected official. Planners should consult legal counsel on the legality of passing on authorities to successors.

Authorities should be delegated to the most appropriate decision-makers, taking into consideration location, role in emergency response, skills, etc. The COOP Program Manager/Planner should consider the following:

- Agency and department heads
- Building managers and security officers
- Continuity Personnel

Training

Officials expected to assume authorities, including successors, should be trained to exercise the authority and carry out their emergency duties. When successors are delegated an authority that is not usually assigned to them, additional training and education may be required. Training should be specific to each organization and office that delegates authority, but the program should focus on performing the authority as well as understanding the triggers and limitations.

Documentation

Documents outlining delegations of authority and associated procedures should be treated as essential records and protected during continuity events. Like other essential records supporting essential functions, a copy of the plan for delegating authorities should be kept at the alternate facility, or, if necessary, transported there during relocation.

The Tools section includes two samples of delegations of authority documentation to inform delegates and provide the necessary authorities for the respective delegation.

ESSENTIAL RECORDS ANNEX

Essential records are IT systems, applications, infrastructure, electronic and hardcopy documents, references, and records needed to support the continued performance of essential functions. Specifically, these are records an organization will need restored within the timeframe necessary for continuation of essential functions after a disruption. These records are also necessary to protect the rights of individuals and the interests of organizations.

The identification, protection, and ready availability of essential records is needed to support essential functions under the full spectrum of all-hazards emergencies are critical elements of a successful CCOP plan and program. An active essential records program will help ensure the records needed to support an organization's essential functions will be available when needed. Most organizations have an essential records program (i.e. within records management). The COOP Program Manager/Planner should coordinate with these offices when planning for essential records. Essential records are specific to each organization, as their business determines what is essential to its particular operation. Essential records can be placed into two categories:

- Emergency operating records - records and databases essential to the continued functioning or the reconstitution of an organization during and after COOP activation. These records provide an organization with the guidance it needs to conduct operations during a continuity event and to resume normal operations at its conclusion.
- Rights and interests records - records critical to carrying out an organization's essential legal and financial functions and vital to the protection of the legal and financial rights of individuals who are directly affected by that organization's activities. These records include those with such value that their loss would significantly impair the execution of essential functions, to the detriment of the legal or financial rights and entitlements of the organization and the affected individual(s).

Identification

To identify records that could be considered essential an on-site survey should be performed. This survey can be facilitated by a review of which records are support inputs to essential functions. These functions have outputs that fulfill the services an organization is responsible to provide to the public or to other organizations.

Identifying essential records and their locations allows an organization to:

- Respond to a disaster affecting records.
- Minimize disruption of operations after an emergency.
- Rapidly restore essential services.
- Reduce the economic impact of a disaster.

After identification a review should be conducted of all applicable general and custom retention schedules that exist which pertain to the essential records. Knowledge of the record series location will aid in the retrieval of the records when disaster occurs.⁵

⁵ Arizona state agencies can find records retention schedules at <https://www.azlibrary.gov/arm/retention-schedules>.

Prioritization

When determining essential records, an organization should designate and prioritize using the listing provided by the Intergovernmental Preparedness for Essential Records (IPER).

Priority For Access	Essential Records Are Records That:	Examples
<p>Priority 1: First 1-12 hours</p>	<p>Are necessary for emergency response</p>	<ul style="list-style-type: none"> • Copy of emergency plans including the COOP Plan. • Disaster recovery plan • Infrastructure and utility plans • Maps and building plans • Emergency contact information
	<p>Are necessary to resume or continue operations. This could include evidence of existence; powers, duties, and functions of an organization; records that are necessary to the operation of an organization's program(s); funds owed to or from a government agency or program.</p>	<ul style="list-style-type: none"> • Employee lists or rosters • Delegations of authority • Contracts and leases • Payroll • Prison, jail, and parole records • Insurance records • Accounts payable and receivable records
<p>Priority 2: First 12-72 hours</p>	<p>Protect the health, safety, property, and rights of residents</p>	<ul style="list-style-type: none"> • Deeds, mortgages, land records • Birth and marriage records • Medical records • Active court proceedings or police investigations • Education and military service records • Voting records • Professional licenses • Hazardous substance files
	<p>Would require massive resources to reconstruct. This would include records that are unique or irreplaceable.</p>	<ul style="list-style-type: none"> • Geographic information systems data • Tax records • Unique computer programs
<p>Priority 3: After first 72 hours</p>	<p>Document the history of communities or families</p>	<ul style="list-style-type: none"> • Historical documents • Photographs • Identity records • Property ownership records • Municipal incorporation/charter documents

Documenting Essential Records

Once essential records have been identified and prioritized an inventory should be prepared and kept with the COOP Plan in Supplemental Information.

Arizona state agencies are required to submit their essential records inventory to the State Library every five years per ARS §41-15.15 a.5. It is recommended that the inventory be reviewed at least annually for any changes that may have occurred and a new inventory submitted when updated. This review can correspond with the COOP plan and program annual review.⁶

⁶ The Arizona State Library, Archives, and Public Records Office has tools to help with records management and records disaster proofing as a records disaster plan. This information can be found at <https://www.azlibrary.gov/arm/conservation>.

COMMUNICATIONS ANNEX

The success of an organization during a continuity event is dependent on the availability of robust and effective communications to provide internal and external connectivity. An organization's ability to execute its essential functions at its primary and alternate facility, as well as the ability of their senior leadership to collaborate, develop policy and recommendations, and act under all-hazards conditions, depend upon the availability of effective communications systems. These systems should support full interoperable connectivity among key leadership, internal elements, other organizations, critical customers, and the public.

Considerations for Continuity Communications

Communications is defined as the voice, video, and data capabilities that enable the leadership and staff to conduct their essential functions.

In accordance with the applicable laws and guidance, and other established communications requirements, an organization:

- Should have dedicated access to interoperable communications capabilities at all primary and alternate facilities. They should also have mobile and in-transit communications capabilities for leadership to ensure the continuation of the essential functions. Secure and non-secure communications requirements should be incorporated, as applicable.
- Should have a signed agreement with any organizations that share a facility to ensure each has adequate access to communications resources.
- Should ensure that the communications capabilities are maintained, are operational as soon as possible following a COOP activation, and are readily available for a period of sustained usage for up to 30 days or until normal operations can be reestablished. Organizations should plan accordingly for essential functions that require uninterrupted communications and IT support, if applicable.

Interoperability

Interoperability is the ability of systems, personnel, or organizations to provide services to and accept and use services from other systems, personnel, or organizations, to operate together effectively.

Interoperable communications should provide:

- Capability commensurate with an agency's essential functions.
- Ability to communicate with essential personnel, other agencies, organizations, and customers.
- Access to data and systems.
- Communications systems for use in situations with and without warning.
- Ability to support COOP operational requirements.
- Ability to operate at the alternate facility within 12-hours, and for up to 30 days.
- Interoperability with existing field infrastructures.

Operational Needs Considerations

Communications and IT requirements can be found through the use of the Essential Function Identification, Process Analysis, and Impact Analysis tools. Other items to consider when determining operational needs for continuity communications include:

- Providing internal/external calling capability.
- Setting up and changing passwords.
- Accessing voice mail.
- Forwarding and transferring calls.
- Conducting conference calls.
- Using cryptographic ignition keys for secure calls, if applicable.
- Consideration of the primary system specifications to determine alternate system requirements.

Examples of communications and IT requirements are:

- Standard equipment found in most offices (such as unclassified telephones, fax machines, and computers) can be identified as a standard office equipment package for a specific number of personnel so it is not necessary to identify every telephone individually. A detailed description of the standard office equipment package should be prepared as a reference.
- Communications equipment to support remote operations and anticipated telework capability.
- Complex printing or display equipment (for maps, damage assessments, or monitoring of multiple video inputs).
- Special or unique equipment (e.g., secure communications, conference bridges, radios, and terminals to monitor financial markets or business applications) can be identified, including details regarding the equipment capabilities.
- Unique software applications necessary to access critical records and databases and process incoming data.

Communications and business systems, including hardware and software for continuity operations, should mirror those used in day-to-day business to ensure seamless transition to crisis operations.

Documentation

The table below provides examples of the different types of communication techniques or equipment that can be utilized during a continuity event.

Voice	Data	Radio
Public switch telephone network	Automatic digital network	Satellite
Cellular phone switched network	Local area network/wide area network	VHF/UHF/HF radios
Voice over IP	Internet	Public safety digital trunked radio systems
Satellite	Wi-Fi	
Mass notification system	Text message	
Person to person	Pager	

To provide assured and priority access to communications resources, the following programs are available:

- Government Emergency Telecommunications Service (GETS) - available to all sectors, GETS provides emergency access and priority processing in the local and long distance segments of the Public Switched Telephone Network (PSTN). It is intended to be used when the PSTN is congested and the probability of completing a call significantly decreased. GETS is run by NCS and is free.
- Wireless Priority Service (WPS) - provides priority for emergency calls made from cellular telephones. WPS is an add-on feature subscribed on a per-cell phone basis.
- Telecommunications Service Priority (TSP) - authorizes national security and emergency preparedness organizations to receive priority treatment for vital voice and data circuits or other telecommunications services.

It is recommended that as part of the Communications section of the COOP Plan, an organization inventory its communication capabilities, including any redundant or backup systems. An example of this is below:

Communication Inventory									
Type	Location of Resource	Resource Required	Output Stakeholder	Make/Model of System or Units	# of Units Available	Current Provider	Alternate Provider	Sharable	Comments/Notes
Hand held radios/ Portable platforms		Power cords		Motorola XTS 5000 800	75	Arizona Public Service Arizona AIRS System	None	Yes	
		Charging stations		Harris Tri Band	25				
		Batteries		Macom UHF	10				
		Electricity		Macom VHF	5				
		Trained personnel		Kennwood VHF	50				
Email	Cloud	Electricity Computer Mobile App	All stakeholders	Microsoft Outlook		Microsoft	None	Yes	Alternate methods available such as private social media, text, secure website, etc

Communicating with Employees

Communicating early and often during an emergency will reassure employees that the organization is on top of the situation. Update information, as necessary, and as soon as possible during an emergency. Activating a call-in line or other 24/7 accessible method for employees' access to updated information will help them stay abreast of what is happening. Family support issues should be considered as part of the COOP planning process by soliciting concerns from employees for possible inclusion in the plan. When family members have questions that cannot be answered immediately, organizations should assure the family they will do their best to get the information that they need and keep them updated.

Communicating with Stakeholders

Communication is needed to convey information to both internal and external stakeholders during a continuity event. This may mean letting headquarters or vendors know that a continuity event has occurred and where they can go to get information on the organization. Strategies for how, at what frequency, and what information should be released to stakeholders are recommended to be added to an organization's communication plan. It also is important to keep stakeholders informed of the changing situation of the organization during a continuity event, when that event has ended, and when reconstitution is complete.

An organization may need to update headquarters every hour with status updates or situational reports, but may only need to contact a vendor once to delay a delivery or give an alternate delivery location.

Communicating with the Public and Media

It is recommended employees do not speak with the media about inquiries or deaths of personnel; this includes social media use. Communications of that type should be handled by the organization's Public Information Officer (PIO). Having public/media plans or strategies will help avoid misrepresentation or a public outrage during a continuity event.

Building Communication Processes and Procedures

Questions to be asked when building a communications strategies include:

- What are you trying to communicate? Information to employees, stakeholders, message to the public?
- How will you communicate this information? Email, telephone, website, social media?
- What type of system is needed? Internet, computer, phone, etc?
- Do you have the right equipment and the correct amount of equipment?
- What other resources are needed to use this equipment? Power cords, charging stations, external networks, electricity, etc?
- What non-technology based backup can you use to convey this information? Face-to-face meetings, runners, pen and paper, etc?
- What are your current processes, procedures, and backups for communicating with your employees, stakeholders, public, and media?
- Do these processes and procedures need to be revised for a continuity event? How so?

- What is the priority for recovering and reconstitution? What resources need to be brought back up first?

Answering these questions will assist in developing communications strategies that provide leadership the ability to communicate with stakeholders and control media issues. This information should be recorded in the COOP Plan.

Test, Training, and Exercise

Continuity Personnel should be trained, as appropriate in the use of the communications capabilities and IT systems needed during a continuity event.

With every piece of equipment, plan, process, and procedure, it is important to test, train, and exercise to determine if it will stand up to an actual continuity event.

It is recommended that equipment, processes, plans, and procedures are tested at least yearly, but a good practice is quarterly, and the AAR/IP can help resolve deficiencies.

DEVOLUTION ANNEX

Devolution is the capability to transfer statutory authority and responsibility for essential functions from primary operating staff and facilities to another organization’s staff and facilities, and to sustain that operational capability for a given period.

Devolution is a part of overall COOP planning. Both the COOP and devolution should provide mechanisms for ensuring the continuation of essential functions. Appropriate devolution information can be included as an annex to a COOP plan, including procedures as necessary, or as a separate devolution plan if necessary. A COOP plan provides an overarching policy to the continuance of essential functions utilizing the primary organization’s resources including their own staff, whereas, devolution accounts for the loss or incapacitation of the primary staff in addition to the facility. It describes the overarching policies regarding the circumstances and execution of transfer of essential functions to another facility, designated as the devolution site.

Differences between COOP and Devolution:

	COOP	Devolution
Concept	Relocate existing staff to an alternate facility	Transferring the continuity mission to the devolution site
Planning	COOP plan Continuity Personnel will perform the essential functions.	Devolution plan or annex to COOP Plan Devolution site personnel will perform essential functions.
Implementation (Including TT&E)	Continuity Personnel may deploy to alternate facility to perform essential functions.	Devolution site personnel perform the essential functions.

Conditions for Devolution

Devolution may be used as a short or long-term strategy to ensure continuity when staff, the alternate facility, or both are not available as a result of a catastrophic event. Organizations use this strategy for devolution when their regional or other offices are fully capable of performing some or all of the essential functions. Some organizations devolve to multiple offices, with each devolution site having responsibility for specific essential functions. If an organization deems itself too small or if there are not enough Continuity Personnel to perform the essential functions, they should consider devolving to another organization. For example, a state agency only has three staff members. If something was to happen to those three staff members, who would continue the agency’s essential functions? In this case, the agency would have to devolve to another organization that could perform those essential functions.

Devolution may be used as a planned, temporary transfer of essential functions to a devolution site until the primary continuity site is operational. This strategy may be used when essential functions cannot be interrupted, even for a short period of time. Impacts of specific hazards may be likely to cause an organization to devolve such as terrorism, wide spread pandemic, etc. In addition, devolution may be required under three general sets of conditions:

- Warnings are received of an impending incident of a magnitude that devolution is required.
- Occurrence of an incident that damages or destroys the primary and alternate facilities, incapacitates the staff, or severely disrupts the infrastructure.
- The organization activates its COOP plan, which in turn, requires a short-term devolution of essential functions until the alternate facility becomes operational.

Transferring Authority to the Devolution Site

The general procedures for implementing devolution and transferring authority should be similar regardless of whether an active or a passive trigger is involved. Implementing the devolution plan or procedures may be done by primary leadership or a successor. Procedures, such as alert and notification procedures, are determined by the organization and may include:

- At least one order of succession for all key positions should be at the devolution site.
- Access to essential records at the devolution site. Measures should be taken to ensure essential records and databases are current at the devolution site and they can be transferred to an organization's primary facility when the emergency ends.
- Additional training or cross-training for staff at the devolution site. The devolution staff may require training to assume positions they do not perform regularly. Training may include "smart" books, decision matrixes, etc. Periodic tests should be conducted to ensure that the transfer of essential functions works as required.

Triggers

There are two types of triggers that can cause an organization to devolve: active and passive.

Active triggers initiate the devolution based on a deliberate decision by the organization's senior authority. Examples of active triggers include:

- A credible threat exists that an organization's primary and alternate facilities will be attacked by terrorists within the next several days.
- A train derailment has occurred, releasing thousands of gallons of chlorine. The organization's headquarters building is located directly under the plume, and the plume is moving toward the alternate facility.

Passive triggers occur in situations where leadership is not available to initiate activation procedures. This trigger activates the devolution automatically. Examples of passive triggers include:

- Media reports that a catastrophic incident has occurred near headquarters.
- An incident severely impacts the headquarters staff's availability and ability to relocate to its alternate facility. The headquarters area's infrastructure systems (communications, electric, and water) are severely disrupted.

With passive triggers causing an automatic activation of the devolution plan or procedures, automatic thresholds should be developed to ensure that all personnel are aware of the triggers for devolution decisions.

The Devolution Plan

If an organization requires additional devolution planning beyond what is included as an annex to a COOP plan, a separate devolution plan may be developed. A devolution plan should be similar to a COOP plan. However, the biggest difference between the two plans is that a COOP plan has strategies instead of detailed procedures, whereas a devolution plan has more detailed procedures. This is due to the fact that the devolution partner does not deal with the primary organization's essential functions on a day to day basis and therefore will need more instructions on how to perform them. The specific pieces of a devolution plan are discussed below:

The devolution plan should include the following:

- The introduction, scope, concept of operations, and authorities.
- The Concept of Operations section, including the following:
 - The disruption to organization operations.
 - Devolution scenarios.
 - Relationship between continuity and devolution.
 - Devolution threat conditions and potential responses.
 - Devolution site.
 - Devolution activation conditions.
 - Assumption of organization essential functions.
 - Delegations of authority.
 - Orders of succession.
- The Organization and Responsibilities section specific to devolution personnel.
- The essential functions, tasks that support those essential functions, and the necessary resources to facilitate seamless transfer of those functions to the devolution site.
- The Implementation section, including actions required during each phase of activation.
- A roster that identifies fully equipped and trained personnel who will be stationed at the designated devolution site and who will have the authority to perform essential functions.
- The necessary resources (i.e. equipment and materials) to facilitate the performance of essential functions at the devolution site.
- Reconstitution to the pre-event status upon termination of devolution.

RECONSTITUTION ANNEX

Reconstitution is the process of recovering from a continuity event and resuming normal operations from the original or replacement primary facility. It may require coordination to procure a new operating facility and equipment or new or supplemental staffing. Reconstitution is one of the ten elements of continuity, and is an essential function. Reconstitution information can be included as an annex to the COOP plan or as a separate reconstitution plan, if necessary.

Reconstitution can be as simple as communicating that an organization's offices will be fully operational following a continuity event, or as complicated as recovering from a catastrophic event, such as the one on the World Trade Center. An event like this may include relocation of operations with survivors, first to a temporary location for full operations, and then to a new permanent location.

Reconstitution involves essential functions necessary to plan and implement activities to restore full, normal operations. Reconstitution activities are essential since the continuity situation cannot end until reconstitution is complete.

Reconstitution is normally conducted using a priority-based approach:

- As the performance of essential functions continues, those functions that were deferred or discontinued because of the emergency must be reconstituted or recovered.
- All personnel should be informed that the crisis no longer exists and normal operations are (or will be) resuming.
- Instructions for resumption of normal operations are provided, including supervising an orderly return to the original facility, moving to a temporary facility, or moving to a new permanent facility.
- Begin to develop an AAR/IP and track results in the Corrective Action Program.

RECONSTITUTION VS CONTINUITY

Continuity is focused on a select, very critical set of functions that cannot be deferred, whereas Reconstitution must consider all functions. As an element of continuity, reconstitution must be considered an essential function that ensures the continued support for performance of essential functions and the restoration of full normal operations.

Reconstitution will not begin until the crisis or threat is over. This is important to recognize, since the crisis mentality that drove COOP activation should no longer exist. Reconstitution should be conducted in a calm, planned, methodical manner. While some Continuity Personnel are identified to support performance of essential functions during a continuity event, others support reconstitution.

RECONSTITUTION PLANNING

Reconstitution planning begins now as an element of a comprehensive COOP planning process. The Reconstitution Manager should not be the COOP Program Manager/Planner (if possible) as they are still dealing with the continuity event when reconstitution should be occurring.

Organizations may choose to use a key staff member from facilities management, logistics, security, or similar functions to lead the reconstitution team.

Reconstitution can be addressed as either an annex to a COOP plan or a separate reconstitution plan. Large organizations with adequate personnel and complex reconstitution requirements, it may make sense to have a separate plan. For small organizations, it may make more sense to include reconstitution as an annex to their COOP plan, including procedures as necessary.

Organizations should identify and outline a plan or procedure to return to normal operations once leadership or their successors determine that reconstitution can be initiated. Organizations should:

- Provide an executable plan or procedure for transitioning back to efficient normal operational status from continuity operations status, once a threat or disruption has passed.
- Coordinate options for reconstitution of all facilities, personnel, essential records, and other resources that may have been disrupted, damaged, etc.
- Coordinate options for reconstitution, including moving operations from the continuity or devolution location(s) to either the original facility or, if necessary, to a new facility.
 - Primary facilities reconstitution - returning to full, normal operations at your original (possibly repaired) facilities with limited impact.
 - Temporary facilities reconstitution - returning to full operations at temporary (possibly distributed) facilities, with the expectation of moving to new or repaired facilities when they can be made available.
 - New facilities reconstitution - restoring full operations at permanent replacement facilities.
- Outline the necessary procedures, whether under a standard continuity scenario or under a devolution scenario, for conducting a smooth transition from the relocation site to a new facility.

Phase 1: Preparedness Planning

Organizations should consider the following when planning for reconstitution:

- Identify what may need to be done, including checklists.
- Identify who will need to do it, including rosters.
- Be executable and flexible to accommodate a variety of situations.
- Generate or gather records necessary to implement reconstitution.

If an organization chooses to develop a separate reconstitution plan in addition to the COOP plan, the following should also be considered:

- Obtain approval of the plan.
- Conduct training and exercise the plan.
- Identify lessons learned from exercises and refine the plan.

- Address both short-term and long-term planning to include facilities, human resources, and NARA coordination requirements, as appropriate.

Phase 2: Post-Event Planning

Post-event reconstitution planning takes place after the disruption has occurred. This is a continuity activity; this planning will be focused on the specific event that happened. Organizations should begin with an assessment of the situation by asking the following questions:

- Is the crisis over?
- Are all personnel accounted for and safe?
- What was the impact on people? Is there a need to replace staff?
- What functions were disrupted?
- Are the facilities damaged?
- Will repairs be needed? How complicated will repairs be? How long will repairs take?
- Will temporary or new facilities be needed?
- Do you return to the original facilities or new?
- Will partial devolution be implemented for some essential functions or full devolution for all essential functions?
- Are there unique assessment considerations that need to be addressed?
- What other status issues should be included?

An important distinction between activating the COOP Plan and implementing reconstitution is urgency. Although there will be pressure to reconstitute quickly, there will be far less urgency and uncertainty as the situation is still unfolding.

Phase 3: Reconstitution Implementation

Organizations should use a priority-based approach in which:

- Essential functions must not be disrupted.
- Informing all personnel of the plan and expectations.
- Providing instructions for resumption of normal operations, including supervising an orderly return to the original facility, or moving to temporary or new permanent facilities.
- Updating/transitioning records created during continuity event as a part of the full recovery of all records; and inform partners, customers, and stakeholders on status.

Implementation actions associated with reconstitution include:

- Informing all personnel that the actual emergency, or the threat of an emergency, no longer exists, and instructing personnel on how to resume normal operations.
- Identifying which records, if any, were affected by the incident, and working with the records office (or similar function in the organization) to ensure an effective transition or recovery of essential records.

- Verifying that all systems, communications, and other required capabilities are available and operational and that the organization's is fully capable of accomplishing all essential functions and operations at the new or restored facility.
- Supervising either an orderly return to the normal operating facility or a move to another temporary facility or to a new permanent operating facility.
- Providing reconstitution status reports
- Restoring continuity facilities to full readiness capability.

Phase 4: Reconstitution Completion

Each organization should establish its own criteria for when they will consider that reconstitution has been accomplished. Possible criteria include:

- Performing all organizational functions under normal conditions that can be continued for an extended period of time.
- Performing all functions in permanent (new or repaired) facilities.
- Conducting an AAR of the effectiveness of the COOP plan and procedures, and devolution and reconstitution plans or procedures, identifying areas for improvement, documenting these in the organization's Corrective Action Program, then developing an AAR/IP.

RECONSTITUTION FROM DEVOLUTION

Special consideration needs to be given to the possibility that some or all of an organization's functions may have to be reconstituted by devolution personnel. This clearly presents some unique challenges. One challenge to be addressed would be if the devolution organization does not have a reconstitution element. If the devolution organization does have a reconstitution element, some questions to be asked prior to the event, and possibly put in the primary organization's devolution plan or procedures include:

- Will the reconstitution element need to be co-located with the devolution personnel that will be performing essential functions?
- What special training do devolution and/or reconstitution personnel require?
- Will there be coordination between the primary organization and the devolution organization, when the primary organization does not devolve all essential functions?

RECONSTITUTION ELEMENTS

People

People will be one of the most critical elements of reconstitution and potentially the most complicated, depending on the event. Functions cannot be reconstituted if the right people are not available, trained, and qualified to do the work. Communication with each of the functional areas will need to occur to verify that human resources are available. Until all of the staff returns to work, there will be issues regarding pay, benefits, vacation, and so on that may need to be

addressed. In some cases, employees may choose to retire or otherwise not return to work. There may be concerns about fairness – some employees may be required to work overtime (Continuity Personnel and other supporting personnel), while some may be paid, but not required to work or allowed to telework.

Additional personnel issues may include new leadership and succession, new hires, contractor staff, employee assistance programs, monitoring for stress, counseling, supplemental human resource guidance, training and certification, accommodations for employees with special needs, and possibly union related matters.

Clear policy guidance and frequent (or at least periodic) communications with all of the staff will be critical to minimizing employee concerns during a very high stress period. The potential for concern about these issues should not be underestimated.

Some questions that should be asked by leadership regarding the people element of reconstitution include:

- Are new hires needed?
- Is training or certification needed?
- How quickly can the organization get new staff on board?
- What resources are available to staff and their families?
- How can employees and their families get this information?
- Who should be responsible for ensuring effective communications?
- What information should be communicated?
- What modes of communications will be used?

To help answer some of these questions, the reconstitution team should seek assistance from their human resource department as well as the Communications section of the COOP Plan.

For organizations with regional or field offices, coordination should be included in reconstitution planning. Questions to be asked include:

- What issues may need to be addressed?
- Are there different issues if devolution personnel are coordinating reconstitution?

Functions

Prioritization of essential functions must be continued. However, reconstitution of additional functions should be priority based. These functions are being accomplished by the Continuity Personnel while reconstitution efforts will need to focus on resuming other functions that were interrupted and deferred. An organization should ask themselves the following questions:

- What are the priorities?
- What will be required to support each function?
- What will determine prioritization?

- What about a facility? A facility is important, but reconstitution is ultimately about performing functions and providing the resources and staff to perform them.

An organization should consider interdependencies and support relationships that should be in place, including key partners, and the private sector. Although the essential functions are among the most important functions the organization performs, it may be best to reconstitute other functions at the original or new facility before moving the essential functions.

Facilities

A key step in reconstitution planning is to determine the condition of the facility after the event. Performing a detailed damage assessment may be beyond the expertise of the reconstitution team and therefore it may require information from a structural engineer or other similar experts. An organization, as part of its reconstitution planning, should identify resources including who owns their facilities and where they can find building subject matter experts, contractors, and vendors.⁷

If it is determined (from the damage assessment) that the facilities can be repaired, this can be expedited if the reconstitution plan or procedures includes information that will support the process. To expedite repairs, reconstitution should identify key facilities personnel, where important documents can be found, and what resources may be required:

- Blueprints of existing facilities.
- Requirements for wiring, IT, secure spaces.
- Repair plans.
- Contracts to initiate repairs.
- Coordination with ADOA/GSA/landlords.
- Repairs should be monitored and progress reported regularly to leadership and employees.

If an organization determines that a temporary space is needed to reconstitute some or all functions because repairs will take too long then an organization may want to look for a temporary space. Options for temporary space and other strategies include:

- Facilities the organization already controls or manages.
- Arrangements for temporary space an organization can make.
- Shift work/desk sharing.
- Telework.
- Shuttle services between other existing organizational facilities.
- Consideration of use of supplemental staffing available in regional or field offices.

An organization will need to know the following information for temporary or new facilities:

- The geographic area that is acceptable.

⁷ The ADOA may be consulted to help answer these questions for state organizations.

- Locations an organization is willing to place their office.
 - Near existing staff/proximate to partners.
 - Convenient to mass transit.
- Estimated total square footage.
 - Size/footprint.
- How long the organization needs the space, if temporary?
- Who will occupy the space, if temporary?
- Special building features that may limit suitable properties.
- Security considerations/risk assessment.
- Any improvements and changes from the original facilities?
- ADOA can be a critical partner in arranging new facilities for state organizations

Communications

Even with staff and a facility, an organization cannot recovery without communications and the equipment to facilitate the communications. Some equipment and other considerations include:

- Phones and support, etc.
- Special equipment (communicator, conference lines).
- IT Equipment (servers, networks, VPNs, printers, etc.).
- Contractors (support services).
- Security.
- IT hardware and software requirements.

Communication also means messaging. Messaging should include:

- All employees.
 - Threat no longer exists.
 - Work location is safe to enter.
 - Any changes in support (cafeteria, gym, child care, parking).
 - Staff communications should include emails, newsletters, town hall meetings, senior leadership outreach, as examples.
- Contractors.
- Customers.
- Partners.
- Stakeholders.
- Local government, neighbors, and local community.

- Your activities may have an impact on traffic, local businesses, and local police and fire departments.
- If adjacent facilities were impacted, their plans may impact your organization – information sharing and coordination may help avoid difficulties and confusion.

Security and Safety

Security and safety is important during reconstitution because as an organization is recovering they do not want to have another event that would either cause a delay in reconstituting or could cause another continuity event. Security should be considered for:

- Personnel
- Facilities including physical security (guards and access)
- Information including classification, personally identifiable information, and communications security issues

Safety (Occupational Safety and Health) should be considered for personnel, facilities, the needs to be in place and operational before people return, the need to address safety issues with personnel and any health care capabilities. It should also involve operations at the new facility and transportation to and from work, safety systems that need to be tested, and any Emergency Action Plan modifications.

Records

Records and documents, and access to them, are essential to all aspects of an organization's work. Records management should include preserving all of the organization's records until reconstitution is complete, while ensuring access to essential records during the continuity situation. Capturing records created during the disruption and continuity operations and incorporating them into the organization's records management system is also important in reconstitution.

Access to systems and records needs to be in place before and as reconstitution occurs. Historical files (microfiche, hard copy, old computer tapes) must be preserved and accessible therefore an organization must provide an appropriate means to document new work. Records created during the disruption need to be captured, and records inventories should be prepared. These records will need to be archived per the NARA and ARS 41-151.12. As a part of preserving these records, an organization needs to know who will be responsible for ensuring records management. This person or persons will need to be able to have access to the records and resources needed to capture, preserve, inventory, transfer, and reconstitute these records and documents.

If some data is lost, the identification of lost data will be critical to resuming functions at the primary facility. The reconstitution plan or procedures should include pre-identification of records recovery experts and vendors.⁸ Even if data is not lost, some data will have been created or updated during continuity operations. Measures should be taken to ensure that the data transferred is up to date and the reconstitution team should seek preservation, scientific/technical, and records and archival advice and information for stabilization, security, logistics, and contracting for recovery services for damaged records.

⁸ These can be found on the Arizona Records Management website, <https://www.azlibrary.gov/arm/conservation>.

Infrastructure

Infrastructure may be a concern to some organizations, particularly large organizations that may operate on a campus environment. This may include transportation of equipment, personnel, and supplies; power systems; mail services; motor pool; warehouses and storage; and printing and publishing. As the infrastructure that supports an organization is restored, testing is an important element. It is important to ensure the infrastructure is fully operational and performing as required before transitioning critical functions and personnel. A comprehensive testing protocol should be in place and included in the reconstitution plan or procedures as a milestone.

TEAMS

Leadership should designate someone to be the Reconstitution Manager. Because planning for reconstitution and implementing reconstitution are two very different things, it may be prudent to have different teams, if adequate staffing allows.

The Reconstitution Manager

The Reconstitution Manager should:

- Be able to focus solely on the issues related to reconstitution during a continuity event
- Have a close working relationship with the COOP Program Manager/Planner
- Be senior enough to work directly with senior leadership
- Be familiar with the reconstitution plan or procedures
- Be able to lead a reconstitution team
- Be detail oriented

As part of pre-event reconstitution planning, the Reconstitution Manager may choose to designate a lead planner to develop a reconstitution plan, or lead the effort him/herself. The Reconstitution Manager is ultimately responsible for ensuring the success of the planning effort.

Reconstitution Planning Teams

The success of an organization's reconstitution planning and implementation may depend on the membership of the reconstitution planning team; consider members from the following areas:

- Senior leadership
- Facilities/logistics
- IT
- Communications
- Human resources
- Operations
- Security

The Pre-Event Planning Team

The goal of the pre-event planning team is to build a realistic plan that:

- The organization will accept
- Leadership will approve
- Can be trained and exercised throughout the organization
- Will provide a reasonable and useful starting point for the post-event planning team to get the job done if a disruption occurs

The Post-Event Planning Team

Based on reconstitution planning, the disruption that occurred and the assessment of its impact on the organization, and guidance from organizational leadership, the post-event reconstitution planning team will need to establish or refine a series of operational reconstitution milestones. Initially, these milestones may be “soft,” but establishing a schedule with target dates is important to ensuring all of the pieces are in place to reconstitute all of the organizational functions in a logical order. These milestones, at a minimum, include:

- Assessment of the situation and the primary facility
- Status of personnel
- Coordination for facilities (temporary or new), if needed
- Communications, reporting, and messaging
- Projected end of the crisis or emergency
- Equipment and logistics issues
- Update and recovery of records
- Transfer of essential functions and key supporting activities
- Implementation of full reconstitution of functions

The Implementation Team

During a continuity event, only a small number of the staff is directly engaged in performing and supporting essential functions. What is everyone else doing? How long are the non-essential personnel standing by? As reconstitution proceeds, the implementation team will want to monitor the status of each office or functional area, provide a (standard) process to track this, and gain cooperation from all of the organizational elements. The implementation team responsibilities include:

- Assessing the actual situation
- Refining the reconstitution plan or procedures
- Getting approval of the plan or procedures
- Communicating the plan or procedures
- Implementing the plan or procedures

The implementation team will need a place to work. Will they work at the alternate site or another facility? What resources will they require? These answers can come from either the

implementation team or the Reconstitution Manager, but should be part of the post-event planning process.

TEST, TRAINING, AND EXERCISES (TT&E)

Just like other plans, there is a TT&E component to reconstitution, should an organization choose to develop a separate reconstitution plan. The organization's TT&E program should include:

- Frequent testing of reconstitution processes and equipment to support an organization's ability to reconstitute.
- Annual training for all reconstitution plans and procedures to resume normal the organization's operations from the original or replacement primary operating facility.
- An opportunity for Continuity Personnel to demonstrate their familiarity with the reconstitution procedures to transition from a continuity environment to normal activities when appropriate.

The TT&E program will help to identify gaps and weaknesses, build organizational confidence and improve performance, and increase the organization's capability to be better prepared.

Looking Ahead

Once reconstitution has been achieved, the planning process starts all over again. Based on the experience gained, the continuity training program can be modified to include the valuable lessons learned (both best practices and areas for improvement). These lessons should be shared with the organization and with partners. Other improvements should be made as appropriate. What can be done now to avoid unnecessary problems and complications in the future?

Continuity challenges during reconstitution may include how to demobilize the Continuity Personnel and the alternate facility. Once the essential functions are transitioned out of the alternate facility, it will need to be reset, and prepared for the next continuity event. This may mean removing unneeded or inoperable equipment and restocking supplies and fuel. Typically, this is the responsibility of the COOP Program Manager/Planner.

As the reconstitution effort proceeds, lessons learned should be captured. Questions to be asked include:

- What was done well? (best practices)
- What could have been done better? (areas for improvement)
- What still needs to be addressed?

It is important to capture lessons learned through AAR/IP and implement those items through the Corrective Action Program.

ACRONYMS AND GLOSSARY ANNEX

AAC	Arizona Administrative Code
AAR/IP	After Action Report/Improvement Process
ADOA	Arizona Department of Administration
ARS	Arizona Revised Statute
COG	Continuity of Government
COOP	Continuity of Operations
DEMA	Department of Emergency and Military Affairs (Arizona)
DEMA-EM	Department of Emergency and Military Affairs –Emergency Management Division
DHS	Department of Homeland Security (US)
EMAP	Emergency Management Accreditation Program
FEMA	Federal Emergency Management Agency
HSEEP	Homeland Security Exercise & Evaluation Program
HSPD	Homeland Security Presidential Directive
ICS	Incident Command System
IT	Information Technology
MYSPMP	Multi-Year Strategy and Program Management Plan
NSPD	National Security Presidential Directive
PPD	Presidential Policy Directive
SEOC	State Emergency Operations Center
TT&E	Test, Training, and Exercise

Activation – when a plan has been implemented whether in whole or part.

After Action Report – a narrative report that presents issues found during an incident or exercise and recommendation on how those issues can be resolved.

Alternate Facility – a location, other than the normal facility, used to conduct essential functions, processes, or both in the event that access to the primary facility is denied or damaged. The alternate site provides the capability to perform minimum essential department or office functions until normal operations can be resumed.

Alternate Communications – communication methods that provide the capability to perform minimum essential department or office functions until normal operations can be resumed.

Continuity Event – any event that causes the activation of an agency’s COOP plan; any event that causes an agency or department to relocate operations to an alternate site to ensure continuance of its essential functions.

Continuity of Government – the continued functioning of constitutional government under all circumstances.

Continuity of Operations – an internal effort within individual components of government to ensure the capability exists to continue essential component functions across a wide range of potential emergencies, including localized acts of nature, accidents, and technological or attack related emergencies.

Continuity Personnel – positions necessary to perform an organization’s essential functions; those employees who fill leadership or key positions.

Corrective Action Program – an organized method of documenting and tracking improvement actions for an organization’s Continuity program.

Delegation of Authority – pre-delegated authorities for making policy determinations and decisions at all levels of an organization, as appropriate.

Devolution – the capability to transfer statutory authority and responsibility for essential functions from an agency’s primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period.

Disaster Recovery – the methodical restoration and reconstitution of facilities, data, records, systems, and equipment after a disruption to operations that has caused damage, destruction, or both, of these resources.

Emergency Management Accreditation Program – an independent non-profit organization that fosters excellence and accountability in Emergency Management and Homeland Security Programs by establishing credible standards that are applied in a peer reviewed Assessment and Accreditation Process.

Essential Functions – functions that enable agencies to provide vital services, exercise civil authority, maintain the safety and well being of the citizens, and sustain the industrial and economic base in an emergency.

Essential Supporting Activities – critical functions that an Organization must continue during Continuity activation, but that do not meet the threshold for essential functions.

Essential Records – records or documents, regardless of media which, if damaged or destroyed, would disrupt business operations and information flows and cause a considerable inconvenience and require placement or recreation at considerable expense.

Exercise – evaluation of agency performance against a set of standards or objectives.

Family Support Planning – efforts designed to ensure that an organization takes care of an employee's, his/her family's, or both, needs following a Continuity event, such as emergency contact information, counseling, and daycare services.

Homeland Security Exercise and Evaluation Program – 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.

Interdependency - mutually reliant relationship between entities (objects, individuals, or groups). The degree of interdependency does not need to be equal in both directions.

Interoperability – the ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies and to use the services so exchanged to enable them to operate effectively together; The condition achieved among communications-electronics systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users. The degree of interoperability should be defined when referring to specific cases.

Mitigate - to cause to become less harsh or hostile; to make less severe or painful. Mitigation activities are actions taken to eliminate or reduce the probability of the event, or reduce its severity of consequences, either prior to or following a disaster/emergency.

Multi-Year Strategy and Program Management Plan – a plan that guides the development of the organization's Continuity program over a set number of years via a process that ensures the maintenance and continued viability of Continuity plans.

Order of Succession – a formula that specifies by position, which will automatically fill a position once it is vacated.

Impact Analysis – an evaluation of the strengths and weaknesses of an agency's disaster preparedness and the impact an interruption would have on agency business. This is a management level analysis by which an agency assess the quantitative (financial) and qualitative (non-financial) impact and loss.

Process Analysis – a method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, interdependencies, and alternate locations inherent in the execution of a function or requirement.

Primary Facility – the site of normal, day-to-day operations.

Program Manager – the coordinator of the COOP Program and leader of the COOP teams, who will implement the COOP Plan during an emergency.

Reconstitution – the process by which surviving, replacement personnel, or both resume normal operations from the original or replacement primary operating facility.

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

Redundancy – the state of having duplicate capabilities, such as systems, equipment, or resources.

Resilience – the ability to prepare for and adapt to changing conditions and recover rapidly from operational disruptions. Resilience includes the ability to withstand and recover from deliberate attacks, accidents, or naturally occurring threats or incidents.

Risk – the potential for an unwanted outcome resulting from an incident, event, or occurrence, as determined by its likelihood and the associated consequences. With respect to Continuity, risk may degrade or hinder the performance of essential functions and affect critical assets associated with Continuity operations.

Risk Assessment/Analysis – an evaluation of the probability that certain disruptions will occur and the controls to reduce organization exposure to such

Risk Management – the process of identifying, analyzing, assessing, and communicating risk and accepting, avoiding, transferring, or controlling it to an acceptable level considering associated costs and benefits of any actions taken.

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.

Telework Site – an approved worksite where an employee performs his or her duties other than the location from which the employee would otherwise work.

References - (Federal Emergency Management Agency, 2008), (Center for Health and Homeland Security, 2006), (Federal Emergency Management Agency, 2017), (Emergency Management Accreditation Program, 2016), (Federal Emergency Management Agency, 2013), (Arizona Department of Emergency and Military Affairs, 2013), (Farlex, Inc, 2017)

TOOLS

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CONTINUITY PERSONNEL TOOLS

Continuity Personnel Designation Memo Sample

TO: [Employees Designated with COOP Responsibilities]

FROM: [Director of Program/Unit Administrator]

DATE: [Date]

RE: Essential Employees for Continuity of Operations (COOP)

Please be advised that the individuals listed above are designated as Continuity Personnel to assure continuation of essential functions at the [Organization Name].

Designation as a Continuity Personnel means your duties are of such a nature as to require you to report to work, work remotely, or remain at the worksite to continue agency operations during an emergency. When an emergency is declared, or upon notification, Continuity Personnel will need to contact their supervisor via telephone or [insert communications tool] for further information on where to report, or standby for further instructions.

I wish to express my sincere appreciation and thanks to you for taking on this important responsibility.

cc: [Organization Name] COOP Program Manager/Planner

Continuity Personnel Designation Letter Sample

TO: [Continuity Personnel]

SUBJECT: Designation of Continuity Personnel

FROM: [Organization Leadership Title]

This is to notify you that your position, [Title], has been designated as a Continuity Personnel in support of the [Organization Name]'s Continuity of Operations (COOP) Plan. For the COOP plan, Continuity Personnel are positions that must be occupied during an emergency or continuity event without seriously impairing the capability of [Organization Name] to function effectively.

In this Continuity Personnel position, it is required that you perform assigned duties to support mission requirements during periods of an emergency or continuity event until relieved by proper authority. You are also required to be ready to perform these duties independently or in conjunction with other personnel in the same locality or at any assigned site as designated by [Organization Name] management.

You should be aware that when notified of an emergency or continuity event, you must attempt to report for duty, or if not possible, to contact [Supervisor] to obtain reporting instructions. Further, if the alternate Continuity Personnel are not available to report for duty, it should be assumed that all approved leave is automatically cancelled at such time and those employees who are on leave or are scheduled to take leave will be expected to report for duty.

This position requires the designation of Continuity Personnel. A Continuity Personnel designation is an incumbent of a position who must report for duty and can be deployed to ensure that the functions of the [Organization Name] continue without regard to length of time or duty location. The incumbent also may be required to take part in continuity exercises.

[Signature]

[Title]

_____ I agree to be assigned to this Continuity Personnel position, [Title], and to perform the assigned duties in support of the [Organization Name]'s Continuity of Operations (COOP) Plan.

(Employee Signature)

(Date)

ORDERS OF SUCCESSION TOOL

Orders of Succession Designation Letter

[Name of Person Letter Is To]

[Title]

[Agency]

[Street Address]

[City, State Zip]

¶

SUBJECT: Notification of Appointment to Continuity of Operations Orders of Succession Position

Dear [Title and Name],

¶

As part of the [Organization Name]'s Continuity of Operations Plan, your position is appointed as a successor to the following positions:

- [Enter each successive position], [enter position i.e. 1, 2,etc]
- [Enter each successive position], [enter position i.e. 1, 2,etc]
- [Enter each successive position], [enter position i.e. 1, 2,etc]

Please read the attached roles and responsibilities for each of the positions stated above. If you have any questions, please contact [enter name of primary position holder, human resources contact, etc].If you do not wish to be considered for any of the above positions, talk to your supervisor about your concerns and he/she will contact [Organization Name] COOP Program Manager/Planner, and a determination will be made regarding your position. Thank you for being a part of [Organization Name]'s continuity culture.

¶

Sincerely,

¶

¶

¶

[Name]

[Title]

[Agency]

DELEGATION OF AUTHORITY TOOLS

Delegation of Authority Memo

Pursuant to [Organization Name]’s Continuity of Operations (COOP) Plan, I hereby authorize _____ [Name] to act as _____ [Title] for operations under the [Organization Name] COOP Plan.

In the event that I become incapacitated or unavailable I hereby delegate _____ [Name] all authority to provide continued operations to the county under the COOP Plan and to act on behalf of and with the authority of the [Organization Name] _____ [Department] in carrying out those operations within the scope of the [Organization Name] essential functions and mission.

This delegation continues for a period of up to thirty days or until earlier modified, appointed, or terminated by the [Organization Head Title] of the [Organization Name].

If both _____ [Name] and I are incapacitated or unavailable I hereby delegate _____ [Second Name].

[Date] [Department Head]

Delegation of Authority Letter

Delegation of Authority and Succession for the [Insert Title of Key Position]

Purpose

This is a delegation of authority for the continuity of essential functions through the orderly succession of key positions at the [Organization Name] to the [insert Title of Key Position] in case of the [Key Position Title]'s absence, a vacancy at that position, or the inability of the [key position] to act during a disaster or national security emergency.

Delegation

I hereby delegate authority to the following positions, in the order listed below, to exercise the powers and perform the duties of the [Title of Key Position], in case of my absence, inability to perform, or vacancy of the position and until that condition ceases. In the event that the [insert title of key Position] is vacant, the [Insert Successor Title] shall act until a successor is appointed.

1. [Insert person's name here]
2. [Insert person's name here]
3. [Insert person's name here]

The individual serving in the #1 position identified above, is hereby designated the "First Assistant." If this position is vacant, the next designated position in the order of succession may exercise all the powers, duties, authorities, rights, and functions of the [insert title of key position], but may not perform any function or duty required to be performed exclusively by the office holder.

Eligibility for succession to the [insert title of key position] shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only positions specifically designed in the approved order of succession are eligible. Persons appointed on an acting basis, or on some other temporary basis, are ineligible to serve as a successor; therefore, the order of succession would fall to the next designated official in the approved order of succession.

The [key position title] may review and execute, on my behalf, the following items with the indicated restrictions and limitations:

1. Spending including contracts
 - a. Spending up to \$_____.
 - b. [insert other spending limitations here]
2. Employment
 - a. Hiring
 - b. Termination
 - c. Changes in employment status (promotions, demotions, etc)
3. Execution of legal documents

- a. Non spending contracts
- b. [insert other legal documents here]

The effective date of this delegation is [specify] and shall run [indicate time limit if any; if none, indicate that it shall run until revoked by delegating official or his/her successor].

The [key Position]’s order of succession is established by the [Organization Supervisor/Manager Title]. Upon assumption of the duties of the [key Position], the successor will:

- Notify the [Organization Name] Continuity Manager and [additional recipients].

The [Organization Name] Continuity Manager will advise:

- [Organization chain of command, as relevant].
- [Organization Name] partners.
- Other appropriate state departments and agencies.

The successor, in consultation with the [Organization Name] Continuity Manager, will do the following when facing the issue of succession:

- Confirm that the incumbent is debilitated or incapable of performing his/her legal authorized duties, roles, and responsibilities.
- Determine which official, by precedence in line of succession, is capable of assuming the role of the incumbent.
- Coordinate with legal authority, if appropriate.
- Notify appropriate authorities when succession occurs.

Authorities

[Insert applicable authorities here]

Cancellation

[Insert previous Delegation of Authority] to the [key Position Title] is hereby rescinded.

[Organization Head Signature]

[General Counsel Signature]

[Organization Head Name]

[General Counsel Name]

[Organization Head Title]

[General Counsel Title]

[Organization Name]

[Organization Name]

[Date]

[Date]

ESSENTIAL FUNCTION IDENTIFICATION TOOL

This tool helps organizations determine their essential functions. It also helps prioritize essential functions, as not all can be a high priority for recovery. Those functions that are determined to be essential will then be used as part of the Process Analysis tool and be placed in the COOP Plan. The first column is an example.

Step 1: In the first row, enter what your organization does.

Step 2: Enter the description of what your organization does or why it exists. Be as specific as necessary. This is a function.

Step 3: Enter reasons or requirements to perform this function. Type in the exact requirement, for example, if the function is in ARS then indicate ARS i.e. ARS 26-101, etc.

Step 4: Enter internal and external customers for this function. This information will also be used during the Process Analysis.

Step 5: Answer the timing question and provide details if appropriate. For example, fiscal deadlines or voting deadlines, etc.

Step 6: Enter the priority of this function as High, Medium, or Low. This section will be used for reconstitution/recovery.

Step 7: Based on the information above and definitions below determine the type - essential, essential support activity, protection, or reconstitution.

Step 8: If this function cannot be put into one of the four categories in step 7, it is likely not essential. Enter essential or non-essential. Use the essential functions to complete the Process Analysis tool and the Essential Function section in the COOP Plan.

Definitions

Essential function - functions that enable agencies to provide vital services, exercise civil authority, maintain the safety and well being of the citizens, and sustain the industrial and economic base in an emergency. For example, ensuring continuous prison system security is an essential function.

Essential support activity - critical functions that an organization must continue during continuity activation, but that do not meet the threshold for essential functions. For example, maintaining emergency vehicles.

Protection –functions that protect or preserve people, records, equipment, and facilities, they may not be required during a continuity event, but that will be required when normal operations resume. For example, preserving and protecting community records is a protection essential function.

Reconstitution - the process by which surviving, replacement personnel, or both resume normal operations from the original or replacement primary operating facility. For example, inspecting buildings to make sure that they are safe to reoccupy is a reconstitution essential function.

Essential Function Identification				
Function Name	e.g. Food services			
Function Description	e.g. Provide daily meals and dietary needs for inmate populations, as required.			
Requirement(s) to perform the function Statute, Regulation, Legal Authority, Mission Statement, Executive Order, Grant requirement, etc	e.g. State statutes, policies and procedures (be as specific as possible)			
Customer(s) Include Internal & External	e.g. Staff, inmates, Trinity Food Services, and outside food vendors, such as Shamrock.			
Timing Does this function have to be performed at a specific time of the day/week/month/year? If yes, specify.	e.g. Three times a day			
Priority (High/Medium/Low)	e.g. High			
Type: Essential function / essential support activity / Protection / Reconstitution (See definitions above)	e.g. Essential support activity			
Essential/Non-Essential	e.g. Essential			

PROCESS ANALYSIS TOOL

This tool is used to determine what processes are important to perform the essential functions determined in the Essential Function Identification tool. This information will also be useful for the Impact Analysis tool.

1. Evaluate the entire process for each essential function.
2. First row should be your essential functions from the Essential Function Identification tool. Answer each of the questions in each section. The first column is an example.
3. The answers may reveal gaps and therefore help the organization determine priorities for mitigating those gaps. Gaps should be notated on the Mitigation Strategies Tool for further review and implementation.
4. Information obtained throughout this tool may be attached to the COOP Plan as an SOP.

Process Analysis				
Essential Function	e.g. Food services			
Outputs What products or services does your organization produce or deliver?	e.g. Three nutritious meals per day			
Inputs 1. What are the inputs your organization relies on to accomplish each function? 2. Does this function depend on any outside services or products?	1. Food supplies on hand and number of inmates requiring services, number of specialized diet requirements 2. Yes, food supplies			
Partners and Interdependencies 1. What partners required for this function? 2. Who provides input and who gets input from you? 3. Who are your critical suppliers/vendors?	1. Shamrock Foods Golden Star Foods 2. Cooks and food service provider supervisors request and order food through warden to food vendor.			

Process Analysis				
	3. See answer from 1.			
Leadership What role does leadership play in your organization's functions i.e. authority, signatory, approval, etc?	e.g. Food service provider supervisors review order requests and the warden approves for purchase.			
Staff 1. What are the staff/personnel requirements to perform your organization's functions? 2. What skills are required? 3. How many people (include shift work requirements)? 4. Are there specific qualifications required?	1. 5 cooks, 1 food service provider supervisor, 1 quality control supervisor for receiving goods 2. Some specialized skills to include food handler training. 3. 6 per day 4. Food handler certification, supervisory training/certification			
Comms and IT 1. What communications and IT are required to perform your organization's functions? 2. Include IT systems, such as radio, video, satellite, telephones, emergency notification systems, hard copy.	1. Voice, electronic communications 2. Telephone, email, software to fill out order forms, copier.			

Process Analysis				
<p>Facilities</p> <p>1. What facilities are required to perform each function?</p> <p>2. Will any office with phones and computers work, or do you need special space requirements? (secure, storage, clean space)</p>	<p>1. Kitchen to include prep, cook, refrigeration, freezer, and sterilization capabilities.</p> <p>2. No, space needs to meet OSHA and FDA cleanliness regulations.</p>			
<p>Other Resources & Budgets</p> <p>1. What other resources and funding will be required to ensure performance of your organization's functions?</p> <p>2. Will special funds be needed to make purchases?</p> <p>3. How are funds authorized?</p> <p>4. Do you need vehicles, supplies, etc not already discussed?</p>	<p>1. Funding to purchase food supplies. Standard cleaning, prepping, and cooking supplies.</p> <p>2. No.</p> <p>3. Warden approves all funds within State Legislature approved biennial budget process.</p> <p>4. No</p>			
<p>Describe/Show Process Flow</p> <p>This may be in narrative or diagram form.</p>	<p>A. Corrections staff provide headcount for meals to food service provider supervisor.</p> <p>B. Food provider supervisor assigns cooks to fulfill meal requirements.</p> <p>C. Cooks inventory food supplies against pre-approved menu. Any replenishments go on order form to food provider supervisor.</p> <p>D. Food provider</p>			

Process Analysis				
	supervisor reviews order form, gives to Warden for approval. E. Warden approves order form, gives to food provider supervisor for purchasing. F. Food provider supervisor emails form to food vendor. G. Food vendor fills order and delivers to facility. H. Upon arrival quality control supervisor reviews order form, approves/disapproves. I. If approved, order is received. J. If not, grievance is placed with vendor. K. Once order has been approved and received, cooks store items. L. Cooks prepare menu for each meal. M. Once meal service has concluded, cooks clean kitchen, prepare again			

MITIGATION STRATEGIES TOOL

For each strategy, the following elements should be identified:

- **Project Name & Description** – a brief description of the strategy.
- **Hazard(s) Mitigated** – a list of the hazard/s mitigated by the strategy.
- **Estimated Costs** – cost estimate that may be a dollar amount or estimated as staff time.
- **Anticipated Completion Date** – a general timeframe for completing the strategy.
- **Primary Agency/Department** – the agency or department that will have responsibility for the strategy and its implementation. For example, if a strategy is to migrate from local network servers to the Cloud, the primary agency/department may be the organization’s IT department or an outside vendor with an organization project manager.
- **Potential Funding Source(s)** – the source(s) of anticipated funding for the strategy.
- **Priority Ranking** – each strategy may be assigned a priority ranking of either “High”, “Medium”, or “Low”.
- **Status** – during reviews of the COOP Program, the status of the mitigation strategies should be assessed allowing for carry forward of those that have not been completed.
- **Disposition** - during reviews of the COOP Program, the mitigation strategies should be reviewed and each strategy should have a disposition. This will also allow for carry forward of those strategies that are not designated as “Delete”.

Explanation or Brief Description – provide either a brief description of the status of the project or provide an explanation or comments regarding the project.

Continuity Mitigation Strategies							
Name & Description	Hazard(s) Mitigated	Estimated Cost/ Completion Date	Project Lead	Potential Funding Source(s)	Priority • High • Medium • Low	Status/ Disposition • No Progress • In Progress • Complete • Keep • Delete Keep, revise	Explanation or brief description of work

IMPACT ANALYSIS TOOL

The tool will identify critical business functions and describe what would be necessary to recover these functions, in the event of a disaster or disruption in service. Gathering this information will help your organization develop a COOP Plan and will allow for the prioritization of available equipment and resources, were an event to occur. You are being asked to answer these OIA questions for your section because of your knowledge of your section and its processes and resources.

For the purpose of answering the tool questions, assume the following:

- Worst-case scenario is defined as a total outage for an extended period of time during peak processing.
- No current disaster recovery capability exists; pretend you are working with a “blank slate” as you answer questions.
- Don’t focus on immediately restoring all services; instead, you are trying to quickly restore enough for essential functions.

The completed Impact Analysis tool will provide each section with the following information:

- Ranking of critical and non-critical business processes.
- Assignment of Recovery Time Objectives (RTOs) and Recovery Priority Objectives (RPOs) for each business process.
- Document listings of key vendors, systems, and vital records.
- Estimates of the qualitative and quantitative impact impacts of an event, based upon duration of unplanned disruption. (e.g. 24 hours, 48 hours, 5 days, etc.)
- An overview of what would be necessary to recover the functions of the section or program.
- Information for the completion of the COOP Plan.
- Gaps or shortages that can then be used to help determine mitigation strategies. (See Risk Management Annex of the Arizona Continuity of Operations Program Document)

Timing Impact

Step 1: Place your essential functions (from the Essential Function Identification tool) in the essential function column.

Step 2: For each essential function, consider the processes required to provide that function. List them in the process column.

Step 3: Does this specific process have to be performed at a specific time or day/week/month/year? If you used the Essential Function Identification tool, use your answers to help guide you on the processes. Go to the next section if you answered yes.

Essential Function	Process	Y	N	Comments
e.g. Inmate Health Care	Health Needs Request	Y		Response within 24 hours – begins the process

Monthly Impact

Step 1: Place your essential functions (from the Essential Function Identification Tool) in the essential function column.

Step 2: For each essential function, consider the processes required to provide that function. List them in the process column.

Step 3: Consider seasonality i.e. which periods of the year are more critical than others for each essential function. Rate them as red (high), yellow (medium), or green (low) throughout the year. When a function is in the high category, you may need to plan differently for these times.

Essential Function	Process	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Comments

Key Deliverables

Some essential functions may be more crucial at certain times of the month/year etc. Please indicate below where there are any such requirements. This helps identify where you may want to see recovery priorities focused or changed in your COOP plan. Examples may include where there is a statutory duty for you to deliver a service or an activity that only takes place at a certain time of year and to not deliver these duties would create a serious issue for your organization to cope with i.e. elections.

Step 1: Enter key deliverable.

Step 2: Enter the essential function that is responsible for the deliverable.

Step 3: Enter the day and time that the key deliverable is due.

Step 4: Rank the impact to the organization or customer if the key deliverable is not delivered on time as High, Medium, or Low.

Key Deliverable	Essential Function Responsible for Deliverable	Day / Time Due	Impact if not Delivered (High, Medium, Low)	Comments
e.g. Health Needs Request Form	Inmate Health Care	Daily	High	24 hour requirement to be seen once HNR is received

Duration

Step 1: Enter your essential functions.

Step 2: Enter an essential function process.

Step 3: Identify the duration of the interruption or point in time when the operational, financial, or both, impact(s) will occur.

Essential Function	Process	< 1 hr	>1hr but <8 hr	>8 hr but <24hr	>24hr but <72 hr	>72 hr but <1wk	>1wk but <1 m	> 1m	Comments
e.g. Inmate Health Care	Health Needs Request			X					
	Medical Evaluations				X				Based upon severity of injury or illness

Financial/Reputation Impact

This section asks you to describe the impact of not delivering each of the business functions you identified.

Step 1: Enter the essential function.

Step 2: Where applicable, for every normal business day that the function cannot be performed, determine the impacts for each of the columns. You should decide how you rate these impacts in your organization and what each category means. This will be different for all organizations. You may choose to have High, Medium, Low or a numbering system e.g.1-4.

Essential Function	Loss of revenue	Legal liability, personal damage, public harm	Loss of good will, poor public image, embarrassment	Effect on dept / agency objectives and schedules	Comments

Operational Impact

Staff Dependencies

Give details of locations from which your service(s) is/are delivered or managed and the approximate numbers of staff based in each location. Please also indicate whether staff could work remotely and whether arrangements to do so are already in place.

Information like this is useful because it can help identify alternative premises or ways of working that may be available to your organization, particularly if it operates from more than one building. If you have more than one site, you may want to think about expanding your COOP plan to include site-specific information.

Step 1: Enter a location of your organization or service location.

Step 2: Enter the building owner (if known) in the building owner column. The responsibility for relocation may change depending on whether you own/manage your building.

Step 3: Do you share your building with anyone else? Y/N. Your plans may need to be coordinated with other organizations or with the requirements of the building owner e.g. Emergency Action Plans, etc.

Step 4: Enter the number of staff that are either based in that location or work from that location.

Step 5: Enter the number of staff that work remotely or from home.

Step 6: Enter the number of staff that could work at an alternate or continuity site.

Step 7: Provide the details of any alternate working arrangements that are currently in place, i.e. telework, remote, etc.

Location	Building owner	Shared building ? Y/N	# of staff based in / working from location	# of staff that could work remotely / telework	# of staff that can work at alternate site	Details of alternate working arrangements

Technology Dependencies

It is useful to communicate relevant findings of this section with IT service providers (either internal or external) to help specify your technology requirements and the service levels you expect in a recovery situation.

This information will be used in the COOP Plan under the alternate capabilities and possibly the communications sections.

Does the function require a dependency on any technology (hardware or software)? Y/N If you answered yes, please follow the steps below:

Step 1: Enter the essential function in the essential function column.

Step 2: Enter the specific hardware, software, or both for the essential function.

Essential Function	Dependency	Comments

Recovery Time Objective and Recovery Point Objective

This section asks you to identify the Recovery Time Objectives (RTO) and the Recovery Point Objectives (RPO) for each essential function. It is important to give these areas some thought because they will help you to determine the priorities for recovery, the minimum resources required for recovery, and the order of recovery for the different functions.

RTO is defined as how quickly the process must be restored following a disaster. The RTO is an estimate of how long the process can be unavailable. This is the boundary of time within which a business function must be accomplished to avoid the unacceptable consequences associated with a disruption (this does not include the resources that are required).

It may be useful to consider the RPO for the different systems used by your organization. This describes the point in time to which data must be restored in order to be acceptable to the owner(s) of the processes supported by that data. This is often thought of as the time between the last available backup and the time a disruption could potentially occur. The RPO is established based on the agreed tolerance for loss of data or re-entering of data.

This information will be used for the reconstitution section of the COOP Plan.

Step 1: Enter the essential function in the essential function column.

Step 2: Enter the RTO using hours, days, or weeks into the RTO column.

Step 3: Enter the RPO objective using the list below the table in the RPO column.

Essential Function	Recovery Time Objective	Recovery Point Objective	Comments
<u>RPO List</u>			
Last back-up	(generally the previous close of business)		
Replication	(intraday)		
Last Key Stroke	(real time)		
Functionality only	(data backup not required)		

Resource Requirements

This section asks you to list the resources required to restore a function against what you normally use. Then, when you are planning you can ensure that you have available or can quickly obtain the resources that are needed to restore the function. Add/remove resource types according to the needs of your organization.

Step 1: For each row, enter the number of items required on a normal day-to-day basis.

Step 2: Enter the number of items required within the timescale to restore or recovery from the incident.

Step 3: Enter the impact, using high, medium, or low, on the function if the specific resource is not available.

Step 4: Enter if there are any contingency arrangements in place for managing this gap. Use this information for your Mitigation Strategies tool.

Requirement by Timescale										
Resource Type	Normal Requirement	1hr	3hrs	1 day	3 days	1week	1month	Impact (H, M, L)	Contingency Arrangement(s)	Comments
Staff	E.g. 30	7	15	25	30	30	30	H	E.g. agreement with temp agency to supply staff within 3 hours	
Work station (Desk, PC & Telephone)	E.g.30	0	0	1	1	1	5	L	E.g. All staff set up to work from home	
Specialist IT applications										
Buildings (e.g. for delivery of service)										
Office space (e.g. reception storage)										
Special equipment										
Data										
Internet Access										
Networked PCs										
Laptops										
Landlines										
Mobile Phones										
Fax Machine										
Work Vehicles										
Car Parking										
Other, Specify										

Stakeholders and Interdependencies

Identify who you depend upon to deliver your service function (dependencies), who relies on your function being delivered successfully (dependents), and who needs to be informed (interested parties). If you have more than one key supplier, they each should to be considered separately in the table below. By answering questions about contingency arrangements of your key supplier(s) and if they can continue to meet your needs in the event of an incident affecting them, this ensures arrangements to be set up as appropriate.

This information should be used during the Continuity of Operations Phase and Communications sections of the COOP Plan.

Does this function depend on any outside services or products for its successful completion? Y/N If Yes, then follow the steps below:

Step 1: Enter the name of the stakeholder.

Step 2: Enter whether this stakeholder is an external or internal customer.

Step 3: Enter the relationship as described above.

Step 4: Enter if there are any contingency arrangements in place for this stakeholder.

Name	Type <ul style="list-style-type: none"> • External • Internal 	Relationship <ul style="list-style-type: none"> • Dependency • Dependent • Interested Party 	Contingency arrangement in place? Y/N	Comments

Single Points of Failure

This section asks you to identify any ‘single points of failure’ for your organization so adequate contingency measures can be put in place. Using the information in the resources and stakeholder sections indicate any factors that, if they were not available would mean that your service could not operate.

The information from this section can be used for the Mitigation Strategies Tool.

Step 1: Enter the essential function in the appropriate column.

Step 2: Enter the name of the responsible person for this essential function.

Step 3: Enter the resource that the function could not operate without (i.e. specially trained staff, a supplier, a piece of equipment etc).

Step 4: Enter any back up arrangements that maybe formally or informally in place.

Step 5: Provide any suggestions for improving the resilience on this essential function.

Essential Function	Responsible Person	Resource	Back up Arrangements	Resiliency Suggestions	Comments
E.g. telephone contact center	Joe Bloggs	Switchboard System	Recovery site options identified	Enter into formal agreement with recovery site operator	
E.g. telephone contact center	John Smith (internal IT support)	Specially trained staff	Using an External Agency to identify staff with the same areas of expertise	Training for other internal IT staff. The production of guidance notes to share knowledge internally.	

Potential Anticipated Changes

Step 1: Are there any anticipated changes over the next 12 months that could impact either the essential functions or processes? If Y, then put in comments what the potential change may be.

Step 2: How would financial and operations business impacts change under any of the above conditions (budgets, lost revenue, employee morale, stakeholder confidence)? Enter these impacts in comments as well.

	Y/N	Comments
New/changes to laws/regulations		
Reorganizations		
Computer Systems/Networks		
New Partnerships		
Changes in Facilities		

CONTINUITY OF OPERATIONS PLAN TEMPLATE

Insert plan cover page here.

The [Organization Name] Continuity of Operations Plan is led by the [Continuity Division/Department, if applicable]. For more information on this plan, contact:

[COOP Program Manager/Planner Name]

[Title]

[Email address]

[Phone number]

CONTINUITY OF OPERATIONS PLAN TEMPLATE INSTRUCTIONS

This template provides instructions, guidance, and sample text for the development of continuity of operations (COOP) plans. It is highly recommended that the preparer of this document reads and understands the Arizona Continuity of Operations (COOP) Program document located at dema.az.gov/emergency-management/preparedness/planning-branch.

By using this planning template, organizations will address each of the planning elements and requirements. Based on the key elements of a viable continuity capability, the template describes content for each section of a COOP plan and includes sample text, tables, and graphics which may be modified as appropriate.

This template is organized in a flexible format so organizations may expand or contract sections of the template to develop and improve their plan. Organizations will need to tailor the template to meet their specific continuity planning requirements.

The Base Plan is used for all sections that are overarching in an organization. The Annexes and Supplemental Information sections should be used for devolution and reconstitution information, material that changes frequently, quick reference material, and standard operating procedures (SOPs).

- Instructions are at the beginning of each section and should be deleted along with this page when your plan is developed.
- Sample text is in **boxes** and indented for ease of location.
- Questions are intended to provide thinking points during a continuity event that you may include in your plan.

LETTER OF PROMULGATION

Insert a copy of the signed promulgation letter here.

[Organization Name] maintains the Continuity of Operations (COOP) Plan as a living document intended to be continuously reviewed and revised, with input from all stakeholders, to guarantee the most current plan possible.

PLAN REVIEW, EVALUATION, AND CHANGES			
Date	Summary of Activity	Plan Section	Recommendation By Entry Made By

[Organization Name] is committed to ongoing training, exercise, and engagement of the COOP Plan, to validate the [Organization Name]’s continuity capabilities.

TRAINING, EXERCISE, AND ENGAGEMENT ACTIVITY

Date	Summary of Activity	Partners Involved	Entry Made By

The following table may be helpful for organizations that are EMAP accredited.

The State of Arizona emergency management enterprise follows the 2016 EMAP Standards to ensure a quality program. Arizona was first accredited in 2004, and was reaccredited in 2009 and 2015.



EMERGENCY MANAGEMENT ACCREDITATION PROGRAM (EMAP)			
EMAP Standard	Standard Component	Plan Section	Page Number
4.4	Operational Planning and Procedures		
4.4.2	The Emergency Operations, Recovery, Continuity of Operations and Continuity of Government Plans address the following:		
	(1) purpose and scope or goals and objectives	Purpose, Scope, Situation Overview, and Assumptions	
	(2) authority	Authorities and References	
	(3) situation and assumptions	Purpose, Scope, Situation Overview, and Assumptions	
	(4) functional roles and responsibilities for internal and external agencies, organizations, departments and positions	Organization and Assignment of Responsibilities	
	(5) logistics support and resource requirements necessary to implement the Plans	Logistics	
	(6) concept of operations	Concept of Operations	
	(7) a method and schedule for evaluation, maintenance, and revision	Plan Development and Maintenance	
4.4.5	The Emergency Management Program has Continuity of Operations (COOP) Plan(s) that identify the essential program functions and describe how those functions will be continued and recovered. Each organization performing essential program functions has a COOP Plan that identifies the following:		
	(1) processes and functions that must be maintained		
	(2) essential positions		
	(3) lines of succession		
	(4) how critical applications and vital records will be safeguarded		
	(5) communications resources		
	(6) priorities for recovery of processes, functions, critical applications and vital records		
	(7) alternate operating capability and facilities		

EMERGENCY MANAGEMENT ACCREDITATION PROGRAM (EMAP)			
EMAP Standard	Standard Component	Plan Section	Page Number
4.4.7	The Emergency Management Program has procedures to implement all Plans identified in Standard 4.4.1. Procedures are applicable to all hazards identified in Standard Procedures reflect operational priorities including:		
	(1) life, safety, and health		
	(2) property protection		
	(3) environmental protection		
	(4) restoration of essential utilities		
	(5) restoration of essential program functions		
	(6) coordination among appropriate stakeholders.		
4.4.9	The Emergency Management Program has a method and schedule for evaluation, maintenance, and revision of the procedures identified in Standards 4.4.7 and 4.4.8.		

BASE PLAN

INTRODUCTION BP-1

PURPOSE, SCOPE, SITUATION OVERVIEW, AND ASSUMPTIONS..... BP-1

 Purpose..... BP-1

 Scope..... BP-1

 Situation Overview BP-2

 Planning Assumptions BP-3

CONCEPT OF OPERATIONS..... BP-3

 Pre-Event Phase: Readiness and Preparedness BP-3

 Phase 1: Activation BP-4

 Phase 2: Continuity Operations..... BP-7

 Phase 3: Reconstitution Operations BP-7

ESSENTIAL FUNCTIONS BP-9

POSITIONS, ROLES, AND RESPONSIBILITIES BP-9

ORDERS OF SUCCESSION..... BP-10

DELEGATION OF AUTHORITY BP-11

ESSENTIAL RECORDS BP-11

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LOGISTICS & RESOURCES..... BP-13

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TEST, TRAINING, AND EXERCISE..... BP-16

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AUTHORITIES AND REFERENCES..... BP-17

ANNEXES

DEVOLUTION ANNEX A-1

RECONSTITUTION ANNEX..... A-1

SUPPLEMENTAL INFORMATION

QUICK REFERENCE INFORMATION SI-1

EMPLOYEE CONTACT LIST SI-2

ESSENTIAL RECORDS LIST SI-2

EMERGENCY SUPPLY KITS SI-2
STANDARD OPERATING PROCEDURES/CHECKLISTS SI-2
ACRONYMS/GLOSSARY SI-2

INTRODUCTION

This section stresses how the Continuity of Operations (COOP) Plan supports the organization's mission and that continuity of operations under any circumstance is needed to ensure there is minimal disruption in service.

The [Organization Name] Continuity of Operations (COOP) Plan is an all-hazards plan addressing the [Organization Name]'s hazard and threat environment, including natural, technological, and human-caused emergencies and disasters.

The plan is designed as a high tier Whole Community document identifying the [Organization Name]'s roles and responsibilities during a continuity event. The COOP Base Plan does not include procedures. However, the procedures are attached as annexes.

The COOP Plan integrates, supports, and is consistent with all applicable federal and state guidance, as listed in the Authorities and References section, and utilizes the Arizona COOP Program document and Emergency Management Accreditation Program (EMAP) standards as a basis for its structure.

PURPOSE, SCOPE, SITUATION OVERVIEW, AND ASSUMPTIONS

Purpose

This section explains why COOP planning is important to the organization and why the COOP Plan exists. It may also discuss the background for planning, referencing recent events that have led to an increased emphasis on the importance of a continuity capability for the organization.

The purpose of this COOP Plan is to provide the framework for [Organization Name] to continue essential functions in the event of an emergency that affects operations. This plan establishes the [Organization Name]'s COOP capability for addressing three types of extended disruptions:

- Loss of access to a facility.
- Loss of services due to a reduced workforce (for example: pandemic influenza).
- Loss of services due to equipment or systems failure.

This plan provides implementation strategies for [Organization Name]'s Continuity Personnel to continue essential functions during any disruption for up to 30 days.

Scope

This section describes the organizational elements (e.g. divisions, offices, departments) covered by the plan, the times during which the plan is in effect, and its distribution. It also describes the organization's mission and goals.

This plan applies to [Organization Name] personnel in all departments and all locations where essential functions are conducted. It also applies to all events and hazards that could threaten the organization and its performance of essential functions.

The COOP Plan is applicable to the following departments:

- [Organization Name] Headquarters
- [Organization Name] Division of Receivables
- [Organization Name] Division of Deliverables

The COOP Plan does not apply to temporary disruptions of service, including minor IT system or power outages and any other scenarios where essential functions can be easily and readily restored in the primary facility within 4 hours during normal working hours.

The COOP Plan has been distributed to [Organization Name] senior leadership, and training has been provided to personnel with identified responsibilities.

The COOP Plan outlines the actions that will be taken to activate a viable COOP capability within 4 hours of an emergency during normal working hours and within 12 hours outside of normal working hours and to sustain that capability for the first 30 days.

The COOP Plan covers all facilities, systems, vehicles, and buildings operated or maintained by [Organization Name]. The COOP Plan supports the performance of essential functions and provides for continuity of management and decision-making at the organization if senior leadership or essential personnel are unavailable.

Situation Overview

This section addresses the situations that may influence COOP planning, such as number of personnel affected, whether the organization is in a rural or urban area, size of the primary facility, and other details.

The following situations impact [Organization Name]'s COOP Plan:

- [Organization Name] is in [Location], a complex urban environment.
- The [Organization Name]'s primary facility houses multiple departments, including administration, human resources, operations, etc. There are approximately 40 total personnel, in addition to 20 contractors, and typically 10 to 20 organization visitors daily.
- The [Organization Name]'s primary facility is located adjacent to railroad tracks and highways that carry hazardous materials. In the past, there were over 25 accidents on those highways closest to the primary facility, two of which affected [Organization Name]'s operations.

Planning Assumptions

This section lists the planning assumptions that guide the development of the plan, such as the training of personnel, resources available at primary and alternate facility locations, and other considerations.

Emergencies and disasters can occur with little or no warning, potentially causing significant loss of life and environmental and economic damage. In an emergency, it will be necessary to continue [Organization Name]'s essential functions to respond to day-to-day needs of customers and stakeholders. These disasters are considered continuity events.

Employees who have been assigned specific responsibilities within the COOP Plan are trained in their roles and are willing and able to carry out their responsibilities.

As part of their commitment to this plan, [Organization Name]'s COOP Program Manager/Planner will engage in systematic assessments of procedures, resources, and training to ensure continued ability to carry out its responsibilities as outlined in this plan.

CONCEPT OF OPERATIONS

This section explains how the organization will implement the COOP Plan and specifically address each continuity element. This section should be separated into four phases: Readiness and Preparedness, Activation, Continuity Operations, and Reconstitution Operations. When applicable, devolution planning strongly correlates in each phase but is addressed in a separate section.

Pre-Event Phase: Readiness and Preparedness

This section addresses the readiness and preparedness activities that ensure personnel can continue essential functions. Readiness is the ability of an organization to respond to a continuity event. This phase includes those readiness and preparedness activities and systems that are applicable to this plan.

The [Organization Name] will participate in the full spectrum of readiness and preparedness activities to ensure personnel can continue essential functions in an all-hazard/threat environment. This will include having a continuity culture throughout the [Organization Name]. [Organization Name]'s readiness activities are divided into two key areas:

- Organization readiness and preparedness
- Staff readiness and preparedness

Organization Readiness and Preparedness

[Organization Name]'s preparedness activities incorporate hazard/threat warning systems, which includes:

- NOAA Weather Alerts

- USA State Threat Alerts
- Communications Broadcaster
- Local news and social media

The [Organization Name] also creates a continuity culture as part of their preparedness, which includes robust personal and organizational preparedness, mitigation efforts for resiliency, and a Test, Training, and Exercise (TT&E) program.

Staff Readiness and Preparedness

[Organization Name] personnel will prepare for a continuity event and plan for emergencies and disasters. Personnel will also develop a Family Support Plan to increase personal and family preparedness. The Arizona COOP Program document and the ready.gov/responder website provide guidance for developing a Family Support Plan and emergency supply kits.

[Organization Name] Continuity Personnel will create and maintain emergency supply kits and be responsible for carrying these to the alternate facility.

In addition, the [Organization Name] will conduct the following continuity readiness and preparedness activities:

- Monthly staff meetings to include mini table top exercises
- Quarterly telework drills
- Annual review inventory of all emergency supply kits and relocation drills

Phase 1: Activation

This section explains what strategy/process will be used to activate the COOP Plan to maintain operational capability with minimal disruption.

To ensure the ability to attain operational capability and with minimal disruption to operations, the [Organization Name] will activate the COOP Plan and the Devolution Plan, as applicable, in accordance with the following sections.

Decision Making

To determine if activation is warranted, consider the following:

- Is there a threat aimed at facilities, surrounding areas, or personnel?
- Are facilities, personnel, or infrastructure affected?
- How long will it take until you can return to normal operations? Will this time change your decision to activate or not?

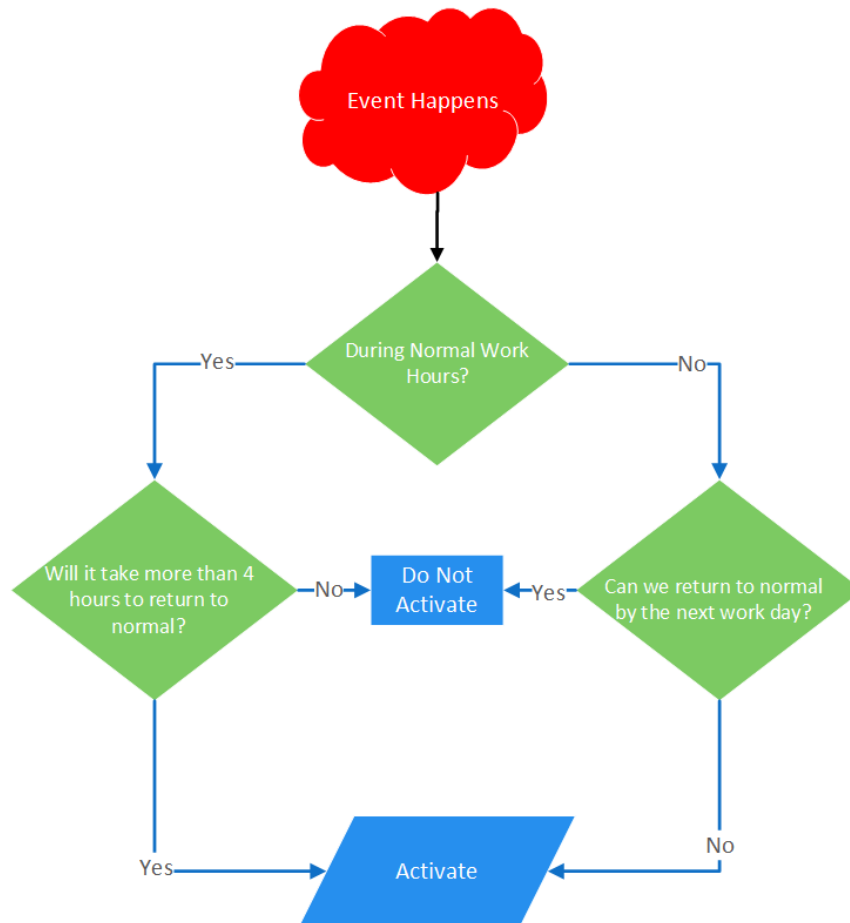
Based on the type and severity of the emergency or disaster, the [Organization Name] COOP Plan may be activated by one of the following methods:

- (1) The state governor, county executive or commissioner, local mayor, city mayor, or city administrator may activate the COOP Plan.
- (2) The [Organization Name] Director, or a designated successor, may activate the COOP Plan for the entire organization, based on an emergency or disaster directed at the organization.
- (3) [Insert additional activation measures here]

COOP Plan activation is a scenario-driven process that allows flexible and scalable responses to the full spectrum of threats and hazards that could disrupt operations at any time.

Sample Decision Making Process				
	During Work Hours	Answer/Action	Outside Work Hours	Answer/Action
Event with Warning	Is the threat aimed at facilities, surrounding areas, or personnel?	Yes / activate No / do not activate	Is the threat aimed at facilities, surrounding areas, or personnel? and	No / do not activate Yes and
	Is staff unsafe remaining in the facility or area?	Yes / activate No / do not activate	Is it safe for staff to return to work the next day?	Yes / do not activate No – activate
Event without Warning	Are facilities and/or personnel affected?	Yes / activate No / do not activate	Is a facility affected? and	No / do not activate Yes and
	How soon must the organization be operational?	Within 4 hours / activate Next business day / do not activate	How soon must the organization be operational?	Within 4 hours / activate Next business day / do not activate

Sample Decision Flow Chart



Alert and Notification

The [Organization Name] maintains procedures for communicating and coordinating activities with personnel before, during, and after a continuity event. These can be found with the standard operating procedures (SOPs) at the back of this plan. However, the communication resources available for use are in the Communications section of this plan.

Upon activation of the COOP Plan, consider the following:

- Who needs to know about this event and activation?
 - Employees
 - Supervisors/leadership/higher authorities
 - Devolution partner
 - Customers
 - Vendors/suppliers
 - Family members

- Media
- What information needs to be included in the notifications?
 - Continuity activation status
 - Operational and communications status
 - Anticipated duration of activation
 - Assignments or tasks to be undertaken

Phase 2: Continuity Operations

This section describes the capability of the Continuity Personnel to continue essential functions. It may also include any pre-determined decisions to relocate to the alternate facility or implement remote or telework locations. All procedures for this section should be located with the SOPs.

Upon activation of the COOP Plan, the [Organization Name]’s staff will continue to operate normally until otherwise ordered by the staff’s higher authority using any available communication method.

The Director or successor, in coordination with the COOP Program Manager/Planner, should consider the following:

- Are all employees, visitors, and contractors/vendors accounted for?
- What functions are affected? Are any of these affected functions essential?
- If the facility is affected, what essential functions and Continuity Personnel should relocate to the alternate facility or should telework be activated?
- If there is not enough Continuity Personnel to perform essential functions, will devolution be necessary? If so, what essential functions should be transferred to the devolution partner(s) and for how long?

Upon activation of the COOP Plan, the [Organization Name] may need to procure necessary personnel, equipment, and supplies that are not already in place for continuity operations. The [Organization Name] Director or successor maintains the authority for emergency procurement. Procurement procedures are located with the SOPs at the back of this plan.

Phase 3: Reconstitution Operations

Organizations should identify and outline a plan to return to normal operations once it is determined that reconstitution operations can be initiated. An organization may choose to develop a reconstitution plan or use the sample text.

To determine implementation strategies, the Director or successor, in coordination with the Reconstitution Manager, should consider the following:

- Is a damage assessment necessary?
- When can the damage assessment start?
- Who is the lead individual to perform the damage assessment?

- Can the primary facility be repaired, or does the organization need a different/new facility?
- Are repairs warranted?
- When can repairs start?
- Who is responsible for managing the repairs?
- Are there any mitigation strategies that can be implemented before reoccupying the facility?

Before returning to the primary facility or another permanent facility, the Director or successor, in coordination with the Reconstitution Manager, should consider the following:

- Is it safe to return to the primary facility?
- Is security sufficient?
- Are health (physical or mental) assessments or health related mitigation strategies warranted?

Upon a decision by the Director, or successor, that the primary facility can be reoccupied or that the organization will be reestablished in a different facility, consider the following:

- Are all systems, communications, and other required capabilities available for normal operations?
- What is the prioritized order of functions, personnel, and records to be brought back to the facility?
- Who should be notified?
 - Employees
 - Supervisors/leadership/higher authorities
 - Customers
 - Vendors/suppliers
 - Family members
 - Media

The [Organization Name] Director, or successor, decides when to initiate reconstitution operations once the continuity event has ended and is unlikely to reoccur.

Once the decision to reconstitute has been made, the following individuals will initiate and coordinate operations to salvage, restore, and recover the [Organization Name]'s primary facility after receiving approval from the appropriate state and local law enforcement and emergency services:

- **The [Organization Name] Headquarters Logistics Manager will serve as the Reconstitution Manager for all phases of the reconstitution process.**

- Each [Organization Name] subcomponent’s designated reconstitution point of contact will work with the reconstitution team during the process.

Once the appropriate [Organization Name] authority has made this determination in coordination with other state, local, or other applicable authorities, one or a combination of the following options may be implemented, depending on the situation:

- Continue to operate from the alternate facility until further notice.
- Reconstitute the [Organization Name] primary facility, and begin an orderly return to the facility by recovering non-essential functions first, then recovering essential functions by order of priority.
- Begin to establish a reconstituted [Organization Name] in another facility or at another designated location.

ESSENTIAL FUNCTIONS

This section includes a list of the organization’s prioritized essential functions. The COOP Plan should identify the components, processes, and requirements that ensure the continued performance of the organization’s essential functions. The information for this section should come from the Essential Function Identification, Process Analysis, and Impact Analysis tools.

The following functions have been designated essential by leadership and are priorities for continuation and recovery.

Essential Function	Prioritization for Continuation and Recovery

POSITIONS, ROLES, AND RESPONSIBILITIES

The organization determines the Continuity Personnel that are fully equipped and authorized to perform the essential functions. Also, consider positions that may not have a specific role or responsibility to a specific essential function but support recovering the organization. Position titles should be used rather than names because personnel may change often, but titles generally do not. Once these positions are identified, the organization should establish and maintain a roster of trained Continuity Personnel. In addition, organizations should identify replacement personnel and augmentees, as necessary. This information should come from the Essential Function Identification, Process Analysis, and Impact Analysis tools.

Rosters, at a minimum, should include names and home, work, and cellular telephone numbers, as applicable. Due to privacy concerns and the need for constant revision, this information should be kept separately or in the Supplemental Information section of this plan.

The following positions have been designated as essential or have a role in [Organization Name]’s continuity, reconstitution, or both, activities. This list also includes their responsibilities.

Day-to-Day Position	Continuity Position	Continuity/Reconstitution Responsibility

ORDERS OF SUCCESSION

This section identifies current orders of succession to the organization head and key positions. Revisions should be distributed to personnel as changes occur. The successor should be notified pre-event in writing. Sample notification documents are in the Arizona COOP Program document.

The Director or successor, in coordination with the COOP Program Manager/Planner, should consider the following:

- Based on the pre-determined key positions, what positions will replace the primary position if that position is vacated, or the appropriate individual is incapacitated, or not available? Having a three-deep succession is a good business practice, but try not to overlap positions.
- Who needs to know that this succession has happened?
 - Higher authority
 - Employees
 - Successors
 - Internal and external partners to include vendors

The following table outlines the orders of succession for key positions within [Organization Name].

Sample Orders of Succession

Position	Successor 1	Successor 2	Successor 3	Successor 4

DELEGATION OF AUTHORITY

This section identifies, by name, the authority for individuals to make key policy, financial, legal, and personnel decisions during a continuity event. A delegation of authority should describe explicitly the authority being delegated, with appropriate limitations. All delegates should be notified pre-event in writing. Sample notification documents are in the Arizona COOP Program document.

The Director or successor, in coordination with the appropriate departments, should consider the following:

- Based on the pre-determined delegations for those personnel that have specific authority (legal, financial, human resources), who can fill the position, and what authority are they given if the primary is not available?
- Who can replace the primary individual if they are incapacitated or not available? Having a three-deep list is a good business practice, but try not to overlap authorities.
- Are there any limitations to this authority?
- When does the authority start and end?
- Who needs to know that this delegation has been activated and deactivated?
 - Higher authority
 - Employees
 - Successors
 - Internal and external partners to include vendors

The following table outlines the delegation of specific authorities, to include triggers and limitations.

Sample Delegations of Authority

Authority	Individual Holding Authority	Successor 1	Successor 2	Successor 3	Triggering Conditions	Limitations

ESSENTIAL RECORDS

This section addresses the essential records management requirements needed to support essential functions during a continuity event. The identification, protection, prioritization for recovery, and availability of essential records (e.g. databases, applications, and hard copy

documents) needed to support essential functions, are critical elements of a successful COOP plan. This information can be found using the Process Analysis and Impact Analysis tools.

The Director or successor, in coordination with the Records Manager, should consider the following:

- What forms, data, applications, and/or records are required to perform the essential functions?
- Where are the records located?
- What software or hardware is needed to create, access, edit, and distribute these records?
- Who has or needs access to these records?
- Is there a duplicate or backup system in place for the records?

The following table documents the essential records required to support the essential functions.

Record Name	Type Paper/Electronic	Location(s)	If Electronic, software/equipment needed to access	Recovery Priority

Note: If the essential records list is more than 1 page long, it is recommended that either the Process Analysis and Impact Analysis tools be revised or the list be added as an annex to the plan.

ALTERNATE FACILITIES

Organizations should identify and maintain at least one alternate facility. The facility should include alternate uses of existing facilities, for the relocation of all necessary staff to support/perform the essential functions. A facility should be identified that is located geographically outside of any threat or hazard that may be affecting the primary facility. An alternate capability may include telework or virtual office options. Use the information from the Process Analysis and Impact Analysis tools.

The following table documents the location(s) of the alternate facilities and capabilities and which essential functions and Continuity Personnel will relocate to which facility/capability.

Essential Function(s)	Primary Location(s)	Alternate Location/Capability

LOGISTICS & RESOURCES

This section addresses the logistical support and resource requirements needed to support essential functions during a continuity event. Resources include people, supplies, equipment, vehicles, and finances. The identification, protection, and availability of these resources are critical elements of a successful COOP plan. Use the information from the Process Analysis and the Impact Analysis tools.

The Director, or successor, in coordination with the COOP Program Manager/Planner and the Logistics Manager, should consider the following:

- Who has replacement resources and where are they located?
- Will special equipment be needed to transport the resources to the specified location?
- Will procurement procedures be required to procure these resources?
- Do you have SOPs for procuring the resources needed to include hiring temporary or replacement personnel? If so, these should be located with the rest of the SOPs.

The following table provides a list of the logistical and resource requirements needed to continue the performance of each essential function.

Essential Function(s)	Supplies/Equipment Needed	Facilities Needed	Staff Needed	Fiscal Requirements

COMMUNICATIONS RESOURCES

This section addresses communications systems needed to ensure connectivity during continuity events. The ability of an organization to execute its essential functions using its continuity capabilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among staff, stakeholders, and customers. Use the information from the Process Analysis and Impact Analysis tools and from the Communications Annex of the Arizona COOP Program document.

The Director or successor, in coordination with the COOP Program Manager/Planner and Logistics Manager, should consider the following:

- Where are the communication resources located?
- Do they have power backup for up to 30 days?
- Are there SOPs for the use of these resources? Have the appropriate personnel been trained on these resources and procedures?

The [Organization Name] has identified available and redundant critical communications systems that are located at the primary and alternate facilities. Further, the [Organization Name] maintains fully capable

communications that support organization needs during all hazards and emergencies to include pandemic and other related emergencies, and consider supporting social distancing operations including telework and other virtual offices as a continuity capability. In addition, the [Organization Name] maintains communications equipment for use by employees with access and functional needs.

All [Organization Name]’s necessary and required communications and IT capabilities should be operational within 4 hours of continuity activation.

Communication Inventory									
Type	Location of Resource	Resource Required	Output Stakeholder	Make/Model of System or Units	# of Units Available	Current Provider	Alternate Provider	Sharable	Comments/Notes

DEVOLUTION

Devolution supports the overall continuity planning effort and addresses the potential inability of the organization’s leadership or staff to support the performance of essential functions. An organization may choose to develop a devolution plan or utilize the sample text provided.

To determine implementation strategies, the Director or successor, in coordination with the COOP Program Manager/Planner and the Devolution Manager, should consider the following:

- Who needs to be notified that devolution has commenced and ended?
 - Devolution partner
 - Higher authority
 - Leadership, staff, vendors, stakeholders, etc.
- Are all or part of the essential functions being devolved? If not all, which ones?
- Does the devolution partner have the correct SOPs to continue their responsibilities in maintaining the essential functions of the primary organization? Are there other SOPs that are devolution specific, such as triggers to activate and deactivate, authorities, communication with primary organization with specific intervals, reconstitution of the primary organization, continuity of the devolution partner where applicable, etc.?

The [Organization Name] is prepared to transfer all or some of its essential functions and responsibilities to personnel at a different location should a continuity event render leadership or staff unavailable to support the execution of [Organization Name]'s essential functions. If deployment of Continuity Personnel is not feasible due to the unavailability of personnel, temporary leadership of the [Organization Name] will devolve to [Devolution Organization Name].

The [Insert office/title] maintains responsibility for ensuring the currency of the [Organization Name] devolution strategy/plan. The [Organization Name] devolution strategy includes the following items:

1. Program plans and procedures, budgeting and acquisitions, prioritized essential functions, orders of succession and delegations of authority specific to the devolution site, interoperable communications, essential records management, staff, TT&E, and reconstitution. These can be found within this COOP Plan or as part of a separate devolution plan.
2. Triggers for activation and deactivation of the devolution option. These triggers include:
 - Temporary transfer directed by [Organization Name] leadership until such a time that [Organization Name] leadership requests deactivation of devolution.
 - Incapacitation of [Organization Name] leadership to include full line of successors.
 - [Insert any other triggers]
3. Lists or references of the necessary resources (i.e., equipment and materials) to facilitate the immediate and seamless transfer of and performance of essential functions at the devolution site. The list of necessary resources for devolution is found at [Location].
4. Procurement processes and procedures with appropriate delegated authorities.

The [Organization Name] conducts and documents annual training of devolution staff and a biennial exercise to ensure essential functions are capable of being performed during devolution. This documentation includes the dates of all TT&E events and names and titles of participating staff. The [Organization Name] devolution TT&E documentation is maintained by [Office/title] and is found at [Location]. Further, the [Organization Name] Corrective Action Program supports the devolution program. The [Organization Name] Corrective Action Program is maintained by [Office/title], and related documentation is found at [Location].

TEST, TRAINING, AND EXERCISE

This section focuses on the organization's Test, Training, and Exercise (TT&E) program. Organizations should incorporate their continuity TT&E into their existing TT&E program, if applicable. A continuity TT&E program provides for the conducting and documenting of TT&E.

The [Organization Name] has established an effective TT&E program to support the organization's preparedness and validate the continuity capabilities, program, and ability to perform essential functions during emergencies or disasters. The testing, training, and exercising of continuity capabilities are essential to demonstrating, assessing, and improving the [Organization Name]'s ability to execute the continuity program, plans, and procedures.

Training familiarizes essential personnel with their roles and responsibilities in support of the performance of an organization's essential functions during a continuity event.

Tests serve to ensure that equipment and procedures are kept in a constant state of readiness.

Exercises serve to assess, validate, or identify for subsequent correction, all components of continuity plans, policies, procedures, systems, and facilities used in response to a continuity event.

The [Organization Name] formally documents and reports all conducted continuity TT&E events, including the event date, type, and participants. Documentation also includes test results, feedback forms, participant questionnaires, and other documents resulting from the event. Continuity TT&E documentation for the [Organization Name] is managed by the [Office/title] and is found at [Location]. Further, the [Organization Name] conducts a comprehensive debriefing or hot wash after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and recommend revisions to the COOP Plan. Documentation from hot washes is found at [Location].

The [Organization Name] has developed a Corrective Action Program to assist in documenting, prioritizing, and resourcing continuity issues identified during TT&E activities, assessments, and emergency or disaster operations. The [Organization Name] incorporates evaluations, AARs, and lessons learned from a cycle of events into the development and implementation of its Corrective Action Program. The [Organization Name] Corrective Action Program is maintained by the [Office/title] and documentation is found at [Location].

PLAN DEVELOPMENT AND MAINTAINANCE

This section describes the process the organization uses to maintain the currency of the COOP Plan. It identifies who is responsible for maintaining the plan, how often the plan will be reviewed and updated, and describes the coordination process.

The [Organization Name] COOP Plan is a living document, meant to be continuously reviewed and revised. All involvement with the COOP Plan follows the [Organization Name] efforts to plan, train, exercise, and operationalize. Following this cycle ensures that the [Organization Name] COOP Plan remains a current and dynamic plan.

Development and maintenance of the COOP Plan is coordinated by [Organization Name] and as a living document in the most current form possible, which requires continuous commitment from all involved staff and departments.

[Organization Name], in coordination with departments identified in the COOP Plan, reviews this plan on an on-going basis. Updates to the COOP Plan continuously occur based on organizational and policy changes, gaps identified during exercises and actual events, and changes in roles and responsibilities. The [Organization Name] Director shall review the COOP Plan on an annual basis.

[Organization Name] departments are strongly encouraged to review and update their respective SOPs in accordance with this and all future versions of the COOP Plan.

AUTHORITIES AND REFERENCES

This section lists references that give authority to develop and implement the COOP Plan.

- Arizona Governor's Office, "Executive Order 2013-06: Continuity of Operations and Continuity of Government Planning (Amends and Supercedes Executive Order 2003-05)," 6 September 2013. <http://azmemory.azlibrary.gov/cdm/ref/collection/execorders/id/730>.
- Emergency Management Accreditation Program, 2016 Emergency Management Standard, 2016.
- FEMA, Continuity Guidance Circular 1 Continuity Guidance for Non-Federal Governments, 2013.
- FEMA, Federal Continuity Directive 1, 2017.

ANNEXES

DEVOLUTION ANNEX

RECONSTITUTION ANNEX

SUPPLEMENTAL INFORMATION

The information that follows may include quick reference material, standard operating procedures, checklists, and other information that an organization may want included but does not fit in the plan itself.

QUICK REFERENCE INFORMATION

This information comes from the consolidated Process Analysis and Impact Analysis tools as well as from corresponding sections of the COOP Plan. It can be used as a quick reference or to help correlate information from other sections of the plan into one table.

Essential Function	Essential Personnel and Back-up	Vendors and External Contacts	Essential Records	Equipment	Systems	RTO
<i>Payroll</i>	<i>John Smith Jane Doe Joe Johnson</i>	<i>DOA</i>	<i>Payroll Records</i>	<i>PC, phone</i>	<i>Internet access to CIPPS software</i>	<i>12 to 72 hours</i>

EMPLOYEE CONTACT LIST

ESSENTIAL RECORDS LIST

EMERGENCY SUPPLY KITS

STANDARD OPERATING PROCEDURES/CHECKLISTS

ACRONYMS/GLOSSARY