(Agency Name)

Continuity of Operations Plan

**Continuity of Operations Plan Template**



Agency logo here. If not a County agency, delete County logo.

←

**Agency Name**

**Agency Contact Address**

**Agency Telephone Number**

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# CONTINUITY PLAN TEMPLATE AND INSTRUCTIONS

This template is to provide instructions, guidance, and sample text for the development of a Continuity of Operations (COOP) Plan in accordance with the *Federal Emergency Management Agency (FEMA) Continuity Guidance Circular (February 2018) and Federal Continuity Directive 1(January 2017)*.

In each section of the template, there are ***instructions written in blue and italics***, sample verbiage written in black, and references to worksheets that might be helpful in gathering data necessary to develop the Continuity Plan.

* The term “department/agency” is used throughout this template and applies to all executive branch agencies and institutions of higher education.
* Instructions are in ***blue and italics*** to distinguish them from other parts of the template. These instructions should not appear in the final plan.
* Sample verbiage or language is provided to assist in developing the plan. The sample language provided in the template should be replaced, expanded upon, or modified as necessary to fit the needs of the agency using the template. This includes tables, charts, checklists, or other tools within the template. However, all sections and elements outlined in the template should be included in the agency’s Continuity Plan unless otherwise indicated. The Comprehensive Emergency Management Plan (CEMP) and Florida Statute 252 requires county department agency COOP Plans to conform to the most recent Palm Beach County (PBC) Division of Emergency Management (DEM) template.
* Headers and/or footers should be used to number pages. Annexes should be numbered in a manner to reflect the annex number.
* An optional worksheet was created to help document manual workaround procedures. Use of the worksheet is not a template requirement, but can be included in the plan as an annex.

Please customize the template by utilizing appropriate logos or seals. Do not forget to replace ***[insert name of department or agency]*** with the name of the department or agency throughout the template, as that was put in to help tailor the template to a specific agency or institution of higher education.

Finally, please add acronyms and definitions into the glossary that reflect the relevant terms used by your agency.

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# facility information

## Facility Name and address

**[*Insert Department or Agency Name*]**

**[*Insert Department or Agency mailing address (street, city, state, zip code)*]**

|  |  |  |  |
| --- | --- | --- | --- |
| Duty Hours  Emergency Contact Name / Number | | Non-Duty Hours  Emergency Contact Name / Number | |
| ***[Insert Emergency Contact Name*]** | ***[Insert Emergency Phone Number* ]** | ***[Insert Emergency Contact Name*]** | ***[Insert Emergency Phone Number* ]** |
|  |  |  |  |
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## Contact Information

[***Fill in the chart with the organization’s Primary Agency COOP Coordinator, Alternate Agency COOP Coordinator, Primary Facility Representative, and Alternate Facility Representative.]***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Contact | Name | Position  Title | Phone | Email | Mailing Address |
| Primary Agency COOP Coordinator |  |  |  |  |  |
| Alternate Agency COOP Coordinator |  |  |  |  |  |
| Primary Facility Representative |  |  |  |  |  |
| Alternate Facility Representative |  |  |  |  |  |

# CORE COMPONENTS OF THE PLan

Below are the components that should be addressed in the COOP Plan.

* Plans and Procedures
* Mission Essential Functions
* Essential Positions
* Delegations of Authority
* Lines of Succession
* Devolution
* Staging Area
* Alternate Facilities and Operating Capability
* Interoperable Communications
* Vital Records and Databases and How They are Safeguarded
* Logistics and Administration, including Communications Resources
* Personnel Issues and Coordination
* Reconstitution
* Priorities for Recovery of Processes, Functions, Critical Applications, and Vital Records
* Testing, Training, and Exercising
* Health Emergency
* Program Management
* Signatories
* Acronyms

Attachment A: Essential Records, Systems, Applications, and Equipment

Annex A: Emergency Evacuation Plan

A courtesy copy of this plan should be submitted to the PBC DEM after each update, in order to allow us to assist you should you ever have to activate your COOP Plan.

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# Promulgation STATEMENT

***Name of Official***

***Title***

***Department Name***

[**Insert *Department or agency name]*** CONTINUITY OF OPERATIONS PLAN

The primary role of government is to provide for the welfare of its citizens. The welfare of citizens is never more threatened than during disasters. The goal of emergency management is to ensure that mitigation, preparedness, response, and recovery actions exist so that public welfare and safety is preserved.

The **[*insert* *Department or Agency Name (Department Acronym****)****]*** Continuity of Operations (COOP) Plan establishes the framework for ensuring viable continuation of high levels of service quality and availability to the citizens of [***insert jurisdiction or department name here***]. By doing so, the COOP Plan will facilitate continuation of essential functions so that critical services will not be lost due to the disruption of operations from hazards, threats, or other incapacitating incidents.

Therefore, in recognition of the emergency management responsibilities of the jurisdiction, I hereby promulgate the ***Insert Department or agency Name*** Continuity of Operations Plan.

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Name of Official Date

Title, Department Name

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# Record OF REVISION

***Changes made to the Continuity Plan between official promulgations should be documented in the Record of Changes table below. The Record of Changes will contain, at a minimum, a change number, the section and/or page number of the change, a description of the change, the date of the change, and the initials of the person who made the change. Minor plan changes (such as grammatical or phone number changes) which do not affect the implementation of the plan do not need to be captured in the Record of Changes table. A new Record of Changes table should be used whenever the plan is re-promulgated by the agency head or designee. Sample text for this section includes:***

Submit recommended changes to this document to **[*insert Department or Agency name*] [*insert name and e-mail of Continuity of Operations Coordinator*].**

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| --- | --- | --- | --- |
| Date | Section & Page # | Description of Change | Person Making Change |
| 07/21/19 | Page 11 | Updated Lines of Succession | John Doe |
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# CONTINUITY PLAN DISTRIBUTION LIST

***The publication and dissemination phase of the continuity planning process consists of publishing the plan and presenting it to appropriate department or agency personnel. Executive leadership and key personnel identified in the plan should be provided with a copy of the entire plan. Department or agency staff not identified as key personnel should be provided with portions of the plan deemed appropriate, but may be provided with a copy of the entire plan at the department or agency’s discretion. Contractors that perform or support performance of*** Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) ***may also be provided with portions of or the entire plan at the discretion of the department or agency. In these instances, the department or agency may require the contract staff to sign a Non-Disclosure Agreement.***

***Publication of this plan should be consistent with the department or agent’s decision regarding its availability under the Freedom of Information Act (FOIA).***

***Sample text for this section includes:***

The [***insert Department or Agency Name***] COOP will be distributed to executive leadership and key personnel within the department and to others as deemed appropriate. Requests for additional copies of this plan or notification of updates should be directed to the Continuity of Operations Coordinator.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Name | Title | Agency of Organization | Date Issues | Date Returned | Number of copies |
| John Doe | IT Director | Information System Services | 1/10/19 |  | 1 |
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# Executive Summary

This Continuity of Operations (COOP) Plan refers to the internal efforts the [***Insert Department or Agency Name]*** must take to assure that the capability exists to continue essential functions in response to a broad spectrum of emergencies or operational interruptions. COOP planning is an ongoing process that is driven in part by growth and change in information systems, personnel, and mission critical needs. Operational interruptions may include routine business renovation; preventative maintenance; fire; mechanical failure of HVAC or other building systems; inclement weather or other acts of nature; an outbreak of pandemic influenza; or a range of threatened or actual attacks; and other events that may interrupt departmental activity and telecommunications due to malfunction or cyber-attack.

It is the policy of **[*insert Department or Agency Name]*** to respond without delay to all natural, technological, or human caused hazards, and to ensure its ability to perform essential functions under all circumstances. To meet these objectives, **[*insert Department or Agency Name]*** has established this COOP Plan which sets forth a concept of operations, identifies essential functions, and outlines four potential phases of operations:

Phase I - Readiness and Preparedness

Phase II – Activation and Relocation

Phase III – Alternate Facility Operations

Phase IV - Reconstitution

This Plan incorporates the following key elements associated with COOP planning:

* Identification and prioritization of essential functions and processes that must be maintained
* Emergency concepts, actions, and procedures
* Line of succession to essential positions required in an emergency
* Delegations of authority and pre-delegations of emergency authorities to key officials
* Interoperable communications and resources
* Emergency operations center and alternate facilities
* Safeguard of vital records, databases, and critical applications.
* Protection of government resources, facilities, and personnel
* Tests, training, and exercises

Upon adoption, this document will serve as the COOP Plan for the [***insert Department or Agency Name]***, and will supersede any previous [***insert Department or Agency Name]*** COOP Plans.

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# introduction

## Situation

The changing threat environment and recent experience with emergencies have shifted awareness to the need for COOP capabilities that enable agencies to continue their essential functions across a broad spectrum of emergencies. As recent events and preparedness exercises have demonstrated, government operations can be disrupted by a variety of events, both natural and human. Whether the disruption results from severe weather or from a blackout caused by a malfunction of power grid technology, citizens still expect services to be available when they are needed. As an aid in continuing to provide essential services to citizens under emergency conditions, [***Insert Department or Agency Name]*** has developed this COOP Plan.

In particular, this Plan is intended to:

* Ensure the continuous performance of essential functions/operations during an emergency.
* Establish emergency concepts, actions, and procedures.
* Identify processes and functions that must be maintained, along with essential positions to maintain those processes and functions.
* Ensure protection of government resources, facilities, and personnel.
* Protect essential facilities, equipment, records, and other assets.
* Reduce or mitigate disruptions to operations.
* Reduce loss of life and minimize damage and losses of resources.
* Achieve a timely and orderly recovery from an emergency and resume full service to customers.
* Identify alternate operations locations in the event that primary operations facilities are not functional.
* Conduct essential operations from an alternate location within twelve (12) hours of the event onset for a period of up to thirty (30) days.
* Establish lines of succession and delegations of authority.
* Identify personnel needed to perform each department’s essential functions.
* Identify means of communication within each department, between departments, with other jurisdictions and with the public.
* Prioritize for the recovery of processes, functions, critical applications, and vital records.
* Establish requirements for regularly scheduled testing, training, and exercising of division personnel, equipment, systems, processes, and procedures used to support each department during a COOP event.
* Establish requirements for development, maintenance, and annual review of the COOP Plan and COOP capabilities.
* Establish interoperable communications and resource requirements to complete.
* Describe how to safeguard vital records, critical applications, and databases.
* Be activated simultaneously with multiple agency COOPs plans.

# PURPOSE

***The section explains why the department or agency is developing a Continuity Plan. It explains the overall purpose of continuity planning and the disruptions it addresses. Sample text for this section includes:***

The **[*Insert Department or Agency Name*]**COOP Plan describes how to sustain the capabilities to perform essential functions during and after a disruption in internal operations whether caused by severe weather, other natural or human-caused disasters, or malevolent attacks. In accordance with guidelines established by *Federal* *Preparedness Circular 65 - Federal Executive Branch Continuity of Operations (COOP)* and the *National Fire Protection Association 1600 Standard on Continuity, Emergency, and Crisis Management*, this Plan identifies lines of succession; provides for the maintenance or reestablishment of control and direction of **[*insert Department or Agency Name]***, including relocation of key personnel; reconstitution of key staff positions with successor personnel; and regeneration of full **[*insert department or agency]*** function.

This Plan, which is applicable to all-hazard threats, ensures that **[*insert Department or Agency Name]*** is prepared to provide critical services in an environment that may become a threat, diminished or incapacitated.

The basic elements of a viable COOP Plan include the following:

* Line of Succession
* Delegation of Authorities
* Devolution
* Maintaining Essential Functions and Processes
* Human Capital Management
* Safeguarding of Vital Records and Critical Applications
* Continuity Facilities
* Continuity Communications
* Resumption and Recovery Priorities
* Testing Training, and Exercising

## Objectives

The objective of this COOP Plan is to ensure that a viable capability exists to continue essential functions across a wide range of potential emergencies, specifically when the [***Insert Department or agency name of the facility****]* primary facility is either threatened or inaccessible. The objectives of this Plan are to:

* Ensuring the continuous performance of **[*insert Department or Agency Name’s]*** essential functions/operations during an emergency.
* Protecting essential facilities, equipment, records, and other assets.
* Reducing or mitigating disruptions to operations.
* Reducing loss of life and minimizing damage and losses.
* Achieving a timely and orderly recovery from an emergency and resuming full service to customers.
* Identifying alternate operations locations in the event that primary operations facilities are not functional and identify the operating capability of the alternate facility.
* Conducting essential operations from an alternate location within 12 hours of the event onset for a period of up to 30 days.
* Establishing lines of succession and delegation of authorities.
* Identifying personnel needed to perform the department’s essential functions.
* Identifying means of communication within the department and with other departments, jurisdictions, and the public.
* Establishing requirements for regularly scheduled testing, training, and exercising of department personnel equipment, systems, processes and procedures used to support the department/agency during a COOP event.
* Establishing requirements for development, maintenance, and annual review of the department’s/agency’s COOP Plan and COOP capabilities.

## Applicability and Scope

The [***insert Department or Agency Head***]has reviewed and approved this plan for operational activities during emergency or disaster events. This Plan is designed to effectively minimize system outages and down times while providing the highest level of service possible until normal operations fully resume. This plan also intends to facilitate the response and recovery process.

The COOP Plan covers all facilities, systems, vehicles and buildings operated or maintained by ***[insert Department or Agency Name]***. The COOP Plan supports the performance of essential functions from an alternate location(s) due to the primary facility becoming unusable for long or short periods of time and also provides for continuity of management and decision-making, in the event that senior management or technical personnel are unavailable.

This plan also applies to short-term localized events as well as long-enduring regional emergencies that may impact multiple operating facilities. It also applies to natural disasters events as well as human threats. The COOP Plan is designed to complement the *PBC CEMP.*

# AUTHORITIES AND REFERENCEs

## Authorities

This COOP Plan has been developed with the full endorsement of the **[*insert Department or Agency Name]’s [insert title of Department or Agency Head]*** and senior management. The COOP Plan complies with the following state regulations and Executive Orders:

* Presidential Decision Directive (PDD) 67 (Enduring Constitutional Government and Continuity of Government Operations), dated October 21, 1998
* Florida Statutes, Title XVII, Chapter 252, Emergency Management, sections 252.38(1)(a), 252.35 (2)(k), 252.35 (2)(n) and 252.365. Chapter 2002-43 amends Florida Statutes 252.365 to include specific language requiring that each state agency prepare COOP Plans and disaster preparedness plans. The bill establishes requirements for the essential elements of and directs that each state agency and facility have a disaster preparedness plan. In addition, it mandates that the plan be coordinated with applicable local emergency agencies and approved by the Florida Division on Emergency Management (FDEM).
* Executive Order 80-29 (Disaster Preparedness), dated April 14, 1980.
* Executive Order 87-57 (State Emergency Response Commission), dated April 17, 1987; as updated by Executive Orders 98-153 and 98-155.
* Executive Order 01-262 (Emergency Management), dated September 11, 2001.
* Executive Order 01-300 (Domestic Security), dated October 11, 2001.
* Chapter No. 2001-361, Florida Statutes provide for a public records exemption for security system plans and any property owned or leased by the State.
* Chapter No. 2001-365, Florida Statutes require the Florida Department of Law Enforcement (FDLE) to coordinate and direct response to acts of terrorism, establishes in law the Regional Domestic Security Task Forces that were created by Executive Order #2001-300, and creates the position of Chief of Domestic Security Initiatives within FDLE.
* Chapter No. 2001-366, Florida Statutes create the Florida Domestic Security and Counter-Terrorism Intelligence Center within FDLE and allows for the creation of the Florida Domestic Security and Counter Intelligence Database.
* Chapter 282, Florida Statutes, Communications and Data Processing addresses purchasing procedures and creates the State Technology Office.
* Palm Beach County Local Ordinances: Resolution R-89-2127; Resolution R-86-1573; Resolution R-89-384; Ordinance 92-37; Ordinance 98-23
* Florida Statutes: Chapter 22, Emergency Continuity of Government; Chapter 23, Florida Mutual Aid Act; Chapter 125, County Government; Chapter 252, Emergency Management; Chapter 870, Riots, Affrays, Routs, and Unlawful Assemblies
* Florida State Executive Order No. 80-29, Disaster Preparedness, April 14, 1980 Chapter 14, Florida Statutes, Governor
* Chapter 125, Florida Statutes, County Government
* Florida Administrative Rule 9G-2, Comprehensive Emergency Management Plan
* Florida Administrative Rule 9G-5, Local Disaster Preparedness Agencies Approval of Local Director
* Florida Administrative Rule 9G-6, Review of Local Emergency Management Plans
* National Fire Protection Association – NFPA 1600: Standard on Continuity, Emergency, and Crisis Management, 2019 Edition
* Federal Preparedness Circular 65 *Federal Executive Branch Continuity of Operations (COOP)*, July 15, 2004
* Federal Preparedness Circular 66 *Test, Training, and Exercise (TT&E) Program for Continuity of Operations (COOP)*, April 30, 2001
* Federal Preparedness Circular 67 *Acquisition of Alternate Facilities for Continuity of Operations (COOP)*, April 30, 2001
* Robert T. Stafford Disaster Relief and Emergency Assistance Act as amended by Public Law 106-390, October 30, 2000
* Federal: Public Law 100-707, The Stafford Act
* Federal Response Plan for Public Law 93-288
* Public Law 103-337
* 44 Code of Federal Regulations
* 29 Code of Federal Regulations
* Executive Order 11795
* The National Flood Insurance Program
* Florida Emergency Mutual Assistance Compact, 1996.
* Palm Beach County Section’s Coordinating Procedures.

## References

References used to develop this COOP Plan include:

* National Response Framework (NRF)
* National Disaster Recover Framework (NDRF)
* State of Florida Comprehensive Emergency Management Plan (CEMP)
* Palm Beach County Comprehensive Emergency Management Plan (CEMP)
* Palm Beach County Local Mitigation Strategy (LMS)
* Standard Operating Guides (SOGs)

## Policy

It is the policy of the **[*insert Department or Agency Name*]** to respond quickly at all levels in the event of an emergency or threat in order to continue essential functions and operations, and to provide support to the citizens of PBC, emergency management and response agencies, and other agencies or services that may be affected by the emergency.

A viable COOP capability identifies essential functions and consists of plans and procedures, alternate facilities, interoperable communications and data support systems, reinforced by comprehensive training, and orientation and exercise programs. COOP capabilities must be maintained at a high level of readiness, capable of being activated both with and without warning, ready to achieve operational status no later than 12 hours after activation, and able to maintain sustained operations for up to 30 days or until termination.

## Planning Assumptions

***This section should briefly familiarize the readers with the underlying assumptions made during the planning process. Assumptions are general statements that will guide the agency in the development of its continuity plan. Although a continuity plan is a recovery plan and serves as a companion to existing emergency plans, the planning assumptions used here should be consistent with those used in the agency’s emergency plans. Below are examples of the type of information that could be included. Please revise these examples to reflect assumptions applicable to your agency and the planning environment. Sample text for this section includes:***

**The following assumptions are made in considering continuity of operations planning by the** [***Insert Department or Agency Name***] and include:

* During business hours, a building will be evacuated in accordance with [***insert******applicable directive(s) that govern your facility evacuation***].
* ***[Insert Department or Agency Name***] must be prepared to operate without help for at least 24 hours.
* [***Insert Department or Agency Name***] department or agency executives are aware of their responsibilities and respond as directed in the [***Insert Department or Agency Name***] *CEMP* and *Section Coordinating Procedures*.
* Upon declaration of COOP activation by senior leadership, employees will be notified of the COOP Plan activation as provided under the activation and relocation phases of the COOP Plan.
* Emergencies or threatened emergencies can adversely impact the agency’s ability to continue to support essential functions and to provide support to the operations of clients and external agencies.
* Appropriate resources and funding shall be available for the planning, implementation and maintenance of the COOP program. Required resources shall be dedicated in a timely fashion following activation of the COOP Plan.
* When a COOP event is declared, the agency shall implement a predetermined plan using trained and equipped personnel.
* Agency and non-agency personnel and resources located outside the area affected by the emergency or threat shall be available as necessary to continue essential functions.
* The agency shall provide operational capability within 12 hours of the event and be able to continue essential operations for 30 days, or until termination of the event, whichever is later.
* Normally available staff members may be rendered unavailable by a disaster or its aftermath, or may be otherwise unable to participate in the recovery.
* Procedures are sufficiently detailed enabling another individual, other than the person primarily responsible for the work, to follow them.
* Prioritization of the recovery of a critical subset of the agency’s functions and application systems shall occur to allow the agency to continue essential functions adequately.
* A disaster may require agency users, clients and local agencies to function with limited automated support and some degradation of service may be noticed until full recovery is made.
* In compliance with the National Incident Management System (NIMS), and Homeland Security Presidential Directive (HSPD) - 5, all COOP program activities shall incorporate the principles of NIMS and the Incident Command System (ICS).
* The COOP Plan integrates with the **[*insert Department/ agency Name***] Disaster Recovery Plan (DRP) and the DRP is capable of supporting COOP activities in accordance with Florida Statutes Chapter 252, including communications and data processing.

## Goals And Objectives

The primary goal of this plan is to ensure that a viable capability exists to continue essential functions across a wide range of incidents with a potential that the primary facility is rendered inaccessible or unusable. The objectives of this plan include the following:

* Ensure that **[*insert Department or Agency Name***] can perform its MEFs and PMEFs under all conditions.
* Reduce the loss of life and minimize property damage and loss.
* Execute a successful order of succession with accompanying authorities in the event a disruption renders [***insert Department or Agency Name*]** leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of the office.
* Reduce or mitigate disruptions to operations.
* Ensure that **[*insert Department or Agency Name*]** has facilities where it can continue to perform its MEFs and PMEFs during a continuity event.
* Protect essential facilities, equipment, records, and other assets in the event of a disruption.
* Achieve **[*insert Department or Agency Name*]**’s timely and orderly response, recovery, termination and reconstitution from an emergency.
* Ensure and validate continuity readiness through a dynamic and integrated continuity test, training, and exercise program and operational capability.

## Security and Privacy Statement

This document is **For Official Use Only**. Portions of this document are confidential and exempt from disclosure pursuant to Florida Statutes §119.071(3). Do not copy, distribute or release without the express written permission of the **[*insert Department or Agency Name***]. It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with **[*insert security reference document***] and is not to be released to the public or other personnel who do not have a valid “need to know” without prior approval of **[*insert title of approving authority***].

Some of the information in this Plan, if made public, could endanger the lives and privacy of employees. In addition, the disclosure of information in this plan could compromise the security of essential equipment, services, and systems of **[*insert Department or Agency Name*]** or otherwise impair its ability to carry out essential functions. Distribution of the COOP in whole or in part is limited to those personnel who need to know the information in order to successfully implement the plan.

**[*Insert Department/ agency Name***] will distribute copies of the COOP Plan on a need to know basis. **[*Insert procedures for distributing the plan to employees and all other personnel, e.g., via hard or electronic copy or posting on internal websites***]. In addition, copies of the plan will be distributed to other organizations as necessary to promote information sharing and facilitate a coordinated interagency continuity effort. Further distribution of the Plan, in hard copy or electronic form, is not allowed without approval from **[*insert office or position title*]**. **[*Insert Department or Agency Name*]** will distribute updated versions of the COOP Plan every three years or as critical changes occur.

# CONCEPT OF OPERATIONS

***This section explains how the organization will implement its Continuity of Operations Plan, and specifically, how it plans to address each critical continuity of operations element. This section should also be separated into four (4) phases: readiness and preparedness, activation and relocation, continuity facility operations, and reconstitution. Devolution planning strongly correlates in each phase and is also addressed in this section*.**

The **[*insert Department or Agency Name*]** will implement this COOP through the following four successive phases: (1) Readiness and Preparedness, (2) Activation, (3) Continuity of Operations, and (4) Reconstitution. Devolution correlates with each phase. Each phase is addressed more fully in this section of the COOP.

Figure 1 Operational Phases



## PHASE I – READINESS AND PREPAREDNESS

***Readiness is the ability of an organization to respond to a continuity event. This phase includes all department/agency continuity readiness and preparedness activities. Organizations should only include those readiness, preparedness activities and systems that are applicable to their plan. Sample text for this section includes:***

The **[*insert Department or Agency Name*]** will participate in the full spectrum of readiness and preparedness activities to ensure personnel can continue essential functions in an all-hazards environment. Readiness activities are divided into two (2) key areas:

* Organization readiness and preparedness
* Staff readiness and preparedness

The organization incorporates hazard/threat warning systems outlined in [***insert hazard/threat warning system SOG or plan here***]. In addition, personnel will conduct the readiness and preparedness activities as described in the Plan Maintenance Section of this COOP Plan. The **[*insert Department or Agency Name*] will use their Alert and Notification System for the monitoring of incidents as depicted in Table I.**

Table 1

*Advisory Alert System*

|  |  |  |
| --- | --- | --- |
| Incident Alert | Incident Condition Criteria | Organization Potential Response |
| Imminent incident alert | Warns of impending onset of an incident in the jurisdiction. | * Activate the COOP * Alert Devolution Emergency Response Group |
| Elevated incident alert | Warns of possible onset of an incident in the jurisdiction. | * The organization reviews COOP and devolution plans and procedures * Organization places COOP Relocation Team and Devolution Emergency Response Group on alert |

**Organization Readiness and Preparedness**

Although readiness is a function of planning and training, it is ultimately the responsibility of **[*insert Department/ agency Name*]** leadership to ensure that **[*insert Department/ agency Name*]**, through normal procedures or with a continuity plan, can perform its mission essential functions before, during, and after all-hazards emergencies or disasters.

***The tables below should be modified to fit the department or agency.***

Table 2  
*Activation Decision Matrix*

| **Level of Emergency** | **Category** | **Potential Event** | **Impact on the Ability to Perform MEFs** | **Decisions** |
| --- | --- | --- | --- | --- |
| IV | Normal Operations | An event with no indication of which would warrant the Duty Officer to elevate the activation level from “Normal Operations” to “Monitoring” and have the County Warning Point to send out notices to stakeholders. | A day-to-day operational level with no impact on organization’s ability to perform mission essential functions or primary mission essential functions which might have an adverse impact on any portion of the agency, staff, or equipment/systems for a period of time that exceeds recovery time objectives and does not require any specific response beyond what is normally available. | No Continuity of Operations Plan activation required. |
| III | Monitoring | Coastal storm approaching the coastline where agency facilities are located; system or equipment failure expected to last less than 24 hours; possible public health emergency reported with minimal impact to staff. | An actual or anticipated event estimated to have minimal impact on operations that might require the organization to take action as part of their normal duties and responsibilities. | Partial activation of the COOP Plan. |
| II | Partial Activation | Small fire localized to one wing or floor of the building; system or equipment failure expected to last more than one day; public health emergency declared with moderate impact to staff. | An actual event estimated to disrupt the operations of Mission Essential Functions for more than the established recovery time objectives or 24 hours. | Partial activation of the COOP Plan. |
| I | Full Activation | Gas line explosion has caused extensive structural damage to the facility; system or equipment failure expected to last for an extended period of time; public health emergency declared with significant staff impact. | An actual event that significantly disrupts the operations of multiple MEFs for a period of time exceeding the MEF recovery time objectives. | Full Continuity of Operations Plan approved by the executive leadership. |

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# Staff Readiness and Preparedness

**[*Insert Department or Agency Name*]** personnel must prepare for a continuity event. **[*Insert Department or Agency Name*]** personnel have been instructed to plan in advance what to do in an emergency and to develop a family support plan to increase personal and family preparedness. To develop a family support plan, personnel should use the template available at [www.ready.gov](http://www.ready.gov). This site includes information on medical, special needs, travel and other important issues for the employee and their families. This site also includes a “Get Ready Now” pamphlet, which explains the importance of planning and provides a template that family members can use to develop a specific family plans. If personnel need assistance in creating a family support plan, please contact **[*insert office, position title, and contact information*]**.

**Family Plan and Drive-Away Kits**

**[*Insert Department or Agency Name*]** Community Relocation Team (CRT) members have the responsibility to create and maintaining drive-away kits. Community Relocation Team members are responsible for carrying the kits to the Alternate Relocation Facility (ARF) or pre-storing the kits at the ARF. **[*Insert Department or Agency Name*]** has identified what these kits should contain in the following table on [***insert page number here***]. In order to maintain currency of drive-away kits, **[*insert Department or Agency Name*]** has established procedures for updating the kits. **[*Insert Drive-Away Kits Checklist and procedures in an Attachment, such as having CRT members bring kits on annual exercises, distributing quarterly update materials, or establishing an acquisition program to regularly replace agency-supplied emergency items*]**. In addition, personnel will conduct the readiness and preparedness activities as described in the Plan Maintenance Section of this COOP.

Table 3

*COOP Drive-Away KIT*

|  |  |
| --- | --- |
| **Drive Away Kit** | |
| Identification and charge cards  o Government identification card  o Driver’s license  o Government travel card  o Health insurance card  o Personal charge card  Communication equipment  o Pager/BlackBerry  o Government cell phone  o Personal cell phone  o Government Emergency Telephone  Service card  • Hand-carried vital records  • Directions to continuity facility  • Maps of surrounding area  • Business and leisure clothing  • Continuity plan  • Flashlight | • Business and personal contact numbers  o Emergency phone numbers and addresses  (relatives, medical doctor, pharmacist)  • Toiletries  • Chargers/Extra Batteries for phones, GPS, and laptop  Bottled water and non-perishable food (i.e., granola, dried fruit, etc.)  Communication equipment  Bottled water and non-perishable food (i.e., granola, dried fruit, etc.)   * Pager/BlackBerry * Government cell phone * Personal cell phone * Government Emergency Telephone * Service card   Medical needs   * Insurance information * List of allergies/blood type * Hearing aids and extra batteries * Glasses and contact lenses * Extra pair of eyeglasses/contact lenses * Prescription drugs (30-day supply) * Over-the-counter medications, dietary * supplements   • **[Insert additional recommended items]** |

In addition, **[*insert department or agency name*]** conducts the following continuity readiness and preparedness activities: **[*insert any additional organizational readiness and preparedness measures for organizational personnel here, such as orientation training, brown bags, or working lunch informational sessions, senior leadership addresses to the organization regarding continuity, etc.*].**

## PHASE II – ACTIVATION

***This section should explain continuity of operations plan activation procedures and relocation procedures from the primary facility to the ARF. The plan must provide a process or methodology for attaining operational capability at the ARF site(s) with minimal disruption to operations within 12 hours of plan activation. This section should also address procedures and guidance for non-relocating personnel. The procedures must take into consideration operational priorities including life, safety, and health; property protection; environmental protection; restoration of essential utilities; restoration of essential program functions; and coordination among appropriate stakeholders. Sample text for this section includes:***

To ensure the ability to attain operational capability at continuity facilities with minimal disruption to operations, **[*insert Department or Agency Name]*** has developed detailed activation and relocation plans, which are captured in the following sections:

**Decision Process Matrix**

Based on the type and severity of the emergency situation, the **[*insert Department or Agency Name]*** COOP Plan may be activated by one of the following methods:

1. The Board of County Commissioners may initiate a Local State of Emergency.
2. The **[*position title*]** or designee may initiate the Continuity of Operations Plan for the entire organization based on an emergency or threat directed at the department or agency.
3. **[*Insert additional activation measures here*]**

The Continuity of Operations Plan activation and relocation are scenario-driven processes that allow flexible and scalable responses to the full spectrum of emergencies and other events that could disrupt operations with or without warning during duty and non-duty hours. This COOP is not required for all emergencies and disruptive situations, since other actions may be deemed appropriate. The decision to activate the **[*insert Department or Agency name*]** COOP Plan and corresponding actions to be taken are tailored for the situation, based upon projected or actual impact and severity, that may occur with or without warning. Decision-makers may use the below decision matrix to assist in the decision to activate the COOP Plan.

Based upon the type and severity of the incident(s), the COOP may be activated by the ***[insert Department or Agency name, Position Title]***. COOP activation will not be required for incidents for minor disruptions or short-term evacuations. The degree to which the plan is implemented depends on the type, magnitude, and circumstances of the incident(s). The decision matrix outlined in [***reference the Source of the Decision Matrix***] supports decision-making for determining when to activate the COOP.

Table 4

*Decision Matrix for COOP Activation*

|  |  |  |
| --- | --- | --- |
| **Decision Matrix for Continuity of Operations Plan Implementation** | | |
|  | **Duty Hours** | **Non-Duty Hours** |
| **Incident With Warning** | * Is the threat aimed at the facility or surrounding area? * Is the threat aimed at organization personnel? * Are employees unsafe remaining in the facility and/or area? * **[*Insert additional points here*]** | * Is the threat aimed at the facility or surrounding areas? * Is the threat aimed at organization personnel? * Who should be notified of the threat? * Is it safe for employees to return to work the next day? * **[*Insert additional points here*]** |
| **Incident Without Warning** | * Is the facility affected? * Are personnel affected? Have personnel safely evacuated or are they sheltering-in-place? * What are instructions from first responders? * How soon must the organization be operational? * **[*Insert additional points here*]** | * Is the facility affected? * What are instructions from first responders? * How soon must the organization be operational? * **[*Insert additional points here*]** |

The [***insert department or agency name***] COOP Plan is independent of other agency or organization COOPs, and is not reliant on the normal function of other agency COOP Plans.

As the decision authority, the **[*insert position title*]** will be kept informed of the threat environment using all available means, including official government intelligence reports, national/local reporting channels, and news media. The **[*insert position title*]** will evaluate all available information relating to:

* Direction and guidance from higher authorities
* The health and safety of personnel and families
* The ability to execute essential functions
* Changes in readiness or advisory levels
* Intelligence reports
* The potential or actual effects on communication systems, information systems, office facilities, and other vital equipment
* The expected duration of the emergency situation
* The ability to execute emergency response and recovery operations
* The need to execute continuity of government operations
* **[*Insert other departments and agencies considerations here*]**

**Alert and Notification**

***[Insert Department or Agency Name***] maintains plans and procedures for communicating and coordinating activities with personnel before, during and after a COOP event.

Table 5  
*Activation Notification Matrix*

| **Level of Emergency** | **Category** | **Executive Leadership Notifications** | **Continuity Coordinator Notifications** |
| --- | --- | --- | --- |
| IV | Normal Operations | No impact to departments. Therefore, no alerts to executive leadership of situation. | The Continuity Coordinator will not send out any notifications. |
| III | Monitoring | Monitoring for impact to department. Alerts executive leadership of potential event.  Executive leadership notifies:   * Agency headquarters of the status, if a subordinate agency, and * Continuity Coordinator | The Continuity Coordinator notifies:   * Key personnel that they are being placed on stand-by and that they are to ensure go-kits, emergency contact information, and manual workaround procedures are up to date, and/or ensure the availability and functionality of telework resources. |
| II | Partial Activation | Impacted department alerts executive leadership of situation and requests assistance as applicable.  Executive leadership notifies:   * Agency headquarters of the partial implementation, if a subordinate agency, and * Continuity Coordinator. | The Continuity Coordinator notifies:   * Key personnel and provides partial COOP Activation instructions. |
| I | Full Activation | Impacted department alerts executive leadership.  Executive leadership notifies:   * Agency headquarters of the full implementation, if a subordinate agency, and * Continuity Coordinator. * Subordinate or interdependent agencies. | The Continuity Coordinator notifies:   * Key personnel and provides COOP Activation instructions. * Human Resources (to provide guidance to agency personnel) * Public Affairs * Facility Management * Security Manager * Others as appropriate, including critical customers. * State Warning Point |

Prior to an emergency or event, personnel in [***Department or Agency Name***] must monitor advisory information, including National terrorism advisory reports, Pandemic Influenza, intelligence, and [***insert any other applicable systems***]. In the event normal operations are interrupted or if an incident appears imminent, [***Department or Agency Name***] will take the following steps to communicate the organization’s operating status with all staff:

1. The **[*Department or Agency Name]*** or designated successor will notify [***insert office/title*]** of the emergency requiring COOP activation.
2. **[*Insert notification steps here. Include methods of notification, name/group that commences notification, and required responses of all organizational personnel upon notification. If the organization maintains an advance team to prepare the ARF for arrival, include that information here*]**
3. **[*Department or Agency Name]*** personnel will notify family members, next of kin, and/or emergency contacts of the COOP Plan activation.

Upon the decision to activate the COOP Plan or to reconstitute following an event, **[*Insert Department or Agency Name*]**will notify all ***[Department or Agency Name]*** personnel, as well as affected and supporting entities with information regarding COOP activation and relocation status, operational and communication status, and the anticipated duration of relocation. These entities include:

* Alternate Relocation Facility and COOP CRT with information regarding COOP activation and relocation status and the anticipated duration of relocation
* Palm Beach County Emergency Operations Center via County Warning Point (CWP), at (561.712,6428) or PBC Duty Officer at (561) 644.8527 with information regarding COOP activation and relocation status, the **[*insert Department or Agency Name]*** ARF location, operational and communication status and anticipated duration of relocation
* All ***[insert Department or Agency Name]*** employees, both COOP CRT and Continuity of Operations Support Team (CST) personnel with instructions and guidance regarding the COOP activation and relocation
* ***[Insert other points-of-contact, agencies, customers, stakeholders, and interdependent agencies here]***

**Relocate to Alternate Site(s)**

**Following activation of the COOP Plan and notification of personnel, *[insert Department or Agency Name]*** must move personnel and vital records to the ARF. Upon activation, ***[Department or Agency Name]*** CRT personnel deploy to the assigned ARF to perform ***[Department or Agency Name]*** essential functions and other CRT tasks. A map and directions to the ARF is found ***[insert location within this plan]***.

Emergency procedures during duty hours with or without a warning are as follows:

* **COOP Relocation Team personnel will depart to their designated ARF from the primary facility or their current location using [*insert method of transportation, such as privately owned vehicles, buses, etc here. Include any provisions made regarding the transport of disabled CRT and/or COOP Support Team (CST)*].**
* **Individuals who are not CRT or CST personnel present at the primary facility or another location at the time of an emergency notification will receive instructions from *[insert title of person*]. In most scenarios, staff members will be directed to proceed to their homes or to other *[insert Department or Agency Name]*** facilities to wait for further instructions.
* **At the time of notification, information will be provided on routes to use during departure from the primary facility, if available, or other appropriate safety precautions**

Emergency procedures during non-duty hours with or without a warning are as follows:

* COOP Relocation Team members will deploy to their assigned locations from their current location using **[*insert method of transportation, such as privately owned vehicles, buses, etc., here. Include any provisions made regarding the transport of disabled CRT or CST employees*]** at **[*insert time here, such as immediately, the time specified during notification, etc.*]**
* Each Continuity of Operations Support Team (CST) member will depart to their assigned ARF from their current location using **[*insert method of transportation, such as privately owned vehicles, buses, etc., here. Include any provisions made regarding the transport of disabled CRT or CST employees*]** at **[*insert time here, such as immediately, the time specified during notification, etc.*]**
* Individuals who are not a CRT or CST member will remain at his or her residence to wait for further instructions.
* **The Logistics Section will prepare travel vouchers and arrange for transportation, lodging, and meals using approved travel policies and procedures (PPM) and Standard Operating Guidelines (SOGs).**
* **Personnel not identified as a CRT or CST member may be required to replace or augment the identified COOP team during activation. These activities will be coordinated by [*insert office and title*] with the staff on a case-by-case basis. Individuals who are not identified as a COOP team member will remain available to replace or augment CRT or CST, as required.**

**[*Insert Department or Agency title/authority*] will direct [*insert Department or Agency*] personnel who are not designated as COOP team members to move to [*insert location, such as another facility, duty station, or home*] until further notice.**

**In the event of an activation of the COOP Plan, [*insert Department or Agency*] may need to procure necessary personnel, equipment, and supplies that are not already in place for the continuity of operations on an emergency basis. [*Insert office/title/authority*] maintains the authority for emergency procurement. Instructions for these actions are found [*insert instructions below or insert location of instructions if found in another document*].**

**Accounting of Personnel**

Upon arrival at the alternate relocation facility, personnel will do the following:

* Report immediately to check-in station;
* Receive applicable instructions and equipment;
* Report to their respective workspace;
* Retrieve pre-positioned information and activate specialized systems or equipment;
* Continue and/or restore essential functions.

## PHASE III – CONTINUITY OPERATIONS

***The Phase III section should identify initial arrival procedures as well as operational procedures for the essential functions. Sample text for this section includes:***

Upon activation of the Continuity of Operations Plan, **[*insert organization name*]** will continue to operate at its primary facility until ordered to cease operations by **[*insert authority*]** using **[*insert method of notification here*]**. At that time, essential functions will transfer to the alternate relocation facility. **[*Insert Department or Agency*]** must ensure that the COOP Plan can become operational within the minimal acceptable period for MEF disruption, but in all cases within 12 hours of plan activation.

The COOP Relocation Team will arrive at the ARF first to prepare the site for the arrival of the emergency relocationpersonnel (ERP). Upon arrival at the ARF, the CRT will:

* Ensure infrastructure systems, such as power and HVAC are functional
* Prepare check-in duty stations for ERP arrival
* Field telephone inquiries from ERP and non-ERP staff
* **[*Insert additional tasks here*]**

As the emergency relocation personnel arrive at the ARF, **[*insert office/title*]** will in-process the staff to ensure accountability. In-processing procedures are conducted in **[*insert exact location of in-processing*]** and will consist of the following steps: **[*insert steps to in-process ERP here, including how to obtain the roster of ERP and how the organization will reach individuals who have not in-processed for accountability, etc.*]** In addition, the office will identify all organizational leadership available at the ARF.

Upon arrival at the ARF, **[*insert Department or Agency*]** emergency relocation personnel will:

* Report immediately to **[*insert location*]** for check-in and in-processing
* Receive all applicable instructions and equipment
* Report to their respective workspace as identified in **[*insert location*]** or as otherwise notified during the activation process
* Retrieve pre-positioned information and activate specialized systems or equipment
* Monitor the status of **[*insert Department or Agency*]** personnel and resources
* Continue **[*insert Department or Agency*]** essential functions
* Prepare and disseminate instructions and reports, as required
* Document all COOP activities. (This may be done in WebEOC, under the COOP activation disaster name with the prospect of an HSEEP compliant AAR and IP.)
* Comply with any additional COOP Plan reporting requirements with the EOC
* Notify family members, next of kin, and emergency contacts of preferred contact methods and information
* **[*Insert additional tasks here*]**

A significant requirement of emergency relocation personnel is to account for all **[*insert Department or Agency*]** personnel. **[*Insert Department or Agency*]** will use the following processes to account for all personnel:

* **[*Insert processes here, such as using call down telephone trees, a 1-800 number, an alert and notification system, a website, etc. Include how will the organization and what office and title of within the office is responsible for communicating with personnel who are unaccounted for*]**

During COOP operations, **[*insert organization name*]** may need to acquire necessary personnel, equipment, and supplies on an emergency basis to sustain operations for up to 30 days or until normal operations can be resumed. **[*Insert office/title/authority*]** maintains the authority for emergency acquisition. Instructions for these actions are found in ***[insert instructions below or insert location of instructions if found in another document]***.

## PHASE IV – RECONSTITUTION

***Organizations must identify and outline a plan to return to normal operations once organization heads or their successors determine that reconstitution operations for resuming normal business operations can be initiated. Sample text for this section includes:***

Within **[*insert time period*]** of a COOP activation relocation, the following individuals will initiate and coordinate operations to salvage, restore, and recover the **[*insert Department or Agency*]**primary facility after receiving approval from the appropriate county, local, state, and federal law enforcement and emergency services:

* **[*Insert title or titles*]** will serve as the Reconstitution Manager for all phases of the reconstitution process
* Each **[*insert Department or Agency*]** divisions or sections will designate a reconstitution point-of-contact to work with the Reconstitution Team and to update office personnel on developments regarding reconstitution and provide names of reconstitution point-of-contact to **[*insert title/office*]** within **[*insert number*]** hours of activation of the Continuity of Operations Plan

During COOP operations, **[*insert office/title*]** must access the status of the facilities affected by the event by **[*insert methods here*]**. Upon obtaining the status of the facility, **[*insert Department or Agency*]** will determine how much time is needed to repair the affected facility and/or acquire a new facility. This determination is made in conjunction with **[*insert offices and organizations here*]**. Should **[*insert Department or Agency*]** decide to repair the affected facility, **[*insert office/title*]** has the responsibility of supervising the repair process and must notify **[*insert office/title*]** of the status of repairs, including estimates of when the repairs will be completed.

Reconstitution procedures will commence when the **[*insert Department or Agency Head*]** or other authorized person ascertains that the emergency situation has ended and is unlikely to reoccur. The reconstitution plans are viable regardless of the level of disruption that originally prompted implementation of the Continuity of Operations Plan. Once the appropriate **[*insert Department or Agency*]** authority has made this determination in coordination with other county, state and federal authorities, one or a combination of the following options may be implemented, depending on the situation:

* Continue to operate from alternate facility
* Reconstitute the **[*insert Department or Agency*]** primary facility and begin an orderly return to the facility
* Begin to establish a reconstituted ***[insert Department or Agency*]** in some other facility
* Forethought for an orderly response, recovery, and termination from any incident or emergency.
* **[*Insert any additional organization options here*]**

Prior to relocating to the current primary operating facility or another facility, **[*insert office/title*]** will conduct appropriate security, safety, and health assessments to determine building suitability. In addition, **[*insert office/title*]** will verify that all systems, communications, and other required capabilities are available and operational and that **[*insert Department or Agency*]** is fully capable of accomplishing all essential functions and operations at the new or restored facility.

Upon a decision by the **[*insert Department or Agency Head*]** or other authorized person that the **[*insert Department or Agency*]** primary facility can be reoccupied or that **[*insert Department or Agency*]** will re-establish itself in a different facility:

* The [***insert Department or Agency***] Continuity of Operations Coordinator or other authorized individual must notify the PBC Emergency Operations Center, through CWP via telephone (561) 712.6428, regarding COOP activation and relocation status, the [***insert Department or Agency***] alternate location, operational and communication status, and anticipated duration of relocation. [***Insert Department or Agency***] shall submit a Continuity of Operations Status Report to [countywarningpoint@pbcgov.org](mailto:Divisionofemergencymanagement@pbcgov.org), or by fax to (561) 712.6464.
* [***Insert office/title***] will develop space allocation and facility requirements
* [***Insert office/title***] will notify all personnel that the emergency or threat of emergency has passed and actions required of personnel in the reconstitution process using ***[insert method of communication here***]
* [***Insert office/title, if a County agency***] will coordinate with Facilities Development & Operations and /or other applicable facility management group to obtain office space for reconstitution, if the primary facility is uninhabitable
* [***Insert office/title***] will develop procedures , as necessary, for restructuring staff
* [***Insert any additional activities associated with planning for reconstitution here***]

Upon verification that the required capabilities are available and operational and that **[*insert Department or Agency*]** is fully capable of accomplishing all essential functions and operations at the new or stored facility, **[*insert office/title*]** will begin supervising a return of personnel, equipment, and documents to the normal operating facility or a move to another temporary or permanent primary operating facility. The phase-down and return of personnel, functions, and equipment will follow the priority-based plan and schedule outlined below; **[*insert Department or Agency*]** will begin development of specialized return plans based on the incident and facility within **[*insert number*]** hours of plan activities.

* **[*Insert priority-based phase-down and return plan here*]**

**[*Insert Department or Agency*]** will continue to operate at its continuity facility until ordered to cease operations by **[*insert authority*]** using **[*insert method of notification here*].** At that time, essential functions will transfer to the primary operating facility. **[*Insert Department or Agency*]** has developed plans to instruct personnel on how to resume normal operations as outlined below; **[*insert Department or Agency*]** will begin development of specialized resumption plans based on the incident and facility within **[*insert number*]** hours of plan activation.

* [***Insert normal operations resumption plan here***]

**[*Insert office/title*]** will identify any records affected by the incident by **[*Insert identification processes or contacts here*].** In addition, **[*Insert office/title*]** will effectively transition or recover vital records and databases, as well as other records that have not been designated as vital records, using the plan outlined below; **[*Insert Department or Agency*]** will begin development of specialized vital records transition and recovery plans based on the incident and facility within **[*insert number*]** hours of plan activation.

* **[*Insert vital records transition and recovery plan here*].**

When the continuity personnel, equipment, and documents are in place at the new or restored primary operating facility, the remaining **[*insert Department or Agency*]** staff at the alternate relocation facility or devolution site will transfer essential functions, cease operations, and deploy to the new or restored primary operating facility. **[*Insert title or titles*]** shall oversee the orderly transition from the ARF of all **[*insert Department or Agency*]** functions, personnel, equipment, and records to a new or restored primary operating facility.  **[*Insert office/title*]** is responsible for developing a process for receiving and processing employee claims during the COOP event, including processing human capital claims (Workers’ Compensation for injuries, overtime pay, etc) and replacing lost or broken equipment.

**[*Insert Department or Agency*]** will conduct an After Action Review (AAR) once it is back in the primary operating facility or established in a new primary operating facility. **[*Insert office/title*]** has the responsibility for initiating and completing the AAR. All offices within **[*Insert Department or Agency*]** will have the opportunity to provide input to the AAR. This AAR will study the effectiveness of the Continuity of Operations Plan and procedures, identify areas for improvement, and document these in the **[*insert Department or Agency*]** Corrective Action Program (CAP), and then develop a remedial action plan as soon as possible after the reconstitution. **[*Insert office/title*]** has the responsibility for documenting areas for improvement in the CAP and developing a remedial action plan. In addition, the AAR will identify which, if any, records were affected by the incident, and will work with **[*insert office*]** to ensure an effective transition or recovery of vital records and databases and other records that had not been designated as vital records. AAR and CAP documentation are maintained by the **[*insert office*]** and are found at **[*insert location*].**

## DEVOLUTION OF CONTROL AND DIRECTION

***Devolution planning supports overall continuity planning and addresses the full spectrum of threats and all-hazards emergency events that may render an organization’s leadership or staff unavailable to support, or incapable of supporting, the execution of the organization’s essential functions from either its primary location or its alternate relocation facility. Sample text for this section includes:***

**[*Insert Department or Agency*]** is prepared to transfer all of their essential functions and responsibilities to personnel at a different location should emergency events render leadership or staff unavailable to support the execution of **[*insert Department or Agency*]** essential functions. If deployment of continuity personnel is not feasible due to the unavailability of personnel, temporary leadership of **[*insert Department or Agency*]** will devolve to **[*insert office name and location*].**

**[*Insert office/title*]** maintains responsibility for ensuring the currency of the **[*insert Department or Agency*]** devolution plan. The **[*insert Department or Agency*]** devolution plan:

1. Includes the elements of a viable COOP capability: program plans and procedures, budgeting and acquisitions, essential functions, orders of succession and delegations of authority specific to the devolution site, interoperable communications, vital records management, staff, test, training, and exercise (TT&E), and reconstitution. The **[*insert Department or Agency*]** devolution plan is located **[*insert location, insert devolution plan below, or insert the applicable plan appendix for devolution*].**
2. Identifies prioritized essential functions, defines tasks that support those essential functions, and determines the necessary resources to facilitate those functions. The list of prioritized essential functions for devolution is found at **[*insert location*].**
3. Includes 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 and activities when the devolution option of the COOP is activated. The devolution personnel roster is found at **[*insert location*].**
4. Identifies what would likely activate or “trigger” the devolution option and specifies how and when direction and control of **[*insert Department or Agency*]** operations will be transferred to and from the devolution site. Devolution activation protocols or “triggers” are found **[*insert location*].**
5. Determines and lists or references 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 **[*insert location*].**
6. Establishes and maintains reliable processes and procedures for acquiring the resources necessary to continue essential functions and to sustain those operations for extended periods. The **[*insert office/title*]** is responsible for acquiring resources during a devolution situation. Acquisition processes and procedures are found in **[*insert location*].**
7. Establishes and maintains a capability to restore or reconstitute **[*insert Department or Agency*]** authorities to their pre-event status upon termination of devolution.

**[*Insert Department or Agency*]** conducts and documents annual training of devolution staff and a biennial exercise to ensuredevolution capabilities are prepared and capable of performing essential functions. This documentation includes the dates of all TT&E events and names of participating staff. The **[*insert Department or Agency*]** devolutionTT&E documentation is maintained by **[*insert office/title*]** and is found at **[*insert location***]. Further, the **[*insert Department or Agency*]** CAP supports the devolution program. The **[*insert Department or Agency*]** CAP is maintained by **[*insert office/title*]** and CAP documentation is found at **[*insert location*].**

# essential functions

***This section includes a list of the agency’s prioritized MEF, PMEFs and the Recovery Time Objectives (RTOs) required for each. Essential Functions are those agency functions and processes that must be continued throughout, or resumed rapidly after a disruption of normal operations. They also include agency missions required to be performed to provide vital services, exercise civil authority, maintain the safety and health of the public, and sustain the industrial and economic base, during a disruption. While many agency functions are important, during a disruption agencies must be able to focus their efforts and limited resources on functions that cannot be deferred. The agency plan should include agency MEFs and PMEFs regardless of where those functions are performed. The plan should not include ALL FUNCTIONS that the agency performs.***

***The six basic steps of the MEF identification process are:***

1. ***Identify agency functions and processes***
2. ***Identify candidate agency MEFs***
3. ***Develop MEF data sheets***
4. ***Prioritize candidate MEFs (by RTO)***
5. ***Submit candidate MEFs for agency leadership approval***
6. ***Complete a Business Process Analysis (BPA) as outlined in Appendix D***

***RTOs should be developed in step #3 above. RTOs are considered to be the maximum amount of time that a function or service can be interrupted before it must be restored to an acceptable level of operation. Factors such as legal, regulatory, contractual, or financial impacts of the outage should be considered. Loss of reputation, public confidence, and other intangible factors also might need consideration. RTO’s should be specific and not a range of hours or days.***

***For some agencies with cyclical or seasonal MEFs, RTOs may vary depending on the time of the year. In these instances, more than one RTO should be included for each MEF along with a corresponding date range. MEFs should be prioritized by RTOs.***

***When completing the BPA for each MEF, it may be helpful to review the agency’s Business Impact Analysis (BIA). The BIA may be a useful tool to help identify Primary Business Functions (PBFs) that support agency MEFs. It is recommended that a BPA be completed for each supporting PBF to document the resources, staff, partners, and interdependencies required for performance.***

***RTOs are considered to be the maximum amount of time that a function or service can be interrupted before it must be restored to an acceptable level of operation. Factors such as legal, regulatory, contractual, or financial impacts of the outage should be considered. Loss of reputation, public confidence, and other intangible factors also might need consideration. RTO’s should be specific and not a range of hours or days. Sample for this text includes:***

When confronting events which disrupt normal operations, **[*insert Department or Agency Name*]** is committed to ensuring that Essential Functions and Processes will be continued even under the most challenging emergency circumstances. The **[*insert Department or Agency Name***] has identified essential only those priority mission that are required by statute, regulation or executive order, or are otherwise necessary to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace. During activation of this COOP, all other activities may be suspended to enable the agency to concentrate on providing the essential functions and building the internal capabilities necessary to increase and eventually restore operations. Appropriate communications with regular or expected users of services provided by those suspended services shall be a priority.

## MISSION ESSENTIAL FUNCTIONS

Mission essential functions (MEF) are those critical areas that must continue even in the event of an emergency, functions and processes that must be performed to achieve [***Insert Department/ agency Name***] primary mission. To ensure the relocated staff can complete [***Insert jurisdiction’s Name***] mission essential functions, it is important to establish priorities to an emergency. The [***Insert Department/ agency Name***] MEFs include areas in local government that must be performed under mandate from state statutes and the [***Insert Department/ agency Name***] charter or other like documents.

The [***Insert Department/ agency Administrator***] shall ensure that [***Insert Department/ agency Name***] essential functions can continue or resume as rapidly and efficiently as possible during an emergency relocation. Any task not deemed essential must be deferred until additional staff and resources become available.

The ***[insert name of department/agency]*** has identified mission essential functions (MEFs) and the Recovery Time Objective (RTO) required for each function.

The MEFs listed in the table below are prioritized by RTO to assist the agency and staff in knowing which functions must be recovered first. Staff is assigned based on their knowledge of performing MEFs. More information on the business processes identified for each MEF can be found in Attachment D – Business Process Analysis.

Table 6  
*Mission Essential Functions (MEFs)*

| **Mission Essential Function** | **Description** | **RTO** |
| --- | --- | --- |
| Coordinate and/or administer emergency response and disaster preparedness programs | Protect the lives and property of Palm Beach County citizens from emergencies and disasters by coordinating and/or administrating emergency response and preparedness efforts. | < 2 hours |
| Coordinate and support Continuity of Operations. | Provide continuity guidance and support to departments, organizations, agencies and institutions of higher education | < 2 hours |
| Protect the life and safety of employees and visitors while on County property | Provide a safe and secure environment by maintaining on site law enforcement and security services. | < 2hours |

## PRIMARY MISSION ESSENTIAL FUNCTIONS

Primary Mission Essential Functions (PMEFs) are mission essential functions which must be performed in order to support the performance of the agency’s essential functions before, during and in the aftermath of an emergency. PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

## PRIORTIZING ESSENTIAL FUNCTIONS

In planning for COOP activation, it is important to establish priorities before an emergency to ensure that the COOP Relocation Team (CRT) can complete mission essential functions that are critical to the overall operation of the[***insert Department or Agency Name***] and that support emergency response efforts within the [***Insert name of Jurisdiction***]. The [***insert Department or Agency Name of Administrator’s title***] and the CRT shall ensure that MEFs can continue or resume as rapidly and efficiently as possible during an emergency relocation. Any task not deemed mission essential must be deferred until additional personnel and resources become available.

Each essential function has a critical time, or the amount of time a particular function can be suspended before its absence has an adverse effect on [***insert Department or Agency Name***] core mission. Essential functions with shorter critical times are generally ranked higher than essential functions with longer critical times. Priority ranking is used following an emergency to prioritize essential function continuity and resumption efforts.

Each [***insert Department or Agency Name***] section must review its relationship to the other [***insert Department or Agency Name***] sections to identify interdependencies by reviewing the process required to carry out each of the [***insert Department or Agency Name***] essential functions, in light of available personnel to carry them out.

The mission essential functions are categorized as follows:

* Category 1: Mission Critical – Essential functions that cannot be interrupted or can be only minimally interrupted following an incident.
* Category 2: Immediate Post-Incident – services that must be brought back online as soon as possible and no later than 12 hours after an incident
* Category 3: Long-term Essential Functions - Essential functions that can be interrupted for the first 30 days following an incident, but must be resumed thereafter.

Both categories 1 and 2 are considered to be essential functions. The positions necessary to carry out essential functions, along with business unit support duties are listed in Attachment C, Essential Functions and Supporting Resources.

The [***insert Department or Agency Name***] has identified and prioritized Mission Essential Functions in [***insert type of document and page number***], Prioritized Listing of Essential Functions, in the Appendix. Mission Essential Functions and their supporting critical processes and services, support personnel, and resources shall be reviewed and updated on an as-needed basis or, at a minimum, on an annual basis if there are no major programmatic or customer-based changes within the organization.

The **[*insert Department or Agency Name*]** has identified mission essential functions (MEFs) and the Recovery Time Objective (RTO) required for each function.

The MEFs listed in the table below are prioritized by RTO to assist the agency and staff in knowing which functions must be recovered first. More information on the business processes identified for each MEF can be found in Appendix E – Business Process Analysis.

Table 7  
*Examples of Mission Essential Functions (MEFs)*

| **Mission Essential Function** | **Description** | **RTO** |
| --- | --- | --- |
| Coordinate and/or administer emergency response and disaster preparedness programs | Protect the lives and property of Palm Beach County citizens from emergencies and disasters by coordinating and/or administrating emergency response and preparedness efforts. | < 2 hours |
| Coordinate and support continuity of government. | Provide continuity guidance and support to County department, agencies and institutions of higher education). | < 2 hours |
| Protect the life and safety of employees and visitors while on the property | Provide a safe and secure environment by maintaining on site law enforcement and security services. | < 2hours |

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# VITAL RECORDS MANAGEMENT

***The identification, protection, and ready availability of vital records, databases, and hardcopy documents needed to support MEFs and PMEFs under the full spectrum of all hazards emergencies are critical elements of a successful COOP and program. Sample text for this section includes:***

“Vital records” refers to information systems and applications, electronic and hardcopy documents, references, and records, to include classified or sensitive data, needed to support PMEFs and MEFs during a continuity event. **[Insert *Department or Agency Name*]** has incorporated its vital records program into the overall continuity program, plans, and procedures.

**[*Insert Department or Agency Name*]**’s vital records program incorporates into the overall continuity plan with a clear authority to include:

**[Insert Department or Agency Name]**’s official vital records program:

• Identifies and protects those records that specify how an organization will operate in an emergency or disaster

• Identifies those records necessary to the organization’s continuing operations

• Identifies those records needed to protect the legal and financial rights of the government and citizens

• Policies

• Authorities

• Procedures

• The written designation of **[*insert Department or Agency Name*]** vital records manager

As soon as possible after activation of the Continuity of Operations Plan, but in all cases within 12 hours of activation, continuity personnel at the continuity facility for **[*insert Department or Agency Name*]** must have access to the appropriate media for accessing vital records, including:

• A local area network

• Electronic versions of vital records

• Supporting information systems and data

• Internal and external e-mail and e-mail archives

• Hard copies of vital records

• **[*Insert any other media here*]**

**Identifying Vital Records**

The identification, protection, and ready availability of organizational essential records, applications, databases, emergency operating records, rights and interests records, and other documents are critical to the successful implementation and execution of a COOP. These records support the execution of organizational essential functions, as well as Governmental Primary Mission Essential Functions and Mission Essential Functions.

A vital records program identifies and protects those records that specify how an agency will operate in an emergency or disaster, those records necessary to the continued operations of the agency, and those records needed to protect the legal and financial rights of the government and citizens.

Vital records are electronic and hardcopy documents, references, and records needed to support essential functions during a COOP situation. The two (2) basic categories of vital records include emergency operating records, and legal and financial records. These two basic categories of vital records were established by the National Archives and Records Administration (NARA) in 36 CFR 1236.

Emergency operating records include but are not limited to:

* Plans and directives
* Orders of succession
* Delegation of Authorities
* References for performing essential functions.

Legal and financial records include but are not limited to:

* Personnel records
* Social Security records
* Payroll records
* Retirement records
* Insurance records
* Contract records
* Mutual Aid Agreements

In addition to these two categories, COOP personnel may require other materials, records, and resources in order to complete their mission essential functions. These materials, records and resources are considered vital to the organization and vital for the COOP. Although these materials, records, and resources do not fit into the two NARA defined categories, they should be considered to be vital records as they are required for the organization’s mission essential functions.

**Mutual Aid**

Mutual aid agreements are part of the legal and financial records that are considered vital records. The Statewide Mutual Aid Agreement (SMAA) was amended in 2001. Palm Beach County has 39 municipalities and multiple taxing districts within its geographic boundaries. All municipalities and most taxing districts with emergency response capabilities are currently signatories or are in the process of becoming signatories. The agreement provides for standard protocols in the request, utilization and reimbursement process of all mutual aid resources. The PBCDEM maintains a log of updated mutual aid agreements and a current listing of contact persons. All agencies requesting or responding to mutual aid requests through the SMAA should coordinate response efforts through the State Emergency Operations Center (SEOC). It is vital that these records are included in the vital records program.

**Human Resources System Records**

This includes the records associated with payroll to insure that employees are paid and that personnel, payroll, social security, retirement, insurance, and contract records and obligations are kept current through the emergency. It is vital that the organization continue the capability of meeting payroll and all ancillary functions this represents.

**[*Insert Department or Agency Name*]** has identified the following as vital to its operations, and has assigned responsibility for those records to **[*insert personnel or office here*]**, which includes a combination of continuity personnel and records management personnel. Also included is an analysis of which vital records and databases may be pre-positioned at the alternate facility prior to deployment. **[*Insert Department or Agency Name*]** has a maintenance program to assure the records are accurate, current, and frequently updated. The maintenance program identifies the records and who maintains and updates these records, and assures the availability of Emergency Operating records.

[***Insert Department or Agency Name***] maintains a complete inventory of vital records, along with the locations of and instructions on accessing those records. These records are located at [***insert location/ office***]. This inventory will be maintained at a back-up/offsite location located at [***insert location(s) here***] by [***insert office***] to ensure continuity if the primary site is damaged, destroyed, or unavailable (FEMA and the National Archives suggest that vital records should be stored off site). Back-up emergency operating records should be stored at least 30 miles from the site, and the legal and financial records may be stored further away. This protects against an area wide emergency wherein the records may not be available due to storage location. Offsite storage options include:

* Regional Office for agencies covering a wide area
* An Agency Owned and Operated Facility
* NARA Records Center when appropriate
* Commercial Storage
* Hot Site: Office space somewhere else totally wired and ready to work in
* Cold Site: Empty office space somewhere else that has not been pre-wired

**[*Insert office*]** developed and maintains a vital records plan packet or collection located at

**[*insert location/office*]**. The packet or collection includes:

* A hard copy or electronic list of **[*insert Department or Agency Name*]** key organization personnel and continuity personnel with up-to-date telephone numbers
* A vital records inventory with the precise locations of vital records prepared by

**[*insert office*]**

* Updates to the vital records
* Necessary keys or access codes
* Listing of the access requirements and sources of equipment necessary to access the records
* **[*Insert Department or Agency Name*]** alternate relocation facility locations
* Lists of records recovery experts and vendors provided by **[*insert office*]** and located at **[*insert location*]**
* A copy of the **[*insert Department or Agency Name*]** COOP
* **[*Insert any other documents included in the packet here*]**

For the above items, **[*insert office*]** is responsible for providing access requirements and lists of sources of equipment necessary to access the records (this may include hardware and software, microfilm readers, Internet access, and/or dedicated telephone lines). These requirements and lists are found at **[*insert location/office*]**.

This packet will be annually reviewed by **[*insert office*]** with the date and names of the personnel conducting the review documented in writing to ensure that the information is current. A copy will be securely maintained at the **[*insert Department or Agency Name*]** continuity facilities and **[*insert any other locations here*]**, so it is easily accessible to appropriate personnel when needed.

**Protecting Critical Applications and Vital Records**

The protection of critical applications and vital records is essential to ensuring they are available during a continuity event, thus enabling agencies to conduct MEFs and PMEFs. **[*Insert Department or Agency Name*]** has conducted a vital records and application/database risk assessment to:

• Identify the risks involved if vital records are retained in their current locations and media, and the difficulty of reconstituting those records if they are destroyed

• Identify offsite storage locations and requirements

• Determine if alternative storage media is available, and if critical applications will be available at the COOP relocation site to ensure ongoing operations

• Determine requirements to duplicate records and provide alternate storage locations to provide readily available vital records under all conditions

The vital records and database risk assessment was performed by **[*insert office*]** and is located in **[*insert location*]**.

Appropriate protections for vital records will be provided by **[*insert office*]** and will include dispersing those records to other agency locations or storing those records offsite. Other protections include **[*insert additional* *protections here, including multiple redundant media for storage*]**.

When determining and selecting protection methods, **[*insert Department or Agency Name*]** takes into account the special protections needed by different kinds of storage media. Microforms, paper photographs, and computer disks, tapes, and drives, all require different methods of protection. Some of these media may also require equipment to facilitate access.

# ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

***This section should include additional delineation of continuity of operations responsibilities of each key staff position. Sample text for this section includes:***

Every employee is important to the achievement of the **[*insert Department or Agency*]**’s mission. However, like critical processes and services, each essential function has associated key personnel and positions that are necessary to the continuity of **[*insert Department or Agency*]**’s operations. They represent strategically vital points in **[*insert Department or Agency*]**’s management and authority and underscore the essential functions of **[*insert Department or Agency*]** that must be carried out. If these positions are left unattended, **[*insert Department or Agency*]** will not be able to meet customer needs or fulfill its essential functions. This is why **[*insert Department or Agency*]** includes a succession planning and management component in the event these key positions suddenly become vacant. Succession planning and management ensures the continued effective performance of **[*insert Department or Agency*]** by making provisions for the replacement of people in key positions.

## PESONNEL TO PERFORM ESSENTIAL FUNCTIONS

Based on the **[*insert Department or Agency*]** or agency or jurisdiction’s list of essential operations or functions, decision can be made regarding the staff that will be required to perform those functions during an emergency. In general, key personnel will be identified for the positions listed below.

The following table shows examples of some of the continuity of operations responsibilities.

Table 8

*COOP Responsibilities*

| **POSITION** | **RESPONSIBILITIES** |
| --- | --- |
| Director | * Provide strategic leadership and overarching policy direction for the Continuity of Operations Program * Implement the Continuity of Operations Plan when necessary, or when directed by the Public Safety Director * Ensure adequate funding is available for emergency operations * Update and promulgate orders of succession and delegation of authority * Ensure all stakeholders participate in the Continuity of Operations exercises * Notify County officials and stakeholders of COOP activation * Request alternate relocation facility “Start-up” procedures * Have a telework agreement for continuity personnel |
| Continuity of Operations Relocation Team (CRT) | * Ensure all phone calls are made to stakeholders * Knowledge of overall continuity of operations coordination for the organization * Perform mission essential functions for up to 30 days * Be prepared to deploy and provide complete contact information to Director * Be familiar with continuity planning and know individual roles and responsibilities in the event of continuity of operations plan activation * Maintain complete key personnel roster * Ensure all vehicles are moved out of harm’s way * Participate in continuity training and exercises |
| Continuity of Operations Support Team (CST) | * Develop and update Continuity of Operations Plan * Be prepared to deploy and support organizational essential functions in the event of a Continuity Plan implementation * Knowledge of overall continuity of operations * Coordination for the organization * Stay in contact with CRT Chief * Upon activation of COOP, remain or return home, pending further instructions. * Provide contact information to CRT Chief * Report to alternate relocation facility as directed * Assist with ARF start-up procedures * Participate in continuity training and exercises |
| Alternate Relocation Facility Manager | * Maintain alternate relocation facility in “readiness” state * Develop and implement COOP site procedures * Initiate start-up of ARF upon notification of COOP activation |
| Information & Technology | * Maintain information system and ensure systems are backed up daily * Ensure connectivity exists at the ARF * Provide systems technical support during COOP activation |
| Communications | * Update telephone rosters monthly * Conduct alert and notification tests |
| Training & Exercise Coordinator | * Develop and lead Continuity of Operations Training * Plan Continuity of Operations Exercises |
| Public Information Officer | * [***Insert Department or Agency’s PIO Responsibilities here****]* |
| Human Resource | * [***Insert Department or Agency’s Human Resource Responsibilities here****]* |

The COOP should include a roster of fully equipped and trained emergency personnel with the ability to perform essential functions and activities.

## ORDERS/LINES OF SUCCESSION

***This section identifies current orders of succession for agency executive leadership, and may include others deemed appropriate by the agency. Orders of succession are provisions that are implemented when personnel are unable to execute their duties (due to an extended absence) or during an emergency or disaster. Departments must establish, communicate, and maintain their orders of succession for management and leadership positions. Revisions should be distributed to agency personnel as changes occur. Succession may be addressed through by-laws, codes, ordinances, or internal policy. When considering succession, attempt to identify at least two successors to an incumbent. Some positions may require successors from outside the immediate department or even the agency. There also may be situations in which it is necessary to assign successors from outside the geographic proximity.***

***Skill-sets for incumbents and successors should be matched as much as possible. Any cross-training needs should be considered and addressed when the succession is defined.***

***In the first column of the table below, list the position title of the administrator, director, or manager. In column 2, list the method by which key personnel, staff, and interdependent agencies or organizations will be notified of change in succession. In columns 3-5 list the successors to this position. The same successors might be named for different management and leadership positions, but avoids designating the same position as the first successor to several key positions. Use the title of the position instead of employee names. Sample text for this section includes:***

Pre-identifying orders of succession is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill his/her essential duties, successors have been identified to ensure there is no lapse in executive leadership. Authority shall return to the agency leader when the agency leader is capable of resuming essential duties or a permanent replacement has been chosen in accordance with agency policy. ***[Insert Department or Agency]***’s orders of succession and method of notification to personnel are:

Table 9*Orders of Succession*

| **Position** | **Notification Method** | **Successor #1** | **Successor #2** | **Successor #3** |
| --- | --- | --- | --- | --- |
| Director of Finance | Email/ Cell phone | Deputy Director of Finance | Budget Manager | Payroll Specialist |
| Operations Manager | Email/Cell phone | Assistant Operations Manager | Senior Planner | Communication Lead |
|  |  |  |  |  |
|  |  |  |  |  |

## DELEGATION OF AUTHORITY

***This section should identify, by position (when possible), the formal or legal authority which allows individuals to make key policy decisions and/or perform specific functions. Authority types can include statutory or signatory authorities. List the authority to be delegated, type of authority, and the position currently holding the authority. Then list the position the authority is being delegated to, the triggering condition(s), and any limitations on the authority. Sample text for this section includes:***

Generally, pre-determined delegations of authority will take effect when normal operations are disrupted and terminate when these have resumed. ***[Insert name of agency]*** has identified the following delegations of authority:

Table 10  
*Delegations of Authority*

| **Authority (Function)** | **Type of Authority** | **Position Holding Authority** | **Delegation to Position** | **Triggering Conditions** | **Limitations** |
| --- | --- | --- | --- | --- | --- |
| Issue Contracts | Signature Authority | Procurement Manager | Assistant Procurement Manager | Incapacitated or unavailable | Upon return of incumbent |

## HUMAN CAPITAL

***This section focuses on the organizational continuity personnel and all other special categories of employees who have not been designated as continuity personnel. This section should concentrate on three areas: Continuity Personnel, All Staff, and Human Capital Considerations. Sample text for this section includes:***

**Continuity Personnel**

People are critical to the operations of any organization. Choosing the right people for an organization’s staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a COOP event, emergency employees and other special categories of employees will be activated by **[*Department or agency Name*]** to perform assigned response duties. One of these categories is continuity personnel, commonly referred to as Emergency Relocation Group (ERG) members.

In respect to these continuity personnel, **[*Department or agency Name*]** has:

• Identified and designated those positions and personnel they judge to be critical to organizational operations in any given emergency situation as continuity personnel. A roster of these positions is maintained by ***[insert office/title]*** and is found at ***[insert location].***

• Identified and documented its continuity personnel. These personnel possess the skill sets necessary to perform essential functions and supporting tasks. A roster of these personnel is maintained by ***[insert office/title]*** and is found at ***[insert location].***

• Officially informed all COOP personnel of their roles or designations by providing documentation in the form of ***[insert type of documentation here]*** to ensure that COOP personnel know and accept their roles and responsibilities. Copies of this documentation are maintained by ***[insert office/title]*** and found at ***[insert location].***

• Ensured COOP personnel participate in their organization’s Continuity of Operations TT&E program, as reflected in training records. Training records are maintained by ***[insert office/title]*** and found at ***[insert location].***

• Provided guidance to COOP personnel on individual preparedness measures they should take to ensure response to a COOP event using ***[insert methods of providing guidance here]***. Copies of this guidance are maintained by ***[insert office/title*]** and found at ***[insert location*].**

**All Staff**

It is important that ***[insert Department or Agency Name]*** keep all staff, especially individuals not identified as COOP personnel, informed and accounted for during a COOP event. ***[Insert Department or Agency Name]*** has established procedures for contacting and accounting for employees in the event of an emergency, including operating status.

• ***[Insert Department or Agency Name]*** employees are expected to remain in contact with ***[insert office/title, such as supervisors]*** during any closure or relocation situation. ***[Insert procedures to communicate how, and the extent to which, employees are expected to remain in contact with the agency during any closure or relocation situation].***

• ***[Insert Department or Agency Name]*** ensures staff is aware of and familiar with human capital guidance in order to continue essential functions during an emergency. ***[Insert Department or Agency Name]*** uses the following methods to increase awareness: ***[Insert methods here, such as utilizing an intranet website or employee orientation briefing]***.

Accounting for all personnel during a COOP event is of utmost importance. In order to account for all staff, ***[insert Department or Agency Name]*** will ***[insert accountability process here, such as call trees, an automated system, a 1-800 number, etc.]*** Accountability information is reported to ***[insert office/title]*** at ***[insert number]*** hour increments. ***[Insert office]*** has the responsibility of attempting to contact those individuals who are unaccounted for.

An event that requires the activation of the Continuity of Operations Plan may personally affect ***[insert Department or Agency Name]*** staff. Therefore, the ***[insert office]*** has the responsibility to create provisions and procedures to assist all staff, especially those who are disaster victims, with special human capital concerns following a catastrophic disaster. These provisions and procedures are found at ***[insert location]***.

**Human Capital Considerations**

The ***[insert Department or Agency Name]*** COOP Program, plans, and procedures incorporate existing agency-specific guidance and direction for human capital management, including guidance on pay, leave, administrative leave, layoff, work scheduling, benefits, telework, hiring, authorities, and flexibilities. The ***[insert office]*** has the responsibility for ***[insert Department or Agency Name]*** human capital issues. A copy of these policies and guidance is found at ***[insert location]***.

The ***[insert Department or Agency Name]*** Continuity Coordinator works closely with the ***[insert appropriate human capital office/title here]*** to resolve human capital issues related to a continuity event. ***[Insert office/title]*** serves as the ***[insert Department or Agency Name]*** human capital liaison to work with the Continuity Coordinator when developing or updating the organization’s emergency plans.

***[Insert Department or Agency Name]*** has developed organization-specific guidance and direction for COOP personnel on human capital issues. This guidance is integrated with human capital procedures for its facility, geographic region, and the Office of Personnel Management (OPM) or similar organization. This guidance is maintained by ***[insert office/title]*** and found at ***[insert location]***. ***[Insert Department or Agency Name]*** has issued COOP guidance for human capital on the following issues:

* Additional Staffing: ***[Insert guidance here or location of guidance]***
* Work Schedules and Leave: ***[Insert guidance here or location of guidance]***
* Employee Assistance Program: ***[Insert guidance here or location of guidance]***
* Special Needs Employees: ***[Insert guidance here or location of guidance]***
* Telework: ***[Insert guidance here or location of guidance]***
* Benefits: ***[Insert guidance here or location of guidance]***
* Premium and Annual Pay Limitations: ***[Insert guidance here or location of guidance]***
* ***[Insert additional topics here]***

Further, ***[insert office/title]*** communicates human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) to managers in an effort to help continue essential functions during an emergency. The process for communicating this information is as follows: ***[Insert communication methods and processes here]***.

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# DIRECTION, CONTROL, AND COORDINATION

***This section describes the framework for all direction, control, and coordination activities. This section also provides information on how the COOP fits into similar plans horizontally and how higher-level or subcomponent plans are expected to layer on the Plan vertically. Sample text of this section includes:***

During an activation of the Continuity of Operations Plan, the **[*insert Department or Agency Head*]** maintains responsibility for direction and control of **[*insert Department or Agency*].** Should the **[*insert Department or Agency Head*]** become unavailable or incapacitated; the organization will follow the directions laid out in *Attachment I, Delegation of Authority and* *Order of Succession*.

The contents and procedures laid forth in this Continuity of Operations Plan are consistent with the direction found in the Palm Beach County Comprehensive Emergency Management Plan. As a result, this Plan and its concepts are integrated horizontally with other county organizations. Further, the Plan is reviewed and vetted by **[*insert office/title*]** to ensure vertical integration within **[*insert Department or Agency*].**

Table 11

*Disaster Intelligence Collection Requirements*

| **Information**  **Element** | **Specific**  **Requirement** | **Responsible**  **Element** | **Deliverables** | **When**  **Needed** | **Distribution** |
| --- | --- | --- | --- | --- | --- |
| Personnel  Accountability | Account for all CRT and non- ERG employees  Account for all contract personnel | Human Capital Division | Report  Briefing | Status update hourly following Plan activation | **[Organization Head]** |
| Operational  Status | Percent of ERG personnel arrived at site  Ability to conduct each essential function  Status of communications and IT systems | Continuity  Manager  Divisional representatives | Situation briefings  Situation reports | NLT than 6 hours after plan activation, then hourly | **[Organization Head]** |
| Hazard  Information | Threat details specific to the continuity facility | Response coordination center or emergency operations center | Situation briefings  Situation reports | Two times per day at shift change | **[All component heads]** |

## CONTINUITY OF OPERATIONS INTELLIGENCE

***This section describes the required critical or essential information common to all continuity events identified during the planning process. In general terms, it identifies the type of information needed, where it is expected to come from, who uses the information, how the information is shared, the format for providing the information, and any specific times the information is needed, Sample text for this section includes:***

During a continuity event, **[*insert Department or Agency*]** will require the collection and dissemination of critical information. While specific incidents may cause additional or specialized reporting requirements, the following table lists examples of the information **[*insert Department or Agency*]** must collect and report regardless of incident type during a continuity event.

Table 12

*Continuity of Operations Intelligence*

| Information Element | Specific Requirement | Responsible Element | Deliverables | When Needed | Distribution |
| --- | --- | --- | --- | --- | --- |
| Personnel accountability | Account for all CRT and CST staff | Click here to enter text. | Report  Briefing | Status updates hourly following COOP activation | Click here to enter text. |
| Operational status | Percent of CRT staff arrived at site  Ability to conduct each essential function  Ability to coordinate with agency leadership, other agencies, and critical customers  Status of communications and IT systems | Click here to enter text. | Situation briefings  Situation reports  Situation reports | No later than 6 hours after COOP activation, then hourly | Click here to enter text. |
| Hazard information | Incident details specific to the alternate facility | Click here to enter text. | Situation briefings  Situation reports | At shift change | Click here to enter text. |

## INTEROPERABLE COMMUNICATIONS

***The ability of an organization to execute its essential functions at its primary and alternate facilities depends on the identification, availability, and redundancy of critical communications and information technology (IT) systems to support connectivity among key government leadership personnel, internal organizational elements, other organizations, critical customers, and the public, during crisis and disaster conditions. Sample text for this section includes:***

**[*Insert Department or Agency*]** has identified available and redundant critical communication systems that are located at the primary operating facility and the alternate relocation facility. Further, **[*insert Department or Agency*]** maintains fully capable continuity communications that could support organization needs during all hazards, to include pandemic and other related emergencies, and give full consideration to supporting social distancing operations including telework and other virtual offices. In addition, **[*insert Department or Agency*]** maintains communications equipment for use by employees with disabilities and hearing impairment.

TABLE 13

*Interoperable Communications*

| **Communication**  **System** | **Support to**  **Essential**  **Function** | **Current**  **Provider** | **Specification** | **Alternate**  **Provider** | **Special**  **Notes** |
| --- | --- | --- | --- | --- | --- |
| Non-secure Phones |  |  |  |  |  |
| Secure Phones |  |  |  |  |  |
| Fax Lines |  |  |  |  |  |
| Cellular Phones |  |  |  |  |  |
| Satellite |  |  |  |  |  |
| Pagers |  |  |  |  |  |
| E-mail |  |  |  |  |  |
| Internet Access |  |  |  |  |  |
| Data Lines |  |  |  |  |  |
| Two-way Radios |  |  |  |  |  |
| GETS Cards |  |  |  |  |  |
| **[Insert other options here]** |  |  |  |  |  |

All **[*insert Department or Agency*]** necessary and required communications and Information and Technology (IT) capabilities must be operational as soon as possible following continuity activation, and in all cases, within 12 hours of continuity activation. [*Include Agency SOG, PPM or Plan name and location*] addresses internal and external communication systems available at one or more alternate relocation facilities for the organization, and whether these systems are transported or pre-positioned. The IT Department provides support for the communications systems.

## BUDGETING, acquisition, Logistics, and Resources

***The Administration/Finance and Logistics Sections should identify the people, communications, facilities, infrastructure, resources, and transportation requirements, which are necessary to the successful implementation and management of an organization’s Continuity of Operations Plan. In addition, the organization must identify and provide funding and specific budgetary guidance and requirements for all levels of their organization, including subordinate components, regional and executive staff. This section aligns with the Administration/Finance and Logistics Sections Coordinating Procedures. Sample text for this section includes:***

**[*Insert Department name*]** budgets for and acquires those capabilities that are essential to COOP. A copy of the budget is found at **[*insert location& office*].** Within this budget, **[*insert Department or Agency name*]** budgets for COOP capabilities in accordance with *National Security Presidential Directive (NSPD)-5/Homeland Security Presidential Directive (HSPD)-8, Administration/Finance Section Coordinating Procedure and the Logistics Section Coordinating Procedures* or other applicable directives and provides for the acquisition of those resources necessary for COOP on an emergency basis for up to 30 days or until normal operations can be resumed.

As part of the budget process, **[*insert Department or Agency name*]** uses an emergency management methodology to identify, prioritize, and justify the allocation of budgetaryresources. **[*Insert Department or Agency*]** integrates the COOP budget with its multiyear strategy and program management plan and links the budget directly to objectives and metrics set forth in that plan. A copy of the multiyear strategy and program management plan is found **at [*insert location*].**

For those contracts vital to the support of the organizational essential functions, **[*insert Department or Agency name*]** has ensured that contractor statements of work include the provision to provide staffing, services, and necessary resources during emergency conditions. A list of vital contracts is found at **[*insert location*]** and maintained by **[*insert office/title*].** During an emergency situation, **[*insert office/title*]** is responsible for oversight and handling of emergency work by contractors.

In order to support logistical and resource requirements of a COOP activation, **[*insert Department or Agency name*]** Logistics Section has inventoried and planned for a COOP event. The Logistics Section will work with the Administration/Finance Section to ensure that the proper resources are obtained to support a COOP activation, including ensuring that drive-away kits are prepared by staff to immediately evacuate building, and the alternate relocation facility has proper resources to support **[*insert Department or Agency name*]** relocation during a COOP activation.

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# ALTERNATE RELOCATION FACILITIES

***All organizations must identify and maintain at least one alternate facility, which could include alternate uses of existing facilities or virtual office options, for the relocation of a limited number of key leaders and staff, located where the potential disruption of the organization’s ability to initiate and sustain operations is minimized. The identification of equipment and other resources at the facility, as well as the operating capability of the facility, is a key component of this section. This section should explain the significance of identifying an alternate facility, the requirements for determining an alternate facility, and the advantages and disadvantages of each location. Sample text for this section includes:***

Relocation of the organization from the primary to the alternate relocation facility (ARF) will involve the movement of some resources, equipment, and vital records that are necessary to sustain or restore essential functions; therefore it is important to involve the alternate facility management team for the coordination of alternate facility support procedures. Equipment and other resources should be identified and pre-positioned as much as practicable. Maintenance of the equipment at the Alternate Facility is a key component at any relocation facility. Resources and vital records that are not already pre-positioned at the alternate relocation facilities are relatively few and compact, thus making it possible for CRT staff to use their own manpower and respective vehicles to transport them from the primary to the ARF. In instances where assistance is needed, either in terms of more manpower or vehicle space/capability, the organization will work with its local governmental partners to obtain it.

Alternate facilities in the ARF database will be evaluated annually on existing capabilities and the capacity to perform mission essential functions. Assessment areas include: construction specifications, space, billeting, personal convenience and comfort considerations (including toilet and shower facilities), site transportation and parking, interoperable communications, physical security and access controls, life support (water, electrical power, heating/ventilation/air conditioning), and logistical support. The facility must be able to sustain operations for 30 days and accommodate ***[number of staff]***. The facility must also afford sufficient security for operations and staff. Some specific requirements include:

* Provide a minimum of square feet to accommodate staff.
* Operational, physical, information systems, and cyber security. Access controls.
* Dexterity to withstand category 5 hurricane winds.
* Ability to host interoperable communications and systems.
* Appropriate location.

## ALTERNATE RELOCATION FACILITY INFORMATION

**[*Insert Department or Agency Name*]** has designated Alternate Relocation Facilities (ARF) as part of its Continuity of Operations Plan and has prepared CRT personnel for the possibility of unannounced relocation to these sites to continue essential functions. **[*Insert Department or Agency Name*]** reevaluates its ARF(s) at least annually and whenever the COOP is reviewed and updated.

**[*Insert Department or Agency Name*] [*does/does not*]** maintain Memorandum of Agreement (MOA)/Memorandum of Understanding (MOU) and reviews the MOA/MOU annually, as applicable. A copy of the MOA/MOU is found **[*insert location*]** and maintained by **[*insert office name*]**.

The COOP must contain provisions for the joint development of Alternate Support Procedures. These procedures must be coordinated with the alternate facility manager. This coordination should include such issues as ARF space based on **[*insert Department or Agency Name*]** needs, facility management for adequate logistic and security matters, in addition to physical systems and configurations needed by **[*insert Department or Agency Name*].** (This can be accomplished in Attachments F and G.)

The **[Organization Name**] primary continuity facility is located at **[facility name and address**]. A map of the surrounding area, including directions and route from the primary operating facility, is located **[below/list location]**. Additional facility details are as follows:

1) This facility is **[rented/owned]** by **[Organization Name]**.

**2) [Important contact information for the site, including security, medical, and on- site personnel]**

3) **[Security and access requirements]**

**4) [Medical support at or near the site]**

**5) [Other amenities available at or near the site, including restaurants, stores, banks, and gas stations]**

The **[*insert Department or Agency Name*]** ARF provides the following in sufficient quantities to sustain operations for up to 30 days or until normal business activities can be resumed:

* Sufficient space and equipment, including computer equipment and software. The ARF is able to accommodate **[*insert number*]** personnel. Facilities floor plans, equipment inventory, and **[*insert other applicable documents*]** are found at **[*insert location*]**. This should include the pre-positioning of available equipment in lieu of moving all equipment during the time of crisis.
* Capability to perform MEFs and PMEFs within 12 hours of plan activation or an event, respectively, for up to 30 days or until normal operations can be resumed.
* Reliable logistical support, services, and infrastructure systems. Details on these infrastructure systems are available at **[*insert location*]** from **[*insert office resource list]***
* Consideration for health, safety, security, and emotional well-being of personnel and family. Considerations available at the alternate site include [***insert considerations, such as physical security, fitness activities, access to the Employee Assistance Program, and presence of security***].
* Interoperable communications for effective interaction. Additional information on continuity communications is found **[*insert location*]** in this plan.
* Capabilities to access and use vital records. Additional information on accessing vital records is found ***[insert location*]** in this plan.
* Systems and configurations that are used in daily activities. IT support at the ARF is **[*insert access to IT support*]**. Details on the systems, cyber security of data and networks, and configurations are available at **[*insert location*]** from **[*insert office*]**.
* Emergency/back-up power capability. Details on the power capability are available at **[*insert location*]** from **[*insert office*]**.

## ALTERNATE RELOCATION FACILITY

**[*Insert Department or Agency Name*]** ARF maintain pre-positioned or detailed site preparation and activation plans in order to achieve full operational capability within 12 hours of notification.

**[*Insert Department or Agency Name*]** maintains a transportation support plan that describes procedures for warning and no-warning events.

• During a no-warning event, advance team and CRT are transported to the ARF via **[*enter means of transportation, rally points, means of notification, back-up transportation methods, and any other necessary information*]**.

• During a with-warning event, advance team and CRT are transported to the ARF via **[*enter means of transportation, rally points, means of notification, back-up transportation methods, and any other necessary information*]**.

**[*Insert Department or Agency Name*]** has addressed the need for transportation, dining, and housing to support CRT at or near the ARF sites by **[*insert housing options, such as on-site housing, parking, a list of nearby hotels and restaurants, and MOA/MOUs with nearby lodging*]**.

## ALTERNATE RELOCATION FACILITY ORIENTATION

**[*Insert Department or Agency Name*]** regularly familiarizes its CRT and CST members with its alternate relocation facilities.

**[*Insert Department or Agency Name*]** accomplishes this orientation through **[*insert means of orientation, such as deployment exercises, orientation sessions at the site, and briefings*]**. This familiarization training is reflected in organizational training records located at **[*insert location*]**.

Further, **[*Insert Department or Agency Name*]** annually trains and prepares its personnel for the possibility of an unannounced relocation to all ARFs. This training is reflected in organizational training records located at **[*insert location*]**.

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# REcovery

Recovery experts should be pre-identified to salvage damaged records. It may be necessary to obtain contracts prior to an event to assure service within an established timeframe. Copies of the contract should be placed in the Essential Records Database.

Document and photo recovery is a very expensive process, so storage and backup protections should be as careful and thorough as possible.

Recovery is expensive, time consuming, and may not be completely effective, so every effort should be made to prevent damage to essential records. If essential records are damaged, recovery will be conducted by [***insert organization***]. Plans to cover the costs of recovery are included in the [***Insert Department/Agency Name and the name of the organization’s Finance/Budgeting Section***] section.

## Personal Recovery Assistance

***The first priority for personnel will be recovery of their families, pets/livestock, homes, and other things with personal value. Helping these individuals receive the assistance they need not only demonstrates that the organization cares about their employees, but also helps each individual return to productive work as quickly as possible. It may also be the law, and failure to meet requirements could result in heavy fines.***

***Describe which individuals are responsible for monitoring the well-being and recovery of personnel, and the ways the organization can help keep them safe and healthy, or more quickly recover. This would include detailing, or citing another document that covers, the emergency procedures for filing Workers’ Compensation claims, and access Employee Assistance Programs or other services and resources.***

An event that requires the activation of the COOP Plan may personally affect personnel. Therefore, the [***insert office***] will create provisions and procedures to assist all personnel, especially those who are disaster victims, or who have special Human Resources concerns following a catastrophic disaster. These provisions and procedures are found at [*insert location*].

**Replacing Staff**

***It may become necessary to hire temporary or permanent replacement staff to ensure the presence of qualified, credentialed workers to perform EFs. Outline the process and responsible parties to ensure rapid replacement of staff.***

It may be necessary to augment or replace personnel during a continuity event. The [***insert office***] will be responsible for recruiting, hiring, and on-boarding staff during a continuity event.

# Plan DEVELOPMENT AND Maintenance

***This section describes the process the department or agency uses to maintain a current plan. The section should identify who is responsible for plan currency, how often the department or agency will review and update the plan, and how coordination will occur. Sample text for this section includes:***

## Plan Development

The development of this document by Palm Beach County (PBC) **[*insert Department or Agency Name*]** utilized a process outlined in the Comprehensive Preparedness Guide (CPG) 101 and the Continuity Guidance Circular (CGC) manual provided by the Federal Emergency Management Agency. The document was also developed to align with planning and continuity requirements established by the Emergency Management Standard provided by the Emergency Management Accreditation Program.

**[*Insert Department or Agency Name*]** adhered to the planning principles outlined in CPG 101 for developing the COOP, such as using a logical and analytical problem-solving process, considering all hazards, maintaining simplicity and flexibility, and integrating the plan vertically and horizontally. **[*Insert Department or Agency Name*]** also follows the planning process outlined in CPG 101 and is summarized below.

**Planning Process**

1. Form planning team;
2. Understand the situation;
3. Determine goals and objectives;
4. Plan development;
5. Plan preparation, review, and approval;
6. Plan implementation and maintenance.

The **[*insert Department or Agency Name*]** relies upon the hazard identification and risk assessment conducted for the Palm Beach County Local Mitigation Strategy to complete Step 2 of the planning process.

During the planning process, **[*insert Department or Agency Name*]** seeks to accomplish the planning objectives established in the CGC. This was accomplished by following guidance provided by the CGC regarding planning considerations for the organization and continuity of operations, to include addressing all four phases of continuity. Finally, **[*insert Department or Agency Name*]** utilized guidance from the CGC for identifying and prioritizing mission-essential functions.

## Plan Evaluation, Maintenance, and Revision

The ***[Department or Agency name, office, title]*** is responsible for maintaining the **[*insert Department or Agency Name*]** Continuity of Operations Plan (COOP).

The [***insert Department or Agency Name*]** COOP’s essential functions, and supporting activities will be reviewed/evaluated by **[*insert office name***] annually from the date of the approved Plan, and revised every four (4) years as part of the maintenance of Continuity of Operations Plan and procedures.

**[Insert *Office name*],** in coordination with **[*insert Department or Agency Name*]** is responsible for the annual plan review and evaluation. In addition, the plan will be revised when there are significant organizational or procedural changes, other events that impact continuity processes or procedures, or every four (4) years as part of a regular revision cycle. Comments or suggestions for improving this plan may be provided to **[*insert Office name*]** at any time.The coordinated management of the plan will ensure maintenance, operation, and funding for the viable COOP capacity of the organization.

The **[*insert Department or Agency Name*]** will ensure its staff is trained and familiar with the COOP, and will exercise the plan biennially. Following a real-world activation of the COOP or any portion therein, an After-Action Review will be conducted and an Improvement Plan developed. The Plan will also be re-evaluated and maintenance revision(s) made based on the recommendations from the After-Action Review from the incident. The organization will adhere to the process established in the Palm Beach County Multi-Year Training and Exercise Plan, including the corrective action process, for all testing elements of plan maintenance.

# TEST, TRAINING, AND EXERCISES

***All organizations must develop and maintain a continuity Test, Training, and Exercise***

***(TT&E) program for conducting and documenting TT&E activities and identifying the components, processes, and requirements for the identification, training, and preparedness of personnel needed to support the continued performance of MEFs and PMEFs. Test, training and exercise should also include operational plans, alternate facility, and interoperable communications systems, in addition to the equipment at the alternate facility as part of the overall program. Sample text for this section includes:***

[***Insert Department or Agency Name***] maintains a robust Test, Training, and Exercise (TT&E) Program that comply with the Department of Homeland Security (DHS) mandated National exercise Program, as appropriate.

[***Insert Department or Agency Name***] provides organizational assistance to the Federal Emergency Management Agency (FEMA) in conducting annual full-scale continuity exercises and biennial assessments of the organization’s continuity program to support reports submitted to the State of Florida or other applicable senior officials. Assistance includes [***insert examples, such as participation on a working group and providing controllers and/or evaluators***]. Additional documentation (e.g., after action reviews and documentation) of this assistance is found in [***insert location].***

[***Insert Department or Agency Name***] performs TT&E events at regular intervals, in accordance with the requirements specified in the Federal *CGC* and the PBC *Multi-Year Training and Exercise Plan*, throughout the year as depicted in the following table.

Table 14  
*Continuity Plan Training Schedule*

| **Individual or Group to Receive Training** | **Type of Training** | **Individual to Provide Training** | **Training Frequency** |
| --- | --- | --- | --- |
| New Personnel | Continuity Awareness Briefing (or other means of orientation) | Human Resources and/or Continuity Coordinator | Within 60 days of hire |
| Executive Leadership and Key Personnel (Primary) | Continuity Plan Training (must minimally include individual Continuity Plan duties, mission essential functions, and orders of succession) | Continuity Coordinator | Annual awareness reminder or when plan changes occur |
| Key Personnel (Alternates) | Continuity Plan Training (must minimally include individual Continuity Plan duties, mission essential functions, and orders of succession) | Continuity Coordinator | Annual awareness reminder or when plan changes occur |
| MEF Cross-training | Primary Key Personnel | At the agency’s discretion |
| Pre-delegated Authorities and Successors | Orders of Succession and Delegation of Authority Awareness | Continuity Coordinator | When delegations or successors change |
| Continuity Plan Training (must minimally include individual Continuity Plan duties, mission essential functions, and orders of succession) | Continuity Coordinator | Annual awareness reminder or when significant plan changes occur |
| Applicable Contractors | Continuity Plan Training (must minimally include individual Continuity Plan duties, mission essential functions, and orders of succession) | Continuity Coordinator | Annual awareness reminder or when significant plan changes occur |
| All Agency Personnel | Continuity Plan Training (must minimally include individual Continuity Plan duties, mission essential functions, Alert and notification procedures, Interoperable communications, operations plans, and orders of succession) | Continuity Coordinator | Annual awareness reminder or when significant plan changes occur |

[***Insert Department or Agency Name***] formally documents and reports all conducted continuity TT&E events, including documenting the date of the TT&E event, the type of event, and names of participants. Documentation also includes test results, feedback forms, participant questionnaires, and any other documents resulting from the event. Continuity TT&E documentation for [***Insert Department or Agency Name***] is managed by [***insert office/title***] and is found at [***insert location***]. Further, [***insert Department or Agency Name***] conducts a comprehensive debriefing or hotwash after each exercise, which allows participants to identify systemic weaknesses in plans and procedures and to recommend revisions to the organization’s Continuity of Operation Plan. Documentation from TT&E hotwashes is found at [***insert location***].

Table 15

*Test, Training & Exercise Documentation*

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of Event:** | **Type and Purpose of**  **Event:** | **Date:** | **Confirmation**  **Initials or**  **Signature** |
| Continuity Facility  Communications Check | Test and validate equipment to ensure internal and external interoperability and viability of communications systems | August 1, 2020 | **[insert signature]** |
| **Name of Participants** | **Office** | **Phone/Email** |  |
| Sally Austin | Office of the Director | 222-222-2222/  [Sal.Austin@agency.gov](mailto:Sal.Austin@agency.gov) | /s/ Sally Austin |
| Alex Burners | Human Resources | 111-111-1111/  [Alex.Burns@agency.gov](mailto:Alex.Burns@agency.gov) | /s/ Alex Burns |

**[*Insert Department or Agency Name*]** has developed a Corrective Action Program (CAP) to assist in documenting, prioritizing, and resourcing continuity issues identified during continuity TT&E activities, assessments, and emergency operations. The **[*insert Department or Agency Name*]** CAP incorporates evaluations, After-Action Reports, and lessons learned from a cycle of events into the development and implementation of its CAP. The **[*insert Department or Agency Name*]** CAP is maintained by **[*insert office/title*]** and CAP documentation is found at **[*insert location*]**.

## EXERCISE

***This section describes types of exercises and their intended goals and objectives. Exercises should promote preparedness, improve the response capability of individuals in the agency, validate plans, policies, procedures and systems, and verify the effectiveness of command, control and communication functions. Exercises may vary in size and complexity to achieve different operational objectives. The types of exercises are described below:***

* ***Tabletop Exercises simulate an activation of the Continuity Plan in an informal, stress-free environment. They are designed to promote constructive discussion as participants examine and resolve problems based on existing plans. There is no equipment utilization, resource deployment, or time pressure. The exercise’s success depends on the group identifying problem areas, and offering constructive resolution alternatives. This format exposes personnel to new or unfamiliar concepts, plans, policies, and procedures.***
* ***Functional Exercises are interactive exercises performed in real time that test the capability of the agency to respond to simulated continuity activation. One or more functions are tested and the focus is usually placed on procedures, roles and responsibilities before, during or after an event.***
* ***Full-Scale Exercises simulate continuity activation through field exercises designed to evaluate the execution of the plan in a highly stressful environment. This realism is accomplished through mobilization of agency personnel, equipment and resources.***

***Agencies may choose to coordinate their annual Continuity Plan exercise to coincide with (but not be replaced by) an Emergency Operation Plan exercise or other emergency response exercises they are required to perform.***

***Sample text is outlined below. Replace or revise this text to fit agency needs:***

Exercises are conducted to validate elements of the Continuity Plan, both individually and collectively. [***Insert Department or Agency Name*]**is committed to ensuring that realistic exercises are conducted, during which individuals and business units perform the tasks that are expected of them in a real event. Exercises will be conducted annually in accordance with the Palm Beach County Multi-Year Training and Exercise Plan.

## EXERCISE OR ACTIVATION EXERCISE

***This section describes how evaluations of exercises or actual events and After Action Reports (AARs) and Improvement Plans (IPs) are to be completed. It is important to list who is responsible for completing AARs and IPs, and who will be incorporating lessons learned back into the Continuity Plan.***

***Agencies may find it helpful to use the Homeland Security Exercise and Evaluation Program (HSEEP) guidelines. These guidelines can be found at*** [***https://www.llis.dhs.gov/hseep***](https://www.llis.dhs.gov/hseep)***. Although agencies are not required to follow HSEEP guidelines for exercises and evaluations, it is a good reference tool and will be helpful if the agency conducts joint exercises with partner agencies or organizations.***

***Sample text is below. Revise or replace this text to fit agency needs:***

Each exercise activity, as well as actual events will be evaluated and an After Action Report (AAR) and Improvement Plan (IP) shall be completed. The evaluation will identify systemic weaknesses and suggest corrective actions that will enhance the agency’s preparedness. The results will be incorporated into a formal improvement plan. This information will be collected and prepared by the Training and Exercise Coordinator, and reviewed and approved by the **[*insert Department or Agency’s Head*]**. Once approved, the Continuity Coordinator will incorporate applicable lessons learned into the plan.

# ACRONYMS

**AAR** After Action Review

**ARF** Alternate Relocation Facility

**BIA** Business Impact Analysis

**BPA** Business Process Analysis

**CAP** Corrective Action Program

**CEMP** Crisis and Emergency Management Plan

**COOP**  Continuity of Operations

**CRT** Continuity Relocation Team

**CST** Continuity Support Team

**CWP** County Warning Point

**DHS** Department of Homeland Security

**EMAC** Emergency Management Assistance Compact

**EMAP** Emergency Management Accreditation Program

**EAP** Emergency Action Plan

**FCD** Federal Continuity Directive

**FEMA** Federal Emergency Management Agency

**FOIA** Freedom of Information Act

**FOUO** For Official Use Only

**HSEEP** Homeland Security Exercise and Evaluation Program

**ICS** Incident Command System

**IP** Improvement Plan

**IT** Information Technology

**MEF** Mission Essential Function

**MOA** Memorandum of Agreement

**MOU** Memorandum of Understanding

**NIMS** National Incident Management System

**NTAS** National Terrorism Advisory System

**NWS** National Weather Service\

**PBC** Palm Beach County

**PBF** Primary Business Function

**PMEF** Primary Mission Essential Functions

**RPO** Recovery Point Objective

**RTO** Recovery Time Objective

**TT&E** Test, Training & Exercise

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# GLOSSARY

***A glossary should contain a list of key words and phrases used throughout the Continuity Plan and within the continuity of operations community. Each key word and phrase should be clearly defined. The following are definitions of key terms used in this COOP template.***

**Activation:** Once a continuity of operations plan has been implemented, whether in whole or in part, it is considered “activated.”

**All-hazards:** The spectrum of all types of hazards including accidents, technological events, natural disasters, terrorist attacks, warfare, and chemical, biological including pandemic influenza, radiological, nuclear, or explosive events.

**Alternate relocation**

**Facilities;** Locations, other than the primary facility, used to carry out essential functions, particularly in a continuity event. “Alternate relocation facilities” refers to not only other locations, but also nontraditional options such as working at home (“teleworking”), telecommuting, and mobile-office concepts.

**Business Impact**

**Analysis (BIA):** A method of identifying the effects of failing to perform a function or requirement. A BIA may be a useful tool in helping an agency identifies some of its primary business functions.

**Business Process**

**Analysis (BPA):** A systematic method of identifying and documenting all of the elements necessary to accomplish each organizational MEF. The BPA ensures that the right people, equipment, capabilities, records, and supplies are identified and available where needed during a disruption so that MEFs can be resumed quickly and performed as required. The BPA is a method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, partnerships, controls, interdependencies, and facilities inherent in the execution of the MEF.

**Catastrophic**

**Emergency:** Any incident regardless of location that results in extraordinary levels of mass casualties, damage, or disruption severely affecting Florida population, infrastructure, environment, economy, or government functions.

**Cold Site:**  An alternate site that is reserved for emergency use, but which requires the installation of equipment before it can support operations. Equipment and resources must be installed in such a facility to support the mission essential functions or primary business functions of an organization. Cold sites have many variations depending on their communication facilities, UPS systems, or mobility.

**Communications:** Voice, video, and data capabilities that enable the leadership and staff to conduct the mission essential functions of the organization. Robust communications help ensure that the leadership receives coordinated, integrated policy and operational advice and recommendations and will provide the ability for governments and the private sector to communicate internally and with other entities (including with other Federal agencies, State, local, territorial, and tribal governments, and the private sector) as necessary to perform their Primary and Mission Essential Functions.

**Continuity**

**Coordinators:** The individual thatserves as the agency’s manager for all continuity activities. The Coordinator has overall responsibility for developing, coordinating and managing all activities required for the agency to perform its mission essential functions during an event that disrupts normal operations. Selecting a Continuity Coordinator is the first step in the continuity planning process.

**Continuity of**

**Operations:** An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

**Continuity**

**Personnel:** Those personnel, both senior and core, who provide the leadership advice, recommendations, and functional support necessary to continue essential operations

**Corrective Action**

**Plan** An organized method to document and track improvement actions for a program. The CAP is a web-based tool that enables Federal, State, County and local emergency response and homeland security officials to develop, prioritize, track, and analyze corrective actions following exercises or real world incidents. Users may enter data from a finalized After Action Report/Improvement Plan, track the progress of corrective action implementation, and analyze and report on trends in improvement plans.

**Delegation of**

**Authority:** Identification, by position, of the authorities for making policy determinations and decisions at headquarters, field levels, and all other organizational locations. Generally, pre-determined delegations of authority will take effect when normal channels of direction have been disrupted and will lapse when these channels have been reestablished.

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

**Drive-away kit:** A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. The kit contains items needed to minimally satisfy an individual’s personal and professional needs during deployment.

**Essential functions:** The critical activities performed by organizations, especially after a disruption of normal activities. There are three categories of essential functions: National Essential Functions (NEFs), Primary Mission Essential Functions (PMEFs), and Mission Essential Functions (MEFs).

**Federal Continuity**

**Directive (FCD):** A document developed and promulgated by DHS, in coordination with the Continuity Advisory Group and in consultation with the Continuity Policy Coordination Committee, which directs executive branch departments and agencies to carry out identified continuity planning requirements and assessment criteria.

**Homeland Security**

**Exercise and**

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

**Interoperability:** “Interoperability” has two meanings: (1) 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 so that these organizations can operate together effectively; (2) A condition that is realized among electronic- communications operating systems or grids and/or among individual electronic- communications devices, when those systems and/or devices allow the direct, seamless, and satisfactory exchange of information and services between the users of those systems and devices.

**Interoperable**

**Communications:** Communications that provide the capability to perform essential functions, in conjunction with other agencies, under all conditions.

**Mission Essential**

**Functions:** The limited set of agency-level Government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

**Orders of**

**Succession:** Provisions for the assumption by individuals of senior agency office leadership positions during an emergency in the event that any of those officials are unavailable to execute their legal duties.

**Primary Mission**

**Essential Functions:** Those department and agency Mission Essential Functions, validated by the NCC, which must be performed in order to support the performance of NEFs before, during, and in the aftermath of an emergency. PMEFs need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.

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

**Risk Assessment:** A process or methodology for evaluating risk by determining: the probability and frequency of a hazard occurring, the level of exposure of people and property to the hazard, and the effects or costs, both direct and indirect, of mitigating or accepting this exposure.

**Telework:** The ability to work at a location other than the official duty station to perform work or emergency duties. This may include, but is not limited to, using portable computers, personal computers, high-speed telecommunications links, and mobile communications devices.

**Vital Records:** Electronic and hardcopy documents, references, and records that are needed to support essential functions during a continuity situation. The two basic categories of vital records are (1) emergency operating records and (2) rights and interests records.

**Vulnerability**

**Analysis:** A process that defines, identifies, and classifies the susceptibility of a facility, computer, network, or communications infrastructure, to damage or destruction. In addition, a vulnerability analysis can forecast the effectiveness of proposed countermeasures and can evaluate their actual effectiveness after they are implemented.

**Warm Site:** An alternate facility that is only partially equipped.

# ATTACHMENTS, AND ANNEXES

***Several examples of the attachments are added to this template. This is done to give you a flavor of the types of attachments used in a COOP Plan. You may adjust or change them to suit your needs. If some do not meet the needs of your organization do not feel you must use them. Remember this is your plan for your organization. Use only items that will assist your plan for your organizations.***

## ATTACHMENTS

1. ORGANIZATIONAL CHARTS **(No Example provided)**
2. NOTIFICATION PROCEDURES **(No Example provided)**
3. ESSENTIAL FUNTIONS AND SUPPORTING RESOURCES
4. ESSENTIAL RECORDS, SYSTEMS, APPLICATIONS, AND EQUIPMENT
5. KEY PERSONNEL RAPID RECALL LIST
6. ALTERNATE RELOCATION FACILILTY
7. ALTERNATE RELOCATION FACILITY OFFICE SPACE
8. BUSINESS PROCESS ANALYSIS
9. DELEGATION OF AUTHORITY AND ORDER OF SUCCESSION
10. STEPS TO RETURN TO PRIMARY FACILITY AND RESTORATION
11. DRIVE-AWAY KIT

## ANNEXES

1. EVACUATION PLAN
2. SPECIAL CONSIDERATIONS
3. FAMILY DISASTER PLAN
4. RETURN TO PRIMARY FACILITY AND RESTORATION

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# ATTACHMENT A –ORGANIZATION CHARTS

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# ATTACHMENT B –NOTIFICATION PROCEDURES

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# ATTACHMENT C –ESSENTIAL FUNCTIONS AND SUPPORTING RESOURCES

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Essential Function** | **Essential Function Description** | **Key Personnel and Back-up** | **Vendors and External Contacts** | **Vital Records** | **Equipment** | **Systems** | **RTO** |
| Payroll |  | Cheryl Jones   1. David Road 2. Oscar Thomas | Resa Catering | Payroll Records | PC, cell phone, telephone, fax machine | Internet Access, software | 72 hours |
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# ATTACHMENT D –ESSENTIAL RECORDS, SYSTEMS, APPLICATIONS, AND EQUIPMENT

***In most instances, essential records, systems, and equipment are critical to the department/agency’s ability to perform MEFs. Essential records are records that, if damaged or destroyed, would disrupt operations and information flow, and require replacement or re-creation at considerable expense or inconvenience. Content, not media, determines their criticality. Essential records can exist in various formats, including paper, electronic, or microfilm, and may include records such as contracts, operational procedures, insurance policies, personnel records, system documentation, and administrative policies.***

***In addition to essential records, it is important to identify those systems and equipment that are essential to the functioning of the agency and the continuance of the department/agency’s mission. Not every system or piece of equipment is essential. The cyclical nature of some MEFs may deem certain systems or equipment as essential at peak times. After identifying essential systems or equipment, prioritize how systems and equipment should be recovered in the event of a disruption. The period of time in which essential systems or equipment must be recovered is called the Recovery Time Objective (RTO).***

***It is also important to consider if a system or piece of equipment is dependent upon another particular system or piece of equipment to be operable. For example, computer systems are dependent upon electrical supply to be operable. Therefore, restoration of power would have to occur before the computer system could be up and running.***

***The Continuity Coordinator should work with the agency Information Security Officer, Facility Manager, or System / Equipment owner to identify the best method of protection for essential records, systems, and equipment. This determination will depend on the nature of the records, system or equipment, but a protection plan for all should include maintenance programs that regularly test the associated protective measures for optimal performance. For instance, backup power generators should be tested regularly. Maintenance of electronic records should be carefully considered. The amount of time between back-ups of essential electronic records in which data could be lost is called the Recovery Point Objective (RPO).***

***The sample information below represents the minimum template requirement. Agencies are encouraged to include more information as they deem appropriate.***

***If your organization has no MEFs, state so in this section and remove the sample text.***

***Sample text for this section includes:***

The functional annexes add specific information and direction to the base plan. These annexes should clearly describe the policies, processes, roles, and responsibilities that organizations carry out before, during, and after any emergency. While the Basic Plan provides overarching information relevant to the continuity plan as a whole, these annexes focus on specific responsibilities, tasks, and operational actions that pertain to the elements of a viable continuity plan and program according to Federal Continuity Directives 1 and 2. These annexes also establish preparedness targets (e.g., training, exercises, equipment checks and maintenance) that facilitate achieving function-related goals and objectives during emergencies and disasters.

To identify, prioritize, and document essential functions, ***[insert Department or Agency Name]*** first identified all government functions and missions and reviewed which functions were directed by applicable laws, Presidential directives, executive orders, and other directives.

Upon identifying all government functions, ***[insert Department or Agency Name]*** identified those functions that are MEFs and PMEFs. Mission Essential Functions are a limited set of agency-level government functions that must be continued throughout, or resumed rapidly after, a disruption of normal activities.

Per the Palm Beach County COOP Plan, ***[insert Department or Agency Name]*** completed the following worksheets to identify and analyze MEFs. This documentation also identifies essential functions and supporting resources necessary to perform those functions. The ***[insert Department or Agency Name]*** also prioritizes its functions by determining recovery time objectives (RTO). A list of the department’s essential functions, associated RTOs and supporting resources is listed in *Attachment C, Essential Functions and Supporting Resources*.

Once MEFs were identified and analyzed, **[*insert Department or Agency Name]*** began the planning process for identifying and documenting Primary Mission Essential Functions (PMEFs). **[*Insert Department or Agency Name*]** PMEFs were identified through the analysis of the MEFs.

***[Insert Name of Department/Agency]*** realizes that essential records, systems, and equipment are critical to the agency’s ability to perform MEFs. Therefore the agency has taken safeguards to protect these essential records, systems, and equipment to ensure their availability in a continuity environment.

This COOP works to safeguard electronic essential records in combination with the ***[insert Department or Agency Name]*** Information Technology Disaster Recovery Plan (ITDRP). The following essential records, systems, and equipment have been identified as directly supporting the performance of [***insert Department or Agency Nam]*** MEFs.

**Table D-1**

*Essential Functions and Supporting Resources*

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Essential Function** | **Essential Function Description** | **Key Personnel and Back-up By Positions** | **Vendors and External Contacts** | **Vital Records** | **Equipment** | **Systems** | **Recovery Time Objective**  **(RTO)** |
| *Payroll* |  | *Director*   1. *Deputy Director* 2. *Operations Manager* | *Advantage Office Supplies* | *CEMP*  *COOP Plan* | *Personal computer, telephone* | *Internet access, Communication/NXT software* | *72* |

Table D-2

*Essential Records, Systems, Applications, and Equipment Protection*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Essential Records, System, Applications or Equipment | Storage Location | Recovery Point Objective (Maintenance Frequency of Electronic Records) | Current Protection Methods | Vendors | Vendor Contact Information |
|  |  |  |  |  |  |
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# ATTACHMENT E –KEY PERSONNEL RAPID RECALL LIST

***This rapid recall list should provide the Continuity Coordinator or designee with contact information for all key personnel. The information below should be completed for key personnel tasked with responsibilities during a continuity event. This includes both primary and alternate key personnel. The sample information below represents the minimum template requirement. Agencies are encouraged to include more information as they deem appropriate.***

This rapid recall list includes contact and telework information forkey personnel tasked with responsibilities during a disruption to agency operations or services. Agency staff not included on this list should follow instructions provided by **[*insert name of department/agency authority*]** during an activation of the Continuity Plan.

Table E-1

*Key Personnel Rapid Recall List*

| **Employee Name** | | **Title / Division** | **Email Address** | **Work Telephone #** | **Cellular or Pager #** | **Home Telephone #** | **Approved Telework Agreement** | **Mission Essential Function (MEF)** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Tom Smith | Emergency Manager / Admin. Services | Tom.Smith@xyz.com | 898-3333 | 876-4444 | 376-8900 | Yes | Protect the life and safety of students, employees, faculty, staff, and visitors while on campus |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |

# ATTACHMENT F –ALTERNATE RELOCATION FACILITY

Departments/a***gencies must identify at least one alternate relocation facility, which could include alternate uses of existing facilities or virtual office options. Ideally, agencies should identify at least two to three alternate facilities. One location can be close to the current operations – not right next door, but a short distance away. The second alternate facility should be farther away – at least five miles from the primary facility. A third alternate facility should be located within 30 miles to 60 miles away.***

***Considerations for alternate facilities may include: space requirements, accessibility (by staff and customers), communications / data requirements, security requirements, and availability of life necessities (food, water, sanitation, and lodging).***

***The sample information below represents the minimum template requirement. Agencies are encouraged to include more information as they deem appropriate. Sample text for this section includes:***

***[Insert name of department/agency]*** has designated alternate facilities as part of its continuity planning and has prepared key personnel for the possibility of unannounced relocation to the site(s) to continue the performance of MEFs.

Table F-1Alternate Relocation Facility Locations

| **Alternate Facility Number** | **Alternate Facility Name** | **Address** | **Date MOU / MOA was executed** | **Capacity** | **Equipment / Systems Already on-site** |
| --- | --- | --- | --- | --- | --- |
|  | ***Chapman Building*** | ***123 Fourth St, West Palm Beach, FL*** | ***July 31, 2015*** | ***75 Personnel*** | ***Twelve (12) telephone lines*** |
| Business Units, MEFs, and PMEFs: ***Indicate the MEFs and PMEFs that will be performed at this facility as well as the business units that will perform them.*** | | | | |
| Directions: ***From current facility, go three blocks down Broad St. and turn right on Fourth St. Building is one block down on the right.*** | | | | |

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# ATTACHMENT G –ALTERNATE RELOCATION FACILITY OFFICE SPACE

This Attachment should show the following:

1. A picture (Satellite Image) of the Alternate facility and its surroundings
2. A floor plan of the alternate facility
3. Electric (Cable & Data) jack information on a floor diagram.
4. Alternate facility seating arrangement
5. Alternate facility conference room layout

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# ALTERNATE RELOCATION FACILITY

**Memorandum of Understanding**

***When entering into an agreement with another state agency for temporary space (30 days or less), a simple memorandum of understanding (MOU) between the two agencies is acceptable. Some items to consider including in a MOU:***

* ***What will necessitate the activation of this agreement (example: In an event that X office building is partially or completely shut down for more than three days, [Department/Agency] B will request space from department/agency C).***
* ***Length of time space is being requested (this will usually be 30 days because if normal activities cannot resume in that time period a more permanent solution will be needed).***
* ***Specific space identified (may want to identify more space than needed if there is a possibility that certain space could not be available).***
* ***Identify who is responsible for preparing the space to be used as a Continuity site (who is providing and/or paying for furnishings, data and telephone systems, office equipment, etc).***
* ***Identify who is responsible for security, maintenance, and housekeeping.***
* ***Will parking be provided?***
* ***Is there a cost for maintaining this agreement and/or is there a rental cost for activating this agreement?***
* ***For lengthier periods than are discussed here, the agency must contact* [*Insert name of assisting department/agency*] *for advice and assistance.***

***MOUs should be reviewed annually, and renewed and updated as needed, but at least once every 4 years.  Both departments and agencies should have an easily accessible written copy with the appropriate signatures.***

***Sample text for this section is included: Modify the language to meet the department or the agency needs:***

**[*Insert name of department/agency*]**has established the following MOUs for alternate relocation facility locations:

A Memorandum of Understanding (MOU) is in effect with the alternate site owners. Reviews of the MOU(s) are completed annually and updated periodically or as needed. The attached MOU(s)are maintained by ***[insert location of office/division/department].***

***(Attach a copy of MOUs here)***

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# ATTACHMENT H –BUSINESS PROCESS Analysis

***The Mission Essential Function (MEF) identification process described in the MEF section of the basic plan identifies what needs to be accomplished; the BPA process identifies how it is accomplished. The Business Process Analysis (BPA) is performed to ensure that the right people, equipment, capabilities, records, and supplies are identified and available during a disruption so that MEFs can be resumed quickly and performed as required. In addition, the BPA is a method of examining, identifying, and mapping the functional processes, workflows, activities, personnel expertise, systems, data, partnerships, controls, interdependencies, and facilities inherent in the execution of a MEF. Each agency should look at the BPA process from the point of view of both the big picture (the overall process flow) and the operational details. A complete BPA should be performed for each MEF identified by the agency. For most agencies, MEF performance is directly supported by Primary Business Functions (PBFs). A BPA should be conducted for each PBF that directly supports MEF performance. The information below represents the minimum template requirement. Agencies are encouraged to include more information as they deem appropriate.***

The Business Process Analysis (BPA) is a systematic method of identifying and documenting all of the elements necessary to accomplish each agency Mission Essential Functions. BPAs have also been performed on primary business functions that directly support MEF performance. The following BPAs represent the ***[insert Department or Agency Name]*** processes for performing each MEF and supporting primary business functions. The essential records, systems, applications, and equipment identified in Annex A directly support the ability to perform processes and functions identified in this section. Therefore, protection methods identified in Annex A also apply to the process and functions described herein.

Table H-1

*Mission Essential Function - Business Process Analysis*

| ***(Insert name of department or agency)***  ***(Insert MEF Title)*- Business Process Analysis**  ***(Insert Date)*** |
| --- |
| **MEF Statement:** (Copy of MEF Statement) |
| **MEF Narrative:** (Copy of MEF Narrative) |
| **Recovery Time Objective (RTO):** (The period of time in which the mission essential function should be recovered after a disruption of normal operations. The RTO should be driven by the agency’s mission, not by IT constraints.) |
| **MEF Output:** (A list describing the MEF output, i.e., what products and services are produced or delivered to external partners or constituents. If possible, metrics that provide time and other performance measures should be included.) |
| **MEF Input:** (A list describing information, authorizations, supplies, and services required to perform the MEF. Each input should briefly describe how the input supports the overall process.) |
| **Leadership:** (A list identifying the key senior leaders, by position, who are required to participate directly in performance of the MEF.) |
| **Staff:** (A list of staff requirements to accomplish the MEF. Requirements for multiple shifts and back-up personnel should be identified, particularly if 24/7 operations are expected. Authorities, qualification, and certification should be specified. Staff requirements should be identified by position, rather than by name.) |
| **Communications and IT Requirements:** (A list identifying general and unique communications and IT requirements.) |
| **Facilities:** (A description of the facility requirements to accommodate mission performance, including office space, industrial capacity and equipment, and critical supporting infrastructure.) |
| **Resources and Budgeting:** (Supplies, services capabilities, and other essential resources required to perform the mission and supporting activities not already accounted for in the BPA process.) |
| **Partners and Interdependencies:** (A list of partners and interdependent organizations that support and/or ensure performance of the MEF. It should highlight the products or services delivered by the partners, the information shared or exchanged, and any other critical elements that facilitate accomplishing the MEF.) |
| **Has a Manual Workaround been identified for this function?:** (State whether a manual workaround has been developed for this MEF. If so, identify where it may be found.) |
| **Process Details:** (A detailed narrative or diagram that ties together all of the elements involved in the process of performing the mission.) |
| **COVEOP Implications: Is this function required to be maintained during emergency response activities (Y/N)?** |

Table H-2

*Primary Business Function - Business Process Analysis*

| ***(Insert name of department or agency)***  ***(Insert Primary Business Function Title)*- Business Process Analysis**  ***(Insert Date)*** |
| --- |
| **Primary Business Function Statement:** (Copy of PBF Statement) |
| **Primary Business Function Narrative:** (Copy of PBF Narrative) |
| **Recovery Time Objective (RTO):** (The period of time in which the primary business function must be recovered after a disruption of normal operations. The RTO for a primary business function should be driven by the RTO of the agency’s mission essential functions, not by IT constraints.) |
| **Primary Business Function Output:** (A list describing the PBF output, i.e., what products and services are produced or delivered to internal or external partners or constituents. If possible, metrics that provide time and other performance measures should be included.) |
| **Primary Business Function Input:** (A list describing information, authorizations, supplies, and services required to perform the PBF. Each input should briefly describe how the input supports the overall process.) |
| **Leadership:** (A list identifying the key senior leaders, by position, who are required to participate directly in performance of the PBF.) |
| **Staff:** (A list of staff requirements to accomplish the PBF. Requirements for multiple shifts and back-up personnel should be identified, particularly if 24/7 operations are expected. Authorities, qualification, and certification should be specified. Staff requirements should be identified by position, rather than by name.) |
| **Communications and IT Requirements:** (A list identifying general and unique communications and IT requirements.) |
| **Facilities:** (A description of the facility requirements to accommodate performance of PBFs, including office space, industrial capacity and equipment, and critical supporting infrastructure.) |
| **Resources and Budgeting:** (Supplies, services capabilities, and other essential resources required to perform the PBF.) |
| **Partners and Interdependencies:** (A list of partners and interdependent organizations that support and/or ensure performance of the PBF. It should highlight the products or services delivered by the partners, the information shared or exchanged, and any other critical elements that facilitate accomplishing the PBF.) |
| **Has a Manual Workaround been identified for this function?** (State whether a manual workaround has been developed for this PBF. If so, identify where it may be found.) |
| **Process Details:** (A detailed narrative or diagram that ties together all of the elements involved in the process of performing the PBF.) |
| **COVEOP Implications:** Is this function required to be maintained during emergency response activities (Y/N)? |

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# ATTACHMENT I –DELEGATION OF AUTHORITY and Order of Succession

M E M O R A N D U M

TO:

FROM:

DATE:

SUBJECT: Delegation of Authority and Order of Succession

Pursuant to Chapter 252, Florida Statues, this delegation of authority for the continuity of essential functions through the orderly succession of executives at the ***[insert Department or Agency Name*]** to the Division of **[*insert title of Department or Agency Head*]** in case of the **[*insert Department or Agency Head*]**’s absence, a vacancy at that Department, or the inability of the **[Organization Head]** to act during a disaster or national security emergency.

**DELEGATION**

I hereby delegate authority to the following personnel, in the order listed below, to exercise the powers and perform the duties of the **[*insert title of Department Head*]**, in case of my absence, inability to perform, or vacancy of the Department, and until that condition ceases. In the event that the office of the **[*insert title of Department or Agency Head*]** is vacant, the **[*insert title*]** shall act until a successor is appointed.

**ORDER OF SUCCESSION**

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

Eligibility for succession to the **[*insert Department or Agency Name*]** **[*insert title of Department or Agency Head*]** shall be limited to officially assigned incumbents of the positions listed in the order of succession, above. Only individuals 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 person in the approved order of succession.

**OFFICE OF PRIMARY INTEREST**

The Office of the **[*insert title of Department or Agency Head*]** is the office of primary interest in this delegation.

# ATTACHMENT J – STEPS TO RETURN TO PRIMARY FACILITY AND RESTORATION

1. The [***Department or Agency]*** Director will initiate the return to the primary facility once the facility has been deemed safe and habitable. This begins the restoration phase.
2. Restoration builds on the assessments performed in the emergency response stage with the goal of returning the impacted facility to its pre – disaster condition and capabilities. If the original facility is assessed as being beyond repair, this stage will involve the acquisition and outfitting of new permanent facilities.
3. The restoration process includes the assessment of:

* Environmental contamination of the affected areas
* Structural integrity of the building
* The damage to furniture, fixtures and equipment

1. Restoration will begin in earnest once solid estimates of contamination, structural damage and asset loss can be obtained and personnel resources can be dedicated to the management and coordination of the process.
2. This phase may be executed sequential to, or concurrent with, the Resumption and/or Recovery stages. The [***Department or Agency]*** Director will ensure that sufficient support for resumption and restoration operations is provided. Objectives/tasks include:

* Maintain an adequate level of support team coverage to support all business operations
* Maintain adequate technology team(s) coverage to sustain information – processing operations
* Clean and/or decontaminate the building
* Repair and/or restore the building or construct/acquire of a new facility
* Replace the contents of the building
* Coordinate the relocation and/or migration of business operations, support and technology divisions from temporary facilities to the repaired or new facility.

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# ATTACHMENT K –DRIVE-AWAY KIT

***Drive-away kits are required to transfer up-to-date data and other critical information and equipment. There are two types of drive-away kits: professional and personal. Personal kits should contain items similar such as clothing, toiletries, prescription medication, and other items while professional kits should contain forms, plans, equipment, and supplies that are utilized whenever the EOC is activated.***

***Each person assigned to the*** *Department/Agency* ***COOP Team should have at least three (3) personal drive-away kits. Alternate location planning is necessary due to the nature of the emergencies. It is recommended that each person develop several personal drive- away kits to be kept in various locations, such as the office, home, and automobile.***

***Drive- Away Kits should remain packed and ready to go at any time. While laundry facilities may be available, it is recommended that at least three (3) complete change of clothing is available. The following list contains suggested items for each kit.***

|  |  |  |  |
| --- | --- | --- | --- |
| **PROFESSIONAL DRIVE-AWAY KIT** | | | |
| **PLANS & FORMS** | | **EQUIPMENT** | **SUPPLIES** |
| 􀂉 Department/Division Emergency Plan  􀂉 COOP document  􀂉 Employee Contact List  􀂉 ICS Forms  􀂉 Personnel Action Request  􀂉 Position Description Forms  􀂉 Organizational Charts to manually update  􀂉 Office Telephone Contact list  􀂉 Department Personnel Phone numbers  􀂉 Contact phone numbers for Legal Staff  􀂉 Copies of Contracts Agreements  􀂉 Property Inventory List  􀂉 Building Plan  􀂉 Purchasing Manual  􀂉 Timesheets | | 􀂉 Communication   * Cell Phone-Business * Radio   􀂉 Laptop, cell phone, pagers, personal data assistants or other devices for communicating  􀂉 Fax machine  􀂉 Printer  􀂉 Telephone  􀂉 Deployment Instructions (Including directions to site)  􀂉 Flashlight | 􀂉 Copy Paper  􀂉 Ruled Note Pads  􀂉 Correction tape/fluid  􀂉 Tape and dispenser  􀂉 County telephone book  􀂉 Pens and Pencils  􀂉 Pencil sharpener.  􀂉 Legal writing pad  􀂉 Letter size writing pad  􀂉 Stapler  􀂉 Staples  􀂉 Paper clips  􀂉 Envelopes (Letterhead and Manila)  􀂉 File folders  􀂉 Scissors  􀂉 CD-ROMs  􀂉 Memory Stick  􀂉 Mouse pad  􀂉 Calculator  􀂉 Letterhead paper |
| **PERSONAL DRIVE-AWAY KIT** | | | |
| **CLOTHING** | **ESSENTIALS** | | **USEFUL ITEMS** |
| 􀂉 Casual Pants/Skirts  􀂉 Casual Shirts or Blouses  􀂉 Sweater or light jacket  􀂉 Dress Shoes and Belt (if involved with the media or other agencies  􀂉 Underwear  􀂉 Socks  􀂉 Comfortable shoes  􀂉 Seasonal Outerwear (Coat, Hat, Gloves, Rain Gear)  􀂉 Pajamas (1 set)  􀂉 Exercise Clothes | 􀂉 Personal Identification.  􀂉 Credit Cards, Check Book, Cash (at least $50).  􀂉 Toilet Kit (Toothpaste, Soap, Toothbrush, Comb or Brush, Razor, etc.).  􀂉 Medications (At least 7 days-preferably a 30 day supply)  􀂉 Handkerchiefs  􀂉 Tissue  􀂉 Flashlight | | 􀂉 Cassette/CD Player with cassettes/CDs  􀂉 Stamps, Envelopes, and Stationary  􀂉 Laundry Bag.  􀂉 Laundry Soap (for 2-3 loads).  􀂉 Sewing Kit (Thread, Needles, Safety Pins, Buttons)  􀂉 Personal Reading  􀂉 Worship or Devotional Materials  􀂉 2-3 Trash Bags  􀂉 Favorite packaged snacks or candy (7 days)  􀂉 Personal Address Book  􀂉 Penknife |
| **PRE-DEPLOYMENT CHECKLIST** | | | |
| 􀂉 Functional checklist for your area of responsibility  􀂉 Photo ID Badge  􀂉 Technical/Professional Equipment  􀂉 Government credit card, if authorized  􀂉 Personal credit card(s)  􀂉 Personal Check Book | 􀂉 Special requirements, if identified (credentials and copy of professional license), carrier of special medications, allergy or other medical tags of bracelet, etc.)  􀂉 Seasonal attire clothing (rain gear, boots, heavy coats, gloves, etc.) | | 􀂉 Emergency contact telephone numbers while away  􀂉 Name and telephone number of Department or Agency staff  􀂉 Flashlight, batteries, pocket radio with batteries (optional)  􀂉 Sufficient Cash.  􀂉 Driver's License. |

# ANNEX A –EVACUATION PLAN

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# ANNEX B –SPECIAL CONSIDERATIONS

***In this Annex, insert a document that discusses those special considerations that need to be included, including, but not limited to:***

1. ***People with disabilities***
2. ***Babies, children and other minors***
3. ***The elderly***

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# ANNEX C –FAMILY DISASTER PLAN

***In this Annex, you want to include a guide for the development of a family disaster plan. Examples may be found from Disaster Response Organizations such as the Red Cross, Florida Division of Emergency Management (FDEM), FEMA, and other agencies.***

***General considerations may include, but are not limited to:***

* + - ***General Considerations***
      * + ***Family Emergency & Preparedness Plan***

***Family Care Plan***

***Health & Medical***

***Finance***

***Home***

***Transportation***

***Legal Issues***

* + - ***Family Disaster Plan***
      * + ***Five steps to Safety***

***Vulnerability analysis***

***Disaster Plan***

***Communications***

***Disaster Checklist***

***Practice the plan***

* + - * + ***Neighborhood Assessment***
        + ***Evacuation***
        + ***Emergency Supplies List***
        + ***Utilities***
        + ***After a Disaster***
        + ***Checking for home damage***
        + ***Pet Disaster Plan***
    - ***Family Disaster Supply Kit***

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