



CONTINGENCY PLANNING



COOP SELF-ASSESSMENT GUIDE & CHECKLIST

APPLICABILITY, SCOPE AND SCHEDULE:

This guide and associated, self-assessment template is largely based upon the Federal Preparedness Circulars (FPC) 65, 66, and 67 which provide general guidance to Federal Executive Branch departments and agencies for use in developing viable contingency plans and operational capability for sustaining continuity of operations (COOP) and Continuity of Government (COG) programs.

This programmatic COOP assessment facilitates the Federally mandated requirement levied on the Departments and Agencies (D/A) to ensure their continuity of essential functions and systems during any emergency or situation that may disrupt their normal operations. This self-assessment, within the context of COOP, is the first step in an evolving process to establish a viable departmental-wide, comprehensive emergency management system.

AUTHORITIES:

- The National Security Act of 1947 dated July 26, 1947, as amended.
- Executive Order (EO) 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, dated April 3, 1984.
- Executive Order (EO) 12656, Assignment of Emergency Preparedness Responsibilities dated November 18, 1988, as amended.
- Executive Order (EO) 12148, Federal Emergency Management, dated July 20, 1979, as amended.
- Presidential Decision Directive (PDD) 62, Protection Against Unconventional Threats to the Homeland and Americans Overseas, dated May 22, 1998.
- Presidential Decision Directive (PDD) 63, Critical Infrastructure Protection (CIP), dated May 22, 1998.
- Presidential Decision Directive (PDD) 67, Enduring Constitutional Government and Continuity of Government Operations, dated October 21, 1998.
- 41 Code of Federal Regulations (CFR) 101-2, Occupant Emergency Program, revised as of July 1, 1998.
- 36 Code of Federal Regulations (CFR) 1236, Management of Vital Records, revised as of July 1, 1998.

BACKGROUND:

COOP planning not simply a "good business practice." It is a Federal imperative that, as responsible and reliable public institutions, the fundamental mission of agencies must be maintained under all situations.

The changing threat environment and recent emergencies, including localized acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, has shifted awareness to the need for COOP capabilities that enable agencies to continue their essential functions across a broad spectrum of emergencies. Also, the potential for terrorist use of weapons of mass destruction has emphasized the need to provide the President a capability, which ensures continuity of essential government functions across the Federal Executive Branch.

STRATEGIC OBJECTIVES:

COOP planning is an effort to assure that the capability exists to continue essential agency functions across a wide range of potential emergencies. The objectives of a COOP plan include:

- Ensuring the continuous performance of an agency'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, minimizing damage and losses; and,
- Achieving a timely and orderly recovery from an emergency and resumption of full service to customers.

STRATEGIC PLANNING CONSIDERATIONS:

In accordance with current guidance, a viable COOP capability:

- Must be maintained at a high level of readiness;
- Must be capable of implementation both with and without warning;
- Must be operational no later than 12 hours after activation;
- Must maintain sustained operations for up to 30 days; and,
- Should take maximum advantage of existing agency field infrastructures.

D/A's should develop and maintain their COOP capabilities using a multi-year strategy and program management plan. The plan outlines the process the agency will follow to designate essential functions and resources, define short and long-term COOP goals and objectives, forecast budgetary requirements, anticipate and address issues and potential obstacles, and establish planning milestones.

SPECIFIC INSTRUCTIONS TO CONDUCT THE SELF-ASSESSMENT:

Utilizing the COOP self-assessment evaluation format provided below, place a check within the box, as appropriate. If any aspect of the element is lacking, develop a brief narrative in the comment section that describes the shortcoming and the necessary resources needed (i.e., procedures developed, equipment purchased, personnel trained, etc.) with related budget requirements, to bring the element into compliance.

Example:

B. Implementation

5. Has attaining operational capability within 12 hours been provided for? No.

Comment: The 12 hour operational requirement is not in place at this time due to cost of redundant systems to support re-establishing an operational capability within this rapid a timeframe. Estimated relocation-to-operational capability is currently 24-36 hours. Operations effected are mission essential, but not time critical. Need to discuss strategies for possible exemption from this requirement or assistance in justifying an expensive contingency system to reach full compliance. (Estimated cost to full compliance is \$1M.)

Once completed, please state on the document the preparer's name, position, organization and point-of-contact information.

COOP PLAN EVALUATION CHECKLIST

Ref #	Element (source)	Yes	No	n/a	Comments
A. ESSENTIAL FUNCTIONS					
1	Have essential functions and activities been delineated? (FPC-65)				
2	Have all functions performed by the agency determined, and a determination been made which must be continued under all circumstances? (FPC-65)				
3	Have the essential functions been Prioritized? (PFC-65)				
4	Have staffing and resources requirements needed to perform essential functions been established? (CPF-65)				
5	Have mission critical data and systems necessary to conduct essential functions been identified? (FPC-65)				
6	Have functions not deemed essential to immediate agency needs been identified and noted as being deferred until additional personnel and resources become available? (FPC-65)				
7	Have supporting activities been integrated to ensure that essential functions can be performed as efficiently as possible during emergency relocation? (FPC-65)				
B. IMPLEMENTATION					
1	Is a decision process for determining appropriate actions in implementing COOP plans and procedures outlined? (FPC-65)				
2	Has a roster of fully equipped and trained emergency personnel with the authority to perform essential functions and activities been established? (FPC-65)				
3	Have procedures for employee advisories, alerts, and COOP plan activation, with instructions for relocation to pre-designated facilities, with and without warning, during duty and non-duty hours been developed? (FPC-65)				

Ref #	Element (source)	Yes	No	n/a	Comments
4	Has personnel accountability throughout the duration of the emergency been provided for? (FPC-65)				
5	Has attaining operational capability within 12 hours been provided for? (FPC-65)				
6	Have reliable processes and procedures to acquire resources necessary to continue essential functions and sustain operations for up to 30 days been established? <i>(also applicable to ref # 11)</i> (FPC-65)				
7	Is there a procedure for notification of the FEMA Operations Center upon implementation of COOP plans? (FPC-65)				
C. AUTHORITIES & DELEGATIONS					
1	Has there been a pre-delegation of authorities for making policy determinations and decisions at all organizational levels? (FPC-65)				
2	Have the programs and administrative authorities needed for effective operations at all organizational levels having emergency responsibilities been identified? (FPC-65)				
3	Have the circumstances under which the authorities would be exercised been identified? (FPC-65)				
4	Does the plan document the necessary authorities at all points where emergency actions may be required, delineating the limits of authority and accountability? (FPC-65)				
5	Does the plan state explicitly the authority of designated successors to exercise agency direction, including any exceptions, and the successor's authority to re-delegate functions and activities as appropriate? <i>(also see Ref # 10 below)</i> (FPC-65)				

Ref #	Element (source)	Yes	No	n/a	Comments
6	Are the circumstances under which delegated authorities would become effective and when they would terminate indicated? <i>(Generally, pre-determined delegations of authority would take effect when normal channels of direction are disrupted and would terminate when these channels have resumed)</i> (FPC-65)				
7	Does the plan ensure that officials who may be expected to assume authorities in an emergency are trained to carry out their emergency duties? (FPC-65)				
8	Does the plan specify responsibilities and authorities of individual agency representatives designated to participate as members of interagency emergency response teams? (FPC-65)				
9	Are the Orders of Succession of sufficient depth to ensure the agency's ability to perform essential functions while remaining a viable part of the Federal Government through any emergency? (FPC-65)				
10	Has an order of succession been established for the position of element head? (FPC-65)				
11	Have orders of succession been established for other key HQ leadership positions? (FPC-65)				
12	If applicable, have orders of succession for the positions of regional director or equivalent been established? (FPC-65)				
13	Have any limitation of authority based on delegations of authority been identified? (FPC-65)				
14	Are orders of succession described by positions or titles, rather than names of individuals? (FPC-65)				
15	Have the orders of succession been included in the vital records of the agency? (FPC-65)				

Ref #	Element (source)	Yes	No	n/a	Comments
16	Have the rules and procedures designated officials are to follow when facing the issues of succession to office in emergency situations been established? (FPC-65)				
17	Are the conditions under which succession will take place; method of notification; and any temporal, geographical, or organizational limitations of authorities been included in succession procedures? (FPC-65)				
18	Have successors been assigned, to the extent possible, among the emergency teams established to perform essential functions, to ensure that each team has an equitable share of duly constituted leadership? (FPC-65)				
19	Are orientation programs provided to prepare successors for their emergency duties? (FPC-65)				
D. ALTERNATIVE FACILITIES					
1	Have alternate operating facilities been designated? (FPC-65)				
2	Has a risk analysis been performed of current operating facilities and consideration of all possible scenarios that could require a COOP relocation (e.g., fire, flood, potential threat of terrorism, tactical attack)? (FPC-67)				
3	Are alternate facilities located in an area where the ability to initiate, maintain, and terminate operations is not disrupted? (FPC-67)				
4	Has there been maximum use made of existing field infrastructures and consideration given to other options, such as telecommuting locations, work-at-home, virtual offices, and joint or shared facilities? (FPC-67)				
5	Do alternate facilities provide the ability to be operational not later than 12 hours after activation and allow for sustained operations for up to 30 days? (FPC-67)				

Ref #	Element (source)	Yes	No	n/a	Comments
6	Do alternate facilities consider the distance from the threat area of any other facilities/locations (e.g., hazardous materials/nuclear power plants, areas subject to natural disasters or civil unrest); (FPC-67)				
7	Do alternate facilities have access to essential resources such as food, water, fuel, medical facilities, and municipal services (e.g., fire, police)? (FPC-67)				
8	Is there availability of surface and/or air transportation at alternate facilities? (FPC-67)				
9	If the alternate facility is not owned or leased by the organization, has an MOA/MOU been established with the owner or occupant of the facility? (FPC-67)				
10	If the alternate facilities are located at a distance from the primary site, have plans been developed to address housing for emergency staff (e.g., billeting within facility, local motels). (FPC-67)				
11	Have transportation resource requirements, if any, been met at the relocation sites (e.g., buses, automobiles)? (FPC-67)				
12	Has the necessary data concerning alternate facilities been provided to the agency that owns the facility? (FPC-67)				
13	Are there provisions to prepare personnel for the possibility of unannounced relocation of essential functions and/or COOP contingency staffs to these facilities? (FPC-65)				
14	Has planning for the alternate facility provided immediate capability to perform essential functions under various threat conditions, including threats involving weapons of mass destruction? (FPC-65)				
15	Has planning for the alternate facility ensured sufficient space and equipment to sustain the relocating organization? (FPC-65)				

Ref #	Element (source)	Yes	No	n/a	Comments
16	Has planning for the alternate facility included interoperable communications with all identified essential internal and external organizations, critical customers, and the public? (FPC-65)				
17	Has planning for the alternate facility included reliable logistical support, services, and infrastructure systems, including water, electrical power, heating and air conditioning, etc? (FPC-65)				
18	Has planning for the alternate facility included appropriate physical security and access controls? (FPC-65)				
19	Has the alternate facility been designed and equipped with consideration for health, safety, and emotional well being of relocated employees? (FPC-65)				
820	Does the plan take maximum advantage of existing agency field infrastructures? (FPC-65)				

E. COMMUNICATIONS

1	Are there available interoperable and redundant communications? (FPC-65)				
2	Has the entire spectrum of communications media likely to be available in any emergency situation been considered? <i>(may include, but are not limited to: secure and/or non-secure voice, fax, and data connectivity; Internet access; and e-mail)</i> (FPC-65)				
3	Is the planned communications capability commensurate with the agency's essential functions and activities? (FPC-65)				
4	Is there an ability to communicate with COOP contingency staffs, management, and other organizational components? (FPC-65)				
5	Is there an ability to communicate with other agencies and emergency personnel? (FPC-65)				
6	Is there access to other data and systems necessary to conduct essential activities and functions? (FPC-65)				

Ref #	Element (source)	Yes	No	n/a	Comments
F. VITAL RECORDS & DATABASES					
7	Does the plan provide protection and ready availability of electronic and hardcopy documents, references, records, and information systems needed to support essential functions under the full spectrum of emergencies? (FPC-65)				
8	Have emergency operating records such as emergency plans and directives; orders of succession; delegations of authority; staffing assignments; and related records of a policy or procedural nature been included? (FPC-65)				
9	Have legal and financial records critical to carrying out an organization's essential legal and financial functions and activities, and protecting the legal and financial rights of individuals directly affected by its activities been included? (FPC-65)				
10	To the extent possible, have vital records, systems data management software, and equipment been pre-positioned and updated on a regular basis duplicate records or backed-up on electronic files? (FPC-65)				
11	Does the plan ensure the identification and protection of the vital records, systems, and data management software and equipment, to include classified or sensitive data as applicable, necessary to perform essential functions and activities, and to reconstitute normal operations after the emergency? (FPC-65)				
G. TESTS, TRAINING & EXERCISES					
1	Have testing, training, and exercising (TT&E) of COOP capabilities been planned? (FPC-65)				
2	Does the TT&E Program validate COOP plans, policies, and procedures? (FPC-66)				

Ref #	Element (source)	Yes	No	n/a	Comments
3	Does the TT&E Program ensure that agency personnel are familiar with alert, notification, and deployment procedures? (FPC-66)				
4	Does the TT&E Program ensure agency personnel are sufficiently trained to carry out agency minimum essential operations and functions when deployed at a COOP site or working in a COOP environment? (FPC-66)				
5	Does the TT&E Program exercise procedures by deploying designated personnel and equipment to an alternate facility to ensure the ability to perform an agency's essential functions and operations during emergency? (FPC-66)				
6	Does the TT&E Program ensure that backup data and records required to support essential functions at the alternate facility are sufficient, complete and current? (FPC-66)				
7	Does the TT&E Program test and validate equipment to ensure both internal and external interoperability? (FPC-66)				
8	Does the TT&E Program ensure agency personnel understand the procedures to phase down COOP operations and transition to normal activities when appropriate? (FPC-66)				
9	Are there plans for individual and team training of agency COOP contingency staffs and emergency personnel? <i>(Team training should be conducted at least annually for COOP contingency staffs)</i> (FPC-65)				
10	Are there plans for testing and exercising of COOP plans and procedures to ensure the ability to perform essential functions and operate from designated alternate facility (ies)? <i>(This testing and exercising should occur at least annually)</i> (FPC-65)				
11	Are there plans for testing of alert and notification procedures and systems? <i>(at least quarterly)</i> (FPC-65)				

Ref #	Element (source)	Yes	No	n/a	Comments
12	Are there plans for refresher orientation for COOP contingency staffs arriving at an alternate operating facility? (FPC-65)				
13	Are there provisions for joint agency exercising of the COOP plan? (FPC-65)				
14	Does the TT&E Program incorporate all levels of the agency? (FPC-66)				
15	Does the TT&E Program include: policy, guidance, and standards; training courses and materials; exercises of varying types and scope designed to improve the overall organizational response capability to emergency situations; a multi-year TT&E schedule; and evaluation and remedial action programs? (FPC-66)				
16	Does the training program include a COOP awareness program for its entire workforce? (FPC-66)				
17	Does the training program include a comprehensive readiness program to ensure the preparedness of personnel assigned to carry out essential operations and functions during an event? (FPC-66)				
18	Does the testing program provide for quarterly evaluations of alert and notification procedures and systems, including instructions for relocation to pre-designated facilities, with and without warning, and during duty and non-duty hours? (FPC-66)				
19	Does the testing program evaluate the ability to access current vital records, systems, and data management software and equipment, including classified or sensitive information necessary to perform essential functions? (FPC-66)				
20	Does the testing program evaluate the interoperability of communications, to include secure capabilities if required? (FPC-66)				
21	Does the testing program evaluate the logistical support, services, and infrastructure systems (e.g., water, electrical power, heating, and air conditioning) at alternate facilities? (FPC-66)				

Ref #	Element (source)	Yes	No	n/a	Comments
22	Is the exercise program scalable in the magnitude of the event and does it include a variety of potential hazards? (FPC-66)				
23	Does the exercise program incorporate the deliberate and pre-planned movement of emergency personnel to an alternate facility? (FPC-66)				
24	Does the exercise program provide for continuation of operations during all phases of the event as outlined in FPC-65? (FPC-66)				
25	Does the exercise program include the phase-down of alternate facility operations and return to normal operations (reconstitution)? (FPC-66)				
26	Has an executive decision process been developed that would allow for a review of the emergency and determination of the best course of action for response and recovery? <i>(This will preclude premature or inappropriate activation of an agency COOP plan)</i> (FPC-65)				
H. PROGRAM MANAGEMENT					
1	Has the plan been time-phased? (FPC-65)				
2	Has a COOP Program POC been appointed? (FPC-65)				
3	Has a COOP Multi-Year Strategy and Program Management Plan been developed? (FPC-65)				
4	Is there a process for developing, approving, and maintaining COOP plans and procedures at all levels? (FPC-65)				
6	Does the HQ participate actively in the interagency COOP Working Groups (CWG) and standing and ad hoc committees? (FPC-66)				
7	Is there a process for coordinating intra-agency COOP efforts and initiatives with policies, plans, and activities related to terrorism under PDD-62 and Critical Infrastructure Protection under PDD-63 (FPC-65)				