



Module 1: COOP Plan Activation

Scenario: Over the weekend, several pipes, including a sewage pipe, burst in your agency's main building, which caused electrical malfunctions and significant water and excremental damage in the offices. Building access is restricted for the next month during clean-up and repairs. No office equipment or documents are recoverable at this time.

1. How does your agency determine the activation of its COOP plan?

2. What is your communication plan to inform staff and external partners (including the public) that a COOP plan is activated?

3. How do you analyze your business functions for how they impact your work to identify essential functions in your plan? How do you prioritize them across your agency?

4. How would you maintain essential business functions for your agency?

5. How does your plan help you determine which personnel are needed for high priority agency essential functions?



6. What is your policy for personnel with low priority business functions?

7. How does your plan address sufficient quantity of resources (e.g., personnel, equipment) to perform your pre-identified and prioritized essential functions?

Scenario update: Personnel in your relocation group are preparing the continuity site at an alternate location for 30 days (or longer). Staff not required for immediate (priority) essential functions have been told to remain home and await further instructions.

8. Who coordinates and approves cold, warm, or hot continuity sites for your agency? Are these sites pre-identified?

9. Are the continuity sites local, or do you have agreements to use facilities in another jurisdiction or agency?

10. How does your plan help you identify the actions needed to make your continuity site operational (e.g., site access, security, Americans with Disabilities Act (ADA) compliance, communications requirements, power sources)?



Scenario update: Your IT specialists have confirmed that the primary IT systems have been damaged and personnel must rely on backup systems off-site for information. Currently, only hardcopy files offsite can be retrieved.

11. How does your agency maintain an inventory of essential records, including format (e.g., hardcopy, electronic), location, and instructions for accessing and using those records?

12. How does your plan identify and prioritize essential records associated with priority essential functions?

Module 2: Cybersecurity

Scenario: “WannaCry” ransomware has crippled companies across the globe. Your alternate site’s firewalls failed, and someone clicked on an email attachment that compromised internal data. Your agency has blocked access to external email accounts and internet browsing to ensure computer operating systems are protected.

1. Does your plan address the loss of internet access and how it effects the operation of any essential functions within your agency (including hosting publicly accessible websites)?

2. Has your plan estimated how long your agency can sustain a loss of internet service before essential functions are severely affected?

3. What telecommunication and telework capabilities are outlined in your plan?



4. Are personnel able to remotely access applications and records via Citrix, VPN, or a similar application? Are Wi-Fi connections, server access, and computers readily available for use?

5. If your local network is affected, what backup systems are available in your plan?

Scenario update: The firewalls have been secured. Both intranet and internet access are available. IT has limited staff available for the various access, software, and equipment issues.

6. According to your plan, who determines which IT programs, systems, and/or software are brought online first?

7. Do critical IT operation levels align with priority essential functions?

8. Does your plan include recovery time objectives (RTOs) regarding the priority of essential functions with IT applications?

9. Does the plan outline a prioritization strategy for restoration and reinstallation of critical software applications across server and desktop infrastructures?

Module 3: Reconstitution

Scenario: It has been over three weeks, and the structural building issues are fixed; however, because of the damage, the building will be completely renovated over the next four months before your operations can resume at the facility.

1. What is your communications plan to inform staff and external partners (including the public) of reconstitution expectations so they all know when normal operations will resume?

2. How does your plan identify a team for reconstitution to ensure an orderly transition process?

3. What information is needed to conduct reconstitution planning (e.g., equipment and utility requirements, office layout)?

4. How does your plan ensure this information is an essential record and available remotely?

5. What external partners will be required to help you conduct effective reconstitution planning?

6. Are a relocation manager and a reconstitution manager identified to lead the two different processes?



Questions for Consideration

1. Delegated authorities: How does your COOP plan address order of succession and delegation of authority when key personnel are incapacitated or unavailable?
2. How do you make sure that the people in the line of succession know that they have certain responsibilities and pre-defined authority outlined in the COOP plan?
3. What happens if you do not have the staff or the equipment to maintain essential functions?
4. Have you pre-defined policies for human capital management in a continuity situation (e.g., what are your policies for pay, leave, work scheduling, benefits for both continuity personnel and non-continuity personnel, as well as, employees assigned to non-essential or low-priority activities)?
5. Recovery time objectives: How much time can your agency go without conducting an essential function or critical service before a financial or impactful loss? Recovery time expectations help you prioritize the activities or tasks that are tied to essential functions or missions.
6. How does your COOP plan address your agency's essential records policy?
7. Has your agency developed workaround solutions for essential functions in the absence of typical staff and/or technology assigned to those priority functions?
8. Is every IT system hardware and software identified and prioritized via essential functions?
9. Do you have a memorandum of understanding or other written agreement to occupy your alternate site? Is there a time limit on your operations at the alternate site?
10. What external partners will be required to help you conduct effective reconstitution planning?
11. Is a relocation and a reconstitution manager identified to lead the two different processes?
12. Who is designated to serve on the relocation team for alternate sites and the reconstitution team for returning everyone to the facility or new facility?
13. Are there any partner agencies that will be impacted by a short-term or long-term relocation or reduction of essential or non-essential activities?
14. Does your agency socialize and exercise your COOP plan to review and strengthen your COOP program?