

Arizona Continuity of Operations (COOP) Basic Job Aids

ARIZONA DEPARTMENT OF EMERGENCY AND MILITARY AFFAIRS
DIVISION OF EMERGENCY MANAGEMENT
OPERATIONS SECTION
CONTINUITY OF OPERATIONS GROUP

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INTRODUCTION

This Job Aids document is a companion document to the Arizona Continuity of Operations (COOP) Basic Development Guide. It is an expectation that personnel using these documents have taken FEMA Independent Study Courses IS-700, National Incident Management System (NIMS), An Introduction and IS-547a, Introduction to Continuity of Operations. These courses are available free of charge at <http://training.fema.gov/IS/crslst.asp> .

The Job Aids are to assist organizations Continuity of Operations (COOP) Development teams gather the required information to develop their COOP program. The Job Aids help gather the information required to build on existing COOP plans.

The Job Aids section provides directions on how to use the corresponding Worksheets. The directions for all Worksheets are at the beginning of the document. The Worksheets are in the rear for reference. A CD that contains all the Worksheets in electronic form is available on request. Print the Worksheets from the electronic document to use in your program development.

The Job Aids are color coded to match their corresponding COOP Building Block. There are currently Job Aids for Building Blocks 1, 3, 4, 5, 6 and 7. There is no a Job Aid for Building Block 2, Identify Organization Mission. It is anticipated that all organizations have already accomplished this step.

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JOB AID 1 COOP PROGRAM MANAGEMENT TEAM: ROLES AND RESPONSIBILITIES

BLDG BLOCK
1

The COOP Program Management team is responsible for gathering the necessary information and documentation to identify the processes and activities required to maintain overall COOP viability. During the review of your plan, look at the composition of your team. Using this worksheet, take the opportunity to identify who should be responsible for coordinating and being the “task lead” on organizing the design and development of the various components of the COOP Program and COOP Plan document. Identify all other personnel and their responsibilities who are involved in the development process.

The Program Management Team should consist of, but not be limited to, the following represented disciplines/functions:

- Senior Leadership
- Key Administration areas
- Key Operations areas
- Information Technology
- Facilities Management
- Human Resources
- Risk Management

[Worksheet 1](#)

JOB AID 3 IDENTIFYING ESSENTIAL AND NON-ESSENTIAL FUNCTIONS

BLDG BLOCK
3

Use this worksheet to assess each function and determine whether it is essential or non-essential. The worksheet serves as a guide to assist each organization in determining their essential functions. Think of this worksheet as a triage form to help determine what functions may actually be essential.

For each function, answer the series of Yes/No questions. A **YES** response on any one of the four questions in the top section automatically qualifies the function as essential. A YES response on any four of the seven questions in the second section indicates the function may qualify as essential. In this case, the ultimate determination is determinate on the agency. The more “yes” responses, the more likely the function is essential.

[Worksheet 3](#)

JOB AID 3A RECOVERY TIME OBJECTIVE (RTO) AND RECOVERY POINT OBJECTIVE (RPO)

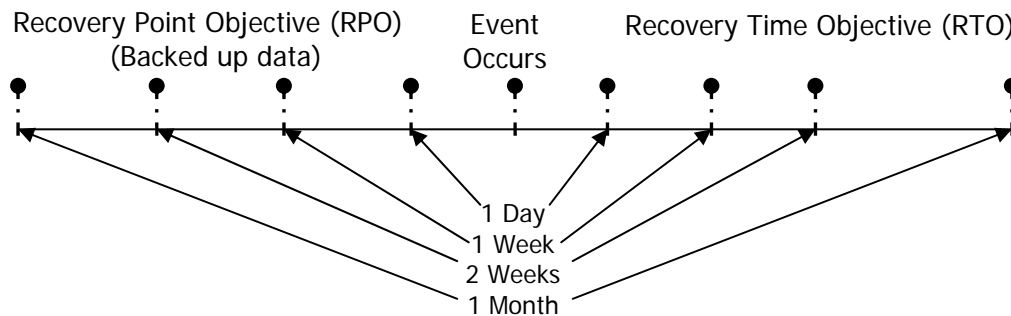
BLDG BLOCK # 3

This job aid builds on Job Aid 3, which determines what functions are essential. The objective of this worksheet is to assess essential agency functions and prioritize them in order of importance. As well as, develop measures to minimize loss in the event of a disaster. *Some functions may be essential during set times of the year and non-essential at other times. This worksheet will assess those needs. If, at any point, the function is determined NOT to be essential, it is not necessary to complete the questionnaire for that function.*

Once all essential functions are been identified, it is important to prioritize them according to those activities that are most important to resuming operations when an incident occurs. Prioritization requires determination of the following:

- Time criticality of each essential function
- Sequence for recovery of essential functions and their critical processes

An essential function’s time criticality is related to the amount of time that function can be suspended before it adversely affects the agency’s core mission. Time criticality can be measured by either Recovery Time or Recovery Point Objectives. These are terms of art borrowed from Information Technology (IT) disaster recovery planning, but they can be used in the broader context of COOP planning. A Recovery Time Objective (RTO) is the period within which systems, processes, services, or functions must be recovered after an outage. A Recovery Point Objective (RPO) is more specific to information systems. It is the amount of data that can be lost measured by a time index. Not all processes have RPOs, and some processes can have both a RPO and a RTO.



RPO – How much data can you stand to lose?

RTO – How long can you be without the technology and your data?

[Worksheet 3A](#)

JOB AIDS 3B-1,2 & 3 IDENTIFYING THE PROCESSES AND TASKS FOR EACH ESSENTIAL FUNCTION

BLDG BLOCK
3

This Job Aid builds on the data collected in Job Aids 3 and 3A. These forms help collect information to start or revise Continuity of Operations (COOP) planning. Each sheet within the workbook collects individual elements of the data needed for the planning process. The information in each sheet will build on the data collected from the sheet before it.

Worksheet 3B-1: Functions and their Processes

In worksheet 3B-1, the organization will identify Essential Functions. List out all Essential Functions identified in Job Aids 3 and 3A.

Worksheet 3B-2: Processes and their Tasks

In worksheet 3B-2, the organization will focus on the individual processes of your Essential Functions. Each process will need to identify the tasks and possibly sub-tasks that support it. Think of the tasks as a “To-Do” list for that process. Make the list detailed enough that someone without expert knowledge in that area can perform the individual assignments.

Worksheet 3B-3: Resources (by Process)

In worksheet 3B-3, the organization will identify a list of all resource needs for each identified process and task. When a resources requires a specific task, note the task number in the space provided on the sheet. The resource areas that you will focus on in the basic development stage are:

Required Equipment (*Non* Network Related, including communications gear)

Required Locations (Primary, alternate in-house, alternate nearby and out of area)

Required People (Individuals and their backups that are required to complete the task)

Required Records (Essential records, forms and documents)

Required Technology (IT) (Hardware and applications requiring network connectivity needed to complete the task)

Required Vendors, Internal and External (Internal is any vendor within your own agency, external is all others)

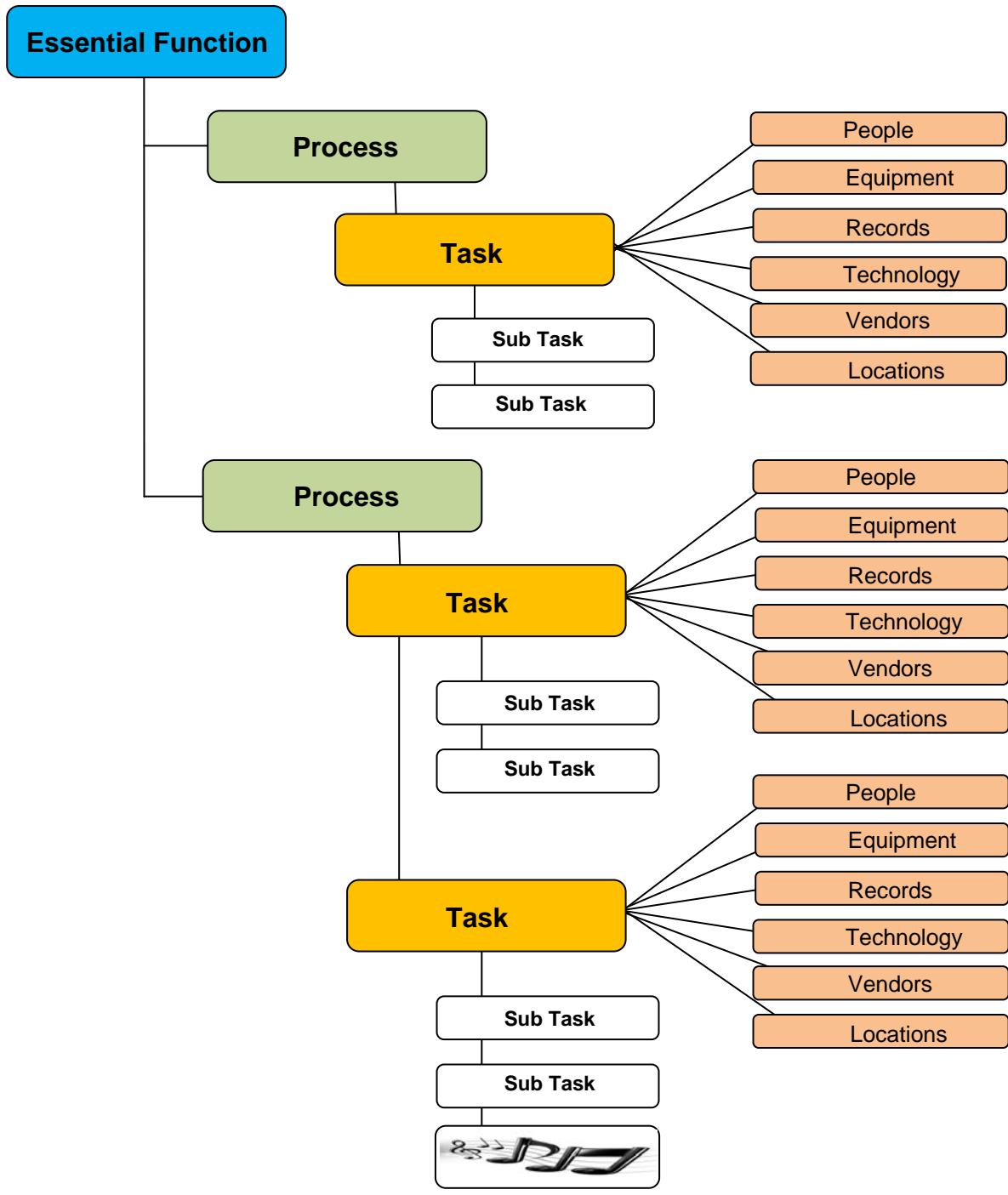
Supplemental Worksheets to gather detailed information on applications, documents, equipment, hardware and vendors are provided in Annex A.

The diagram on the next page gives a visual reference to the data collection process.

[Worksheet 3B-1](#)

[Worksheet 3B-2](#)

[Worksheet 3B-3](#)



[Worksheet 3B-1](#)

[Worksheet 3B-2](#)

[Worksheet 3B-3](#)

JOB AID 4 COOP TEAM EMPLOYEE ROSTER

BLDG BLOCK
4

This is a list of the “key positions” identified in the COOP program also known as the *Emergency Relocation Group (ERG)*. These people will carry out the COOP plan procedures to execute reconstitution and recovery operations of essential functions. Personnel at every level (Command/Management and Functional) should be included in this list. Fill out a separate worksheet for each function. Fill out the Executive Management Team Supplemental Worksheet in Annex A to document Executive Management Team personnel.

Include as much contact information as is appropriate for the department/agency.

[Worksheet 4](#)

JOB AID 4A1 FUNCTIONAL TEAMS

BLDG BLOCK
4

For key leadership positions, define primary and alternates. COOP best practices state that successors should be at least three deep (a primary and two alternates). (*Key leadership positions are defined as positions with the authority to allocate personnel or resources*).

For *each* essential function position, identify alternates that will be responsible for maintaining operation of the essential function. Identify each individual as a team leader, team member or vendor for the functional team.

Define the conditions under which the successor will assume responsibility for maintaining essential functions.

[Worksheet 4A1](#)

JOB AID 4A2 ORDERS OF SUCCESSION/ DELEGATION OF AUTHORITY

BLDG BLOCK
4

Orders of Succession outline who will succeed personnel if they are not available to make decisions. Delegation of Authority outlines the breadth of responsibility of successors for the following:

- Key leadership positions
- Essential function positions

Delegation of Authority also identifies the rules that must be followed to obtain that authority, the procedures that key positions must follow to exercise that authority, and the limitations on that position when exercising authority given the prescribed set of conditions.

Using data from the “key positions” column on the *Orders of Succession* worksheet, define the authority for each key position and essential function.

Define the type of authority that to be exercised by the successor of each position.

Emergency Authority – refers to the ability to make decisions related to an emergency, such as deciding whether to activate a COOP/COG Plan, deciding whether to evacuate a building, or determining which personnel should report for their duties.

Administrative Authority – refers to the ability to make decisions that have effects beyond the duration of the emergency. Unlike emergency authority, administrative authority does not have a built-in expiration date. Such decisions involve policy determinations and include hiring and dismissal of employees and allocation of fiscal and non-monetary resources. Statutory or constitutional law may limit the delegation of this kind of authority, and agency counsel may need to be consulted when determining this type of delegation of authority.

- Define the triggering conditions.
- Define rules that govern the initiation of the successors’ ability to exercise authority during a COOP event.
- Define any procedural requirements to be completed before successors may exercise authority during a COOP event.
- Define any limitations of authority during a COOP event.

[Worksheet 4A2](#)

JOB AID 4B COOP TEAM CALL LIST ROSTER

BLDG BLOCK
4

The Team Call List Roster Worksheet aids in creating call out lists or “Call Trees”. These lists provide for the efficient notification of personnel during COOP activations. The person that initiates a callout or notification is the “Initiator”

The Call List Initiator will begin the call out process by calling the personnel listed in the “**Calls (to be called)**” column. List the initiators name in the “**Name (initiator)**” column and those to be called in the “**Calls (to be called)**” column. The initiator may call one person who then calls the next person and so on. The Initiator may also call multiple people. The “**Confirms With**” column designates the last person on a particular call list who will call the Initiator to confirm all personnel have contacted.

The call list may branch out to multiple lists.

[Worksheet 4B](#)

JOB AID 5 ALTERNATE FACILITIES

BLDG BLOCK
5

1. For each essential function, identify the requirements for alternate work sites.
2. Identify alternate works sites in the event of a COOP activation.
3. Anticipate several different types of emergencies:
4. Single building loss or partial building loss
5. Loss of campus or building complex
6. Regional disruption
7. Establish logistical support requirements for alternative work sites.
8. Identify resource and infrastructure requirements for alternate work sites.
9. Identify MOU/MOA or contractual requirement, if appropriate.
10. Identify options for alternate work sites.
11. Consider and anticipate security requirements, if appropriate.

Alternate sites fall into one of three categories:

- Cold:** A cold site is the most inexpensive type of backup site for an organization to operate. It does not include backed up copies of data and information from the original location of the organization, nor does it include hardware already set up. The lack of hardware contributes to the minimal startup costs of the cold site, but requires additional time following the disaster to have the operation running at a capacity close to that prior to the disaster.
- Warm:** A warm site is a compromise between hot and cold. These sites will have hardware and connectivity already established, though on a smaller scale than the original production site or even a hot site. Hardware (computers, telephones, faxes, etc...) must be provided to establish a warm site. Warm sites may have backups on hand, but they may not be complete and may be between several days and a week old. An example would be backup tapes sent to the warm site by courier.
- Hot:** A hot site duplicates the capabilities of the original site, with full computer systems as well as near-complete backups of user data. Real time synchronization between the two sites may be used to completely mirror the data environment of the original site using wide area network links and specialized software. Following a disruption to the original site, the hot site exists so that the organization can relocate with minimal losses to normal operations. Ideally, a hot site will be up and running within a matter of hours or even less. Personnel may still have to be moved to the hot site so the hot site may be operational from a data processing perspective before staff has relocated. The capacity of the hot site may or may not match the capacity of the original site depending on the organization's requirements. This type of backup site is the most expensive to operate. Hot sites are popular with organizations that operate real time processes such as financial institutions, government agencies and ecommerce providers.

[Worksheet 5](#)

JOB AID 6 EXECUTIVE MANAGEMENT PLAN

BLDG BLOCK
6

This is a list of the “key positions” in the Executive Management Team. These personnel are responsible for managing a COOP incident. The Executive Management Team oversees the Functional Teams that carry out the COOP plan procedures to execute reconstitution and recovery operations of essential functions. The need may arise to address multiple processes for the Executive Management Team. If that is the case, fill out a separate worksheet for each process. Some examples are, Command and Control, Public Information, Internal Communication, etc...

Include as much contact information as is appropriate for the department/agency.

[Worksheet 6](#)

JOB AID 6A EXECUTIVE MANAGEMENT PLAN CALL LIST ROSTER

BLDG BLOCK
6

The Executive Management Team Call List Roster aids in creating call out lists or “Call Trees”. These lists provide for the efficient notification of personnel during COOP activations. The person that initiates a callout or notification is the “Initiator”

The Call List Initiator will begin the call out process by calling the personnel listed in the “**Calls (to be called)**” column. List the initiators name in the “**Name (initiator)**” column and those to be called in the “**Calls (to be called)**” column. The initiator may call one person who then calls the next person and so on. The Initiator may also call multiple people. The “**Confirms With**” column designates the last person on a particular call list who will call the Initiator to confirm all personnel have contacted.

The call list may branch out to multiple lists.

[Worksheet 6A](#)

JOB AID 6B EXECUTIVE MANAGEMENT PLAN-ORDERS OF SUCCESSION/DELEGATION OF AUTHORITY

BLDG
BLOCK # 6

Orders of Succession outline who will succeed personnel if they are not available to make decisions. Delegation of Authority outlines the breadth of responsibility of successors for the following:

- Key leadership positions
- Key Supervisory Positions

Delegation of Authority also identifies the rules that must be followed to obtain that authority, the procedures that key positions must follow to exercise that authority, and the limitations on that position when exercising authority given the prescribed set of conditions.

Using data from the “key positions” column on the *Orders of Succession* worksheet, define the authority for each key position and essential function.

Define the type of authority that is to be exercised by the successor of each position.

Emergency Authority – refers to the ability to make decisions related to an emergency, such as deciding whether to activate a COOP Plan, deciding whether to evacuate a building, or determining which personnel should report for their duties.

Administrative Authority – refers to the ability to make decisions that have effects beyond the duration of the emergency. Unlike emergency authority, administrative authority does not have a built-in expiration date. Such decisions involve policy determinations and include hiring and dismissal of employees and allocation of fiscal and non-monetary resources. Statutory or constitutional law may limit the delegation of this kind of authority, and agency counsel may need to be consulted when determining this type of delegation of authority.

- Define the triggering conditions.
- Define rules that govern the initiation of the successors’ ability to exercise authority during a COOP event.
- Define any procedural requirements to be completed before successors may exercise authority during a COOP event.

Define any limitations of authority during a COOP event.

[Worksheet 6B](#)

JOB AID 6C EXECUTIVE MANAGEMENT PLAN, ALTERNATE FACILITIES

BLDG BLOCK
6

1. Identify alternate works sites in the event of a COOP activation.
2. Anticipate several different types of emergencies:
3. Single building loss or partial building loss
4. Loss of campus or building complex
5. Regional disruption
6. Establish logistical support requirements for alternative work sites.
7. Identify resource and infrastructure requirements for alternate work sites.
8. Identify MOU/MOA or contractual requirement, if appropriate.
9. Identify options for alternate work sites.
10. Consider and anticipate security requirements if appropriate.

Alternate sites fall into one of three categories:

- Cold:** A cold site is the most inexpensive type of backup site for an organization to operate. It does not include backed up copies of data and information from the original location of the organization, nor does it include hardware already set up. The lack of hardware contributes to the minimal startup costs of the cold site, but requires additional time following the disaster to have the operation running at a capacity close to that prior to the disaster.
- Warm:** A warm site is a compromise between hot and cold. These sites will have hardware and connectivity already established, though on a smaller scale than the original production site or even a hot site. Hardware (computers, telephones, faxes, etc...) must be provided to establish a warm site. Warm sites may have backups on hand, but they may not be complete and may be between several days and a week old. An example would be backup tapes sent to the warm site by courier.
- Hot:** A hot site duplicates the capabilities of the original site, with full computer systems as well as near-complete backups of user data. Real time synchronization between the two sites may be used to completely mirror the data environment of the original site using wide area network links and specialized software. Following a disruption to the original site, the hot site exists so that the organization can relocate with minimal losses to normal operations. Ideally, a hot site will be up and running within a matter of hours or even less. Personnel may still have to be moved to the hot site so the hot site may be operational from a data processing perspective before staff has relocated. The capacity of the hot site may or may not match the capacity of the original site depending on the organization's requirements. This type of backup site is the most expensive to operate. Hot sites are popular with organizations that operate real time processes such as financial institutions, government agencies and ecommerce providers.

[Worksheet 6C](#)

JOB AID 6D1 & 6D2 EXECUTIVE MANAGEMENT PLAN- ESSENTIAL RECORDS

BLDG
BLOCK # 6

Identify the essential record(s) that are required for each process identified in the Executive Management Plan, to support the management of COOP activation. This data may be obtained

- Identify the current status of the vital record(s). (Is it in hard copy format, electronic media, stored on the network?)
- Determine if the vital record is pre-positioned at the alternate facility.
- Determine if the vital record will be hand carried to the alternate facility.
- Identify the specific current location of the vital record. (Is it a hard copy on a desk, in a filing cabinet, in the vault, on a desktop computer?)

Essential Records that are either used or created in the performance of an Essential Function are listed in Worksheet 6D1.

Details about specific databases, records format and the location of records is identified in Worksheet 6D2.

[Worksheet 6D1](#)

[Worksheet 6D2](#)

JOB AIDS 7A & 7B FUNCTIONAL PLAN - ESSENTIAL RECORDS

BLDG BLOCK
7

For each essential function, identify the vital record(s) or database(s) that are needed to support the maintenance of the essential function. This data may be obtained from the *Supporting Personnel, Essential records, Equipment, Supplies and Vendors* worksheet.

- Identify the current status of the vital record(s). (Is it in hard copy format, electronic media, stored on the network?)
- Determine if the vital record is pre-positioned at the alternate facility.
- Determine if the vital record will be hand carried to the alternate facility.
- Identify the specific current location of the vital record. (Is it a hard copy on a desk, in a filing cabinet, in the vault, on a desktop computer?)

Essential Records that are either used or created in the performance of an Essential Function are listed in Worksheet 7A.

Details about specific databases, records format and the location of records is identified in Worksheet 7B.

The Intermediate Stage of COOP development will address Essential Records in further detail.

[Worksheet 7A](#)

[Worksheet 7B](#)

ANNEX A SUPPLEMENTAL WORKSHEETS

Supplemental Worksheets are used to provide additional information to augment the Executive Management Plan and Worksheets 3B-1, 3B-2 and 3B-3. The additional detail provides the required information to develop a robust COOP capability.

Supplemental Worksheets cover:

- Executive Management Team
- Applications
- Documents
- Equipment
- Hardware
- Vendors

[Executive Management Supplement](#)

[Applications Supplement](#)

[Documents Supplement](#)

[Equipment Supplement](#)

[Hardware Supplement](#)

[Vendors Supplement](#)

WORKSHEET 1 COOP PROGRAM MANAGEMENT TEAM: ROLES AND RESPONSIBILITIES

Basic COOP Planning Stage	
Department/Agency:(Your department/agency name here)	
Roles/Designated Position	General Responsibilities
Senior Leadership	Senior Leadership serves as the senior coordinator for the overall COOP Program.
COOP Coordinator	The Coordinator is the primary point of contact for the department/agency's COOP program, and is responsible for COOP program development. This position will be the liaison for departments that are dependent on, or are dependencies for, your department or agency. The Coordinator develops and coordinates a comprehensive series of activities that will enable an agency to perform essential functions during any emergency or act of terrorism. Solicits "buy-in" and markets the COOP Program to senior management. The Coordinator works with Planning Team members to develop the Multi-Year Strategy and Program for Plan Maintenance.
Continuity Planner	This position serves as task manager for plan components and procedure development, and acts as a liaison for team members preparing/writing COOP plan components and procedures.
COOP Planning Team Members (Subject Matter Experts)	Assists the Continuity Planner within each department to gather specific procedural information regarding processes, essential functions, equipment, supplies, data, teams, tasks, dependencies, supply chain issues, etc.

Intermediate COOP Planning Stage	
COOP Coordinator	Schedules and coordinates training of all critical personnel identified as "mission essential personnel" for the department. Schedules, coordinates, and documents the results (and lessons learned) of the exercising and testing of the COOP plan to maintain viability. Additionally, this position establishes a review cycle for the COOP plan to maintain readiness and viability.
Legal Compliance Counsel	Monitors and administers compliance activities for all identified critical functions, leadership positions, and all associated authorities.
Public Information Officer (PIO)	This position is responsible for disseminating accurate and precise information to the public, managing media contacts, and preparing press releases.
COOP Administration/Logistics Support Officer	Based on critical functions identified, assembles and pre-positions necessary resources, documents, and equipment. Additionally, orders supplies and coordinates with facility management to ready emergency operations site(s).

WORKSHEET 3 CRITERIA FOR DETERMINING ESSENTIAL AND NON-ESSENTIAL FUNCTIONS

Organization/Division/Unit: _____

Team: _____

Essential Function: _____

A YES response on any one of the first four questions qualifies the function as essential. A YES response to any four of remaining seven questions qualifies the function as essential.

Criteria	Yes	No
A yes for one or more of the following four criteria automatically qualifies the function as essential:		
Are there legal or statutory requirements that mandate the department/agency perform the function?		
Will the department/agency be fined, penalized, sanctioned, or face potential lawsuits if this function is not performed?		
Does conducting this function protect life, health, or property? To include custodial care issues (assisted living and correctional facilities).		
Does conducting this function protect public safety?		
If you answered yes to one or more of the above, skip this section. A yes for four or more of the following seven criteria qualifies the function as essential:		
Does this function support the departments/agencies overall mission?		
Does conducting this function generate revenue?		
Will public confidence be degraded if this function is not performed?		
Will the absence of this function cause economic, legal, or administrative losses for the department/agency?		
Does the function have a pre-determined Recovery Time Objective (RTO)?		
Is this function dependant on another department/agency/office?		
Is another department/agency/office function dependent on this function?		

WORKSHEET 3A RECOVERY TIME OBJECTIVE (RTO) AND RECOVERY POINT OBJECTIVE (RPO)

This job aid builds on Job Aid 3: Determining Essential Functions. The objective of this worksheet is to determine essential agency functions and develop measures to minimize loss in the event of a disaster. *If, at any point, the function is determined NOT to be essential, it is not necessary to complete the questionnaire for that function.*

Essential Function: **Process Utility Bills**

1. Services this function provides: _____

2. Other agency functions that depend on this function (dependencies): _____

3. Other agencies that depend on this function: _____

4. The loss of this function would have the following quantitative effect on the organization:

****Scores indicated are an example****

Business Process Name:	< 2 Hours	2–24 Hours	24–48 Hours	2–5 Days	5–15 Days	> 15 Days
Impact on Customer Service	1	3	3	4	4	4
Loss of Customers	0	1	2	2	2	3
Loss of Revenue	1	2	2	3	4	4
Potential Additional Costs of Recovery	0	1	2	3	4	4
Exposure to Penalty Clauses	0	0	0	1	2	4
Exposure to Litigation	0	0	1	1	2	4
Loss of Information	1	2	2	3	4	4
Negative Financial Impact	1	2	2	3	4	4
Negative Public Safety Impact	0	0	0	0	0	0
Negative Public Opinion/Confidence Impact	0	1	1	2	3	4
Weighted Impact Score	4	12	15	22	29	35
	Low	Med	Med	Med	High	High

Impact Rating: 0-Non Issue 1-Irritating 2-Controllable 3-Critical 4-Devastating 5-Terminal

Score Ranking: 0-10 = Low Impact 11-25 = Medium Impact >25 = High Impact

Process RTO: _____

Process RPO: _____

Overall Process Recovery Priority:

Rank against all other essential functions: _____

5. How long can this function continue without its usual information systems support? Assume that loss of support occurs during your busiest, or peak, season or period. Check only one.

- | | |
|-------|---------------------|
| _____ | _____ Hours |
| _____ | _____ Up to 1 day |
| _____ | _____ Up to 2 days |
| _____ | _____ Up to 3 days |
| _____ | _____ Up to 1 week |
| _____ | _____ Up to 1 month |

Other (specify) _____

6. Indicate the peak time(s) of year for this function or its associated applications.

Jan Feb Mar Apr May Jun Jul Aug Sept Oct Nov Dec

7. Indicate the peak day(s) of the week for this function or its associated applications:

Sun Mon Tue Wed Thurs Fri Sat

8. Indicate the peak hour(s) of the day for this function or its associated applications:

(Hour) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19
20 21 22 23 24

9. Are there any other peak load or stress considerations?

10. Have you developed or established any work around/backup procedures (manual or otherwise) that can be employed to continue agency functions in the event the associated applications are not available? _____

If yes, how often are these procedures tested? _____

11. The loss of this function would have the following legal ramifications due to regulatory statutes, contractual agreements, or law: (Specify the area of exposure)

12. The loss of this function would have the following negative impact on personnel in this agency: _____

13. The loss of this function would keep us from supplying the following services to the public and other government entities: _____

14. Does an analysis of the responses to the above questions indicate that this function should be considered "essential" to the agency? If yes, indicate below when such a label is appropriate:

Always: _____
During the following period of the year: _____
During the following time of the month: _____
During the following time of the week: _____
Other time period. Specify: _____

15. Specify any other factors that should be considered when evaluating the impact of the loss of this function: _____

WORKSHEET 3B-1 FUNCTIONS AND PROCESSES

Organization/Division/Unit: _____ **Team:** _____

Essential Function: _____

Functions	Function 1	Function 2	Function 3	Function 4
Process (1)				
Process (2)				
Process (3)				
Process (4)				
Process (5)				
Process (6)				
Process (7)				
Process (8)				
Process (9)				
Process (10)				

WORKSHEET 3B-3 TASKS AND RESOURCES

Organization/Division/Unit: _____

Team: _____

Essential Function: _____

Process:	Process 1	Process 2	Process 3	Process 4
Required People (The individuals by position, and their backups needed)				
Required Materials (Equipment [Not network dependant], Forms or documents, needed)				
Required Technology (IT) (The hardware and applications requiring network connectivity needed)				
Required Vendors Internal (I) and External (E) (Internal is within your own agency, and external is all others)				
Locations (Include the primary or working location of the process as well as any secondary or alternate locations)				

WORKSHEET 4 COOP EMPLOYEE ROSTER

Organization/Division/Unit: _____ **Team:** _____

Essential Function: _____ **Process:** _____

Team Member/EIN/Address	Job Title	Contact Information			
		Work	Cell	Other	Home <i>(optional)</i>
Name:					
EIN:					
Work Address:					
Name:					
EIN:					
Work Address:					
Name:					
EIN:					
Work Address:					

WORKSHEET 4A1- FUNCTIONAL TEAMS

Organization/Division/Unit: _____

Team: _____

Essential Function: _____

Process: _____

Position	Name	Alternate 1	Alternate 2	HR Position # <i>(optional)</i>	Other
					<input type="checkbox"/> Team Lead <input type="checkbox"/> Member <input type="checkbox"/> Vendor
					<input type="checkbox"/> Team Lead <input type="checkbox"/> Member <input type="checkbox"/> Vendor
					<input type="checkbox"/> Team Lead <input type="checkbox"/> Member <input type="checkbox"/> Vendor
					<input type="checkbox"/> Team Lead <input type="checkbox"/> Member <input type="checkbox"/> Vendor
					<input type="checkbox"/> Team Lead <input type="checkbox"/> Member <input type="checkbox"/> Vendor
					<input type="checkbox"/> Team Lead <input type="checkbox"/> Member <input type="checkbox"/> Vendor
					<input type="checkbox"/> Team Lead <input type="checkbox"/> Member <input type="checkbox"/> Vendor
					<input type="checkbox"/> Team Lead <input type="checkbox"/> Member <input type="checkbox"/> Vendor

WORKSHEET 4A2 ORDERS OF SUCCESSION/DELEGATION OF AUTHORITY - EXAMPLE

Delegation of Authority is the giving of powers, in part or full, to others. Authorities may include the allocation of resources or the directing of personnel.

Organization/Division/Unit: _____ **Team:** _____

Essential Function: _____ **Process:** _____

Position	Duties While Acting With Authority	Limitations
Primary:		
Successor:		
Successor:		

Organization/Division/Unit: _____ **Team:** _____

Essential Function: _____ **Process:** _____

Position	Duties While Acting With Authority	Limitations
Primary:		
Successor:		
Successor:		

WORKSHEET 4B COOP TEAM CALL LIST ROSTER

Organization/Division/Unit: _____ **Team:** _____

Essential Function: _____ **Process:** _____

The Call List Initiator will begin the call out process by calling the personnel listed in the “**Calls (to be called)**” column. List the initiators name in the “**Name (initiator)**” column and those to be called in the “**Calls (to be called)**” column. The “**Confirms With**” column designates the last person on a particular call list who will call the Initiator to confirm all personnel have been notified.

Call List Initiator		
	Name	Position
Primary:		
Alternate:		
Alternate:		

Call List

Name (initiator)	Calls (to be called)	Confirms With	Type of Resource
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:

WORKSHEET 5 ALTERNATE FACILITIES

Organization/Division/Unit:

Team:

Essential Function:

Alternate Facility	Alternate Facility. Cold, Warm or Hot Site	Number of Employees Required to Set Up	IGA/MOU/MOA or Contract in Place? (Y/N)	Special Notes	Capacity

WORKSHEET 6 - EXECUTIVE MANAGEMENT PLAN ROSTER

Organization/Division/Unit:

Process: **Command and Control**
 External Communication
 Internal Communication

Team Member, EIN, Addresses	Job Title	Contact Information			
		Work	Cell	Other	Home <i>(optional)</i>
Name: EIN: Work Address:					
Name: EIN: Work Address:					
Name: EIN: Work Address:					
Name: EIN: Work Address:					

WORKSHEET 6A EXECUTIVE MANAGEMENT PLAN CALL LIST ROSTER

Organization/Division/Unit: _____ **Team:** _____

Essential Function: _____ **Process:** _____

The Call List Initiator will begin the call out process by calling the personnel listed in the “Calls (to be called)” column. List the initiators name in the “Name (initiator)” column and those to be called in the “Calls (to be called)” column. The “Confirms With” column designates the last person on a particular call list who will call the Initiator to confirm all personnel have been notified.

Call List Initiator		
	Name	Position
Primary:		
Alternate:		
Alternate:		

Call List

Name (initiator)	Calls (to be called)	Confirms With	Type of Resource
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:
			<input type="checkbox"/> Employee <input type="checkbox"/> Vendor <input type="checkbox"/> Other:

WORKSHEET 6B EXECUTIVE MANAGEMENT PLAN-ORDERS OF SUCCESSION/DELEGATION OF AUTHORITY

Delegation of Authority is the giving of powers, in part or full, to others. Authorities may include the allocation of resources or the directing of personnel.

Organization/Division/Unit:

Team:

Essential Function:

Process:

Position	Duties While Acting With Authority	Limitations
Primary:		
Successor:		
Successor:		

Organization/Division/Unit:

Team:

Essential Function:

Process:

Position	Duties While Acting With Authority	Limitations
Primary:		
Successor:		
Successor:		

WORKSHEET 6D1 - EXECUTIVE MANAGEMENT PLAN-ESSENTIAL RECORDS

Organization/Division/Unit: _____

Team: _____

Essential Function: _____

Briefly describe records you <i>USE</i> to accomplish your function?	Briefly describe records you <i>CREATE</i> ?	Check all that apply.	How soon would you need to access the record during an event?
		<input type="checkbox"/> Protects health, safety or property. <input type="checkbox"/> Necessary to resume /continue operations. <input type="checkbox"/> Statutory requirement to retain. <input type="checkbox"/> Would require massive resources to reconstruct.	
		<input type="checkbox"/> Protects health, safety or property. <input type="checkbox"/> Necessary to resume /continue operations. <input type="checkbox"/> Statutory requirement to retain. <input type="checkbox"/> Would require massive resources to reconstruct.	
		<input type="checkbox"/> Protects health, safety or property. <input type="checkbox"/> Necessary to resume /continue operations. <input type="checkbox"/> Statutory requirement to retain. <input type="checkbox"/> Would require massive resources to reconstruct.	
		<input type="checkbox"/> Protects health, safety or property. <input type="checkbox"/> Necessary to resume /continue operations. <input type="checkbox"/> Statutory requirement to retain. <input type="checkbox"/> Would require massive resources to reconstruct.	

WORKSHEET 6D2 EXECUTIVE MANAGEMENT PLAN-ESSENTIAL RECORDS

Organization/Division/Unit:

Team:

Essential Function:

Essential Record/Database	Record Format <i>(e.g., hard copy, electronic)</i>	Pre-Positioned (PP) at, or Hand Carried (HC) to Alternate Facility	Backed Up and Frequency	Priority	Storage Location(s)
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		

Essential Records Priority Levels	
Priority 1	Records that are essential for continuity operations and therefore needed immediately (in the first few hours).
Priority 2	Records that are needed to manage the incident and resume operations.
Priority 3	Records that are needed to continue essential functions if normal agency records are unavailable for a prolonged period of time. This includes records that are needed off site to work on specific programs or projects.

WORKSHEET 7A FUNCTIONAL PLAN-ESSENTIAL RECORDS

Organization/Division/Unit: _____

Team: _____

Essential Function: _____

Briefly describe records you <i>USE</i> to accomplish your function?	Briefly describe records you <i>CREATE</i> ?	Check all that apply.	How soon would you need to access the record during an event?
		<input type="checkbox"/> Protects health, safety or property. <input type="checkbox"/> Necessary to resume /continue operations. <input type="checkbox"/> Statutory requirement to retain. <input type="checkbox"/> Would require massive resources to reconstruct.	
		<input type="checkbox"/> Protects health, safety or property. <input type="checkbox"/> Necessary to resume /continue operations. <input type="checkbox"/> Statutory requirement to retain. <input type="checkbox"/> Would require massive resources to reconstruct.	
		<input type="checkbox"/> Protects health, safety or property. <input type="checkbox"/> Necessary to resume /continue operations. <input type="checkbox"/> Statutory requirement to retain. <input type="checkbox"/> Would require massive resources to reconstruct.	
		<input type="checkbox"/> Protects health, safety or property. <input type="checkbox"/> Necessary to resume /continue operations. <input type="checkbox"/> Statutory requirement to retain. <input type="checkbox"/> Would require massive resources to reconstruct.	

WORKSHEET 7B FUNCTIONAL PLAN-ESSENTIAL RECORDS

Organization/Division/Unit: _____

Team: _____

Essential Function: _____

Essential Record/Database	Record Format <i>(e.g., hard copy, electronic)</i>	Pre-Positioned (PP) at, or Hand Carried (HC) to Alternate Facility	Backed Up and Frequency	Priority	Storage Location(s)
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		
		<input type="checkbox"/> PP <input type="checkbox"/> HC	<input type="checkbox"/> Yes <input type="checkbox"/> No Freq:		

Essential Records Priority Levels	
Priority 1	Records that are essential for continuity operations and therefore needed immediately (in the first few hours).
Priority 2	Records that are needed to manage the incident and resume operations.
Priority 3	Records that are needed to continue essential functions if normal agency records are unavailable for a prolonged period of time. This includes records that are needed off site to work on specific programs or projects.

ANNEX A SUPPLEMENTAL WORKSHEETS

APPLICATIONS SUPPLEMENTAL WORKSHEET

Organization/Division/Unit: _____ **Team:** _____

Essential Function: _____ **Process:** _____

Application Name			
Description – Purpose/functionality of application			
Application Backup – Frequency (nightly, weekly) Media (Tape, Optical) Type (Full, Incremental) Storage (Onsite, Off-site).			
Vendor – Name and contact information for company that provides service for the application			
Location – Where is the application housed			
Operating System			
RTO (Hours)			

DOCUMENTS SUPPLEMENTAL WORKSHEET

Organization/Division/Unit:

Team:

Essential Function:

Process:

Document Name			
Description – Purpose of the document			
Document Owner – Who is responsible for updating the document			
Document Copy – Has a sample or copy of the document being kept in the plan.			

EQUIPMENT SUPPLEMENTAL WORKSHEET

Organization/Division/Unit:

Team:

Essential Function:

Process:

Equipment Name			
Description – Purpose/functionality of equipment			
Model Number – Model, version or other hardware specific identification information			
Vendor – Name and contact information for company that supplies the equipment			
Minimum Feature Requirements – Basic features for the equipment to meet the need			
Location – Where is the equipment stored/used			
Quantity – How many does your organization have available and how many does your function need.			
Maintenance Contract – warranty or maintenance. contract provider and related information			

HARDWARE SUPPLEMENTAL WORKSHEET

Organization/Division/Unit:

Team:

Essential Function:

Process:

Hardware Name			
Description – Purpose/functionality of the hardware			
Model Number – Model, version or other hardware specific identification information			
Vendor – Name and contact information for company that supplies for the application			
Location – Where is the hardware housed			
Maintenance Contract – warranty or maintenance. contract provider and related information			
RTO (Hours)			

VENDORS SUPPLEMENTAL WORKSHEET

Organization/Division/Unit: _____ **Team:** _____
Essential Function: _____ **Process:** _____

Vendor Name			
Description – Service or resource the vendor supplies			
Address – Full address of Vendor’s main office including state and zip			
Phone Number(s) – Include 800, fax and local numbers			
Website and Email Address – for the company in general			
Contract or Customer Number – Include SLA or other agreement numbers to ID your account			
Vendor Representative – Include name, phone and email of your main contact with the vendor			

Please contact us if you have any questions or comments regarding the Continuity of Operations process or this document.

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