

# Continuity of Operations (COOP) Plan Review Checklist and Certification of Completion

Agency Name: \_\_\_\_\_

(Note: Some planning elements may not be applicable to your specific COOP/COG operations. Please denote if that is the case.)

<b><i>Planning Element</i></b>	<b><i>Agency Plan Reference</i></b>
<b>Essential Functions</b>	
1. Essential functions are listed and prioritized.	
2. Staffing requirements for each essential function are identified.	
3. Resource requirements for each essential function are identified.	
4. Critical data and data systems for each essential function are identified.	
5. Support activities are addressed as part of essential functions.	
6. Plans exist for attaining operational capability within 12 hours.	
7. Processes and procedures exist to acquire resources necessary to continue essential functions and sustain operations for up to 30 days.	
<b>Line of Succession</b>	
1. Line of succession is established for the agency's highest position of authority.	
2. Line of succession is established for the other leadership positions.	
3. Limitations on delegate authority are listed.	
4. Line of succession are included in the plan.	
5. Rosters of trained personnel with the authority to perform essential functions and activities are maintained.	
6. Rules and procedures for implementing order of succession are established.	
7. Rules and procedures for order of succession include initiating conditions, notification methods and terminating conditions.	
<b>Alternate Facilities</b>	
1. Immediate capability exists to operate under potential threat conditions including WMD threats.	
2. Sufficient space and equipment to sustain the relocating organization is identified.	
3. Pre-positioned resources are identified or contingency contracts are established with appropriate resource providers.	
4. Plan includes provisions for establishing interoperable communications with all identified essential internal and external organizations, critical customers and the public.	
5. Alternate facilities provide for logistical support, services and infrastructure systems (e.g., water, electrical power,	

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heating and air conditioning.)	
6. Plan contains provisions to sustain operations for a period of up to 30 days.	
7. Plan addresses considerations for the health and safety of relocated employees.	
8. Plan addresses physical security and access controls.	
<b>Interoperable Communications</b>	
1. Procedures/plans exist for communications with COOP/COG contingency staffs, management and other organizational components.	
2. Procedures/plans exist for communications with other agencies and emergency personnel.	
3. Procedures/plans exist for access to data and systems necessary to conduct essential activities and functions.	
<b>Vital Records and Databases</b>	
1. Essential emergency operating plans, including line of succession; delegations of authority; staffing assignments; policy or procedural records, are identified.	
2. Essential legal / financial records, such as accounts receivable; contracting and acquisition files; official personnel files; Social Security, payroll, retirement, and insurance records and property management and inventory records, are identified.	
3. Provisions for classified or sensitive data are included.	
4. Procedures for data backup and restoration are included.	
5. Location and accessibility to vital records are identified.	
<b>Tests, Training and Exercises</b>	
1. Plans include annual individual and team training of agency COOP/COG emergency personnel.	
2. Plans include annual agency testing and exercising of COOP/COG plans and procedures.	
3. Plans include quarterly testing of emergency alert and notification procedures.	
4. Plans include refresher orientation for COOP/COG staff.	
5. Plans include inter-agency exercising of COOP/COG plans where applicable and feasible.	
<b>Plans and Procedures</b>	
1. Procedures for employee advisories, alerts and COOP/COG plan activation are included.	
2. Provisions for personnel accountability throughout the duration of the emergency are included.	
3. Procedures exist for an annual review of this agency COOP plan and the ability to make any needed revisions.	